MONTHLY REPORTS

PENINSULA CORRIDOR JOINT POWERS BOARD

November 7, 2019

1. Key Caltrain Performance Statistics – September 2019
2. Report of the Executive Director
3. Peninsula Corridor Electrification Project Monthly Progress Report and Quarterly Report
4. Monthly Report on Positive Train Control System

Date/Time of Next Regular Meeting: Thursday, December 5, 2019 at 9:00 a.m. San Mateo County Transit District Administrative Building, 2nd Floor, 1250 San Carlos Avenue, San Carlos, CA 94070

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 – SEPTEMBER 2019**

ACTION

Staff Coordinating Council recommends that the Board receive the Performance Statistics Report for September 2019.

SIGNIFICANCE

Staff will provide monthly updates to Key Caltrain Performance Statistics, Caltrain Shuttle Ridership, Caltrain Promotions, Special Event Updates, Digital Metrics, Social Media Analytics and News Report Coverage.

BUDGET IMPACT

There is no budget impact.

MONTHLY UPDATE

In September 2019, Caltrain's Average Weekday Ridership (AWR) increased by 1.3 percent to 72,387 from calibrated September 2018 AWR of 71,479. The total number of passengers who rode Caltrain in September 2019 increased by 5 percent to 1,584,833 from 1,509,524 calibrated September 2018 ridership.

This month ticket sales increased from September 2018 for:

- One Way tickets: 5.8 percent
- ED One Way tickets: 4.9 percent
- ED Day Passes: 6.9 percent

This month ticket sales decreased from September 2018 for:

- Day Passes: 6.6 percent
- Monthly Passes: 2.9 percent
- ED Monthly Passes: 9.2 percent

Caltrain Mobile Ticketing accounted for approximately 5.7 percent (90,872 rides) of September 2019 rides and 7.2 percent ($665,083) of September 2019 Monthly Ticket Sales Revenue. The number of Eligible Go Pass Employees increased 11.6 percent to 90,056 from 80,718 from September 2018. The number of participating Go Pass

Companies increased to 133 from 131 from September 2018. Farebox Revenue increased by 5.4 percent to $9,128,382 from $8,659,046 in September 2018.

On-time performance (OTP) for September 2019 was 93 percent compared to 92.6 percent OTP for September 2018. In September 2019, there were 620 minutes of delay due to mechanical issues compared to 1,514 minutes in September 2018.

Looking at customer service statistics, there were 6.6 complaints per 100,000 passengers in September 2019 which decreased from 10.2 in September 2018.

Shuttle ridership for September 2019 increased 4 percent from September 2018. For station shuttles:

- Millbrae-Broadway shuttle: 201 average daily riders
- Weekend Tamien-San Jose shuttle: 39 average daily riders

When the Marguerite shuttle ridership is removed, the impact to ridership was a increase of 6.7 percent. Due to ongoing service issues with the Shuttle Contractor (MV Transportation) as a result of staffing shortage, there were a total of 728 DNOs (Did Not Operate) trips for Caltrain shuttles in September 2019. Although DNOs have decreased in recent months for Caltrain, there are still service loses beyond previously implemented service reductions and suspensions to match available operator counts. The Menlo Park Midday Shuttle, one of the two Twin Dolphin and one of the two Belle Haven vehicles remain temporarily discontinued. Effective October 1, 2019 the Belmont-Hillsdale Shuttle returned to service.

Table A

September 2019

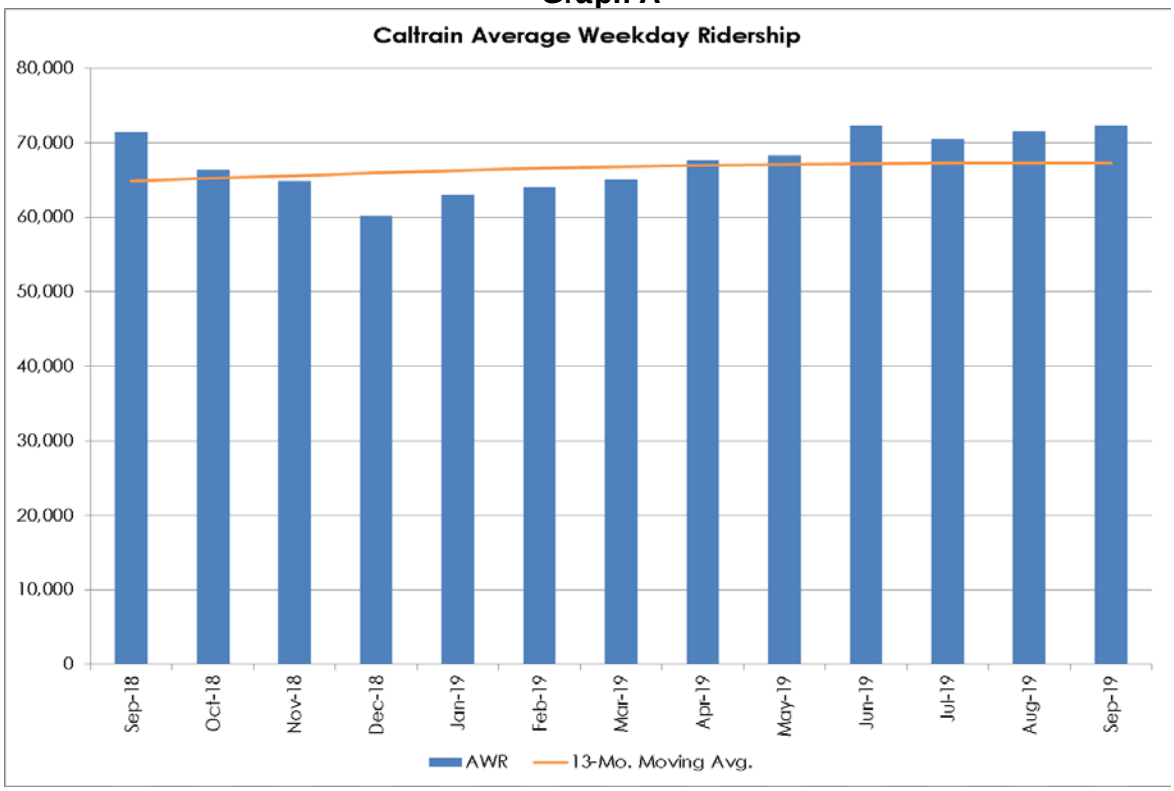
	FY2019	FY2020	% Change
Total Ridership	1,509,524*	1,584,833	5.0%
Average Weekday Ridership	71,479*	72,387	1.3%
Total Farebox Revenue	$ 8,659,046	$ 9,128,382	5.4%
On-time Performance	92.6%	93.0%	0.4%
Average Weekday Caltrain Shuttle Ridership	8,329	8,663	4.0%

Fiscal Year to Date

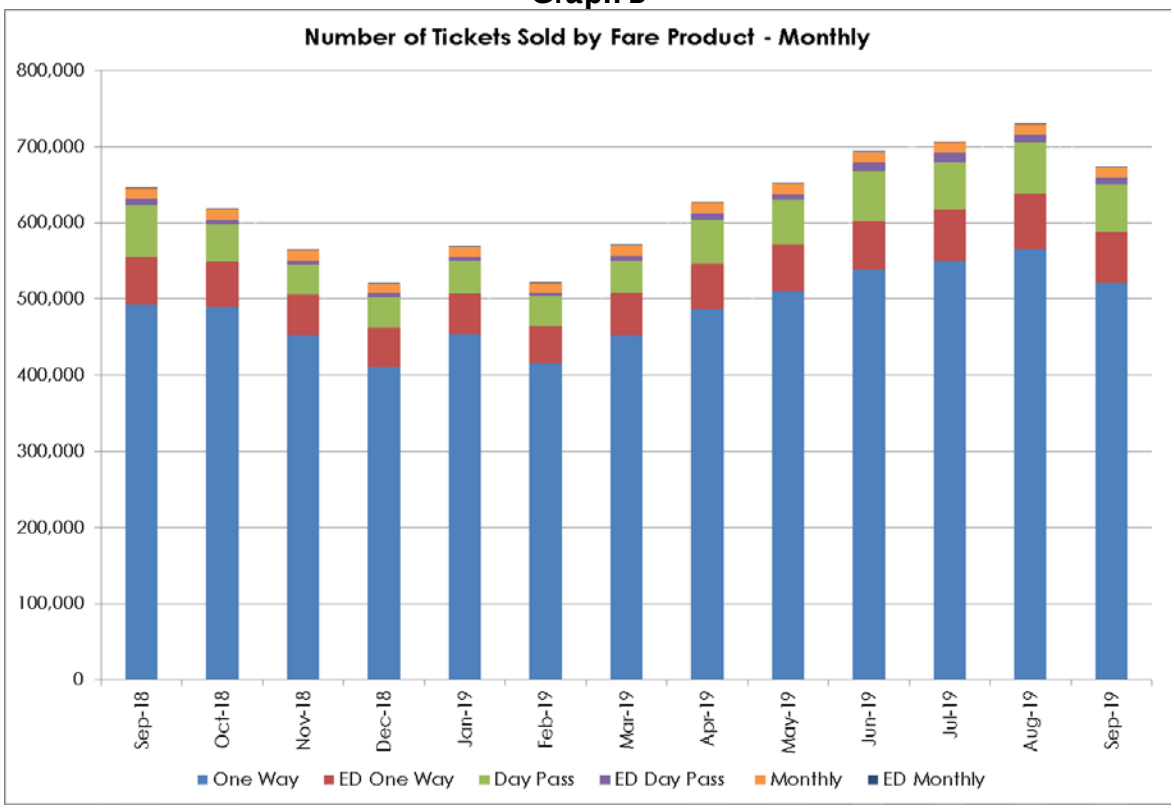
	FY2019	FY2020	% Change
Total Ridership	4,873,058*	4,960,840*	1.8%
Average Weekday Ridership	106,630*	107,218*	0.6%
Total Farebox Revenue	$ 26,683,182	$ 27,269,667	2.2%
On-time Performance	92.1%	93.5%	1.6%
Average Weekday Caltrain Shuttle Ridership	8,265	8,700	5.3%

