



BOARD OF DIRECTORS 2020

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

JIM HARTNETT
EXECUTIVE
DIRECTOR

AGENDA

PENINSULA CORRIDOR JOINT POWERS BOARD

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

Directors, staff and the public may participate remotely via Zoom at <https://zoom.us/j/91412776292?pwd=cVdKa01PK2FKdm1CSUwwZXR3RmlkUT09>

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

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

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

December 3, 2020 – Thursday

9:00 am

1. Call to Order / Pledge of Allegiance

2. Roll Call

3. 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.

4. Consent Calendar

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

a. Approve Regular Meeting Minutes of November 5, 2020 MOTION

b. Receive Key Caltrain Performance Statistics – October 2020 MOTION

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

| | |
|---|---------------|
| c. Receive State and Federal Legislative Update | INFORMATIONAL |
| Approved by the Finance Committee | |
| d. Accept Statement of Revenues and Expenses for the Period Ended October 31, 2020 | MOTION |
| e. Accept Comprehensive Annual Financial Reports for Fiscal Year Ended June 30, 2020 | MOTION |
| f. Award a Contract to Sposeto Engineering, Inc. for the Grade Crossing Improvements Project for a Total Amount of \$336,050 | RESOLUTION |
| g. Authorize the Execution of Funding Agreements with the California Department of Transportation to Receive \$2,000,000 for the San Mateo Grade Crossing Improvements Project | RESOLUTION |
| h. Receive Capital Projects Quarterly Report – 1 st Quarter Fiscal Year 2020 | INFORMATIONAL |
| i. Clipper Start Quarterly Update | INFORMATIONAL |
| 5. Report of the Chair | INFORMATIONAL |
| a. Appointment of Nominating Committee for 2021 Officers | |
| b. Local Policy Maker Group (LPMG) | INFORMATIONAL |
| 6. Report of the Executive Director | |
| a. Peninsula Corridor Electrification Project (PCEP) Monthly Progress Report – November | INFORMATIONAL |
| b. Caltrain Positive Train Control (PTC) Project Update – November 2020 | INFORMATIONAL |
| 7. Report of the Citizens Advisory Committee | INFORMATIONAL |
| 8. Adoption of the Third and Fourth Quarters Fiscal Year 2021 Operating Budget and Amendment to Decrease the Capital Budget | RESOLUTION |
| 9. Amendment of the Financial Reserve Policy to Require Annual Balanced Budgets | RESOLUTION |
| 10. Receive 2021 Draft Legislative Program | INFORMATIONAL |
| 11. Correspondence | |
| 12. Board Member Requests | |
| 13. General Counsel Report | |
| a. Closed Session: Conference with Legal Counsel – Anticipated Litigation Initiation of litigation pursuant to Government Code Section 54956.9(d)(4): One potential case | |
| b. Closed Session pursuant to Government Code Section 54956.8: Conference with Real Property Negotiators Property: Parcels adjacent to Caltrain right-of-way in vicinity of Bayshore Station: San Francisco Property (APN 009-5102), San Mateo County Property (APNs 005-162-300, 005-162-320, 005-162-350, 005-162-360, 005-340-040, 005-340-090, 005-340-100, 005-350-070, 005-350-080). Agency Negotiators: Joan L. Cassman, General Counsel, Brian Fitzpatrick, Director of Real Estate, and Gary Cardona, Manager, Capital Project Support & Property Management Negotiating Parties: Visitacion Investment, LLC, a California Limited | |

Liability Company (San Francisco property) and Oyster Point Properties, Inc., a California corporation (San Mateo County properties)
Under negotiation: Price and terms of contract

14. Date/Time of Next Regular Meeting: Thursday, January 7, 2021 at 9:00 am via Zoom
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. Communications to the Board of Directors can be e-mailed to board@caltrain.com.

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

Date and Time of Board and Committee Meetings

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

Location of Meeting

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

Public Comment*

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

Accessible Public Meetings/Translation

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

Availability of Public Records

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

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

DRAFT MINUTES OF NOVEMBER 5, 2020

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

MEMBERS ABSENT: None

STAFF PRESENT: J. Hartnett, C. Mau, J. Cassman, S. Van Hoften, M. Bouchard, J. Funghi, C. Gayotin, D. Hansel, C. Fromson, S. Murphy, , S. Petty, D. Seamans, S. Wong

1. CALL TO ORDER / PLEDGE OF ALLEGIANCE

Chair Dave Pine called the meeting to order at 9:02 am and led the pledge of allegiance.

2. ROLL CALL

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

MEASURE RR

Chair Pine announced the passage of Measure RR. He noted that voters resoundingly supported the Caltrain measure. He stated that for the first time in 30 years, Caltrain has a reliable source of revenue, which would allow Caltrain to weather the pandemic in the short term, and roll out electrification and initiate the service plan in the long term.

Chair Pine expressed appreciation and thanks to all, especially the Caltrain Governance Committee (Directors Walton, Chavez, Heminger, Chair Pine) along with many other organizations, advocacy groups, and staff for all coming together to make this a success.

Director Walton express his thanks to all in doing their due diligence and working together on this historic event.

Director Stone echoed the sentiments of Chair Pine and Director Walton, noted Chair Pine's personal commitment to the campaign, thanked Adina Levin for her grassroots leadership, and expressed both excitement and hope at the support from around the region especially during this past year.

Jim Hartnett, Executive Director, expressed deep gratitude for the incredible effort and everything done and noted that after three decades gestation dedicated funding was achieved. Mr. Hartnett noted the outpouring of support and trust in Caltrain to deliver the promise of the ballot measure during these difficult times.

Public Comment

Jeff Carter, Millbrae, noted his long time support and excitement for dedicated funding to make improvements and keep things running. He thanked the Board and advocacy groups, acknowledged the difficulties, and hopes for improved service and longer trains.

Roland Lebrun, San Jose, commented on offline conversations prior to the meeting regarding Measure RR. He commented on Samtrans coming to Caltrain to pay off revenue bonds. Mr. Lebrun commented on the Caltrain Governance changes discussion from the recent Samtrans meeting.

Andy Chow, Redwood City, expressed pleasure at the passage of the measure. He noted Caltrain's popularity within the region and hoped this meant all-day, high-frequency service.

Adina Levin, Friends of Caltrain, commented on how great it was to have fundraising with everyone (Board, bicycle coalitions, youth advocacy groups, Silicon Valley leaders) including mailers and over 500 volunteers to do phone and text banking. She noted voter responses show they value Caltrain.

Aleta Dupree, Oakland, expressed pleasure at the passage of the measure and noted Caltrain's significance beyond its three counties.

3. GENERAL COUNSEL REPORT OUT FROM PREVIOUS SPECIAL AND CLOSED SESSIONS OF OCTOBER 1, 2020

Joan Cassman, General Counsel, announced the Board adjourned to two regular closed sessions, and a special closed session. She officially reported that no action was taken on all three matters, which included two sessions on anticipated litigation and one session on conference with real property negotiators.

4. PUBLIC COMMENT FOR ITEMS NOT ON THE AGENDA

Roland Lebrun, San Jose, commented on Director Pine's loan to the campaign for Measure RR, the contribution by the Herzog Corporation, and repayment expectations.

Aleta Dupree, Oakland, emphasized the importance of Clipper, mobile application, conversion to contactless technology, and new forms of payment.

5. CONSENT CALENDAR

- a. Approved Regular and Special Meeting Minutes of October 1, 2020**
- b. Received Key Caltrain Performance Statistics – September 2020**
- c. Approved Finance Committee Calendar**
- d. Accepted Statement of Revenues and Expenses for the Period Ended September 30, 2020**
- e. Amended the Peninsula Corridor Joint Powers Board Investment Policy and Reauthorize Investment of Monies with the Local Agency Investment Fund**
- f. Awarded of Contract for Broadway Burlingame Grade Separation Project Final Design Services**

- g. Authorization for Execution of Two Change Orders to the Peninsula Corridor Electrification Project Contract with Proven Management, Inc. for Relocation and Protection of Existing Water Lines in Conflict with the Inspection Pit Extension at CEMOF**
- h. Amendment of Public Safety Communications Services Agreement**
- i. Update on the Execution of the FY 2021 Fuel Hedging Program**
- j. Update on the Current Status of the Operating Contract with TransitAmerica Services, Inc.**
- k. Approved WPLP Committee Calendar**
- l. Received State and Federal Legislative Update**

Chair Pine expressed pleasure at seeing Item 5f move forward. He noted the significant milestone as the Broadway Burlingame grade crossing was identified as the second most dangerous in the state, causing considerable traffic problems.

Public Comment

Jeff Carter, Millbrae, expressed support for Broadway grade separation contract moving forward. He noted that Executive Director Hartnett improved the situation with delays there.

Roland Lebrun, San Jose, expressed support for the Broadway Grade separation contract, commented on the 25th Grade Separation project's priority over Broadway Grade Separation and critical station design approval.

Motion/Second: Davis/Bruins moved to approve the Consent Calendar
Ayes: Bruins, Chavez, Collins, Heminger, Stone, Walton, Zmuda, Davis, Pine
Noes: None
Absent: None

6. REPORT OF THE CHAIR

a. Report from the Governance Process Ad Hoc Committee and Guidance regarding Independent Legal Counsel

Ms. Cassman disclosed that she, and partner Shayna Van Hoften, would leave this portion of the meeting due to conflict of interest.

Chair Pine summarized the August Board resolution to 1) appoint a new auditor 2) obtain independent counsel and 3) recommend governance structure for next year. He noted that a new auditor would be awarded in January, today they would discuss the appointment of an independent general counsel, and discussions were underway regarding the governance recommendation. Chair Pine stated that they retained Renee Mahler to help with the process for independent counsel. He stated that she worked for 34 years in public transportation and primarily with the San Francisco Federal Transit Administration as regional counsel..

Ms. Mahler provided the presentation; highlights included objectives of independent counsel efforts, the process to develop a recommendation for Board consideration, the level and range of legal services for the Board currently, transition services, and the next

steps to develop the request for proposal (RFP). She noted that the Governance Ad Hoc committee considered two options:

1. Hire contracted general counsel to advise Board with executive management of other contracted legal services
2. Hire contracted general counsel to advise Board and manage other contracted legal services

Ms. Mahler noted that the committee recommended option 2 as it had a single manager for all legal services, would provide coordination among various legal contracts, governance support for the Board, Board support through governance discussions, include flexibility as the agency evolves, and next steps.

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

- Have an attorney employee only serve Caltrain
- Additional costs short term, including ramp up fees
- Ask Samtrans to obtain their own legal counsel and continuing with Hanson Bridgett
- Best practices of Caltrain having their own counsel dedicated to protecting Caltrain's needs
- Look at background expertise, including litigation experience
- Have a three year option with two one-year extension options
- This being less about legal expertise and more about relationship building and learning abilities
- Board members to interview a designated firm for both the general counsel and a second person as the assistant general counsel
- A new chair can consider the appointment of an interview committee with different members
- The timeline for moving through this expeditiously

a. Local Policy Maker Group (LPMG)

Director Jeannie Bruins noted the written summary was in the agenda packet.

Public Comment

Vaughn Wolffe, Pleasanton, asked if possible to consider a legal group that provides services for both Caltrain and high-speed rail, to do something at the state level, and share the costs among the agencies.

Jeff Carter, Millbrae, commented on the extensive expertise with Hanson Bridgett (HB) and their ability to provide legal counsel dedicated to Caltrain and Samtrans separately. He also commented on initial costs.

Roland Lebrun, San Jose, commented on reaching out to Capital Corridor for action options, hiring another Chief Executive that reports to the Board only, and finding a new building.

Aleta Dupree, Oakland, commented against the idea of terminating a proven team with specialized expertise on complex railroad matters.

7. REPORT OF THE EXECUTIVE DIRECTOR

Jim Hartnett, Executive Director, noted the report in the agenda packet and expressed appreciation for the work done by the Finance Department and Caltrain staff on the budget.

a. Peninsula Corridor Electrification Project (PCEP) Monthly Progress Report

John Funghi, CalMod Chief Officer, provided the progress report with the electrification infrastructure construction focusing on signal system duct bank work and the first signal cut over was successfully performed. He noted that 28 of 69 foundations were installed in October. He stated that the first train set is due on property late 2021, poles and wires are projected to be complete early 2022. Mr. Funghi stated that there is a new switchgear delivery date for the end of 2021. He noted that the Stadler manufacturer is experiencing a COVID spike and the train set delivery has been impacted by four months. Mr. Funghi said they are making progress in advancing the first train set and software testing. He noted there is currently a \$2 million shortfall in contingency due to the recent shunt wire change order, and they are looking hard at the budget and scrubbing out work completed to garnish savings.

In response to Board members comments and questions, staff provided clarification travel restrictions for testing, protocols in working factories, and requests for more information next month regarding the composition of the contingency amount and if this project can be completed within budget.

b. Caltrain Positive Train Control (PTC) Project Update – September 2020

Michelle Bouchard, Chief Operating Officer, reported that there is a six months waiting period for the December 31st deadline prior to receiving the conditional certification. She noted that Caltrain's safety plan was next in line to be reviewed. She stated that they have deployed the Wabtec Maintenance contract and are transitioning into maintenance mode. Ms. Bouchard noted that they are commissioning systems at the backup control center, which they now own, will be conducting fail over testing between the two control centers, and will report back in subsequent months regarding actual operation.

Public Comment

Roland Lebrun, San Jose, commented on shifting manufacturing from the U.S. to Europe, the prototype needing eventual modifications, and meeting FTA standards. He also commented on predecessors suggesting production at the Richmond bombardier factory.

Doug DeLong, commented on passing Measure RR, Balfour Beatty delays, and Utah's COVID measures.

Aleta Dupree, Oakland, commented on good work with positive train control, derailment, and foundation production affecting the electric railroad.

8. REPORT OF THE CITIZENS ADVISORY COMMITTEE (CAC)

Brian Shaw, Citizens Advisory Committee Chair, thanked members of the public who approved Measure RR. He stated that CAC members discussed obtaining a discount card through RTC (Regional Transit Connection), broken clipper links, a request for a presentation on the Caltrain Corridor use-policy, looking at Caltrain land for affordable housing, having decent supplies of inexpensive masks, padding at stations, and being competitive on travel times. Mr. Shaw noted that topics discussed included: members commenting on social media, PCEP production rates, missing poles at overpasses, longer trains, additional bathrooms, constant warning times, Caltrain website replacement, performance measures, construction alerts, push notifications on Twitter, archives from past Board meetings, fare information, bicycle counters for train occupancy, power outlets on new trains, video security on new trains, current ridership, social distancing on gallery cars, and bullet train availability. He stated that the next meeting is November 18.

Public Comment

Adina Levin, Friends of Caltrain, commented on staff having masks on hand as people sometimes forget and leave their masks at home. She pointed out that Assembly Bill (AB) 992 provides guidance on Brown Act members commenting on social media.

Roland Lebrun, commented on face masks in restoring Caltrain ridership as he has mentioned in previous Board correspondence.

9. APPROVAL OF THE CLOSURE OF ATHERTON STATION AND RELATED ELIMINATION OF WEEKEND SERVICE AT THE STATION; EXECUTION OF RELATED AGREEMENTS WITH TOWN OF ATHERTON; ADOPTION OF ASSOCIATED ADDENDUM TO THE FINAL PENINSULA CORRIDOR ELECTRIFICATION PROJECT (PCEP) ENVIRONMENTAL IMPACT REPORT (EIR); AND APPROVAL OF TITLE VI EQUITY ANALYSIS

Sebastian Petty, Deputy Chief of Planning, provided the presentation; topics included proposed actions, background, station closure benefits, Memorandum of Understanding (MOU), cost and funding, and the Title VI Equity Analysis. He provided background regarding weekend and weekday service and noted that the existing station is one of the few "holdout" rule stations. Mr. Petty noted that in the terms of the MOU, the JPB would work to secure funding from the San Mateo County Transit District (SMCTD) and outside grant sources to make improvements, including a procurement for permanent fencing to separate the Town's civic center.

Public Comment

Roland Lebrun, San Jose, commented on issues with opening a new station including Broadway. He commented on quad gates, \$6 million of state and federal funding from other locations to San Mateo County, and planning for the North Fair Oaks station.

Jeff Carter, Millbrae, expressed support for closing Atherton station and opening a new station at North Fair Oaks.

Nerissa Dextor, Atherton, expressed support for the station closure to enable Caltrain to increase frequency of service at other stations, removing the bottleneck once electrification takes hold, and removing a public safety hazard.

Motion/Second: Bruins/Stone moved to approve

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

Noes: None

Absent: None

10. COVID RECOVERY PLANNING UPDATE

Sebastian Petty, Deputy Chief of Planning, provided the presentation; topics included ongoing recovery planning efforts, the pandemic and equity, changes in service and ridership, Caltrain finances, where riders are traveling, weekend ridership patterns, shutdown considerations, travel time comparison, social distancing, weekday/weekend recommendations, and implementation and monitoring. He noted that they are now running more trains a day in midst of the pandemic. He stated that employers are continuing remote work, at least through next summer and the impacts are disproportionately affecting low-income people and communities of color. Mr. Petty noted that ridership is not recovering as hoped, but that they would continue to refine the schedule and stopping patterns. He stated that next steps would include counts, surveys, and identifying external measures that could be used to calibrate ridership outcomes.

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

- Current and future social distancing requirements
- How to drive demand for ridership including fare discounts
- Millbrae Station connections to BART
- Short term financing until Measure RR funds are available
- Ongoing records of impacts on communities of concern
- When schedule changes would be affected
- Customer communication regarding schedule changes including mobile applications

Public Comment

Roland Lebrun, San Jose, commented on three foot social distancing, Gilroy ridership, eliminating the connection to Tamien baby bullet, making Caltrain competitive with driving, and low income and essential riders.

Adina Levin, Friends of Caltrain, commented on changing rider and travel patterns, communicating with riders, and bus transfers for those using bus services.

Vaughn Wolffe, Pleasanton, commented on speed mattering to low income groups too, time delays, using dogs to help detect COVID symptoms, triple testing at transit stations, and circulation rate in the trains.

Jeff Carter, Millbrae, commented on the presentation, reducing padding in the schedule, coordinating with BART at Millbrae, the timing from northbound to

southbound platform at Millbrae BART, and increasing evening, night, and weekend trains.

Doug DeLong, Mountain View, expressed support for the staff recommendation, and commented on ridership falling off, and competing with highway commute times.

11. RESOLUTION SUPPORTING AN ALTERNATIVE TO PLAN BAY AREA (PBA) 2050 STRATEGY EN7: "INSTITUTE TELECOMMUTING MANDATES FOR MAJOR OFFICE-BASED EMPLOYERS"

Seamus Murphy, Chief Communications Officer, stated that Metropolitan Transportation Commission (MTC) was wrapping up their work with Plan Bay Area, to be before the Commission in December. He stated that one of the state requirements was to reach a 19 percent greenhouse gas emissions reduction by 2035 per capita. Mr. Murphy explained that one of the Commission's strategies for achieving this was to have a 60 percent permanent telework requirement for employees that work for companies with more than 25 office-based employees. He reported that in September, the Commission heard feedback from transit advocates that wanted an alternative to this telework strategy to differentiate between employees that are traveling by vehicle trips versus those taking low emission transportation modes of travel for their commutes. Mr. Murphy stated that the MTC is working on an alternative to be presented to the Commission on November 20th. He stated that this resolution would communicate Caltrain's position regarding MTC's strategy.

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

- Not moving resolutions back and forth between partners
- How many people might telecommute post COVID
- Concerns about equity
- Working with a Bay Area collaborative regarding alternative commutes
- Splitting the first "therefore be it resolved" into two, or leading with "working with MTC to advocate policy change".

Executive Director Jim Hartnett explained this resolution was intended to be supportive of efforts to come up with alternatives and the desire to work together collaboratively with regional transit agencies and boards.

Public Comment

Roland Lebrun, San Jose, commented on another Plan Bay Area MTC policy to slow down freeway speeds from 65 to 55 mph, which could increase Caltrain's ridership.

Vaughn Wolffe, Pleasanton, commented on MTC resolution as an admission of not providing for proper transit and high-speed rail. He commented that MTC's resolution would encourage corporations to move elsewhere, and that teleworking does not work.

Jeff Carter, Millbrae, commented on transit in the Bay Area, MTC focusing on improving transit to make it faster, cheaper, and appealing to everyone to use. He expressed support for the resolution.

Aleta Dupree, Oakland, commented the difficulty to enforce laws on telecommuting, fears surrounding the resolution that people will move to states with lower costs of living, and that transit will not rise or fall based on telecommuting.

Adina Levin, Friends of Caltrain, commented that there was also pushback on the telework strategy from transit riders who are already taking transit to work and do not have home office space. She commented on meeting climate goals while supporting public transit, walking, and biking.

Motion/Second: Zmuda/Pine moved to approve

Ayes: Collins, Zmuda, Pine

Noes: Heminger

Absent: Bruins, Chavez, Davis, Stone, Walton

The Board was unable to take action due to the lack of quorum in support of the motion.

12. CORRESPONDENCE

Correspondence was available online.

13. BOARD MEMBER REQUESTS

There were no requests.

14. GENERAL COUNSEL REPORT

15. DATE/TIME OF NEXT REGULAR MEETING:

Thursday, December 3, 2020 at 9:00 am via Zoom

16. ADJOURN

The meeting adjourned at 1:09 pm.

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

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Michelle Bouchard
Chief Operating Officer, Rail

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

ACTION

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

SIGNIFICANCE

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

BUDGET IMPACT

There is no budget impact.

MONTHLY UPDATE

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

In October 2020, Caltrain's Average Weekday Ridership (AWR) decreased by 94.5 percent to 3,873 from October 2019 AWR of 70,360. The total number of passengers who rode Caltrain in October 2020 decreased by 94 percent to 103,535 from 1,726,436 October 2019 ridership. Even though the ridership has been trending very low, both AWR and the total ridership has grown by more than twice from April 2020, the first month after the pandemic is declared, as shown in Graph A1.

Caltrain has put in place measures and procedures to ensure safe transportation, including extra cleaning and sanitization of the passenger cars and high-touch areas on board and at stations.

This month ticket sales decreased from October 2019 for:

- One Way tickets: 91.1 percent
- ED One Way tickets: 82.5 percent

- Day Passes: 92.1 percent
- ED Day Passes: 82.7 percent
- Monthly Passes: 95.8 percent
- ED Monthly Passes: 90.5 percent

Other ticket sales and farebox revenue statistics trended as follows:

- Caltrain Mobile Ticketing accounted for 9.7 percent (10,013 rides) of the monthly ridership and 2.1 percent (\$63,750) of the monthly ticket sales revenue.
- Number of Eligible Go Pass Employees decreased to 87,412 from 90,659 from October 2019.
- Number of the participating Go Pass Companies decreased to 118 in October 2020 from 134 in October 2019.
- Total Farebox Revenue decreased by 67.5 percent to \$3,036,896 from October 2019.

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

On-time performance (OTP) for October 2020 was 97.4 percent compared to 93.3 percent OTP for October 2019. In October 2020, 97.9 percent of all weekday trains were on time, and the share of weekday trains delayed by 10 minutes or less was 99.2 percent. Punctuality of trains has been steadily increasing in recent months as depicted in Graph E2. Monthly OTP has been at 95 percent or above in every month since April 2020, and the OTP trend has been trending upward, especially after the current timetable went into effect on June 15, 2020.

In October 2020, there were 358 minutes of delay due to mechanical issues compared to 792 minutes in October 2019.

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

Shuttle ridership for October 2020 decreased 88.4 percent from October 2019. When the Marguerite shuttle ridership is removed, the impact to ridership was decrease of 93.5 percent. For station shuttles:

- Millbrae-Broadway shuttle: 21 average daily riders
- Weekend Tamien-San Jose shuttle: 8 average daily riders

Table A
October 2020

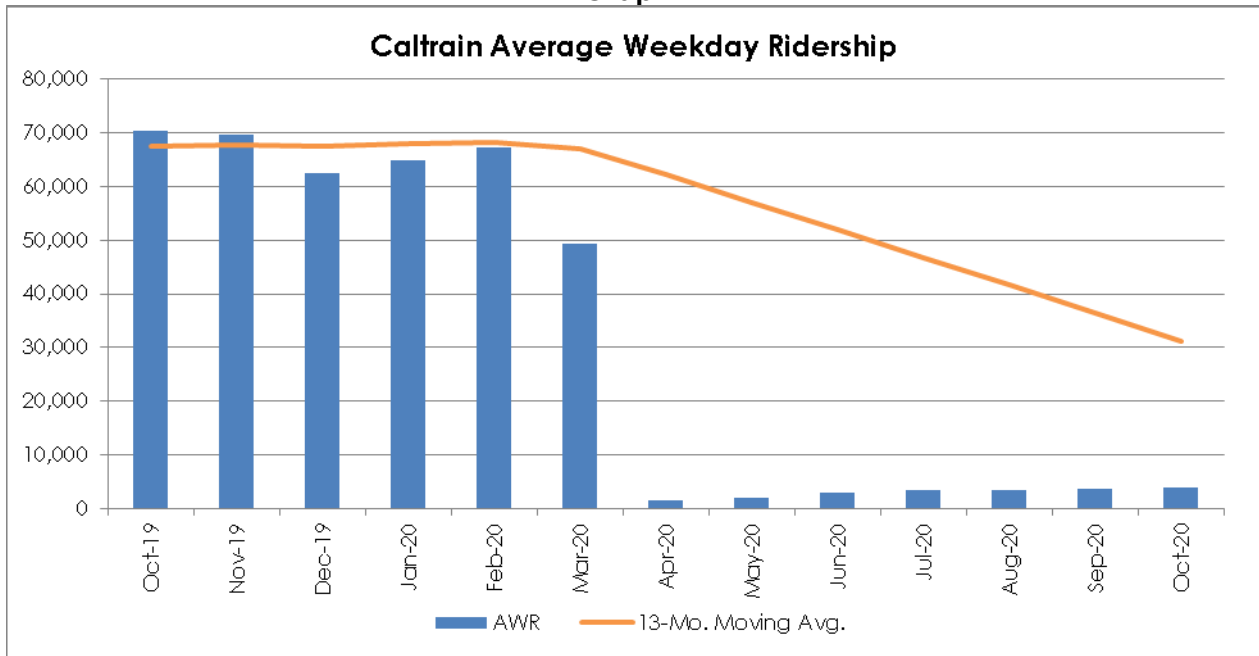
| | FY2020 | FY2021 | % Change |
|--|---------------|---------------|-----------------|
| Total Ridership | 1,726,436 | 103,535 | -94.0% |
| Average Weekday Ridership | 70,360 | 3,873 | -94.5% |
| Total Farebox Revenue | \$ 9,345,986 | \$ 3,036,896 | -67.5% |
| On-time Performance | 93.3% | 97.4% | 4.3% |
| Average Weekday Caltrain Shuttle Ridership | 9,469 | 1,098 | -88.4% |

Fiscal Year to Date

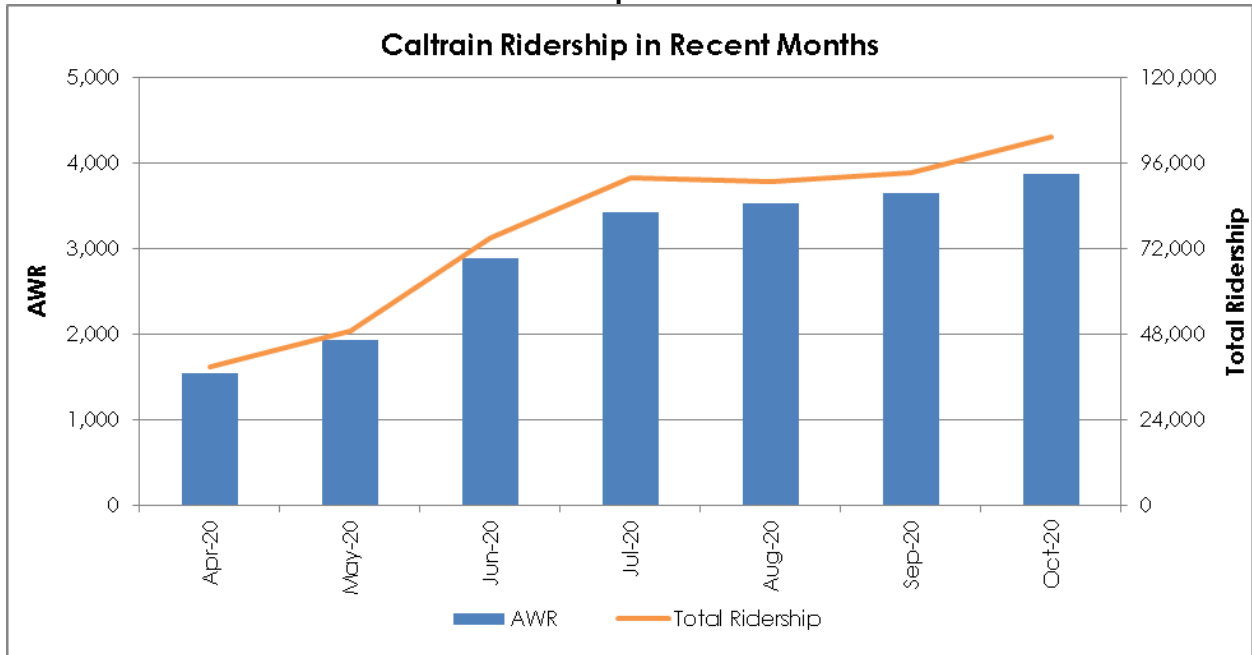
| | FY2020 | FY2021 | % Change |
|--|---------------|---------------|-----------------|
| Total Ridership | 6,687,275 | 379,606 | -94.3% |
| Average Weekday Ridership | 71,199 | 3,619 | -94.9% |
| Total Farebox Revenue | \$ 36,615,652 | \$ 11,945,545 | -67.4% |
| On-time Performance | 93.5% | 96.8% | 3.5% |
| Average Weekday Caltrain Shuttle Ridership | 8,899 | 1,085 | -87.8% |

* = Items revised due to calibration to the ridership model

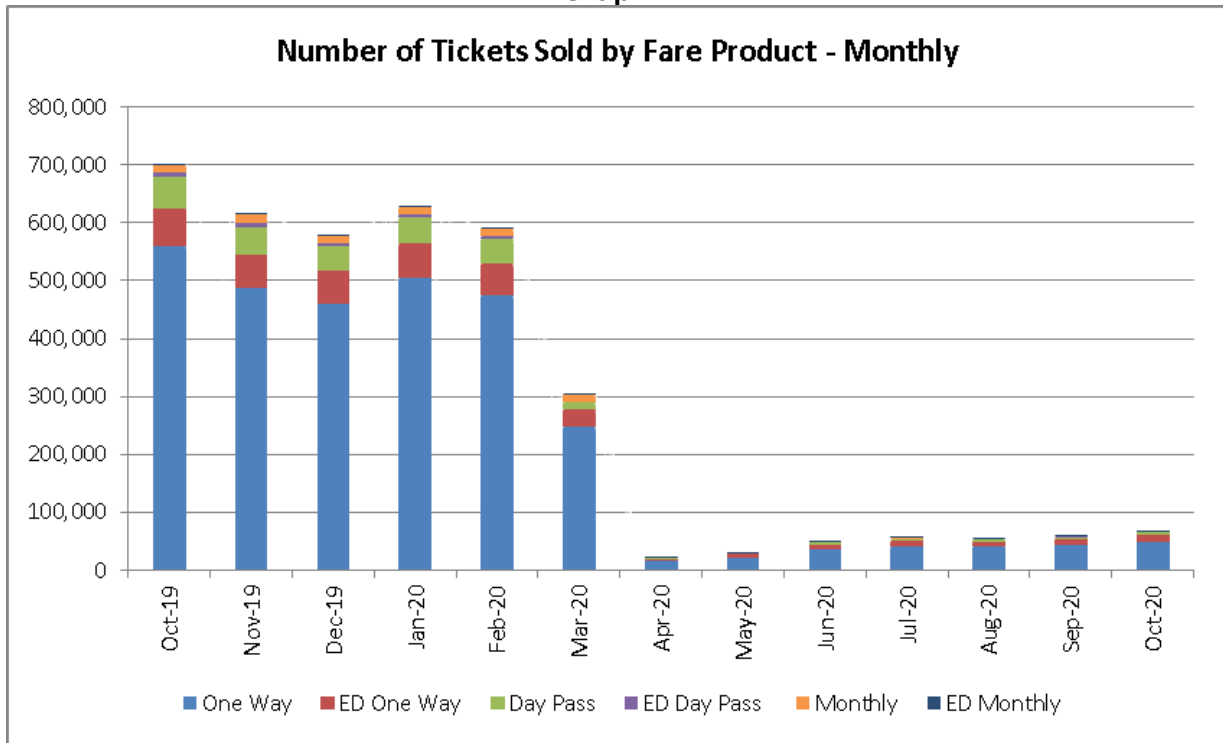
Graph A1



Graph A2

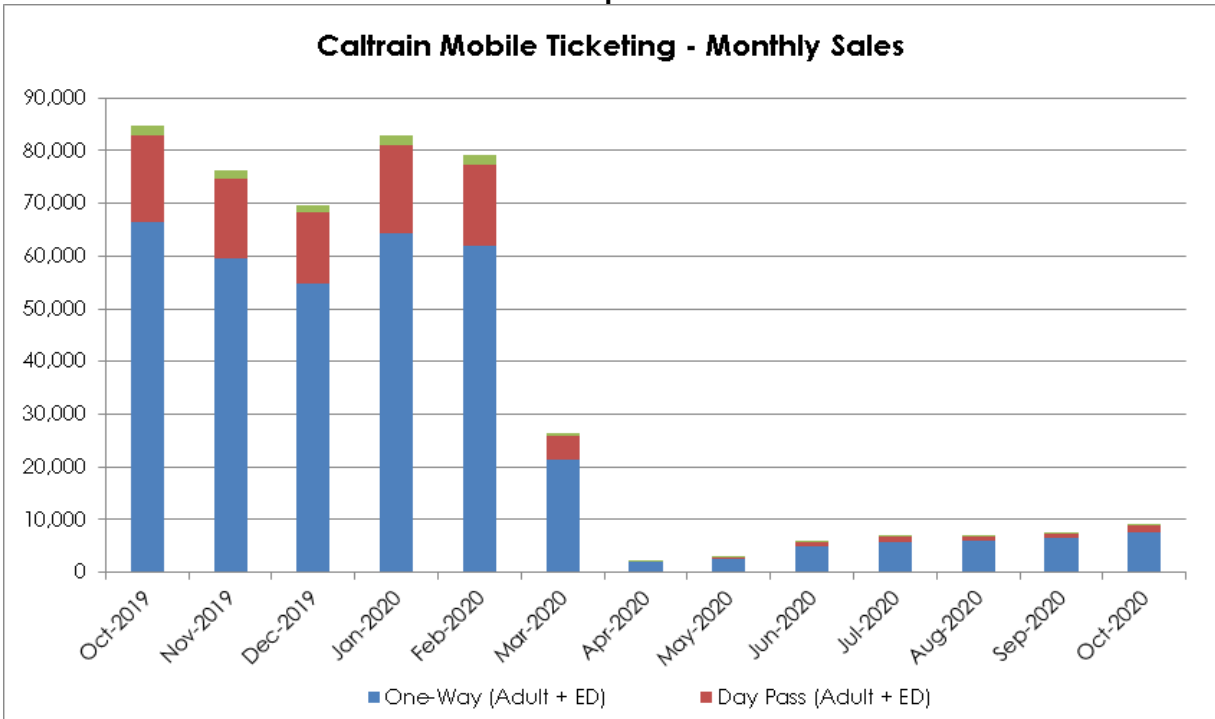


Graph B

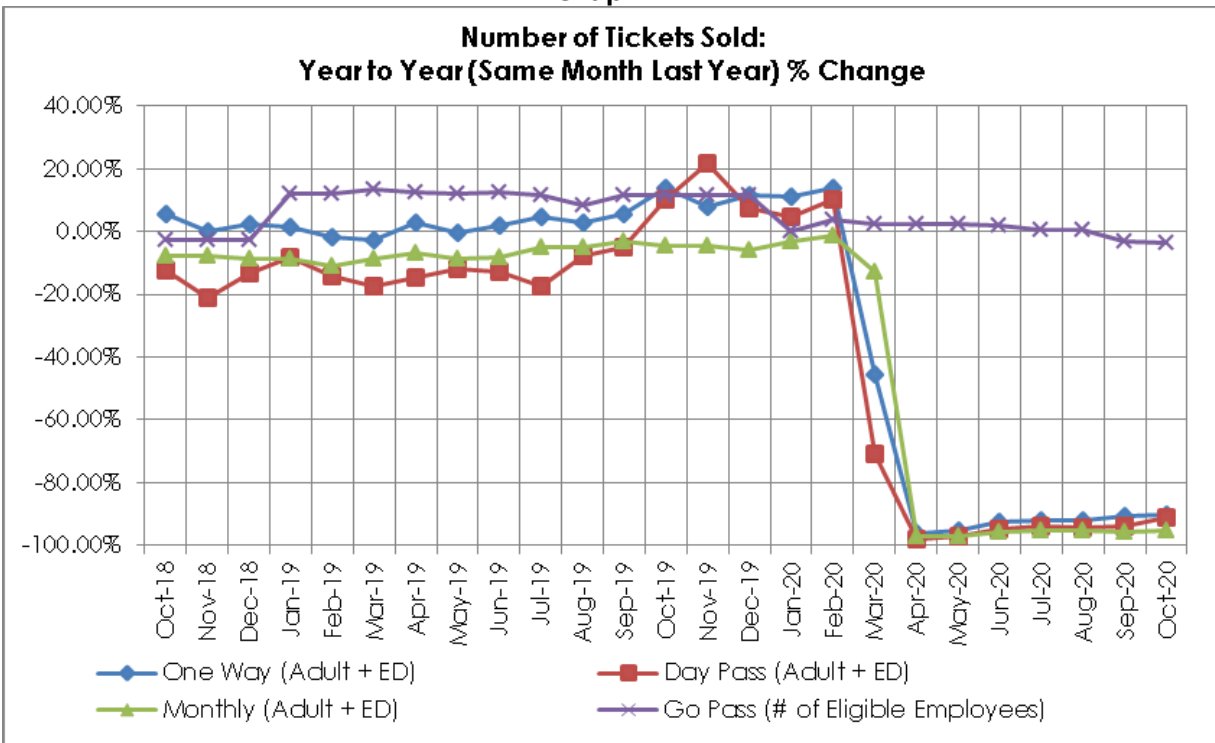


**Go Passes tracked by Monthly Number of Eligible Employees (not by Sales)*

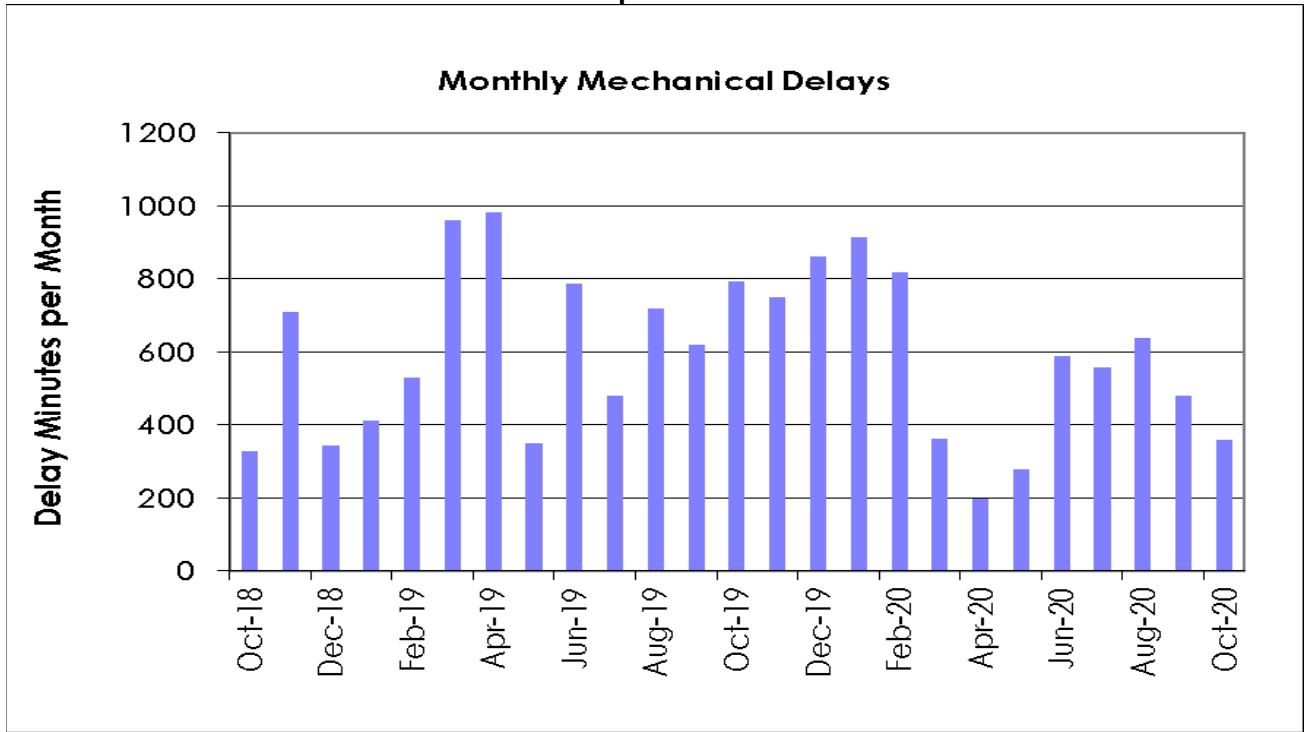
Graph C



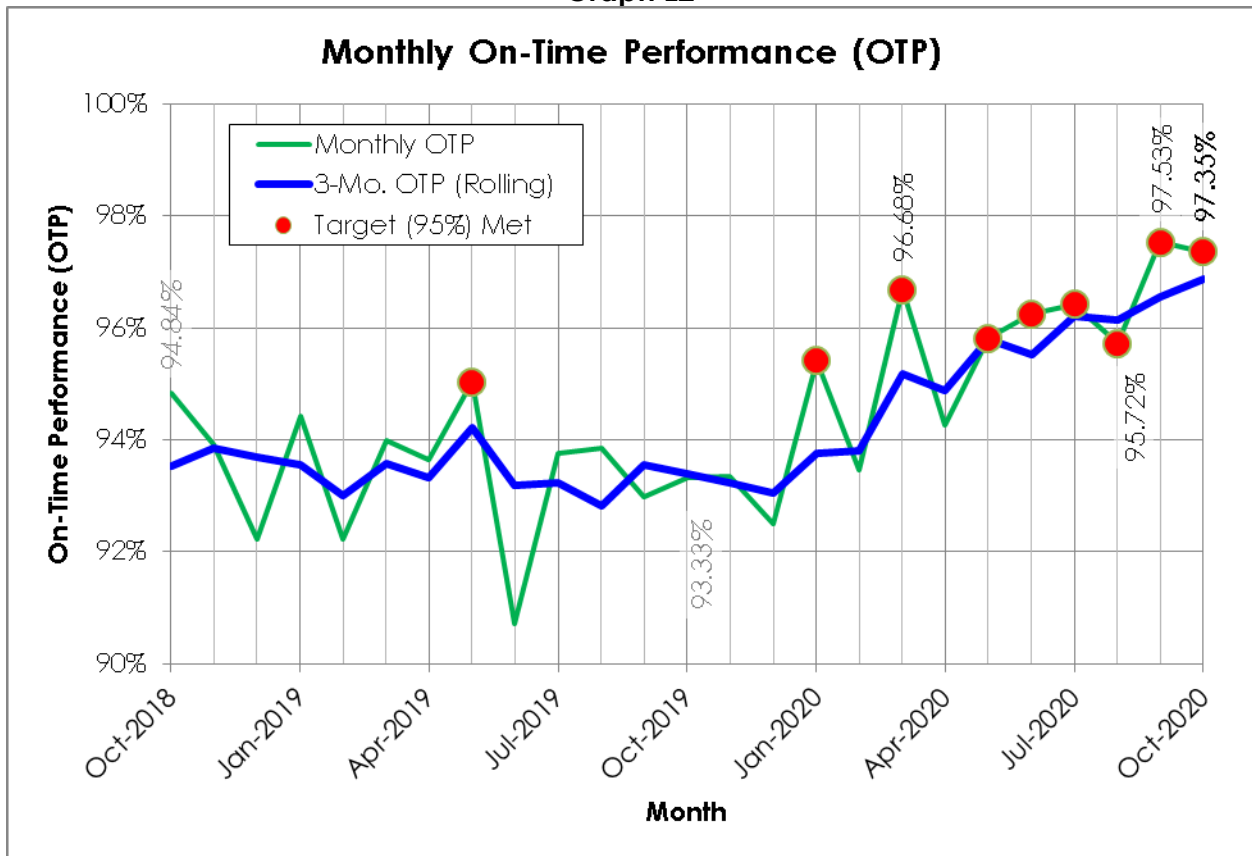
Graph D



Graph E1



Graph E2



No Caltrain Promotions for October 2020

Caltrain Digital Metrics - Oct 2020



New Followers

49

Oct 20 - 179,579

Sep 20 - 179,530

Oct 19 - 180,956

Top Tagged Issues

1. Measure RR (132)

2. Electrification (44)

3. VR Experience (37)

4. Funding (17)

5. Media (10)

Caltrain.com Sessions

Oct 20 - 138,722

Sep 20 - 124,112

Oct 19 - 921,326

Social Engagement

Video Views

64,939 (Sept - 32K)

Content Impressions

2,134,423 (Sept - 1.6M)

Interactions

45,996 (Sept - 26K)

Monthly Yelp & FB Rating

(2.75 out of 5)

(0 Oct reviews)



@caltrain, @gocaltrain



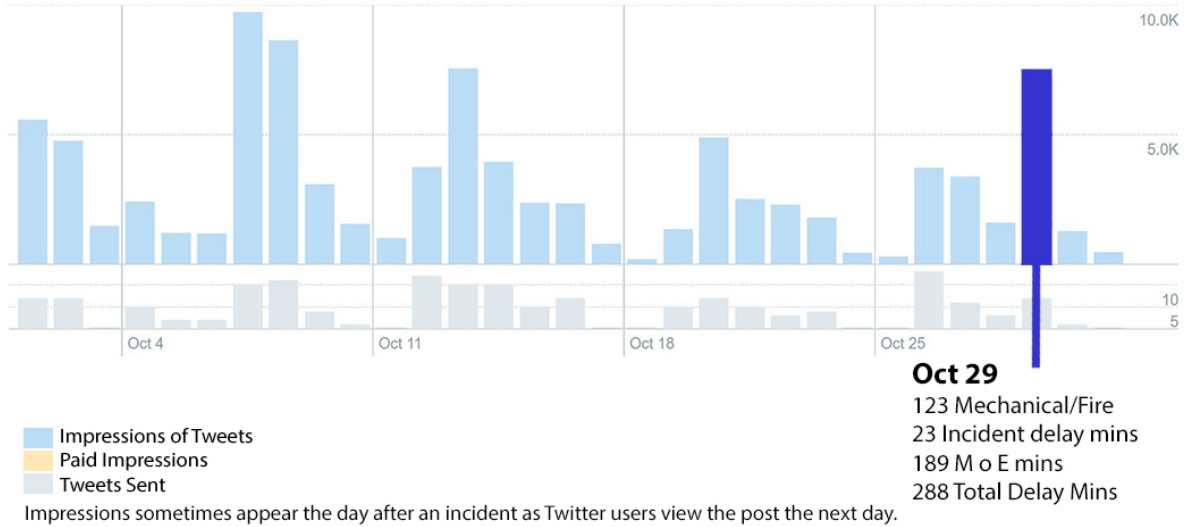
@gocaltrain



@caltrain

Twitter Impression Spikes New @CaltrainAlerts account October, 2020

Your Tweets earned **93.2K impressions** over this **31 day** period



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

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Seamus Murphy
Chief Communications Officer

SUBJECT: **STATE AND FEDERAL LEGISLATIVE UPDATE**

ACTION

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

SIGNIFICANCE

The 2020 Legislative Program establishes the principles that will guide the legislative and regulatory advocacy efforts. Based on those principles, staff coordinates closely with our Federal and State advocates on a wide variety of issues that are considered in Congress and the State legislature. The attached reports highlight the recent issues and actions that are relevant to the Board.

Prepared By: Casey Fromson, Government and
Community Affairs Director

650-508-6493

November 13, 2020

TO: Peninsula Corridor Joint Powers Board Members

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

RE: **STATE LEGISLATIVE UPDATE – November 2020**

General Update – 2020 Election

California experienced what appears to be a record 82 percent voter turnout, with high early votes from Democrats and high day-of and late arriving ballots favoring Republicans, so far. This is a departure from past elections in which late arriving ballots favored Democrats in contested contests.

At this time, there are still ballots remaining to be counted, but races are now being called.

Caltrain Delegation Races

Below is an update on some of the races of interest on the Peninsula:

SD 11 – Senator Scott Wiener (D) vs. Jackie Fielder (D) – Senator Wiener prevailed with 57.3% of the vote.

SD 13 – Josh Becker (D) vs. Alexander Glew (R) – Becker defeated Glew with 75.4% of the vote.

SD 15 Dave Cortese (D) vs. Ann Ravel (D) – Cortese leads Ravel with 54.7% of the vote and appears likely to win.

AD 25 Alex Lee (D) vs. Bob Brunton (R) – Alex Lee defeated Brunton by winning 70% of the vote.

State Senate The State Senate is currently comprised of 29 Democrats and 11 Republicans. The Democrats mounted well-funded challenges to four seats currently held by Republicans. The Republicans will lose two Orange County seats and are currently ahead in two other Southern California races.

SD 29 – Josh Newman (D) will defeat the incumbent **Senator Ling Ling Chang (R)**

SD 37 – Dave Min (D) will defeat incumbent **Senator John Moorlach (R)**

SD 23 – Rosilicie Ochoa Bogh (R) is likely to prevail over **Abigail Medina (D)**

SD21 – Incumbent Senator Scott Wilk (R) is holding a lead over **Kipp Mueller (D)**

State Assembly

The Assembly is currently comprised of 61 Democrats, 17 Republicans, an Independent, and a vacancy. The Assembly Democrats were defending three seats won from Republicans in 2018 and going after four seats held by Republicans. After millions of dollars spent on these contested seats, none of the seats changed parties from these targeted races.

The Democrats defended all three of their 2018 wins and failed to gain any of the four Republican seats that were targeted.

In fact, the Republicans will gain one seat as Suzette Valladares won a Democratic seat that opened when Christy Smith ran for Congress and the Democrats failed to place a candidate in the race.

When the Assembly convenes in December there will be 60 Democrats, 19 Republicans and an Independent.

Ballot Initiatives

There were a dozen ballot initiatives on the statewide ballot.

Of particular interest to many is the outcome of **Proposition 15** to increase property tax on commercial property. If passed, increased property taxes would have brought an additional \$10-\$12 billion in new revenue to local governments and schools. On Tuesday night, the Associated Press called the race, with the “No” side prevailing at 51.8% of the vote.

A common theme among the ballot fights is that the side that spent the most money prevailed. That was the case with **Proposition 22** put on the ballot by Uber, Lyft and other Gig economy businesses who spent close to \$225 million to pass this initiative.

Similarly, dialysis clinics outspent the healthcare unions to defeat **Proposition 23**. Realtors and firefighters raised over \$45 million and are currently ahead in the effort to pass **Proposition 19**. While former Governor Brown and criminal justice reform advocates spent \$22 million to defeat **Proposition 20** to increase criminal penalties for certain crimes. Finally, property owners and landlords spent \$134 million to defeat **Proposition 21** which would have created a California rent-control law.

Interestingly, voters appear to be rejecting two measures placed on the ballot by their elected representatives and a third measure to overturn a law previously created by the Legislature. **Proposition 16** to overturn the ban on affirmative action programs in university admissions and government hiring and contracting is currently behind 44% to 56% and will likely fail. **Proposition 18** to allow 17-year-olds to vote in primaries will also lose. Finally, **Proposition 25** is a referendum on a law passed by the Legislature that ended cash bail.

Election Takeaways

There was not a Democratic wave in California. Despite Biden receiving 10 million votes and handily beating Trump, the President has so far received 600,000 more votes in California than he did in 2016. As a result, down ticket Democrats most certainly did not ride a pro-Biden wave, despite the two-seat pick-up in the Senate.

The 2020 outcome will now trigger a series of possible appointments of elected officials to federal offices which will cascade and reverberate down the political pipeline. If the Governor selects a statewide officer to replace Vice-President elect Harris in the Senate, then he will also get to replace that statewide officer as well. Any number of currently elected officials might leave to work in the Biden Administration which would trigger special elections to fill those positions. There will already be a special election to fill a state Senate seat that will open when Senator Holly Mitchell becomes a County Supervisor in Los Angeles. It is possible the makeup of the Legislature will be unsettled until the 2022 election cycle when new political boundaries will further shakeup the status quo.

Statewide Competitive Grant Programs

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

Transit and Intercity Rail Capital Program (TIRCP)

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

Important Dates:

April 2020 – CalSTA Awards Announced

Solutions for Congested Corridors Program (SCCP)

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

Important Dates:

October 2019 – Guidelines Adopted

July 2020 – Applications Due

December 2020 – Program Adoption

Local Partnership Program (LPP)

The LPP is intended to provide local and regional transportation agencies that have passed sales tax measures, developer fees, or other imposed transportation fees with a

continuous appropriation of \$200 million annually from the Road Maintenance and Rehabilitation Account to fund road maintenance and rehabilitation, sound walls, and other transportation improvement projects. The Competitive program is funded at \$100 million annually.

Important Dates:

October 2019 – Guidelines Adopted

June 2020 – Applications Due

December 2020 – Program Adoption

Trade Corridor Enhancement Program (TCEP)

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

Important Dates:

January 2020 – Guidelines Adopted

July 2020 – Applications Due

December 2020 – Program Adoption

Grade Separation Funding

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

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

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

Transit and Intercity Rail Capital Program – The TIRCP is managed by CalSTA and is available to fund rail and transit projects that reduce greenhouse gas emissions. The program receives funding from Cap and Trade and the recently created Transportation Improvement Fee to the tune of approximately \$500 million per year. The TIRCP is

programmed over 5 years, with the most recent cycle beginning in May 2018. Caltrain received \$160 million for the CalMod project.

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

Holland & Knight

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

Caltrain Transportation Report As of November 19, 2020

Grant Opportunities & Award Announcements

- **Expedited Project Delivery Pilot Program**: FTA continues to announce the availability of \$100 million aimed at expediting delivery of new fixed guideway capital projects, small starts projects, or core capacity improvement projects. Applications will be accepted on a rolling basis until up to eight grants are awarded, subject to funding availability.
- **State of Good Repair Awards**: On October 28, Transportation Secretary Elaine L. Chao announced the investment of \$291 million for State of Good Repair Grants for 11 intercity passenger rail projects. The purpose of these grants is to improve the reliability and safety of America's rail network.

Post-Election Outlook

House

- Democrats maintained control of the U.S. House, but at least seven democrat incumbents lost their seats. House Speaker Nancy Pelosi (D-Calif.) will have less room to maneuver and will face questions from House Democrats about her strategy and priorities leading up the election.
- Speaker Nancy Pelosi, (Calif.) Majority Leader Steny Hoyer (Md.) and Majority Whip Jim Clyburn (S.C.) were all re-elected to House Democrats' top three positions, where they've been for more than a decade.

Senate

- Control of the Senate remains unclear, and Republicans and Democrats are both preparing for the possibility that the chamber's majority will remain in flux until January 5, when Georgia will hold a run-off election for their two Senate seats. Despite the uncertainty, committee leadership and priorities for the 117th Congress are taking shape.
 - Democrats' prospects for taking control of the Senate have decreased, with Republicans holding 50 seats and Democrats holding 48 seats. The party's winning scenario would require flipping both Georgia Senate seats on January 5, 2021 runoff elections and using Democratic Vice President Kamala Harris as the chamber's tie-breaking vote.

- The uncertainty of the Senate's majority clouds the picture of several committees' priorities, with major divides between Republican and Democratic agendas on government spending, campaign finance, energy, environmental protections, and pandemic relief. The direction of those panels will hinge on which party wields the gavels.

Senate Appropriators Unveil All 12 Fiscal 2021 Spending Bills, Talks Begin on Omnibus Package

- Congress faces a packed lame-duck session, with government funding at the top of the agenda.
- On November 10, Senate Republicans released the text of all 12 of the committee's annual spending bills to fund the government through next September, kicking off the lame-duck session negotiations with the House on an omnibus package of fiscal 2021 appropriations bills.
- According to Senate Appropriations Committee Chairman Richard Shelby (R-Ala.), the bills reflect some input from Appropriations Committee Democrats, though they were not marked up by the committee.
- Congressional staffers have begun the first steps of negotiating a final omnibus appropriations deal in an effort to agree soon on a set of top-line spending levels. Once there is an agreement on those basic spending figures, the 12 subcommittees will negotiate the details.
- Senate Majority Leader Mitch McConnell (R-Ky.) said he wants an agreement on the top-line spending figures for all 12 bills by the end of this week.
- Negotiators have until December 11, 2020, to fund the government, when current levels expire. Or another short term CR will be needed.
- House Democrats included \$234.9 billion in emergency spending, exempt from statutory spending limits, broadly related to the coronavirus response. Senate Republicans did not include any of those spending cap exemptions in their bills.
- White House Chief of Staff Mark Meadows visited with Senate Republicans on Wednesday, November 18 and stated an omnibus bill is high priority for White House though, President Donald Trump has stayed silent in public about the talks.
- Please find a chart with transportation provisions from the House and Senate bills on the last page of this report.

COVID Relief Prospects Remain Grim

- Negotiations could continue on a coronavirus stimulus package after pre-election talks did not yield an agreement. Several coronavirus response programs are set to expire at the end of the year, including emergency leave and pandemic unemployment assistance programs.

- Senate Majority Leader Mitch McConnell (R-Ky.) said in a post-election press conference that he wants another COVID aid package enacted this year, not next year. However, the Georgia senate elections have kept the Senate in campaign mode since it is unclear which party will hold the majority next year.
 - The Senate is unlikely to move a COVID-19 relief package bigger than the \$500 billion benchmark since both Republican Georgia Senators face a run-off election.
- House Speaker Nancy Pelosi (D-Calif.), has also said she sees a possibility for a post-election coronavirus stimulus deal but she has shown no signs of backing down from her push for a larger, all-inclusive measure rather than a piecemeal approach favored by Senate Republicans.
- Because both sides remain far apart, the possibility of getting a relief package in the lame duck remains very small. But because the COVID cases are sky-rocketing across the country and many states reinstating quarantine measures could put pressure on Congress and the Administration to get a deal done in the midnight hour.

OTHER CONGRESSIONAL NEWS

Republican Senators Sponsor a Bill to Reform NEPA

- Senators Ted Cruz (R-TX), Mike Lee (R-UT), and Kevin Cramer (R-ND) are sponsoring the [Undoing NEPA's Substantial Harm by Advancing Concepts that Kickstart the Liberation of the Economy \(UNSHACKLE\) Act](#) to make infrastructure and maintenance projects affordable. Sen. Lee said NEPA had "become a weapon used by special interests."
- Trump's plan to scale back on environmental requirements for infrastructure projects is facing multiple challenges in court and continues to be a top priority for the administration in the lame duck session.

TRANSITION NEWS

Biden Launches Transition, COVID Plan as Trump Eyes Court Fight

- President-elect Joe Biden has so far won 290 Electoral College votes, according to the Associated Press, 20 more than required to clinch the nomination.
- Joe Biden is moving forward as the president-elect, launching his transition effort and preparing a plan to curb the coronavirus pandemic while President Donald Trump weighs legal challenges and has so far refused to concede.
- President-elect Joe Biden announced his transition team's 12-member coronavirus task force on November 9, a step forward fulfilling his central campaign promise: He will make containing the pandemic his first priority.
 - The task force will be co-chaired by former Surgeon General Vivek Murthy, former Food and Drug Administration Commissioner David Kessler and Dr. Marcella Nunez-Smith, a professor of public health at Yale University. It will also include

Ezekiel Emanuel, a former Obama administration health adviser. The co-chairs of the task force are scheduled to brief Biden on Monday after the members are announced.