** = Items revised due to calibration to the ridership model*

Graph A

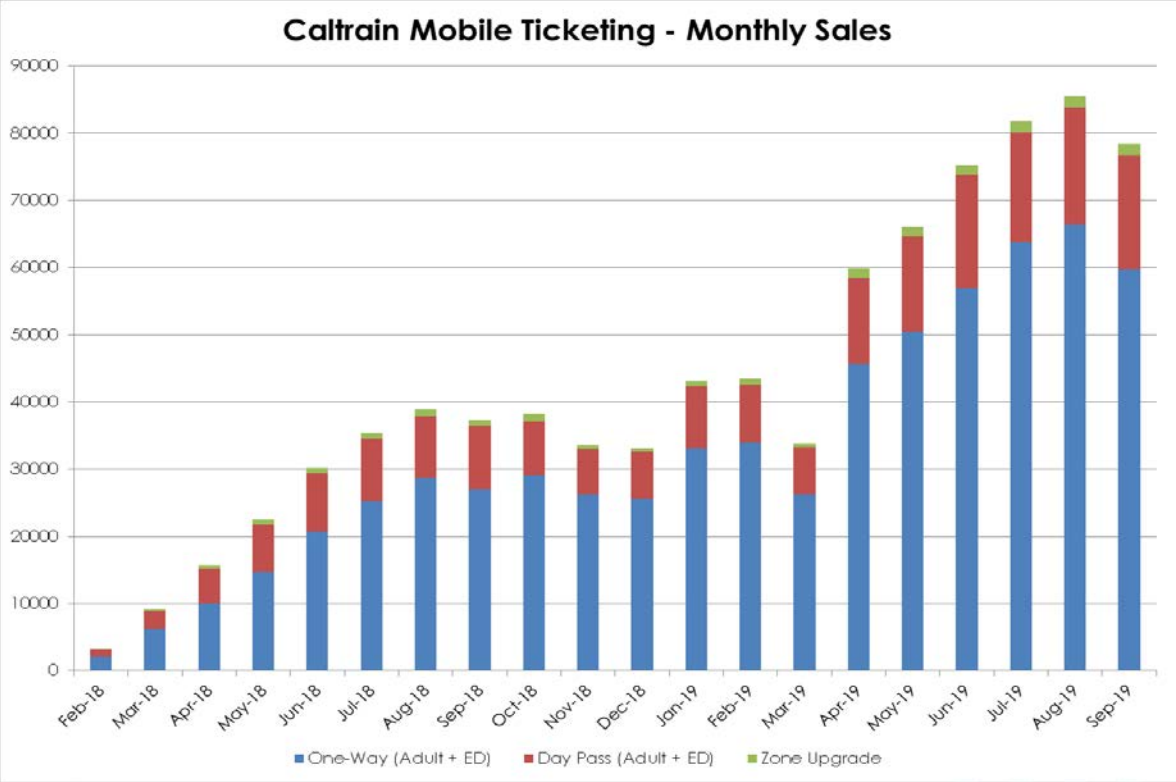


Graph B

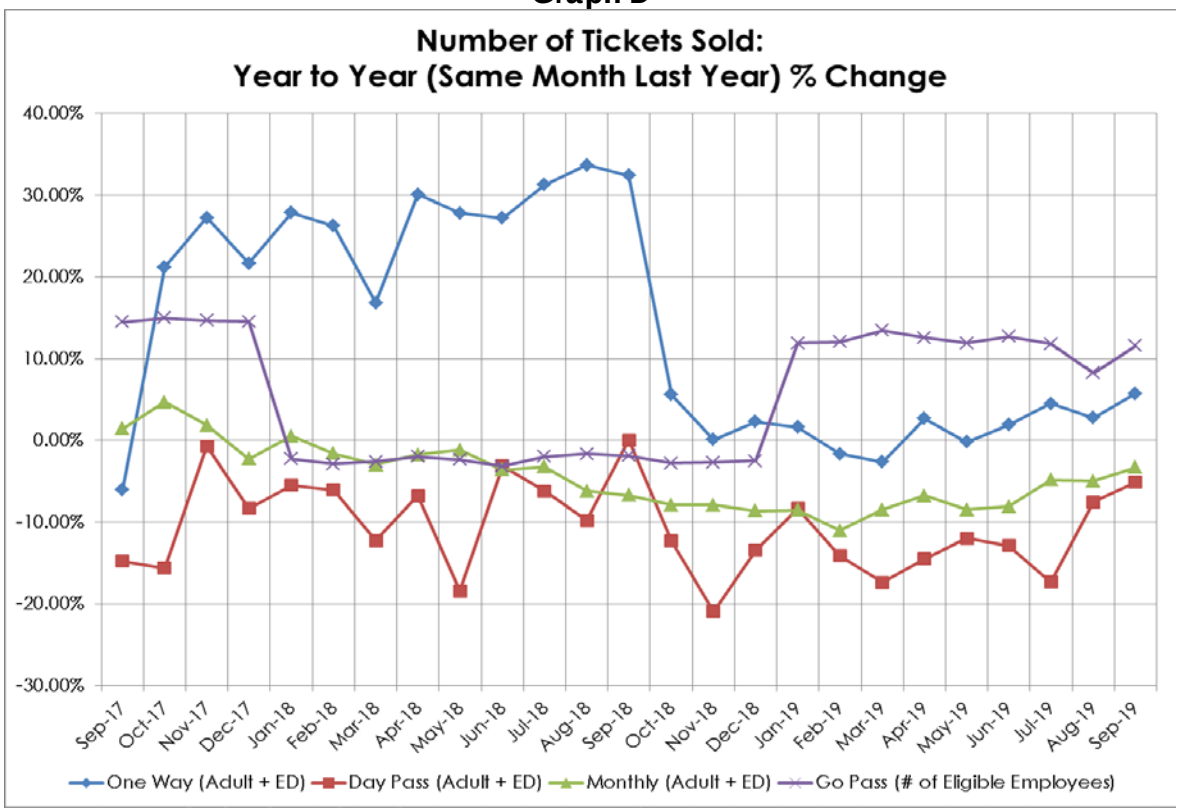


**Go Passes tracked by Monthly Number of Eligible Employees (not by Sales)*

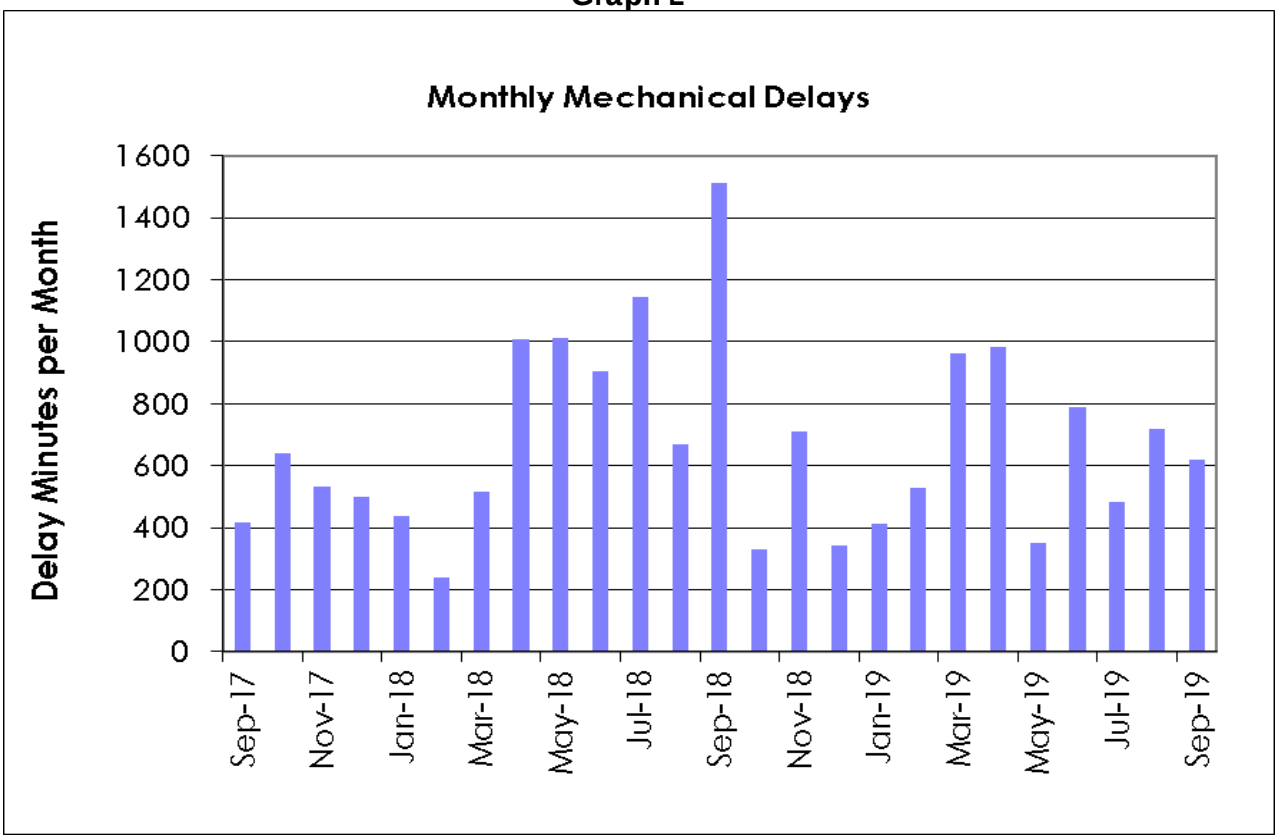
Graph C



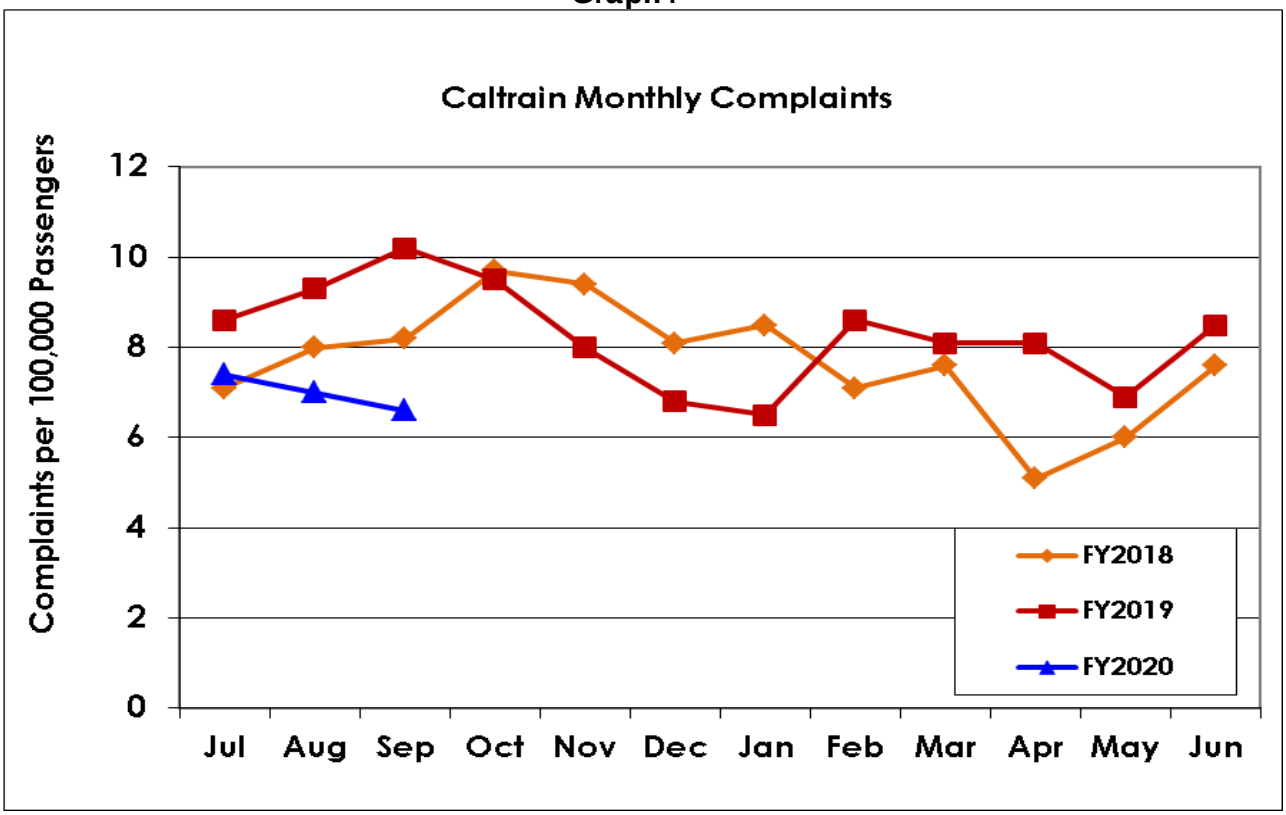
Graph D



Graph E



Graph F



Caltrain Promotions – September 2019

49ers at Levi's® Stadium – The 49ers regular season kicked off on September 22, taking fans to Levi's® Stadium via connecting VTA light rail through the Mountain View Station for football action. Caltrain will run one pre-game Baby Bullet train to all Sunday home games and one post-event train departing the Mountain View Station approximately 75 minutes after the game ends, or when full. This year's 49ers service promotion campaign started in September and will last through December. Digital marketing strategies include sponsored geo-targeted Facebook click ads that will run in the two weeks leading up to each home game. Display ads will also be executed on premium news sports sites and Google keyword search results. Press communications included a news release and a Gettin' to the Thing video segment at the start of the season. Caltrain will also continue to message through social media and the special events web page. Announcements will be made periodically on platforms through digital signage and station intercoms.

Opera at the Park – On Saturday, September 21, the San Francisco Opera offered a free simulcast performance of Charles Gounod's Romeo and Juliet at Oracle Park with an expected attendance of 30,000. Caltrain ran two pre-event and two post-event trains to accommodate the anticipated crowds. Promotions included posting information on the Caltrain special events/Giants events web page, cross-promoted organic social media content, a news release and blog post. Caltrain carried an additional 1,959 riders after the concert.

Caltrain Rail Safety Month – In recognition of Rail Safety Month, Communications produced a series of five videos entitled, Caltrain Safe, with Kari Byron of TV's Mythbusters. The videos focus on safety topics such as sound shadows, speed perception and stopping distance in order to promote proper behavior around train tracks. Thanks to a $20,000 grant from Operation Lifesaver, the videos helped spread a pro-safety message to hundreds of thousands of people in a fun and innovative way. In addition, Caltrain participated in Facebook Festivals on September 21, where hundreds of people visited the agency's rail safety booth and received newly updated educational brochures and Caltrain swag.

Caltrain Digital Metrics - SEPT 2019

New Followers
+522
Sept 19 - 180,380
Aug 19 - 179,858
Sept 18 - 174,770

Caltrain.com Sessions
Sept 19 - 908,100
Aug 19 - 980,432
Sept 18 - 851,460

Monthly Yelp & FB Rating
(3 Sept reviews: 2.5/5)

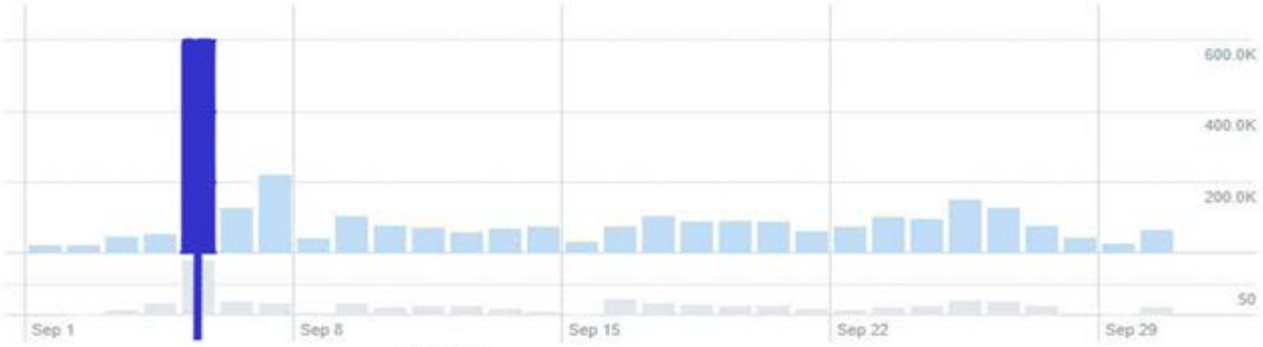
Top Tagged Issues
1. **Delay** (244)
2. **Chase Center** (67)
3. **Clipper** (63)
4. **Bikes** (57)
5. **CalMod** (37)

Social Engagement
Video Views
277,551 (Aug - 214,535)
Content Impressions
3,979,152 (Aug - 2.99M)
Interactions
50,096 (Aug - 29,695)

@caltrain, @gocaltrain **@gocaltrain** **@caltrain**

Twitter Impression Spikes
Sept, 2019

Your Tweets earned **2.9M impressions** over this **30 day** period



Sept 5
#NB103 Trespasser Strike
1793 Incident Delay Mins
188 Onboard Passengers
2010 Total Delay Mins

Impressions of Tweets
Paid Impressions
Tweets Sent

Impressions sometimes appear the day after an incident as Twitter users view the post the next day.