Biden's Transportation Team

- On November 10, President-elect Biden released a list of “agency review teams” to oversee the transition at federal agencies. The transition team for DOT, Amtrak, NTSB and the Federal Maritime Commission will be led by Phil Washington, CEO of the Los Angeles Metropolitan Transportation Authority.
- Other members of the transition team include:
 - **Dave Barnett**, United Association of Plumbers and Pipefitters of the U.S. and Canada
 - **Austin Brown**, University of California, Davis
 - **David Cameron**, International Brotherhood of Teamsters
 - **Florence Chen**, Generate
 - **Brendan Danaher**, Transport Workers Union of America, AFL-CIO
 - **Paul Kincaid**, The Association of Former Members of Congress
 - **Gabe Klein**, Cityfi
 - **Jeff Marootian**, District Department of Transportation
 - **Therese McMillan**, Metropolitan Transportation Commission
 - **Brad Mims**, Conference of Minority Transportation Officials
 - **Robert Molofsky**, Self-employed
 - **Patty Monahan**, California Energy Commission
 - **Mario Rodriguez**, Indianapolis Airport Authority
 - **Mike Rodriguez**, Texas A&M University System (Retired)
 - **Nairi Tashjian Hourdajian**, Figma
 - **Polly Trottenberg**, New York City Department of Transportation
 - **Vinn White**, State of New Jersey

Updated Fiscal Year 2021 Funding Chart on next page....

FY 2021 TRANSPORTATION FEDERAL FUNDING PRIORITIES

| | FY 2020 Enacted | FY 2021 President's Request | FY 2021 House | FY 2021 Senate |
|--|--------------------|-----------------------------------|-------------------|-------------------|
| Department of Transportation | \$86.1 B | \$89 B | \$ 107.2 B | \$87 B |
| BUILD | \$1 B | \$1 B | \$1 B | \$1 B |
| • Planning Grants | \$15 M | \$0 | \$40 M | |
| Federal Aviation Administration (FAA) | \$17.6 B | \$17.5 B | \$18.1 B | \$18 B |
| • Airport Improvement Program (AIP) | \$400 M | \$0 | \$500 M | \$3.8 B |
| Federal-Aid Highways (FAST Act levels) | \$46.36 B | \$49.98 B | \$61.13 B | \$48.7 B |
| • Highway Infrastructure (funded from General Fund vs. HTF) | \$2.166 B | \$0 | \$1 B | \$2.37 B |
| Federal Motor Carrier Safety Grants | \$391.1 M | \$403.3 M | \$501.2 M | \$ 391.1 B |
| National Highway Traffic Safety Administration (NHTSA) | \$989.3 M | \$964.5 M | \$1.3 B | \$972.48 M |
| • Highway Traffic Safety Grants | \$623 M | \$647.2 M | \$855.4 M | \$623 M |
| Federal Railroad Administration (FRA) | \$2.79 B | \$1.99 B | \$2.99 B | \$2.8 B |
| • Amtrak – Northeast Corridor | \$700 M | \$325.5 M | \$750 M | \$680 M |
| • Amtrak – National Network | \$1.3 B | \$611 M | \$1.3 B | \$1.3 B |
| • Magnetic Levitation Technology Deployment (MAGLEV) Program | \$2 M | \$0 | \$5 M | |
| • Federal-State Partnership for State of Good Repair | \$200 M | \$0 | \$200 M | \$225 M |
| • Consolidated Rail Infrastructure Safety (CRISI) Grants | \$325 M | \$330 M | \$500 M | \$340 M |
| Federal Transit Administration (FTA) | \$12.910 B | \$13.211 B | \$18.9 B | \$13 B |
| • Transit Formula Grants (FAST Act levels) | \$10.1 B | \$11 B | \$15.9 B | \$ 10.2 B |
| • Transit Infrastructure (funded from Treasury vs. HTF) | \$510 M | \$0 | \$510 M | \$701.7 M |
| • Capital Investment Grants | \$1.978 B | \$1.888 B | \$2.175 B | \$1.9 B |
| ○ New Starts | \$1.458 B | \$0 | \$1.25 B | \$1.1 B |
| ○ Core Capacity | \$300 M | \$0 | \$525 M | \$400 M |
| ○ Small Starts | \$100 M | \$0 | \$300 M | \$200 M |
| ○ Expedited Project Delivery Pilot Program | \$100 M | \$0 | \$100 M | \$150 M |
| MARAD Port Infrastructure Grants | \$225 M | \$0 | \$300 M | |

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

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

ACTION

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

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

SIGNIFICANCE

Year to Date Revenues: As of October year-to-date actual, the Grand Total Revenue (page 1, line 17) is \$9.5 million higher than the adopted budget. This is primarily driven by CARES ACT Fund (page 1, line 13) and Farebox Revenue (page 1, line 1) which are partially offset by less revenues in Shuttles (page 1, line 3) and JPB Member Agencies (page 1, line 12).

Year to Date Expenses: As of October year-to-date actual, the Grand Total Expense (page 1, line 48) is \$13.8 million lower than the adopted budget. This is primarily driven by Rail Operator Service (page 1, line 23), Insurance (page 1, line 28), Facilities and Equipment Maintenance (page 1, line 30), Professional Services (page 1, line 40) and Other Office Expenses and Services (page 1, line 42).

Other Information: The Agency accounts for revenue and expenditures on a modified cash basis (only material revenues and expenses are accrued) in the monthly financial statements. Due to the impact of Covid-19 pandemic, Caltrain adopted an interim first quarter and second quarter operating budget in FY2021 which identified certain annual expenses occurring in the first quarter and second quarter of FY2021. As such, the variance between the current year actual and the budget show noticeable variances due to the timing of expenditures.

BUDGET IMPACT

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

STRATEGIC INITIATIVE

This item does not achieve a strategic initiative.

Prepared By : Thwe Han, Accountant II

650-508-7912

Jennifer Ye, Manager, General Ledger

650-622-7890

PENINSULA CORRIDOR JOINT POWERS BOARD

STATEMENT OF REVENUE AND EXPENSE

Fiscal Year 2021

October 2020

| | | % OF YEAR ELAPSED | | | 33.3% |
|----------------|--------------------------------------|-------------------|---------------------|---------------------|-----------------|
| | | YEAR TO DATE | JULY - OCTOBER | | |
| | | CURRENT | APPROVED | \$ | % |
| | | ACTUAL | BUDGET | VARIANCE | VARIANCE |
| REVENUE | | | | | |
| OPERATIONS: | | | | | |
| 1 | Farebox Revenue | 11,945,545 | 10,815,496 | 1,130,049 | 10.4% |
| 2 | Parking Revenue | 134,263 | 169,043 | (34,780) | (20.6%) |
| 3 | Shuttles | 434,119 | 552,805 | (118,686) | (21.5%) |
| 4 | Rental Income | 327,601 | 380,668 | (53,067) | (13.9%) |
| 5 | Other Income | 556,740 | 495,677 | 61,063 | 12.3% |
| 6 | | | | | |
| 7 | TOTAL OPERATING REVENUE | 13,398,268 | 12,413,689 | 984,579 | 7.9% |
| 8 | | | | | |
| 9 | CONTRIBUTIONS: | | | | |
| 10 | AB434 Peninsula & TA Shuttle Funding | 836,300 | 576,483 | 259,817 | 45.1% |
| 11 | Operating Grants | 1,578,110 | 1,541,335 | 36,775 | 2.4% |
| 12 | JPB Member Agencies | 12,849,670 | 13,885,614 | (1,035,944) | (7.5%) |
| 13 | CARES ACT Fund | 23,132,863 | 13,835,994 | 9,296,869 | 67.2% |
| 14 | | | | | |
| 15 | TOTAL CONTRIBUTED REVENUE | 38,396,944 | 29,839,426 | 8,557,518 | 28.7% |
| 16 | | | | | |
| 17 | GRAND TOTAL REVENUE | 51,795,211 | 42,253,115 | 9,542,096 | 22.6% |
| 18 | | | | | |
| 19 | | | | | |
| 20 | EXPENSE | | | | |
| 21 | | | | | |
| 22 | OPERATING EXPENSE: | | | | |
| 23 | Rail Operator Service | 25,722,641 | 31,985,654 | (6,263,013) | (19.6%) |
| 24 | Security Services | 2,171,306 | 2,265,636 | (94,330) | (4.2%) |
| 25 | Shuttle Services | 989,080 | 1,067,694 | (78,614) | (7.4%) |
| 26 | Fuel and Lubricants | 1,840,067 | 2,125,853 | (285,786) | (13.4%) |
| 27 | Timetables and Tickets | - | 32,222 | (32,222) | (100.0%) |
| 28 | Insurance | 1,803,511 | 5,134,444 | (3,330,933) | (64.9%) |
| 29 | Claims, Payments, and Reserves | 65,565 | 318,177 | (252,612) | (79.4%) |
| 30 | Facilities and Equipment Maintenance | 486,397 | 1,560,290 | (1,073,893) | (68.8%) |
| 31 | Utilities | 568,888 | 902,309 | (333,421) | (37.0%) |
| 32 | Maint & Services-Bldg & Other | 98,153 | 555,989 | (457,836) | (82.3%) |
| 33 | | | | | |
| 34 | TOTAL OPERATING EXPENSE | 33,745,608 | 45,948,268 | (12,202,660) | (26.6%) |
| 35 | | | | | |
| 36 | ADMINISTRATIVE EXPENSE | | | | |
| 37 | Wages and Benefits | 3,897,292 | 4,143,943 | (246,651) | (6.0%) |
| 38 | Managing Agency Admin OH Cost | 1,326,697 | 1,706,236 | (379,539) | (22.2%) |
| 39 | Board of Directors | 4,446 | 11,025 | (6,579) | (59.7%) |
| 40 | Professional Services | 668,822 | 1,173,006 | (504,184) | (43.0%) |
| 41 | Communications and Marketing | 30,934 | 82,111 | (51,177) | (62.3%) |
| 42 | Other Office Expenses and Services | 219,586 | 784,534 | (564,948) | (72.0%) |
| 43 | | | | | |
| 44 | TOTAL ADMINISTRATIVE EXPENSE | 6,147,776 | 7,900,855 | (1,753,079) | (22.2%) |
| 45 | | | | | |
| 46 | Long Term Debt Expense | 994,475 | 793,917 | 200,558 | 25.3% |
| 47 | | | | | |
| 48 | GRAND TOTAL EXPENSE | 40,887,859 | 54,643,040 | (13,755,181) | (25.2%) |
| 49 | | | | | |
| 50 | NET SURPLUS / (DEFICIT) | 10,907,352 | (12,389,925) | 23,297,277 | (188.0%) |
| 51 | | | | | |



BOARD OF DIRECTORS 2020

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

JIM HARTNETT
 EXECUTIVE DIRECTOR

PENINSULA CORRIDOR JOINT POWERS BOARD

INVESTMENT PORTFOLIO

AS OF OCTOBER 31, 2020

| TYPE OF SECURITY | | MATURITY DATE | INTEREST RATE | PURCHASE PRICE | MARKET RATE |
|---|----|------------------|------------------|-------------------|----------------|
| Local Agency Investment Fund (Unrestricted) | * | Liquid Cash | 0.620% | 36,765 | 36,765 |
| County Pool (Unrestricted) | | Liquid Cash | 1.275% | 553,344 | 553,344 |
| Other (Unrestricted) | | Liquid Cash | 0.050% | 51,936,602 | 51,936,602 |
| Other (Restricted) | ** | Liquid Cash | 0.050% | 13,255,667 | 13,255,667 |
| | | | | \$ 65,782,379 | \$ 65,782,379 |

Interest Earnings for October 2020 \$ 4,223.51
 Cumulative Earnings FY2021 \$ 13,469.65

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

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

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Derek Hansel
Chief Financial Officer

SUBJECT: **COMPREHENSIVE ANNUAL FINANCIAL REPORT FOR THE FISCAL YEAR ENDED
JUNE 30, 2020**

ACTION

Staff proposes that the Board of Directors accept and enter into the record the Peninsula Corridor Joint Powers Board's (JPB) Fiscal Year (FY) 2020 Comprehensive Annual Financial Report (CAFR).

The FY2020 Comprehensive Annual Financial Report is available online at http://www.caltrain.com/about/statsandreports/Comprehensive_Annual_Financial_Reports.html

SIGNIFICANCE

The CAFR is prepared in accordance with the guidelines set forth by the Government Accounting Standards Board and is organized into three sections – Introductory, Financial, and Statistical Sections.

- The **Introductory** Section includes a Transmittal Letter and provides general information on the District's structure, personnel, economic outlook and finances.
- The **Financial** Section includes audited financial statements which provide detailed financial information as well as comparative financial data. The Management Discussion & Analysis (MD&A) is also found in the Financial Section. Along with the Transmittal Letter, the MD&A is of most interest to those looking for a narrative annual review of the District's finances.
- The **Statistical** Section provides a broad range of data covering key financial trends including revenue and debt capacity, economic and demographic data and operating information.

Together, all sections of the CAFR provide the detail as well as the perspective with which to assess the JPB's financial condition.

BUDGET IMPACT

There is no impact on the Budget.

BACKGROUND

The JPB contracts with an independent auditor, Eide Bailly LLP to conduct yearly audits of the Financial Statements in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in Government Auditing Standards, issued by the Comptroller General of the United States of America. The introductory section and the statistical section presented in the CAFR are not required by California Government Code to be reported as part of the audited financial statements of the JPB. These sections are required when producing a CAFR which the JPB chooses to do in order to provide detailed information about the financial condition of the JPB in a form that is understandable to our customers and constituents.

The CAFR is prepared and presented to the Government Finance Officers Association for their review, evaluation and to apply for the certificate of Achievement for Excellence in Financial Reporting. The JPB has received an award for every year that the report was submitted.

Prepared by: Jennifer Ye, Manager, Financial Reporting & General Ledger 650-622-7890



Peninsula Corridor Joint Powers Board

Comprehensive Annual Financial Report

December 3, 2020

Presentation Agenda

- Auditor's Communication
- Highlights from the 2019-20 CAFR

Auditor's Communication

- Eide Bailly issued an unmodified “clean” opinion on the financial statements and compliance with federal grants.
- No adjustments were proposed to the financial statements.
- No difficulties were encountered in the performance of the audit.

Highlights from the 2019-20 CAFR

- Operating revenue decreased (*\$28.3 million, -25%*)
- Operating expense decreased (*\$2.3 million, -0.9%*)
- Capital contribution decreased (*\$43.9 million, -10.8%*)

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Derek Hansel Michelle Bouchard
Chief Financial Officer Chief Operating Officer, Rail

SUBJECT: **AWARD OF CONTRACT FOR GRADE CROSSING IMPROVEMENTS PROJECT**

ACTION

Staff Coordinating Council recommends the Board:

1. Award a contract to the lowest, responsive and responsible bidder, Sposeto Engineering, Inc., of Livermore, California (Sposeto), for a total amount of \$336,050 for the Grade Crossing Improvements Project (Project).
2. Authorize the Executive Director, or his designee, to execute a contract with Sposeto, in full conformity with the terms and conditions set forth in the solicitation documents, and in a form approved by legal counsel.

SIGNIFICANCE

The Project's scope of work consists of furnishing all labor, equipment, and materials required to install safety improvements to five grade crossings along the Caltrain corridor as follows:

- 1st Ave., San Mateo
- 2nd Ave., San Mateo
- 3rd Ave., San Mateo
- Glenwood Ave., Menlo Park
- Oak Grove, Menlo Park

These grade crossings were in the top six (6) of the priority list from the Caltrain Grade Crossing Hazard Analysis Report. Glenwood Avenue was added instead of Oak Grove Avenue in Burlingame because of construction efficiency and cost savings in mobilization. In the previous Caltrain grade crossing improvements project in 2018, safety improvements were completed at five (5) grade crossings in Santa Clara County, four (4) in San Mateo County and one (1) grade crossing in San Francisco County.

The improvements include more clearly-marked pedestrian crossings with new paint striping and lettering, and pavement markers. The Project also calls for installation of a

fixed concrete median with flexible bollards to prevent motorists from driving around lowered crossing gates.

The Project is anticipated to be completed by the end of 2021.

BUDGET IMPACT

The Capital Budget approved by the Board of Directors in June 2020 included \$1.0 million for the Project, which covers this construction cost, and construction management and project administration costs. This Project will be completed with State Transit Assistance funds.

BACKGROUND

An Invitation for Bids (IFB) was advertised in a newspaper of general circulation and on the Peninsula Corridor Joint Powers Board's (JPB) procurement website. A 20% Small Business Enterprise (SBE) goal was assigned to this Project. Prior to releasing the IFB, extensive outreach for SBEs was conducted. Two potential bidders attended the pre-bid meeting and six bids were received as follows:

| Company | Bid Amount | 5% SBE Preference | Bid Amount with 5% SBE Preference applied |
|---|-------------------------|--------------------------|--|
| <i>Engineer's Estimate</i> | <i>\$700,491</i> | <i>N/A</i> | <i>N/A</i> |
| 1. Sposeto Engineering, Inc., Livermore | \$336,050 | \$16,802.50 | \$319,247.50 |
| 2. Granite Rock Company, San Jose | \$360,300 | \$16,802.50 | \$343,497.50 |
| 3. Golden Bay Construction, Inc. Hayward | \$421,901 | \$16,802.50 | \$405,098.50 |
| 4. Chrisp Company, Fremont | \$495,100 | N/A | \$495,100.00 |
| 5. RK Engineering, Inc., San Francisco | \$573,700 | \$16,802.50 | \$556,897.50 |
| 6. NBC Construction & Engineering, Inc., San Francisco | \$721,311 | \$16,802.50 | \$704,508.50 |

Sposeto submitted all required bid documentation. Staff has determined, and legal counsel concurred, that the bid submitted by Sposeto is responsive.

The bid from Sposeto was approximately 52 percent lower than the engineer's estimate. Staff believes the pricing difference is attributed to a competitive market for this type of work.

All bidders, except Chrisp Company, met the 20% SBE goal and were given a 5 percent SBE preference based on the lowest bid amount. Sposeto was the lowest bidder both before and after the SBE preference was applied.

Sposeto is an established regional contractor with more than 40 years of construction experience. Staff contacted Sposeto's references and confirmed its experience and competency. Sposeto has successfully completed projects for the City of San Bruno, the City of Redwood City, and the JPB. Based upon these findings, staff concludes that Sposeto is appropriately qualified and capable of meeting the requirements of the contract and is, therefore, the lowest, responsive, and responsible bidder.

Procurement Administrator II: Zaid Abdulmajeed
Project Manager: Robert Tam

650.622.7820
650.508.7969

RESOLUTION NO. 2020 –

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

* * *

**AWARDING A CONTRACT TO SPOSETO ENGINEERING, INC. FOR THE
GRADE CROSSING IMPROVEMENTS PROJECT FOR A TOTAL AMOUNT OF \$336,050**

WHEREAS, the Peninsula Corridor Joint Powers Board (JPB) issued an Invitation for Bids (IFB) for the Grade Crossing Improvements Project; and

WHEREAS, in response to the IFB, the JPB received six bids; and

WHEREAS, staff and legal counsel reviewed the bids and determined that Sposeto Engineering, Inc. of Livermore, California (Sposeto) is the lowest, responsive and responsible bidder; and

WHEREAS, the Executive Director recommends, and Staff Coordinating Council concurs, that a contract be awarded to Sposeto, whose bid meets the requirements of the solicitation documents.

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby awards a contract to Sposeto Engineering, Inc. for the Grade Crossing Improvements Project for a total amount of \$336,050; and

BE IT FURTHER RESOLVED that the Executive Director, or his designee, is authorized to execute a contract on behalf of the JPB with Sposeto, in full conformity with all the terms and conditions of the solicitation documents and in a form approved by legal counsel.

Regularly passed and adopted this 3rd day of December, 2020 by the following
vote:

AYES:

NOES:

ABSENT:

ATTEST:

Chair, Peninsula Corridor Joint Powers Board

JPB Secretary

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

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

Derek Hansel
Chief Financial Officer

SUBJECT: **AUTHORIZATION TO ENTER INTO FUNDING AGREEMENTS WITH THE
CALIFORNIA DEPARTMENT OF TRANSPORTATION FOR THE SAN MATEO
GRADE CROSSING IMPROVEMENTS PROJECT**

ACTION

Staff Coordinating Council recommends the Board:

1. Authorize the Executive Director, or his designee, to enter into funding agreements with the California Department of Transportation (Caltrans) to receive up to \$2.0 million in Section 130 Rail Safety Infrastructure Improvements funds for grade crossing improvements at Fourth Avenue and Fifth Avenue in the City of San Mateo; and
2. Authorize the Executive Director, or his designee, to file any other required documentation and to take any other actions necessary to give effect to the resolution.

SIGNIFICANCE

The Peninsula Corridor Joint Powers Board (JPB) and the City of San Mateo (City) have been working cooperatively with the California Public Utilities Commission (PUC) and Caltrans to implement quad crossing gates at the Fourth and Fifth Avenue grade crossings to help prevent motorists from driving around down gate arms and across the tracks when a train is approaching. These needed safety improvements were initially requested by the City and have been jointly agreed upon during a field diagnostic meeting between JPB, the City, PUC and Caltrans.

The design phase of the Project, currently estimated at \$2.0 million, is fully funded by the Section 130 program, and no matching funds are required. Once design is completed, the JPB and City will work with Caltrans and the PUC to fund the construction phase of the Project.

BUDGET IMPACT

The Fiscal Year 2021 Capital Budget previously included \$1.6 million in Section 130 funds for the Project based on preliminary estimates of funding availability from Caltrans. However, Caltrans recently approved an additional \$400,000 in grant funding for the Project; hence, staff is requesting a \$0.4 million budget increase for a total of \$2.0 million for the Project. This amendment will be considered by the board under a separate item on the December 2020 agenda.

BACKGROUND

The PUC 130 Program provides funding for the elimination of hazards at existing at-grade railroad crossings. The goal of the program is to reduce the number and severity of accidents between trains and motorists, bicyclists, and pedestrians at crossings. Projects can be nominated by railroads or local jurisdictions and eligible projects are placed on a priority list based on accident history and the ability to improve safety. Annual funding allocations are determined and provided by Caltrans. Details of grants received through this program over the past ten years is provided in the table below.

| County | Crossing | Year | Funding |
|---------------|----------------------------|-------------|----------------|
| Santa Clara | Castro and Rengstorff | 2011 | \$3,146,000 |
| San Mateo | Brewster and 3rd Ave | 2013 | \$602,000 |
| San Mateo | Broadway, Main and Whipple | 2015 | \$1,660,000 |
| Santa Clara | Mary Avenue | 2017 | \$3,125,000 |
| Santa Clara | Churchill Avenue | 2019 | \$2,250,000 |
| San Mateo | 4th and 5th Avenues | 2020 | \$2,000,000 |

Prepared by: Peter Skinner, Director, Grants and Fund Management 650.622.7818
Robert Tam, Program Manager 650.508.7969

RESOLUTION NO. 2020-

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

* * *

**AUTHORIZING THE EXECUTION OF FUNDING AGREEMENTS WITH THE CALIFORNIA
DEPARTMENT OF TRANSPORTATION TO RECEIVE \$2,000,000 FOR THE SAN MATEO GRADE
CROSSING IMPROVEMENTS PROJECT**

WHEREAS, the California Department of Transportation (Caltrans) awards grant funding, including through the Section 130 Rail Safety Infrastructure Improvements program (Section 130), to increase safety at railroad crossings, train stations, and tracks across the state; and

WHEREAS, the Peninsula Corridor Joint Powers Board (JPB) and the City of San Mateo (City), together with Caltrans and the California Public Utilities Commission (PUC), are working cooperatively to design and construct the San Mateo Grade Crossing Improvements Project (Project), which will make safety improvements at the Fourth Avenue and Fifth Avenue grade crossings in San Mateo; and

WHEREAS, the Fiscal Year 2020-21 (FY2021) Capital Budget previously adopted by the JPB included \$1.6 million for the Project, but Caltrans recently approved an additional \$400,000 in Section 130 grant funds for the design phase of the Project, bringing the total amount of Section 130 funding to \$2 million; and

WHEREAS, the Staff Coordinating Council recommends the Board of Directors:

1. Authorize the Executive Director, or his designee, to execute funding agreements with Caltrans to receive \$2 million in Section 130 grant funds for the Project; and

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

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

1. Authorizes the Executive Director, or his designee, to execute agreements with Caltrans to receive \$2 million in Section 130 grant funds for the San Mateo Grade Crossing Improvements Project; and
2. Authorizes the Executive Director, or his designee, to file any other required documentation and to take any other actions necessary to give effect to this resolution.

Regularly passed and adopted this 3rd day of December, 2020 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTESTS:

Secretary

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Michelle Bouchard
Chief Operating Officer, Rail

SUBJECT: **CAPITAL PROJECTS QUARTERLY STATUS REPORT –
1st QUARTER FISCAL YEAR 2021**

ACTION

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

https://www.caltrain.com/Assets/_Finance/Quarterly+Capital+Program+Status+Report/JPB/JPB+Quarterly+Report+FY21+Q1.pdf

SIGNIFICANCE

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

BUDGET IMPACT

There is no impact on the budget.

BACKGROUND

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



Quarterly Capital Program Status Report and DBE Status Report

Prepared for the December 03, 2020 Caltrain Board Meeting

1st Quarter FY2021: July 01, 2020 – September 30, 2020

Peninsula Corridor Joint Powers Board



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Caltrain - Capital Program - Budget Summary

1st Quarter FY2021 - July 01, 2020 to September 30, 2020

All Costs in \$1,000's

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

The FY2021 budget includes the Capital Budget approved at the October 2020 Board meeting.

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

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

Currently in Progress

25th Avenue Grade Separation Project
 Burlingame Broadway Grade Separation Project
 Caltrain Right of Way Fencing Project
 Churchill Avenue Grade Crossing
 Energy Efficient Lighting Retrofit
 Guadalupe River Bridge Replacement and Extension Project
 Marin and Napoleon Bridge Replacement Project
 Mary Avenue Traffic Signal Project
 MP-36 Locomotive Mid-Life Overhaul
 Rengstorff Avenue Grade Separation
 South San Francisco Station Improvements Project
 Station Enhancements and Renovation Project Systemwide
 Communication Rehabilitation Project Systemwide Signal
 Rehabilitation Project
 Systemwide Station Rehabilitation Project
 Systemwide Track Rehabilitation Project
 Systemwide Grade Crossing Improvement Project

Completed Projects

F-40 Locomotive Mid-Life Overhaul Project
 Inward Facing Cameras on trains
 Los Gatos Bridge Replacement Project
 Sunnyvale Station Rehabilitation Project
 Upgrade CCF Equipment Room Cooling

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 | | |
|---|--------|--------|----------|--------|---------------|--------|--------|--------|----|
| | Q4FY20 | Q1FY21 | Q4FY20 | Q1FY21 | Q4FY20 | Q1FY21 | Q4FY20 | Q1FY21 | |
| 25th Ave. Grade Separation Project | | | | | | | | | 4 |
| Automatic Passenger Counters 4th & King | | | | | | | | | 6 |
| BayShore Station Overpass Pedestrian Bridge Rehab Project | | | | | | | | | 8 |
| Broadband Communication | | | | | | | | | 10 |
| Burlingame Broadway Grade Separation Project (Preliminary Design/Environmental Clearance) | | | | | | | | | 12 |
| CCF and BCCF Virtualization Project | | | | | | | | | 14 |
| Churchill Avenue Grade Crossing | | | | | | | | | 16 |
| Energy Efficient Lighting at Caltrain Stations | | | | | | | | | 18 |
| F-40 Locomotive Mid-Life Overhaul Project | | | | | | | | | 20 |
| Grade Crossing Improvement FY 2019 & 2020 | | | | | | | | | 22 |
| Guadalupe River Bridges Replacement and Extension Project (Preliminary Design/Environmental Clearance) | | | | | | | | | 24 |
| Marin and Napoleon Bridge Replacement Project | | | | | | | | | 26 |
| Mary Avenue Traffic Signal Project | | | | | | | | | 28 |
| MP-36 Locomotive Mid-Life Overhaul Project | | | | | | | | | 30 |
| Next Generation Visual Message Signs (VMS) & Pads | | | | | | | | | 32 |
| Railroad Communications System Project - FY2017 | | | | | | | | | 34 |
| Railroad Communications System Project - FY2018 | | | | | | | | | 36 |
| Railroad Communications System Project - FY2019 | | | | | | | | | 38 |
| Rengstorff Avenue Grade Separation | | | | | | | | | 40 |
| Right Of Way Fencing Project | | | | | | | | | 42 |
| South San Francisco Station Improvement Project | | | | | | | | | 44 |
| Station Enhancement and Renovation Project | | | | | | | | | 46 |
| Systemwide Signal System Rehabilitation Project - FY2019 | | | | | | | | | 48 |
| Systemwide Track Rehabilitation Project - FY2019 | | | | | | | | | 50 |
| Ticket Vending Machine Rehab Program Project | | | | | | | | | 52 |
| Wayside Bike Parking Improvement Project | | | | | | | | | 54 |

= 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, located south of 28th Avenue.

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.

Issues: None.

SCHEDULE:



| Activity ID | Activity Name | Start | Finish | 14 | 2015 | 2016 | 2017 | 2018 | 2019 | 2020 | 2021 |
|---------------------------------------|---------------|-------------|-------------|-----|------|------|------|------|------|------|------|
| | | | | Q 1 | Q 2 | Q 3 | Q 4 | Q 1 | Q 2 | Q 3 | Q 4 |
| 002088 - 25th Avenue Grade Separation | | 16-Jul-14 A | 30-Sep-21 | | | | | | | | |
| • Preliminary Engineering | | 16-Jul-14 A | 31-Oct-15 A | | | | | | | | |
| • Environmental Clearance | | 25-Sep-14 A | 28-Oct-16 A | | | | | | | | |
| • Final Design | | 02-Nov-15 A | 09-Dec-16 A | | | | | | | | |
| • Bid & Award | | 15-Nov-16 A | 09-Aug-17 A | | | | | | | | |
| • Construction | | 10-Aug-17 A | 30-Jun-21 | | | | | | | | |
| • Project Close Out | | 01-Jul-21 | 30-Sep-21 | | | | | | | | |

Progress:

Jul - Sep 2020

- (1) Completed construction of ramps and stairs.
- (2) MT1 completed and operational
- (3) Worked on 31st Ave soldier pile walls on west side of tracks
- (4) Coordinating with Clean Water CSM team for 30" sewer line work within JPB ROW
- (5) Continued lowering of 28th east side - Roadway/Structure Excavation
- (6) Continued working on removal of old tracks and ballast at MT-1 and MT-2
- (7) Continued excavation for parking lot.
- (8) Coordination with City for 25th Ave. stage construction work.
- (9) Ongoing work at Station House for amenities, platform fixtures.
- (10) Ongoing work at Borel Creek.

Future

Activities:

Oct - Dec 2020


- (1) Work to be completed on RWs 6B and 7B at 28th Ave.
- (2) Complete roadway excavation on 31st Ave.
- (3) Coordination with PG&E and Utilities for work related to new signals, PTC house, Intermediate Signals and Station House.
- (4) Discussion/NTP for potential sewer line work at 31st Ave.
- (5) Subgrade preparation for parking lots.

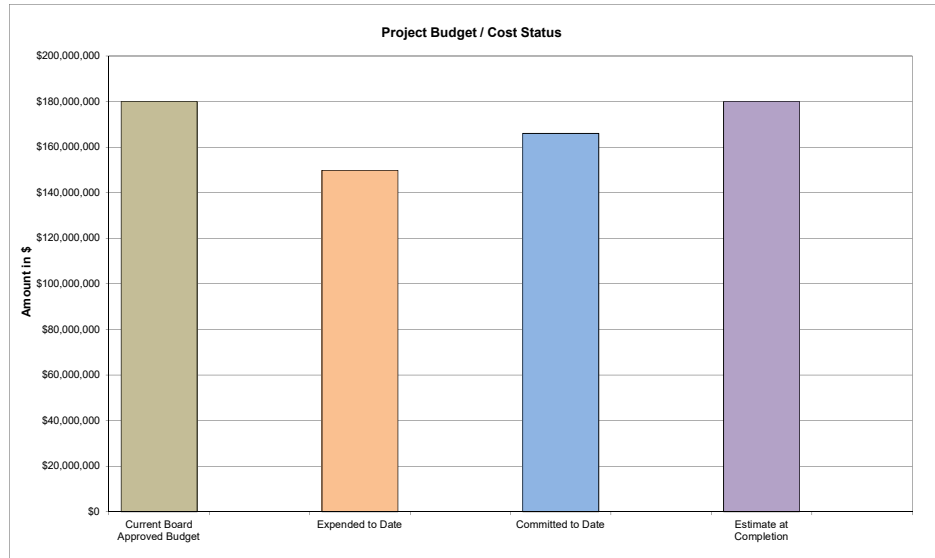
Issues:

- (1) Project Budgets need to be reviewed.
- (2) Approximately \$2M needs to be reimbursed from PCEP for OCS work performed on the project.
- (3) Calwater Agreement for work on 28th and 25th Ave - needs to be executed (can cause potential schedule impacts to project).
- (4) Coordination with PG&E for power to new station house.
- (5) Coordination with City of San Mateo for 25th Ave Stage Construction Work.

25th AVENUE GRADE SEPARATION PROJECT

BUDGET:

| | (a) | (b) | (c) | (d) | (e) = (a - d) | |
|---|-------------------------------|------------------|-------------------|------------------------|------------------------|-----|
| | Current Board Approved Budget | Expended to Date | Committed to Date | Estimate at Completion | Variance at Completion | |
|  | Total Project | \$180,000,000 | \$149,818,836 | \$166,041,040 | \$180,000,000 | \$0 |



Issues: None.

SAFETY: (1) One incident occurred – employee was dizzy, stood up and fell back hurting his head.



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-Sep-21 | | | | | | | | | | |
| | Bid & Award | 01-Dec-19 A | 31-Dec-20 | | | | | | | | | | |
| | Construction | 31-Dec-19 A | 30-Jun-21 | | | | | | | | | | |
| | Project Close Out | 01-Jul-21 | 30-Sep-21 | | | | | | | | | | |

Progress:

- Jul - Sep 2020
- (1) Worked on the agreement and finalized the contract with designer.
 - (2) Subcontractor reviewed the work.
 - (3) Received approval from management to proceed with the contract with Centum Adetel for the procurement of the APC system.
 - (4) Contracts & Procurement sent Centum Adetel the agreement for their review.

Future

Activities:

- Oct - Dec 2020
- (1) Award the Contract to Centum Adetel .
 - (2) Submit TASI WDPR, ICE and Scope to Contract & Procurement.

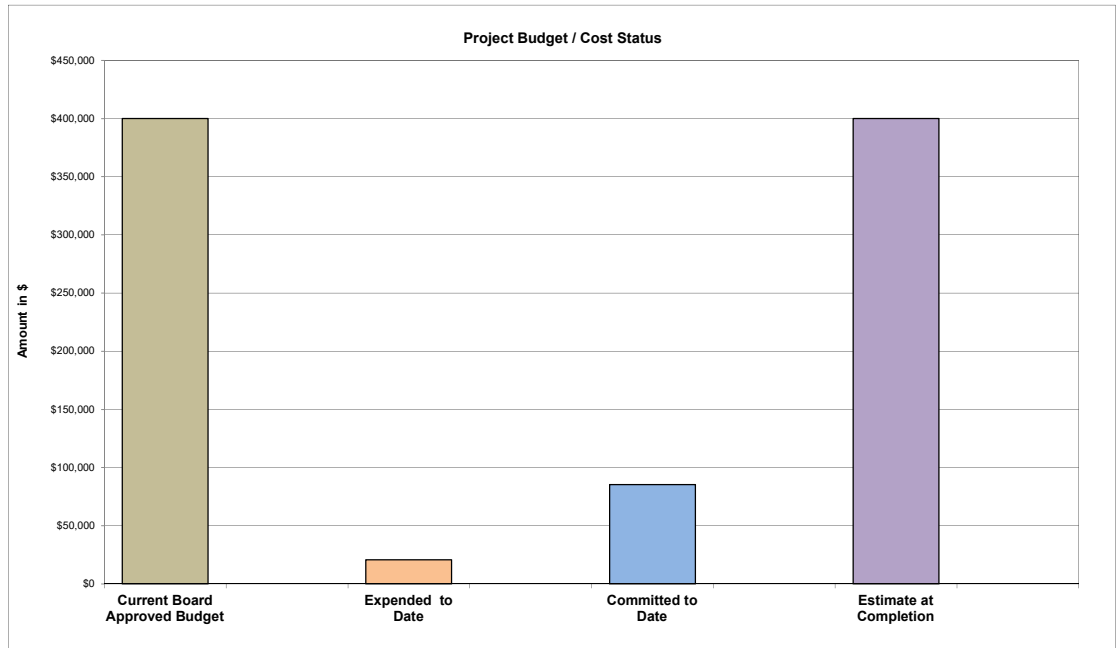
Issues: None.

Automatic Passenger Counters at 4th & King

BUDGET:



| | (a) | (b) | (c) | (d) | (e) = (a - d) |
|----------------------|-------------------------------|------------------|-------------------|------------------------|------------------------|
| | Current Board Approved Budget | Expended to Date | Committed to Date | Estimate at Completion | Variance at Completion |
| Total Project | \$400,000 | \$20,798 | \$85,302 | \$400,000 | \$0 |



Issues: None.

SAFETY:



No incidents reported this quarter.

BAYSHORE STATION OVERPASS PEDESTRIAN BRIDGE REHAB PROJECT



SCOPE:

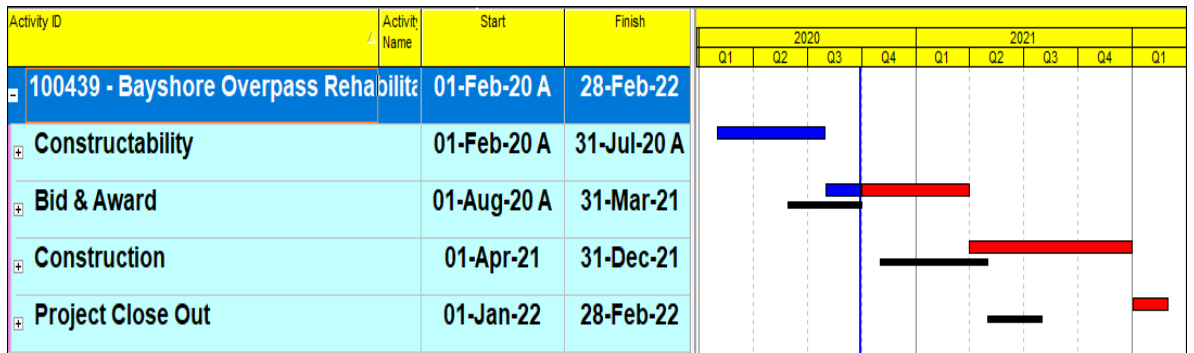
The Project scope consists of the removal and replacement of existing paint coatings on the steel surfaces of the pedestrian bridge and stairs at the Caltrain Bayshore Station in San Francisco.



Issues:

(1) Funding may not be enough - considering the latest revised construction estimate and previous bids of 2015.

SCHEDULE:



Progress:

Jul - Sep 2020

- (1) Constructability review team on board.
- (2) Working with design consultant to edit the scope of work, cost estimate and construction schedule.
- (3) Had meeting with City of Brisbane and SFCTA regarding this upcoming project and schedule.
- (4) Working with Operations team for revising specifications related to work hours, track access, on track safety envelope requirements as per new guidelines.

Future

Activities:

Oct - Dec 2020

- (1) Finish specifications changes and constructability review.
- (2) Work with C&P team for IFB and Advertisement of Contract.

Issues:

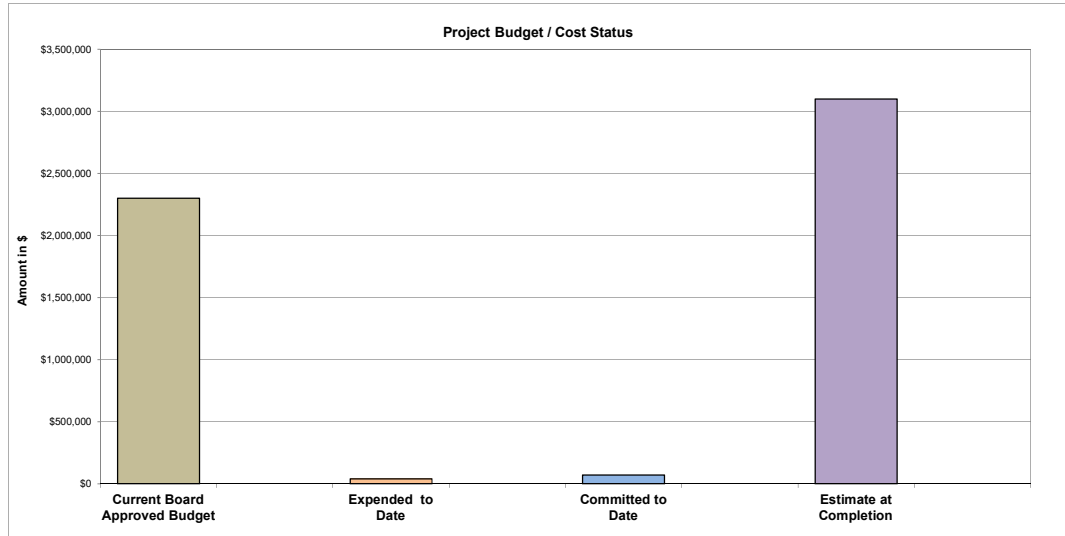
Project schedule slipped by two months as per Project Manager's latest analysis.

BAYSHORE STATION OVERPASS PEDESTRIAN BRIDGE REHAB PROJECT

BUDGET:



| | (a) | (b) | (c) | (d) | (e) = (a - d) |
|----------------------|-------------------------------|------------------|-------------------|------------------------|------------------------|
| | Current Board Approved Budget | Expended to Date | Committed to Date | Estimate at Completion | Variance at Completion |
| Total Project | \$2,300,000 | \$40,363 | \$70,530 | \$3,100,000 | (\$800,000) |



Issues: None.

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 | | | |
| | | | | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 |
| 100403 | Broadband Communication | 11-Nov-19 A | 30-Jun-21 | [Gantt chart showing activity bars across quarters] | | | | | | | |
| | Bid & Award | 11-Nov-19 A | 31-Oct-20 | [Gantt chart bar] | | | | | | | |
| | Construction | 01-Nov-20 | 31-Mar-21 | [Gantt chart bar] | | | | | | | |
| | Project Close Out | 01-Apr-21 | 30-Jun-21 | [Gantt chart bar] | | | | | | | |

Progress:

Jul - Sep 2020

- (1) Resumed the design by providing the consultant the results of the project objectives and alternative analysis.
- (2) Started to set up the RF simulation for the RF study.
- (3) Surveyed the EMU in Salt Lake City.
- (4) Presented the RF study and cost estimate to the stakeholders.
- (5) Submitted the report for the EMU site visit in Salt Lake City that included a conceptual design for the onboard equipment.
- (6) Worked on the amendment to the design work directive to go from conceptual to final design.

Future

Activities:

Oct - Dec 2020

- (1) Amend the work directive to go from conceptual design to final design.
- (2) Coordinate the EMU onboard work for the Broadband project with Stadler.
- (3) Start the discussion with Capital Corridor to use their Master WiFi Agreement for the onboard train installation.

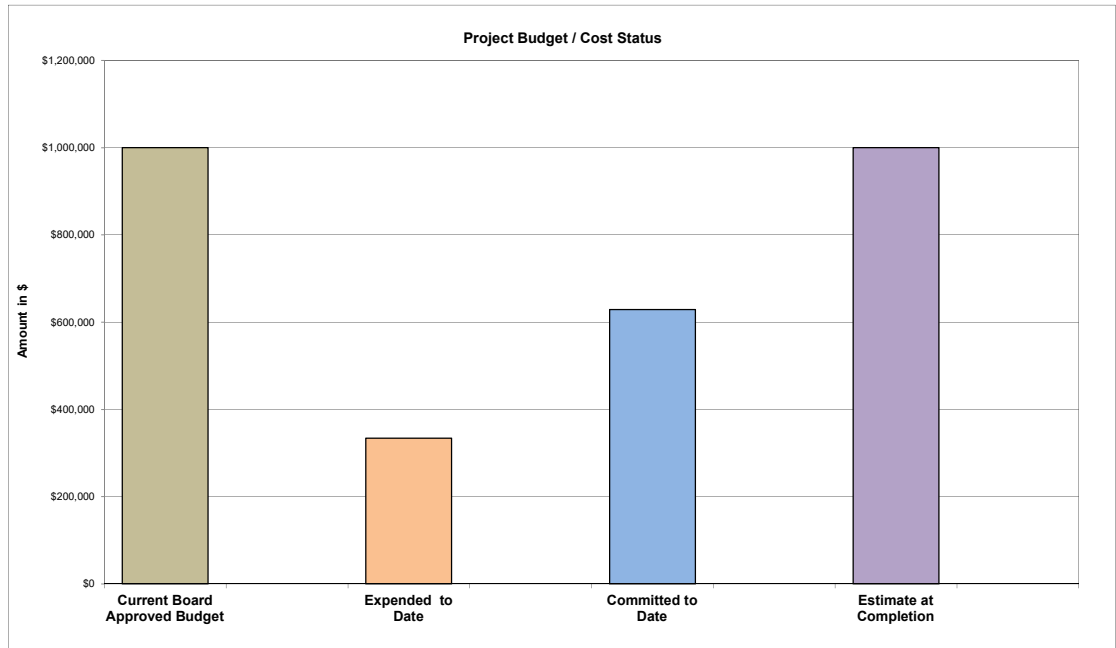
Issues: None.

Broadband Communication

BUDGET:



| | (a) | (b) | (c) | (d) | (e) = (a - d) |
|----------------------|-------------------------------|------------------|-------------------|------------------------|------------------------|
| | Current Board Approved Budget | Expended to Date | Committed to Date | Estimate at Completion | Variance at Completion |
| Total Project | \$1,000,000 | \$334,248 | \$628,844 | \$1,000,000 | \$0 |



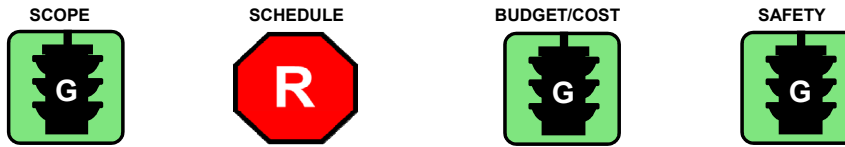
Issues: None.

SAFETY:



No incidents reported this quarter.

**BURLINGAME BROADWAY GRADE SEPARATION PROJECT
(Preliminary Design/Environmental Clearance)**



SCOPE:

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

The current scope for this project specifically is to complete the 35% preliminary design and obtain CEQA and NEPA environmental clearance needed to grade separate the Broadway at-grade crossing as described above.

Issues: None.

SCHEDULE:

| Activity ID | Activity Name | Start | Finish | Timeline | | | | | | | | | | | | | | | |
|------------------------------------|-----------------------------|-------------|-------------|----------|----|----|----|------|----|----|----|------|----|----|----|------|----|----|----|
| | | | | 2017 | | | | 2018 | | | | 2019 | | | | 2020 | | | |
| | | | | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 |
| 100244 - Burlingame Broadway Grade | | 18-Dec-17 A | 15-Oct-20 | | | | | | | | | | | | | | | | |
| + | Preliminary Engineering 35% | 18-Dec-17 A | 30-Oct-19 A | | | | | | | | | | | | | | | | |
| + | Environmental Clearance | 01-Dec-19 A | 15-Oct-20 | | | | | | | | | | | | | | | | |

Progress:

Jul - Sep 2020

- (1) Continued meeting with stakeholders.
- (2) Negotiations completed with highest-ranking consultant team and in coordination with C&P.
- (3) Working with Environmental Team for FTA NEPA clearance process.
- (4) Working on the process to go for November 2020 board meeting for Final Design phase.

Future

Activities:

Oct - Dec 2020

- (1) Continue meeting with stakeholders.
- (2) Finalize the negotiation for "final design phase", work with C&P for staff report and resolution.
- (3) Complete Environmental Clearance.
- (4) Work with SMCTA for finalizing the MOU of final design phase - MOU execution contingent on environmental clearance.
- (5) Target to go for November 2020 board meeting for Final Design phase.

Issues:

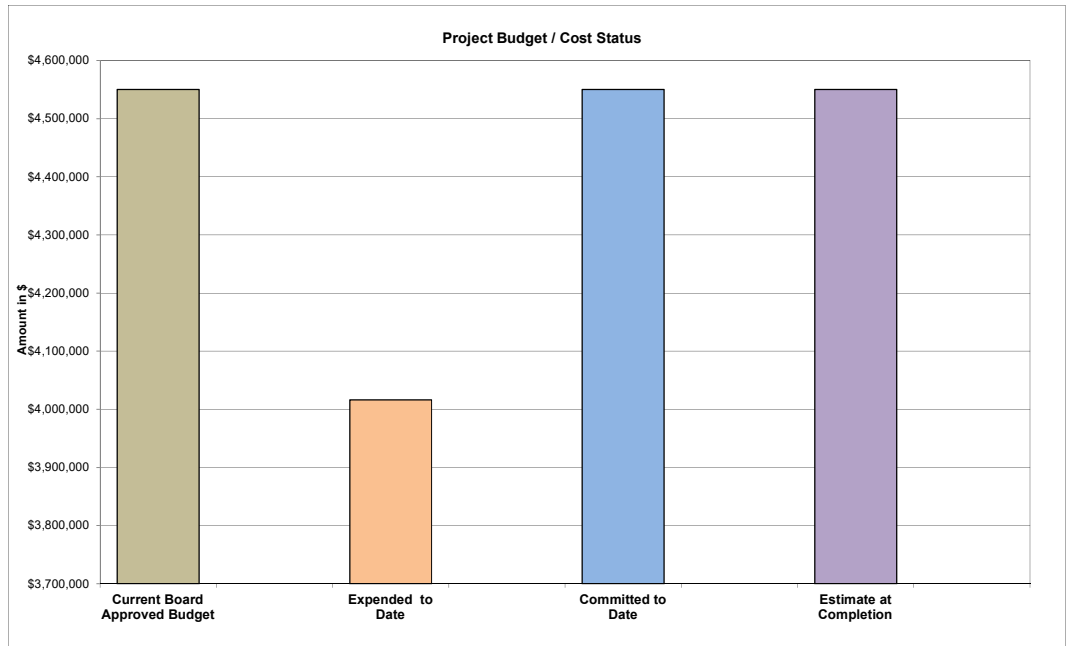
Schedule delay is due to the coordination of an additional environmental clearance community outreach meeting with the City of Burlingame. It is anticipated that Final Design will be added to the scope of this project and is contingent on the Board approving the additional funding.

**BURLINGAME BROADWAY GRADE SEPARATION PROJECT
(Preliminary Design/Environmental Clearance)**

BUDGET:



| | (a) | (b) | (c) | (d) | (e) = (a - d) |
|----------------------|-------------------------------|--------------------|--------------------|------------------------|------------------------|
| | Current Board Approved Budget | Expended to Date | Committed to Date | Estimate at Completion | Variance at Completion |
| Total Project | \$4,550,000 | \$4,016,154 | \$4,550,000 | \$4,550,000 | \$0 |



Issues: None.

SAFETY: No incidents reported this quarter.



CCF AND BCCF VIRTUALIZATION PROJECT



SCOPE:



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

Issues: None.

SCHEDULE:



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

Progress:

Jul - Sep 2020

- (1) Met with CDWG (consultant firm) to review Phase 1 Scope of Work(SOW) and Caltrain's team reviewed and provided comments on the Phase 1 SOW.
- (2) Discovery phase has started.
- (3) Reviewed the tools for this phase.
- (4) Reviewed and provided detailed documentation to CDWG for the Arinc and Wabtec environment.
- (5) SOW is finalized.
- (6) Greenlight to begin the work.

Future

Activities:

Oct - Dec 2020

- (1) Install the Discovery tools in both Data Centers.
- (2) Begin to poll the devices (Physical and Virtual).
- (3) Conduct working session to build a road map for successful virtualization and re-architecting the network to support that effort.

Issues:

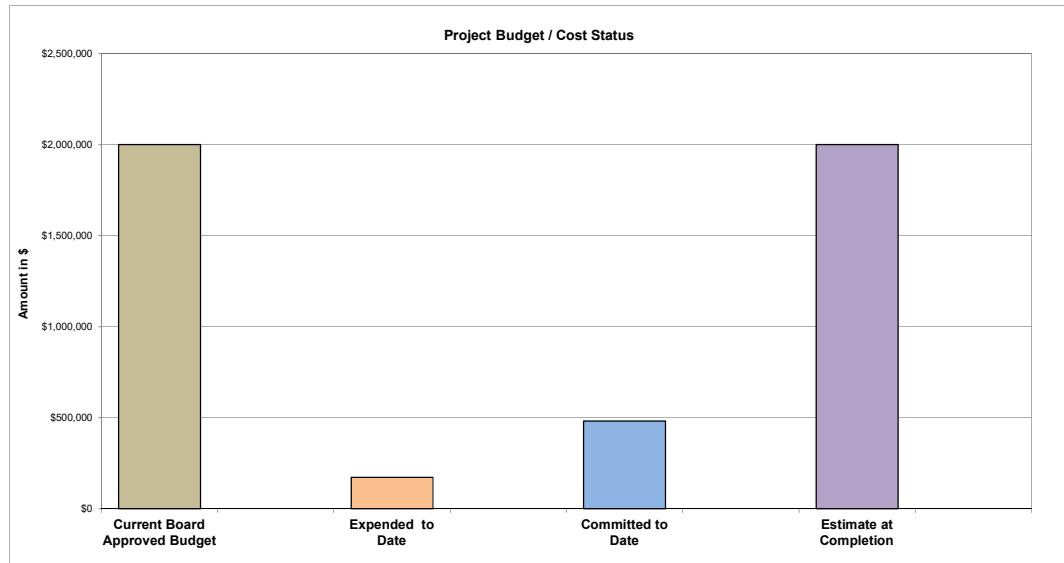
Project Schedule might be delayed due to the COVID-19.

CCF AND BCCF VIRTUALIZATION PROJECT

BUDGET:



| | (a) | (b) | (c) | (d) | (e) = (a - d) |
|----------------------|-------------------------------|------------------|-------------------|------------------------|------------------------|
| | Current Board Approved Budget | Expended to Date | Committed to Date | Estimate at Completion | Variance at Completion |
| Total Project | \$2,000,000 | \$173,205 | \$482,279 | \$2,000,000 | \$0 |



Issues: None.

SAFETY: No incidents reported this quarter.



CHURCHILL AVENUE GRADE CROSSING



SCOPE:



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

Issues: None.

SCHEDULE:



| Activity ID | Activity Name | Start | Finish | Timeline | | | | | | | | | | | | | |
|---------------------------------------|---------------|-------------|-----------|----------|----|----|------|----|----|----|------|----|----|----|------|----|----|
| | | | | 2019 | | | 2020 | | | | 2021 | | | | 2022 | | |
| | | | | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 |
| 100426 - Churchill Avenue Grade Cross | | 01-Sep-19 A | 30-Jul-22 | | | | | | | | | | | | | | |
| ▣ Preliminary Engineering | | 01-Sep-19 A | 30-Nov-20 | | | | | | | | | | | | | | |
| ▣ Procurement | | 01-Dec-20 | 31-May-21 | | | | | | | | | | | | | | |
| ▣ Construction | | 01-Jun-21 | 01-Mar-22 | | | | | | | | | | | | | | |
| ▣ Project Close Out | | 02-Mar-22 | 30-Jul-22 | | | | | | | | | | | | | | |

Progress:

Jul - Sep 2020 (1) The City of Palo Alto hired a design consultant for their portion of the grade crossing improvements.

Future

Activities:

Oct - Dec 2020 (1) Conduct the kick off meeting with the city of Palo Alto to establish the scope of work and coordinate the designs.

Issues:

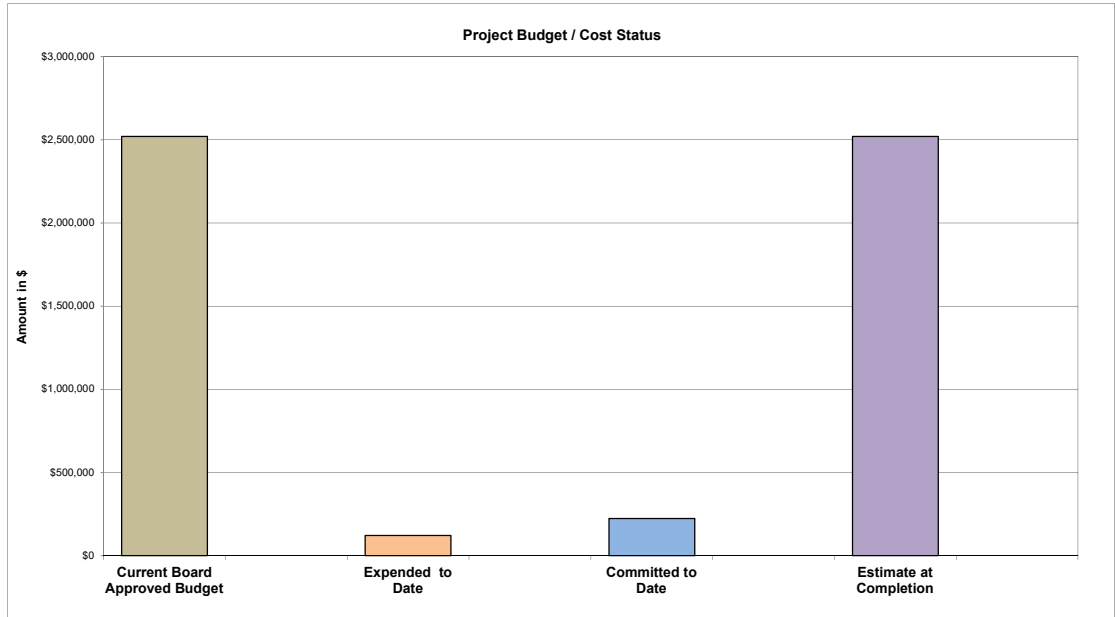
- (1) The City of Palo Alto is behind schedule for hiring a design consultant and starting their design which our design needs to be coordinated with. Project schedule will be updated next quarter.
- (2) We are waiting to hold a kick off meeting with our designer to coordinate the designs. Our 35% design is on hold until then.

CHURCHILL AVENUE GRADE CROSSING

BUDGET:



| | (a) | (b) | (c) | (d) | (e) = (a - d) |
|----------------------|-------------------------------|------------------|-------------------|------------------------|------------------------|
| | Current Board Approved Budget | Expended to Date | Committed to Date | Estimate at Completion | Variance at Completion |
| Total Project | \$2,520,000 | \$121,227 | \$222,860 | \$2,520,000 | \$0 |



Issues: None.

SAFETY: No incidents reported this quarter.



ENERGY EFFICIENT LIGHTING AT CALTRAIN STATIONS



SCOPE: The project will retrofit lights located on platforms, passenger shelters, pedestrian underpasses, parking lots and other buildings at 20 Caltrain stations. The efficient light-emitting diode (LED) lights are expected to reduce electricity costs and will reduce maintenance costs due to longer expected product lifetimes.

Issues: None.

SCHEDULE:



| Activity ID | Activity Name | Start | Finish | 2019 | | | | 2020 | | | |
|-------------|--|-------------|-------------|------|----|----|----|------|----|----|----|
| | | | | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 |
| 100443 | Energy Efficient Lighting at Caltrain Stations | 01-Jan-19 A | 01-Dec-20 | | | | | | | | |
| | Bid & Award | 01-Jan-19 A | 13-Jun-19 A | | | | | | | | |
| | Construction | 14-Jun-19 A | 31-Dec-19 A | | | | | | | | |
| | Project Close Out | 01-Jan-20 A | 01-Dec-20 | | | | | | | | |

Progress:

Jul - Sep 2020 (1) Project has been completed.