Caltrain News Coverage Report – September 2019

Total # of articles: 124 (compared to 123 in August)

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

Memorandum

Date: October 29, 2019

To: Board of Directors

From: Jim Hartnett, Executive Director

Subject: November 7, 2019 Executive Director's Report

- **On-time Performance –**
  - **Through October 28:** The preliminary October 2019 OTP was 93.6 percent compared to 94.8 percent for October 2018.
    - **Trespasser Strike –** There was one trespasser strike on October 1, resulting in a fatality.
  - **September:** The September 2019 OTP was 93 percent compared to 92.6 percent for September 2018.
    - **Trespasser Strikes –** There were two trespasser strikes on September 5 and 24, resulting in fatalities.
- **Caltrain Project 529 Bike Registration –** Caltrain Rail Operations and the San Mateo County Sheriff's Department held more outreach events to encourage bike riders to register their bikes in partnership with Project 529.

  This app-based system allows bike owners to input identifying information about their bike and report theft. San Mateo County Sheriff's Department, which contracts with Caltrain to serve as the agency's Transit Police unit, has access to the 529 database for both Caltrain and several other bike communities already registered with the program in the event that a bike is reported stolen in the area.

  To promote the program, Caltrain hosted four more free bike registration days:

San Jose Diridon Caltrain Station
Tuesday, October 15, 7 a.m. to 10 a.m.

Hillsdale Caltrain Station
Tuesday, October 15, 3:30 p.m. to 7:30 p.m.

Mountain View Caltrain Station
Wednesday, October 16, 3:30 p.m. to 7:30 p.m.

San Francisco Caltrain Station
Thursday, October 17, 3:30 p.m. to 7:30 p.m.

Caltrain riders who use a bicycle were encouraged to take advantage of these events and help deter theft. In addition to the digital registry, the program offers shield stickers, which indicate the bike's secure registration and help deter theft. Riders that registered their bike on the bike registration days received a free shield sticker.

To download the app or learn more, visit www.Project529.com/Caltrain.

- **CAC Meeting –** The Citizens Advisory Committee met on Wednesday, October 16, in San Carlos. Christiane Kwok, Manager, Fare Program Operations provided a presentation on TVM Upgrade Update. Joe Navarro, Deputy Chief – Rail Operations, provided a presentation on Grade Crossing Improvements and provided a hands on demonstration to the CAC Members using the Caltrain testing TVM located on the 3rd floor. Joe also provided the Staff Report. The next CAC meeting is scheduled for Wednesday, November 20, in San Carlos.

- **BAC Meeting –** The next Bicycle Advisory Committee is scheduled for Thursday, November 21, in San Carlos.

- **Special Event Train Service**

  Services Provided:

  - **Metallica & SF Symphony Concert at Chase Center –** On Sunday, September 8, Metallica & the SF Symphony concert was held at the new Chase Center. In coordination with Chase Center in order to accommodate the crowds, Caltrain operated one extra post-event local train. Total additional pre and post-event ridership was 891.

  - **Elton John Concert at Chase Center –** On Sunday, September 15, Elton John performed his Farewell Tour concert at the new Chase Center. In

coordination with Chase Center in order to accommodate the crowds, Caltrain operated one extra post-event local train. Total additional pre and post-event ridership was 943.

- **SF 49ers Regular Season** – The 49ers hosted the Pittsburg Steelers for their season opener on Sunday, September 22 at 1:25 p.m. at Levi's Stadium. Caltrain operated one extra pre-game train with limited stops and one extra post-game local train from Mountain View to San Francisco. Total September year to date ridership alighting and boarding at Mountain View station was 3,443, a 26 percent decrease compared to the same number of games in 2018.

  The SF 49ers also hosted the Cleveland Browns on Monday, October 7, at 5:15 p.m. and the Carolina Panthers on Sunday, October 27, at 1:05 p.m. Caltrain operated one extra pre-game train with limited stops and one extra post-game local train from Mountain View to San Francisco. October event ridership will be provided in December.

- **Stanford Football** – The Stanford Cardinal hosted Washington State on Saturday, October 5, at 7:30 p.m., UCLA on Thursday, October 17 at 6:00 p.m. and Arizona State on Saturday, October 26, at 12:30 p.m. Event ridership will be provided in December.

- **San Jose Sharks** – The Sharks hosted four games in October. Total post-game additional riders, boarding at San Jose Diridon station was 1,026. Total year-to-date post-game additional riders, boarding at San Jose Diridon station, was 1,381, which represents a 27 percent decrease compared to the same number of games in the 2018/2019 season.

- **San Francisco Fleet Week –** On Saturday, October 12 and Sunday, October 13, Caltrain provided one extra pre-event train with limited stops from San Jose to San Francisco and one extra post-event local train on both days for the Fleet Week airshows from 12:00 p.m. to 4:00 p.m. in anticipation of large crowds. Event ridership will be provided in December.

- **Stanford Scavenger Hunt** – The event took place in San Francisco on the weekends of September 28 and 29, October 5 and 6, October 12 and October 19 and 20. The total number of tickets sold was 1446, representing a 54 percent increase over the 2018 event. There were six more residences participating in 2019 (19) than in 2018 (13).

- **Warriors Pre-Season & Regular Season** – The Golden State Warriors hosted one pre-season game in October and their 1st home game vs. the

Clippers on Thursday, October 24 at 7:30 p.m. Caltrain is tracking post-event ridership.

Services Scheduled:

- **SF 49ers Regular Season –** The SF 49ers will host the Seattle Seahawks on Monday, November 11, at 5:15 p.m., Arizona Cardinals on Sunday, November 17 at 1:05 p.m. and the Green Bay Packers on Sunday, November 24, at 1:25 p.m. For weekend 49er home games, Caltrain will operate one additional pre-game southbound train with limited stops from San Francisco to Mountain View for passengers to connect to the VTA light rail. The extra train will then express to San Jose Diridon station, the last station stop. After all 49er home games, Caltrain will operate one extra post-game local train from Mountain View to San Francisco that will depart approximately 75 minutes after the game ends, or when full.

- **Stanford Football –** The Stanford Cardinal will host Cal (the Big Game) on Saturday, November 23, start time TBD, and Notre Dame on Saturday, November 30, start time TBD. For weekend home games, Caltrain will serve the Stanford Stadium station with both northbound and southbound trains before and after all weekend home games. Fans can also tag on and tag off using their clipper cards at the Stanford Stadium station for all weekend home games. During weekday home games since Caltrain does not stop at the Stanford Stadium Station, fans are directed to use the Palo Alto Station. From there fans can take the Marguerite Shuttle or walk to the Stanford Stadium.

- **San Jose Sharks –** The Sharks will host eleven games in November. Caltrain will track post-game ridership at SJ Diridon station for all home games. No extra special trains are planned. For weeknight and Saturday night games, the last northbound train departs SJ Diridon station at 10:30 p.m. or 15 minutes after the game ends but departs no later than 10:45 p.m.

- **Warriors Regular Season –** The Golden State Warriors will host seven games in November. In coordination with Chase Center, Caltrain will run regular service for all home games. Caltrain will track post-game service ridership at SF Station for all home games.

- **Holiday Service –** During the following Holidays, Caltrain will run the following schedules:

  - Thursday, November 28 – Thanksgiving (Sunday schedule)
  - Tuesday, December 24 – Christmas Eve (Regular Weekday schedule)

- Wednesday, December 25 – Christmas Day (Sunday schedule)
- Tuesday, December 31 – New Year's Eve (Regular Weekday schedule + Pre & Post-Fireworks Special Trains)
  - Caltrain will provide **FREE** service beginning at 8:00 p.m. until the last train post-event departs SF at 2:00 a.m., making all local stops.
- Wednesday, January 1 – New Year's Day (Sunday schedule)

Schedule Information is available at www.caltrain.com/Holidays

- **Modified Service –** The Modified Schedule is a Modified Saturday Schedule with four extra trains in each direction and includes one round trip from Gilroy to SF. The Modified Schedule will be implemented during the following Observed Holidays:

  - Friday, November 29 – Day After Thanksgiving
  - Monday, January 20 – Martin Luther King Day
  - Monday, February 17 – President's Day

- **PAC-12 College Football Championship Game –** The PAC-12 College Football Championship game will be held at Levi's Stadium on Friday, December 6 at 5:00 p.m. The teams are still to be determined. Caltrain will track pre- and post-game ridership.

- **Holiday Train –** Caltrain will operate the Holiday Train in collaboration with the Silicon Valley Community Foundation (SVCF) on Saturday, December 7 and Sunday, December 8. With glittering lights and holiday decorations, the dazzling show-train will visit nine Caltrain stations between San Francisco and Santa Clara over two nights in December, providing holiday entertainment and collecting toy and monetary donations for local children who otherwise might not receive a gift during the holidays. Caltrain and SVCF also partner with local organizations to collect toys at each station for underserved children in our communities. On Saturday, December 7, the train will depart San Francisco and make stops at Burlingame, Redwood City, Mountain View, and Santa Clara. On Sunday, December 8, the train will depart San Francisco and make stops at Millbrae, San Mateo, Menlo Park, and Sunnyvale.

- **Capital Projects –**

The Capital Projects information is current as of October 18, 2019 and is subject to change between October 18 and November 7, 2019 (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. Construction of the elevated rail alignment and the new Hillsdale Station will be phased to limit impact to the operating railroad.

  In October, construction of the abutment backwalls for the 25th Avenue and 28th Avenue Bridges were in progress. At the 31st Avenue Bridge, the center bent cap was completed and the steel girders are scheduled to be placed at the end of October. Ramp walls for the future relocated Hillsdale Station by 28th Avenue was also in progress.

  The final panels and lightweight cellular concrete fill for Mechanically Stabilized Earthen (MSE) Wall B, between 25th and 28th Avenues was completed and currently the coping, moment slabs and OCS foundations in this section is in progress. Construction continued on MSE Wall C (between 28th Avenue and the new Pedestrian Underpass), MSE Wall D (between the Pedestrian Underpass and 31st Avenue), and MSE Wall E (between 28th Avenue and 31st Avenue) are in progress. The coping, moment slab, OCS pole foundations and handrails for the MSE Wall A between Borel and 25th Avenue were also in progress and nearing completion.

  Retaining walls on the west side of 28th and 31st Avenue were as also in progress. Construction of the east sides of 28th and 31st Avenues cannot proceed until the track shift associated with the temporary Hillsdale station closure is in place. PG&E completed all of their relocations within the project limits.

  The temporary closure of the Hillsdale Station, to allow completion of the project, is now forecast to occur in the Winter of 2019 until Summer of 2020. During the temporary closure, enhanced bus and shuttle service to the Belmont Station will be provided to minimize the temporary passenger inconvenience.

  The original Bay Meadows Set-Out track (aka San Mateo Parking Track) was removed to support the construction of the grade separation. A Community Meeting was held on October 8 to discuss the feasibility analysis that was conducted for various possible locations. A City of San Mateo City Council Study Session is planned for a future date.

- **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 October, realignment of the JPB Positive Train Control (PTC) fiber optic line and construction of OCS foundations are in progress. The station construction contractor is remobilizing from the partial suspension of work to recommence construction of the station.

Critical third-party utility relocations that were originally scheduled to begin in November 2017; however, relocation was delayed until August 2018 due to delays in obtaining Caltrans permits. Due to physical conflicts between third-party utility relocations and civil construction for critical path activities such as the pedestrian underpass, a partial suspension was issued for construction to minimize delays and inefficiencies that would be caused by the stacking of the utilities and construction work. The partial suspension was lifted in September. Critical path station related construction that was planned to resume in April 2019 was delayed to late 2019 due to delays in the relocation of existing PG&E gas and electric utilities. This project is likely to require additional contract authority and funding. Staff is in the process of bringing this action to the board once a funding plan has been finalized.

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

  Currently, the project is completing the design phase and the project is currently performing preconstruction surveys for existing site conditions such as utilities and potentially hazardous materials, and, addressing constructability issues such as coordination with other JPB capital projects and construction staging. Staff is also performing preconstruction coordination with other local agencies such as the City of San Francisco and Caltrans. Resolution with of the City of San Francisco's proposed requirement of an "major encroachment permit" is ongoing and may have a

significant schedule impact. The advertisement of the construction contract is currently planned for late 2019 and construction to occur from the Spring of 2020 to Winter of 2021 pending favorable resolution of aforementioned permit with the City of San Francisco.

- **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 mockup prototype, for the original scope of work, was assembled at JPB's San Carlos office for preliminary testing of the touchscreen. JPB has recently issued contract additions for upgrades to the credit card reader and the database that will extend the completion of the 2 prototype machines from October 2019 until April 2020. The option for retrofitting 12 additional TVM's, if executed, would follow the acceptance of the 2 prototypes. Full funding for the option is not yet secured. There is an additional phase for the rehabilitation of the remaining 28 TVM's that was partially funded in the FY20 Capital Budget.

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

  The design for this project began in late January 2019; however, the design was placed on hold until late August 2019 due to design coordination with the Electrification project to assure that the work is coordinated, and, waiting for signal preemption timing requirements from the City of Sunnyvale in order to proceed with design. The 65% design of the crossings from the Electrification project was received in late August. Signal preemption timing criteria has been resolved with the City of Sunnyvale. Preliminary design was restarted in September. The current schedule is for design to complete by the Spring of 2020, award the

construction contract in the Fall of 2020, and conduct construction from late 2020 until mid-2021.

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

  The preliminary (35%) design phase was received and is being reviewed. Review comments from the City of Menlo Park has been received. Review comments from the City of San Mateo are pending. Advertisement of the construction contract is planned for the Summer of 2020 with construction beginning in late 2020 and lasting until late 2021.

- **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 design phase. Award of the design contract was approved at the October 2019 Board meeting. The contract is being executed with a Notice to Proceed expected by December 2019. The current schedule calls for the design to complete by the summer of 2020.

- **F-40 Locomotive Mid-Life Overhaul Project:** Perform mid-life overhaul of three F40PH2C locomotives. The mid-life overhaul of the locomotives includes the compete disassembly of the main diesel engine, overhauling by reconditioning re-usable main frame components and re-assembly with new engine components and replacement of the Separate Head-End Power (SEP-HEP) unit and all electrical components of the SEP-HEP compartment. All areas of the locomotive car body, trucks, wheels and electrical components shall be reconditioned to like-new condition or replaced with new material. The work will be completed off-site at contractor's (Motive Power) facility location at Boise, Idaho. The three locomotives are Locomotive #'s 920, 921 and 922.

Locomotives #'s 920 and 921 were shipped to the vendor's facility in Idaho in February and March of 2018, and, #922 was shipped in April 2019. Locomotive 920 and 921 have been released and inward facing cameras were installed in both vehicles. Locomotive #920 been returned service. Locomotive #922 is still undergoing refurbishment at the vendor's facility.

Delays to the return of the first 2 vehicles are related to: 1) locomotive component condition that was poorer than was originally anticipated; and 2) critical personnel shortages at Motive Power, the locomotive overhaul contractor.

- **MP-36 Locomotive Mid-Life Overhaul Project:** 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 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 are Locomotive #'s 923, 924, 925, 926, 927 & 928.

  Request for Proposal (RFP) documents are being finalized and advertisement of the RFP is scheduled for October 2019 and award of the contract in the Spring of 2020.

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 AND QUARTERLY REPORT**

ACTION

Staff Coordinating Council recommends the Board receive the Peninsula Corridor Electrification Project (PCEP) Monthly Progress Report (MPR) and Quarterly Update. Both the MPR and the Quarterly Update are 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 and a PowerPoint presentation on a quarterly basis.

BUDGET IMPACT

There is no impact on the budget.

BACKGROUND

The MPR and Quarterly Update are intended to provide funding partners, stakeholders, and the public a PCEP overview and an overall update on project progress. These documents provide information on the scope, cost, funding, schedule, and project implementation.

Prepared by: Josh Averill, Program Management Administrator 650.508.6453

Modernization Program
Peninsula Corridor Electrification Project (PCEP)

September 2019
Monthly Progress Report

September 30, 2019

Funding Partners

Federal Transit Administration (FTA) Core Capacity

FTA Section 5307 (Environmental / Pre Development only)

FTA Section 5307 (Electric Multiple Unit (EMU) only)

Prop 1B (Public Transportation Modernization & Improvement Account)

Caltrain Low Carbon Transit Operations Cap and Trade

Proposition 1A

California High Speed Rail Authority (CHSRA) Cap and Trade

Carl Moyer Fund

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

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

San Mateo County Transportation Authority (SMCTA) Contribution

SMCTA Measure A

Santa Clara Valley Transportation Authority (VTA) Measure A

VTA Contribution

City and County of San Francisco (CCSF) Contribution

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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.