Future

Activities:

Oct - Dec 2020 **Note: This will be the last report for the project.**

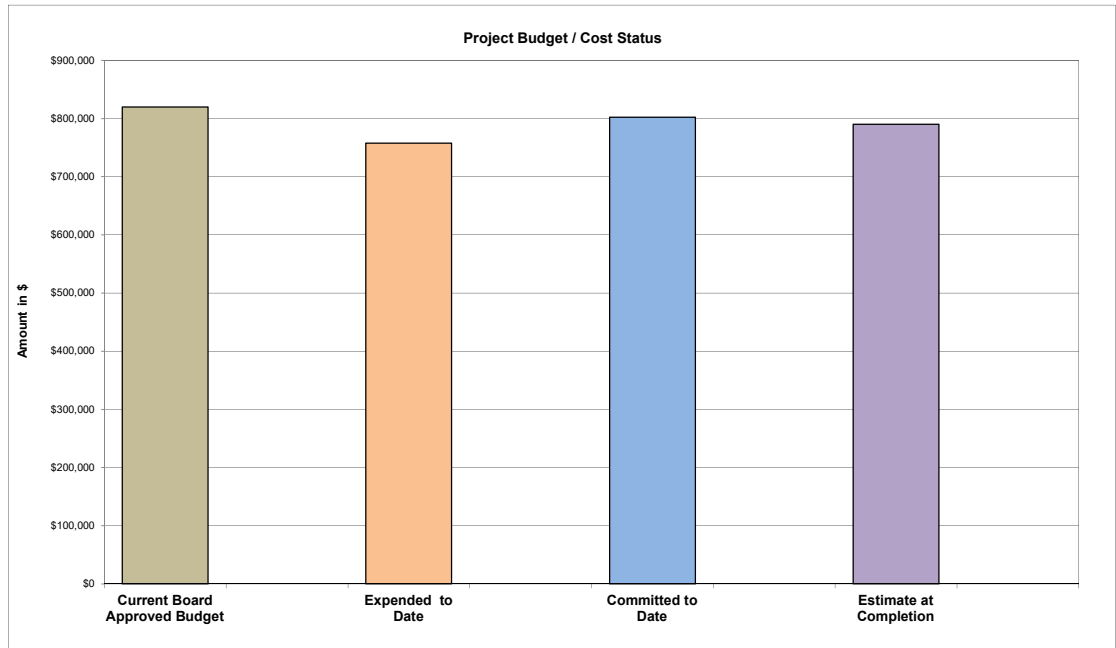
Issues: None.

ENERGY EFFICIENT LIGHTING AT CALTRAIN STATIONS

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 | \$820,000 | \$757,596 | \$802,500 | \$790,000 | \$30,000 |



Issues: None.

SAFETY:



No incidents reported this quarter.

F-40 LOCOMOTIVE MID-LIFE OVERHAUL PROJECT



SCOPE:



This project will perform mid-life overhaul of three F40PH2C 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 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 work shall be completed off-site at contractor's (Motive Power) facility location at Boise, Idaho. 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 three locomotives are:

1. Locomotive # 920
2. Locomotive # 921
3. Locomotive # 922

Issues: None.

SCHEDULE:



| Activity ID | Activity Name | Start | Finish | 2017 | | 2018 | | 2019 | | 2020 | |
|-------------|-----------------------------------|-------------|-------------|------|----|------|----|------|----|------|----|
| | | | | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 |
| 100005 | F-40 Locomotive Mid-Life Overhaul | 31-Mar-17 A | 31-Aug-20 A | | | | | | | | |
| | Technical Specs | 31-Mar-17 A | 31-Mar-17 A | | | | | | | | |
| | Bid & Award | 01-Apr-17 A | 02-Oct-17 A | | | | | | | | |
| | Construction | 03-Oct-17 A | 30-Jun-20 A | | | | | | | | |
| | Project Close Out | 01-Jul-20 A | 31-Aug-20 A | | | | | | | | |

Progress:

Jul - Sep 2020 (1) The project has been completed.

Future

Activities:

Oct - Dec 2020 **Note: This will be the last report for the project.**

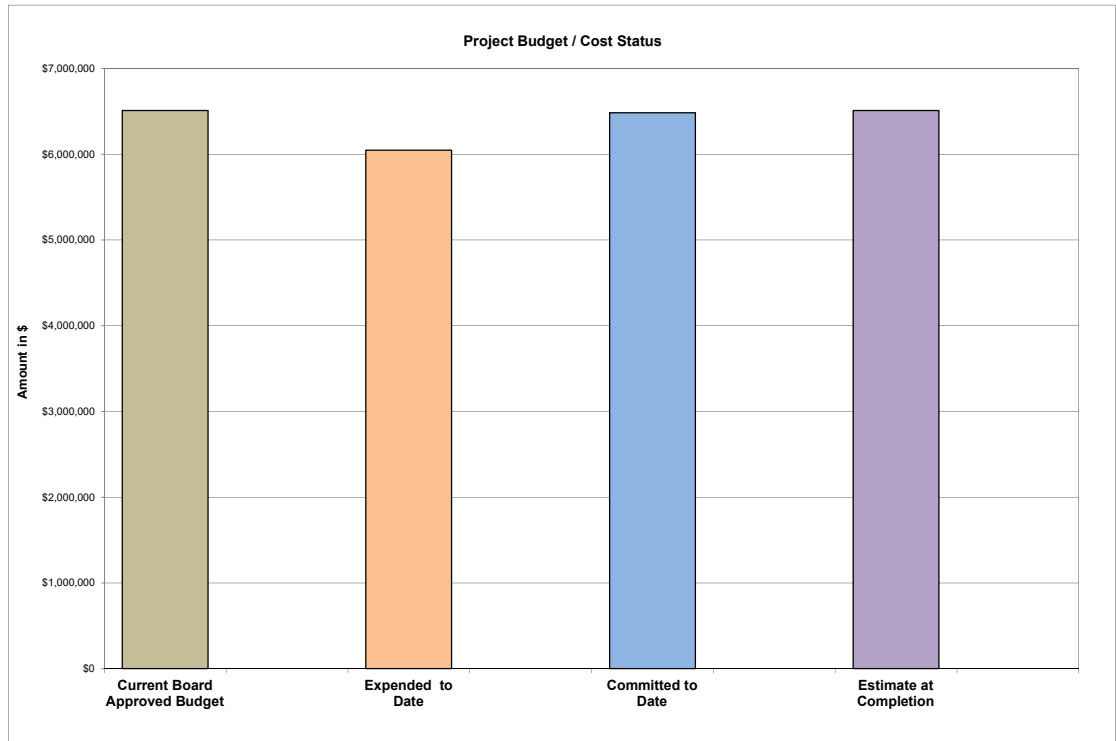
Issues: None.

F-40 LOCOMOTIVE MID-LIFE OVERHAUL PROJECT

BUDGET:



| | (a) | (b) | (c) | (d) | (e) = (a - d) |
|----------------------|-------------------------------|--------------------|--------------------|------------------------|------------------------|
| | Current Board Approved Budget | Expended to Date | Committed to Date | Estimate at Completion | Variance at Completion |
| Total Project | \$6,510,000 | \$6,045,820 | \$6,482,418 | \$6,510,000 | \$0 |



Issues: None.

SAFETY:



No incidents reported this quarter.

FY19 & 20 GRADE CROSSING IMPROVEMENTS PROJECT



SCOPE:



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

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

San Mateo

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

Menlo Park

- > Glenwood
- > Oak Grove in Menlo Park.

Issues: None.

SCHEDULE:



| Activity ID | Activity Name | Start | Finish | 2019 2020 2021 | | | | | | | | | | | | | | | | | | | |
|---------------------------------------|---------------|-------------|-------------|----------------|----|----|----|----|----|----|----|----|----|----|----|--|--|--|--|--|--|--|--|
| | | | | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | | | | | | | | |
| 100333 - FY19 & 20 Grade Crossing Imp | | 01-Apr-19 A | 30-Nov-21 | | | | | | | | | | | | | | | | | | | | |
| + Final Design | | 01-Apr-19 A | 30-Jun-20 A | | | | | | | | | | | | | | | | | | | | |
| + Bid & Award | | 01-Jul-20 | 31-Dec-20 | | | | | | | | | | | | | | | | | | | | |
| + Construction | | 01-Jan-21 | 31-Jul-21 | | | | | | | | | | | | | | | | | | | | |
| + Project Close Out | | 01-Aug-21 | 30-Nov-21 | | | | | | | | | | | | | | | | | | | | |

Progress:

Jul - Sep 2020

- (1) Worked with Contracts & Procurement on the development of the IFB for advertisement.
- (2) Contracts & Procurement advertised the IFB.
- (3) Conducted the Pre-bid conference where two bidders attended. No questions were submitted for the IFB from the bidders.

Future

Activities:

Oct - Dec 2020

- (1) Receive bids.
- (2) Complete Bid & Award phase.

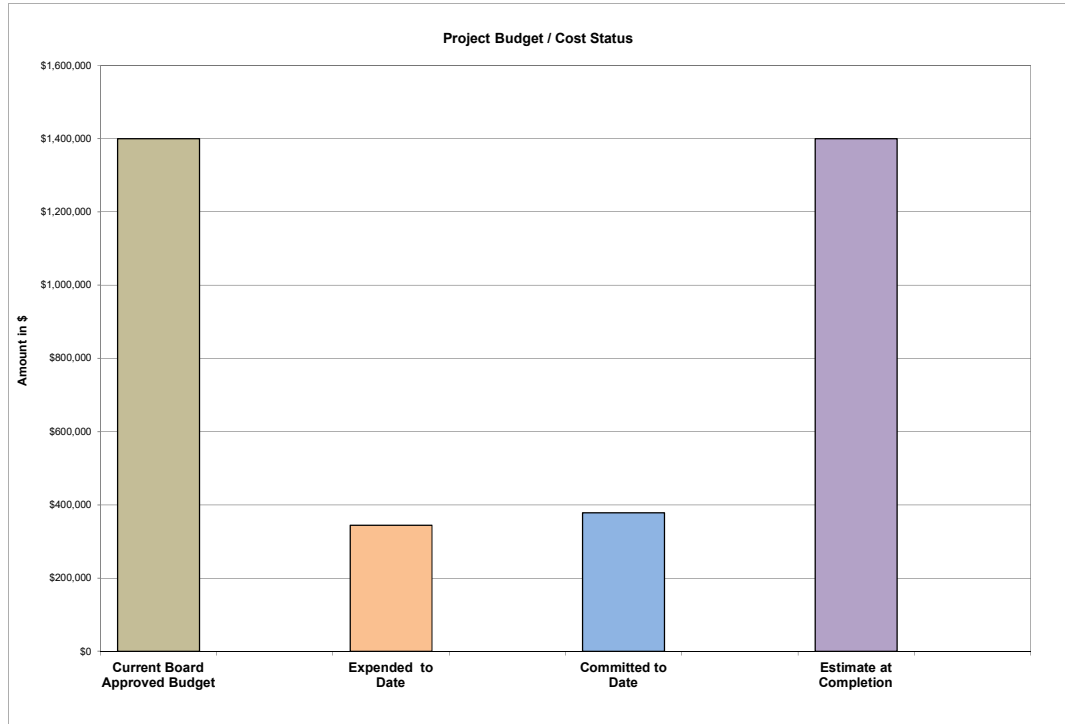
Issues: None.

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 |
| Total Project | \$1,400,000 | \$344,461 | \$378,585 | \$1,400,000 | \$0 |



Issues: None.

SAFETY: No incidents reported this quarter.



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



SCOPE:

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

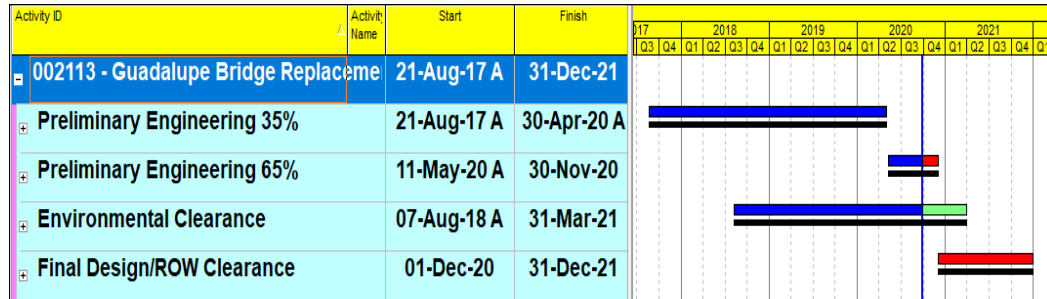
To stabilize the river channel and the structural conditions of the trestle, the project proposes to widen the channel to reduce scour and risk to bridge structures, replace MT1 with new longer bridge and extend MT2 at the south end.

The project is currently in preliminary design (65%) and in preparation of environmental studies for CEAQ and NEPA clearance.

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

Issues: None.

SCHEDULE:



Progress:

Jul - Sep 2020

- Presented results of the hydraulics analysis and project status update to RWQCB and obtained RWQCB's concurrence on the project approach.
- Completed alternative fiber optic relocation concept per UPRR's request.
- Began review of title reports, and resolve boundaries for Temporary Construction Easements needed from Santa Clara Valley Water District.
- Finalized risk registry
- Reviewed OCS staging needs with PCEP. Discussed with internal stakeholders on the OCS staging plans, and the associated System and Rail operations requirements.
- Completed technical studies for environmental review, including construction staging and sequencing, utility impact, right-of-way impact, stormwater treatment and dewatering strategies.
- Began CEQA outreach planning.
- Continued to advance project to 65% design.
- Continued to coordinate with project stakeholders including SCVWD, UPRR, Utility Owners and FTA on project needs.
- Continued to coordinate with PCEP project for potential conflicts and project needs.
- Continued the preparation of Initial Study/Mitigated Negative Declaration (IS/MND).

Future

Activities:

Oct - Dec 2020

- Select fiber optics relocation option with Union Pacific.
- Begin preparation of wetland report, and Section 7 Consultation.
- Finalize stage construction plans and schedules for one vs. two years of construction.
- Select one or two seasons in-channel construction seasons for permit applications.
- Obtain JPB approval on design variances.
- Continue to coordinate with project stakeholders.

Issues:

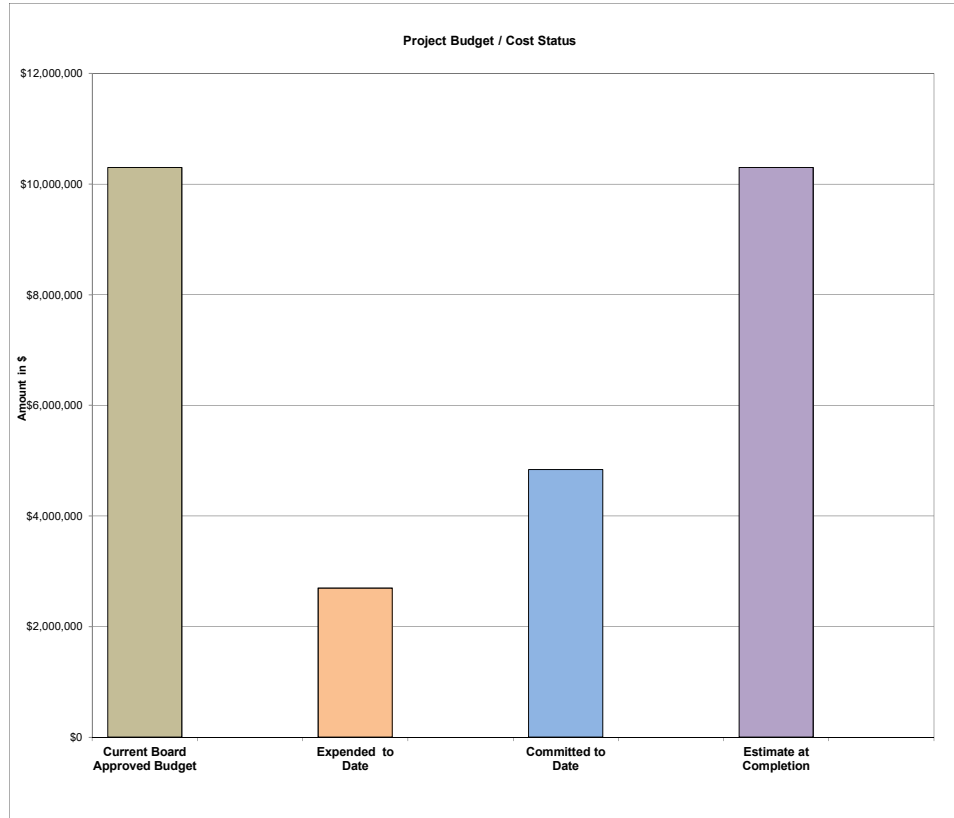
- Potential design contract amendment and extension is needed for work to be completed beyond the current design contract expiration date.
- Design and relocation of the conflicting OCS poles will add cost and time to the project schedule.

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

BUDGET:



| | (a) | (b) | (c) | (d) | (e) = (a - d) |
|----------------------|-------------------------------|--------------------|--------------------|------------------------|------------------------|
| | Current Board Approved Budget | Expended to Date | Committed to Date | Estimate at Completion | Variance at Completion |
| Total Project | \$10,300,000 | \$2,695,805 | \$4,838,684 | \$10,300,000 | \$0 |



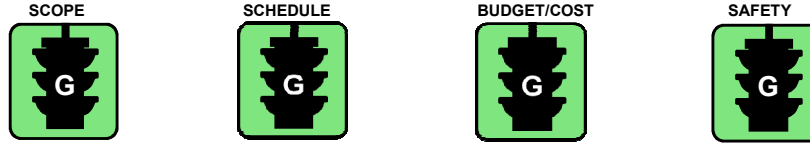
Issues: None.

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.

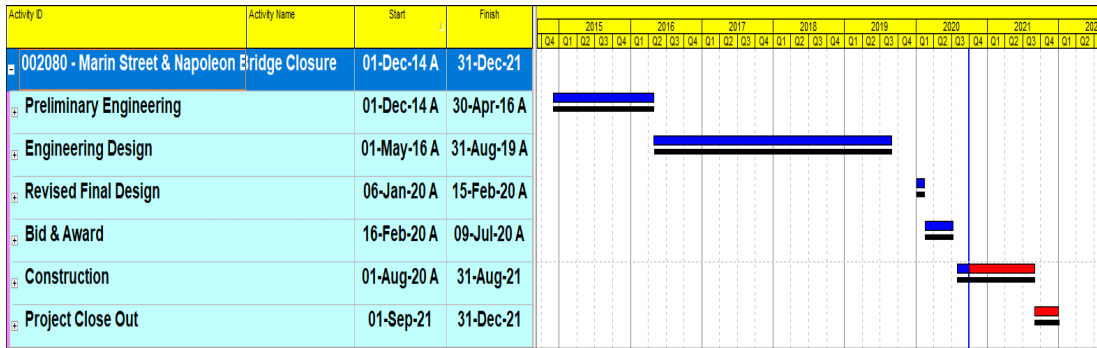
Project Scope is for:

- (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:



Progress:

Jul - Sep 2020

- (1) Obtained City of SF Major Encroachment Permit and SFPUC Consent letter for work at Napoleon Street.
- (2) Contract awarded to Proven Management at July 9, 2020 board meeting.
- (3) LNTP was issued on Aug 10, 2020 and Pre-Construction meeting was held on Aug 21, 2020.
- (4) Reviewing submittals/shop drawings and RF'Is from the contractor.
- (5) Ongoing coordination with DPW and PUC for permits.

Future

Activities:

Oct - Dec 2020

- (1) Coordinate with City and Department of Homeless for Evacuation and Clean up of sites.
- (2) Continue coordination with DPW and PUC for permits.
- (3) Continue construction activities.

Issues:

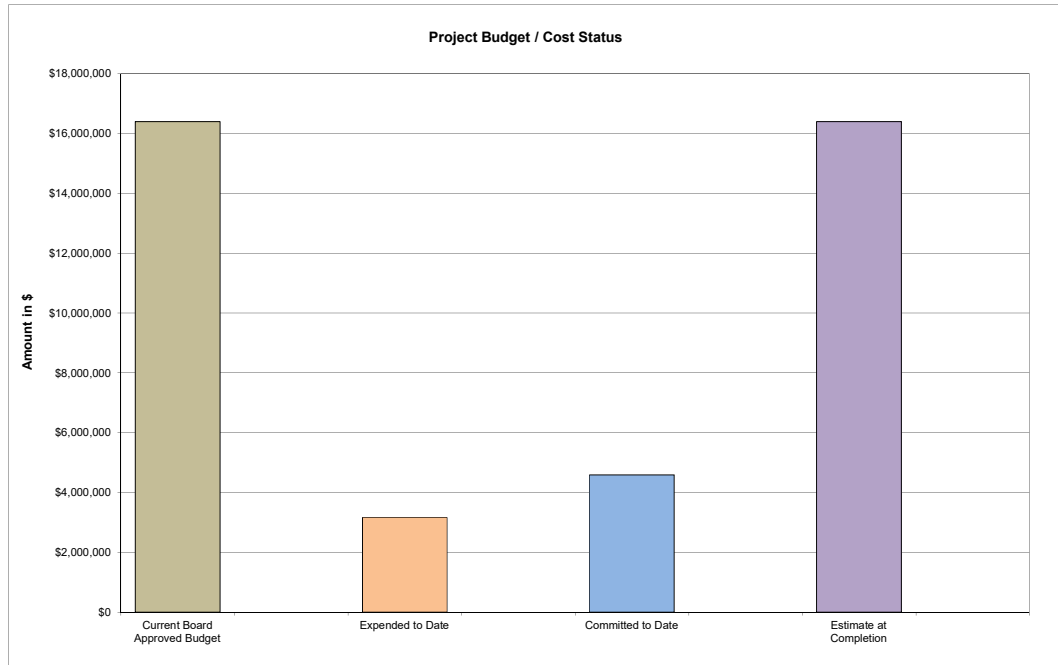
Received an approved baseline from the contractor. Project schedule was rebaselined this quarter.

MARIN AND NAPOLEON BRIDGE REPLACEMENT PROJECT

BUDGET:



| | (a) | (b) | (c) | (d) | (e) = (a - d) |
|----------------------|-------------------------------|--------------------|--------------------|------------------------|------------------------|
| | Current Board Approved Budget | Expended to Date | Committed to Date | Estimate at Completion | Variance at Completion |
| Total Project | \$16,400,000 | \$3,161,951 | \$4,586,373 | \$16,400,000 | \$0 |



Issues: None.

SAFETY:



No incidents reported this quarter.

MARY AVENUE TRAFFIC SIGNAL PREEMPTION PROJECT



SCOPE:

Caltrain will install an advance signal preemption system at the Mary Avenue grade crossing to provide additional time for the City's traffic signals at Mary Avenue and Evelyn Avenue to respond to allow Caltrain to pass through.



Issues:

None.

SCHEDULE:



| Activity D | Activity Name | Start | Finish | Timeline | | | | | | | | | | | | | | | |
|------------|----------------------------|-------------|-------------|---|----|----|----|------|----|----|----|------|----|----|----|------|----|----|----|
| | | | | 2018 | | | | 2019 | | | | 2020 | | | | 2021 | | | |
| | | | | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 |
| 100278 | Mary Avenue Traffic Signal | 01-Feb-18 A | 31-Oct-21 | [Gantt chart showing project duration from Feb 2018 to Oct 2021] | | | | | | | | | | | | | | | |
| | Final Design | 01-Feb-18 A | 06-May-20 A | [Gantt chart showing Final Design 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 | 30-Jun-21 | [Gantt chart showing Construction from Jul 2020 to Jun 2021] | | | | | | | | | | | | | | | |
| | Project Close Out | 01-Jul-21 | 31-Oct-21 | [Gantt chart showing Project Close Out from Jul 2021 to Oct 2021] | | | | | | | | | | | | | | | |

Note: The schedule has been rebaselined based on TASI's approved work plan.

Progress:

- Jul - Sep 2020
- (1) Issued the NTP to TASI for the construction.
 - (2) TASI placed the order for the materials.
 - (3) Material will not be ready until February 2021 due to a long lead time to receive certain components.
 - (4) TASI worked on the work plan for the installation.
 - (5) Received TASI's work plan for the underground work.
 - (6) TASI started the underground work for the track wires.

Future

Activities:

- Oct - Dec 2020
- (1) Continue to do the underground work for the track wires.

Issues:

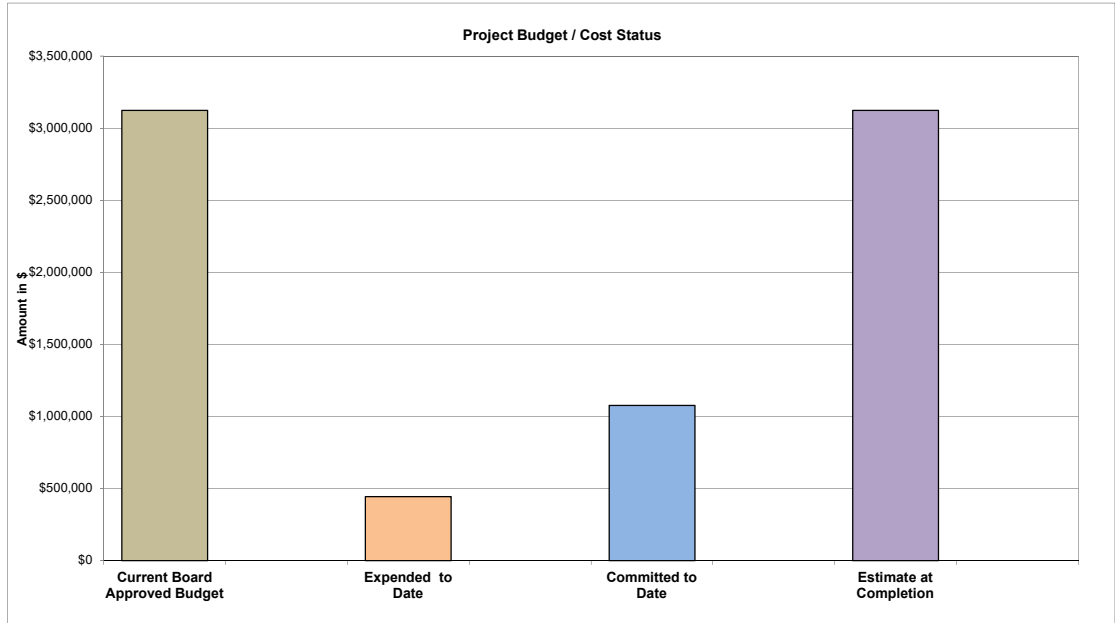
None.

MARY AVENUE TRAFFIC SIGNAL PREEMPTION PROJECT

BUDGET:



| | (a) | (b) | (c) | (d) | (e) = (a - d) |
|----------------------|-------------------------------|------------------|--------------------|------------------------|------------------------|
| | Current Board Approved Budget | Expended to Date | Committed to Date | Estimate at Completion | Variance at Completion |
| Total Project | \$3,125,000 | \$443,492 | \$1,077,476 | \$3,125,000 | \$0 |



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:

The scope of Project 100218 has been limited to the specifications only. The overhaul contract will be completed under Project 100233 which will be included in the next quarterly report.

SCHEDULE:



| Activity ID | Activity Name | Start | Finish | 2017 | 2018 | 2019 | 2020 | 2021 | 2022 | 2023 |
|---|---------------|-------------|-------------|------|------|------|------|------|------|------|
| 100218 - 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 | | | | | | | ■ |

- Note:**
1. Schedule has been rebaselined with the contractor schedule.
 2. The schedule includes Project 100233 scope.

Progress:

Jul - Sep 2020

- (1) Performed the in-bound test of locomotive #927.
- (2) Locomotive #927 has been completely disassembled and the main-engine has been sent out for re-build.
- (3) Locomotive #927 is completely disassembled and ready to start sandblasting the body panels.

Future

Activities:

Oct - Dec 2020

- (1) This is the last quarterly report for project 100218. The vendor's overhaul progress will be included next quarter in Project 100233.

Issues:

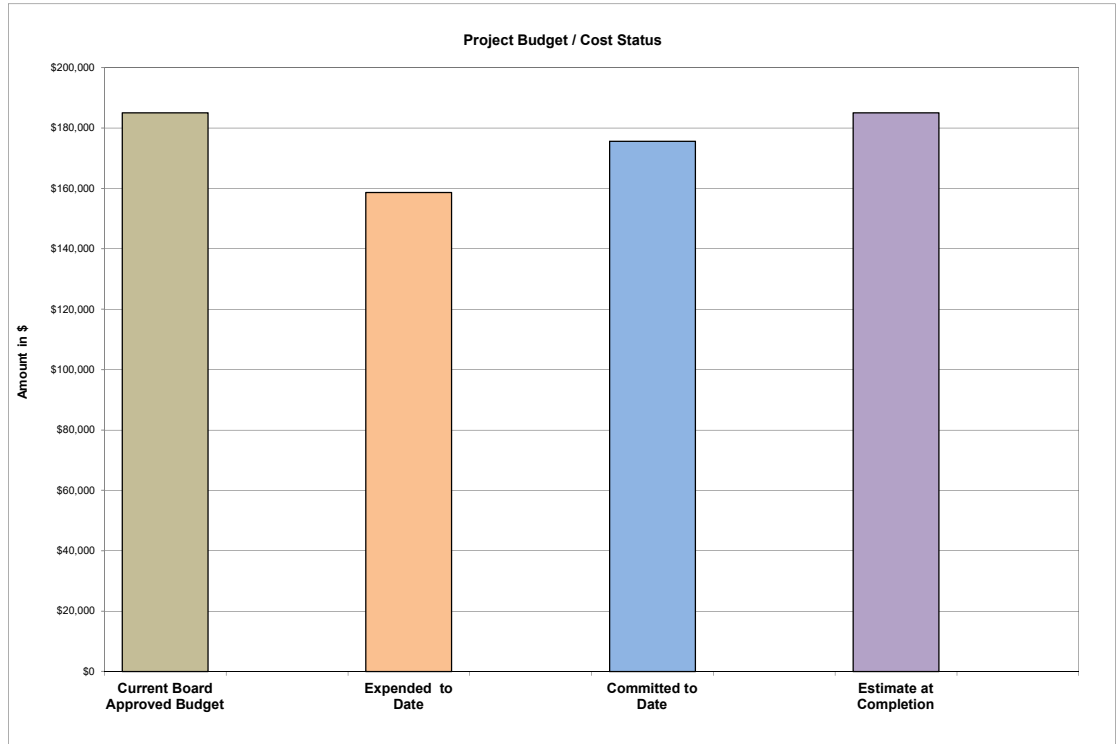
None.

MP-36 LOCOMOTIVE MID-LIFE OVERHAUL PROJECT

BUDGET:



| | (a) | (b) | (c) | (d) | (e) = (a - d) |
|----------------------|-------------------------------|------------------|-------------------|------------------------|------------------------|
| | Current Board Approved Budget | Expended to Date | Committed to Date | Estimate at Completion | Variance at Completion |
| Total Project | \$185,000 | \$158,689 | \$175,660 | \$185,000 | \$0 |



Issues: The Project budget and estimate at completion has been adjusted to reflect the project specification scope only.

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 |
| 100449 | Next Generation Visual Message Signs (VMS) | 01-May-20 A | 31-Jul-21 | | | | | | |
| | Design | 01-May-20 A | 30-Apr-21 | | | | | | |
| | Project Close Out | 01-May-21 | 31-Jul-21 | | | | | | |

Progress:

Jul - Sep 2020 (1) Updated requirements list for both a new passenger information system and a new visual message sign.

Future

Activities:

Oct - Dec 2020 (1) A vendor will showcase their passenger information system to us. Will decide if our team will sole source this or have this project be competitively bid.

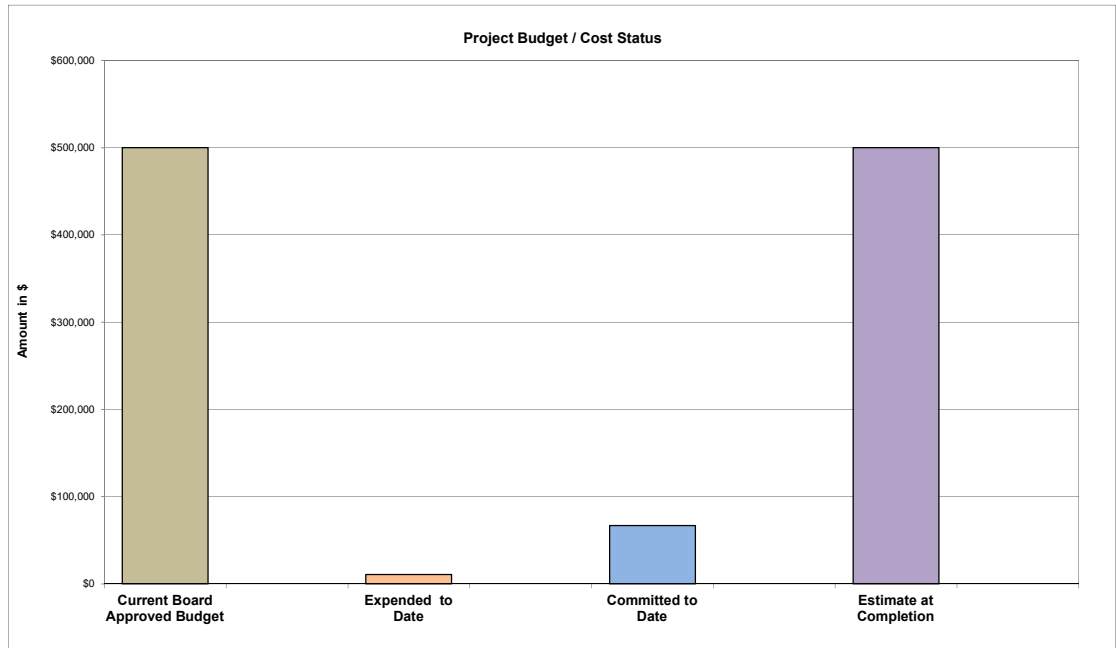
Issues: None.

Next Generation Visual Message Signs (VMS) & Pads

BUDGET:



| | (a) | (b) | (c) | (d) | (e) = (a - d) |
|----------------------|-------------------------------|------------------|-------------------|------------------------|------------------------|
| | Current Board Approved Budget | Expended to Date | Committed to Date | Estimate at Completion | Variance at Completion |
| Total Project | \$500,000 | \$10,779 | \$66,885 | \$500,000 | \$0 |



Issues: None.

SAFETY:



No incidents reported this quarter.

RAILROAD COMMUNICATION SYSTEM PROJECT - FY2017



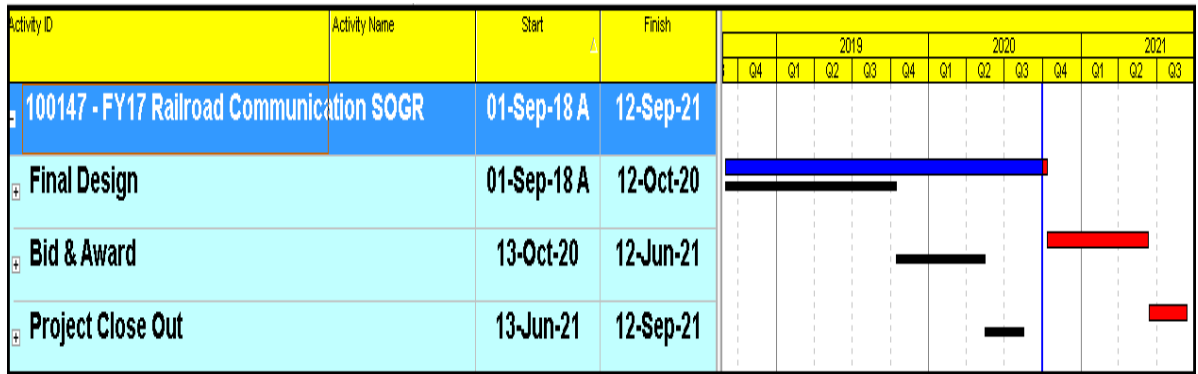
SCOPE: The State of Good Repair (SOGR) project consists the following tasks for maintenance of the Caltrain's Communication (COM) Systems.

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

Current scope is for design and bid and award phases only.

Issues: None.

SCHEDULE:



Progress:
Jul - Sep 2020 (1) Received design plans & specification.

Future Activities:
Oct - Dec 2020 (1) Complete design plans & specifications.
(2) Initiate bid and award.

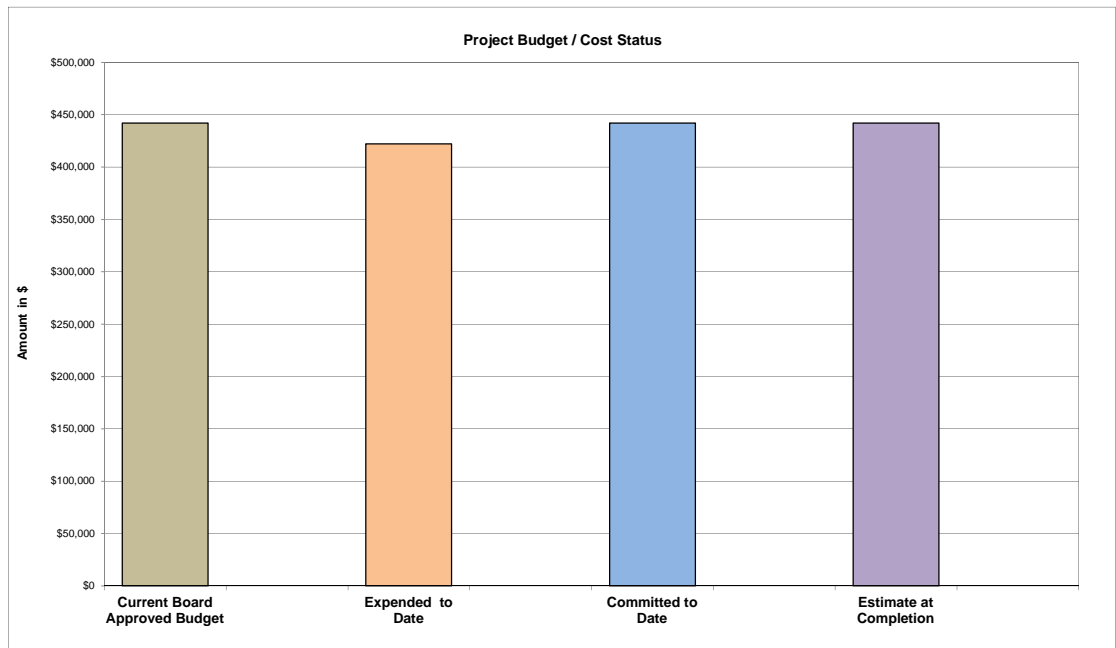
Issues: The project schedule has been delayed due to the continuing mitigation of the unforeseen incompatibility issues with the digital signal of radios being considered by Caltrain and the digital signals of radios being used or being considered by the tenants on the right of way.

RAILROAD COMMUNICATION SYSTEM PROJECT - FY2017

BUDGET:



| | (a) | (b) | (c) | (d) | (e) = (a - d) |
|----------------------|-------------------------------|------------------|-------------------|------------------------|------------------------|
| | Current Board Approved Budget | Expended to Date | Committed to Date | Estimate at Completion | Variance at Completion |
| Total Project | \$442,000 | \$422,211 | \$442,000 | \$442,000 | \$0 |



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

SAFETY:



No incidents reported this quarter.

RAILROAD COMMUNICATION SYSTEM PROJECT - FY2018



SCOPE:



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

Project will consist of the following tasks:

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

Issues:

None.

SCHEDULE:



| Activity ID | Activity Name | Start | Finish | 2019 | | | 2020 | | | | 2021 | | | |
|-----------------------------------|---------------|-------------|-------------|------|----|----|------|----|----|----|------|----|----|---|
| | | | | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | |
| 100228 - FY19 RR Comm System SOGR | | 09-May-19 A | 30-Sep-21 | | | | | | | | | | | |
| ± Procurement | | 09-May-19 A | 30-Sep-19 A | █ | █ | | | | | | | | | |
| ± Final Design | | 12-Jul-19 A | 30-Apr-20 A | | █ | █ | █ | | | | | | | |
| ± Bid & Award | | 01-May-20 A | 31-Dec-20 | | | | █ | █ | █ | █ | | | | |
| ± Construction | | 01-Jan-21 | 30-Jun-21 | | | | | | █ | █ | | | | |
| ± Project Close Out | | 01-Jul-21 | 30-Sep-21 | | | | | | | | | | █ | █ |

Progress:

Jul - Sep 2020

- (1) Continued Bid & Award.
- (2) Legal completed their review.
- (3) Advertised contract.
- (4) Conducted Pre-Bid Zoom Call & Site Visits.

Future

Activities:

Oct - Dec 2020

- (1) Continue with Bid & Award.
- (2) Receive Issued for Bids (IFB) bids.
- (3) Evaluate IFB bids.
- (4) Award contract.

Issues:

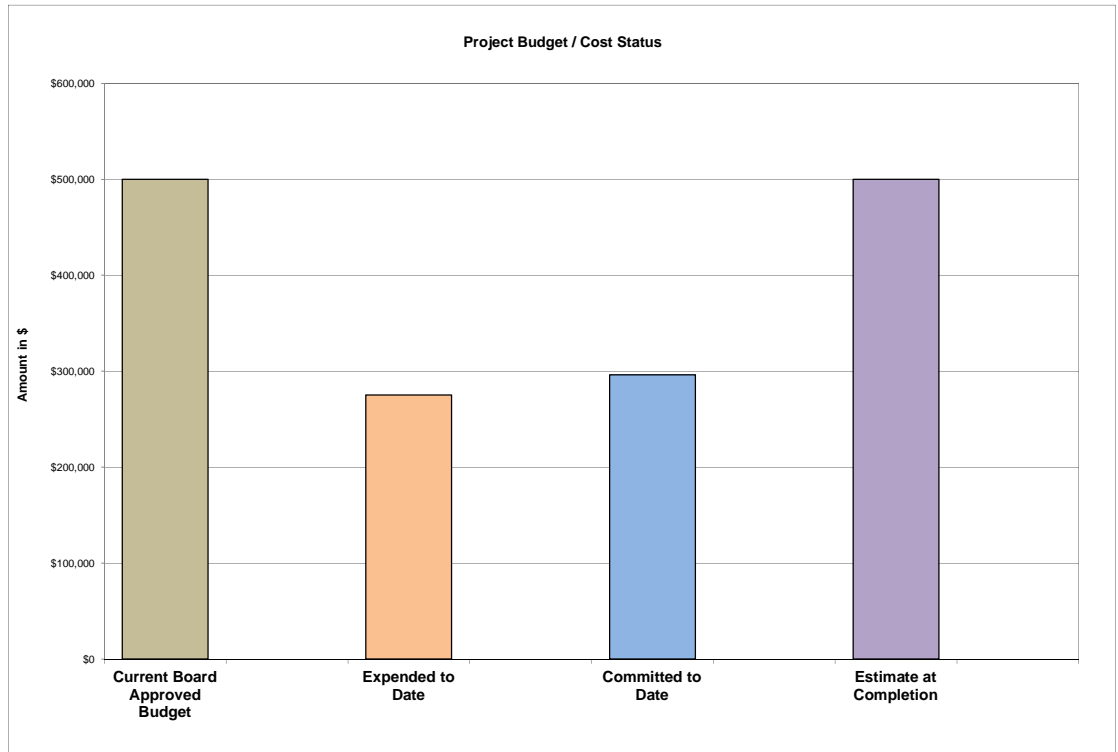
The current schedule delay was due to the late award of the design contract.

RAILROAD COMMUNICATION SYSTEM PROJECT - FY2018

BUDGET:



| | (a) | (b) | (c) | (d) | (e) = (a - d) |
|----------------------|-------------------------------|------------------|-------------------|------------------------|------------------------|
| | Current Board Approved Budget | Expended to Date | Committed to Date | Estimate at Completion | Variance at Completion |
| Total Project | \$500,000 | \$275,103 | \$296,206 | \$500,000 | \$0 |



Issues: None.

SAFETY:



No incidents reported this quarter.

RAILROAD COMMUNICATION SYSTEM PROJECT - FY2019



SCOPE:



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

The project will conduct the following tasks:

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

Issues:

None.

SCHEDULE:



| Activity ID | Activity Name | Start | Finish | 2019 | | | 2020 | | | | | |
|--|---------------|-------------|-------------|------------|----|----|------------|------------|------------|------------|-----------|-----------|
| | | | | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | |
| 100406 - FY19 RR Communication System (SOGR) | | 20-May-19 A | 31-Mar-21 | | | | | | | | | |
| Bid & Award | | 20-May-19 A | 20-Nov-19 A | [Blue bar] | | | | | | | | |
| Project Close Out | | 01-Jan-21 | 31-Mar-21 | | | | | | | | | [Red bar] |
| Testing | | 21-Nov-19 A | 31-Dec-20 | | | | [Blue bar] | [Blue bar] | [Blue bar] | [Blue bar] | [Red bar] | |

Progress:

- Jul - Sep 2020
- (1) Continued Network Security Intrusion Assessment.
 - (2) Continued with RF load assessment.

Future Activities:

- Oct - Dec 2020
- (1) Complete Network Security Intrusion Assessment.
 - (2) Complete with RF load assessment.

Issues:

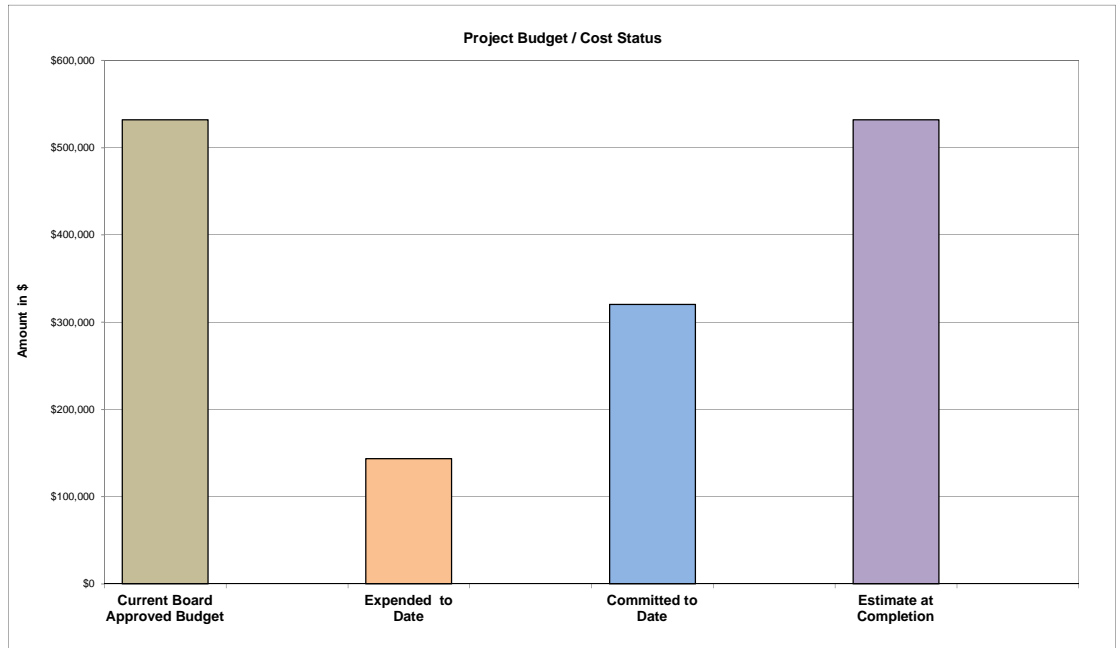
Schedule delay is due to COVID-19 shelter in place order causing the contractor to restrict travel of its personnel.

RAILROAD COMMUNICATION SYSTEM PROJECT - FY2019

BUDGET:



| | (a) | (b) | (c) | (d) | (e) = (a - d) |
|----------------------|-------------------------------|------------------|-------------------|------------------------|------------------------|
| | Current Board Approved Budget | Expended to Date | Committed to Date | Estimate at Completion | Variance at Completion |
| Total Project | \$532,000 | \$143,456 | \$320,283 | \$532,000 | \$0 |



Issues: None.

SAFETY:



No incidents reported this quarter.

RENGSTORFF AVENUE GRADE SEPARATION



SCOPE:



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

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

Issues: None.

SCHEDULE:



| Activity ID | Activity Name | Start | Finish | 2019 | | | | | | | | | | |
|---------------------------------------|---------------|-------------|-----------|------|----|------|----|----|----|----|--|--|--|--|
| | | | | 2019 | | 2020 | | | | | | | | |
| | | | | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | | | | |
| 100482 - Rengstorff Avenue Grade Cros | | 05-Aug-19 A | 28-Feb-21 | | | | | | | | | | | |
| Preliminary Engineering | | 05-Aug-19 A | 31-Oct-20 | | | | | | | | | | | |
| Environmental Clearance | | 27-Mar-20 A | 28-Feb-21 | | | | | | | | | | | |

Progress:

Jul - Sep 2020

- (1) Held comment resolution meeting with the City on proposed pedestrian and bicycle facilities.
- (2) Conducted Community Outreach Planning session and began preparation of the public outreach materials with the City of Mountain View.
- (3) Completed temporary and permanent construction impact assessment.
- (4) Completed draft construction staging and detour plans.
- (5) Finalized rail alignment and structure types to proceed with 35% design.
- (6) Finalized preliminary design concept and preliminary stage construction concepts to advance to 35% design.
- (7) Prepared additional scope of work for geotechnical analysis to address high water table.
- (8) Addressed additional design review comments provided by the City.
- (9) Continued data collection for proceeding with environmental clearance.

Future

Activities:

Oct - Dec 2020

- (1) Prepare community meeting notices and presentation materials with the City.
- (2) Completed data collection for environmental clearance.
- (3) Perform additional supplemental traffic analysis and geotechnical analysis.

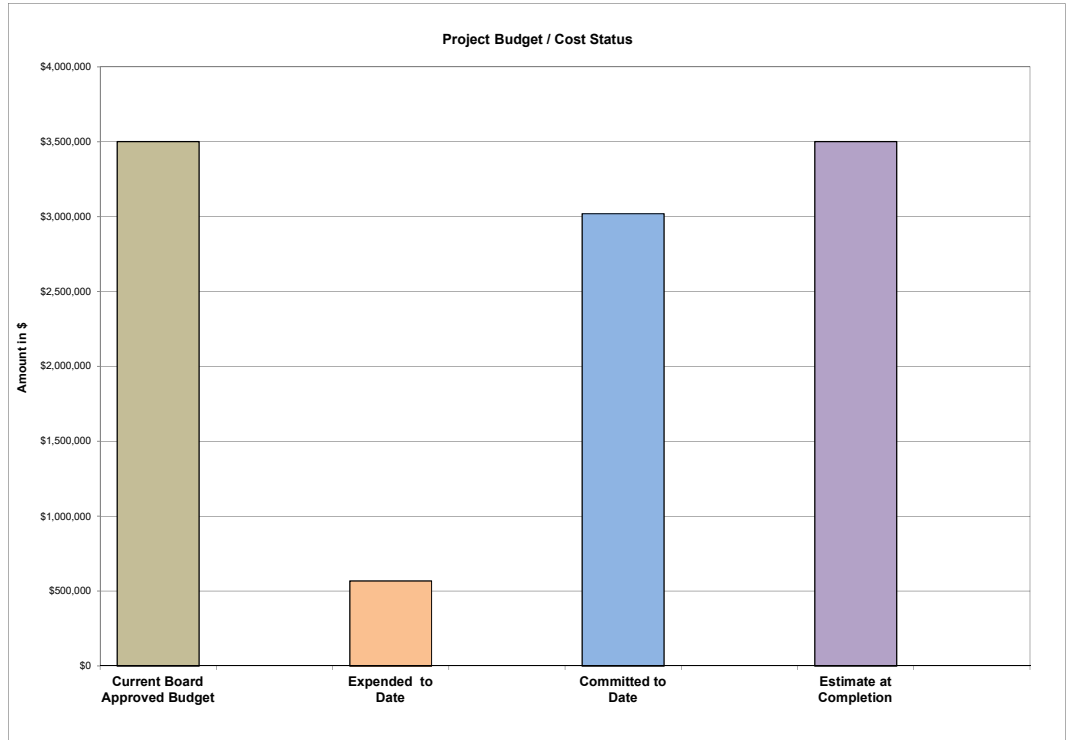
Issues: Delay in conducting traffic analysis may impact the design schedule.

RENGSTORFF AVENUE GRADE SEPARATION

BUDGET:



| | (a) | (b) | (c) | (d) | (e) = (a - d) |
|----------------------|-------------------------------|------------------|--------------------|------------------------|------------------------|
| | Current Board Approved Budget | Expended to Date | Committed to Date | Estimate at Completion | Variance at Completion |
| Total Project | \$3,500,000 | \$567,831 | \$3,019,059 | \$3,500,000 | \$0 |



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

SAFETY: No incidents reported this quarter.



RIGHT OF WAY FENCING PROJECT

| | | | |
|-------|----------|-------------|--------|
| SCOPE | SCHEDULE | BUDGET/COST | SAFETY |
| | | | |

SCOPE:



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

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

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

Issues: None.

SCHEDULE:



| Activity ID | Activity Name | Start | Finish | Timeline | | | | | | | | | | | | | | | | | | | | | |
|---------------------------------------|---------------|-------------|-------------|--|------|----|----|----|------|----|----|----|------|----|----|----|------|----|----|----|----|--|--|--|--|
| | | | | 2016 | 2017 | | | | 2018 | | | | 2019 | | | | 2020 | | | | | | | | |
| | | | | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | | | | |
| 100053 - Right of Way Fencing Project | | 02-Jun-16 A | 28-Feb-21 | [Gantt chart showing project duration from mid-2016 to early 2021] | | | | | | | | | | | | | | | | | | | | | |
| + Construction (Base) | | 02-Jun-16 A | 31-Mar-18 A | [Gantt bar from mid-2016 to early 2018] | | | | | | | | | | | | | | | | | | | | | |
| + Construction (Option 1) | | 16-Apr-18 A | 31-Aug-19 A | [Gantt bar from mid-2018 to late 2019] | | | | | | | | | | | | | | | | | | | | | |
| + Construction (Option 2) | | 01-Dec-19 A | 30-Nov-20 | [Gantt bar from late 2019 to late 2020] | | | | | | | | | | | | | | | | | | | | | |
| + Close Out | | 01-Dec-20 | 28-Feb-21 | [Gantt bar from late 2020 to early 2021] | | | | | | | | | | | | | | | | | | | | | |

Progress:

Jul - Sep 2020 (1) Continued option 2 work.

Future

Activities:

Oct - Dec 2020 (1) Continue option 2 work.

Issues:

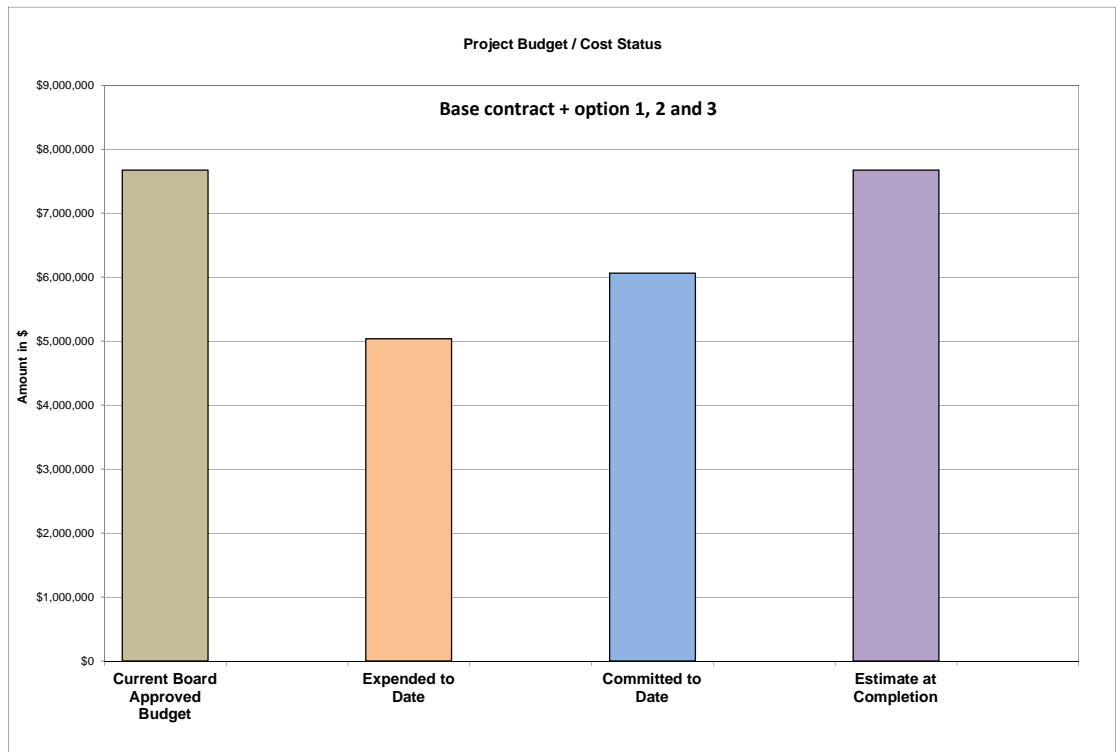
(1) Schedule dates are for the base contract, option 1 and 2 only. Schedule delay is due to Covid-19 impact on manpower availability to the contractor.

RIGHT OF WAY FENCING PROJECT

BUDGET:



| | (a) | (b) | (c) | (d) | (e) = (a - d) |
|----------------------|-------------------------------|--------------------|--------------------|------------------------|------------------------|
| | Current Board Approved Budget | Expended to Date | Committed to Date | Estimate at Completion | Variance at Completion |
| Total Project | \$7,672,958 | \$5,037,440 | \$6,062,776 | \$7,672,958 | \$0 |



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

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

SAFETY:



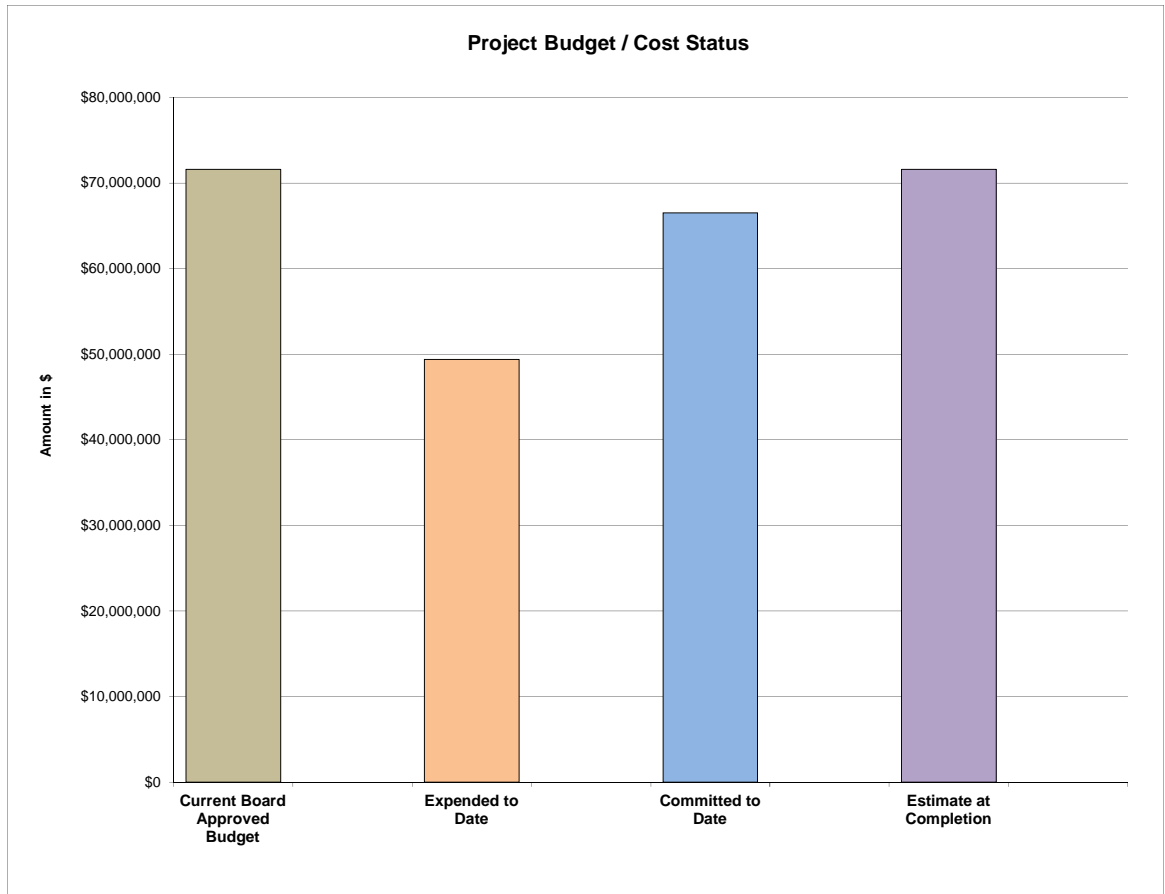
No incidents reported this quarter.