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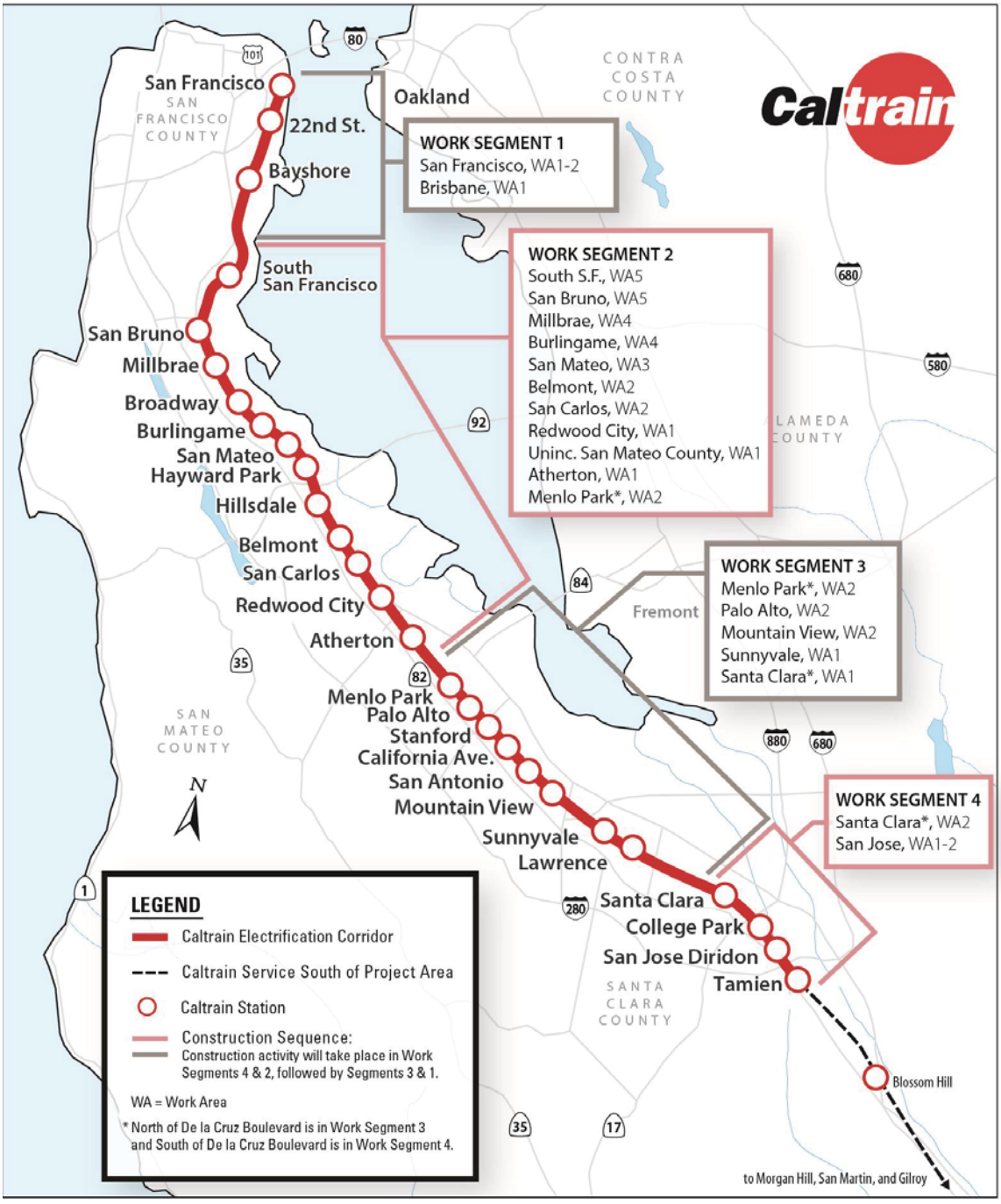
2.0 EXECUTIVE SUMMARY

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



In September, Overhead Catenary System pole installation began in Segment 4. Ongoing construction activities continued, including foundation installation, form and rebar at Traction Power Substations, and ductbank and conduits. The California Public Utilities Commission gave approval for grade crossing modifications in Segment 4 regarding the distance of foundations and poles from the crossings.

EMU manufacturing, assembly and testing activities are ramping up. Two completely wired cars are undergoing electrical testing. The Federal Railroad Administration agreed to the design of flip-up seats in bike cars. Stadler is adding personnel to its Salt Lake City facility to help keep up production, and Stadler is looking into alternative sources for parts that are in short supply.

At the Centralized Equipment Maintenance and Operations Facility, as-built drawings of underground utilities have been submitted to Jacobs. A temporary fence has been installed around the lay down area, and work is underway. Crews began building formwork for the maintenance inspection pit and saw cutting asphalt.

2.1. Monthly Dashboards

Dashboard progress charts are included below to summarize construction progress.