SOUTH SAN FRANCISCO STATION IMPROVEMENT PROJECT

BUDGET:



| | (a) | (b) | (c) | (d) | (e) = (a - d) |
|----------------------|-------------------------------|---------------------|---------------------|------------------------|------------------------|
| | Current Board Approved Budget | Expended to Date | Committed to Date | Estimate at Completion | Variance at Completion |
| Project Total | \$71,600,000 | \$49,403,918 | \$66,497,144 | \$71,600,000 | \$0 |



Note: Estimate at Completion (EAC) is under review.

Issues: None.

SAFETY:



In July 2020, A minor injury occurred - worker hurt his finger placing rebar. No incidents reported in August and September 2020.

STATION ENHANCEMENT AND RENOVATION



SCOPE: This project will include the following work:



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

Issues: None.

SCHEDULE:



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

Progress:

Jul - Sep 2020

- (1) Began construction work.
- (2) Completed demolition and framing the new walls.
- (3) Reviewed submittals and responded to RFIs.

Future

Activities:

Oct - Dec 2020

- (1) Complete construction.
- (2) Complete to review submittals and respond to RFIs.

Issues:

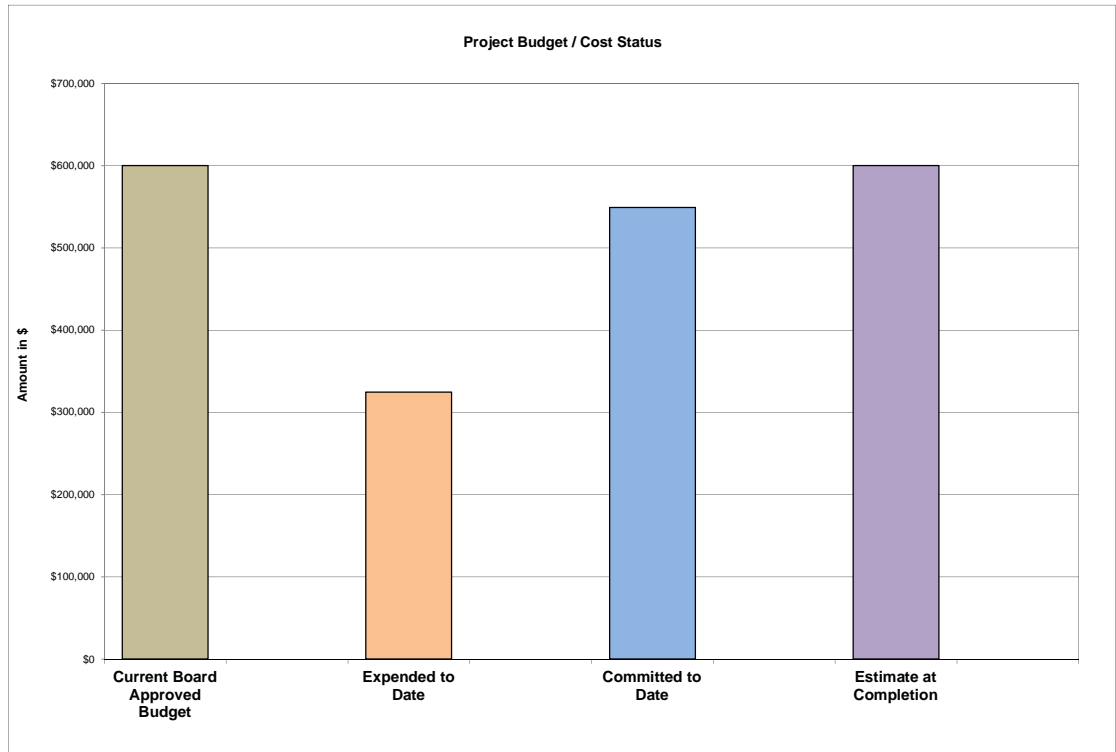
Schedule has been re-baselined this quarter based on the approved construction schedule.

STATION ENHANCEMENT AND RENOVATION

BUDGET:



| | (a) | (b) | (c) | (d) | (e) = (a - d) |
|----------------------|-------------------------------|------------------|-------------------|------------------------|------------------------|
| | Current Board Approved Budget | Expended to Date | Committed to Date | Estimate at Completion | Variance at Completion |
| Total Project | \$600,000 | \$324,458 | \$549,059 | \$600,000 | \$0 |



Issues: None.

SAFETY:



No incidents reported this quarter.

SYSTEMWIDE SIGNAL SYSTEM REHABILITATION PROJECT - FY2019



SCOPE:



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

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

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

Issues: None.

SCHEDULE:



| Activity ID | Activity Name | Start | Finish | 2019 | | | 2020 | | | | | |
|--|---------------|-------------|-------------|------|----|----|------|----|----|----|----|---|
| | | | | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | |
| 100405 - FY19 Systemwide Signal System Rehab | | 20-May-19 A | 31-Mar-21 | | | | | | | | | |
| Bid & Award | | 20-May-19 A | 08-Jul-19 A | ■ | | | | | | | | |
| Construction | | 09-Jul-19 A | 31-Dec-20 | | ■ | ■ | ■ | ■ | ■ | ■ | ■ | ■ |
| Project Close Out | | 01-Jan-21 | 31-Mar-21 | | | | | | | ■ | ■ | ■ |

Progress:

Jul - Sep 2020 (1) Awaiting availability of TASI personnel to replace controllers.

Future

Activities:

Oct - Dec 2020 (1) Re-initiate replacement of controllers.
 (2) Complete replacement of controllers.

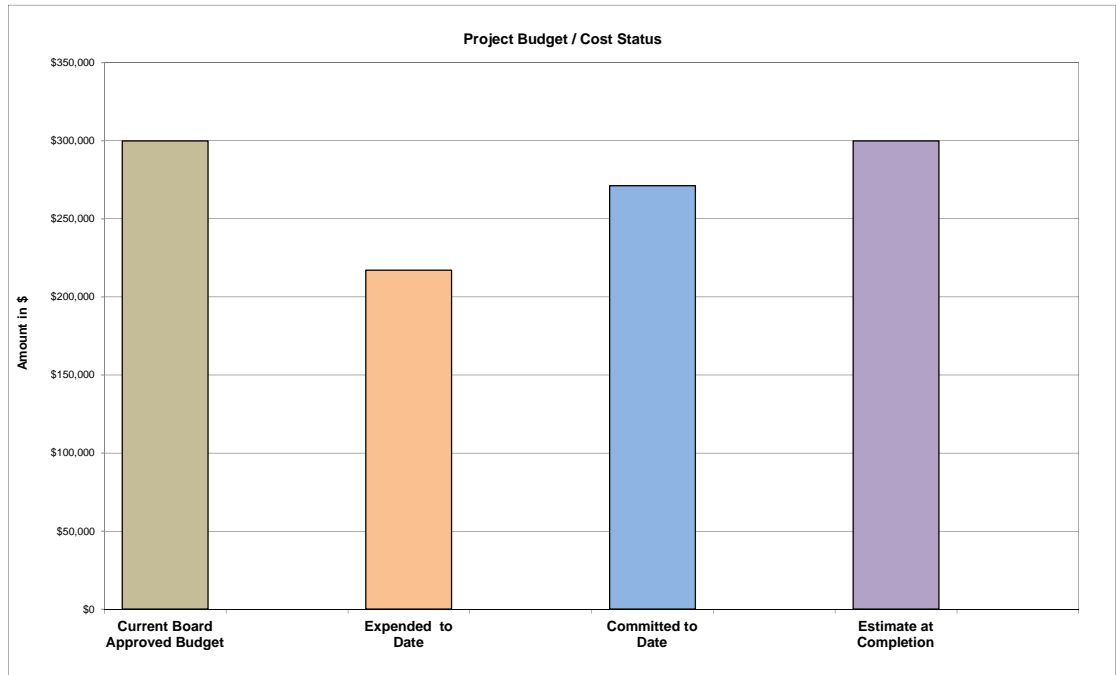
Issues: Schedule delay is due to TASI resource availability issues.

SYSTEMWIDE SIGNAL SYSTEM REHABILITATION PROJECT - FY2019

BUDGET:



| | (a) | (b) | (c) | (d) | (e) = (a - d) |
|----------------------|-------------------------------|------------------|-------------------|------------------------|------------------------|
| | Current Board Approved Budget | Expended to Date | Committed to Date | Estimate at Completion | Variance at Completion |
| Total Project | \$300,000 | \$217,199 | \$271,346 | \$300,000 | \$0 |



Issues: None.

SAFETY:



No incidents reported this quarter.

SYSTEMWIDE TRACK REHABILITATION PROJECT - FY2019



SCOPE:



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

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

Issues: None.

SCHEDULE:



| Activity ID | Activity Name | Start | Finish | Timeline | | | | | | | |
|-------------|--|-------------|-----------|----------|----|------|----|----|----|----|----|
| | | | | 2019 | | 2020 | | | | 20 | |
| | | | | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 |
| 100230 | FY19 Systemwide Track Rehabilitation Project | 01-Jul-19 A | 31-Mar-21 | | | | | | | | |
| + | ROW Maintenance | 01-Jul-19 A | 31-Dec-20 | | | | | | | | |
| + | Close Out | 02-Jan-21 | 31-Mar-21 | | | | | | | | |

Progress:

Jul - Sep 2020

- | | |
|---|---|
| <ul style="list-style-type: none"> (1) Surfaced 2.44 miles of main line track. (2) Stabilized 2.44 miles of track. (3) Performed 11 thermite welds. (4) 57 pandrols installed. (5) Built up 15 frog inserts. (6) Ground 71 switches. (7) Placed 100 Tons of Ballast . (8) Changed out two feet of rail (due to wear). | <ul style="list-style-type: none"> (9) Installed 248 cross ties. (10) Installed 40 switch ties. (11) Installed 11 UP cross ties. (12) Installed five UP switch ties. (13) Performed UT weld testing. (14) Performed tree trimming. (15) Performed fencing. |
|---|---|

Future Activities:

Oct - Dec 2020

- (1) Continue ongoing maintenance work.

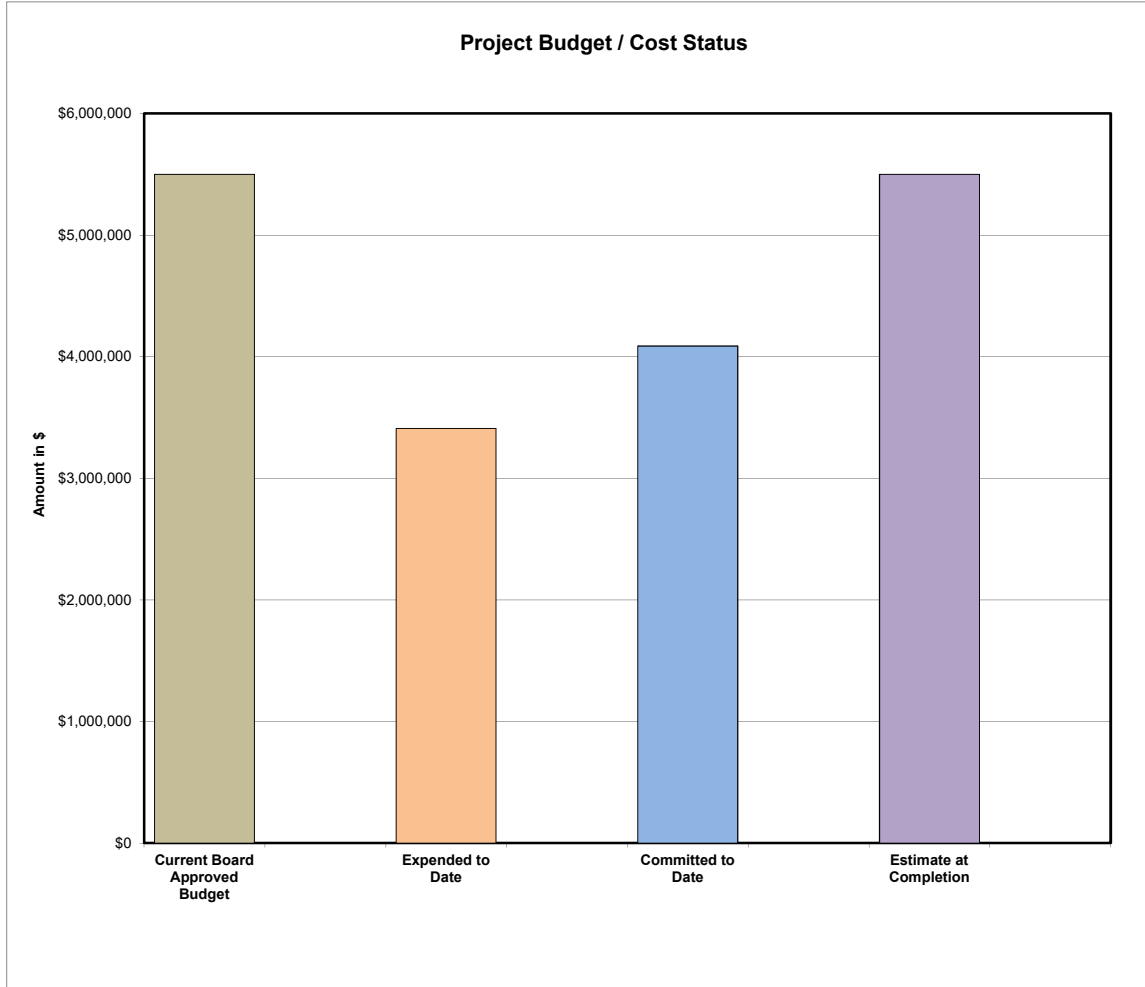
Issues: None.

SYSTEMWIDE TRACK REHABILITATION PROJECT - FY2019

BUDGET:



| | (a) | (b) | (c) | (d) | (e) = (a - d) |
|----------------------|-------------------------------|--------------------|--------------------|------------------------|------------------------|
| | Current Board Approved Budget | Expended to Date | Committed to Date | Estimate at Completion | Variance at Completion |
| Project Total | \$5,500,000 | \$3,408,791 | \$4,087,163 | \$5,500,000 | \$0 |



Issues: None.

SAFETY:



No incidents reported this quarter.

TICKET VENDING MACHINE REHAB PROGRAM PROJECT



SCOPE:



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

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

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

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

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

Issues:

None.

SCHEDULE:



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

Progress:

- Jul - Sep 2020
- (1) Finished the software development for the TVM software.
 - (2) Conducted the MTC Test Procedure and successfully passed the test.
 - (3) Completed the new VCC software and created the new Oracle database.
 - (4) Upgraded the Crystal Reports to version 2016.(5) Installed and tested the contactless payment reader.
 - (5) Conducted the Final Acceptance Test for the prototype TVM. The prototype TVM passed the test.
 - (6) Prepared for the cutover to the new VCC as production.

Future

Activities:

- Oct - Dec 2020
- (1) Resolve the issues with the new VCC and Crystal Reports.
 - (2) Conduct the cutover to the new VCC as production.

Issues:

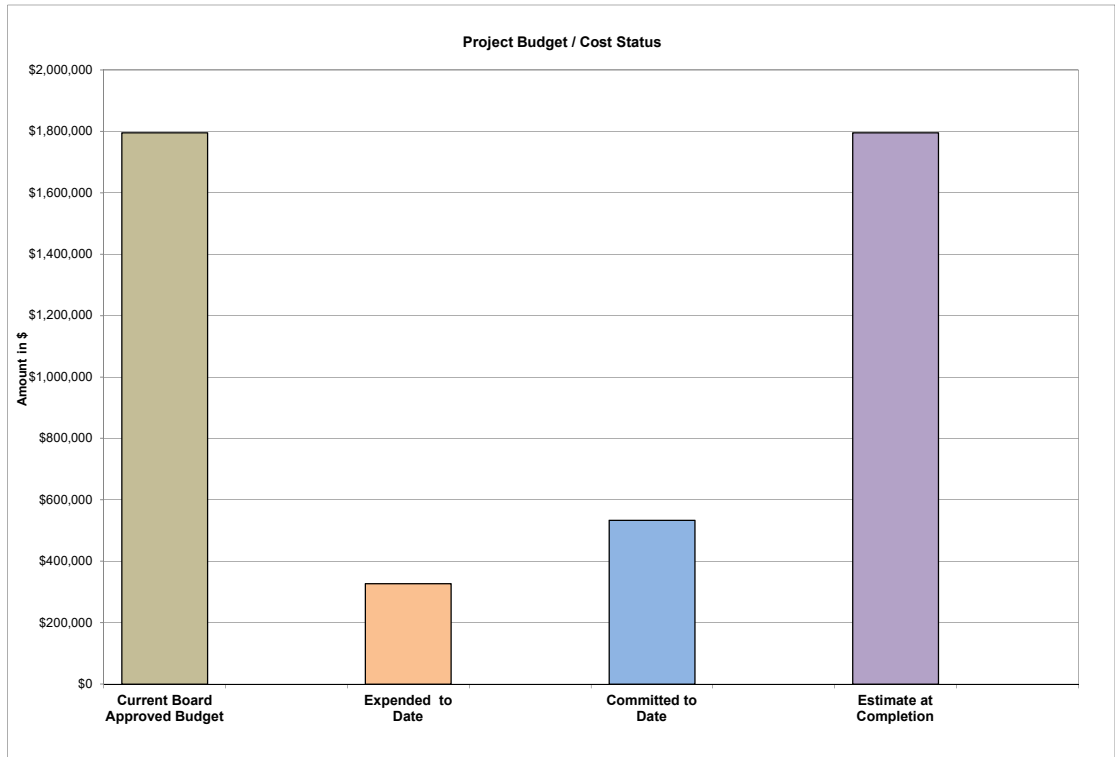
None.

TICKET VENDING MACHINE REHAB PROGRAM PROJECT

BUDGET:



| | (a) | (b) | (c) | (d) | (e) = (a - d) |
|----------------------|-------------------------------|------------------|-------------------|------------------------|------------------------|
| | Current Board Approved Budget | Expended to Date | Committed to Date | Estimate at Completion | Variance at Completion |
| Total Project | \$1,795,000 | \$327,280 | \$532,878 | \$1,795,000 | \$0 |



Issues: None.

SAFETY:



No incidents reported this quarter.

WAYSIDE BIKE PARKING IMPROVEMENT PROJECT



SCOPE:



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

Issues:

None.

SCHEDULE:



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

Progress:

Jul - Sep 2020 (1) Awarded contract to eLock Technologies.

Future

Activities:

Oct - Dec 2020 (1) Begin construction activities.

Issues:

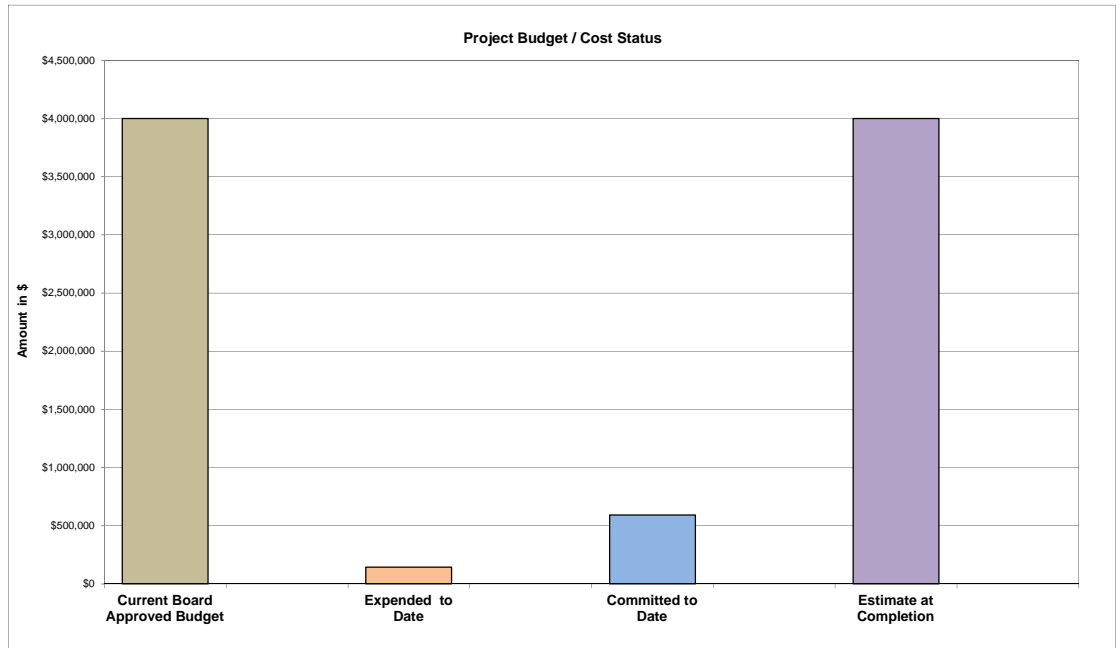
None.

WAYSIDE BIKE PARKING IMPROVEMENT PROJECT

BUDGET:



| | (a) | (b) | (c) | (d) | (e) = (a - d) |
|----------------------|-------------------------------|------------------|-------------------|------------------------|------------------------|
| | Current Board Approved Budget | Expended to Date | Committed to Date | Estimate at Completion | Variance at Completion |
| Total Project | \$4,000,000 | \$142,932 | \$593,224 | \$4,000,000 | \$0 |



Issues: None.

SAFETY:



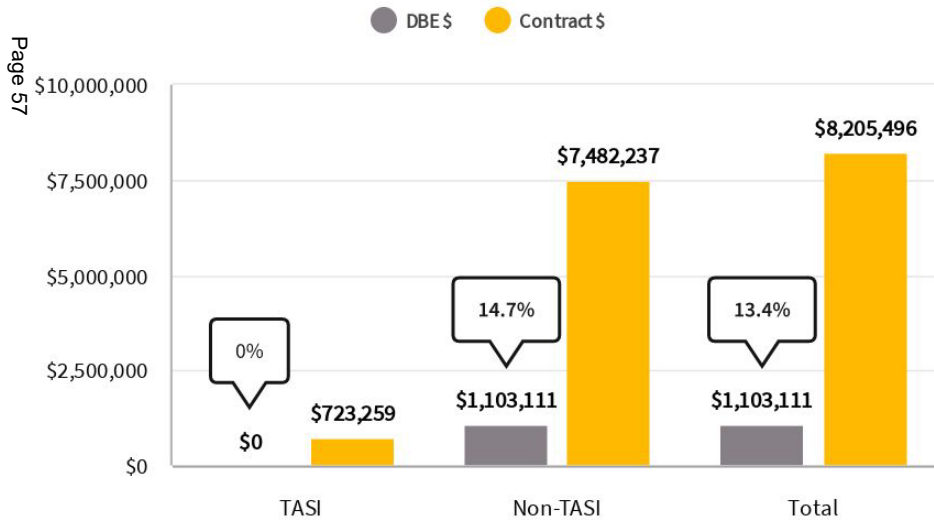
No incidents reported this quarter.

Caltrain : Disadvantaged Business Enterprise (DBE)

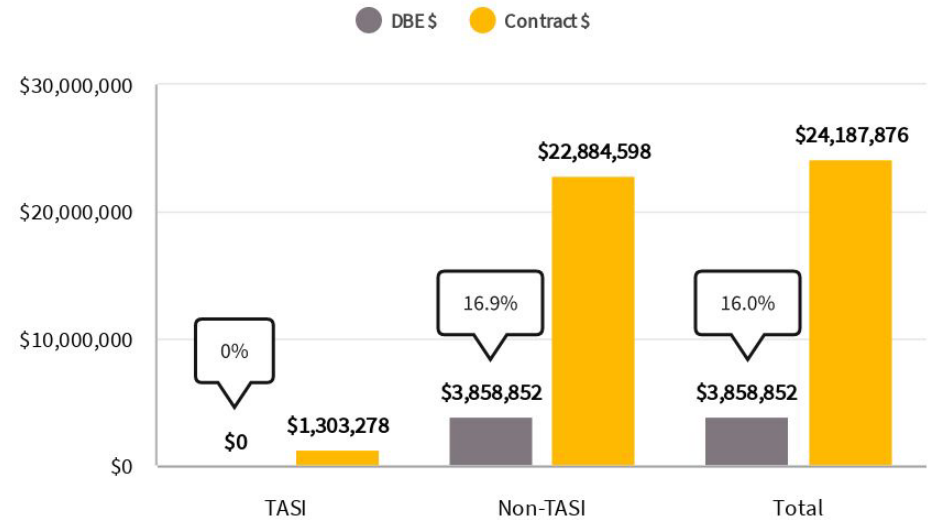
Quarterly Status Report:

- The Caltrain overall DBE goal is 13.5%.
- TASI had zero percent (0%) DBE utilization for the year.
- Q4 DBE participation fell below the goal, however, Caltrain achieved 16.0% DBE participation for the year.

FFY20 Q4: July 01, 2020 to September 30, 2020



2020 Federal Fiscal Year to Date:



Definition of Terms

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

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

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

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

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

Performance Status (Traffic Light) Criteria

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

Schedule Legend

| | |
|---|---------------------------------|
|  | Completed |
|  | Critical path |
|  | Baseline/target schedule |

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Michelle Bouchard
Chief Operating Officer, Rail

SUBJECT: **CLIPPER START QUARTERLY UPDATE**

ACTION

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

SIGNIFICANCE

An effort led by staff from the Metropolitan Transportation Commission (MTC) and regional transit operators, Clipper START is the Bay Area's means-based fare pilot program, and it provides a discount for eligible, low-income transit riders at participating transit agencies. The four transit operators currently participating in Clipper START include Caltrain; the Bay Area Rapid Transit District (BART); Golden Gate Bridge, Highway and Transportation District (GGBHTD) for both its bus and ferry services; and San Francisco Municipal Transportation Agency (SFMTA). Individuals enrolled in the pilot program receive a 50 percent discount off of adult one-way Clipper card fares on Caltrain, GGBHTD, and SFMTA, and a 20 percent discount off of adult one-way Clipper card fares on BART.

The 18-month pilot program launched on July 15, 2020, and this staff report provides the Caltrain Board of Directors with the first quarterly report of key pilot program statistics, corresponding to the first quarter of the current fiscal year (or Q1 of FY21, for dates inclusive of July 15, 2020 – September 30, 2020).

BUDGET IMPACT

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

CALTRAIN QUARTERLY REPORT ON CLIPPER START

Key statistics provided below include Clipper START information related to applicants and enrollees, Caltrain ridership and trip information, and revenue impact for Caltrain. This information is for the first quarter of the pilot program, from July 15, 2020 through September 30, 2020.

1. How many people were enrolled in Clipper START as of Q1 of FY21?

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

The information provided in Table 1 shows the total number of applications submitted and approved through the end of September 2020. The vast majority of applicants submitted completed their applications online during Q1, and approximately 22 percent of applicants reported currently riding Caltrain.

Table 1: Applications for Clipper START for Q1 of FY21

| <i>Applications</i> | <i>07/15/20 – 07/31/20</i> | <i>08/01/20 – 08/31/20</i> | <i>09/01/20 – 09/30/20</i> | <i>Q1 Total</i> |
|---------------------|--------------------------------|--------------------------------|--------------------------------|-----------------|
| Total Submitted | 444 | 356 | 722 | 1,522 |
| Total Approved | 407 | 314 | 648 | 1,369 |

Source: MTC, 2020.

2. Where do applicants live in the region?

Table 2 shows the county of residents of applicants to the Clipper START pilot program in Q1 of FY21. Across the region, residents who applied for Clipper START during Q1 of FY21 primarily lived in San Francisco (69 percent of applicants) and Alameda (12 percent) counties. Santa Clara and San Mateo counties had 4 percent and 3 percent of applicants, respectively.

Table 2: County of Residence for Clipper START Applicants from Q1 of FY21

| <i>County</i> | <i>Percentage of Total</i> |
|---------------|--------------------------------|
| San Francisco | 69% |
| Alameda | 12% |
| Contra Costa | 6% |
| Santa Clara | 4% |
| San Mateo | 3% |
| Marin | 2% |
| Solano | 2% |
| Sonoma | 1% |
| Napa | 0% |
| Total | 100% |

Source: MTC, 2020.

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

Table 3 presents the total number of trips being taken on Clipper START for each month of Q1 for each agency, as well as the total for the region. For comparison, the bottom of the table also shows the total number of Caltrain riders for the same time periods. Similar to other transit agencies in the region, Caltrain's ridership has been severely impacted by the coronavirus pandemic.

Table 3: Clipper START Trips in Q1 of FY21

| Total Clipper START Trips ¹ | 07/15/20 – 07/31/20 | 08/01/20 – 08/31/20 | 09/01/20 – 09/30/20 | Q1 Total | Percent of Q1 Total |
|---|---------------------|---------------------|---------------------|--------------|---------------------|
| Caltrain | 3 | 71 | 183 | 257 | 4.3% |
| BART | 92 | 1,234 | 2,681 | 4,007 | 66.6% |
| SFMTA | 9 | 513 | 981 | 1,509 | 25.0% |
| GGBHTD (Bus and Ferry) | 12 | 75 | 160 | 247 | 4.1% |
| Clipper START Total Trips | 116 | 1,893 | 4,006 | 6,020 | 100.0% |
| Caltrain Total Ridership for Month ² | 91,850 | 90,737 | 93,484 | 276,071 | N/A |

Sources:
 1. MTC, 2020; Cubic Crystal Reports, 2020.
 2. The Key Caltrain Performance Statistics reports in the monthly Board packet provided the monthly ridership totals for Caltrain.

4. How many people used their Clipper START cards in Q1 of FY21?

Each individual enrolled in the pilot program receives their own unique Clipper START card, so data on the number of unique cards used in the region shows how many of the enrolled individuals are actually traveling using their Clipper START cards. Table 4 presents the number of unique Clipper START cards in use on each agency, as well as for the overall Clipper system across the region. Similar to overall trips, the number of unique cards in use is growing as the pilot progresses. As of September 2020, about 25 percent of the Clipper START cards that had been issued were in use across the region. Of the Clipper START cards in use across the region in September 2020, about eight percent of the cards were used on Caltrain.

Table 4: Unique Clipper START Cards in Use by Month for Q1 of FY21

| Total Number of Unique Clipper START Cards in Use | 07/15/20 – 07/31/20 | 08/01/20 – 08/31/20 | 09/01/20 – 09/30/20 |
|---|---------------------|---------------------|---------------------|
| Caltrain | 1 | 12 | 28 |
| BART | 25 | 127 | 245 |
| SFMTA | 6 | 61 | 124 |
| GGBHTD (Bus and Ferry) | 2 | 10 | 19 |
| Overall Clipper System | 31 | 127 | 343 |

Source: MTC, 2020.

5. Where did Clipper START riders take trips on Caltrain in Q1 of FY21?

Across Q1 of FY21, Clipper data provided by MTC staff shows that the most frequently used Caltrain stations for Clipper START riders are San Francisco Fourth & King, South San Francisco, and San Jose Diridon stations.

The number of Clipper START trips involving transfers between transit systems is a small percentage of the overall trips taken. Across Q1, a total of 25 Clipper START rides on Caltrain, or about 9 percent of the total Clipper START trips taken on Caltrain, involved a transfer to another transit system. Regionally, a grand total of 354 trips made using a Clipper START card during Q1 involved a transfer to another transit system, or about 5 percent of the total trips made using Clipper START in the region.

6. When did Clipper START riders take trips on Caltrain in Q1 of FY21?

Table 5 shows which day of the week Clipper START card users rode Caltrain during Q1. About 90 percent of Clipper START card trips on Caltrain were made during the weekdays (231 trips), compared to about 10 percent of trips made on a weekend (27 trips), across Q1. This finding is consistent across the other participating transit agencies, with the vast majority of Clipper START card trips made during the weekdays in Q1 across the region.

Table 5: Day of Week for Clipper START Trips on Caltrain in Q1 of FY21

| Month | Sun | Mon | Tue | Wed | Thu | Fri | Sat | Total |
|------------------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|------------|
| July | 0 | 0 | 0 | 0 | 1 | 2 | 0 | 3 |
| August | 6 | 17 | 6 | 14 | 8 | 14 | 6 | 71 |
| September | 8 | 26 | 21 | 41 | 34 | 32 | 21 | 183 |
| Total | 14 | 43 | 27 | 55 | 43 | 48 | 27 | 257 |
| Percent of Total | 5% | 17% | 11% | 21% | 17% | 19% | 11% | 100% |

Source: Cubic Crystal Reports, 2020.

Table 6 shows the ridership distribution for each hour during the day, for each month of Q1. About 70 percent of Clipper START trips on Caltrain were made in the peak periods.

Table 6: Time of Day for Clipper START Trips on Caltrain in Q1 of FY21

| Month | AM Peak (6am-9am) | Midday (10am-3pm) | PM Peak (3pm-7pm) | Off-Peak (7pm-12am) | Total |
|------------------|----------------------|----------------------|----------------------|------------------------|------------|
| July | 0 | 0 | 1 | 2 | 3 |
| August | 13 | 17 | 28 | 13 | 71 |
| September | 62 | 21 | 73 | 27 | 183 |
| Total | 75 | 38 | 102 | 42 | 257 |
| Percent of Total | 29% | 15% | 40% | 16% | 100% |

Source: Cubic Crystal Reports, 2020.

7. How did Clipper START affect Caltrain's revenue in Q1 of FY21?

Caltrain provides participants in Clipper START with a 50 percent discount off of adult one-way Clipper Card fares. To help offset the revenue loss, MTC provides a subsidy that is valued at 10 percent of the full fare value for each trip.

Table 7 shows the revenue impact for Caltrain for the initial quarter of this pilot program. It shows the initial fare revenue collected by Caltrain for Clipper START trips (50 percent of the adult one-way Clipper Card fare) in Q1, which totaled approximately \$871. It also shows the total discount provided by Caltrain for Clipper START trips, or the amount of foregone revenue for these trips (50 percent of the adult one-way Clipper Card fare), which totaled approximately \$873. Additionally, the table shows the subsidy that is provided by MTC to help offset Caltrain's revenue loss on Clipper START trips (10 percent of the full fare value for adult one-way Clipper Card fares), which totaled approximately \$174. Lastly, the table shows the amount of net revenue for Caltrain for Clipper START trips in Q1, approximately \$1,046.

Table 7: Clipper START Revenue Impact for Caltrain for Q1 for FY21

| Month | Total Trips | Initial Fare Revenue Collected by Caltrain (50% of full value Adult Clipper Card fare) | Total Discount Provided by Caltrain (50% off of full value Adult Clipper Card fare) | Subsidy for Revenue Loss Provided by MTC (10% of full value Adult Clipper Card fare) | Total Net Revenue for Caltrain (Initial Fare Revenue + Subsidy) |
|--------------|-------------|--|---|--|---|
| July | 3 | \$9.25 | \$9.35 | \$1.86 | \$11.11 |
| Aug | 71 | \$236.45 | \$238.25 | \$47.47 | \$283.92 |
| Sep | 183 | \$626.05 | \$625.55 | \$125.16 | \$751.21 |
| Total | 257 | \$871.75 | \$873.15 | \$174.49 | \$1,046.24 |

Notes:

1. The slight discrepancy between total fare revenue collected and the discount provided is due to rounding rules for the fares with Clipper.

2. Source: Caltrain, 2020.

8. How is Clipper START being promoted?

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

In addition to this regional campaign, Caltrain staff has been actively engaged in promoting Clipper START using a variety of methods. Staff boosted organic social media messaging across all platforms and hosted a live social media event with MTC and Caltrain staff on 9/30/20. Staff also updated the Caltrain website's fare media

related pages and posted a large center button on the Caltrain homepage. Additional marketing support included brochures in multiple languages & ad cards onboard the trains and select stations, as well as digital display banners at the San Francisco Station. An additional paid communications campaign was also launched to target Chinese and Spanish markets. Caltrain staff are also reaching out to CBOs along the Caltrain corridor to help spread the word about Clipper START.

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

NEXT STEPS

The Clipper START pilot program is in the process of being expanded to include additional operators. The terms of the pilot program have not changed as a result of adding in these additional operators, and MTC will be subsidizing their revenue losses incurred during the pilot program using \$5 million provided to the region by the federal CARES Act in spring 2020. While MTC is currently working with the additional operators to finalize participation details, it is anticipated that a second group of operators will launch participation in the program on November 23, 2020, and an additional third group of operators will launch in January 2021.

Caltrain staff will return with another pilot program quarterly update for the Board in winter 2020 for Q2 of FY21 (October 1, 2020 – December 31, 2020).

Prepared by: Melissa Jones, Principal Planner, Caltrain Planning

650.295.6852



Clipper START Quarterly Update Q1 of FY21 (July – September 2020)

December 3, 2020

Means-Based Fare Pilot Program

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

CLIPPER.
START ▶▶▶



Clipper START Overview

PARTICIPATING AGENCIES AND DISCOUNT OFFERED*

- BART (20% discount)
- Caltrain (50% discount)
- Golden Gate Transit (50% discount)
- SFMTA (50% discount)
- *Discount applies to single-ride Clipper fares for adults

ELIGIBILITY

- Adults earning < 200% Federal Poverty Level (~\$50k Annual income for household of 4)

IMPLEMENTATION

- Offered through Clipper and applied to Clipper Card single-ride fares only
- Pilot duration: 18 Months
- Centrally administered for the region

How Do Individuals Apply?



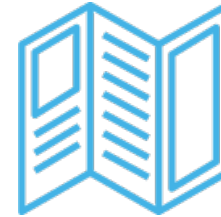
DESKTOP

OR



MOBILE

OR



BROCHURE

Requirements



**PROOF OF
IDENTITY**



**PROOF OF
INCOME**



**BAY AREA
MAILING
ADDRESS**



**ANSWER SURVEY
QUESTIONS**

Once Enrolled...



RECEIVE CLIPPER START CARD

Each enrolled individual will receive their own Clipper START Card in the mail.



ADD CASH VALUE

Once they receive their Clipper START Card, individuals must add cash value to their card.



RIDE!

Individuals should use Clipper START like any other Clipper Card on BART, Caltrain, Golden Gate Bus/Ferry, and SFMTA.

On Caltrain, individuals must tag on and tag off with their Clipper START Card to receive the single-ride discount off of the regular adult Clipper fare.

Centralized Customer Service



Contact Clipper START Customer Service!

Forthcoming ways to contact customer service:
www.clipperstartcard.com, phone number,
email address, etc. *(anticipated to be available
in coming weeks)*

Comprehensive Outreach Approach



Quarterly Updates on Clipper START

- Caltrain staff will be providing an update to the Board each quarter for the 18-month pilot program.
- Updates will include Clipper START information related to applicants and enrollees, Caltrain ridership and trip information, and revenue impact for Caltrain.
 - Data sources: MTC (application and Clipper data) and Caltrain (Clipper and revenue data).
- Today's first update is for:
 - Q1 of FY21: July 15, 2020 – September 30, 2020

How many people were enrolled in Clipper START?

- As of September 2020, 1,369 applications have been approved.

Table 1: Applications for Clipper START for Q1 of FY21

| <i>Applications</i> | <i>07/15/20 – 07/31/20</i> | <i>08/01/20 – 08/31/20</i> | <i>09/01/20 – 09/30/20</i> | <i>Q1 Total</i> |
|---------------------|--------------------------------|--------------------------------|--------------------------------|-----------------|
| Total Submitted | 444 | 356 | 722 | 1,522 |
| Total Approved | 407 | 314 | 648 | 1,369 |
| Source: MTC, 2020. | | | | |

Where do applicants live in the region?

Table 2: County of Residence for Clipper START Applicants from Q1 of FY21

| <i>County</i> | <i>Percentage of Total Applicants</i> |
|--------------------|---------------------------------------|
| San Francisco | 69% |
| Alameda | 12% |
| Contra Costa | 6% |
| Santa Clara | 4% |
| San Mateo | 3% |
| Marin | 2% |
| Solano | 2% |
| Sonoma | 1% |
| Napa | 0% |
| Total | 100% |
| Source: MTC, 2020. | |

How many trips were taken using Clipper START?

Table 3: Clipper START Trips in Q1 of FY21

| <i>Total Clipper START Trips¹</i> | <i>07/15/20 – 07/31/20</i> | <i>08/01/20 – 08/31/20</i> | <i>09/01/20 – 09/30/20</i> | <i>Q1 Total</i> | <i>Percent of Q1 Total</i> |
|---|----------------------------|----------------------------|----------------------------|-----------------|----------------------------|
| Caltrain | 3 | 71 | 183 | 257 | 4.3% |
| BART | 92 | 1,234 | 2,681 | 4,007 | 66.6% |
| SFMTA | 9 | 513 | 981 | 1,509 | 25.0% |
| GGBHTD (Bus and Ferry) | 12 | 75 | 160 | 247 | 4.1% |
| Clipper START Total Trips | 116 | 1,893 | 4,006 | 6,021 | 100.0% |
| Caltrain Total Ridership for Month ² | 91,850 | 90,737 | 93,484 | 276,071 | N/A |

Sources:

1. MTC, 2020; Cubic Crystal Reports, 2020.

2. The Key Caltrain Performance Statistics reports in the monthly Board packet provided the monthly ridership totals for Caltrain.



How many people used their Clipper START cards?

- As of September 2020, about 25% of the Clipper START cards that had been issued were in use across the region.
 - Of the cards in use, about 8% of the Clipper START cards were used on Caltrain

Table 4: Unique Clipper START Cards in Use by Month for Q1 of FY21

| <i>Total Number of Unique Clipper START Cards in Use</i> | <i>07/15/20 – 07/31/20</i> | <i>08/01/20 – 08/31/20</i> | <i>09/01/20 – 09/30/20</i> |
|--|----------------------------|----------------------------|----------------------------|
| Caltrain | 1 | 12 | 28 |
| BART | 25 | 127 | 245 |
| SFMTA | 6 | 61 | 124 |
| GGBHTD (Bus and Ferry) | 2 | 10 | 19 |
| Overall Clipper System | 31 | 127 | 343 |
| Source: MTC, 2020. | | | |

Where did Clipper START riders take trips on Caltrain?

- Top Clipper START rider stations for Q1 of FY21: San Francisco Fourth & King, South San Francisco, and San Jose Diridon
- Transfers in Q1 of FY21:
 - About 9% of Clipper START trips on Caltrain involved a transfer to another transit system.
 - Across the region, about 5% of Clipper START trips involved a transfer to another transit system.

When did Clipper START riders take trips on Caltrain?

- During Q1 of FY21, about 90% of Caltrain's Clipper START trips were made on a weekday.
 - This is consistent across all four participating agencies.

Table 5: Day of Week for Clipper START Trips on Caltrain in Q1 of FY21

| <i>Month</i> | <i>Sun</i> | <i>Mon</i> | <i>Tue</i> | <i>Wed</i> | <i>Thu</i> | <i>Fri</i> | <i>Sat</i> | <i>Total</i> |
|------------------|------------|------------|------------|------------|------------|------------|------------|--------------|
| July | 0 | 0 | 0 | 0 | 1 | 2 | 0 | 3 |
| August | 6 | 17 | 6 | 14 | 8 | 14 | 6 | 71 |
| September | 8 | 26 | 21 | 41 | 34 | 32 | 21 | 183 |
| Total | 14 | 43 | 27 | 55 | 43 | 48 | 27 | 257 |
| Percent of Total | 5% | 17% | 11% | 21% | 17% | 19% | 11% | 100% |

Source: Cubic Crystal Reports, 2020.

When did Clipper START riders take trips on Caltrain?

- During Q1 of FY21, about 70% of Caltrain's Clipper START trips were made during the peak periods.

Table 6: Time of Day for Clipper START Trips on Caltrain in Q1 of FY21

| <i>Month</i> | <i>AM Peak (6am-9am)</i> | <i>Midday (10am-3pm)</i> | <i>PM Peak (3pm-7pm)</i> | <i>Off-Peak (7pm-12am)</i> | <i>Total</i> |
|------------------|------------------------------|------------------------------|------------------------------|--------------------------------|--------------|
| July | 0 | 0 | 1 | 2 | 3 |
| August | 13 | 17 | 28 | 13 | 71 |
| September | 62 | 21 | 73 | 27 | 183 |
| Total | 75 | 38 | 102 | 42 | 257 |
| Percent of Total | 29% | 15% | 40% | 16% | 100% |

Source: Cubic Crystal Reports, 2020.

How did Clipper START affect Caltrain's revenue?

Table 7: Clipper START Revenue Impact for Caltrain for Q1 for FY21

| <i>Month</i> | <i>Total Trips</i> | <i>Initial Fare Revenue Collected by Caltrain (50% of full value Adult Clipper Card fare)</i> | <i>Total Discount Provided by Caltrain (50% off of full value Adult Clipper Card fare)</i> | <i>Subsidy for Revenue Loss Provided by MTC (10% of full value Adult Clipper Card fare)</i> | <i>Total Net Revenue for Caltrain (Initial Fare Revenue + Subsidy)</i> |
|--------------|--------------------|---|--|---|--|
| July | 3 | \$9.25 | \$9.35 | \$1.86 | \$11.11 |
| Aug | 71 | \$236.45 | \$238.25 | \$47.47 | \$283.92 |
| Sep | 183 | \$626.05 | \$625.55 | \$125.16 | \$751.21 |
| Total | 257 | \$871.75 | \$873.15 | \$174.49 | \$1,046.24 |

Notes:

1. The slight discrepancy between total fare revenue collected and the discount provided is due to rounding rules for the fares with Clipper.
2. Source: Caltrain, 2020.

How is Clipper START being promoted?

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

Next Steps

- Regional expansion of program anticipated in winter 2020-2021 to include additional operators (subsidies to be provided by funding from CARES Act).
 - Second group launching on November 23, 2020
 - Third group launching in January 2021
- Caltrain will continue to promote Clipper START with our partners.
- Caltrain staff will provide an update on Q2 of FY21 in winter 2020 to the JPB.

Thank you!



BOARD OF DIRECTORS 2020

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MONIQUE ZMUDA

JIM HARTNETT
EXECUTIVE DIRECTOR

Memorandum

Date: November 23, 2020
To: Board of Directors
From: Jim Hartnett, Executive Director
Subject: December 3, 2020 JPB Board Meeting Executive Director's Report

- **On-time Performance –**
 - **Through November 22:** The preliminary November 2020 OTP was 96.7 percent compared to 93.4 percent for November 2019.
 - **October:** The October 2020 OTP was 97.3 percent compared to 93.3 percent for October 2019.
- **CAC Meeting –** The Citizens Advisory Committee met on Wednesday, November 18, via teleconference. Joy Sharma, Senior Project Manager – Capital Project Management, provided a presentation on 25th Avenue Grade Separation. Melissa Jones, Principal Planner - Caltrain Modernization, provided a presentation and update on Clipper START. Sebastian Petty, Deputy Chief - Planning, provided a presentation on COVID Recovery Planning. Joe Navarro, Deputy Chief – Rail Operations, provided the Staff Report. The next CAC meeting is scheduled for Wednesday, December 16, via teleconference or in San Carlos.

- **BAC Meeting** – The Bicycle Advisory Committee met on Thursday, November 19, via teleconference. Sebastian Petty, Deputy Chief - Planning, provided a presentation on Planned Service Changes. Dan Provence, Principal Planner, provided a presentation on Bike Parking & Micromobility Study Update. Lori Low, Public Affairs Officer, provided the Staff Report. The next BAC meeting is scheduled for Thursday, January 21, via teleconference or in San Carlos.
- **Special Event Train Service** – Caltrain is not operating special event service due to the cancellation or postponement of events as result of the COVID-19 pandemic.

Services Scheduled:

- **49ers Football** – Due to the COVID-19 pandemic, the 49ers began the 2020 season without fans in the stands. Levi's Stadium is in coordination with local and state health officials to determine when fans will be allowed back in the stands.
- **Stanford Football** – Due to the COVID-19 pandemic, the Pac-12 conference competition is taking place as a seven-game, modified conference-only season commencing on Saturday, November 7. No fans will be allowed in the stands during the 2020 college football season.
- **Holiday Service** – During the following days and Holidays, Caltrain will operate the following schedules:
 - Friday, December 25, 2020 – Christmas Day (Sunday schedule)
 - Thursday, December 31, 2020 – New Year's Eve (Regular Weekday schedule)
 - Friday, January 1, 2021 – New Year's Day (Sunday schedule)
- **Modified Service** – The Modified Schedule is a Modified Saturday Schedule with extra trains in each direction and includes one round trip from Gilroy to SF. The Modified Schedule will be implemented during the following days and observed holidays:
 - Thursday, December 24, 2020 – Christmas Eve
 - Monday, January 18, 2021 – Martin Luther King Day
 - Monday, February 15, 2021 – President's Day

Capital Projects –

The Capital Projects information is current as of November 13, 2020 and is subject to change between November 13 and December 3, 2020 (Board Meeting).

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

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

In November, construction activity continued for the retaining walls and underground utilities for the future roadway underpasses at 28th and 31st Avenues. Work also continued for the architectural and electrical finishes for the new Hillsdale Station and connecting bridges at 28th Avenue and the Pedestrian Underpass. Also in progress is the construction of the new parking lots along Delaware Street on the east side of the alignment. Additional work at the Borel Creek for environmental permit compliance was also completed.

Adjacent to this project is a new contract to relocate and improve the storm drain system along Delaware Street adjacent to the new station and new parking lots on the east side of the project. This work was to be undertaken by the City of San Mateo. This work is now being performed by Caltrain at the request of the City. The construction contract was advertised for bids on June 12, bids were received on August 3, and was awarded to Kingdom Pipelines at the October 1 Board Meeting. Execution of the contract is underway and a Limited Notice to Proceed is planned to be issued in November 2020 to kick off the 60-day administrative period.

Total project budget and schedule are currently impacted. Project team will be working with funding agencies to acquire additional funding and will be

coordinating with the City of San Mateo, SMCTA Board and JPB Board to update budget authority and schedule.

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

In November, the west plaza construction at the intersection of Airport Boulevard and Grand Avenue, and the connecting west ramps and stairway continued. Also, the structure of the electrical and communications conduits at the center boarding platform started. Due to the contractor caused delays, the project completion date is forecasted to extend from December 2020 until June 2021.

Total project budget and schedule are currently impacted. Project team will be working with funding agencies to acquire additional funding and will be coordinating with the City of South San Francisco, SMCTA Board and JPB Board to update budget authority and schedule.

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

The Limited Notice to Proceed was issued to the contractor, Proven Management, on August 10 and the project is continuing in the administrative period for critical submittals and safety training. Site surveys of existing utilities, coordination with the City of San Francisco for storage and staging areas, and preparatory work such as site cleanup have been underway. Construction will begin following the completion of the administrative period. The contract is planned to complete in the summer of 2021.

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

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

In October 2020, the project received FTA approval of the environmental clearance documents that were completed as a part of the preliminary engineering phase. On November 5, 2020, the final design contract award, to complete the design from Preliminary Engineering (35%) to Issue for Bid documents, was approved by the Board to Mark Thomas and Company Inc. The current schedule is to complete the final design for construction contract advertisement by mid-2023 and for construction to occur from early 2024 to early 2026.

- **Ticket Vending Machine (TVM) Rehabilitation:** Upgrade the existing TVM Server and retrofit and refurbish two existing TVM machines to become prototypes for new TVM's so that the machines are capable of performing the functions planned for the current Clipper program. The new machines will be able to dispense new Clipper cards (excluding discount Clipper cards

that require verification of eligibility) and have the ability of increasing the cash values of existing Clipper cards. The scope of the original contract was increased to include upgrades to the credit card reader and the database.

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

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

The 100% crossing design by the Electrification project is still not yet available for design coordination and a timeframe for its receipt is to be determined. The project has proceeded to complete its own design without this information from the Electrification project. The 100% design is complete and the Notice to Proceed for construction was issued to TASI on July 9. TASI is still currently procuring materials for the work that is expected for delivery in early 2021. TASI has commenced construction with preparatory work for installation of underground wires and cables before the equipment arrives.

- **FY19/FY20 Grade Crossing Improvements:** This project is a continuation of the ongoing grade crossing program to improve the safety at grade crossings in accordance with Grade Crossing Hazards Analysis for the entire corridor. This analysis prioritized the crossings and we have proceeded with the work in phases based on funding availability. 10 crossings were improved in 2018 under the FY16 budget authorization. Due to budget constraints, the FY19/FY20 scope is limited to five (5) crossings to be improved. The five crossings selected to be improved in this phase are 1st,

2nd, and 3rd Avenues in San Mateo, and, Glenwood and Oak Grove Avenues in Menlo Park. Work items that are included are the installation of signals, fences, gates, curbs, lighting and signs.

The construction contract was advertised for bids on August 31 and multiple bids were received on October 12. The staff's review of bids has been completed. The award of the contract is now advanced to the December 2020 board meeting. Construction is planned to begin in early 2021 and lasting until Fall of 2021.

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

The project began in December 2019. The 35% design received in March is under review including the review by the City of Palo Alto. The City of Palo Alto is rethinking the scope of work for the project and is in discussion with CPUC and Caltrans to modify the scope. Design is currently on hold until the City of Palo Alto decides on the scope in order to proceed forward with the project. The City of Palo Alto has just recently retained a design consultant to support their efforts and a kick off meeting has been held between staff and the City's design consultant.

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

The project is currently nearing the completion of the planning/conceptual design phase that began in November 2019. Following the planning/conceptual design phase, the project will enter the final design phase to complete the design and develop construction contract bid documents for advertisement in 2021.

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

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

The first vehicle #923 was shipped to the vendor's facility at Mare Island (Vallejo) in July overhauling is underway with completion of the first locomotive expected by the winter of 2020/2021. A second vehicle #924 was shipped to the vendor's facility in November for overhauling.

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: John Funghi
Chief Officer, Caltrain Modernization Program

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

ACTION

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

SIGNIFICANCE

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

BUDGET IMPACT

There is no impact on the budget.

BACKGROUND

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

Prepared by: Josh Averill, Program Management Administrator

650.508.6453



Caltrain Modernization Program Peninsula Corridor Electrification Project (PCEP)



October 2020 Monthly Progress Report

October 31, 2020

Funding Partners



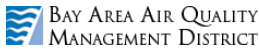
Federal Transit Administration (FTA) Core Capacity
FTA Section 5307 (Environmental / Pre Development only)
FTA Section 5307 (Electric Multiple Unit (EMU) only)



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



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



Carl Moyer Fund



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



San Francisco
County Transportation
Authority



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



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



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



City and County of San Francisco (CCSF) Contribution

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1.0 BACKGROUND

Over the last decade, Caltrain has experienced a substantial increase in ridership and anticipates further increases in ridership demand as the San Francisco Bay Area's population grows. The Caltrain Modernization (CalMod) Program, scheduled to be implemented by 2021, will electrify and upgrade the performance, operating efficiency, capacity, safety, and reliability of Caltrain's commuter rail service.

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

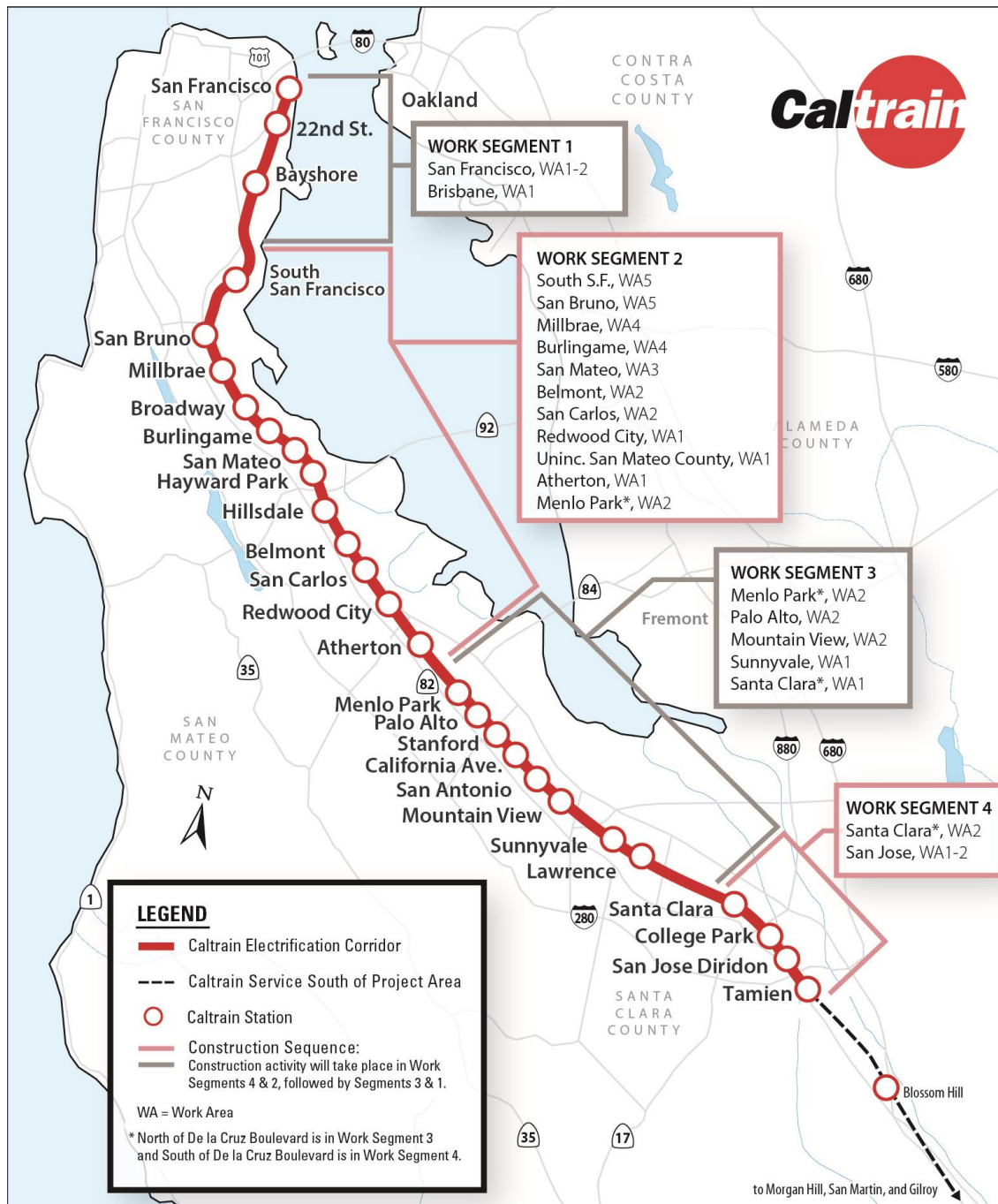
An electrified Caltrain will better address Peninsula commuters' vision of environmentally friendly, fast and reliable service. Electrification will modernize Caltrain and make it possible to increase service while offering several advantages in comparison with existing diesel power use, including:

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

2.0 EXECUTIVE SUMMARY

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

Figure 2-1 PCEP Work Segments



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The first signal cutover was completed in Segment 4 this month. Preparation for other cutovers is ongoing. Off-track foundations continued to be installed in Segment 1, and on-track foundations were installed in Segments 3, and 4. Ground grid and gantry steel were installed at Paralleling Station (PS) PS-5. Crews continued to install poles, cantilevers, and wires in Segment 3, as well as regulation (sagging) of Overhead Catenary System wires.

Stadler’s EMU activities in Switzerland have returned to normal production levels. The first EMU trainset to be delivered to Caltrain has been delayed over three months to the end of June 2021 due to Coronavirus Disease 2019 (COVID-19) impacts. Progress on Trainset 1 type testing is slow due to travel restrictions. However, Stadler has managed to obtain some emergency visas to allow some progress. Stadler’s supply chain has been disrupted by two supplier bankruptcies also due to COVID-19 impacts, and the resulting delay to the delivery of trainsets is currently being evaluated.