Figure 2-2 Expenditure – Planned vs. Actual

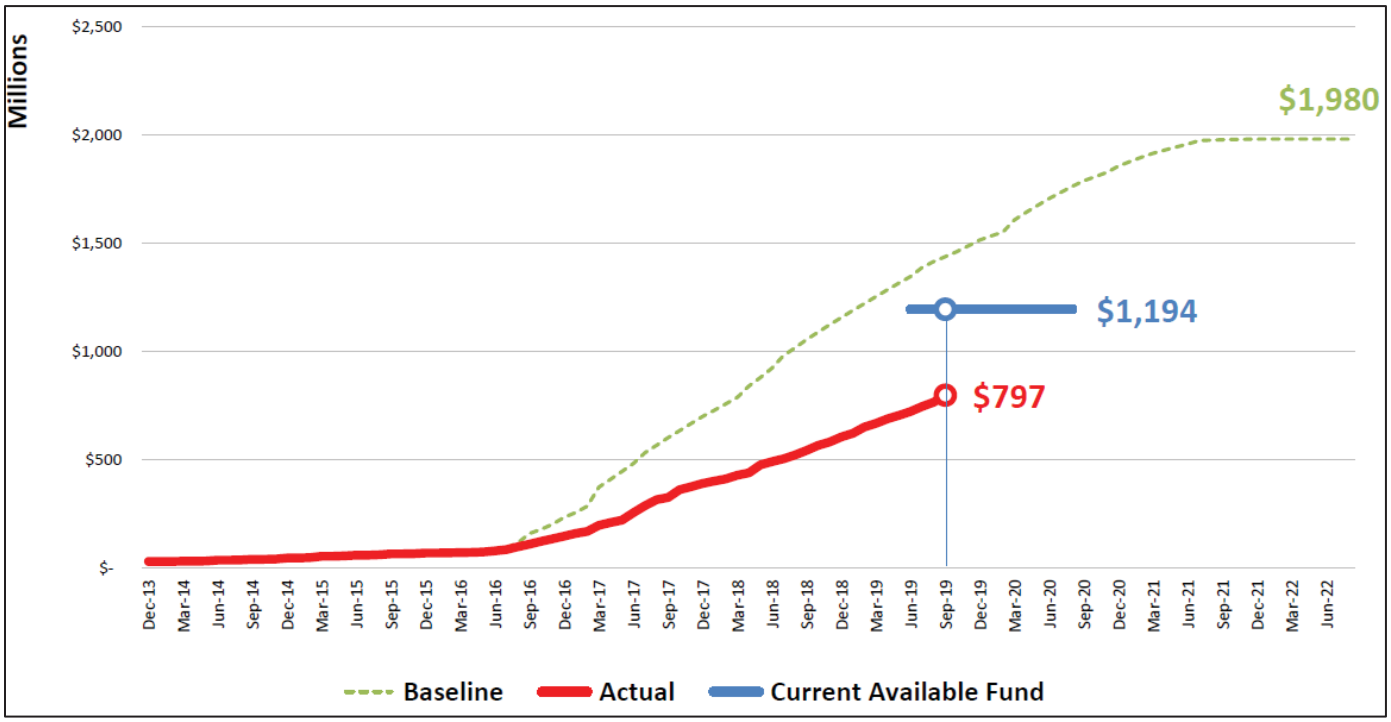


Figure 2-3 Spending Rate vs Required

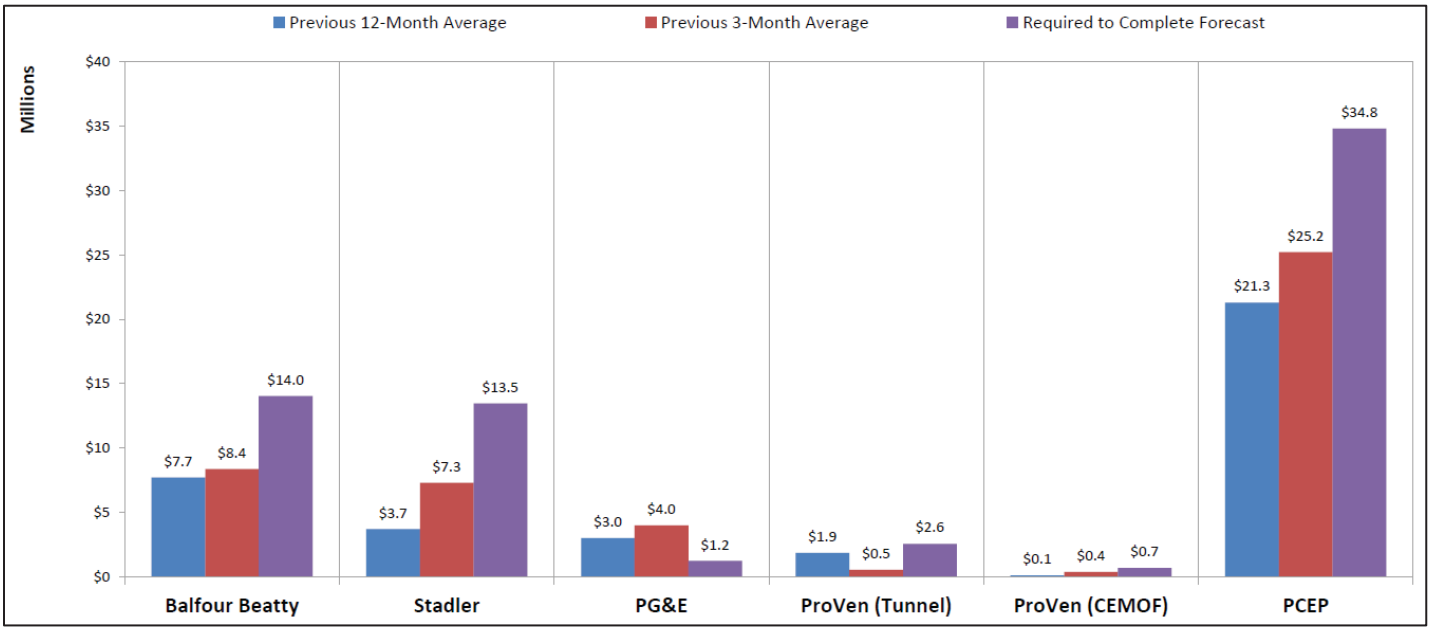
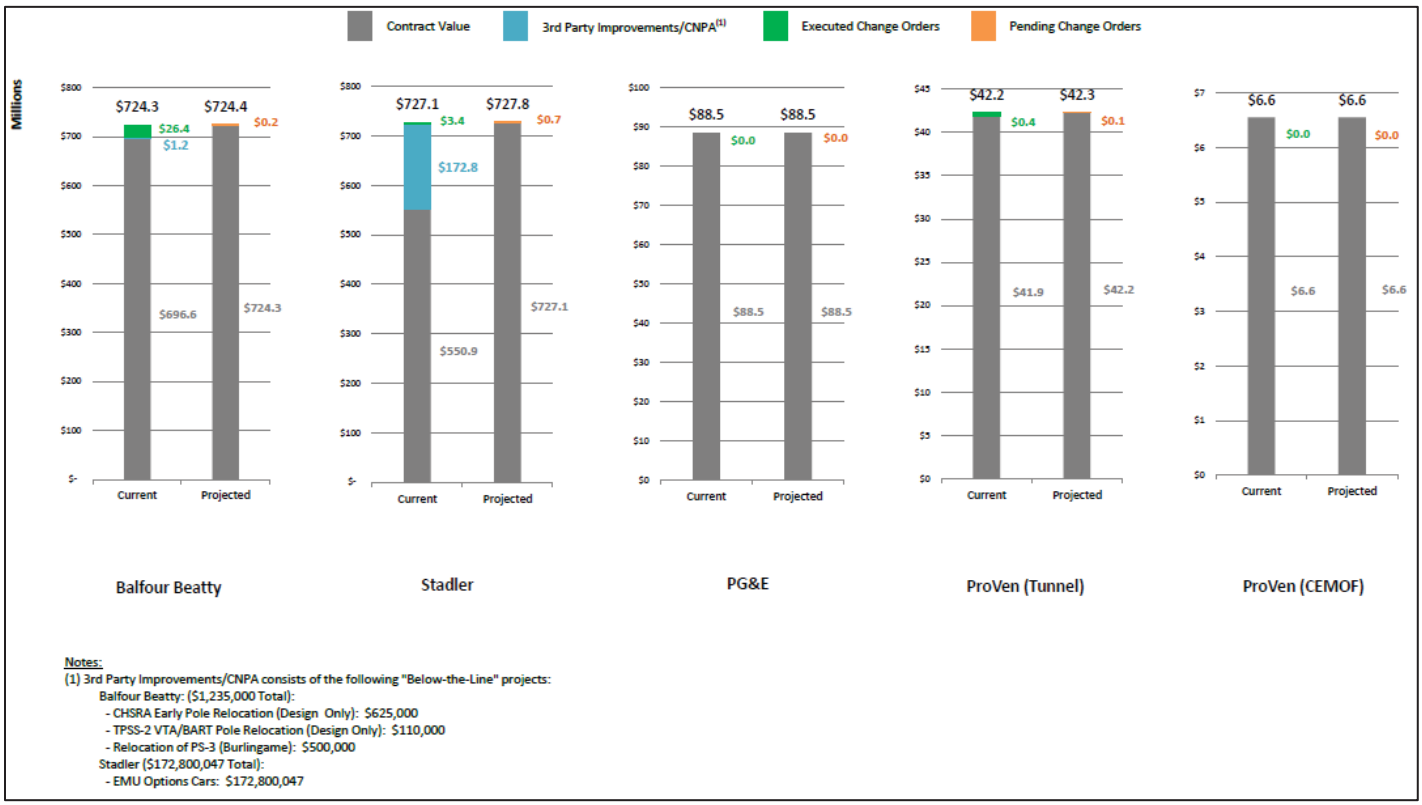


Figure 2-4 Construction Contract Budgets



Notes:
(1) 3rd Party Improvements/CNPA consists of the following "Below-the-Line" projects:
Balfour Beatty: ($1,235,000 Total):
- CHSRA Early Pole Relocation (Design Only): $625,000
- TPSS-2 VTA/BART Pole Relocation (Design Only): $110,000
- Relocation of PS-3 (Burlingame): $500,000
Stadler ($172,800,047 Total):
- EMU Options Cars: $172,800,047

Figure 2-5 OCS Foundation Production

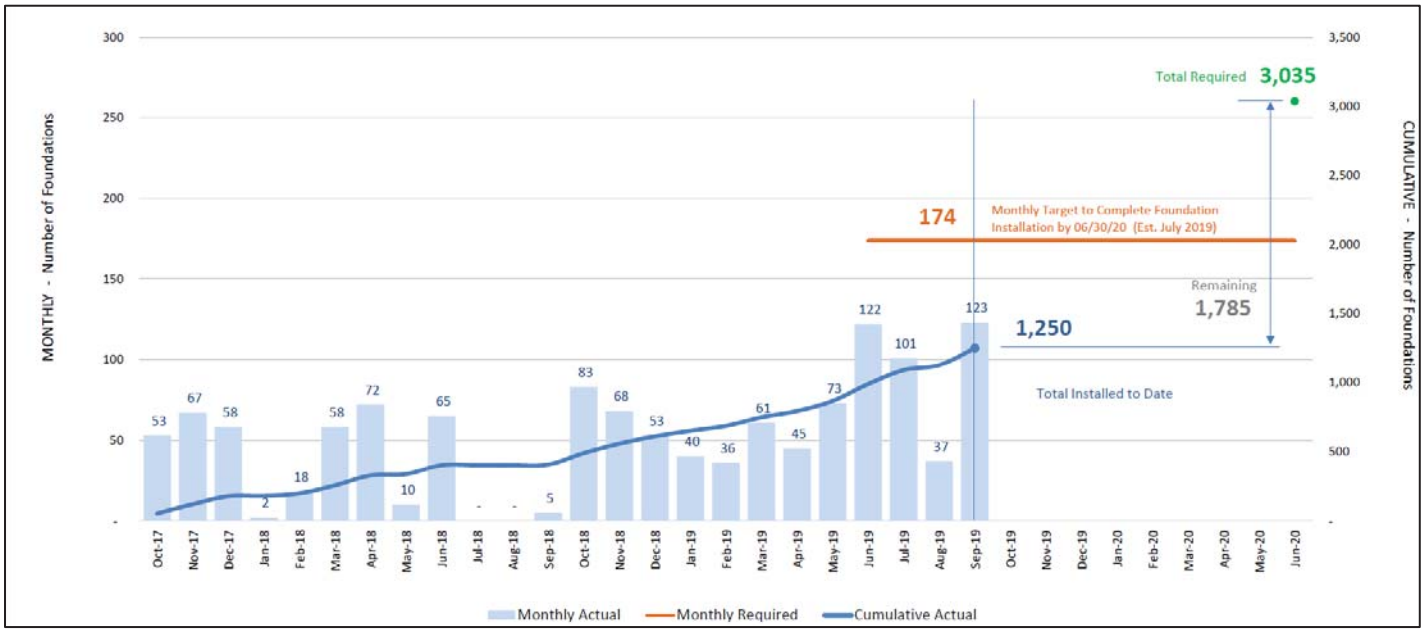
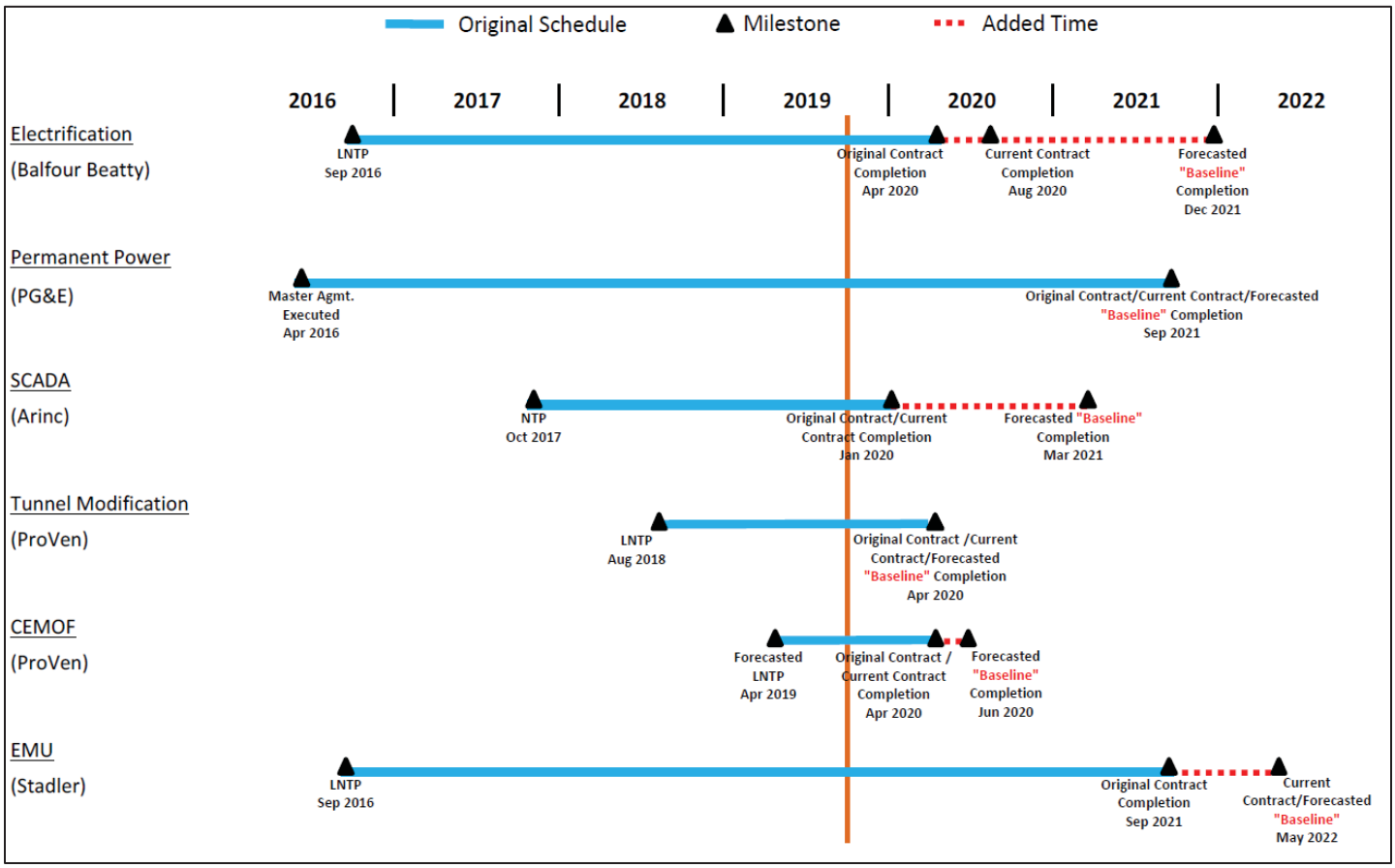