Construction progress at the Centralized Equipment Maintenance and Operations Facility (CEMOF) included mechanical work in the Parts Storage Warehouse (PSW), completion of the fabric installation in the PSW, construction of the wall at the north pit, and backfilling the south pit walls.

2.1. Monthly Dashboards

Dashboard progress charts are included below to summarize construction progress.

Figure 2-2 Expenditure – Planned vs. Actual

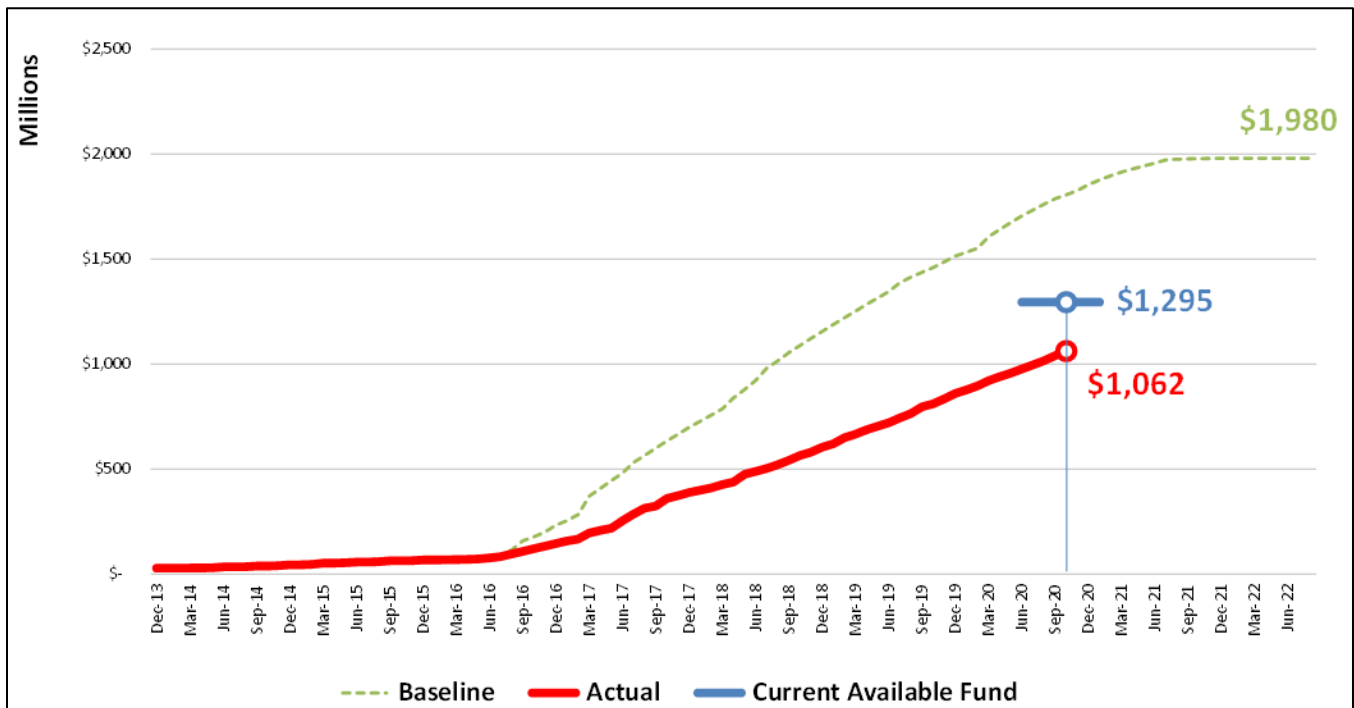


Figure 2-3 Spending Rate vs. Required

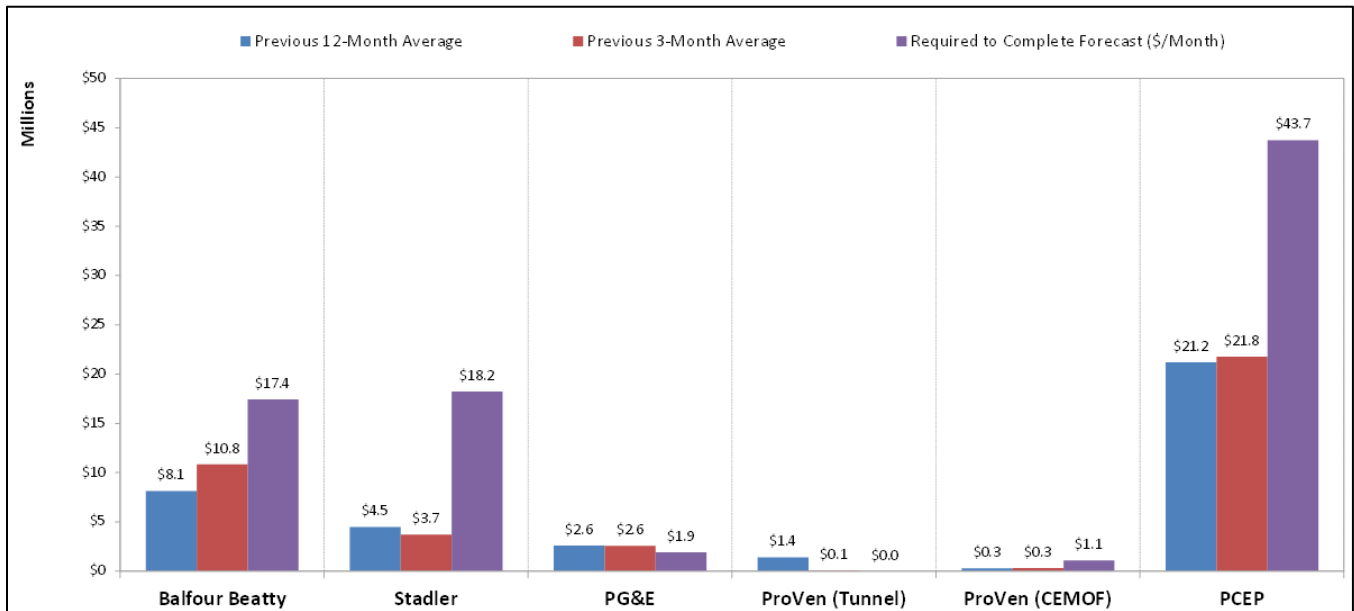


Figure 2-4 Construction Contract Budgets

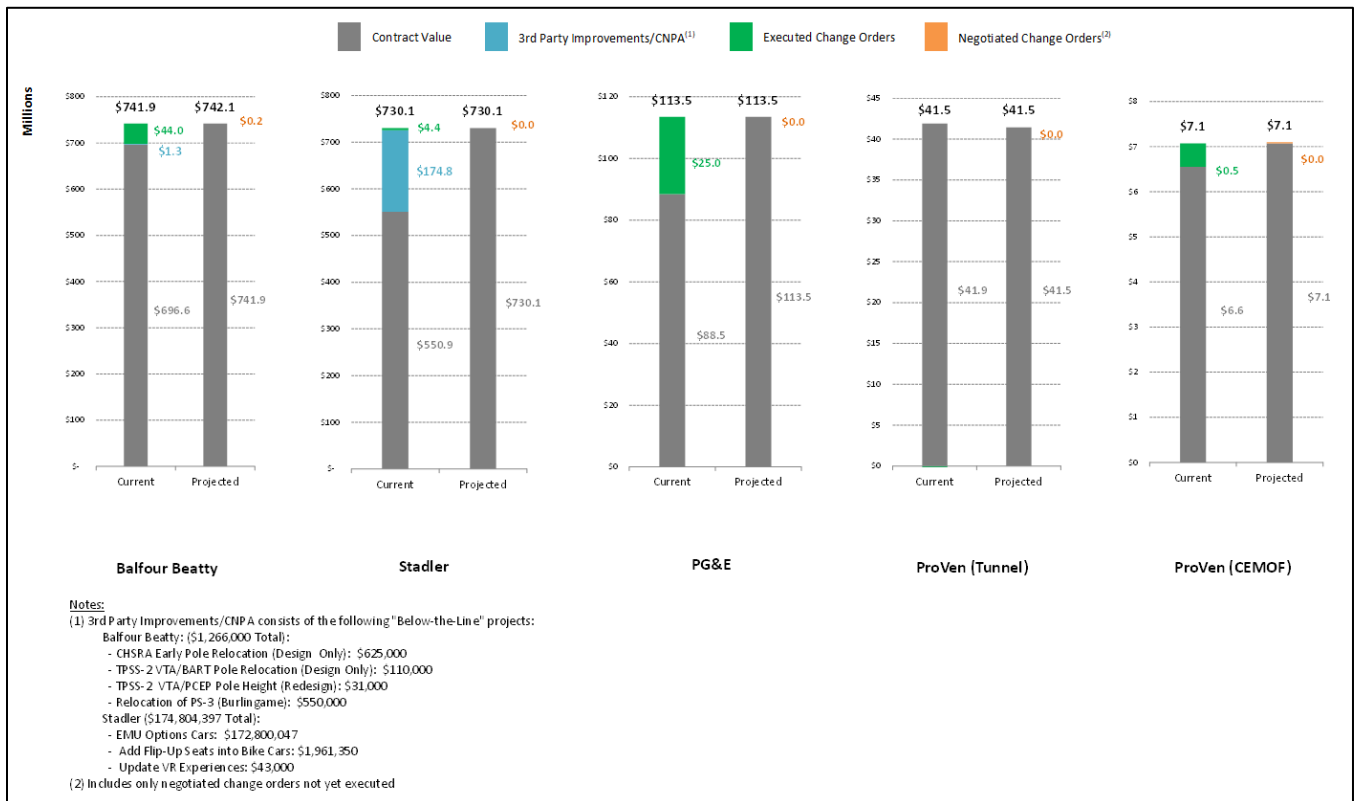
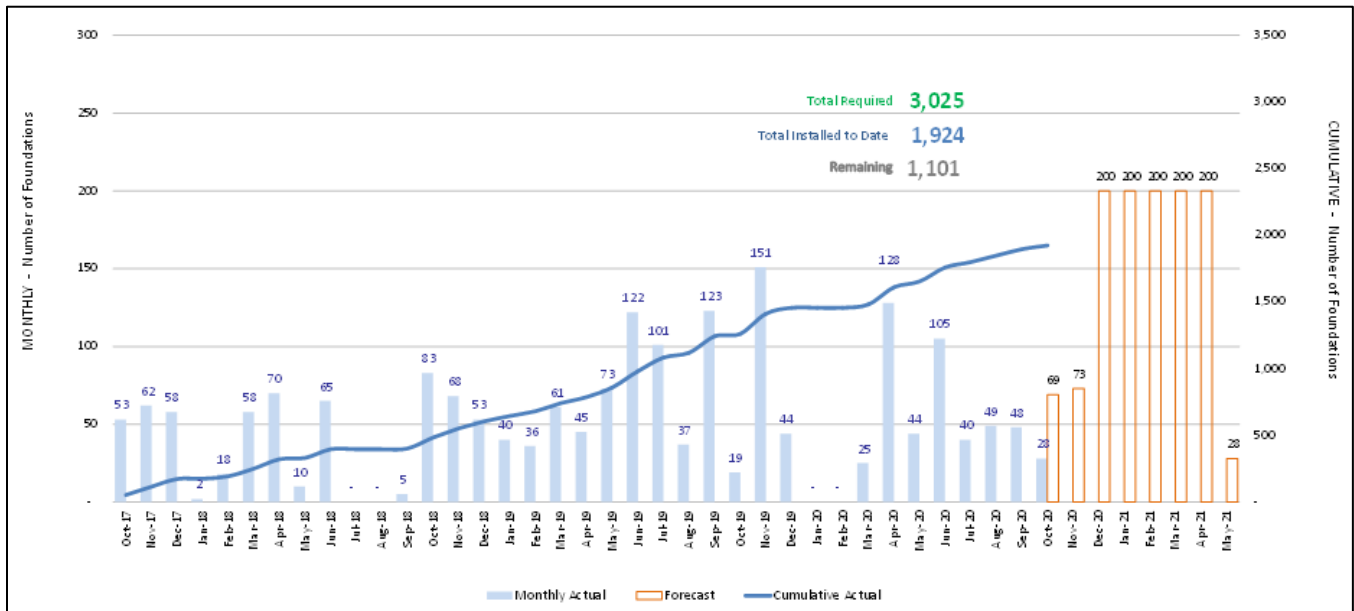


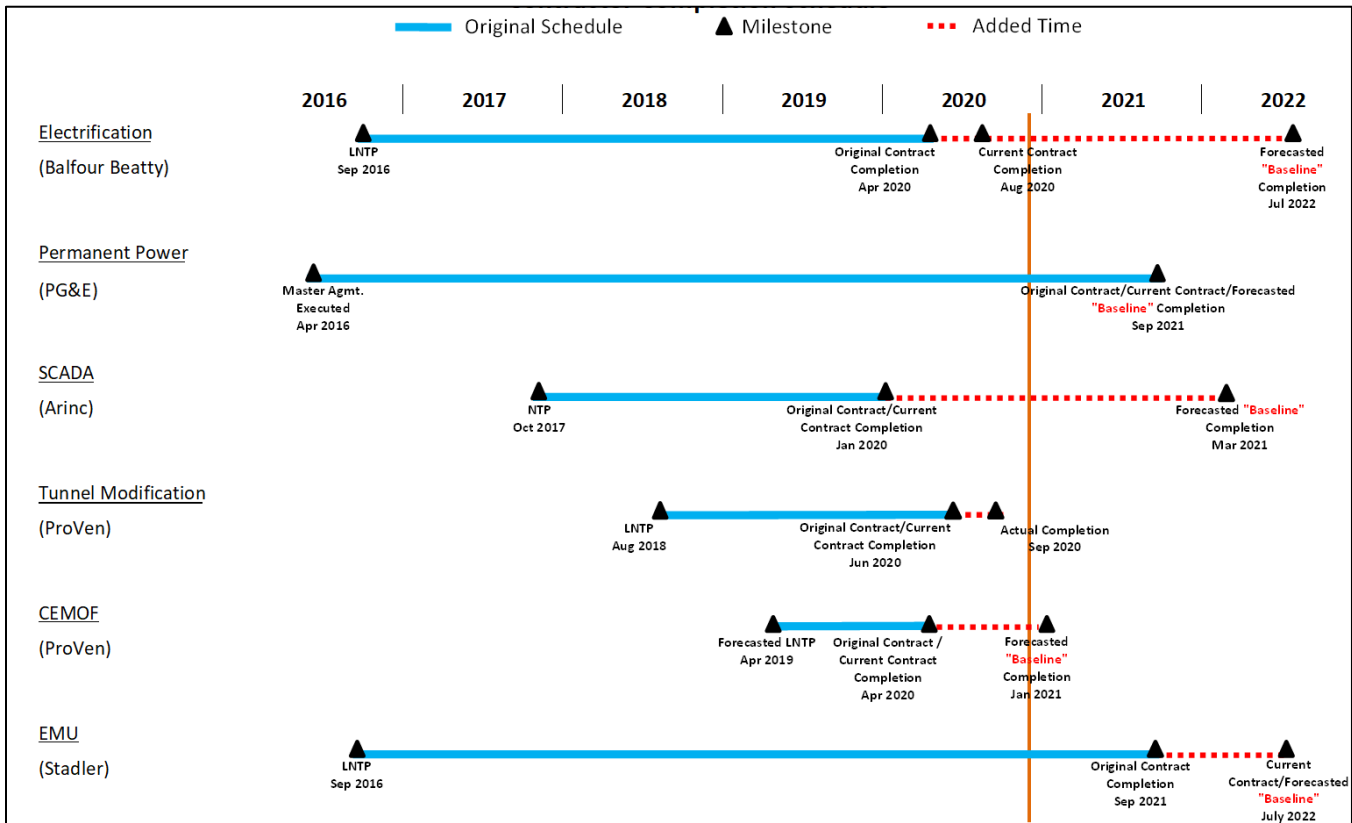
Figure 2-5 OCS Foundation Production



Notes regarding tables above:

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

Figure 2-6 Contractor Completion Schedule



2.2. Funding Partners Participation in PCEP

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

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

Electrification – Weekly Discipline-Specific Meetings

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

Activity this Month

OCS Foundation Meeting

Funding Partners: None

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

TPF Meeting

Funding Partners: None

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

PCEP Delivery Coordination Meeting – Bi-Weekly

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

Activity this Month

Funding Partners: SFCTA: Luis Zurinaga; MTC: Trish Stoops; VTA: Dennis Ratcliffe

The Federal Transit Administration (FTA) Quarterly Update occurred virtually on October 29. Quotes for the Scissor Lift Work Platforms are due on November 6. The EMU static two-passenger table testing has been conducted with favorable results and the dynamic testing is scheduled for November. The final inspection for Trainset 1 Readiness for Type Testing will take place the week of November 16, and Trainset 1 is on track to arrive in Pueblo in January. The redesign of the Federal Railroad Administration (FRA) requested bike car barriers is currently with Caltrain for consideration. The FRA may rescind the request for one barrier and Caltrain is currently waiting for confirmation. Work is ongoing with the CEMOF pit and equipment room, and two change orders have been approved for the project. In design build activities, off-track foundations have resumed in Segment (S) S1B, and on-track foundations will resume in S3 and S4 the week of November 16. The JPB is preparing a presentation for the November SamTrans Board regarding the Britannia Gateway condemnation. Traction Power Substation (TPS) TPS-2 overhead work is forecasted to start by October 22. TPS-1 underground is forecasted to start by February 5 and overhead work will start late March/early April. A construction bid walk for the underground utilities at East Grand

occurred on October 22 and three subcontractors were in attendance. The bid is due on November 17.

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: Trish Stoops – Metropolitan Transportation Commission

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 delivery of the 25th Avenue Grade Separation Project, Marin Napoleon Bridge Rehabilitation Project, and the South San Francisco Station Project is ongoing. Discussions have started regarding an upcoming capital project to replace the Guadalupe River Bridge. There is coordination with the Tunnel Modification Project, PG&E construction of the Interconnection to TPS-2, and the CEMOF upgrades as well. The Systems Integration meeting has been re-focused to track and coordinate issues between PCEP and the overall agency (JPB). This was done to avoid task overlap with the JPB Rail Activation Committee. A smaller “breakout” group is meeting to determine and track what testing and with which resources will need to be coordinated among the various contracts and suppliers. This “Testing and Commissioning Meeting” is the primary interface to the PCEP Design-Build Team at this time. Work to define dependencies for completion of Segment 4 (Intermediate Milestone #1) is ongoing with the Testing & Commissioning discussion. Work continues to develop a schedule fragnet for the achievement of Intermediate Milestone #1. This group will report back to the System Integration meeting group with their findings.

Master Program Schedule (MPS) Meeting – Monthly

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

Activity this Month

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

The program critical path was revised in October due to delays on the Electrification contract. Balfour Beatty Infrastructure Inc. (BBII) continues to progress signals design and construction effort below baseline productivity levels. The incorporation of this delay has resulted in a three month delay to BBII’s substantial completion and a shift of the program critical path from vehicles to electrification.

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Additionally, BBII had previously reported delays in delivery of traction power switchgear. These impacts have been reviewed and incorporated into the MPS and represent the near-critical path to completion of electrification.

The forecasted completion for BBII is now July 27, 2022. JPB is working with BBII on these issues and is urging BBII to accelerate resolution. This impact has also resulted in a drawdown of five days on contingency, leaving the program with 26 days of remaining contingency.

Additionally, due to electrification efforts now being forecasted to complete after acceptance of all trainsets, the concept of Phased Revenue Service has been removed from the schedule. Phased Revenue Service assumed that some trainsets would be placed into service upon completion of electrification. However, as the schedule currently stands, all trainsets will be ready for service once the system is electrified.

Stadler's forecasted completion date remains at July 22, 2022, placing their effort on the near-critical path. However, COVID-19 continues to impact Stadler's ability to assemble and test EMU trainsets. This remains a fluid situation as the effect of COVID-19 on Stadler during the upcoming winter months remains unknown. These delays continue to be examined for potential impact to remaining program contingency and FFGA RSD.

Risk Assessment Meeting – Monthly

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

Activity this Month

Funding Partners: Luis Zurinaga, Trish Stoops

Two risks were regraded, one was both regraded and the risk description revised, and two new risks were identified. These new risks will be reviewed with risk owners and entered onto the risk register.

Change Management Board (CMB) – Monthly

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

Activity this Month

The CMB meeting occurred on October 21.

Funding Partners: CHSRA: Boris Lipkin and Simon Whitehorn; VTA: Franklin Wong; SFCTA: Luis Zurinaga; SMCTA: Joe Hurley; MTC: Trish Stoops and Kenneth Folan

BBII Contract

One change was approved.

CEMOF Contract

Two changes were approved.

Stadler Contract

One change was approved.

SCADA Contract

No changes were identified for consideration.

Tunnel Modification Contract

No changes were identified for consideration.

Amtrak Contract

No changes were identified for consideration.

Other

No changes were identified for consideration.

2.3. Schedule

The program critical path was revised in October due to delays on the Electrification contract. Balfour Beatty Infrastructure Inc. (BBII) continues to progress signals design and construction effort below baseline productivity levels. The incorporation of this delay has resulted in a three month delay to BBII's substantial completion and a shift of the program critical path from vehicles to electrification.

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

Table 2-1 Schedule Status

| Milestones | Program Plan | Progress Schedule (October 2020) ¹ |
|---|--------------|---|
| Arrival of First Vehicle in Pueblo, CO | N/A | 11/25/2020 |
| Arrival of First Vehicle at JPB | N/A | 04/30/2021 ² |
| Segment 4 Completion | 11/21/2019 | 06/30/2021 |
| o Interconnection from PG&E Substation to Traction Power Substation (TPS) | N/A | 01/29/2021 ³ |
| PG&E Provides Permanent Power | 09/09/2021 | 09/09/2021 |
| Acceptance of 14 th Trainset | 08/20/2021 | 07/22/2022 ² |
| Electrification Substantial Completion | 08/10/2020 | 07/27/2022 ³ |
| RSD (w/o Risk Contingency) | 12/09/2021 | 07/28/2022 ³ |
| FFGA RSD (w/ Risk Contingency) | 08/22/2022 | 08/22/2022 |

Note:

1. Dates may shift slightly as the update of this month’s Progress Schedule is still in process.
2. These dates are expected to be delayed due to COVID-19 impacts on Stadler’s manufacturing facility in Salt Lake City.
3. See “Notable Variances” in Section 7 for explanation on date shift.

2.4. Budget

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

Table 2-2 Budget and Expenditure Status

| Description of Work | Budget (A) | Current Budget (B) ¹ | Cost This Month (C) ² | Cost To Date (D) ³ | Estimate To Complete (E) | Estimate At Completion (F) = (D) + (E) |
|--------------------------|------------------------|------------------------------------|-------------------------------------|----------------------------------|-----------------------------|---|
| Electrification Subtotal | \$1,316,125,208 | \$1,316,125,208 | \$15,510,424 | \$815,406,167 | \$500,719,041 | \$1,316,125,208 |
| EMU Subtotal | \$664,127,325 | \$664,127,325 | \$5,913,468 | \$246,667,835 | \$417,459,490 | \$664,127,325 |
| PCEP TOTAL | \$1,980,252,533 | \$1,980,252,533 | \$21,423,893 | \$1,062,074,002 | \$918,178,531 | \$1,980,252,533 |

Notes regarding tables above:

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

2.5. Board Actions

- None

Future anticipated board actions include:

- Change orders for CEMOF fire sprinkler waterline and boosted waterline
- Change orders as needed

2.6. Government and Community Affairs

There were two outreach events this month.

3.0 ELECTRIFICATION – INFRASTRUCTURE

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

3.1. Electrification

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

Activity This Month

- Continued to install on-track in Segments 3 and 4 as conflicts are resolved.
- Continue to install off-track foundations in Segment 1.
- Continued installation of OCS poles, cantilevers, and wires in Segment 3 following the foundations.
- Continued regulation of OCS wires (sagging the wires) in Segment 3.
- Continued installation of shunt wires in Segment 3.
- Potholed at proposed OCS locations and utility locations in all Segments in advance of foundation installation. BBI and PCEP also continued to resolve conflicts found during the potholing process, such as loose concrete, asphalt, and other debris, and continued designing solutions for those conflicts that cannot be avoided. The conflicts must be resolved before installation of foundations at those locations.
- Relocated signal cables and remove abandoned facilities found in conflict with planned OCS foundations as conflicts were identified.
- Continued installation of ground grid and gantry steel at PS-5.
- Completed installation of high and low voltage cable at PS-2.
- Continued wall rebar installation at PS-4.
- Continued CMU wall construction at PS-6.
- Continued fence installation at PS-7.
- Continued to install signal ductbank, conduits, and cables in Segment 2.
- Continued to install signal ductbank, conduits, and cables in Segment 4.
- Completed first signal cutover in Segment 4.
- Continued conduit and cable installation at Control Point (CP) Stockton.
- Continued cable termination at CP Alameda Auzerais Crossing.
- Performed pre-testing at multiple sites in Segment 4.
- Installed fiber optic cable in Segment 4.

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

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

Table 3-1 Work Progress by Segment

| Segment | Work Area | Foundations | | | Poles | | |
|--------------|-----------|-------------------------|----------------------|--------------------------------|------------------------|----------------------|--------------------------------|
| | | Required ^{abc} | Completed this Month | Completed to Date ^e | Required ^{ab} | Completed this Month | Completed to Date ^d |
| 1 | Tunnels | 32 | 0 | 32 | 32 | 0 | 32 |
| | A | 309 | 0 | 0 | 259 | 0 | 0 |
| | B | 237 | 12 | 48 | 177 | 0 | 0 |
| 2 | 5 | 236 | 10 | 209 | 209 | 0 | 160 |
| | 4 | 314 | 0 | 238 | 254 | 0 | 190 |
| | 3 | 176 | 0 | 128 | 141 | 0 | 36 |
| | 2 | 247 | 0 | 78 | 205 | 0 | 60 |
| | 1 | 207 | 0 | 79 | 154 | 0 | 33 |
| 3 | 2 | 510 | 2 | 503 | 441 | 42 | 416 |
| | 1 | 387 | 0 | 374 | 310 | 10 | 272 |
| 4 | A | 241 | 11 | 217 | 177 | 15 | 127 |
| | B | 128 | 3 | 113 | 123 | 0 | 86 |
| | CEMOF | 96 | 0 | 0 | 81 | 0 | 0 |
| Total | | 3,120 | 38 | 2,019 | 2,563 | 67 | 1,412 |

Note:

- a. Foundations required do not match poles required as guy foundations are needed in some locations for extra support.
- b. Reported number of required poles and foundations fluctuate due to Design changes.
- c. Update: To-date, 30 foundations have been installed by the South San Francisco in S2WA5 and 65 have been installed by the 25th Ave projects in S2WA3.
- d. Miscalculations total quantities of poles installed in S3WA1 and S3WA2 for September reporting.

Activity Next Month

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

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

3.2. Supervisory Control and Data Acquisition

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

Activity This Month

- Submitted formal schedule for review and Monthly Progress Report.
- Continued Progress to SCADA Operations User Manual.
- Continued work on Training Plan.
- Started reviewing updated points listing received from BBII.
- Work on the Training Manual was delayed due to a staff personal emergency. Expected to be complete in November.

Activity Next Month

- Prepare and deliver the Monthly Report and the Monthly Schedule Update.
- Attend project status meetings (virtually).
- Complete revisions for Operations User Manual.
- Complete revisions for Training Manual.
- Complete Training Plan.

3.3. Tunnel Modification

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

Activity This Month

- Letters, submittals, and Requests for Information closeout.
- Change Order reconciliation.
- Completed the OCS testing.
- Finished the signage installation.

Activity Next Month

- Review and respond to letters.
- Punch List items.

3.4. Interconnection Construction

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

Activity This Month

- FMC – TPS-2:
 - PG&E and JPB working on the easement at VTA prior to construction.
 - PG&E/TRC started the installation of the H frames at TPS-2.
 - Caltrans permit to cross I-880/remove trees submitted on 9/4.
- EGS – TPS-1:
 - JPB provided the staging at TPS-1.

Activity Next Month

- FMC – TPS-2:
 - Continue with the installation of the H- Frames and TSPs.
- EGS – TPS-1:
 - Continue the Coordination for the TSP pole design with South San Francisco team and JPB planning and development.

4.0 ELECTRIC MULTIPLE UNITS

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

4.1. Electric Multiple Units

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

Activity This Month

- COVID-19 related actions continued for the eighth month causing mixed disruptions to Stadler's activities:
 - Stadler's manufacturing facilities in Switzerland supporting the Caltrain Project have returned to normal levels of activity.
 - Stadler's manufacturing facility in Salt Lake City has reverted back to two production shifts in order to limit the number of workers per car. This is due to a recent outbreak of COVID-19 at that facility.
 - The Switzerland-based manufacturing of car shells and trucks frames is on schedule.
 - Salt Lake City-based manufacturing is delayed due to previously incurred and ongoing person-power limitations and sub-supplier parts shortages.
 - Stadler has submitted a request for an 'excusable delay' due to COVID-19. The extent of the continuing delay is being evaluated. Currently, shipping the first trainset to Pueblo, Colorado for testing has been delayed five months to January 2021, and the first trainset to be delivered to Caltrain delayed 3.5 months to the end of June 2021.
 - Salt Lake City-based 'Type Testing' of Trainset No. 1 is progressing slowly due to COVID-19 travel restrictions. Workarounds, including Stadler obtaining emergency visas, have allowed progress in this area. Type testing is scheduled to begin in mid-November.
 - Stadler's supply chain has been disrupted by two supplier bankruptcies. This will delay delivery of trainsets. The extent of the delay is being evaluated by Stadler.
- Final Design Reviews remain to be completed for three systems. These software-based systems include 'Train Control,' 'Monitoring and Diagnostics,' and 'PTC.' Completion is scheduled for November 2020 and must be performed prior to the commencement of Type Testing.
- First Article Inspections (FAI) continue to have their paperwork formalized and closed out.
- 52 car shells have been shipped from Stadler Switzerland, with 43 onsite in Stadler's Salt Lake City facility (eight in transit and one returned for minor repair).

- Quality Assurance audits of USA-based sub-suppliers were halted in mid-March due to COVID-19 travel restriction. Audits will commence when sub-suppliers reopen and travel restrictions are lifted.
- Stadler's trainset delivery and testing schedule on Caltrain property has been re-baselined.

Activity Next Month

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

4.2. Centralized Equipment Maintenance and Operations Facility Modifications

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

Activity This Month

- Mechanical work inside the Parts Storage Warehouse (PSW) continued.
- Received all storage racks and started the installation of the racks in the PSW.
- Completed fabric installation of the Parts Storage Warehouse.
- Poured stair 71 slab.
- Completed installation of fire sprinkler line at Parts Storage Warehouse.
- Constructed wall at north pit.
- Completed backfill of south pit walls.
- Received material, saw cut CMU wall, demolished CMU wall, and started installation of the steel frame at the Component Test Room.

Activity Next Month

- Boosted Water line work.
- Backfill walls at south pit.
- Cure, strip formwork, sack & patch and waterproof north pit walls.
- Continue work on installation of the steel frame, grouting frames, and removal of the shoring at the Component Test Room.
- Construct the concrete ramps at the PSW.
- Start electrical work inside the PSW.
- Continue to install racks/furnishings in the PSW.
- Continue to install the office within the PSW.

5.0 SAFETY

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

Activity This Month

- Project staff provided input and continued its participation in the BBII contractor workforce safety meetings. Project incidents continue to be reviewed with project staff to reinforce the application of recommended safety mitigation measures.
- Conducted 2020 monthly employee injury reviews for BBII and its subcontractors.
- Continued to provide input and oversight of the contractor SSWP safety provisions and ongoing safety construction oversight and inspections.
- Conducted the monthly project Safety and Security Certification and Fire/Life Safety Meetings.
- Participated in the FTA and Caltrain / PCEP Quarterly Meeting.
- Participated in the preparations and lessons learned discussions resulting from the initial project signal cutover process.
- 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.
- Reviewed the status and next steps needed to support compliance to the FTA Oversight Procedure 54 (Readiness for Service) project safety and security requirements.
- Conducted ongoing safety inspections of contractor field activities and performed pre-work site hazards assessment walks with BBII and subcontractor staff.
- Performed hi-rail vehicle safety inspections of contractor on-track equipment.
- Participated in weekly project coordination meetings with the contractor to review open issues and recommended action items.
- Continued to coordinate with JPB Safety and the project contractors with the application of mitigation measures in response to the evolving COVID-19 virus.

Activity Next Month

- Monthly virtual safety communication meetings continue to be scheduled for the Project Safety and Security Certification Committee, Fire/Life Safety Committee, Rail Activation Committee, and other project-related contractor and JPB safety meetings to discuss safety priorities.
- Finalize safety and security certification documentation requirements in coordination with ongoing 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 evolving COVID-19 virus.
- Investigate project incident occurrences as needed and work with the contractor representatives to identify incident root causes and develop and implement safety and security mitigation measures.

6.0 QUALITY ASSURANCE

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

Activity This Month

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

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

Table 6-1 Quality Assurance Audit Summary

| Quality Assurance Activity | This Reporting Period | Total to Date |
|-----------------------------------|------------------------------|----------------------|
| Audits Conducted | 3 | 127 |
| Audit Findings | | |
| Audit Findings Issued | 0 | 79 |
| Audit Findings Open | 0 | 0 |
| Audit Findings Closed | 3 | 79 |
| Non-Conformances | | |
| Non-Conformances Issued | 0 | 12 |
| Non-Conformances Open | 0 | 3 |
| Non-Conformances Closed | 0 | 9 |

Activity Next Month

- Conduct field surveillances at TPS-2, 3 and 4.
- Conduct a Part 3 Audit of BBII second shift OCS Poles and Wires Assembly and Alignment.

7.0 SCHEDULE

The program critical path was revised in October due to delays on the Electrification contract. Balfour Beatty Infrastructure Inc. (BBII) continues to progress signals design and construction effort below baseline productivity levels. The incorporation of this delay has resulted in a three month delay to BBII's substantial completion and a shift of the program critical path from vehicles to electrification.

Additionally, BBII had previously reported delays in delivery of traction power switchgear. These impacts have been reviewed and incorporated into the MPS and represent the near-critical path to completion of electrification.

The forecasted completion for BBII is now July 27, 2022. JPB is working with BBII on these issues and is urging BBII to accelerate resolution. This impact has also resulted in a drawdown of five days on contingency, leaving the program with 26 days of remaining contingency.

Additionally, due to electrification efforts now being forecasted to complete after acceptance of all trainsets, the concept of Phased Revenue Service has been removed from the schedule. Phased Revenue Service assumed that some trainsets would be placed into service upon completion of electrification. However, as the schedule currently stands, all trainsets will be ready for service once the system is electrified.

Stadler's forecasted completion date remains at July 22, 2022, placing their effort on the near-critical path. However, COVID-19 continues to impact Stadler's ability to assemble and test EMU trainsets. This remains a fluid situation as the effect of COVID-19 on Stadler during the upcoming winter months remains unknown. These delays continue to be examined for potential impact to remaining program contingency and FFGA RSD.

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

Table 7-1 Schedule Status

| Milestones | Program Plan | Progress Schedule (October 2020) ¹ |
|---|--------------|---|
| Arrival of First Vehicle in Pueblo, CO | N/A | 11/25/2020 |
| Arrival of First Vehicle at JPB | N/A | 04/30/2021 ² |
| Segment 4 Completion | 11/21/2019 | 06/30/2021 |
| o Interconnection from PG&E Substation to Traction Power Substation (TPS) | N/A | 01/29/2021 ³ |
| PG&E Provides Permanent Power | 09/09/2021 | 09/09/2021 |
| Acceptance of 14 th Trainset | 08/20/2021 | 07/22/2022 ² |
| Electrification Substantial Completion | 08/10/2020 | 07/27/2022 ³ |
| RSD (w/o Risk Contingency) | 12/09/2021 | 07/28/2022 ³ |
| FFGA RSD (w/ Risk Contingency) | 08/22/2022 | 08/22/2022 |

Note:

¹. Dates may shift slightly as the update of this month's Progress Schedule is still in process.

². These dates are expected to be delayed due to COVID-19 impacts on Stadler's manufacturing facility in Salt Lake City.

³. See "Notable Variances" for explanation on date shift.

Notable Variances

Completion of the construction of the interconnection from the PG&E substation to the Traction Power Substation 2 (TPS-2) has been delayed from January 29, 2021 due to delays in commencing with construction. This delay is not expected to impact completion of Segment 4 to support EMU testing.

BBII continues to report an overall delay to substantial completion. JPB is working with BBII on the issue and is urging BBII to accelerate resolution. As of the end of October, a three month delay is reflected in the MPS to substantial completion of the electrification system due to continued delays in the design and construction of the signals system.

The delay to completion of the electrification system has also resulted in a drawdown of five days on contingency, leaving the program with 26 days of remaining contingency.

Table 7-2 Critical Path Summary

| Activity | Start | Finish |
|---|-------------|------------|
| Signal Design, Installation and Cutover | In progress | 05/04/2022 |
| OCS / Comm / SCADA Acceptance Testing | 05/05/2022 | 06/13/2022 |
| Integrated Testing | 06/14/2022 | 07/27/2022 |
| FFGA RSD w/ Risk Contingency | 08/22/2022 | 08/22/2022 |

Schedule Hold Points

Schedule Hold Points (SHP) represent key milestones on or near a schedule's critical path that are used as measurement points with respect to contingency drawdown. Delays to these key milestones have the potential to require a program to utilize available contingency. Table 7-3 below reflects the SHPs for the PCEP program schedule. The dates indicated reflect the planned completion dates for each SHP.

Table 7-3 Schedule Hold Points

| Schedule Hold Point (SHP) | Date |
|---|----------------|
| FTA/PMOC Risk Refresh | 08/30/2016 (A) |
| Begin EMU Manufacturing | 12/04/2017 (A) |
| Arrival of 1 st Trainset in Salt Lake City | 02/04/2019 (A) |
| Arrival of 1 st Trainset in Pueblo, CO | 11/25/2020 |
| Arrival of 1 st Trainset at JPB | 04/30/2021 |
| Segment 4 Completion | 06/30/2021 |
| Conditional Acceptance of 1 st Trainset | 12/17/2021 |
| Conditional Acceptance of 14th Trainset | 07/22/2022 |
| System Electrified | 07/27/2022 |
| FFGA RSD w/ Risk Contingency | 08/22/2022 |

Note: "(A)" denotes an actual completion

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8.0 BUDGET AND EXPENDITURES

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

Table 8-1 Electrification Budget & Expenditure Status

| Description of Work | Budget (A) | Current Budget (B) ¹ | Cost This Month (C) ² | Cost To Date (D) ³ | Estimate To Complete (E) | Estimate At Completion (F) = (D) + (E) |
|---------------------------------|------------------------|------------------------------------|-------------------------------------|----------------------------------|-----------------------------|---|
| ELECTRIFICATION | | | | | | |
| Electrification ⁽⁴⁾ | \$696,610,558 | \$740,578,339 | \$10,694,660 | \$444,214,665 | \$296,363,674 | \$740,578,339 |
| SCADA | \$0 | \$3,446,917 | \$0 | \$1,934,371 | \$1,512,546 | \$3,446,917 |
| Tunnel Modifications | \$11,029,649 | \$41,453,871 | \$0 | \$41,298,739 | \$155,132 | \$41,453,871 |
| Real Estate | \$28,503,369 | \$28,503,369 | \$114,245 | \$22,752,889 | \$5,750,480 | \$28,503,369 |
| Private Utilities | \$63,515,298 | \$117,735,634 | \$1,655,505 | \$98,523,682 | \$19,211,953 | \$117,735,634 |
| Management Oversight | \$141,506,257 | \$158,603,388 | \$1,506,459 | \$148,137,742 | \$10,465,647 | \$158,603,388 |
| Executive Management | \$7,452,866 | \$9,568,427 | \$103,671 | \$8,869,367 | \$699,060 | \$9,568,427 |
| Planning | \$7,281,997 | \$6,281,997 | \$3,174 | \$5,842,882 | \$439,115 | \$6,281,997 |
| Community Relations | \$2,789,663 | \$1,789,663 | \$6,061 | \$1,601,753 | \$187,910 | \$1,789,663 |
| Safety & Security | \$2,421,783 | \$4,297,861 | \$89,196 | \$3,907,857 | \$390,004 | \$4,297,861 |
| Project Management Services | \$19,807,994 | \$17,526,725 | \$163,699 | \$13,660,716 | \$3,866,009 | \$17,526,725 |
| Engineering & Construction | \$11,805,793 | \$13,310,956 | \$211,037 | \$11,798,029 | \$1,512,928 | \$13,310,956 |
| Electrification Eng & Mgmt | \$50,461,707 | \$50,461,707 | \$208,002 | \$50,623,223 | (\$161,516) | \$50,461,707 |
| Construction Management | \$0 | \$7,553,100 | \$503,274 | \$6,970,329 | \$582,771 | \$7,553,100 |
| IT Support | \$312,080 | \$407,170 | \$0 | \$407,170 | \$0 | \$407,170 |
| Operations Support | \$1,445,867 | \$3,337,383 | \$35,304 | \$2,831,343 | \$506,040 | \$3,337,383 |
| General Support | \$4,166,577 | \$6,963,434 | \$86,668 | \$6,023,843 | \$939,591 | \$6,963,434 |
| Budget / Grants / Finance | \$1,229,345 | \$1,626,354 | \$1,396 | \$1,356,969 | \$269,385 | \$1,626,354 |
| Legal | \$2,445,646 | \$4,993,672 | \$21,360 | \$4,743,553 | \$250,119 | \$4,993,672 |
| Other Direct Costs | \$5,177,060 | \$5,777,060 | \$73,618 | \$4,792,830 | \$984,230 | \$5,777,060 |
| Prior Costs 2002 - 2013 | \$24,707,878 | \$24,707,878 | \$0 | \$24,707,878 | \$0 | \$24,707,878 |
| TASI Support | \$55,275,084 | \$58,655,803 | \$1,516,580 | \$48,060,029 | \$10,595,774 | \$58,655,803 |
| Insurance | \$3,500,000 | \$4,543,588 | \$0 | \$4,543,588 | \$0 | \$4,543,588 |
| Environmental Mitigations | \$15,798,320 | \$14,754,390 | \$0 | \$806,777 | \$13,947,614 | \$14,754,390 |
| Required Projects | \$17,337,378 | \$11,007,576 | \$2,016 | \$965,004 | \$10,042,572 | \$11,007,576 |
| Maintenance Training | \$1,021,808 | \$1,021,808 | \$0 | \$0 | \$1,021,808 | \$1,021,808 |
| Finance Charges | \$5,056,838 | \$6,137,156 | \$20,961 | \$4,168,683 | \$1,968,473 | \$6,137,156 |
| Contingency | \$276,970,649 | \$129,683,367 | N/A | N/A | \$46,001,871 | \$46,001,871 |
| Forecasted Costs and Changes | \$0 | \$0 | N/A | N/A | \$83,681,496 | \$83,681,496 |
| ELECTRIFICATION SUBTOTAL | \$1,316,125,208 | \$1,316,125,208 | \$15,510,424 | \$815,406,167 | \$500,719,041 | \$1,316,125,208 |

Notes regarding tables above:

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

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Table 8-2 EMU Budget & Expenditure Status

| Description of Work | Budget (A) | Current Budget (B) ¹ | Cost This Month (C) ² | Cost To Date (D) ³ | Estimate To Complete (E) | Estimate At Completion (F) = (D) + (E) |
|------------------------------|----------------------|------------------------------------|-------------------------------------|----------------------------------|-----------------------------|---|
| EMU | | | | | | |
| EMU | \$550,899,459 | \$555,292,618 | \$4,753,440 | \$190,775,082 | \$364,517,536 | \$555,292,618 |
| CEMOF Modifications | \$1,344,000 | \$7,074,253 | \$341,261 | \$4,858,423 | \$2,215,830 | \$7,074,253 |
| Management Oversight | \$64,139,103 | \$61,869,311 | \$779,376 | \$47,617,869 | \$14,251,441 | \$61,869,311 |
| Executive Management | \$5,022,302 | \$6,263,136 | \$64,406 | \$5,452,245 | \$810,891 | \$6,263,136 |
| Community Relations | \$1,685,614 | \$985,614 | \$3,780 | \$669,149 | \$316,465 | \$985,614 |
| Safety & Security | \$556,067 | \$766,796 | \$16,096 | \$642,762 | \$124,035 | \$766,796 |
| Project Mgmt Services | \$13,275,280 | \$11,275,280 | \$86,421 | \$8,807,133 | \$2,468,148 | \$11,275,280 |
| Eng & Construction | \$89,113 | \$89,113 | \$0 | \$23,817 | \$65,296 | \$89,113 |
| EMU Eng & Mgmt | \$32,082,556 | \$29,981,014 | \$439,137 | \$22,219,465 | \$7,761,549 | \$29,981,014 |
| Construction Management | \$0 | \$1,501,543 | \$62,897 | \$1,044,643 | \$456,900 | \$1,501,543 |
| IT Support | \$1,027,272 | \$952,089 | \$12,593 | \$691,187 | \$260,902 | \$952,089 |
| Operations Support | \$1,878,589 | \$781,858 | \$9,111 | \$434,611 | \$347,246 | \$781,858 |
| General Support | \$2,599,547 | \$2,934,702 | \$35,481 | \$2,582,300 | \$352,402 | \$2,934,702 |
| Budget / Grants / Finance | \$712,123 | \$1,042,274 | \$961 | \$901,089 | \$141,185 | \$1,042,274 |
| Legal | \$1,207,500 | \$1,292,752 | \$4,065 | \$1,245,130 | \$47,622 | \$1,292,752 |
| Other Direct Costs | \$4,003,139 | \$4,003,139 | \$44,426 | \$2,904,339 | \$1,098,800 | \$4,003,139 |
| TASI Support | \$2,740,000 | \$2,789,493 | \$26,545 | \$284,918 | \$2,504,575 | \$2,789,493 |
| Insurance | \$0 | \$38,263 | \$0 | \$38,263 | \$0 | \$38,263 |
| Required Projects | \$4,500,000 | \$927,821 | \$0 | \$538,280 | \$389,541 | \$927,821 |
| Finance Charges | \$1,941,800 | \$3,761,482 | \$12,847 | \$2,554,999 | \$1,206,483 | \$3,761,482 |
| Contingency | \$38,562,962 | \$32,374,084 | N/A | N/A | \$29,342,223 | \$29,342,223 |
| Forecasted Costs and Changes | \$0 | \$0 | N/A | N/A | \$3,031,861 | \$3,031,861 |
| EMU SUBTOTAL | \$664,127,325 | \$664,127,325 | \$5,913,468 | \$246,667,835 | \$417,459,490 | \$664,127,325 |

Notes regarding tables above:

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

Table 8-3 PCEP Budget & Expenditure Status

| Description of Work | Budget (A) | Current Budget (B) ¹ | Cost This Month (C) ² | Cost To Date (D) ³ | Estimate To Complete (E) | Estimate At Completion (F) = (D) + (E) |
|--------------------------|------------------------|------------------------------------|-------------------------------------|----------------------------------|-----------------------------|---|
| Electrification Subtotal | \$1,316,125,208 | \$1,316,125,208 | \$15,510,424 | \$815,406,167 | \$500,719,041 | \$1,316,125,208 |
| EMU Subtotal | \$664,127,325 | \$664,127,325 | \$5,913,468 | \$246,667,835 | \$417,459,490 | \$664,127,325 |
| PCEP TOTAL | \$1,980,252,533 | \$1,980,252,533 | \$21,423,893 | \$1,062,074,002 | \$918,178,531 | \$1,980,252,533 |

Notes regarding tables above:

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

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

| Description of Work | Budget (A) | Current Budget (B) ¹ | Cost This Month (C) ² | Cost To Date (D) ³ | Estimate To Complete (E) | Estimate At Completion (F) = (D) + (E) |
|--|----------------------|------------------------------------|-------------------------------------|----------------------------------|-----------------------------|---|
| CHSRA Early Pole Relocation | \$1,000,000 | \$941,706 | \$0 | \$941,706 | \$0 | \$941,706 |
| PS-3 Relocation (Design) | \$500,000 | \$500,000 | \$0 | \$150,000 | \$350,000 | \$500,000 |
| PS-3 Relocation (FEMA, BGSP Design Coord.) | \$50,000 | \$50,000 | \$0 | \$0 | \$50,000 | \$50,000 |
| TPSS-2 VTA/PCEP Pole Relocation (Design) | \$110,000 | \$110,000 | \$0 | \$110,000 | \$0 | \$110,000 |
| TPSS-2 VTA/PCEP Pole Height (Redesign) | \$31,000 | \$31,000 | \$0 | \$27,900 | \$3,100 | \$31,000 |
| EMU Option Cars | \$172,800,047 | \$172,800,047 | \$0 | \$55,158,731 | \$117,641,316 | \$172,800,047 |
| Add Flip-Up Seats into Bike Cars | \$1,961,350 | \$1,961,350 | \$0 | \$980,675 | \$980,675 | \$1,961,350 |
| Update Virtual Reality Experience | \$43,000 | \$43,000 | \$0 | \$0 | \$43,000 | \$43,000 |
| CNPA TOTAL | \$176,495,397 | \$176,437,103 | \$0 | \$57,369,012 | \$119,068,091 | \$176,437,103 |

Notes regarding tables above:

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

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

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

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

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

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

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

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

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

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Table 8-5 Budget Transfers of Contingency

| Transfer | Description | Contingency¹ |
|------------------------|--|--------------------------------|
| ELECTRIFICATION | | |
| BBI-053-CCO-072C | PCEP SIS & SPS Additional Validation Work | \$27,696 |
| BBI-053-CCO-105 | Pole Removal at Location 30.7-01 | \$2,297 |
| BT-030 | Bus Bridge Services for Tunnel Mods | \$457,585 |
| BT-033B | PG&E Tariff Schedule Work | \$66,000 |
| BT-023B | TASI Signal Cable Relocation #2 | \$1,180,719 |
| | ELECTRIFICATION SUBTOTAL | \$1,734,297 |
| EMU | | |
| PROV-071-CCO-007 | Demolition of Existing Transition Slab at North and South Pits | \$8,101 |
| PROV-071-CCO-026B | Removal of Hazardous Soil from PSW Ductbank Excavation | \$6,838 |
| PROV-071-CCO-030B | Component Test Room Data and Electrical Outlets and Masonry Work | \$12,530 |
| PROV-071-CCO-041 | Abandonment of Drainage Structure in Conflict with Shoring at Stair No. 71 | \$11,015 |
| PROV-071-CCO-042 | Shallow Fire Sprinkler Line | \$162,000 |
| PROV-071-CCO-043 | Lighting Circuit Restoration | \$2,980 |
| PROV-071-CCO-044 | Aerial Cable and Waterproofing Cable Penetrations at the CCF and PSW Buildings | \$14,589 |
| PROV-071-CCO-045 | Conduit Outside Component Test Room | \$6,865 |
| | EMU SUBTOTAL | \$224,918 |
| | PCEP TOTAL | \$1,959,215 |

Notes regarding tables above:

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

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

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

9.0 CHANGE MANAGEMENT

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

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

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

Executed Contract Change Orders (CCO) This Month

Electrification Contract

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

| Date | Change Number | Description | CCO Amount |
|--------------|------------------|---|-----------------|
| 10/19/2020 | BBI-053-CCO-072C | PCEP SIS & SPS Additional Validation Work | \$27,696 |
| 10/27/2020 | BBI-053-CCO-105 | Pole Removal at Location 30.7-01 | \$2,297 |
| Total | | | \$29,993 |

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

EMU Contract

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

| Date | Change Number | Description | CCO Amount |
|--------------|-----------------|---|------------|
| 10/12/2020 | STA-056-CCO-029 | Multiple No Cost / No Schedule Impact Changes Group 7 | \$0 |
| Total | | | \$0 |

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

SCADA Contract

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

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

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

Tunnel Modification Contract

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

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

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

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

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

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CEMOF Contract

| | | | |
|--|----------------------|--------------------|--------------------------------------|
| Change Order Authority (10% of ProVen Contract) | | | 10% x \$6,550,777 = \$655,078 |
| Date | Change Number | Description | CCO Amount |
| | None | | \$0 |
| Total | | | \$0 |

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

Amtrak AEM-7 Contract

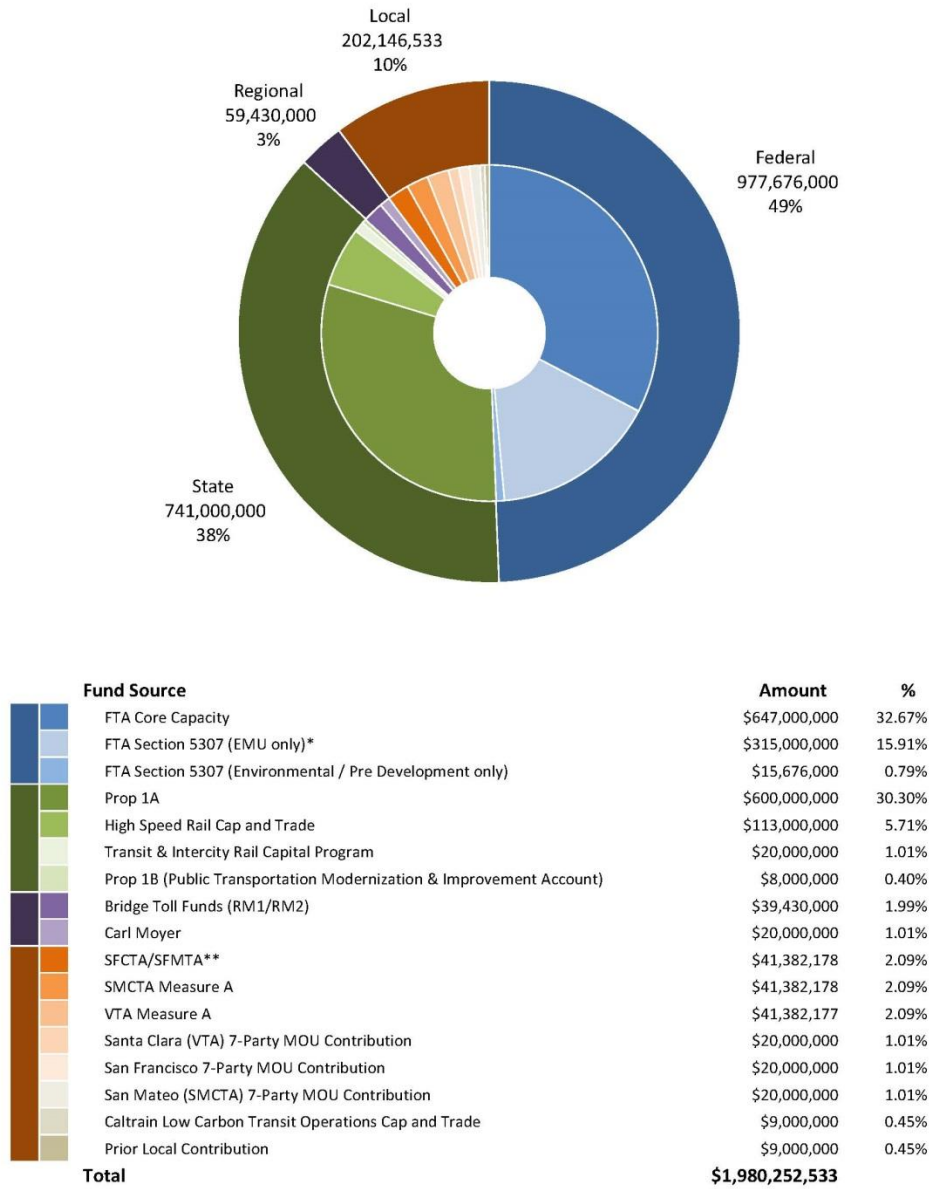
| | | | |
|--|----------------------|--|------------------------|
| Change Order Authority (Lump Sum) | | | Up to \$150,000 |
| Date | Change Number | Description | CCO Amount |
| 10/25/2019 | AMTK-066-CCO-001 | Change to Amtrak Contract for Test Locomotives | (\$72,179) |
| Total | | | (\$72,179) |

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

10.0 FUNDING

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

Figure 10-1 Funding Plan



Notes:

*Includes necessary fund transfer with SMCTA

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

11.0 RISK MANAGEMENT

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

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

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

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

Activity This Month

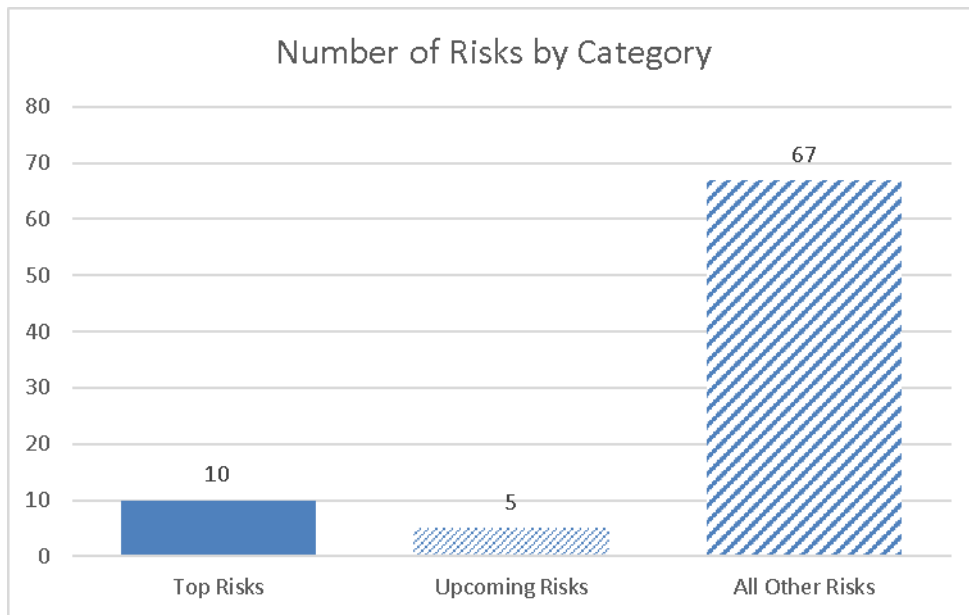
- Updated risk descriptions, effects, and mitigations based upon weekly input from risk owners. Monthly cycle of risk updating was completed based on schedules established in the Risk Identification and Mitigation Plan.
- Updated risk retirement dates based upon revisions to the project schedule and input from risk owners.

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- Continued weekly monitoring of risk mitigation actions and publishing of the risk register.
- Continued monitoring of issues on issues log for determination of new risks.
- The Risk Management team attended Project Delivery, Vehicle Design, and Systems Integration meetings to monitor developments associated with risks and to identify new risks.

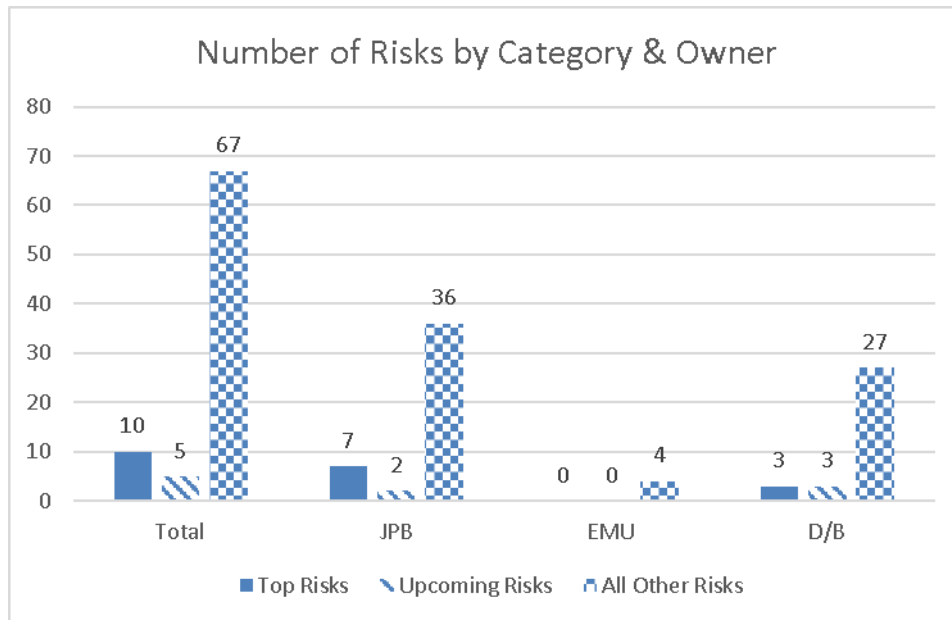
Figures 11-1 and 11-2 show the risks identified for the program. Risks are categorized as top risk, upcoming risk, and all other risks. The categories are based on a rating scale composed of schedule and cost factors. Top risks are considered to have a significantly higher than average risk grade. Upcoming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

Figure 11-1 Monthly Status of Risks



Total Number of Active Risks = 82

Figure 11-2 Risk Classification



Total Number of Active Risks = 82

Activity Next Month

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

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 and fiber optic cable installation, abandoned signal cable removal, setting gantry at PS-5, permanent fence installation, etc.) occurring in areas that required environmental compliance monitoring. The monitoring was conducted in accordance with measures in the MMRP in an effort to minimize potential impacts on sensitive environmental resources.
- Noise and vibration monitoring also occurred during project activities, and non-hazardous soil was removed from the right of way (ROW).
- Environmentally Sensitive Area (ESA) delineation (staking and/or fencing) occurred to delineate jurisdictional waterways and other potentially sensitive areas that should be avoided during upcoming construction activities. Pre-construction surveys for sensitive avian species continued at previously identified potential habitat locations. Wildlife exclusion fencing installation and monitoring occurred adjacent to portions of the alignment designated for wildlife exclusion fencing.

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- Best management practices (BMPs) installation and maintenance (e.g., silt fencing, straw wattles with no monofilament netting per wildlife agency permit requirements, soil covers, etc.) occurred at equipment staging areas and other work areas throughout the alignment in accordance with the project-specific Stormwater Pollution Prevention Plan (SWPPP).

Activity Next Month

- Environmental compliance monitors will continue to monitor project activities (OCS pole foundation installation, pot holing for utility location, tree trimming/removal, conduit installation, abandoned signal cable removal, permanent fence installation, fiber optic cable installation, utility work at Diridon Station, setting signal house at CT 12.16, etc.) occurring in areas that require environmental compliance monitoring in an effort to minimize potential impacts on sensitive environmental resources in accordance with the MMRP.
- Noise and vibration monitoring of project activities will continue to occur and non-hazardous soil will continue to be removed.
- Biological surveyors will continue to conduct pre-construction surveys for sensitive wildlife species ahead of project activities. Pre-construction nesting bird surveys have ceased for the 2020 season and will recommence on February 1, 2021 for the 2021 season.
- BMPs installation will continue in accordance with the project-specific SWPPP, and ESA staking and fencing will continue to occur, to delineate jurisdictional waterways, and other potentially sensitive areas, that should be avoided during upcoming project activities.
- Wildlife exclusion fencing will continue to be installed and maintained prior to upcoming construction activities adjacent to potentially suitable habitat for sensitive wildlife species.

13.0 UTILITY RELOCATION

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

Activity This Month

- Conducted utility coordination meeting to discuss overall status and areas of potential concern from the utilities.
- Continued relocation of utilities in Palo Alto by Palo Alto Power.
- Continued relocation of Comcast Utilities in Segment 4.

Activity Next Month

- Coordinate with individual utility owners on the next steps of relocations, including support of any required design information.
- Update the relocation schedule as information becomes available from the utility owners.
- Continue to review relocation design from Palo Alto Power, and communications companies and coordinate relocation field work.
- Continue communication relocations in all Segments.
- Review SSWPs by Palo Alto Power for relocation work in Segment 3. Continue Palo Alto Power relocations in Segment 3.

14.0 REAL ESTATE

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

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

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

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

Activity This Month

- Staff continues to review potential new pole locations and is engaging in a system-wide review of potential ESZ needs. Staff continues to meet with the internal signal team and BBII signal team to determine potential Real Estate interests.

Activity Next Month

- Continued review of ESZ needs submitted by BBII compared to direction from contract.
- Continue to meet with internal signal team and BBII signal team to determine potential Real Estate needs.
- Make offers on the parcel for which appraisals have been completed.
- Continue to work with project team to identify and analyze new potential parcels.
- Map newly identified parcels.

15.0 THIRD PARTY AGREEMENTS

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

Table 15-1 Third-Party Agreement Status

| Type | Agreement | Third-Party | Status |
|----------------------------|---|---|-------------------------|
| Governmental Jurisdictions | Construction & Maintenance ¹ | City & County of San Francisco | Executed |
| | | City of Brisbane | Executed |
| | | City of South San Francisco | Executed |
| | | City of San Bruno | Executed |
| | | City of Millbrae | Executed |
| | | City of Burlingame | Executed |
| | | City of San Mateo | Executed |
| | | City of Belmont | Executed |
| | | City of San Carlos | Executed |
| | | City of Redwood City | Executed |
| | | City of Atherton | In Process |
| | | County of San Mateo | Executed |
| | | City of Menlo Park | Executed |
| | | City of Palo Alto | Executed |
| | | City of Mountain View | Executed |
| | | City of Sunnyvale | Executed |
| | | City of Santa Clara | Executed |
| | County of Santa Clara | Executed | |
| | City of San Jose | Executed | |
| Condemnation Authority | San Francisco | In Process | |
| | San Mateo | Executed | |
| | Santa Clara | Executed | |
| Utilities | Infrastructure | PG&E | Executed |
| | Operating Rules | CPUC | Executed |
| Transportation & Railroad | Construction & Maintenance | Bay Area Rapid Transit | Executed ² |
| | Construction & Maintenance | California Dept. of Transportation (Caltrans) | Not needed ³ |
| | Trackage Rights | UPRR | Executed ² |

Notes regarding table above:

1. Agreements memorialize the parties' consultation and cooperation, designate respective rights and obligations and ensure cooperation between the JPB and the 17 cities and three counties along the Caltrain ROW and within the PCEP limits in connection with the design and construction of the PCEP.
2. Utilizing existing agreements.
3. Caltrans Peer Process utilized. Formal agreement not needed.

16.0 GOVERNMENT AND COMMUNITY AFFAIRS

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

Presentations/Meetings

- City/County Staff Coordinating Group
- Local Policy Makers Group

Third Party/Stakeholder Actions

- None

17.0 DISADVANTAGED BUSINESS ENTERPRISE (DBE) PARTICIPATION AND LABOR STATISTICS

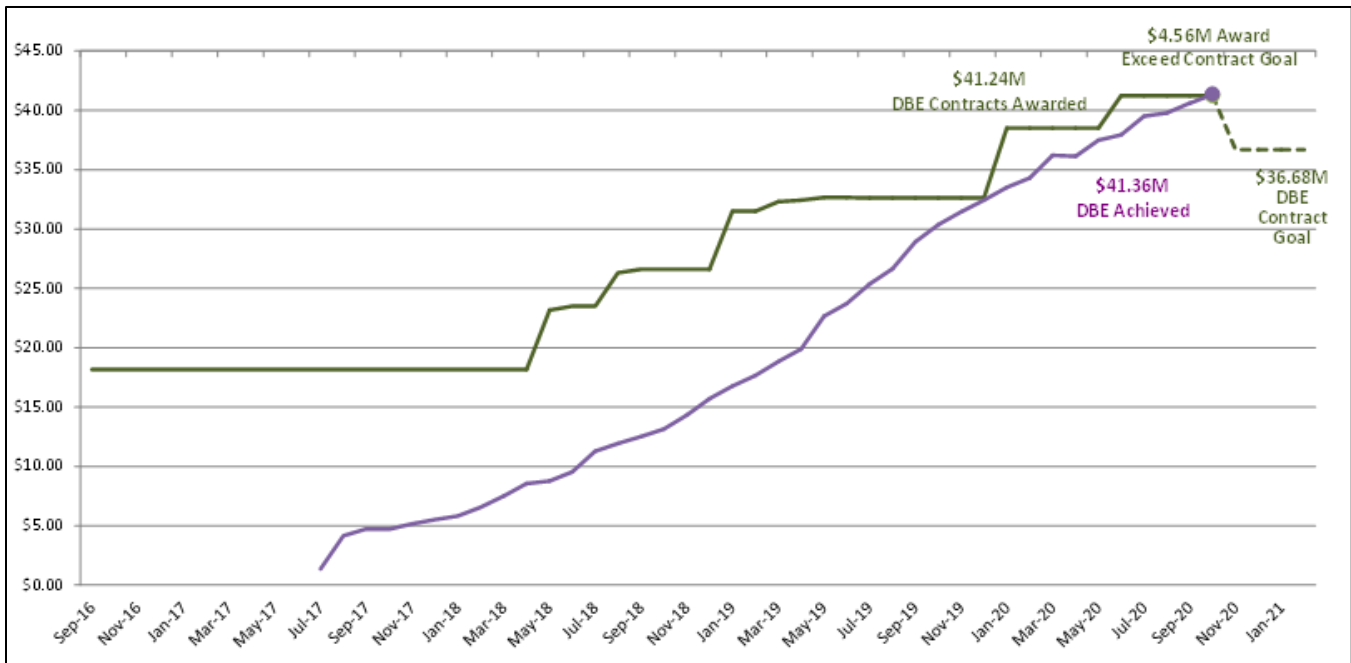
BBII proposed that 5.2% (\$36,681,279) of the DB base contract value including DBE contract change orders (\$705,409,217) would be subcontracted to DBEs.

Activity This Month

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

- **\$41,361,619** has been paid to DBE subcontractors.
- **\$41,242,326** million of DBE contracts have been awarded (to be verified).
- **5.86%** has been achieved.

Figure 17-1 DBE Participation



Activity Next Month

BBII has proposed the following key actions:

“In the month of November, 2020, we continue to anticipate increasing our DBE commitments to firms who we are currently negotiating pricing on proposed work or Professional Services Agreements. We are optimistic about the prospect of making future awards to DBE firms. We also anticipate that the existing project work will increase resulting in expanded work for current DBE subcontractors.”

18.0 PROCUREMENT

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

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

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

- 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

In Process IFB/RFQ/RFP/Contract Amendments:

- None

Upcoming Contract Awards/Contract Amendments:

- None

Upcoming IFB/RFQ/RFP to be Issued:

- None

Existing Contracts Amendments Issued:

- None

19.0 TIMELINE OF MAJOR PROJECT ACCOMPLISHMENTS

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

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

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

APPENDICES

Appendix A – Acronyms

**Peninsula Corridor Electrification Project
Monthly Progress Report**

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

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

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

Appendix B – Funding Partner Meetings

Funding Partner Meeting Representatives
Updated July 16, 2020

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

Appendix C – Schedule

Appendix D – Standard Cost Codes

**Peninsula Corridor Electrification Project
Monthly Progress Report**

| Description of Work | FFGA Baseline Budget (A) | Approved Budget (B) | Cost This Month (C) | Cost To Date (D) | Estimate To Complete (E) | Estimate At Completion (F) = (D) + (E) |
|---|--------------------------|------------------------|---------------------|------------------------|--------------------------|--|
| 10 - GUIDEWAY & TRACK ELEMENTS | \$14,256,739 | \$27,353,871 | \$0 | \$24,997,834 | \$3,082,261 | \$28,080,095 |
| 10.02 Guideway: At-grade semi-exclusive (allows cross-traffic) | \$2,500,000 | \$2,500,000 | \$0 | \$144,681 | \$2,355,319 | \$2,500,000 |
| 10.07 Guideway: Underground tunnel | \$8,110,649 | \$24,853,871 | \$0 | \$24,853,153 | \$726,942 | \$25,580,095 |
| 10.07 Allocated Contingency | \$3,646,090 | \$0 | \$0 | \$0 | \$0 | \$0 |
| 30 - SUPPORT FACILITIES: YARDS, SHOPS, ADMIN. BLDGS | \$2,265,200 | \$7,074,253 | \$341,261 | \$4,858,423 | \$3,389,799 | \$8,248,222 |
| 30.03 Heavy Maintenance Facility | \$1,344,000 | \$7,074,253 | \$341,261 | \$4,858,423 | \$3,389,799 | \$8,248,222 |
| 30.03 Allocated Contingency | \$421,200 | \$0 | \$0 | \$0 | \$0 | \$0 |
| 30.05 Yard and Yard Track | \$500,000 | \$0 | \$0 | \$0 | \$0 | \$0 |
| 40 - SITEWORK & SPECIAL CONDITIONS | \$255,072,402 | \$268,912,556 | \$3,699,816 | \$197,045,176 | \$75,862,101 | \$272,907,277 |
| 40.01 Demolition, Clearing, Earthwork | \$3,077,685 | \$3,077,685 | \$457,700 | \$6,123,100 | (\$3,015,415) | \$3,107,685 |
| 40.02 Site Utilities, Utility Relocation | \$62,192,517 | \$94,595,387 | \$1,679,877 | \$97,567,166 | (\$1,517,498) | \$96,049,668 |
| 40.02 Allocated Contingency | \$25,862,000 | (\$0) | \$0 | \$0 | (\$0) | (\$0) |
| 40.03 Haz. mat'l, contam'd soil removal/mitigation, ground water treatments | \$2,200,000 | \$4,944,961 | \$108,200 | \$6,461,428 | (\$1,509,495) | \$4,951,934 |
| 40.04 Environmental mitigation, e.g. wetlands, historic/archeologic, parks | \$32,579,208 | \$32,954,208 | \$87,000 | \$2,146,995 | \$30,807,213 | \$32,954,208 |
| 40.05 Site structures including retaining walls, sound walls | \$568,188 | \$568,188 | \$0 | \$0 | \$568,188 | \$568,188 |
| 40.06 Pedestrian / bike access and accommodation, landscaping | \$804,933 | \$764,933 | \$0 | \$0 | \$764,933 | \$764,933 |
| 40.07 Automobile, bus, van accessways including roads, parking lots | \$284,094 | \$284,094 | \$0 | \$0 | \$284,094 | \$284,094 |
| 40.08 Temporary Facilities and other indirect costs during construction | \$107,343,777 | \$111,113,100 | \$1,367,039 | \$84,746,487 | \$45,795,127 | \$130,541,614 |
| 40.08 Allocated Contingency | \$20,160,000 | \$20,610,000 | \$0 | \$0 | \$3,684,953 | \$3,684,953 |
| 50 - SYSTEMS | \$504,445,419 | \$525,592,189 | \$10,053,419 | \$214,585,847 | \$322,586,279 | \$537,172,126 |
| 50.01 Train control and signals | \$97,589,149 | \$101,030,416 | \$335,599 | \$40,682,309 | \$61,662,747 | \$102,345,056 |
| 50.01 Allocated Contingency | \$1,651,000 | \$0 | \$0 | \$0 | \$0 | \$0 |
| 50.02 Traffic signals and crossing protection | \$23,879,905 | \$23,879,905 | \$0 | \$0 | \$23,879,905 | \$23,879,905 |
| 50.02 Allocated Contingency | \$1,140,000 | \$1,140,000 | \$0 | \$0 | \$1,140,000 | \$1,140,000 |
| 50.03 Traction power supply: substations | \$69,120,009 | \$97,744,787 | \$5,452,625 | \$43,235,825 | \$54,511,503 | \$97,747,328 |
| 50.03 Allocated Contingency | \$31,755,013 | \$2,990,895 | \$0 | \$0 | \$1,578,187 | \$1,578,187 |
| 50.04 Traction power distribution: catenary and third rail | \$253,683,045 | \$287,109,699 | \$4,265,196 | \$130,609,724 | \$172,187,051 | \$302,796,775 |
| 50.04 Allocated Contingency | \$18,064,000 | \$4,133,188 | \$0 | \$0 | \$121,577 | \$121,577 |
| 50.05 Communications | \$5,455,000 | \$5,455,000 | \$0 | \$57,989 | \$5,397,011 | \$5,455,000 |
| 50.07 Central Control | \$2,090,298 | \$2,090,298 | \$0 | \$0 | \$2,090,298 | \$2,090,298 |
| 50.07 Allocated Contingency | \$18,000 | \$18,000 | \$0 | \$0 | \$18,000 | \$18,000 |
| 60 - ROW, LAND, EXISTING IMPROVEMENTS | \$35,675,084 | \$35,675,084 | \$114,245 | \$20,593,553 | \$15,081,531 | \$35,675,084 |
| 60.01 Purchase or lease of real estate | \$25,927,074 | \$25,927,074 | \$114,245 | \$20,460,944 | \$13,916,130 | \$34,377,074 |
| 60.01 Allocated Contingency | \$8,748,010 | \$8,748,010 | \$0 | \$0 | \$298,010 | \$298,010 |
| 60.02 Relocation of existing households and businesses | \$1,000,000 | \$1,000,000 | \$0 | \$132,609 | \$867,391 | \$1,000,000 |
| 70 - VEHICLES (96) | \$625,544,147 | \$620,587,713 | \$5,405,095 | \$231,302,893 | \$387,826,666 | \$619,129,560 |
| 70.03 Commuter Rail | \$589,167,291 | \$591,340,151 | \$5,405,095 | \$230,764,614 | \$362,433,429 | \$593,198,043 |
| 70.03 Allocated Contingency | \$9,472,924 | \$5,415,810 | \$0 | \$0 | \$2,099,765 | \$2,099,765 |
| 70.06 Non-revenue vehicles | \$8,140,000 | \$5,067,821 | \$0 | \$538,280 | \$4,529,541 | \$5,067,821 |
| 70.07 Spare parts | \$18,763,931 | \$18,763,931 | \$0 | \$0 | \$18,763,931 | \$18,763,931 |
| 80 - PROFESSIONAL SERVICES (applies to Cats. 10-50) | \$323,793,010 | \$335,970,389 | \$1,776,250 | \$312,384,994 | \$45,940,909 | \$358,325,903 |
| 80.01 Project Development | \$130,350 | \$130,350 | \$0 | \$280,180 | (\$149,830) | \$130,350 |
| 80.02 Engineering (not applicable to Small Starts) | \$180,227,311 | \$188,700,404 | \$275,579 | \$199,087,125 | (\$5,096,298) | \$193,990,827 |
| 80.02 Allocated Contingency | \$1,866,000 | \$190,678 | \$0 | \$0 | \$10,147 | \$10,147 |
| 80.03 Project Management for Design and Construction | \$72,029,265 | \$79,164,962 | \$921,498 | \$81,826,769 | \$17,495,531 | \$99,322,299 |
| 80.03 Allocated Contingency | \$9,388,080 | \$5,471,844 | \$0 | \$0 | (\$0) | (\$0) |
| 80.04 Construction Administration & Management | \$23,677,949 | \$30,110,163 | \$555,797 | \$21,175,422 | \$16,880,098 | \$38,055,520 |
| 80.04 Allocated Contingency | \$19,537,000 | \$13,104,785 | \$0 | \$0 | \$5,159,428 | \$5,159,428 |
| 80.05 Professional Liability and other Non-Construction Insurance | \$3,500,000 | \$4,581,851 | \$0 | \$4,581,851 | \$0 | \$4,581,851 |
| 80.06 Legal; Permits; Review Fees by other agencies, cities, etc. | \$7,167,275 | \$8,671,371 | \$21,360 | \$5,388,111 | \$4,390,632 | \$9,778,742 |
| 80.06 Allocated Contingency | \$556,000 | \$0 | \$0 | \$0 | \$0 | \$0 |
| 80.07 Surveys, Testing, Investigation, Inspection | \$3,287,824 | \$3,418,022 | \$2,016 | \$45,537 | \$3,453,244 | \$3,498,781 |
| 80.08 Start up | \$1,797,957 | \$1,797,957 | \$0 | \$0 | \$3,797,957 | \$3,797,957 |
| 80.08 Allocated Contingency | \$628,000 | \$628,000 | \$0 | \$0 | (\$0) | (\$0) |
| Subtotal (10 - 80) | \$1,761,052,001 | \$1,821,166,055 | \$21,390,085 | \$1,005,768,721 | \$853,769,546 | \$1,859,538,267 |
| 90 - UNALLOCATED CONTINGENCY | \$162,620,295 | \$99,606,241 | \$0 | \$0 | \$61,234,029 | \$61,234,029 |
| Subtotal (10 - 90) | \$1,923,672,296 | \$1,920,772,296 | \$21,390,085 | \$1,005,768,721 | \$915,003,575 | \$1,920,772,296 |
| 100 - FINANCE CHARGES | \$6,998,638 | \$9,898,638 | \$33,807 | \$6,723,682 | \$3,174,956 | \$9,898,638 |
| Total Project Cost (10 - 100) | \$1,930,670,934 | \$1,930,670,934 | \$21,423,893 | \$1,012,492,403 | \$918,178,531 | \$1,930,670,934 |

Appendix E – Change Order Logs

**Peninsula Corridor Electrification Project
Monthly Progress Report**

Change Order Logs

Electrification Contract

Change Order Authority (5% of BBII Contract)

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

| Date | Change Number | Description | CCO Amount | Change Order Authority Usage¹ | Remaining Authority |
|-------------|----------------------|--|-------------------|---|----------------------------|
| 08/31/17 | BBI-053-CCO-001 | Track Access Delays Q4 2016 | \$85,472 | 0.25% | \$34,745,056 |
| 02/28/18 | BBI-053-CCO-003 | Deletion of Signal Cable Meggering (Testing) | (\$800,000) | (2.30%) | \$35,545,056 |
| 02/21/18 | BBI-053-CCO-004 | Field Order for Differing Site Condition Work Performed on 6/19/17 | \$59,965 | 0.17% | \$35,485,091 |
| 03/12/18 | BBI-053-CCO-006 | Track Access Delays for Calendar Quarter 1 2017 | \$288,741 | 0.83% | \$35,196,350 |
| 04/24/18 | BBI-053-CCO-002 | Time Impact 01 Associated with Delayed NTP | \$9,702,667 | 0.00% ² | - |
| 04/24/18 | BBI-053-CCO-008 | 2016 Incentives (Safety, Quality, and Public Outreach) | \$750,000 | 0.00% ² | - |
| 05/31/18 | BBI-053-CCO-009 | 16th St. Grade Crossing Work Removal from BBII Contract | (\$685,198) | (1.97%) | \$35,881,548 |
| 05/31/18 | BBI-053-CCO-012 | 2017 Incentives (Safety, Quality, and Public Outreach) | \$1,025,000 | 0.00% ² | - |
| 06/25/18 | BBI-053-CCO-010 | Pothole Change Of Shift | \$300,000 | 0.86% | \$35,581,548 |
| 06/25/18 | BBI-053-CCO-013 | Field Order for Signal Cable Relocation (FO# 31) | \$95,892 | 0.28% | \$35,485,656 |
| 06/25/18 | BBI-053-CCO-015 | TASI Pilot Transportation 2017 | \$67,345 | 0.19% | \$35,418,311 |
| 06/26/18 | BBI-053-CCO-005 | Field Orders for Signal Cable Relocation (FO#s 26, 30) | \$191,836 | 0.55% | \$35,226,475 |
| 06/28/18 | BBI-053-CCO-014 | Field Orders for Signal Cable Relocation (FO-36 & FO-38) | \$145,694 | 0.42% | \$35,080,781 |
| 06/29/18 | BBI-053-CCO-007 | Track Access Delays for Calendar Quarter 2 2017 | \$297,512 | 0.85% | \$34,783,269 |
| 06/29/18 | BBI-053-CCO-011 | Field Orders for Differing Site Condition (FO#s Partial 07A , 08-14) | \$181,013 | 0.52% | \$34,602,256 |
| 06/29/18 | BBI-053-CCO-017 | Field Order for NorCal Utility Potholing (FO# 27) | \$93,073 | 0.27% | \$34,509,183 |
| 06/29/18 | BBI-053-CCO-018 | Field Order for NorCal Utility Potholing (FO# 29) | \$76,197 | 0.22% | \$34,432,986 |
| 06/29/18 | BBI-053-CCO-020 | Field Orders for Differing Site Condition (FO#s 15-19) | \$118,364 | 0.34% | \$34,314,622 |
| 7/19/2018 | BBI-053-CCO-019 | Field Order for NorCal Utility Potholing (FO-032) | \$88,956 | 0.26 % | \$34,225,666 |
| 7/19/2018 | BBI-053-CCO-021 | As In-Service (AIS) Drawings for Segment 2 and 4 Signal Design (CN-009) | \$105,000 | 0.30 % | \$34,120,666 |
| 7/25/2018 | BBI-053-CCO-022 | CEMOF Yard Traction Power Feed (CN-008) | \$332,700 | 0.96 % | \$33,787,966 |
| 7/31/2018 | BBI-053-CCO-028 | Sonic Echo Impulse Testing | \$4,541 | 0.01 % | \$33,783,425 |
| 7/31/2018 | BBI-053-CCO-026 | TASI Pilot Transportation 2018 (CNC-0022) | \$50,409 | 0.14% | \$33,733,016 |
| 7/31/2018 | BBI-053-CCO-027 | Signal Cable Relocation (FOs-040 & 051) | \$196,114 | 0.56% | \$33,536,902 |
| 9/27/2018 | BBI-053-CCO-030 | Delete Spare 115k Disconnect Switches | (\$19,000) | (0.05)% | \$33,555,902 |
| 9/28/2018 | BBI-053-CCO-031 | Bldg A HVAC and FOB Card Reader Systems | \$76,500 | 0.22 % | \$33,479,402 |
| 9/28/2018 | BBI-053-CCO-025A | Addition of Shunt Wire at Transverse Utility Crossing Locations - Design | \$925,000 | 2.66 % | \$32,554,402 |
| 9/28/2018 | BBI-053-CCO-016A | UPRR MT-1 Pole Relocation - Design Changes | \$903,000 | 0.00% ² | - |
| 9/28/2018 | BBI-053-CCO-024A | PG&E Utility Feed Connection to TPS#1 and TPS#2 (Design Only) | \$727,000 | 0.00% ² | - |
| 12/17/2018 | BBI-053-CCO-032 | PS-2 Site Relocation (Design Only) | \$291,446 | 0.84% | \$32,262,956 |
| 1/17/2019 | BBI-053-CCO-023 | Insulated Rail Joints | \$2,694,519 | 0.00% ² | - |
| 1/17/2019 | BBI-053-CCO-029 | CHSRA Early Pole Relocation (Design Only) | \$625,000 | 0.00% ^{2,3} | - |
| 2/5/2019 | BBI-053-CCO-040A | Increase in Potholing Quantity (unit price contract bid item by 25%) | \$1,662,500 | 4.77 % | \$30,600,456 |

Peninsula Corridor Electrification Project
Monthly Progress Report

Change Order Authority (5% of BBII Contract)

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

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

**Peninsula Corridor Electrification Project
Monthly Progress Report**

Change Order Authority (5% of BBII Contract)

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

| Date | Change Number | Description | CCO Amount | Change Order Authority Usage ¹ | Remaining Authority |
|--------------|-----------------------|---|---------------------|---|---------------------|
| 4/29/2020 | BBI-053-CCO-081A | Steel Plates to Protect Utilities (DTDS) | \$95,474 | 0.27 % | \$18,369,157 |
| 4/29/2020 | BBI-053-CCO-071 | Increase Quantity for Tree Pruning (Bid Unit Price Item #4d) | \$375,000 | 1.08 % | \$17,994,157 |
| 5/1/2020 | BBI-053-CCO-050 | Switch Machine Isolation - Credit | (\$277,430) | (0.80)% | \$18,271,586 |
| 5/19/2020 | BBI-053-CCO-092A | Signal Cable Relocation (Field Order No. 340) | \$106,773 | 0.31 % | \$18,164,814 |
| 5/19/2020 | BBI-053-CCO-093A | Signal Cable Relocation (Field Order No. 340) | \$90,765 | 0.26 % | \$18,074,049 |
| 5/27/2020 | BBI-053-CCO-101 | Asbestos Pipe Abatement at 46.3-07/08 | \$21,037 | 0.06 % | \$18,053,012 |
| 6/15/2020 | BBI-053-CCO-049A | Long-reach Foundations Installation - Unit Price | \$46,560 | 0.13 % | \$18,006,452 |
| 6/15/2020 | BBI-053-CCO-049B | Long-reach Foundations Installation - Unit Price | \$46,560 | 0.13 % | \$17,959,892 |
| 6/18/2020 | BBI-053-CCO-033B | PS-3 Site Relocation FEMA 2019 Update and BGSP Design Coordination – CNPA | \$50,000 | 0.14 % ³ | \$17,909,892 |
| 6/30/2020 | BBI-053-CCO-082A | Steel Plates to Protect Utilities (DTDS) | \$90,658 | 0.26 % | \$17,819,235 |
| 6/30/2020 | BBI-053-CCO-083A | Steel Plates to Protect Utilities (DTDS) | \$181,900 | 0.52 % | \$17,637,335 |
| 6/30/2020 | BBI-053-CCO-094A | Signal Cable Relocation (Field Order No. 340) | \$124,633 | 0.36 % | \$17,512,702 |
| 7/9/2020 | BBI-053-CCO-072A | SVP Requirements for Joint SIS & SPS (Task 1) – Voided | (\$80,000) | (0.23)% | \$17,592,702 |
| 7/9/2020 | BBI-053-CCO-072A REV2 | SVP Requirements for Joint SIS & SPS (Tasks 0-5) | \$300,000 | 0.86 % | \$17,292,702 |
| 7/16/2020 | BBI-053-CCO-100 | Remove Tree Stump at 46.4-02 | \$1,459 | 0.00 % | \$17,291,243 |
| 7/30/2020 | BBI-053-CCO-078 | Re-design CEMOF OCS Poles due to Stair 71 Conflict | \$11,796 | 0.03 % | \$17,279,447 |
| 7/30/2020 | BBI-053-CCO-084A | Steel Plates to Protect Utilities (DTDS) | \$101,334 | 0.29 % | \$17,178,113 |
| 7/30/2020 | BBI-053-CCO-085A | Steel Plates to Protect Utilities (DTDS) | \$94,062 | 0.27 % | \$17,084,051 |
| 7/30/2020 | BBI-053-CCO-104 | Utility Conflict During PVC Conduit Installation | \$2,657 | 0.01 % | \$17,081,394 |
| 7/31/2020 | BBI-053-CCO-103 | Track Access Delays – 2017 Quarter 3 | \$145,892 | 0.42 % | \$16,935,503 |
| 7/31/2020 | BBI-053-CCO-025B | Addition of OCS Shunt Wires in Segments 2 & 4 - Wire Assembly Materials Only – Voided | (\$144,370) | (0.41)% | \$17,079,873 |
| 7/31/2020 | BBI-053-CCO-025C | Addition of OCS Shunt Wires in Segments 2 & 4 – Pole Assembly Materials Only – Voided | (\$884,500) | (2.54)% | \$17,964,373 |
| 8/3/2020 | BBI-053-CCO-063B | Track Access Delays – Quarter 1 2018 (Part 2) | \$92,906 | 0.27 % | \$17,871,466 |
| 8/14/2020 | BBI-053-CCO-106 | Track Access Delays – 2017 Quarter 4 | \$903,794 | 2.59 % | \$16,967,672 |
| 9/10/2020 | BBI-053-CCO-025F | OCS Shunt Wire (Construction) | \$9,500,000 | 0.00% ² | - |
| 9/11/2020 | BBI-053-CCO-126 | Track Access Delays - 2019 Quarter 3 – OCS Foundations | \$81,223 | 0.23 % | \$16,886,450 |
| 9/24/2020 | BBI-053-CCO-127 | Track Access Delays – 2019 Quarter 4 – OCS Foundations | \$147,223 | 0.42 % | \$16,739,227 |
| 9/21/2020 | BBI-053-CCO-051 | CEMOF Yard OCS Changes (Design Only) | \$210,300 | 0.60 % | \$16,528,927 |
| 9/21/2020 | BBI-053-CCO-074 | Underground Utilities Clearance | \$0 | 0.00 % | \$16,528,927 |
| 10/19/2020 | BBI-053-CCO-072C | PCEP SIS & SPS Additional Validation Work | \$27,696 | 0.08 % | \$16,501,231 |
| 10/27/2020 | BBI-053-CCO-105 | Pole Removal at Location 30.7-01 | \$2,297 | 0.01 % | \$16,498,935 |
| Total | | | \$45,283,779 | 52.63 % | \$16,498,935 |

Notes:

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

Peninsula Corridor Electrification Project
Monthly Progress Report

EMU Contract

Change Order Authority (5% of Stadler Contract)

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

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

Notes:

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

**Peninsula Corridor Electrification Project
Monthly Progress Report**

SCADA Contract

Change Order Authority (15% of ARINC Contract)

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

| Date | Change Number | Description | CCO Amount | Change Order Authority Usage ¹ | Remaining Authority |
|--------------|---------------|-------------|------------|---|---------------------|
| None to date | | | | | |
| Total | | | \$0 | 0.00% | \$517,038 |

Notes:

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

Tunnel Modifications Contract

Change Order Authority (10% of ProVen Contract¹)

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

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

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Change Order Authority (10% of ProVen Contract¹)

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

| Date | Change Number | Description | CCO Amount | Change Order Authority Usage ² | Remaining Authority |
|--------------|------------------|-----------------------------------|------------------|---|---------------------|
| 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 |
| Total | | | \$464,308 | 8.43 % | \$5,043,470 |

Notes:

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

CEMOF Modifications Contract

Change Order Authority (10% of ProVen Contract)

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

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

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

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

| Date | Change Number | Description | CCO Amount | Change Order Authority Usage ¹ | Remaining Authority |
|--------------|-------------------|--|------------------|---|---------------------|
| 4/27/2020 | PROV-071-CCO-027 | 480 Volt Duct Bank and Wire Removal | \$5,015 | 0.77 % | \$449,251 |
| 5/28/2020 | PROV-071-CCO-031A | Temporary Facilities - Eye Wash Stations | \$656 | 0.10 % | \$448,595 |
| 6/3/2020 | PROV-071-CCO-032A | Water Diversion Pump for Catch Basin Work | \$2,745 | 0.42 % | \$445,850 |
| 6/3/2020 | PROV-071-CCO-033A | Light Towers for Maintenance Building Yard | \$3,897 | 0.59 % | \$441,953 |
| 6/3/2020 | PROV-071-CCO-034 | Investigation of Concrete Underneath Ties at Track 5 | \$5,060 | 0.77 % | \$436,893 |
| 6/16/2020 | PROV-071-CCO-029A | Shoring Design for Boosted Water Line Work | \$14,307 | 2.18 % | \$422,586 |
| 6/16/2020 | PROV-071-CCO-030A | Investigation and Re-wiring of Electrical Receptacles at CTR | \$7,783 | 1.19 % | \$414,803 |
| 6/10/2020 | PROV-071-CCO-028 | Credit for Electrical Feed to Parts Storage Warehouse | (\$18,682) | (2.85)% | \$433,485 |
| 7/24/2020 | PROV-071-CCO-029B | Shoring Design for Boosted Water Line Work | \$2,175 | 0.33 % | \$431,310 |
| 7/24/2020 | PROV-071-CCO-032B | Water Diversion Pump for Catch Basin Work | \$3,621 | 0.55 % | \$427,689 |
| 7/24/2020 | PROV-071-CCO-035 | Settlement Slab Demolition | \$479 | 0.07 % | \$427,210 |
| 7/24/2020 | PROV-071-CCO-036 | Storm Drain Line A | \$2,066 | 0.32 % | \$425,144 |
| 7/30/2020 | PROV-071-CCO-037 | Owner Supplied WSP Cabinet - Added Mechanical Pad and Conduit Pull | \$5,922 | 0.90 % | \$419,222 |
| 7/30/2020 | PROV-071-CCO-038 | Interior and Exterior Metal Wall Panels at CTR | \$10,317 | 1.57 % | \$408,905 |
| 7/30/2020 | PROV-071-CCO-039 | Exterior CMU Wall at CTR | \$16,152 | 2.47 % | \$392,753 |
| 7/30/2020 | PROV-071-CCO-040 | Membrane Waterproofing Specification Modifications | \$36,233 | 5.53 % | \$356,520 |
| 12/17/2019 | PROV-071-CCO-007 | Demolition of Existing Transition Slab at North and South Pits | \$8,101 | 1.24 % | \$348,419 |
| 8/13/2020 | PROV-071-CCO-041 | Abandonment of Drainage Structure in Conflict with Shoring at Stair No. 71 | \$11,015 | 1.68 % | \$337,404 |
| 8/14/2020 | PROV-071-CCO-043 | Lighting Circuit Restoration | \$2,980 | 0.45 % | \$334,424 |
| 8/18/2020 | PROV-071-CCO-026B | Removal of Hazardous Soil from PSW Ductbank Excavation | \$6,838 | 1.04 % | \$327,586 |
| 8/24/2020 | PROV-071-CCO-044 | Aerial Cable and Waterproofing Cable Penetrations at the CCF and PSW Buildings | \$14,589 | 2.23 % | \$312,997 |
| 8/24/2020 | PROV-071-CCO-045 | Conduit Outside Component Test Room | \$6,865 | 1.05 % | \$306,132 |
| 9/15/2020 | PROV-071-CCO-030B | Component Test Room Data and Electrical Outlets and Masonry Work | \$12,530 | 1.91 % | \$293,602 |
| 9/17/2020 | PROV-071-CCO-042 | Shallow Fire Sprinkler Line | \$162,000 | 0.00% ² | - |
| Total | | | \$523,476 | 55.18 % | \$293,602 |

Notes:

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

AMTRAK AEM-7 Contract

Change Order Authority (Lump Sum)

Up to \$150,000

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

Notes:

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

Appendix F – Risk Table

Listing of PCEP Risks and Effects in Order of Severity

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

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| ID | RISK DESCRIPTION | EFFECT(S) |
|-----------|---|--|
| 209 | TASI may not have sufficient number of signal maintainers for testing. | <ul style="list-style-type: none"> • Delays to construction/testing. • Delays to completion of infrastructure may delay acceptance of vehicles |
| 273 | Contractor generates hazardous materials, that necessitates proper removal and disposal in excess of contract allowances and expectations. | Delay to construction while removing and disposing of hazardous materials resulting in schedule delay, increased construction costs, and schedule delay costs. |
| 308 | Rejection of DVR for ATF and static wires results in cost and schedule impacts to PCEP. | Delay and delay claims |
| 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. |
| 011 | <p>Risks in achieving acceptable vehicle operations performance:</p> <ul style="list-style-type: none"> <> software problems <> electrical system problems <> mechanical problems <> systems integration problems <> interoperability with diesel equipment <p>Increased issues lately with vehicles regarding system integration and compatibility.</p> | <p>Cost increase.</p> <p>Delays vehicle acceptance</p> <p>Potential spill-over to other program elements</p> |
| 244 | Delays to completion of Segment 4 and then the entire alignment would create storage issues and impede the ability to exercise (power up and move) EMUs and delay testing of the delivered EMUs. | Delay claims from the EMU contractor (Stadler) and expiration of the EMU 2-year warranty before putting significant mileage on the EMUs. Inability to exercise EMUs |
| 296 | PG&E needs to complete interconnection to be sufficiently complete to accept interim power | Delay in testing and increased costs |
| 319 | Failure of BBI to order cages in advance results in delays to foundation installation | Delays in installation of catenary system and additional cost for track protection and oversight. |
| 322 | BBII needs to complete traction power substations to be sufficiently complete to accept interim power | Delay in testing and increased costs |
| 325 | EMU production delay. Possible that there are quality issues, failed factory tests, poor integration / control of suppliers. | Schedule Increase |

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| ID | RISK DESCRIPTION | EFFECT(S) |
|-----------|---|---|
| 327 | EMU production delay. Possible that there is poor integration / control of suppliers. | Schedule Increase |
| 013 | Vehicle manufacturer could default. | Prolonged delay to resolve issues (up to 12 months) Increase in legal expenses Potential price increase to resolve contract issue |
| 067 | Relocation of overhead utilities must precede installation of catenary wire and connections to TPSs. Relocation work will be performed by others and may not be completed to meet BBII's construction schedule. | Delay in progress of catenary installation resulting in claims and schedule delay |
| 223 | Major program elements may not be successfully integrated with existing operations and infrastructure in advance of revenue service. | Proposed changes resulting from electrification may not be fully and properly integrated into existing system. Rework resulting in cost increases and schedule delays |
| 242 | Track access does not comply with contract-stipulated work windows. | Contractor claims for delays, schedule delays and associated costs to owner's representative staff. |
| 253 | Permits for bridges may not be issued in a timely manner. | Delays to issuance of permit for construction while negotiating and executing an operation and maintenance agreement for equipment installed on bridges; existing bridge deficiencies could result in additional costs to PCEP. |
| 261 | Although EMUs meets their electromagnetic emissions limits and wayside signal system track circuits meet their susceptibility requirements there are still compatibility issues leading to improper signal system operation | Changes on the EMU and/or signal system require additional design and installation time and expense. |
| 285 | Potential for inflation, (except with respect to Maintenance Option) to increase contractor costs. | Higher cost |
| 286 | Potential for wage escalation, (except for Maintenance Option) to increase contractor costs. | Higher cost |
| 056 | Lack of operations personnel for testing. | <ul style="list-style-type: none"> • Testing delayed. • Change order for extended vehicle acceptance. |

Peninsula Corridor Electrification Project
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| ID | RISK DESCRIPTION | EFFECT(S) |
|-----------|---|--|
| 115 | Other capital improvement program projects compete with PCEP for track access allocation and requires design coordination (design, coordination, integration). | Schedule delay as resources are allocated elsewhere, won't get track time, sequencing requirements may delay PCEP construction, track access requirements must be coordinated. |
| 321 | Single Phase Study and interconnection agreement may be delayed preventing energization of Segment 4 for milestone 1 | |
| 082 | Unexpected restrictions could affect construction progress: <> night work <> noise <> local roads <> local ordinances | <ul style="list-style-type: none"> • Reduced production rates. • Delay |
| 270 | OCS poles or structures as designed by Contractor fall outside of JPB row | Additional ROW Take, additional cost and time |
| 012 | Potential for electromagnetic interference (EMI) to private facilities with sensitive electronic equipment caused by vehicles. | <ul style="list-style-type: none"> • Increased cost due to mitigation • Potential delay due to public protests or environmental challenge. |
| 014 | Contractor's proposal on stakeholder requested changes to the vehicles (e.g., High Level Doors in lieu of windows as emergency exits) may significantly exceed JPB authorized amount. | Schedule delay. Cost increase. |
| 078 | Need for unanticipated, additional ROW for new signal enclosures. | Delay while procuring ROW and additional ROW costs. |
| 087 | Unanticipated HazMat or contaminated hot spots encountered during foundation excavations for poles, TPSS, work at the yards. | Increased cost for clean-up and handling of materials and delay to schedule due to HazMat procedures. |
| 088 | Construction safety program fails to sufficiently maintain safe performance. | Work stoppages due to safety incidents resulting in schedule delay and additional labor costs. |
| 171 | Electrification facilities could be damaged during testing. | Delay in commencing electrified operations. |
| 247 | Timely resolution of 3rd party design review comments to achieve timely approvals | Delay to completion of design and associated additional labor costs. |
| 251 | Subcontractor and supplier performance to meet aggressive schedule <>Potential issue meeting Buy America requirements | Delay to production schedule resulting in increased soft costs and overall project schedule delay. |
| 272 | Final design based upon actual Geotech conditions | Could require changes |
| 287 | Design changes may necessitate additional implementation of environmental mitigations not previously budgeted. | Increased cost for environmental measures and delays to construct and overall delay in construction schedule |

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| ID | RISK DESCRIPTION | EFFECT(S) |
|-----------|---|--|
| 289 | Coordination and delivery of permanent power for power drops for everything except traction power substations along alignment | Can't test resulting in delays to schedule and associated additional project costs. |
| 291 | Order/manufacture of long lead items prior to 100% IFC design document that proves to be incorrect | Design change and/or delays |
| 292 | Potential that UPS will not fit in the spaces allotted to communications work within the buildings. | Requisite backup capacity units under design criteria could result in the need for larger unit than originally planned resulting in design and fabrication changes and associated schedule delays and costs. |
| 317 | JPB may not make timely acquisition of resources to staff rail activation plan with key personnel. | Delay in operating electrified railroad - delay of RSD. |
| 323 | FRA concerns require re-design | |
| 326 | EMU production delay. Possible that there are failed factory tests | Schedule Increase |
| 027 | Vehicle power consumption may not meet requirements. <>System impact study and load flow show no issues | Issue with PG&E. Can't run full acceleration. |
| 031 | New cars possibly not reliable enough to be put into service as scheduled | Operating plan negatively impacted |
| 042 | Full complement of EMUs not available upon initiation of electrified revenue service | Late delivery impacts revenue service date. |
| 101 | PG&E may not be able to deliver permanent power for the project within the existing budget and in accordance with the project schedule | Additional project costs; potential delay to revenue service date |
| 150 | Number of OCS pole installation is significant. Any breakdown in sequencing of operations or coordination of multiple crews will have a substantial effect on the project. | Delay. |
| 245 | Failure of BBI to submit quality design and technical submittals in accordance with contract requirements <ul style="list-style-type: none"> • \$3-\$5M/month burn rate for Owner's team during peak | Delays to project schedule and additional costs for preparation and review of submittals. |
| 252 | Failure of BBI to order/manufacture long lead items prior to 100% IFC design document approval by JPB | Delays to project schedule and additional cost for contractor and JPB staff time. |

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| ID | RISK DESCRIPTION | EFFECT(S) |
|-----------|---|---|
| 271 | Need for additional construction easements beyond that which has been provided for Contractor proposed access and staging | Additional cost and time |
| 306 | Possible legal challenge and injunction to any changes in PCEP requiring subsequent CEQA or NEPA environmental clearance documentation/actions. | Worst case: a judge issues an injunction, which would prohibit any work ONLY on the project scope of the environmental document. Impact to the project from cost and schedule impact depends on if work is on the critical or becomes on the critical path. |
| 008 | Requests for change orders after vehicles are in production | Delays to manufacturing of vehicles and additional design and manufacturing costs. |
| 023 | Manufacturer cannot control vehicle weight to meet specifications. | Increased operating cost. |
| 025 | Potential that vehicles cannot meet requirements for "Mean Time to Repair" (MTTR). | Increased maintenance cost. |
| 032 | Failure to come up to speed on stakeholder safety requirements: <> FTA <> FRA <> CPUC | Takes longer than expected to gain FRA/FTA concurrence on waiver and/or level boarding requirements. |
| 053 | Failure to meet Buy America requirements. (Contractor definition of component v. sub-component may not be accepted by Caltrain / FTA.) | Potential need for negotiations that might lead to delay of project award. (BA is not negotiable) |
| 054 | Infrastructure not ready for vehicles (OCS, TPS, Commissioning site / facility). | Increases cost if done off property |
| 069 | Potential need for additional construction easements. Especially for access and laydown areas. Contractor could claim project is not constructible and needs more easements after award. | Increased cost Delay |

| ID | RISK DESCRIPTION | EFFECT(S) |
|-----------|--|--|
| 106 | <p>Potential that DB contractor will have insufficient field resources (personnel or equipment) to maintain aggressive schedule.</p> <p>Multiple segments will need to be under design simultaneously.</p> <p>Labor pool issue. 32 qualified linemen will be needed. Potential there is not enough available. Big storm damage anywhere in US will draw from the pool to make line repairs.</p> <p>Possible shortages with other specialty crafts as well.</p> | Delay. |
| 151 | Public could raise negative concerns regarding wheel/rail noise. | Increased cost to mitigate: <> grind rails <> reprofile wheels <> sound walls |
| 161 | Unanticipated costs to provide alternate service (bus bridges, etc.) during rail service disruptions. | Cost increase. |
| 192 | Environmental compliance during construction. - Potential impact to advancing construction within the vicinity of any cultural finds that are excavated. - Failure to meet the commitments contained within the PCEP EA, FEIR and permit conditions | <ul style="list-style-type: none"> • Delay • Cost increase |
| 195 | Introduction of electrified train service will require training of first responders in working in and around the rail corridor. The new vehicles will be considerably quieter than the existing fleet and the presence of high voltage power lines will require new procedures for emergency response. A new training program will need to be developed and disseminated for: <ul style="list-style-type: none"> • Fire, police, and first responders • Local communities • Schools | Safety hazards resulting in incidents that delay construction and increase labor cost. Delays in RSD until training is completed as requirement of safety certification process. |

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| ID | RISK DESCRIPTION | EFFECT(S) |
|-----------|--|--|
| 237 | JPB needs an agreement with each city in which catenary will be strung over an existing grade crossing (17 in all) under GO 88 (grade crossings). These agreements must be executed subsequent to installing overhead catenary. JPB is preparing a response to CPUC while working with the cities. Delays in reaching agreement could have impacts on schedule and budget. | Not completing the grade crossing diagnostics and getting agreement from the cities on the results can result in delays to necessary approvals for the project and revenue service. |
| 248 | 3rd party coordination <>Jurisdictions, Utilities, UP, Contractors <>D/B needs to provide timely information to facilitate 3rd party coordination <>Risk is for construction | Delays in approvals resulting in project schedule delays and associated costs. |
| 250 | Potential for municipalities and other agencies to request betterments as part of the electrification project | Delay to project schedule in negotiating betterments as part of the construction within municipalities and associated increased cost to the project as no betterments were included in the project budget. |
| 254 | Potential that bridge clearance data are inaccurate and that clearances are not sufficient for installation of catenary. | Results in additional design and construction to create sufficient clearance. |
| 266 | Verizon poles in conflict with OCS may not be removed in advance of OCS installation. | Delay in progress of catenary installation resulting in claims and schedule delay |
| 274 | JPB as-built drawings and existing infrastructure to be used as basis of final design and construction is not correct | Additional cleanup of as-builts after PCEP construction |
| 275 | DB fails to verify as-built drawings and existing infrastructure | Additional cleanup of as-builts after PCEP construction |
| 278 | Failure of D/B contractor and subcontractors and suppliers to meet Buy America requirements | Delays while acceptable materials are procured and additional costs for delays and purchase of duplicative equipment. |
| 282 | Failure to maintain dynamic envelope and existing track clearances consistent with requirements. | Redesign entailing cost and schedule impacts. |
| 284 | Compliance with project labor agreement could result in inefficiencies in staffing of construction. | Increase in labor costs and less efficient construction resulting in schedule delays. |
| 290 | Delays in agreement and acceptance of initial VVSC requirements database. | Delay to design acceptance |
| 293 | Readiness of 115kV interconnect for temporary power to support testing | Delay in testing |

| ID | RISK DESCRIPTION | EFFECT(S) |
|-----------|--|--|
| 311 | Although project recordable injuries remain below the industry average, there have been numerous small impact incidents occurring that could potentially lead to a more serious event occurring. | The occurrence of a high impact safety event could result in project rework, construction delays, and increased project costs. |

Appendix G – MMRP Status Log

Mitigation Monitoring and Reporting

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

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Mitigation Monitoring and Reporting

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

Mitigation Monitoring and Reporting

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

Mitigation Monitoring and Reporting

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

Mitigation Monitoring and Reporting

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

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Mitigation Monitoring and Reporting

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

Mitigation Monitoring and Reporting

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

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

Mitigation Monitoring and Reporting

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

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

Mitigation Monitoring and Reporting

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

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| Mitigation Measure | Mitigation Timing | | | | Status | Status Notes |
|---|-------------------|--------------|-------------------|-----------|----------|---|
| | Pre-Construction | Construction | Post-Construction | Operation | | |
| HAZ-2a: Conduct a Phase II Environmental Site Assessment prior to construction. | X | | | | Complete | A Phase II Environmental Assessment was completed prior to construction by the JPB consultant, and the results were provided to BBI, and the required mitigation is being implemented prior to the initiation of construction activities. |
| HAZ-2b: Implement engineering controls and best management practices during construction. | X | X | | | Ongoing | D-B field activities are being monitored daily for significant color changes or odors which may indicate contamination. In addition, assessments of existing subsurface pipes by a certified Asbestos Consultant are occurring as needed throughout the project as they are observed. Following the assessments, a specification describing the methods for removal and disposal are provided to the certified asbestos contractor. The removal and disposal work performed by the certified asbestos contractor is monitored by the certified asbestos consultant. |
| HYD-1: Implement construction dewatering treatment, if necessary. | X | X | | | Ongoing | Facilities & BMPs are in place to deal with this requirement should it arise in the OCS foundations. |
| HYD-4: Minimize floodplain impacts by minimizing new impervious areas for TPFs or relocating these facilities. | X | | | | Ongoing | The design requirements indicated in the measure are being implemented through the final design as described. The TPFs in Construction Segments 2 & 4 are currently in final design and design for TPFs in Construction Segments 1 & 3 has begun. The design minimizes hardscape only to required structure foundations; yard areas are to receive a pervious material. |

Mitigation Monitoring and Reporting

| Mitigation Measure | Mitigation Timing | | | | Status | Status Notes |
|---|-------------------|--------------|-------------------|-----------|---------|---|
| | Pre-Construction | Construction | Post-Construction | Operation | | |
| HYD-5: Provide for electrical safety at TPFs subject to periodic or potential flooding. | X | | | X | Ongoing | The design requirements indicated in the measure are being implemented through the final design as described. The TPFs in Construction Segments 2 & 4 are currently in final design and design for TPFs in Construction Segments 1 & 3 has begun. The design plan currently raises the TPFs above the floodplain. |
| HYD-7: Implement sea level rise vulnerability assessment and adaptation plan. | | | | X | Ongoing | The JPB has initiated this measure and preparation of the sea level rise vulnerability assessment and adaptation plan is underway. |
| NOI-1a: Implement Construction Noise Control Plan. | X | X | | | Ongoing | The Noise and Vibration Control Plan has been submitted and is being implemented. Field activity is monitored per the Plan. If allowable noise levels are near or exceed allowable noise levels, mitigation such as blankets are used from that point forward. |
| NOI-1b: Conduct site-specific acoustical analysis of ancillary facilities based on the final mechanical equipment and site design and implement noise control treatments where required. | X | | | | Ongoing | The design requirements indicated in the measure are being implemented through the final design as described. PGH Wong has completed analysis and design and issued for JPB review. |
| NOI-2a: Implement Construction Vibration Control Plan. | X | X | | | Ongoing | The Noise and Vibration Control Plan has been submitted and is being implemented. Field activity is monitored per the Plan. |

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Mitigation Monitoring and Reporting

| Mitigation Measure | Mitigation Timing | | | | Status | Status Notes |
|--|-------------------|--------------|-------------------|-----------|----------|--|
| | Pre-Construction | Construction | Post-Construction | Operation | | |
| PSU-8a: Provide continuous coordination with all utility providers. | X | X | | | Ongoing | The design requirements indicated in the measure will be implemented through the final design as described. Coordination with utility providers is ongoing and there have not been any service interruptions thus far. |
| PSU-8b: Adjust OCS pole foundation locations. | X | | | | Ongoing | The design requirements indicated in the measure are being implemented through the final design as described. |
| PSU-8c: Schedule and notify users about potential service interruptions. | X | X | | | Ongoing | The design requirements indicated in the measure are being implemented through the final design as described. There have not been any service interruptions thus far. |
| PSU-9: Require application of relevant construction mitigation measures to utility relocation and transmission line construction by others. | X | X | | | Ongoing | JPB has initiated coordination with PG&E regarding transmission line construction. PG&E is currently raising overcrossing lines in Segment 2. |
| TRA-1a: Implement Construction Road Traffic Control Plan. | X | X | | | Ongoing | The D-B has begun traffic control design and permit applications with the City of Millbrae, Burlingame and San Mateo. Other communities will follow. Designs have been completed for all cross-over bridges in Segments 2 & 4 and submitted. |
| TRA-1c: Implement signal optimization and roadway geometry improvements at | X | X | | | Upcoming | This measure has not started |

Mitigation Monitoring and Reporting

| Mitigation Measure | Mitigation Timing | | | | Status | Status Notes |
|---|-------------------|--------------|-------------------|-----------|----------|--|
| | Pre-Construction | Construction | Post-Construction | Operation | | |
| impacted intersections for the 2020 Project Condition. | | | | | | |
| TRA-2a: Implement construction railway disruption control plan. | X | X | | | Ongoing | Minimization of railway disruption is being coordinated by the Site Specific Work Plan. A Construction Railway Disruption Control Plan was prepared to document the measures that are being implemented. |
| TRA-3b: In cooperation with the City and County of San Francisco, implement surface pedestrian facility improvements to address the Proposed Project's additional pedestrian movements at and immediately adjacent to the San Francisco 4th and King Station. | X | X | X | | Upcoming | This measure has not started. |
| TRA-4b: Continue to improve bicycle facilities at Caltrain stations and partner with bike share programs where available following guidance in Caltrain's Bicycle Access and Parking Plan. | | | | X | Ongoing | The JPB adopted the Caltrain Bicycle Parking Management Plan in November 2017, and staff have been working to implement the Plan's recommendations to improve wayside bike parking facilities along the corridor. Staff have also been coordinating with local jurisdictions that have launched bikeshare pilot programs to safely site bicycles near Caltrain stations. |

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Mitigation Monitoring and Reporting

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

Mitigation Monitoring and Reporting

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

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Mitigation Monitoring and Reporting

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

Mitigation Monitoring and Reporting

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

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Mitigation Monitoring and Reporting

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

Mitigation Monitoring and Reporting

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

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Mitigation Monitoring and Reporting

| Mitigation Measure | Mitigation Timing | | | | Status | Status Notes |
|---|-------------------|--------------|-------------------|-----------|----------|--|
| | Pre-Construction | Construction | Post-Construction | Operation | | |
| BIO-3: Avoid or compensate for impacts on wetlands and waters. | X | X | X | | Complete | The JPB has compensated for unavoidable wetland impacts by purchasing adequate credits from a wetlands mitigation bank approved by USACE and SFRWQCB. |
| BIO-5: Implement Tree Avoidance, Minimization, and Replacement Plan. | X | X | X | | Ongoing | Tree removal and pruning activities were initiated in August 2017, and are ongoing, under the guidance of the BBI Arborist, and in accordance with the Tree Avoidance, Minimization, and Replacement Plan. Tree Removal and Pruning status is provided to the JPB on a weekly basis. |
| BIO-6: Pay <i>Santa Clara Valley Habitat Plan</i> land cover fee (if necessary). | X | | | | Complete | Not applicable. The SCVHP does not apply to the Project because TPS2, Option 1 was not selected and OCS does not extend to Communication Hill. This measure is not needed. |
| CUL-1a: Evaluate and minimize impacts on structural integrity of historic tunnels. | X | | | | Upcoming | To be implemented prior to construction in tunnels. |
| CUL-1b: Minimize impacts on historic decorative tunnel material. | X | | | | Upcoming | To be implemented prior to construction in tunnels. |

Mitigation Monitoring and Reporting

| Mitigation Measure | Mitigation Timing | | | | Status | Status Notes |
|--|-------------------|--------------|-------------------|-----------|----------|---|
| | Pre-Construction | Construction | Post-Construction | Operation | | |
| CUL-1c: Install project facilities in a way that minimizes impacts on historic tunnel interiors. | X | | | | Upcoming | To be implemented prior to construction in tunnels. |
| CUL-1d: Implement design commitments at historic railroad stations | X | | | | Complete | The Qualified Architectural Historian completed and submitted the HABS Level III documents to the JPB for all seven of the historic stations. Pole placement has been designed to minimize the visual impact to historic stations and all design changes are reviewed by the Environmental Compliance Lead to ensure the mitigation measure is being implemented as the design of the project progresses. |
| CUL-1e: Implement specific tree mitigation considerations at two potentially historic properties and landscape recordation, as necessary. | X | X | | | Complete | It was determined that the project is not acquiring any ROW at either of the subject properties so all tree effects would be within the JPB ROW. Therefore, the APE does not include these two historic properties. This measure is no longer needed. |

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 | | |
| CUL-1f: Implement historic bridge and underpass design requirements. | X | | | | Ongoing | This measure is being implemented as described during the design process and will be incorporated into the final design. The four bridges that are included in the MMRP are rail bridges crossing over another feature. Design of the OCS system is taking into account that there are requirements that restrict the design. Thus far, the designs for Construction Segments 2 & 4 are in process and designs are not yet complete. The D-B will forward to the Architectural Historian once complete. |
| CUL-2a: Conduct an archaeological resource survey and/or monitoring of the removal of pavement or other obstructions to determine if historical resources under CEQA or unique archaeological resources under PRC 21083.2 are present. | X | | | | Ongoing | Periodic inspections of ground surface areas along the alignment, in conjunction with cultural monitoring as-needed of project activities in culturally sensitive areas are ongoing. The Archaeological Final Report will be provided at the conclusion of construction activities. |
| CUL-2b: Conduct exploratory trenching or coring of areas where subsurface project disturbance is planned in those areas with “high” or “very high” potential for buried site. | X | | | | Ongoing | Exploratory trenching and subsurface testing of all potentially culturally sensitive areas occurred prior to the initiation of construction activities in those areas. The results will be included in the Archaeological Final Report. No cultural resources requiring the development of a treatment plan were observed. A Native American monitor has been present for all exploratory trenching and subsurface testing work. |

Mitigation Monitoring and Reporting

| Mitigation Measure | Mitigation Timing | | | | Status | Status Notes |
|--|-------------------|--------------|-------------------|-----------|---------|--|
| | Pre-Construction | Construction | Post-Construction | Operation | | |
| CUL-2c: Conduct limited subsurface testing before performing ground-disturbing work within 50 meters of a known archaeological site. | X | | | | Ongoing | Exploratory trenching and subsurface testing of all potentially culturally sensitive areas occurred prior to the initiation of construction activities in those areas. The results will be included in the Archaeological Final Report. No cultural resources requiring the development of a treatment plan were observed. A Native American monitor has been present for all exploratory trenching and subsurface testing work. |
| CUL-2d: Conduct exploratory trenching or coring of areas within the three zones of special sensitivity where subsurface project disturbance is planned. | X | | | | Ongoing | Exploratory trenching and subsurface testing of all potentially culturally sensitive areas occurred prior to the initiation of construction activities in those areas. The results will be included in the Archaeological Final Report. No cultural resources requiring the development of a treatment plan were observed. A Native American monitor has been present for all exploratory trenching and subsurface testing work. |
| CUL-2e: Stop work if cultural resources are encountered during ground-disturbing activities. | X | X | | | Ongoing | No prehistoric or historic-period cultural materials have been observed during cultural monitoring. |
| CUL-2f: Conduct archaeological monitoring of ground-disturbing activities in areas as determined by JPB and SHPO. | | X | | | Ongoing | Cultural monitoring as-needed of project activities in culturally sensitive areas is ongoing. The Archaeological Final Report will be provided at the conclusion of construction activities. |

Peninsula Corridor Electrification Project
Monthly Progress Report

Mitigation Monitoring and Reporting

| Mitigation Measure | Mitigation Timing | | | | Status | Status Notes |
|--|-------------------|--------------|-------------------|-----------|---------|--|
| | Pre-Construction | Construction | Post-Construction | Operation | | |
| CUL-3: Comply with state and county procedures for the treatment of human remains discoveries. | | X | | | Ongoing | No human remains have been observed to date on the Project. |
| EMF-2: Minimize EMI effects during final design, Monitor EMI effects during testing, commission and operations, and Remediate Substantial Disruption of Sensitive Electrical Equipment. | X | X | X | | Ongoing | The design requirements indicated in the measure are being implemented through the final design as described. Designs are submitted and reviewed/commented on by JPB. Monitoring EMI effects will occur post construction. |
| GEO-1: Perform a site-specific geotechnical study for traction power facilities. | X | | | | Ongoing | The design requirements indicated in the measure are being implemented through the final design as described. Geotechnical studies and results are submitted to JPB as completed. |
| GEO-4a: Identification of expansive soils. | X | | | | Ongoing | The design requirements indicated in the measure are being implemented through the final design as described. Geotechnical studies and results are submitted to JPB as completed. |

Mitigation Monitoring and Reporting

| Mitigation Measure | Mitigation Timing | | | | Status | Status Notes |
|---|-------------------|--------------|-------------------|-----------|----------|---|
| | Pre-Construction | Construction | Post-Construction | Operation | | |
| GEO-4b: Mitigation of expansive soils. | X | | | | Ongoing | The design requirements indicated in the measure are being implemented through the final design as described. Geotechnical studies and results are submitted to JPB as completed. |
| HAZ-2a: Conduct a Phase II Environmental Site Assessment prior to construction. | X | | | | Complete | A Phase II Environmental Assessment was completed prior to construction by the JPB consultant, and the results were provided to BBI, and the required mitigation is being implemented prior to the initiation of construction activities. |
| HAZ-2b: Implement engineering controls and best management practices during construction. | X | X | | | Ongoing | Field activities are being monitored daily for significant color changes or odors which may indicate contamination. In addition, an assessment of two existing subsurface pipes by a certified Asbestos Consultant occurred during this reporting period, and a specification describing the methods for removal and disposal is currently in progress. |
| HYD-1: Implement construction dewatering treatment, if necessary. | X | X | | | Ongoing | Facilities & BMPs are in place to deal with this requirement should it arise in the OCS foundations. |
| HYD-4: Minimize floodplain impacts by minimizing new impervious areas for TPFs or relocating these facilities. | X | | | | Ongoing | The design requirements indicated in the measure are being implemented through the final design as described. The TPFs in Construction Segments 2 & 4 are currently in final design and design for TPFs in Construction Segments 1 & 3 has begun. The design minimizes |

Mitigation Monitoring and Reporting

| Mitigation Measure | Mitigation Timing | | | | Status | Status Notes |
|---|-------------------|--------------|-------------------|-----------|---------|---|
| | Pre-Construction | Construction | Post-Construction | Operation | | |
| | | | | | | hardscape only to required structure foundations; yard areas are to receive a pervious material. |
| HYD-5: Provide for electrical safety at TPFs subject to periodic or potential flooding. | X | | | X | Ongoing | The design requirements indicated in the measure are being implemented through the final design as described. The TPFs in Construction Segments 2 & 4 are currently in final design and design for TPFs in Construction Segments 1 & 3 has begun. The design plan currently raises the TPFs above the floodplain. |
| HYD-7: Implement sea level rise vulnerability assessment and adaptation plan. | | | | X | Ongoing | The JPB has initiated this measure and preparation of the sea level rise vulnerability assessment and adaptation plan is underway. |
| NOI-1a: Implement Construction Noise Control Plan. | X | X | | | Ongoing | The Noise and Vibration Control Plan has been submitted and is being implemented. Field activity is monitored per the Plan. If allowable noise levels are near or exceed allowable noise levels, mitigation such as blankets are used from that point forward. |
| NOI-1b: Conduct site-specific acoustical analysis of ancillary facilities based on the final mechanical equipment and site design and implement noise control treatments where required. | X | | | | Ongoing | The design requirements indicated in the measure are being implemented through the final design as described. Design is still in process and a noise study is currently being performed. |

Mitigation Monitoring and Reporting

| Mitigation Measure | Mitigation Timing | | | | Status | Status Notes |
|--|-------------------|--------------|-------------------|-----------|---------|--|
| | Pre-Construction | Construction | Post-Construction | Operation | | |
| NOI-2a: Implement Construction Vibration Control Plan. | X | X | | | Ongoing | The Noise and Vibration Control Plan has been submitted and is being implemented. Field activity is monitored per the Plan. |
| PSU-8a: Provide continuous coordination with all utility providers. | X | X | | | Ongoing | The design requirements indicated in the measure will be implemented through the final design as described. Coordination with utility providers is ongoing and there have not been any service interruptions thus far. |
| PSU-8b: Adjust OCS pole foundation locations. | X | | | | Ongoing | The design requirements indicated in the measure are being implemented through the final design as described. |
| PSU-8c: Schedule and notify users about potential service interruptions. | X | X | | | Ongoing | The design requirements indicated in the measure are being implemented through the final design as described. There have not been any service interruptions thus far. |
| PSU-9: Require application of relevant construction mitigation measures to utility relocation and transmission line construction by others. | X | X | | | Ongoing | JPB has initiated coordination with PG&E regarding transmission line construction. PG&E is currently raising overcrossing lines in Segment 2. |

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

Mitigation Monitoring and Reporting

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

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| Mitigation Measure | Mitigation Timing | | | | Status | Status Notes |
|--|-------------------|--------------|-------------------|-----------|--------|--------------|
| | Pre-Construction | Construction | Post-Construction | Operation | | |
| as feasible between San Jose and Bayshore. | | | | | | |

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Michelle Bouchard
Chief Operating Officer, Rail

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

ACTION

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

SIGNIFICANCE

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

BUDGET IMPACT

There is no budget impact.

MONTHLY UPDATE

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

| <u>Key Project Activity</u> | <u>Expected Completion</u> | <u>Progress as of 10/13/20</u> | <u>Progress On Track?</u> | <u>Mitigation Required or Approvals Needed</u> |
|---|----------------------------|--------------------------------|---------------------------|---|
| Approval of Designated Revenue Service Demonstration (RSD) Test Request | May 31 st | Completed | Completed | Formal conditional approval received on September 10. Team incorporating FRA conditions in test plan to ensure compliance to approval |
| Approval of revised project PTC Implementation Plan (PTCIP) and Request for Amendment (RFA) | May 31 st | Completed | Completed | Formal approval received on May 16, 2019 for PTCIP and RFA Rev. 10 |
| Pilot Installations (4) Completed | June 20 th | Completed | Completed | All pilots completed |
| Submit Designated RSD Application | Oct 15 th | Completed | Completed | RSD Application submitted and in review by FRA |
| Submit Full Track RSD Application | June 7 th | Completed | Completed | Formal RSD request for full track was submitted to the FRA on June 14, 2019 |
| Complete Critical Feature Verification & Validation (V&V) for Designated Track RSD | Oct 30 th | Completed | Completed | |
| Complete Designated RSD Training | Nov 14 th | Completed | Completed | Training for designated RSD personnel completed |
| Complete Required Vehicle Installations (44 Units) | Dec 3 rd | Completed | Completed | (44) Installs required for RSD completed, punch list items were completed by Wabtec |
| Meet FRA Statutory Requirements and Substitute Criteria | Dec 31 | Completed | Completed | Met FRA December 31, 2018 deadline |
| Obtain Alternative Schedule approval from FRA | Mar 15 th 2019 | Completed | Completed | Received FRA's approval on February 6, 2019 |
| Completion of Remaining Vehicle Installation (all 66 units) | April 30, 2019 | Completed (66 Units) | Completed (66 Units) | The installation for F40PH 3C Rehab vehicle 922 was completed in June that concluded all 66 units PTC installation. |
| Full RSD - Complete Remaining Critical Feature V&V | Jan 2019 | Completed | Completed | |

| Key Project Activity | Expected Completion | Progress as of 10/13/20 | Progress On Track? | Mitigation Required or Approvals Needed |
|--|---------------------|-------------------------|--------------------|---|
| Full RSD – Complete Wayside Interface Unit (WIU) V&V | March 15, 2019 | Completed | Completed | Completed on March 15, 2019 |
| Full RSD – Complete Lab Integrated End to End Testing (LIEE) | June 30, 2019 | Completed | Completed | LIEE Cycle 3 was completed ahead of schedule on June 12, 2019 |
| Full RSD – Complete Field Integrated Testing (FIT) | August 2019 | Completed | Completed | Full track FIT has completed on June 30, 2019 |
| Full RSD – Complete Field Qualification Testing (FQT) | September 2019 | Completed | Completed | Full track FQT has completed on July 14, 2019 |
| *Commence Full RSD – Caltrain ROW | October 2019 | Completed | Completed | Caltrain has successfully entered RSD on September 07, 2019 |
| Complete Lab Integrated End to End Testing for Interoperability with UPRR (LIEE-1) | October 2019 | Completed | Completed | LIEE-I with UPRR was completed on October 15 |
| *Complete Interoperability Testing with UPRR - Both ROW | December 2019 | Completed | Completed | Interoperable Test with UPRR on both territories were completed on Nov 5 th , 2019 |
| *Complete Interoperability Testing with Tenant Railroads - ACE | April 30 2020 | Completed | Completed | Interoperable Test with ACE was completed on Nov 17, 2019 |
| *Complete Interoperability Testing with Tenant Railroads - AMTRAK | April 30 2020 | Completed | Completed | Interoperable field testing was concluded on Feb 8,2020 |
| Achieve Interoperability with UPRR | Dec 31, 2019 | Completed | Completed | Accomplished on December 9, 2019 |
| Achieve Interoperability with other Tenants | April 30, 2020 | Completed | Completed | Accomplished Interoperable with ACE on December 9, 2019. Interoperable Operation with Amtrak was achieved on Feb 26, 2020 |
| Submit Caltrain PTC Safety Plan to the FRA | June 30, 2020 | Completed | Completed | Project submitted the PTCSPP on June 25, 2020 |
| Complete Caltrain PTC Implementation | December 2020 | Plan | Yes | |

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

1. Major Wabtec activities for November 2020:

- Continued to provide technical support and addressed defect items through Redmine ticketing and triage process with support from WABTEC PTC help-desk and technical team.
- Successfully completed BCCF/CCF Failover and Cutover effort, both control centers are live in support of Rail Operations.
- Performed on-board software 6.3.20.1 regression testing and successfully deployed I-ETMS on-board software 6.3.20.1 into production.
- Performed field WIU V&V and deployed subdiv 9029 in support of PCEP Segment 4 phase 1 signal cutover
- Completed core switches configuration effort.
- Completed BCCF Integrated Lab hardware configuration effort in support of future training purpose.
- Continued updating MDMs in support of tenant operations.
- Completed Emergency Operations Center (EOC) equipment installation.
- Completed KES long-term MPLS/Cell installation effort for sprint circuit installation.

2. Vehicle Installation:

Wabtec completed installation of 66 I-ETMS modules on the Caltrain locomotives and cab cars. The table below summarizes number of modules installed by vehicle type.

| I-ETMS On-Board Installation Progress | | | |
|--|------------------|--------------------|----------------|
| Equipment | Completed | In Progress | Pending |
| F40 | 23 | 0 | 0 |
| MP36 | 6 | 0 | 0 |
| Bombardier Cab | 9 | 0 | 0 |
| NS Gallery Cab | 26 | 0 | 0 |
| MP1500 | 2 | 0 | 0 |
| Total | 66 | 0 | 0 |
| % | 100% | 0% | 0% |

3. Other Key Activities for November of 2020:

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

- o Herzog Technologies Incorporated (HTI) data collection team and PTC project team continued producing PTC weekly and monthly reporting to the FRA per the RSD conditional approval requirements for the extended RSD.
- o PTC helpdesk continues to support PTC operation since commencement of RSD with support from Tier 1 and Tier 2 systems support staff for daily PTC operations.
- o Defect-tracking meetings are held to continue monitoring reliability of the PTC system and address any critical anomalies and defects by system engineering (Tier 2) and WABTEC/ARINC (Tier 3) as needed.
- o Caltrain is meeting with UPRR and other tenants on bi-weekly basis to address any technical and operational issues related to PTC interoperable operations.
- o Weekly ARINC coordination meeting is held to address operational systems maintenance and modification work, the live operational systems are Rail Operations Control System (ROCS), Passenger Predictive Train Arrival/Departure System (PADS) and Voice Radio Dispatching System (RDS), which are residing in the CCF and BCCF to support rail operations. Monthly Technical meeting will be held to track on-service tickets and defect resolutions.
- o Successfully completed BCCF/CCF cutover with support from ARINC/WABTEC.
- o The PTC project continues its coordination efforts with the Electrification and EMU programs via regularly scheduled System Integration Meetings held by PCEP and dedicated communications technical coordination meetings. PTC system team continued participating and coordinating with PCEP delivery team in support of upcoming electrification project segment 4 phase 2 signal cutovers scheduled in December 2020. The Segment 4 phase 1 cutover was completed in October 2020.
- o Completed workstation configuration effort for future SCADA training and test bed located in BCCF.
- o Caltrain Configuration Control Board (CCB) continued review and approval of configuration changes that affect rail operations systems and infrastructure by following Caltrain Configuration Management plan and process.
- o Caltrain Systems team actively involved in PTC Interoperable Change Management process through Interoperable Change Approval Board (ICAB).
- o Continued working with Wabtec and ARINC on new firewall migration effort.
- o Continued Wireless Crossing technical white paper review.

4. Change Order Log:

Project has executed contract Amendment two for the total of \$724,010. This Amendment two includes two change orders for the work related to 1) UPRR third party railroad interoperable testing (6 railroads total) for the amount of \$602,577; 2) the diverse redundant network path between CCF & BCCF datacenters for the amount of \$121,433. Wabtec contract amendment one was for \$1.42 M related to interoperability and the communications system.

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

5. Risk Management:

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

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

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

| Risk Item | Type | Mitigation Action |
|--|----------|---|
| FRA process changes | External | Maintain close and open relationship with key FRA contacts to ensure all submittals are done correctly and within required time frame to achieve approvals required to achieve full system certification. |
| Interoperability delays | External | Caltrain is working with UPRR and tenants to ensure agreed to interoperability schedule dates are maintained – Risks were mitigated, Interoperability with UPRR, Amtrak, and ACE were achieved. |
| Track access delays | Internal | Ensure field test schedule is maintained by coordinating all fieldwork in combination with other capital project's needs, particularly the PCEP project – Risk were mitigated, Caltrain has entered RSD and achieved interoperability with all tenants. |
| Back Office Server (BOS) documentation scope creep | Internal | Risk is mitigated by working with Wabtec to ensure future BOS software releases meet requirements of Caltrain PTC operations. Caltrain subscribes standard Interface Control Documentation (ICD) through AAR for future BOS release. |
| Key Exchange Server Solution | Internal | Implementation of Caltrain Key Exchange Server timely to support Interoperability Testing with UPRR and other tenants. KES production test was completed in October 2019. Caltrain has been interoperable with all tenants. The Long-term communication MPLS solution was implemented in late October 2020. |

| Risk Item | Type | Mitigation Action |
|---|----------|--|
| Maintenance of existing Assets Data Communications, Wayside Infrastructure and on-board equipment | Internal | Coordinated with Operations and TASI to ensure all assets including all documentation were done and handed off to Operations/TASI. PTC infrastructure are maintained by TASI and Project team continue to provide support as Tier 2/Tier 3 to ensure PTC is reliable for PTC Revenue Service Operations. |

6. FRA Coordination Status:

- o Continue monitoring PTCSP review status with the FRA, provide documentation as needed for FRA's review.
- o Continued weekly calls with FRA Test Monitor
- o Continued RSD Weekly and Monthly Reports to the Test Monitor
- o Submit V&V plan in support of PCEP Segment 4 Signal cutover
- o Support PCEP crossing implementation test request effort

7. Caltrain Roadmap to Full RSD and Interoperability:

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

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

| | (A) | (B) | (C) | (D) | (E) | (F) = (C - E) | (G) = (D / E) |
|--|-----------------------------|--|---------------------------------------|--|--|---------------------------------------|----------------------|
| Project Cost Analysis | Original Budget (US\$MM) | Approved Changes (Contractor) (US\$MM) | Project Current Budget (US\$MM) | Expended and Accruals To-Date (US\$MM) | Estimated at Completion (EAC) (US\$MM) | Variance at Completion (US\$MM) | % Expended of EAC |
| CBOSS PTC Project (Jan 2008 - Feb 2018) | \$ 231.00 | | \$ 239.88 | \$ 202.26 | \$ 202.26 | | |
| Caltain PTC Project (March 1, 2018 - June 30, 2020): | | | | | | | |
| Integrator WABTEC Contract | \$ 43.01 | \$ 2.15 | \$ 45.16 | \$ 36.76 | \$ 45.16 | \$ - | 81.40% |
| Other Contractors | \$ 6.00 | \$ - | \$ 6.00 | \$ 3.22 | \$ 6.00 | \$ - | 53.67% |
| Potential Changes | \$ 2.00 | \$ (2.00) | \$ - | | \$ - | \$ - | |
| Potential Incentive - WABTEC | \$ 2.00 | \$ - | \$ 2.00 | \$ 2.00 | \$ 2.00 | \$ - | 100.00% |
| Other Program Costs | \$ 30.34 | \$ - | \$ 30.34 | \$ 21.09 | \$ 29.98 | \$ 0.37 | 70.37% |
| Project Contingency | \$ 6.06 | \$ (0.15) | \$ 5.91 | | \$ 4.88 | \$ 1.02 | |
| Total PTC Project | \$ 89.41 | \$ (0.00) | \$ 89.41 | \$ 63.08 | \$ 88.02 | \$ 1.39 | 71.66% |
| Note: | | | | | | | |
| 1). Expended and Accruals To-Date is through October 30, 2020; | | | | | | | |
| 2). Integrator Wabtec Contract Value includes Shared Risk with Not to Exceed Total of \$1.91MM; | | | | | | | |
| 3). Other Contractors amount includes ROCS Modification and potential fiber fixes; | | | | | | | |
| 4). Potential Changes budget amount is set for future project change orders as result of WABTEC assessment and survey for the communications and office subsystems; Two change orders for amount of \$724,010 were executed as part of approved change orders. | | | | | | | |
| 5). Potential incentive amount reflects what is in the WABTEC conformed agreement; | | | | | | | |
| 6). Other Program Costs includes JPB project oversight costs, TASI support and Other Direct Cost for PTC project delivery; | | | | | | | |
| 7). Project contingency includes a) contingencies for WABTEC contract per Board Staff Report; b) JPB project team cost contingency; | | | | | | | |
| 8). CBOSS PTC project budget and actual cost are highlighted to reflect prior March 1st, 2018 CBOSS project financial data. | | | | | | | |
| 9). Negotiated additional scope items are included in WABTEC's contract amendment 1. There is no budget impact since project has budgeted adequate potential change for the amount of \$2MM (note no. 4 above) for added scope items. Current Project budget for WABTEC contract is updated to reflect added scope items and approved change orders. | | | | | | | |
| 10). Other Program Costs EAC is increased from previous months to include FY21 systems support effort (labor and ODCs) in order to offset current fiscal year Operating budget deficit caused by COVID-19. | | | | | | | |

9. Upcoming Key Activities in December 2020:

- o Continue to support PTC RSD with operations, TASI PTC help desk, and Tier one support.
- o Complete BCC/CCF failover and cutover punch list items
- o Continue data collection and PTC log analysis for PTC RSD weekly report to the FRA following RSD conditional approval requirements.
- o Continue to provide Tier 2 PTC system engineering support for tracking anomalies and addressing defect resolutions with Tier 3.
- o Continue interoperability operational coordination with all tenants via bi-weekly calls.
- o Continue MDM changes in support of interoperable operations.
- o Complete ATCS work field installation work once travel plan is confirmed with COVID 19 travel restriction.
- o Continue network assessment and design effort with CDW for Caltrain Rail System Virtualization Project, which will virtualizing PTC back office system.
- o Continue following up with the FRA on Caltrain PTCSP conditional approval.
- o Continue support signal V&V and deploy PTC data subdiv 9031 in support of PCEP Segment 4 phase 2 cutover.
- o Perform I-ETMS on-board software 6.3.20.2 Lab regression test.
- o Finalize I-ETMS Contract amendment 3 that addresses final acceptance for I-ETMS implementation work and remaining outstanding task under Wabtec delivery contract.
- o Complete and perform BCCF Lab training.
- o Conduct and delivery BOS/MDM training to Caltrain systems team.
- o Continue technical discussion and dialog on wireless crossing functional requirement and implementation risks.

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

Bacciocco Auditorium, 2nd Floor
1250 San Carlos Avenue, San Carlos CA 94070

MINUTES OF NOVEMBER 18, 2020

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

MEMBERS ABSENT: L. Klein, M. Romo

STAFF PRESENT: M. Jones, J. Navarrete, J. Navarro, J. Sharma, S. Petty

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

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

D. Tuzman joined at 5:43

APPOINTMENT OF NOMINATING COMMITTEE

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

APPROVAL OF MINUTES OF OCTOBER 21, 2020

Motion/Second: Leung / Brandt

Ayes: Dagum, Flautt, Kutler, Tuzman, Shaw

Absent: Klein, Romo

PUBLIC COMMENT

Roland Lebrun, San Jose, via Zoom Q&A, stated that Program Management Oversight Committee reports, PMOC are reports written by a set of consultants hired by the Federal Transportation Administration, FTA, who is providing hundreds of millions of dollars for the Electrification Project. He stated that Samtrans will receive multiple citations from him in the next week or so because of refusal to release documents from May and September. He stated that he has issued an FOIA, a Freedom of Information Act, equivalent to Public Records Act, but on the federal level. He stated that back in May, they knew that the Electrification would be delayed until 2024. Additionally, he

stated that he will be presenting the technical details of the Dual Speed check, Dual consistent Wait Time at the LPMG, Local Program Maker Group and why it will not work. He said that he will have to come up with a counterproposal.

CHAIRPERSON'S REPORT

Chair Brian Shaw congratulated Caltrain, the region and the three counties that voted to pass Measure RR. He stated that it will put Caltrain on stable footing, particularly under these challenging conditions, dealing with the pandemic and the drop in ridership as a result of that. He stated that he and Vice Chair Adrian Brandt asked for a review and an understanding of how we measure will affect Caltrain and has been scheduled for January's CAC meeting. He then stated that there needed to be other changes to the Work Plan that has been provided in the Agenda Packet. Chair Shaw stated that both him and Vice Chair Brandt review these changes with staff each month and staff is very good at explaining and providing transparency on any changes to the Work Plan.

Public Comment:

Roland Lebrun, San Jose, via Zoom Q&A, stated that there is a debate whether Measure RR passed in Santa Clara, however it does not matter as it passed. He stated that half of Santa Clara County does not get Caltrain service. He then stated that people from all three counties are concerned about governance. He stated that he has pointed them to the Board Resolution that placed the Measure on the ballot. Roland then stated that eighteen months ago he recommended to move EMU testing to TTCl in Pueblo. He said that TTCl is testing at 160 MPH and that they have no COVID cases. He stated that he has recommended, to the Board, to evacuate the trains from Salt Lake City, which is riddled with COVID and move them to Colorado.

Jeff Carter, Millbrae, via Zoom Q&A, stated that he was very pleased with the passage of Measure RR. He stated that the dedicated funding will give Caltrain a bright future and hopes to see great things to come.

COMMITTEE COMMENTS

Member Patrick Flautt commended Caltrain on Measure RR passing. He stated that a dedicated funding source is nice to have in addition to farebox. This means that Caltrain will be able to enhance services and offer new features and deliver on its promise when the electric fleet comes online. He then stated that he has had interviews with the development company and Jeremy Lipps for the website and will be involved in that process. He hopes to eventually bring feedback as they hit major milestones. He said that all CAC members should have received an email with details. Member Rosalind Kutler stated that she had not. Mr. Joe Navarro stated that he would have Jeremy Lipps resend the email to all Committee Members.

Vice Chair Adrian Brandt was pleased that Measure RR passed. He also stated that he is pleased that LPMG will receive a presentation on the Constant Warning Time. He stated that he has looked over the slides and they bury the fact that the trains that are in the low category will be treated as going at 59 miles an hour and high category will be treated as going 79 miles an hour, which means that for all trains that are actually going slower, warning times will increase. He also stated that he was surprised to see in

that presentation, that staff is planning a wireless improvement which will simulate and approximate constant warning time in the future. He stated that the PMOC report that public commenter, Roland LeBron referenced, points out a major problem with the electrification project and the delay. He stated that the delay is related to the implementation of this Constant Warning Time Solution. He stated that Balfour is now putting the substantial completion in 2024. Lastly, Vice Chair Brandt referred to the correspondence packet and found an account of an incident where a rider alleges that a conductor wrestled him to the ground and choked him. He stated that he is hoping that it is not true, however if it is, there will be the appropriate review and counseling or disciplinary action.

Member Rosalind Kutler said that she was thrilled about the passage of Measure RR. She also thanked staff who did the analysis for the upcoming schedule because she can see that they were very thoughtful about who is riding now. She then stated that she also read the correspondence package and realized that is a personnel matter and is not directly something staff can respond to directly, but would like to talk to the processes and the training on how conductors are trained to eject people from the train. She stated that it is something that could be fine-tuned, in concert with equity initiative, it is an opportunity to improve service.

Member David Tuzman shared that he is also happy that Measure RR passed. He stated that it passed with 69% across the region, which is a real strong message that the region wants Caltrain to continue and to improve. It is a reminder to local electives that the region does want Caltrain despite perceived noise or passing tracks to be added that may encroach a little closer near someone's backyard. Caltrain is worth it and is an important service.

Alternate Member Kathleen Maxwell expressed her delight with the passage of Measure RR. She then addressed the eight-page complaint in the correspondence packet. She asked whether Caltrain is the only Transit Agency that does not allow passengers to purchase tickets on the train. Chair Shaw responded that Proof of Payment is not uncommon and that Mr. Navarro, Deputy Chief, Rail Operations worked hard to change the process of enforcement from being a criminal offense to more like a parking citation. Chair Shaw stated that he also read the complaint in the correspondence packet and was puzzled as to why the conductor did not just issue the citation. Chair Shaw acknowledged that staff must be looking at the complaint to resolve. Member Kutler added that the rider in the complaint stated that there was an equity issue. She said that the train should be a safe place for everyone to ride.

Public Comments:

Roland Lebrun, San Jose, via Zoom Q&A, stated that he is proposing two class action lawsuits, one for Measure A and the other for Measure B. He said that VTA is saying that they will no longer be obligated to contribute to Caltrain after Measure RR passes. Roland stated that it is a false statement due to specific ballot language. He then stated that he caught them stashing away \$110M worth of CARES ACT funding and reported it to MTC on Monday morning and by Tuesday they announced increased service. He then stated that regarding the PMOC report, it was May's that was not published which shows a \$234M change older for Constant Wait Time. Lastly, he stated

that in the UK conductors do not accept cash and if a passenger does not pay their fare, there will be staff waiting at their destination.

Jeff Carter, Millbrae, via Zoom Q&A, stated that the Palo Alto Daily Post had written a lot of inaccuracies in their editorials. He then stated that regarding the customer complaint in the correspondence packet, he hopes that disciplinary action will be taken by TASI once reviewed. Lastly, regarding Proof of Payment, he stated that it is not as common in the USA. He also stated that staff has changed the proof of payment system for the better and is more friendly to the rider.

HILLSDALE / 25TH AVENUE GRADE SEPERATION

Joy Sharma, Senior Project Manager presented the 25th Avenue Grade Separation Update.

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

Committee Comments:

Vice Chair Brandt asked what was the reason for the complete closure of Hillsdale station? Ms. Sharma stated that it was recommended by City of San Mateo to do the full closure with minimum number of days impacting the community. Vice Chair Brandt then said that with the Caltrain 2040 Business Plan, staff envisions High Speed Rail coming, and asked where additional tracks would be added. Ms. Sharma responded that it is her understanding that as design is for the East Side and the project made sure that there were no obstructions to preclude future tracks that might be coming up. Mr. Navarro stated that he would get back to the committee when and if additional tracks will be added.

Public Comments:

Roland Lebrun, San Jose, via Zoom Q&A, stated that his comments are not personal to Ms. Sharma or Mr. Navarro. Roland stated that this project has nothing to do with grade separating 25th Avenue and that it was to connect Bay Meadows to the Hillsdale Shopping Center, including creating two new crossings that did not exist before at 28th and 31st Avenue and that the entire project cost \$200M. Roland stated that although there it looks like there is room for passing, it is impossible unless you start crossing tracks going in opposite direction. He stated that he has been advocating to get rid of Samtrans because they do not get it. Roland said that the path forward is to unfortunately it will cost us a minimum of \$20 million to demolish the entire station because the tracks need to go where the island platform is.

CLIPPER START QUARTERLY UPDATE

Melissa Jones, Principal Planner presented the Clipper START Quarterly Update.

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

Committee Comments:

Member Kutler asked for organizations that have not been contacted yet, how do they get materials. Ms. Jones responded that MTC is distributing all the materials. Mr.

Navarro said that he would share Ms. Jones' information with Member Kutler for additional details.

Vice Chair Brandt indicated that this program is great news if indeed it is attracting 66% more rides than otherwise people would have taken because they could not afford the fare. He noted that the numbers right now, are miniscule, but is encouraged by the fact that it will continue to grow.

Member Flautt agreed with Vice Chair Brandt that it is a win/win for Caltrain. He then asked what the success metrics for this pilot program are. Ms. Jones responded that none have been set and will report back once they have been established.

Member Tuzman asked whether the application has a question about whether the applicants are existing riders or new riders. Ms. Jones confirmed that there is. Member Tuzman then shared that it is a great idea that staff is reaching out to those applicants with incomplete applications and suggested to capture common friction points. Lastly, Mr. Tuzman noticed that there is a requirement for a Bay Area mailing address and shared that applicants may be currently homeless and asked whether staff has information about getting a temporary mailing address for them. Ms. Jones responded that she would check with MTC for an answer.

Alternate Member Maxwell stated that there was some discussion about the elite nature of Caltrain and so to have a program that addresses and targets this demographic is huge and a big deal and supports anything staff can do to promote it.

Member Kutler suggested to draw from the survey questions in thinking about metrics. She then stated that libraries no longer require an address to have a library card and that it is an equity point. She said that as homelessness rises people deserve services, regardless of whether they have an address and that it would be an increasing need.

Public Comments:

Jeff Carter, Millbrae, via Zoom Q&A, was pleased to see that the program is working and that more people are starting to use Clippers Start. He hopes that in the future it could include the Eligible Discount for the Monthly Pass to encourage ridership. He also appreciates that Caltrain went from the 20% discount down to the 50% discount. He stated that some of the slide sources are MTC 2020 Cubic Crystal Reports and asked how the public can view that information. Lastly, he said that grade separations are road improvements and the funding should come from road funds, not entirely from transit funds. Lastly, he appreciated Vice Chair Brandt's comments regarding expanding the tracks to four tracks, because in order for a Local and Express combination service, there will need to be passing tracks through a number of stations, so that you can run decent Local service and good Express service at the same time.

TRAIN SCHEDULE / CALTRAIN BUSINESS PLAN - COVID RECOVERY PLANNING - UPDATE ON NEAR TERM SERVICE PLANNING

Sebastian Petty, Deputy Chief, Caltrain Planning presented the Caltrain Business Plan - COVID Recovery Planning – Update on Near Term Service Planning

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

Committee Comments:

Vice Chair Brandt asked, with the recommended service plan what connections between certain station pairs will not be possible. Mr. Petty referred to his presentation and stated that they may change. Vice Chair Brandt that he is comforted by the statistics saying that it is only 3% of actual real-world travel demands that would be impacted. Mr. Petty clarified that it is based on pre-COVID data.

Member Kutler appreciates consistent service as it will be helpful to essential workers who are mostly riding the train and most essential workers do not have a choice about where they need to be when they need to be there.

Chair Shaw agreed with Member Kutler's comment. He stated that this reflects what is happening now, the service is being used by essential people. He said that realigning the schedule to reflect their needs, to know that the train will come every 30 minutes, is a tremendous benefit to that population. He applauded Caltrain for recognizing the need to make this change and recognizing that at some point, it may need to be adjusted. Until COVID is no longer a problem, Caltrain needs to move the essential people to work in an easy and efficient way.

Public Comments:

Roland Lebrun, San Jose, via Zoom Q&A, stated that Capital Corridor is down to 15% ridership, not 5%. He stated that the reason they have recovered is that they are providing the same service as they always have. The time it takes to go from point A to point B is the same. He said that it has not happened with Caltrain. He stated that in his case, it is a one-hour difference each way and that he would not consider wasting his time with Caltrain. He stated that the issue with planning is that staff is focusing on the disadvantaged and low-income communities, 5% of ridership and we are completely ignoring the other 95%.

Jeff Carter, Millbrae, via Zoom Q&A, mentioned that the links to the presentation on the website do not match the ones that were presented. Additionally, they are formatted to print on legal size paper and cuts off part of the slide presentation when printing. Jeff appreciates that the schedule is moving to more frequently during the midday. He then stated that extending the service pattern later would be helpful to the essential workers. He also said that he is glad that the weekends are going back, however he wonders whether it will affect the electrification schedule. Lastly regarding the station pairs, he said that when you look back at the ridership, the ridership reflects the schedule pre-COVID schedule so stations that got poor service naturally would get poor ridership and the stations that get good service, get better ridership so it is like the demand is matching the service, not the service matching the demand.

Drew, via Zoom Q&A, asked whether the schedule will have minor changes with the upcoming Hillsdale station reopening and the Atherton station closure. Mr. Petty responded that there will be minor adjustments with these events.

STAFF REPORT UPDATE

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

On-time Performance (OTP) –

- **October:** The October 2020 OTP was 97.4% compared to 93.3% for October 2019.
 - **Vehicle on Tracks** – There was one day, October 25, with a vehicle on the tracks that caused train delays.
 - **Mechanical Delays** – In October 2020 there were 358 minutes of delay due to mechanical issues compared to 792 minutes in October 2019.
- **September:** The September 2020 OTP was 97.5% compared to 93% for September 2019.

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

Mr. Navarro addressed the earlier comments regarding the customer complaint. He stated that there is an ongoing investigation with the conductor regarding the alleged assault. Mr. Navarro said that staff responds to every assault. In this case, the TASI General Manager and the Sheriff's Department responded to San Francisco immediately after the incident occurred and interviewed the crew. Mr. Navarro stated that he could not go into further detail as the incident is still under investigation. Mr. Navarro then reported that the EMU HVAC system has the MERV8 filter and will be testing in Salt Lake City for a higher grade of filter. He indicated that staff also has the ability to reprogram the intake of fresh air on the computer system, so that if staff wanted to draw 100% fresh air on the system, they could. He stated that there is no further development needed with the EMU system.

Committee Comments:

Vice Chair Brandt asked Mr. Navarro for a brief status update on the plexiglass shields. Mr. Navarro responded that it is out in operation to get a feel for the resilience of the material. He stated that staff is monitoring feedback and whether there will need to be alterations. He also stated that staff will meet with the manufacturer for a potential timeline for producing the required sets.

Public comments:

Roland Lebrun, San Jose, via Zoom Q&A, stated that Amsted is basically doing the same thing as what the airlines are doing. They are modifying the airflow inside the train so that instead of the airflow traveling horizontally, it basically starts at the top and go straight down before it goes back to the circulation system, it goes through the filters and he would like to know if that is what Stadler is doing.

JPB CAC Work Plan

December 16, 2020

- Government Affairs update / 2021 Draft Legislative Program
- San Francisco Downtown Extension update

January 20, 2021

- Sales Tax Measure
- Transit Oriented Development
- PCEP Update
- TASI Operating Budget

February 17, 2021

- Grade Crossing Improvements
- Industry Safe Functionality

March 17, 2021

-

April 21, 2021

- EMU Testing Update

Suggested Items:

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

DATE, TIME AND LOCATION OF NEXT REGULAR MEETING:

December 16, 2020 at 5:40 p.m., San Mateo County Transit District Administrative Building, 2nd Floor Bacciocco Auditorium, 1250 San Carlos Avenue, San Carlos, CA.

Adjourned at 8:12 pm

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Board of Directors

FROM: Jim Harnett
Executive Director

THROUGH: Michelle Bouchard Derek Hansel
Chief Operating Officer Chief Financial Officer

SUBJECT: **ADOPTION OF THIRD AND FOURTH QUARTERS FISCAL YEAR 2021
OPERATING BUDGET AND AMENDMENT TO DECREASE THE CAPITAL
BUDGET**

ACTION

Staff requests the Board:

1. Adopt a 3rd and 4th Quarters Fiscal Year (FY) 2020-2021 Operating Budget of \$66,426,029 for cumulative full-year budget total of \$144,488,271
2. Adopt an amendment to reduce the FY2021 Capital Budget from \$84,154,772 to \$82,334,772
3. Make findings and declarations necessary for reallocation of State Rail Assistance and State Transit Assistance funds as required to maintain transit service levels and balance the Operating Budget.

SIGNIFICANCE

In FY2021, the Peninsula Corridor Joint Powers Board (JPB) has been faced with unprecedented financial challenges as a result of the COVID-19 pandemic. In recognition of the uncertainties presented by the pandemic, on June 4, 2020 the JPB adopted an Interim 1st Quarter Operating Budget and Capital Budget for FY2021, with the understanding that budgets for a full fiscal year would be presented in September.

At the September Board of Directors (Board) meeting, staff presented a proposed full-year FY2021 Operating Budget and an amended FY2021 Capital Budget. The Board chose not to adopt the proposed budgets because the proposed Operating Budget was not balanced. The Board requested that Staff instead present a balanced 2nd Quarter budget for consideration and approval at the October Board meeting.

At the October Board meeting, Staff presented a balanced 2nd Quarter budget that reflected the proposed application of an estimated \$41.5 million of Federal Coronavirus Aid, Relief and Economic Security Act (CARES Act) funding. Staff also presented a number of potential gap-closing measures which could be used to address an expected FY2021 operating deficit of at least \$18.5 million.

While it is yet to be formally certified, it appears that at the November 3, 2020 election, the JPB's Measure RR 1/8-cent sales tax was approved by the voters. In addition to providing long-term funding for Caltrain, the availability of Measure RR will allow staff to pursue a number of other options to close the budget gap for FY2021 without threatening the financial stability of the organization.

At the December Board meeting, Staff is presenting a 3rd and 4th Quarters FY2021 Operating Budget, to take JPB through the end of FY2021. The proposed Operating Budget is balanced through the implementation of measures discussed at the Board's October meeting as well as a draw on the JPB's existing operating line of credit. As a separate agenda item, staff is also presenting an amendment to the JPB's Financial Reserve Policy to require future budgets to be balanced when presented for Board approval.

Measures proposed for use to balance the FY2021 Operating Budget include:

- Use of State Rail Assistance
Senate Bill 1 created the State Rail Assistance (SRA) Program specifically for intercity rail and commuter rail.
- De-allocation of eligible capital funds to allow funds to be used for preventive maintenance in the Operating Budget.
This requires approval from the Metropolitan Transportation Commission.
- Use of the Line of Credit
The timely passage of Measure RR made the option of drawing further upon the existing line of credit viable. We currently estimate a draw of approximately \$15.3 million.
- Use of Reserves
While a sharp reduction of the reserve balance is unfortunate, it is feasible given the improved credit position associated with the passage of Measure RR. Staff intends to propose rebuilding the reserve to more sustainable levels in future budgets.

FY2021 Operating Budget Overview

The goals and challenges that will be addressed through the proposed 3rd and 4th Quarter FY2021 Operating Budget are:

- To obtain budget appropriation for the 3rd and 4th Quarters of FY2021;

- To add to the JPB's arsenal against COVID-19 an aggressive plan of action to focus on bringing passengers back on the trains by building a higher level of trust with the riding public that Caltrain is ensuring health safety on the trains;
- To continue to recognize that affordable public transportation is vital to equitably supporting economic recovery for the region.

Pursuant to the request of the Board, the 3rd and 4th Quarters FY2021 Operating Budget, outlined below and detailed in Attachment A, is balanced. This budget assumes ridership levels consistent with current ridership. The proposed budget is built around the operation of a 68 train/day weekday schedule with enhanced weekend service for the balance of the fiscal year.

On the revenue side, farebox revenue projections for the rest of the FY2021 assumes a steady 7% ridership recovery and Go Pass non-renewal at 50%. The revenue budget also reflects the planned implementation of budget balancing measures.

On the expenditure side, the cumulative FY2021 Operating Budget reflects savings in the 1st and 2nd Quarters (also referred to as "Q1 and Q2" or "Q1-Q2"), offsetting new costs associated with recently ratified labor contracts of the JPB Rail Operator Contractor.

FY2021 Capital Budget Overview

During the FY2020 Shelter In Place (SIP) period, the 42-train schedule increased right of way access and allowed the JPB to perform some critical work relative to rolling stock "state-of-good-repair".

In the 1st and 2nd Quarters of FY2021, with funding from various agencies in flux, the initial FY2021 Capital Budget focused only on projects that could be supported by redirecting available funds from other projects that have been completed under budget, or from other projects that could be postponed.

In the 3rd and 4th Quarters, several capital projects will be implemented at reduced funding levels as eligible capital funds are de-allocated to be used for preventive maintenance costs in the operating budget. The proposed amendment to the Caltrain Capital Budget reflects the \$2.2 million de-allocated funds to balance the FY2021 operating budget.

BUDGET IMPACT

3rd and 4th Quarter FY2021 Operating Budget Impact

The following narrative describes the 3rd and 4th Quarters FY2021 Operating Budget as compared to Operating Budgets approved for the first two quarters of the year. Each section has a reference to a line item that corresponds to the Financial Statement as shown on attachment A.

Revenue Projections

Total revenues for the 3rd and 4th quarters of FY2021 are projected at \$40.9 million, a decrease of \$40.5 million or 49.7% lower than the FY2021 1st and 2nd quarter adopted budgets.

Revenue from Operations for the 3rd and 4th quarters of FY2021 are projected at \$18.4 million, a decrease of \$0.6 million or 3.4% lower than the FY2021 1st and 2nd quarter adopted budgets.

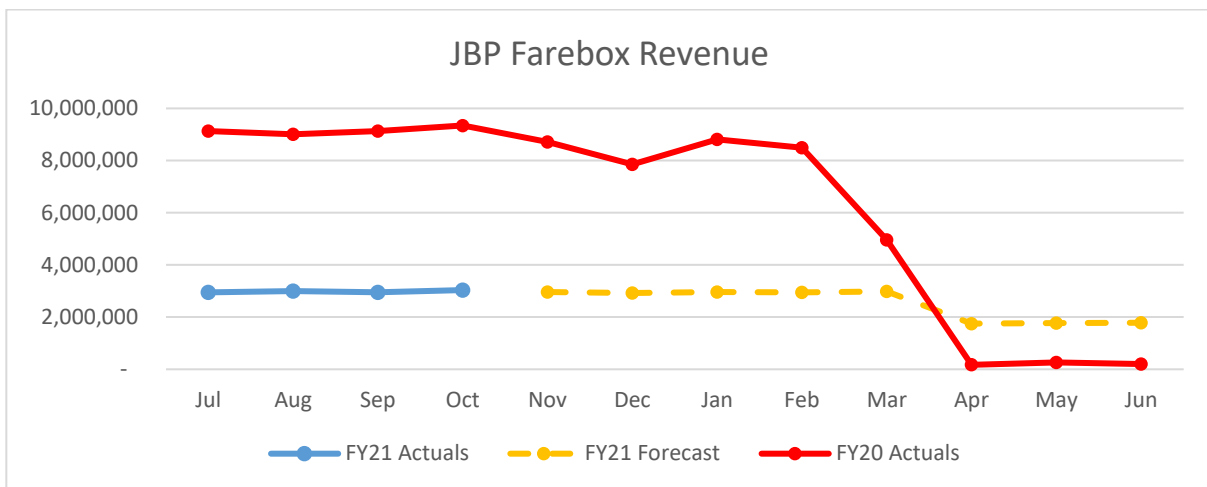
Revenue from Contributions for the 3rd and 4th quarter of FY2021 are projected at \$22.5 million, a decrease of \$39.8 million or 176.8% lower than the FY2021 1st and 2nd quarter adopted budgets.

Operating Revenue

Line 1 **Farebox Revenue:** \$15.6 million, a decrease of \$0.8 million or 4.9% lower than the FY2021 1st and 2nd quarter adopted budgets

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

Based on the actual 1st and 2nd quarter ridership indicators, the proposed FY2021 farebox revenue for the rest of the FY2021 assumes a 7% ridership recovery rate. The projection also assumes 50% non-renewal for Go Pass. This brings projected farebox revenue to \$32.0 million for FY2021.



FY20 Actuals: Go-Pass refund totaling \$7.5M reflected March through June

Line 2 **Parking Revenue:** \$119.2 thousand, a decrease of \$134.4 thousand or 53.0% lower than the FY2021 1st and 2nd quarter adopted budgets

Parking revenue includes fees at parking lots at various passenger stations and from

a parking lot located at the SAP Center adjacent to the San Jose Diridon station. Parking revenue assumptions align with Farebox revenue projections.

Line 3 **Shuttle Revenue:** \$1.1 million, an increase of \$186.4 thousand or 20.2% higher than the FY2021 1st and 2nd quarter adopted budgets

The Shuttle Program funding comes from participating employers, the San Mateo County Transportation Authority (TA), Bay Area Air Quality Management District (BAAQMD) and JPB operating funds. This line item refers only to the revenue generated from participating local area employers who provide rail passengers the last-mile connections between Caltrain stations and work sites. In recent years, the traditional funding sources for the shuttle program have continued to decline, necessitating additional member and agency funding. There is an increase for Shuttle contracted services that will be effective January 1, 2021.

Line 4 **Rental Income:** \$548.4 thousand, a decrease of \$15.1 thousand or 2.7% lower than the FY2021 1st and 2nd quarter adopted budgets

Rental income generated from Caltrain right of way properties. In FY2021, the estimate does not include rental from bike lockers. Staff is also monitoring and working with lessors on a month-to-month basis.

Line 5 **Other Income:** \$951.2 thousand, an increase of \$138.5 thousand or 17.0% higher than the FY2021 1st and 2nd quarter adopted budgets

Other Income consists of interest on invested funds, shared track usage maintenance fees, advertising income, parking citation fees, and permit fees. Advertising income includes income from train wraps, stations, ad cards, and digital displays. The FY2021 advertising income estimate is based on contractual minimum annual guarantees and additional sales albeit lower than the prior years. The income from shared track maintenance is based on an agreement with the Union Pacific Railroad (UPRR) which provides for a fixed annual fee and a variable fee based on track usage.

Operating Contributions

Line 9 **AB434 & TA Shuttle Funding:** \$871.1 thousand, an increase of \$4.2 thousand or 0.5% higher than the FY2021 1st and 2nd quarter adopted budgets

As addressed above, the JPB shuttle program has multiple funding streams. Contributions for the service come from State and local sources. In 1991, through Assembly Bill (A.B.) 434, the State Legislature authorized a \$4 surcharge on cars and trucks to fund projects that reduce on-road motor vehicle emissions. A.B. 434 revenues provide partial funding for the JPB shuttle program through a competitive grant process managed by BAAQMD. The TA also funds shuttle services with revenues of the Measure A San Mateo County-wide sales tax.

Line 10 **Operating Grants:** \$10.3 million, an increase of \$7.9 million or 335.8% higher than the FY2021 1st and 2nd quarter adopted budgets

As discussed above, the JPB is making use of a range of tools to balance the FY2021 budget. One such budget balancing measure is to use \$5.9 million State Rail Assistance Funds available for Caltrain in FY2021. This is based on FY2020 carryover of \$0.6 million and an estimated \$5.3 million FY2021 allocation.

The proposed 3rd and 4th quarter revenues also reflect a funding agreement with the Federal Railroad Administration (FRA) for \$48,500 in Railroad Trespassing Enforcement Grant program funds.

Another budget balancing measure is the de-allocation of Federal Transit Administration (FTA) capital funds eligible for preventive maintenance in the Operating Budget. This action requires approval from the Metropolitan Transportation Commission. Currently, staff has identified \$2.2 million from several projects. These projects are identified in the proposed amendment to the FY2021 Capital Budget.

Line 11 **JPB Member Agencies:** \$11.4 million, a decrease of \$6.2 million or 35.3% lower than the FY2021 1st and 2nd quarter adopted budgets

The JPB has three member agencies: the City and County of San Francisco, the San Mateo County Transit District and the Santa Clara Valley Transportation Authority. Contributions from the JPB's member agencies are established in accordance with an allocation methodology based on the average mid-weekday boarding data (including at Gilroy) and subsequently adjusted for FY2020 to reflect passenger data collected in FY2019.

The Q1-Q2 budgets included an annual lump sum insurance costs and a reduction in member agency contributions by \$0.9 million. In FY2020, member agency annual obligations were \$29.9 million.

Line 12 **CARES Act Funding:** a total of \$41.5 million was applied in the first half of FY2021 and is used to cover the projected cumulative deficit of FY2021

The CARES Act Funding is provided by the federal government to transit agencies to recoup some of the losses resulting from lower ridership. A total of \$41.5 million in CARES Act funds was applied in the 2nd Quarter of FY2021.

Expense Projections

Grand Total Expenses for the 3rd and 4th quarter of FY2021 are projected at \$66.4 million, a decrease of \$11.6 million or 14.9% lower than the FY2021 1st and 2nd quarter adopted budgets

Operating Expenses for the 3rd and 4th quarter of FY2021 are projected at \$52.6

million, a decrease of \$12.3 million or 23.4% lower than the FY2021 1st and 2nd quarter adopted budgets

Administrative Expense for the 3rd and 4th quarter of FY2021 are projected at \$12.7 million, an increase of \$661.9 thousand or 5.5% higher than the FY2021 1st and 2nd quarter adopted budgets

Operating Expenses

Line 22 **Rail Operator Service:** \$38.8 million, a 16.3% decrease or \$7.5 million lower than the 1st and 2nd quarter

The JPB contracts out for rail operator service with TransitAmerica Services, Inc. (TASI). TASI provides rail operations, maintenance and support services in the following areas: Administration/Safety; Operations and Dispatch; Maintenance of Equipment, Maintenance of Track, Communications, Signals and Stations; Capital Construction Support and State of Good Repair (SOGR) maintenance. TASI is paid on a cost plus performance fee contract structure.

As the pandemic unfolded in FY2020, JPB and TASI worked collaboratively to mitigate costs by performing the following:

- issuing a hiring freeze,
- shifting staff from traditional operations maintenance to support the State of Good Repair Program and the Capital Improvement Program,
- reducing overtime
- reducing labor overhead

The FY2021 Q1 budget assumed a 92 train/day weekday service schedule. At the time of adoption, the annual projection for TASI was \$99.4 million, of which Q1 was budgeted at \$24.9 million per quarter.

Since then, the assumption for the weekday train service was modified to a 70 train/day weekday service schedule, with a corresponding reduction in the annual projection to \$89.3M. The reduction is primarily due to several factors:

- Reduction in the weekday train service from 92 train/ day weekday schedule to 70 train/per day weekday service schedule.
- Reduction in budgeted overtime due to revised weekday train service schedule.
- Elimination of Special Services for sporting, concert, and other events.
- Reduction of maintenance services corresponding with a reduction of train service.

In addition to the actions implemented above, further Q1 budget underruns with the 70 train/day weekday service schedule and projected savings in Q2 have been incorporated into the budget estimate. Furthermore the budget includes revised costs for the following:

Revised costs due to the ratification of contractual agreements with two TASI bargaining units, namely: The Brotherhood of Railway Carmen Division, Transportation

Communications Union/IAM (International Association of Machinists). The budget also includes a one-time negotiated payment to the UTU-SMART tied to the modification of work rules.

Furthermore, the FY2021 budget for TASI includes \$281,000 to cover the costs related to the closure of the Atherton Station. The Caltrain Board of Directors voted to close its Atherton station at its November meeting. At the same time, the Town of Atherton endorsed the closure of Atherton station subject to an Agreement on a Memorandum of Understanding (MOU) between the two parties.

The budget assumes Caltrain will operate a 68 train/day weekday service schedule, effective December 19th, 2020, together with increasing the weekend service from 24-28 trains per day to 30 trains per day.

Line 23 **Security Services:** \$3.3 million, a decrease of \$25.0 thousand or 0.7% lower than the FY2021 1st and 2nd quarter adopted budgets

Security services are provided through a law enforcement contract and a communications services contract with the San Mateo County Sheriff's Office (SMCSO), and a security guard contract. The SMCSO contract supports Rail operations.

In Q1-Q2, this budget was revised to exclude security costs related to holding special events such as the SF Giants, SF 49ers, SJ Sharks, among others.

Line 24 **Shuttles:** \$2.2 million, an increase of \$427.1 thousand or 23.5% higher than the FY2021 1st and 2nd quarter adopted budgets

The Shuttle program provides last-mile connections for Caltrain passengers. The FY2021 Q3-Q4 budget assumes a minimum service schedule option. There were four routes eliminated in FY2020; this will continue in FY2021. In FY2021, the cost of the shuttle contract will likely increase as new rates will be effective January 1, 2021.

Line 25 **Fuel and Lubricants:** \$2.9 million, a decrease of \$223.5 thousand or 7.3% lower than the 1st and 2nd quarter adopted budgets

The Q1-Q2 budget was based on a fuel price of \$1.20 per gallon and a fuel usage based on a 92 train per day weekday service schedule. On the other hand, the Q3-Q4 budget assumes a higher \$1.30 per gallon price applied to a lower fuel usage based on a 68 train per day weekday train schedule, resulting in savings.

The proposed budget covers the cost of a diesel fuel for JPB locomotive operations, including the associated taxes. Caltrain has entered into a diesel fuel-hedging program that will help manage the exposure to changes in diesel fuel prices.

Line 26 **Timetables and Tickets:** \$58.3 thousand, an increase of \$6.7 thousand or 12.9% higher than the FY2021 1st and 2nd quarter adopted budgets

Timetables and Tickets includes the cost of designing, updating and printing of time tables, schedules, maps and the Caltrain tickets.

Line 27 **Insurance:** \$206.7 thousand, a decrease of \$5.0 million or 96.0% lower than the FY2021 1st and 2nd quarter adopted budgets

The Q1-Q2 budget includes the premiums which were required to be paid in July.

The Insurance budget includes premiums, deductibles, adjuster fees, broker fees and other insurance costs. Rates reflect costs for property, casualty, and liability insurance.

The FY2021 budget reflects the cost of the recently negotiated insurance contract adjusted with the impact of changes in ridership.

It will be noted that the market condition in the industry predates pre-COVID-19. This was a market hardened by huge losses, global events and a litigious environment in the rail industry. Liability insurance cost went up as fewer insurers opted to continue to operate in the industry and existing carriers reduced their exposures.

Line 28 **Claims, Reserves and Payments:** \$481.4 thousand, an increase of \$2.7 thousand or 0.6% higher than the FY2021 1st and 2nd quarter adopted budgets

This budget item covers the cost of claims, reserves and payments, and the associated legal fees.

Line 29 **Facilities and Equipment Maintenance:** \$2.4 million, an increase of \$66.3 thousand or 2.8% higher than the FY2021 1st and 2nd quarter adopted budgets

This budget item covers expenses related to Clipper Operator charges, revenue collection services, ticket vending machines, data line services and other contract services.

The FY2021 budget includes additional PTC maintenance cost of \$3.2 million and reflects a \$1.0 million decrease in Clipper usage charges.

Line 30 **Utilities:** \$1.4 million, an increase of \$12.2 thousand or 0.9% higher than the FY2021 1st and 2nd quarter adopted budgets

This line covers the cost of gas & electric, telephone, water, trash & sewer. The budget also includes utility costs of PTC maintenance such as circuits, radio license fees and spectrum lease.

Line 31 **Maintenance & Services – Building and Other:** \$775.5 thousand, a decrease of \$40.0 thousand or 4.8% lower than the FY2021 1st and 2nd quarter adopted budgets

This item covers the cost of building maintenance services, printing and information

services, and repair and maintenance of computers and office equipment.

Administrative Expenses

Line 35 **Wages & Benefits:** \$5.1 million, a decrease of \$756.4 thousand or 12.9% lower than the FY2021 1st and 2nd quarter adopted budgets

The Q1-Q2 budget was higher as it included the lump sum payment for CalPers and retiree medical contributions required to be paid in July.

The FY2021 Q3-Q4 budget includes existing positions, no new full time employee positions (also referred to herein as "FTEs"), an administrative staff hiring freeze, a lower benefits rate, no universal wage increase, and lower agency allocations to the retiree medical and OPEB plans.

Below are the FTEs for each division funded by operating funds and by capital funds.

| FY2021 FTE - Operating | Finance | Planning | Executive | Comm | Admin | Bus | Rail | Calmod | Total |
|------------------------|------------|------------|------------|-------------|------------|------------|-------------|------------|-------------|
| Represented | - | - | - | 5.8 | - | 5.0 | - | - | 10.80 |
| Non-Represented | 6.2 | 2.8 | 0.5 | 12.6 | 7.1 | 4.9 | 34.2 | 0.1 | 68.25 |
| New FTEs | - | - | - | - | - | - | - | - | - |
| Total Operating | 6.2 | 2.8 | 0.5 | 18.4 | 7.1 | 9.9 | 34.2 | 0.1 | 79.1 |

| FY2021 FTE - Capital | Finance | Planning | Executive | Comm | Admin | Bus | Rail | Calmod | Total |
|----------------------|-------------|------------|------------|----------|------------|----------|-------------|------------|-------------|
| Represented | - | - | - | - | - | - | - | - | - |
| Non-Represented | 12.7 | 5.3 | 0.5 | - | 1.8 | - | 51.1 | 8.9 | 80.30 |
| New FTEs | - | - | - | - | - | - | - | - | - |
| Total Capital | 12.7 | 5.3 | 0.5 | - | 1.8 | - | 51.1 | 8.9 | 80.3 |

Line 36 **Managing Agency Admin OH Cost:** \$2.6 million reflect no change over the FY2021 1st and 2nd quarter adopted budgets

Managing Agency Administrative Overhead (OH) Cost reflects the cost of San Mateo County Transit District (District) personnel dedicated to the Caltrain business (as opposed to Caltrain operations). The Proposed budget assumes an increase of 1.2% over the FY2020 Forecast. This FY2021 estimate will be revised further pending results of the current study of the Internal Cost Allocation Plan (ICAP).

The ICAP calculates the indirect cost rate used to recover overhead costs related to agency indirect administrative overhead and capital projects. The District procured the assistance of an outside consulting firm to develop a methodology that equitably allocates the costs incurred by the District for services and functions shared by the different agencies administered by District staff. The consultant team was selected for its experience and knowledge in developing allocation methodologies for governmental and public entities.

The ICAP is prepared in accordance with the principles and guidelines set forth in the Office of Management and Budget (OMB) Circular A-87 "Cost Principles for State, Local and Indian Tribal Governments" and ASMB C-10 "Cost Principles and Procedures for Developing Cost Allocation Plans and Indirect Cost Rates for Agreements with the Federal Government."

The ICAP calculates two components:

- Agency Indirect Administration (AIA) – a pool of costs that cannot be directly attributed to a specific agency.

This consists of labor and non-labor support functions that benefit each of the three agencies managed by the District as well as a fourth agency, the San Mateo County Express Lanes Joint Powers Agency (SMCELJPA) supported by the District beginning in FY 2020. Examples include the time charged by the Payroll Department to process the biweekly payroll or the time charged by the Human Resource Department to post recruitments on industry websites. Based on specific statistics, these costs distributed to each department are. For example, the payroll department costs are distributed to each department based on the number of FTEs. The District incurs all of the AIA costs and then recovers appropriate shares of the costs from the District's Operating and Capital budgets, the JPB Operating and Capital budgets, the TA budget and the SMCELJPA budget.

- Capital Overhead – a pool of project support costs that cannot be directly attributed to a specific capital project.

A capital overhead rate is calculated for each agency. An example of a capital overhead cost would be the time charged by an administrative assistant who supports multiple capital project engineers. The capital overhead costs are tracked and included in the ICAP rate and is charged to each capital project.

Line 37 **Board of Directors:** \$0, a decrease of \$11,025 or 100% lower than the FY2021 1st and 2nd quarter adopted budgets

The FY2021 budget reflects the annual budget for this expense line. This covers director compensation, seminars and training, and meetings for the Board of Directors. Cost decreases result from diminished conference attendance.

Line 38 **Professional Services:** \$3.2 million, an increase of \$0.9 million or 42.2% higher than the FY2021 1st and 2nd quarter adopted budgets

This covers the cost of consultants for legal services, audit services, and legislative advocacy and technical services. The professional services also include additional operating maintenance of Positive Train Control (PTC) related to rail friction, electronic recording, measuring, and communications systems and communications data security.

Line 39 **Communications and Marketing:** \$40.4 thousand, a decrease of \$55.2 thousand or 57.7% lower than the FY2021 1st and 2nd quarter adopted budgets

The FY2021 Q1-Q2 and Q3-Q4 budget reflects the suspension of special celebrations and promotional advertising for sporting events during the pandemic.

This covers the cost of promotional advertising for fares, schedule changes and the cost of providing the riding public with a mobile app.

Line 40 **Other Office Expense and Services:** \$1.8 million or \$544.0 thousand or 43.8% higher than the FY2021 1st and 2nd quarter adopted budgets

This budget covers license renewal, bank fees, office vehicle maintenance, property taxes, software maintenance, and leases for properties along the Right of Way (ROW) in support of commuter services. The ROW leases include critical facilities for radio transmission antennas and real estate for storage of train equipment and spare parts.

With the passage of Measure RR, obtaining a Line of credit (LOC) became a viable budget balancing option. Based on the proposed expenditures and exhausting available fund sources, a line of credit in the amount of \$15.3 million is required to balance the budget. The estimated cost of this LOC includes interest expense and transaction fees.

Line 43 **Long Term Debt Expense:** \$1.2 million reflects no change over FY2021 1st and 2nd quarter adopted budgets

This covers the cost and principal retirement of debt incurred for the acquisition and rehabilitation of passenger rail cars, for the acquisition of real property, and for maintenance of a revolving line of credit.

In February 2019, the JPB refunded bonds issued in 2007 and 2015 to achieve interest savings and restructure debt, and issued additional bonds to purchase two pieces of real property previously leased by the JPB.

FY2021 Capital Budget Impact

The initial FY2021 Capital budget approved by the Board in June for a total of \$19.1 million included only those capital projects that had available funding, but required Board-approved budget authority to incur the expenditures.

In October, the Board approved Amendment 1 to the FY2021 capital budget for a total of \$84.2 million and included urgent projects eligible for the anticipated annual FY2021 Federal, State and Member Agency funds.

In December, the Staff seeks approval of Amendment 2 to the FY2021 capital budget, which reflects a decrease of \$2.2 million due to the de-allocation of eligible federal funds to the Operating Budget. This brings the total FY2021 Capital budget to \$82.3 million.

The proposed amendment to the FY2021 Capital Budget also includes an increase of \$400,000 in the San Mateo Grade Crossing Improvement. This project will be presented by the Project Manager for consideration by the Board under a separate item on the December Board meeting agenda.

Furthermore, Staff proposes to exercise some flexibility in reallocating Federal Transit Administration (FTA) funds previously budgeted for FY2021 capital projects as the FTA capital funds are eligible to be used for preventive maintenance in the Operating Budget. Discussions were conducted with the Metropolitan Transportation Commission for guidance to implement this option with Board approval.

The remaining funds of the affected projects will still allow said capital projects (see Attachment B) to continue project work in FY2021. Furthermore, the de-allocated funds are planned to be restored to the impacted projects in FY2022

Staff proposes the following projects for the de-allocation budget balancing option:

RIGHT OF WAY

- #9. San Francisquito Creek Bridge Replacement – De-allocate: \$400,000
In FY2021, this project moves to the construction phase for the replacement of this 118-year-old bridge, with a modern railway bridge with a 100-year design life.
- #11. System-wide Track Rehab SOGR– De-allocate: \$520,000
Continue the work required to keep the Caltrain railroad in a state of good repair, including rehabilitation of track and other purchased services. Replace track components, wedging, surfacing and selected minor bridge repairs.

SIGNAL AND COMMUNICATION

- #12 Caltrain Communication System SOGR – De-allocate: \$700,000
This is a yearly evaluation and implementation of projects for the overall railroad communications system to keep assets current. Evaluates replacements prior to end of life or vendor support. This includes all voice and data radio systems, microwave systems, leased landlines and the data communications system.
- #13 Rail Network Maintenance – De-allocate: \$100,000
Upgrade internet service and equipment as necessary to support secure vendor Virtual Private Network (VPN) access, remote monitoring of PTC environment, and communications with external clients such as 511.org. Furthermore, this upgrade will be able to handle higher bandwidth and current

equipment including firewalls and routers have reached the end of their technology life cycle.

- #26. Clipper Next Gen Validators Site Prep – De-allocate: \$500,000
Design and install 360 new Next Generation Clipper Validators at stations to prepare for the regional transition to the new Clipper system mandated by MTC.
- #31. As stated above, this Amendment also includes an increase of \$400,000 for the San Mateo Grade Improvement Project, which will be presented separately to the Board as a separate Project request.

Prepared by:

| | | |
|------------------|-----------------------|--------------|
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| Melanie Hartanto | Senior Budget Analyst | |

**PENINSULA CORRIDOR JOINT POWERS BOARD
FY2021 OPERATING BUDGET**

| | | FY2021 Adopted Q1 and Q2 | FY2021 Q3 and Q4 Amendment | FY2021 Total Budget | \$ Change C = B - A | % Change D = C / A | |
|--------------------|--------------------------------------|--------------------------------|----------------------------------|---------------------------|------------------------|-----------------------|----|
| | | A | B | A + B | C = B - A | D = C / A | |
| REVENUE | | | | | | | |
| OPERATIONS: | | | | | | | |
| 1 | Farebox Revenue | 16,415,496 | 15,613,653 | 32,029,149 | (801,843) | -4.9% | 1 |
| 2 | Parking Revenue | 253,564 | 119,154 | 372,718 | (134,410) | -53.0% | 2 |
| 3 | Shuttles | 922,415 | 1,108,831 | 2,031,246 | 186,416 | 20.2% | 3 |
| 4 | Rental Income | 563,452 | 548,352 | 1,111,804 | (15,100) | -2.7% | 4 |
| 5 | Other Income | 812,757 | 951,243 | 1,764,000 | 138,486 | 17.0% | 5 |
| 6 | TOTAL OPERATING REVENUE | 18,967,684 | 18,341,233 | 37,308,917 | (626,451) | -3.4% | 6 |
| 7 | | | | | | | 7 |
| 8 | CONTRIBUTIONS: | | | | | | |
| 9 | AB434 & TA Shuttle Funding | 866,849 | 871,101 | 1,737,950 | 4,252 | 0.5% | 9 |
| 10 | Operating Grants | 2,353,128 | 10,255,372 | 12,608,500 | 7,902,244 | 335.8% | 10 |
| 11 | JPB Member Agencies | 17,616,569 | 11,392,865 | 29,009,434 | (6,223,704) | -35.3% | 11 |
| 12 | CARES ACT Funding | 41,507,983 | - | 41,507,983 | (41,507,983) | -100.0% | 12 |
| 13 | TOTAL CONTRIBUTED REVENUE | 62,344,529 | 22,519,338 | 84,863,867 | (39,825,191) | -176.8% | 13 |
| 14 | | | | | | | 14 |
| 15 | | | | | | | 15 |
| 16 | GRAND TOTAL REVENUE | 81,312,213 | 40,860,571 | 122,172,784 | (40,451,642) | -49.7% | 16 |
| 17 | | | | | | | 17 |
| 18 | | | | | | | 18 |
| 19 | EXPENSE | | | | | | |
| 20 | | | | | | | 20 |
| 21 | OPERATING EXPENSE: | | | | | | |
| 22 | Rail Operator Service | 46,319,462 | 38,790,480 | 85,109,942 | (7,528,982) | -16.3% | 22 |
| 23 | Security Services | 3,385,954 | 3,360,954 | 6,746,908 | (25,000) | -0.7% | 23 |
| 24 | Shuttle Service | 1,815,082 | 2,242,167 | 4,057,249 | 427,085 | 23.5% | 24 |
| 25 | Fuel and Lubricants | 3,077,019 | 2,853,504 | 5,930,523 | (223,515) | -7.3% | 25 |
| 26 | Timetables and Tickets | 51,666 | 58,334 | 110,000 | 6,668 | 12.9% | 26 |
| 27 | Insurance | 5,203,333 | 206,667 | 5,410,000 | (4,996,666) | -96.0% | 27 |
| 28 | Claims, Reserves, and Payments | 478,635 | 481,365 | 960,000 | 2,730 | 0.6% | 28 |
| 29 | Facilities and Equipment Maint | 2,373,608 | 2,439,955 | 4,813,563 | 66,347 | 2.8% | 29 |
| 30 | Utilities | 1,359,579 | 1,371,806 | 2,731,385 | 12,227 | 0.9% | 30 |
| 31 | Maint & Services-Bldg & Other | 814,491 | 775,509 | 1,590,000 | (38,982) | -4.8% | 31 |
| 32 | TOTAL OPERATING EXPENSE | 64,878,829 | 52,580,741 | 117,459,570 | (12,298,088) | -23.4% | 32 |
| 33 | | | | | | | 33 |
| 34 | ADMINISTRATIVE EXPENSE | | | | | | |
| 35 | Wages and Benefits | 5,843,219 | 5,086,781 | 10,930,000 | (756,438) | -12.9% | 35 |
| 36 | Managing Agency Admin OH Cost | 2,569,676 | 2,569,676 | 5,139,352 | - | 0.0% | 36 |
| 37 | Board of Directors | 11,025 | - | 11,025 | (11,025) | -100.0% | 37 |
| 38 | Professional Services | 2,229,754 | 3,170,246 | 5,400,000 | 940,492 | 42.2% | 38 |
| 39 | Communications and Marketing | 95,583 | 40,417 | 136,000 | (55,166) | -57.7% | 39 |
| 40 | Other Office Expense and Services | 1,243,280 | 1,787,292 | 3,030,572 | 544,012 | 43.8% | 40 |
| 41 | TOTAL ADMINISTRATIVE EXPENSE | 11,992,537 | 12,654,412 | 24,646,949 | 661,875 | 5.5% | 41 |
| 42 | | | | | | | 42 |
| 43 | Long-term Debt Expense | 1,190,876 | 1,190,876 | 2,381,752 | - | 0.0% | 43 |
| 44 | | | | | | | 44 |
| 45 | GRAND TOTAL EXPENSE | 78,062,242 | 66,426,029 | 144,488,271 | (11,636,213) | -14.9% | 45 |
| 46 | | | | | | | 46 |
| 47 | | | | | | | 47 |
| 48 | PROJECTED SURPLUS / (DEFICIT) | 3,249,971 | (25,565,458) | (22,315,487) | | | 48 |
| 49 | Use of Reserves | - | - | 7,000,000 | | | 49 |
| 50 | Line of Credit | - | - | 15,315,487 | | | 50 |
| 51 | NET SURPLUS / (DEFICIT) | 3,249,971 | (25,565,458) | - | | | 51 |



FY2020-2021 CAPITAL BUDGET

| Item # | PROJECT NAME | Project Sponsor / Manager | PRIOR YEARS APPROVED | FY21 ADOPTED JUNE BOARD | AMENDMENT #1 | AMENDMENT #2 | PROPOSED FY21 CAPITAL BUDGET | Federal Funds | Federal De-allocate to Operating | State Funds | STA SOGR Funds | Members | | | Member Funds Total | Other Funds Total | TOTAL PROPOSED FY21 CAPITAL BUDGET |
|---|---|---------------------------|----------------------|-------------------------|-------------------|--------------------|------------------------------|-------------------|----------------------------------|----------------|------------------|-------------------|--------------------|------------------|--------------------|-------------------|------------------------------------|
| | | | | | | | | | | | | San Francisco MTA | San Mateo SamTrans | Santa Clara VTA | | | |
| i. SOGR | | | | | | | | | | | | | | | | | |
| Right of Way | | | | | | | | | | | | | | | | | |
| 1 | Marin Street and Napoleon Street Bridges ¹ | J Sharma | 6,704,000 | 9,696,000 | - | | 9,696,000 | 4,965,021 | | - | 1,350,915 | - | - | - | - | 3,380,064 | 9,696,000 |
| 2 | Fencing - ROW | R Scarpino | - | 915,000 | 585,000 | | 1,500,000 | - | | 915,000 | - | - | 250,000 | 335,000 | 585,000 | - | 1,500,000 |
| 8 | Guadalupe River Bridge Replacement | P Kwan | 10,300,000 | | 2,100,000 | | 2,100,000 | 1,680,000 | | - | - | 227,500 | - | 192,500 | 420,000 | - | 2,100,000 |
| 9 | San Francisquito Creek Bridge Replacement | A Piano | 600,000 | | 2,000,000 | (400,000) | 1,600,000 | 1,600,000 | (400,000) | - | - | 227,500 | - | 172,500 | 400,000 | - | 1,600,000 |
| 10 | Structures Maintenance SOGR | R Scarpino | 800,000 | | 800,000 | | 800,000 | 640,000 | | - | - | 160,000 | - | - | 160,000 | - | 800,000 |
| 11 | System-wide Track Rehab -SOGR | E Stockmeir | 5,500,000 | | 5,720,000 | (520,000) | 5,200,000 | 4,576,000 | (520,000) | - | - | 1,144,000 | - | - | 1,144,000 | - | 5,200,000 |
| | | | 10,611,000 | | 11,205,000 | (920,000) | 20,896,000 | 13,461,021 | (920,000) | 915,000 | 1,350,915 | 1,759,000 | 250,000 | 700,000 | 2,709,000 | 3,380,064 | 20,896,000 |
| Signal & Communication | | | | | | | | | | | | | | | | | |
| 3 | Fiber Optic Corrective Repair ² | M Scanlon | | 1,000,000 | | | 1,000,000 | - | | - | - | - | - | - | - | 1,000,000 | 1,000,000 |
| 12 | Caltrain Communication System SOGR | M Scanlon | - | | 2,000,000 | (700,000) | 1,300,000 | 1,600,000 | (700,000) | - | - | - | 400,000 | 400,000 | 400,000 | - | 1,300,000 |
| 13 | Rail Network SOGR | M Scanlon | - | | 500,000 | (100,000) | 400,000 | 400,000 | (100,000) | - | - | - | 100,000 | 100,000 | 100,000 | - | 400,000 |
| 14 | TVM Upgrade Phase 4 | R Tam / J Navarro | 1,795,000 | | 1,000,000 | | 1,000,000 | 800,000 | | - | - | - | 200,000 | 200,000 | 200,000 | - | 1,000,000 |
| 15 | Clipper CID installation and Relocation Plan and Construction | H. Chan | 500,000 | | 1,000,000 | | 1,000,000 | 800,000 | | - | - | - | 200,000 | 200,000 | 200,000 | - | 1,000,000 |
| 20 | BCCF Buildout Assessment | M Scanlon | - | | 500,000 | | 500,000 | - | | - | - | 500,000 | - | - | 500,000 | - | 500,000 |
| | | | 1,000,000 | | 5,000,000 | (800,000) | 5,200,000 | 3,600,000 | (800,000) | - | - | - | 500,000 | 900,000 | 1,400,000 | 1,000,000 | 5,200,000 |
| Rolling Stock | | | | | | | | | | | | | | | | | |
| 21 | Bombardier | J Navarro | | | 1,663,825 | | 1,663,825 | - | | - | - | 1,663,825 | - | - | 1,663,825 | - | 1,663,825 |
| 22 | Upper Level Doors Installation ⁷ | J Navarro | - | | 11,000,000 | | 11,000,000 | - | | - | - | - | - | - | - | 11,000,000 | 11,000,000 |
| | | | - | | 12,663,825 | - | 12,663,825 | - | - | - | - | 1,663,825 | - | - | 1,663,825 | 11,000,000 | 12,663,825 |
| Station & Intermodal Access | | | | | | | | | | | | | | | | | |
| 23 | Stations SOGR | R Scarpino | 500,000 | | 1,000,000 | | 1,000,000 | - | | - | - | 400,000 | - | 600,000 | 1,000,000 | - | 1,000,000 |
| 24 | CCF Crew Quarters Roof Replacement & Trailer Repairs | R Scarpino | - | | 1,000,000 | | 1,000,000 | - | | - | - | - | - | 1,000,000 | 1,000,000 | - | 1,000,000 |
| 25 | Menlo Park Facility 4000 Campbell Avenue HVAC | R Scarpino | - | | 100,000 | | 100,000 | - | | - | - | 100,000 | - | - | 100,000 | - | 100,000 |
| | | | - | | 2,100,000 | - | 2,100,000 | - | - | - | - | 400,000 | 100,000 | 1,600,000 | 2,100,000 | - | 2,100,000 |
| Total SOGR | | | 11,611,000 | | 30,968,825 | (1,720,000) | 40,859,825 | 17,061,021 | (1,720,000) | 915,000 | 1,350,915 | 3,822,825 | 850,000 | 3,200,000 | 7,872,825 | 15,380,064 | 40,859,825 |
| ii. LEGAL MANDATES AND REQUIRED ENHANCEMENTS | | | | | | | | | | | | | | | | | |
| 26 | Clipper Next Gen Validators Site Prep | J Navarro / H Chan | - | | 1,500,000 | (500,000) | 1,000,000 | 1,200,000 | (500,000) | - | - | - | - | 300,000 | 300,000 | - | 1,000,000 |
| | | | - | | 1,500,000 | (500,000) | 1,000,000 | 1,200,000 | (500,000) | - | - | - | - | 300,000 | 300,000 | - | 1,000,000 |



FY2020-2021 CAPITAL BUDGET

| Item # | PROJECT NAME | Project Sponsor / Manager | PRIOR YEARS APPROVED | FY21 ADOPTED JUNE BOARD | AMENDMENT #1 | AMENDMENT #2 | PROPOSED FY21 CAPITAL BUDGET | Federal Funds | Federal De-allocate to Operating | State Funds | STA SOGR Funds | Members | | | Member Funds Total | Other Funds Total | TOTAL PROPOSED FY21 CAPITAL BUDGET |
|---|---|---------------------------|----------------------|-------------------------|--------------|--------------|------------------------------|---------------|----------------------------------|-------------|----------------|-------------------|--------------------|-----------------|--------------------|-------------------|------------------------------------|
| | | | | | | | | | | | | San Francisco MTA | San Mateo SamTrans | Santa Clara VTA | | | |
| iii. OPERATIONAL IMPROVEMENTS/ENHANCEMENTS | | | | | | | | | | | | | | | | | |
| 4 | Positive Train Control Litigation ³ | S Bullock | - | 6,600,000 | | | 6,600,000 | - | | - | - | - | - | - | - | 6,600,000 | 6,600,000 |
| 5 | Wayside Bike Parking Improvements ⁴ | D Provence | 4,000,000 | 349,322 | 1,040,000 | | 1,389,322 | - | | - | - | - | - | - | - | 1,389,322 | 1,389,322 |
| 27 | Grade Crossing Hazard Analysis Data Collection | R Tam | - | | 200,000 | | 200,000 | - | | - | - | 200,000 | - | - | 200,000 | - | 200,000 |
| 28 | FY21 Grade Crossing Safety Improvements Design | R Tam | - | | 500,000 | | 500,000 | - | | - | - | 500,000 | - | - | 500,000 | - | 500,000 |
| 29 | EAM – Enterprise Asset Management software system | S Chao | - | | 750,000 | | 750,000 | - | | - | - | - | 750,000 | - | 750,000 | - | 750,000 |
| 30 | Update and Upgrade GIS system | G Fleming | - | | 500,000 | | 500,000 | - | | - | - | 477,175 | 22,825 | - | 500,000 | - | 500,000 |
| 31 | San Mateo Grade Crossing Improvements | R Tam | - | | 1,600,000 | 400,000 | 2,000,000 | - | | 2,000,000 | - | - | - | - | - | - | 2,000,000 |
| 32 | Broadway Burlingame Grade Separation ⁹ | J Sharma | 4,550,000 | | 19,838,000 | | 19,838,000 | - | | - | - | - | - | - | - | 19,838,000 | 19,838,000 |
| | | | | 6,949,322 | 24,428,000 | 400,000 | 31,777,322 | - | - | 2,000,000 | - | 1,177,175 | 772,825 | - | 1,950,000 | 27,827,322 | 31,777,322 |
| iv. PLANNING/STUDIES | | | | | | | | | | | | | | | | | |
| 6 | 22nd St. ADA Feasibility Study ⁵ | M Reggiardo | 300,000 | 50,000 | - | | 50,000 | - | | - | - | - | - | - | - | 50,000 | 50,000 |
| 7 | Business Plan ⁶ | S Petty | 5,537,118 | 509,157 | - | | 509,157 | - | | - | - | - | - | - | - | 509,157 | 509,157 |
| 33 | Capital Planning (CIP) | M Reggiardo | 750,000 | | 1,250,000 | | 1,250,000 | - | | - | - | - | 500,000 | 750,000 * | 1,250,000 | - | 1,250,000 |
| 34 | San Francisco Station and Terminal Planning | M Reggiardo | - | | 1,000,000 | | 1,000,000 | - | | - | - | 1,000,000 | - | - | 1,000,000 | - | 1,000,000 |
| 35 | Diridon and South Terminal Area | M Reggiardo | - | | 1,000,000 | | 1,000,000 | - | | - | - | - | 1,000,000 * | - | 1,000,000 | - | 1,000,000 |
| 36 | Rail Network and Operations Planning | M Reggiardo | - | | 1,250,000 | | 1,250,000 | - | | - | - | - | 1,250,000 | - | 1,250,000 | - | 1,250,000 |
| 37 | Redwood City Station Planning | M Reggiardo | - | | 750,000 | | 750,000 | - | | - | - | - | 750,000 | - | 750,000 | - | 750,000 |
| 38 | Caltrain Downtown Rail Extension (DTX) | A Simmons | - | | 60,000 | | 60,000 | - | | - | - | - | - | - | - | 60,000 | 60,000 |
| 39 | System-wide Planning and Policy & Org Design | M Reggiardo | - | | 1,168,468 | | 1,168,468 | - | | - | - | - | 217,175 | 750,000 * | 967,175 | 201,293 | 1,168,468 |
| 40 | Capital Contingency Funds - Engineering | | - | | 330,000 | | 330,000 | - | | - | - | - | 330,000 | - | 330,000 | - | 330,000 |
| 41 | Capital Contingency Funds - Rail | | - | | 660,000 | | 660,000 | - | | - | - | - | 660,000 | - | 660,000 | - | 660,000 |
| 42 | Capital Program Management | | - | | 335,000 | | 335,000 | - | | - | - | - | 335,000 | - | 335,000 | - | 335,000 |
| 43 | Capital Project Development | | - | | 335,000 | | 335,000 | - | | - | - | - | 335,000 | - | 335,000 | - | 335,000 |
| | | | | 559,157 | 8,138,468 | - | 8,697,625 | - | - | - | - | 1,000,000 | 4,377,175 | 2,500,000 | 7,877,175 | 820,450 | 8,697,625 |
| TOTAL | | | | 19,119,479 | 65,035,293 | (1,820,000) | 82,334,772 | 18,261,021 | (2,220,000) | 2,915,000 | 1,350,915 | 6,000,000 | 6,000,000 | 6,000,000 | 18,000,000 | 44,027,836 | 82,334,772 |

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

² Insurance proceeds and/or Operating funds

³ Litigation costs funded by operating funds

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

⁵ Prior year SF member funds

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

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

⁸ Section 130

⁹ SMCTA and City of Burlingame(\$1.5 million)

* identifies the projects that will be funded by VTA Measure B funds of \$2.5 million

RESOLUTION NO. 2020-

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

*** * ***

**ADOPTING THE THIRD AND FOURTH QUARTERS FISCAL YEAR 2021 OPERATING
BUDGET FOR A TOTAL FISCAL YEAR OPERATING BUDGET OF \$144,488,271,
AMENDING TO DECREASE THE FISCAL YEAR 2021 CAPITAL BUDGET BY \$1,820,000
FOR A NEW CAPITAL BUDGET OF \$82,334,772 AND MAKING REQUIRED
DECLARATIONS TO USE STATE RAIL ASSISTANCE AND STATE TRANSIT ASSISTANCE
FUNDS FOR OPERATING PURPOSES TO MAINTAIN CALTRAIN SERVICE LEVELS**

WHEREAS, the Joint Powers Agreement of the Peninsula Corridor Joint Powers Board (JPB) requires the Board of Directors (Board) to approve an annual operating and capital budgets; and

WHEREAS, the adoption of an operating budget is necessary for obtaining both Federal and State funds to support the Peninsula Commute Service operation known as Caltrain; and

WHEREAS, the adoption of a capital budget complements the JPB's strategic planning process; and

WHEREAS, the Covid-19 pandemic has caused Caltrain ridership levels to drop from 35,000 riders per day to 5,000 riders per day, which has significantly contributed to a projected deficit of \$22.3 million for the JPB's cumulative FY2021 operating budgets; and

WHEREAS, the State recently approved Assembly Bill 107 to allow transit agencies to redirect State Transit Assistance (STA) funds for State of Good Repair (SOGR) during FY 2020-2021 and FY 2021-2022 from capital to operating needs to maintain transit service levels where; and

WHEREAS, the JPB is an eligible project sponsor and may receive state funding from State Rail Assistance (SRA) now or sometime in the future for transit projects; and

WHEREAS, the California State Transportation Agency has developed guidelines for the purpose of administering and distributing SRA funds to eligible project sponsors, and the JPB desires to use SRA funds to support its operating needs; and

WHEREAS, the Executive Director recommends the Board of Directors take each of the actions listed below to (a) enable the JPB to access STA and SRA funds for operating purposes, (b) adopt a 3rd and 4th Quarter FY2021 Operating Budget, (c) amend to decrease the FY2021 Capital Budget to reflect the shift of funds from capital to operating uses and also to increase funds available for the Broadway Grade Separation Project.

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby adopts the 3rd and 4th Quarter Fiscal Year 2021 Operating Budget, a copy of which is attached hereto and incorporated herein as Attachment A, in the amount of \$66,426,029, for a new cumulative FY2021 Operating Budget of \$144,488,271; and

BE IT FURTHER RESOLVED that the Board amends to decrease the FY2021 Capital Budget by \$1,820,000 for a new total budget of \$82,334,772, attached hereto and incorporated herein as Attachment B; and

BE IT FURTHER RESOLVED that, consistent with Assembly Bill 107 and in light of Caltrain's COVID-19-related ridership loss and resulting financial impacts on the agency's operating revenues, the Board of Directors declares that the JPB will use STA SOGR funds for operating needs in FY 2020-21 and FY 2021-22 to maintain transit service

levels, and finds that expenditure of such STA funds for operating costs is necessary to prevent Caltrain transit service levels from being reduced or eliminated; and

BE IT FURTHER RESOLVED that the Board of Directors hereby authorizes the submittal of allocation requests to CalSTA to allow the JPB to access **\$583,637 in Cycle 1 and \$5,300,000 in Cycle 2** SRA_funds to support the Operating Budget as set forth in the attached; and

BE IT FURTHER RESOLVED that the JPB agrees to comply with all conditions and requirements set forth in the applicable statutes, regulations and guidelines for all SRA funded transit projects; and

BE IT FURTHER RESOLVED that the Executive Director, or his designee, is requested to forward a copy of the 3rd and 4th Quarters FY2021 Operating Budget and Amended FY2021 Capital Budget to the JPB member agencies at the earliest practicable date; and

BE IT FURTHER RESOLVED that the Board authorizes the Executive Director, or his designee, to take such additional actions as may be necessary to give effect to this resolution, including executing funding agreements, amendments, and submitting required documents to granting agencies to receive the funding identified in the attached budgets.

Regularly passed and adopted this 3rd day of December, 2020 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Derek Hansel
Chief Financial Officer

SUBJECT: **AMENDING FINANCIAL RESERVE POLICY TO REQUIRE BALANCED BUDGETS**

ACTION

Staff Coordinating Council recommends that the Board of Directors (Board) adopt an amendment to the Peninsula Corridor Joint Powers Board (JPB) Operating Reserve Policy to require balanced operating budgets for a specified operating period. The proposed amendments to the Operating Policy, are shown as tracked changes in Attachment A.

SIGNIFICANCE

In Fiscal Year (FY) 2018, the JPB approved an operating budget reserve policy that would ensure that the agency can withstand major economic disruptions or unanticipated expenditure demands or revenue shortfalls prompted by unexpected events such as natural disasters, significant fuel cost increases or insurance losses.

Over the past year, the JPB has been faced with multiple challenges resulting from the COVID-19 pandemic. During the preliminary discussions about the FY2021 operating budget, JPB Board members requested that staff present a policy that requires a balanced budget. Staff proposes to amend the Financial Reserve Policy to include the requirement of a balanced budget for FY2021 and for the years to come.

Having a balanced budget reflects fiscal responsibility and is a fiscally prudent step in achieving short-term stability consistent with long-term objectives.

BUDGET IMPACT

There is no budget impact associated with amendment of this policy.

BACKGROUND

The Financial Reserve Policy was adopted by the board on September 1, 2017.

Prepared by: Ladi Millard-Olmeda, Director, Budgets

650.508.7755

Balanced Budget and Financial Reserve Policy

The Peninsula Corridor Joint Powers Board (JPB) shall adopt balanced operating budgets and ensure the following:

- Each operating budget will include revenues that are equal to or greater than expenditures for a specified operating period;
- Each operating budget will include revenue options and planned expenditure levels that are consistent with the JPB's mission to provide the best viable possible transportation services along the Caltrain rail corridor; and
- Operating budgets may include a variety of fund sources as needed to maintain the short-term stability of the JPB while also serving the agency's long-term objectives.

The ~~Peninsula Corridor Joint Powers Board (JPB)~~ shall maintain an Operating Reserve of at least 10 percent of the annual operating budget, and ~~that~~ the JPB shall strive to reserve up to 15 percent of the annual operating budget when possible.

Operating Reserve ~~These~~ funds are to remain unappropriated for any operating or capital use except to meet emergency needs that cannot be funded from any other source. The purpose of this reserve is to ensure that sufficient funds are always available in the event of either unavoidable expenditure needs or unanticipated revenue shortfalls that occur after approval of the budget. Operating Reserve funds also may be used to augment revenues to facilitate balanced operating budgets in cases of local, statewide or nationwide emergencies.

Surplus funds generated at the end of a fiscal year will automatically be included in the Operating Reserve.

Adopted: September 1, 2017

Proposed to be Amended: December 3, 2020

RESOLUTION NO. 2020 –

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

*** * ***

AMENDING THE FINANCIAL RESERVE POLICY TO REQUIRE BALANCED BUDGETS

WHEREAS, on July 6, 2017, pursuant to Resolution No. 2017-30, the Peninsula Corridor Joint Powers Board (JPB) adopted a Financial Reserve Policy that requires the agency to maintain a prudent level of operating reserves to ensure that sufficient funds are always available in the event of either unavoidable expenditure needs or unanticipated revenue shortfalls; and

WHEREAS, these funds are to remain unappropriated for any operating or capital use except to meet emergency needs that cannot be funded from any other source; and

WHEREAS, the JPB now desires to amend the Financial Reserve Policy to require the agency to adopt balanced operating budgets; and

WHEREAS, a "balanced budget" is defined as a budget where revenues are greater than or equal to the planned expenditures for a specified operating period; and

WHEREAS, under the amended policy, the JPB will be required to adopt balanced budgets that maintain short-term stability while also serving the JPB's long-term objectives by prioritizing expenditures consistent with the JPB's mission to provide transportation service to the riding public along the Caltrain service corridor; and

WHEREAS, the Executive Director recommends, and Staff Coordinating Council concurs, that the Board of Directors amend the JPB's Financial Reserve Policy

to require adoption of balanced operating budgets, as shown in Attachment A.

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby amends the JPB's Financial Reserve Policy to include a balanced operating budget requirement, as shown in Attachment A.

Regularly passed and adopted this 3rd of December, 2020 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Seamus Murphy
Chief Communications Officer

SUBJECT: **2021 DRAFT LEGISLATIVE PROGRAM**

ACTION

This report is for information only. No Board action is required. At the January 7, 2021, meeting, staff will present the final 2021 Legislative Program for Board adoption.

SIGNIFICANCE

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

The 2021 Program is organized to guide Caltrain's actions and positions in support of three primary objectives:

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

The Program is structured to apply these core objectives to a series of issues detailed in the 2021 Legislative Program.

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

Caltrain and its legislative consultants will employ a variety of engagement tools to support the 2021 Legislative Program, including:

1. Direct Engagement

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

2. Coalition-based Engagement

Engage local and regional stakeholders to build awareness about specific issues and participate in local, regional, statewide and national coalitions organized to advance positions that are consistent with the 2021 Program.

3. Media Engagement

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

BUDGET IMPACT

There is no impact on the budget.

BACKGROUND

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

Prepared By: Casey Fromson,
Government and Community Affairs Director

650.508.6493

Caltrain

2021 Legislative Program

Purpose

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

The 2021 Legislative Program establishes the principles that will guide the Agency's legislative and regulatory advocacy efforts through the 2021 calendar year, including the first half of the 2021-22 State legislative session and first session of the 117th Congress. The program is intended to be broad enough to cover the wide variety of issues that are likely to be considered during that time and flexible enough to allow the Agency to respond swiftly and effectively to unanticipated developments.

Objectives

The 2021 Legislative Program is organized to guide the Agency's actions and positions in support of three primary objectives:

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

Issues

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

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

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

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

Advocacy Process

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

Public Engagement Strategies

Staff, led by the Communications Division and its legislative consultants, will employ a variety of public engagement strategies to support the 2021 Legislative Program, including:

- Direct Engagement
Engage policymakers directly and sponsor legislation, submit correspondence and provide public testimony that communicates and advances the Agency's legislative priorities and positions.
- Coalition-based Engagement
Engage local and regional stakeholders to build awareness about specific issues and participate in local, regional, statewide and national coalitions organized to advance positions that are consistent with the 2021 Legislative Program.
- Media Engagement
Build public awareness and communicate the Agency's legislative priorities by issuing press releases, organizing media events, and through the use of social media.

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

State and Regional

Funding Opportunities and Challenges

| <i>Issue / Background</i> | <i>Strategy</i> |
|--|--|
| <p>General Funding In 2020, transit agencies were hit hard by the loss of ridership and revenue due to the COVID-19 pandemic. Caltrain ridership dropped 95% which was catastrophic since 70% of the operating budget relied on fares. While federal funding has provided some relief in the near-term, significant additional funding is needed to mitigate the pandemic's impact.</p> <p>In 2017, the State enacted SB 1, which provides \$5.2 billion to maintain local streets and roads and highways, ease traffic congestion, and provide mobility options through investments in public transportation and bicycle and pedestrian programs.</p> <p>In 2014, the Legislature called for, via SB 1077, a pilot program to study a road charge model as an alternative to the gas tax. The nine-month pilot began in July 2016, with over 5,000 participating vehicles statewide. The California State Transportation Agency (CalSTA) reported its findings from the Legislature to the CTC and the Legislature in 2018.</p> | <ul style="list-style-type: none"> ● Direct advocacy for additional funds and support efforts by the California Transit Association and other stakeholders to secure additional state funding for transit systems in response to COVID-19. ● Ensure that COVID relief funding is sub allocated through the region is based on revenue losses. ● Protect against the elimination or diversion of any State or regional funds that support the agency's transportation needs. ● Support State funding allocation requests for investments that benefit the agency's transportation programs and services. ● Work with statewide transit coalitions to identify and advance opportunities for funding that would support the agency's transportation priorities. ● Support efforts to provide funding for the deployment of zero emission transit vehicles and infrastructure. ● Monitor recommendations of the Road Usage Charge (RUC) Technical advisory Committee and implementation of a RUC program by the California State Transportation Agency (CalSTA). ● Monitor efforts to implement a mileage-based user fee as a potential revenue source. |
| <p>Formula Funding In 2020, transit formula funding suffered due to the COVID-19 pandemic as fuel consumption declined.</p> | <ul style="list-style-type: none"> ● Support CTA efforts to provide formula funding flexibility as part of a larger response to COVID-19 impacts. |

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| <p>After years of diversion to support the State’s General Fund, funding for the State Transit Assistance (STA) program has remained stable over the last few budget cycles thanks to successful legal, legislative and political efforts on behalf of the transportation community. Still, more revenue is needed in order to meet the demand of increased ridership, reduce highway congestion and adhere to the State’s mandate of reducing greenhouse gas emissions, and creating livable communities.</p> <p>In 2019, the California Transit Association convened a working group, at the request of the Senate and Assembly Transportation Committees to review and provide potential changes to the Transportation Development Act (TDA).</p> | <ul style="list-style-type: none"> ● Support the full funding of the STA program at levels called for in the 2011 reenactment of the 2010 gas-tax swap legislation. ● Advocate for the regularly scheduled issuance of State infrastructure bonds that support the Agency’s services and programs. ● Support full and timely allocation of the Agency’s STIP share. ● Participate in the California Transit Association’s TDA taskforce and support CTA efforts to engage the Legislature on TDA reform and the review of performance measures for transit. |
| <p>Cap-and-Trade Revenues In 2012, the State began implementing the cap-and-trade market-based compliance system approved as a part of the California Global Warming Solutions Act of 2006 (AB 32). Since the program began selling allowances, the program has generated billions of dollars. In 2014, legislation was enacted creating a long-term funding plan for cap-and-trade which dedicates 60 percent of cap-and-trade revenues to transportation. The remaining 40 percent is subject to annual appropriation through the state budget process. In 2017, the legislature extended the program from 2020 to 2030.</p> | <ul style="list-style-type: none"> ● Work with the Administration and like-minded coalitions to secure the appropriation of additional cap-and-trade revenues to support the Agency’s transportation needs. ● Support legislation and regional action that makes a broad array of the Agency’s emissions-reducing transportation projects, programs and services eligible for investment. ● Protect existing cap-and-trade appropriations for transit operations, capital projects and sustainable communities strategy implementation. ● Work to direct additional revenues to transit-eligible programs, including efforts to secure funding from the remaining discretionary funds and revenues dedicated to the high-speed-rail project. ● Support efforts to revise the State’s definition on “disadvantaged communities” to encompass a larger proportion of disadvantaged communities on the Peninsula. |

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| <p>The programs require a certain percentage of funds be expended in state defined “disadvantaged communities” (as defined by CalEnviroScreen). This can prove difficult in jurisdictions with a small number of disadvantaged communities.</p> | |
| <p>Voter Threshold Legislation has been considered in recent years that provide a framework for lowering the thresholds for the State or a city, county, special JPB or regional public agency to impose a special tax.</p> | <ul style="list-style-type: none"> • Support efforts to amend the State Constitution to reduce the voter threshold required for the State or a city, county, special district or regional transportation agency to impose a special tax for transportation projects or programs. |
| <p>Other State or Local Funding Options Local and regional governments continue to seek methods for funding new infrastructure, facility needs, sustainability initiatives, and projects that will support ridership growth through a variety of methods such as managed lanes and local ballot measures.</p> <p>In 2020, there was the potential for a regional transportation measure (called FASTER Bay Area), led by the Bay Area Council, Silicon Valley Leadership Group and SPUR. They were working towards a future ballot and many details about the timing, funding mechanism and expenditure plan are still being discussed.</p> <p>In 2014, the Federal Aviation Administration’s (FAA) issued a rule called the “Policy and Procedures Concerning the Use of Airport Revenue, proceeds from Taxes on Aviation Fuel.” The rule would require that local taxes on aviation fuels must be spent on airports is</p> | <ul style="list-style-type: none"> • Advocate for legislation that would create new local funding tools to support transportation infrastructure and services. • Support innovative local and regional funding options that will provide financial support for the agency. • Support legislation that works to ensure revenues generated through express lane projects remain in the County of origin. • Advocate for funding sources that would assist transit agencies in obtaining funds for sustainability initiatives including water conservation, waste reduction, long-term resource efficiency of facilities and equipment, and greenhouse gas reductions. • Support funding for workforce development, retention and housing to attract and retain quality personnel. • Support efforts that allow for public private partnerships that benefit the implementation of capital projects, efficient operation of transit services, or enhanced access to a broad range of mobility options that reduce traffic congestion. • Work to ensure the agency is at the table and appropriately funded as part of any potential regional funding measure. • Support efforts to ensure sales tax revenues generated from aviation fuel continue to fund planned transportation projects. Support the State of California in its efforts to respond and address FAA’s requests. |

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| <p>contrary to states' rights to control their general application sales tax measures. The State of California has been active in addressing this issue.</p> | |
| <p>Transportation & Housing Connection Given the housing shortage crisis, there have been efforts at the State and regional level to link housing and zoning with transportation funding.</p> | <ul style="list-style-type: none"> • Evaluate state or regional efforts that directly link transportation funding to housing and provide for higher density housing projects near transit stations. • Advocate for solutions that appropriately match decision making authority with funding (i.e – An agency shouldn't be financially penalized for decisions that are outside the authority of the agency). • Monitor the implementation of the Surplus Lands Act and advocate for clarifying language on the disposition of properties subject to the Act. |
| <p>Transportation Projects</p> | |
| <p>General As the Bay Area's population continues to grow, the region's transportation infrastructure is being negatively impacted. Highways, local streets and roads are becoming heavily congested, Caltrain is nearing its capacity limits, and the demand for housing with easy access to public transit is increasing.</p> | <ul style="list-style-type: none"> • Work with partners in the region to bring business, community, and transportation stakeholders together to enhance, support and advocate for transportation and mobility in the Bay Area. |
| <p>Transit Oriented Development / First and Last Mile First and last mile projects, as well as transit oriented development projects are an important part of the broad transit ecosystem that will help support robust ridership in the corridor.</p> | <ul style="list-style-type: none"> • Support efforts to provide commuters with easy and convenient options to travel to and from major transit centers to their final destination. • Support the development of new and innovative first and last mile options. • Support increased funding opportunities for first and last mile projects. • Advocate for policies that promote transit-oriented developments in ways that with compliment transit services. • Support the State's GHG reduction goals by supporting transit oriented developments. • Support state funding incentives and streamlining processes for transit oriented development. |
| <p>Transportation Demand Management (TDM) TDM is the application of strategies and policies to reduce travel demand of single-occupancy</p> | <ul style="list-style-type: none"> • Support efforts that provide more TDM tools and funding opportunities. • Support policies that encourage use of TDM. |

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| <p>vehicles or to redistribute this demand in space or time.</p> | |
| <p>Caltrain Modernization (CalMod) Program In 2012, the State Legislature appropriated \$705m in Prop 1A high-speed rail funds to modernize the Caltrain corridor and lay the foundation for future high-speed rail service. Under a multi-party regional funding agreement, this investment was matched with a variety of local, regional, state and federal funding sources to electrify the corridor, install an advanced signaling system and replace Caltrain’s aging diesel trains with electric trains that will dramatically improve service between San Francisco and San Jose. The CalMod program is a transformational first step in the realization of a larger future for Caltrain that will be guided by the Caltrain 2040 Business Plan efforts.</p> <p>Caltrain 2040 Business Plan In October 2019, the Caltrain Board adopted a long-term 2040 Service Vision, defining an ambitious plan for growing service over the next 20-plus years. The service vision outlines the capital and operating needs to achieve the this vision and includes projects such as longer EMU fleet, longer platforms, level boarding, passing tracks, grade separations and station upgrades. It also identified needs to prepare the railroad to expand and integrate into a regional rail network. The plan is expected to be complete early 2021.</p> <p>Caltrain Equity and Growth Framework In 2020, Caltrain developed a policy to advance equity</p> | <ul style="list-style-type: none"> • Advocate for the sale and allocation of Proposition 1A bonds to meet the commitments specified in SB 1029 with respect to the Caltrain corridor and work to include funding for Caltrain in any future Proposition 1A appropriations. • Support the allocation of cap-and-trade funding to advance implementation of the CalMod Program. • Work with state, local and regional partners to advance policies and actions that will help secure funding needed to fulfill local, regional and state commitments to the CalMod Program. • Work to address regulatory challenges that limit the implementation of solutions that will maximize Caltrain capacity and service benefits. • Advocate for funding and policies to support grade separation projects. • Support the allocation of cap-and-trade or other state / regional funding to advance implementation of Caltrain projects. • Work to address regulatory actions or policies that negatively impact Caltrain future capacity or service improvements. • Support the implementation of the Caltrain Business Plan associated projects and policies. Continue to educate the Caltrain legislative delegation and key members of the Administration on the Plan. • Ensure relevant state and regional agencies incorporate relevant elements of the Caltrain business plan in their long-term plans. • Support funding and regulations that are consistent with Caltrain’s equity and growth policy. • Consistent with existing agreements between JPB and CHSRA, support efforts to plan, engage stakeholders, and implement the Blended System project on the Caltrain corridor. • Ensure Caltrain is positioned to receive funding if there is an appropriation of Cap and Trade funds and/or bond funds in support of the state’s rail modernization efforts. |

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

High-Speed Rail Blended System In 2016, a new round of HSR Blended System planning, outreach and environmental clearance work kicked-off in the corridor. HSR anticipates releasing a Draft EIR in 2020. While this project is not being led by the JPB, the agency owns the right-of-way and has a significant interest in the process and success of the project that will “blended” with Caltrain service. **HSR may ask for another Prop 1A allocation in 2021.**

Regulatory and Administrative Issues

General Every year a variety of legislation or regulatory action is pursued that would affect regulations governing transportation-related service operations, administration, planning and project delivery. In addition, opportunities exist to reform or update existing regulations that are outdated, or can be improved to address potential burdens on transportation agencies without affecting regulatory goals. **Recently, there have been calls for a more coordinated and streamlined transit system in the Bay Area.**

- Support opportunities to remove barriers to, and improve the ability to conduct, safe, efficient transportation operations, administration, planning and project delivery efforts, including alternative project delivery methods that provide flexibility to the agency.
- Oppose efforts to impose unjustified and burdensome regulations or restrictions on the Agency’s ability to conduct efficient transportation operations, administration, planning and project delivery efforts.
- **Engage with MTC, the Legislature, and stakeholders on policies stemming from MTC’s Blue Ribbon Transit Recovery Task Force and the “Seamless” Bay Area efforts.**
- **Ensure that new requirements impacting transit agencies don’t result in tradeoffs that have unintended consequences for key transit riders and stakeholders.**

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| <p>State is providing guidance on COVID related transit measure to protect the public health and reduce virus transmission during the pandemic.</p> | <ul style="list-style-type: none"> • Work with the Administration to ensure guidance considers impacts on transit operations and the ability to meet transit rider mobility needs. |
| <p>California Environmental Quality Act (CEQA) Several regional and statewide transportation organizations continue working to modernize CEQA and minimize unnecessary delays during the environmental review process. In 2020, legislation was passed (SB 288) providing a series of statutory exemptions for transit and active transportation projects under CEQA.</p> | <ul style="list-style-type: none"> • Closely monitor efforts to modernize CEQA. Without compromising CEQA’s effectiveness as an environmental protection policy, support proposals that advantage transportation projects, including bicycle, pedestrian and transit-oriented development projects. • Monitor the implementation and opportunities related to SB 288. |
| <p>Sustainable Communities Strategies Implementation In conjunction with AB 32 and SB 32 implementation, the Sustainable Communities and Climate Protection Act (SB 375) requires regions to develop Sustainable Communities Strategies (SCS) with integrated housing, land-use and transportation policies that will accommodate population growth and reduce regional greenhouse gas emissions by specific amounts. In 2017, regional authorities in the Bay Area approved the update to Plan Bay Area. MTC and ABAG are in the process of updating the Plan. The final Plan Bay Area 2050 is expected to be adopted in 2021.</p> | <ul style="list-style-type: none"> • Advocate for policies that provide adequate and equitable funding to support increased demand and dependence on the Agency’s transportation services associated with the implementation of SB 375 and Plan Bay Area. • Ensure any planning, development, or policy proposals are consistent with the Agency’s policies and planning, especially the Caltrain Business Plan. |
| <p>Executive Orders Related to GHG: Since taking office, Governor Newsom has issued two Executive Orders – N-19-19 and N-79-20 – calling for reduced emissions from the transportation sector and larger, coordinated investments in transit, active transportation and land-use. The executive orders highlight the need for expanding</p> | <ul style="list-style-type: none"> • Engage in the State’s effort to address the transit-specific goals outlined in the executive orders. • Protect transit agencies from any negative impacts stemming from the executive orders (e.g. additional mandates without funding). • Work to ensure state and federal funds are made available to achieve the goals outlined in the orders. |

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| <p>clean transportation options. The Administrative efforts on this issue are also being referred to as: Climate Action Plan for Transportation Infrastructure (CAPTI).</p> | |
| <p>Federal</p> | |
| <p>Funding Opportunities and Challenges</p> | |
| <p><i>Issue / Background</i></p> | <p><i>Strategy</i></p> |
| <p>Federal Appropriations In 2020, transit agencies were hit hard by the loss of ridership and revenue due to the COVID-19 pandemic. Caltrain ridership dropped 95% which was catastrophic since 70% of the operating budget relied on fares. While federal funding has provided some relief in the near-term, significant additional funding is needed to mitigate the pandemic’s impact.</p> <p>Every year, Congress adopts several appropriations bills that cover 12 major issue areas, including the Transportation, Housing and Urban Development bill. These measures provide the authority for federal agencies to spend money during the upcoming fiscal year for the programs they administer.</p> <p>In September 2020, Congress passed a continuing resolution (CR) to keep federal agencies funded at the same level as the previous fiscal year, through December 11, 2020. Congress is expected to pass</p> | <ul style="list-style-type: none"> • Advocate directly as well as support broad stakeholders coalition efforts to secure additional federal funding for transit systems in response to COVID-19. • Partner with local, regional, State and national coalitions to advocate appropriation of the maximum authorized amount for programs that benefit the agency’s transportation services and needs. • Work with local and regional coalitions to support requests for funding from discretionary programs, including the Capital Investment Grant program and BUILD. • Communicate frequently with the agency’s federal delegation and key appropriators on the needs or concerns of pending appropriation bills. |

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| <p>a CR or omnibus appropriations bill to fund the government for the fiscal year 2021.</p> <p>Despite Administration budgets to limit funding for the Capital Investment Grant program (New Starts/Small Starts/Core Capacity), Congress continues to provide funding for the program and has include language in the annual Transportation/HUD Appropriations bills requiring the Federal Transit Administration (FTA) to allocate funding for projects and to continue to sign full funding grant agreements.</p> | |
| <p>Tax and Finance Congress considers legislation that governs tax and finance issues that impact transit agencies.</p> | <ul style="list-style-type: none"> • Support efforts to ensure tax provisions that benefit the agency’s priorities are included in any tax or finance proposal. • Protect against the elimination or diversion of any tax policies that support the agency’s transportation needs. |
| <p>Transportation Projects</p> | |
| <p>General Support the efforts of partnering agencies to obtain federal funding for the Agency’s related transit projects.</p> | <ul style="list-style-type: none"> • Work with federal delegation members, as well as local, regional, and state coalitions to support the federal funding requests for our partner transit agencies on projects that provide complimentary services for the agency. |
| <p>Caltrain Modernization (CalMod) Program The current Caltrain Electrification Project funding plan includes funding from several federal funding sources including the FTA Core Capacity Program.</p> <p>Positive Train Control (PTC) is a federal mandate. The current Caltrain Positive Train Control (PTC) project includes some funding from the Federal Railroad Administration (FRA).</p> | <ul style="list-style-type: none"> • Advocate for the Caltrain Electrification Project FTA Core Capacity funding to be included in the President’s budget request and in the annual THUD Appropriations bills. • Work with federal delegation members, as well as local, regional, and state coalitions to support the Caltrain requests for funding. • Advocate for additional PTC funding for operating expenses. • Support efforts to streamline regulatory administrative hurdles to supporting full PTC operations. • Support the allocation of federal funding to advance implementation of Caltrain-related projects. • Advocate for funding and policies to support grade separation projects. |

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

Caltrain 2040 Business Plan In October 2019, the Caltrain Board adopted a long-term 2040 Service Vision, defining an ambitious plan for growing service over the next 20-plus years. The service vision outlines the capital and operating needs to achieve the this vision and includes projects such as longer EMU fleet, longer platforms, level boarding, passing tracks, grade separations and station upgrades. It also identified needs to prepare the railroad to expand and integrate into a regional rail network. **The plan is expected to be complete early 2021.**

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

High-Speed Rail Blended System In 2016, a new round of HSR Blended System planning, outreach and environmental clearance work kicked-off in the corridor. HSR anticipates releasing a Draft EIR in 2020. While this project is not being led by the JPB, the agency owns the right-of-way and has a

- Work to address regulatory actions or policies that negatively impact future capacity or service improvements.
- Support the implementation of the Caltrain Business Plan associated projects and policies. Continue to educate the Caltrain legislative delegation and key members of the Administration on the Plan.
- **Support funding and regulations that are consistent with Caltrain's equity and growth policy.**
- Consistent with existing agreements between JPB and CHSRA, support efforts to plan, engage stakeholders, and implement the Blended System project on the Caltrain corridor.

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| <p>significant interest in the process and success of the project that will “blended” with Caltrain service.</p> | |
| <p>Regulatory and Administrative Issues</p> | |
| <p>General Every year a variety of legislation or regulatory action is pursued that would affect regulations governing transportation-related service operations, administration, planning and project delivery. In addition, opportunities exist to reform or update existing regulations that are outdated, or can be improved to address potential burdens on transportation agencies without affecting regulatory goals.</p> | <ul style="list-style-type: none"> • Support opportunities to remove barriers to, and improve the ability to conduct, safe, efficient transportation operations, administration, planning and project delivery efforts, including alternative project delivery methods that provide flexibility to the agency. • Oppose efforts to impose unjustified and burdensome regulations or restrictions on the Agency’s ability to conduct efficient transportation operations, administration, planning and project delivery efforts. |
| <p>FAA Rule In 2014, the Federal Aviation Administration’s (FAA) issued a rule called the “Policy and Procedures Concerning the Use of Airport Revenue, proceeds from Taxes on Aviation Fuel.” The rule would require that local taxes on aviation fuels must be spent on airports is contrary to states’ rights to control their general application sales tax measures.</p> <p>The Senate FY2021 Transportation/HUD Appropriations bill includes report language encouraging the Department of Transportation “to continue working with State and local governments and the FAA to develop a path forward to allow the use of local sales tax revenues generated on the sale of aviation fuel to be used in a manner consistent with their enactment.”</p> | <ul style="list-style-type: none"> • Support efforts to protect the ability of local and state governments to determine how general sales tax measures are allocated. • Continue to advocate for report language in the annual appropriations bills and support legislative changes that would permanently clarify the issue. • Support the State of California in its efforts to respond and address FAA’s requests |

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| <p>Congress is currently negotiating the FY2021 appropriations bills now and it unclear if this language remains in the final conference report.</p> | |
| <p>FAST Act Reauthorization and other Regulations In September 2020, Congress passed the extension of the FAST Act until September 2021.</p> <p>During Congress’ consideration of the reauthorization bill next year, there will be an opportunity to change, increase funding, and implement new policy for highway, transit, and rail programs.</p> <p>Both Senate and House authorization committees have stated that passing the FAST Act authorization bill is their top priority.</p> <p>Background: In July 2019, the Senate Environment and Public Works (EPW) Committee passed, America’s Transportation Infrastructure Act of 2019. This bill will need to be introduced in the next Congress and will likely be the “base” bill that the Senate will use.</p> <p>However, four committees in the Senate have jurisdiction of the bill: EPW (highways); Banking (transit); Commerce (rail and goods movement); and Finance (paying for the bill). EPW is the only committee that has written their portion of the bill. The other three committees need to draft their seconds and identify funding to pay for the bill.</p> <p>In July 2020, the House passed Investing in a New Vision for the Environment and Surface</p> | <ul style="list-style-type: none"> • Collaborate with local, regional, state and national transportation advocacy groups to coordinate comments and advocacy efforts that support regulations that maximize benefits for transportation programs, services and users. • Collaborate with local, regional, state and national transportation advocacy groups to coordinate proposals and advocacy efforts for FAST Act reauthorization. • Support efforts to increase authorization levels for transit programs – both discretionary and formula programs. • Support authorizing transit agencies to become direct subrecipients of Section 5310 for the Enhanced Mobility of Seniors and Individuals with Disabilities. • Support securing authorization to implement low-cost solutions, such as dynamic envelope paving, to increase safety at at-grade rail grade crossings. • Support additional funding for grade separations: Increase the annual funding for the Federal Highways Administration (FHWA) Railway-Highway Crossings (Section 130) Program by \$1B per year and authorize 50% of the annual funding set aside for a discretionary grant program that States, metropolitan planning organizations, local governments, special purpose districts or public authorities a transportation function, and tribal governments will be eligible. • Monitor and review guidance and rulemaking proposals affecting FAST Act implementation and other transportation issues. |

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| <p>Transportation (INVEST) in America Act as part of a broader infrastructure bill. The INVEST Act authorized a \$494 surface transportation bill. The INVEST Act will require Congress to identify \$140 billion for the Highway Trust Fund. This bill will likely be reintroduced in the new Congress and the “base bill” that the House Transportation & Infrastructure Committee uses as it advances surface transportation reauthorization next year.</p> | |
| <p>Infrastructure Proposals Congress and the Biden Administration could consider an infrastructure package in 2021 that would include increased funding for highways, transit, aviation, and water programs. House Speaker Nancy Pelosi has said that the House’s infrastructure bill, Moving America Forward, will be the base for the House infrastructure bill. It is unclear if the Senate will consider an infrastructure bill.</p> | <ul style="list-style-type: none"> • Monitor closely and take action as needed on the new Biden Administration or Congressional policies that may have a significant impact on transit / transportation projects and programs. • Advocate for funding for the Agency’s projects and needs in a broad infrastructure proposal. |