Figure 2-6 Contractor Completion Schedule



2.2. Funding Partners Participation in PCEP

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

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

Electrification – Engineering Meeting – Weekly

Purpose: To discuss status, resolution and tracking of Balfour Beatty Infrastructure, Inc. (BBII) and electrification design-related issues, to discuss Supervisory Control and Data Acquisition (SCADA), the Tunnel Modification Project, and monitor the progress of utility relocation compared to schedule, and to discuss third-party coordination activities with Pacific Gas and Electric (PG&E), CHSRA, Union Pacific Rail Road (UPRR), Bay Area Rapid Transit, California State Department of Transportation (Caltrans), Positive Train Control (PTC) and others.

Activity this Month

Funding Partners: CHSRA: Ian Ferrier

Continued discussions on resolution of outstanding issues for the Design-Build (DB) contract, such as:

- Grade crossing designs, including progress of design and ongoing meetings with key stakeholders such as the Federal Railroad Administration (FRA), California Public Utilities Commission (CPUC) and local jurisdictions
- Potholing status and foundation installation sequencing
- Key right of way acquisition issues as related to construction activities
- Review of key actions from weekly BBII progress meetings, status of critical submittals or Requests for Information (RFI), open non-conformance reports, and open critical issues from the Design Build (DB) contract
- The progression of the PG&E interconnections design and material procurement status, including interface with VTA on the design of TPS-2 interconnection into PG&E's FMC Substation
- Key interface points (foundation installation, signal design, etc.) between the PCEP and other major Peninsula Corridor Joint Powers Board (JPB) projects such as South San Francisco Station Project, 25th Avenue Grade Separation Project, and Broadway Grade Separation Project
- The utility relocation status
- Status of the Tunnel Modification construction
- Updates on DB and program schedule, including key foundation and traction power facility milestones, PG&E Infrastructure buildout and power quality study status

- Upcoming changes to the contract in preparation for the Change Management Board (CMB) and specific contract change orders that require technical review and input

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: CHSRA: Ian Ferrier and Wai-on Siu; SFCTA: Luis Zurinaga; Metropolitan Transportation Commission (MTC): Trish Stoops

The Federal Transit Administration (FTA) Quarterly is scheduled to occur on October 8. The FTA Triennial Audit for the JPB occurred on September 18 and no deficiencies were identified for PCEP. The new 150th scale replica model train will be displayed and distributed to various substations along the Peninsula. The CalMod website (calmod.org) has further information about the events. The Pantograph Inspection and Monitoring System Request for Proposal (RFP) has been posted as an upcoming solicitation on the procurement website to update the vendor community and generate interest. In EMU design and manufacturing, the final floor fire endurance test has been scheduled for October 8 and a PCEP quality assurance representative from Altenrhein will be onsite to witness it. For construction and field activities, on-track foundations continue in Segment (S) S4 for the week of September 23 and September 30, and a Silicon Valley Power Corporation (SVP) shutdown in S3 has been scheduled to occur on September 26. Potholing to support foundation installation continues in all areas of S4 and S3, and the installation of poles in S4 will start the week of September 9. The completion of form/rebar work and high voltage cable installation continues at Traction Power Substation (TPS) TPS-2 with the final blast wall installation to be completed by early November. The transformer accessory fit-up will begin in Paralleling Station (PS) PS-7. In the Tunnel Modification Project, the Tunnel 4 South Portal archstones have been reconstructed.

Systems Integration Meeting – Bi-Weekly

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

Activity this Month

Funding Partners: CHSRA: Ian Ferrier

Bi-weekly PCEP interface meetings are held to monitor and determine appropriate resolution for systems integration issues. The systems integration database is updated as issues are resolved or new items arise. A spreadsheet for keeping track of Action Items and the individual(s) assigned to these items is the primary tracking method while issues relating to access to the System Integration database are resolved. Meetings are also held bi-weekly with the electrification contractor to discuss design and construction integration issues. The Systems Integration Lead also maintains contact with the EMU procurement team. The Traction Power SCADA team also holds bi-weekly status meetings. Coordination with the EMU procurement, PTC and Caltrain Capital Project managers responsible for delivery of the 25th Avenue Grade Separation Project, Marin Napoleon Bridge Rehabilitation Project, and the South San Francisco Station Project is ongoing. There is coordination with the Tunnel Modification Project and the CEMOF

upgrades as well. Progress on activities including systems integration testing activities, FRA, FTA and safety certification are being tracked. The PCEP Systems Integration Testing Plan has been accepted.

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: CHSRA: Ian Ferrier and Wai-On Su

The overall schedule remains unchanged from last month. The forecasted Revenue Service Date (RSD) remains May 2022. The addition of approximately three and a half months of contingency yields an RSD of August 2022. The program critical path runs through the manufacturing and testing of EMU trainsets.

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

No Risk Assessment Committee meeting was held in the month of September.

Change Management Board (CMB) – Monthly

Purpose: To review, evaluate and authorize proposed changes to PCEP over $200,000.

Activity this Month

The CMB meeting was held on September 25.

Funding Partners: CHSRA: Boris Lipkin; MTC: Trish Stoops and Kenneth Folan; SFCTA: Luis Zurinaga; VTA: Krishna Davey; SMCTA: Joe Hurley

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.

BBII Contract

Two changes were approved.

CEMOF Contract

Three changes were approved.

Stadler Contract

No changes were identified for consideration.

SCADA Contract

No changes were identified for consideration

Tunnel Modification Contract

No changes were identified for consideration.

2.3. Schedule

At the request of the FTA PMOC, a schedule workshop was held on September 24, and was also attended by SFCTA and CHSRA. The purpose of the workshop was to provide status on a re-evaluation of the BBII electrification schedule, and its impact on the overall program schedule. The PMOC was informed that the initial analysis, with focus on the critical path, would be complete in the coming weeks, and would be incorporated into the program schedule upon completion.

The overall schedule remains unchanged from last month. The forecasted Revenue Service Date (RSD) remains May 2022. The program critical path runs through the manufacturing and testing of EMU trainsets.

BBII continues to report an overall delay to substantial completion, which is primarily due to the time it has taken to finalize the modifications required for the signal system. JPB is working with BBII on the issue and is urging BBII to accelerate resolution. The anticipated revenue service date is unchanged. Though delays have been reported with the Stadler contract and the arrival of the first trainset at JPB, there is no anticipated effect on the overall vehicle schedule.

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

Table 2-1 Schedule Status

Milestones	Program Plan	Progress Schedule (September 2019)[1]
Segment 4 Completion	11/21/2019	05/22/2020
○ Interconnection from PG&E Substation to Traction Power Substation (TPS)	N/A	04/27/2020
Arrival of First Vehicle in Pueblo, CO	N/A	05/29/2020[2]
Arrival of First Vehicle at JPB	07/29/2019	02/26/2021[2]
PG&E Provides Permanent Power	09/09/2021	09/09/2021
Electrification Substantial Completion	08/10/2020	12/31/2021[2]
Start Phased Revenue Service	N/A	01/03/2022[2]
RSD (w/o Risk Contingency)	12/09/2021	05/06/2022
FFGA RSD (w/ Risk Contingency)	08/22/2022	08/22/2022

Note:

1. Dates may shift slightly as the update of this month's Progress Schedule is still in process.
2. See "Notable Variances" in Section 7 for explanation on date shift.

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	$17,548,345	$617,581,002	$698,544,206	$1,316,125,208
EMU Subtotal	$664,127,325	$664,127,325	$14,978,593	$179,320,367	$484,806,958	$664,127,325
PCEP TOTAL	$1,980,252,533	$1,980,252,533	$32,526,937	$796,901,369	$1,183,351,164	$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

- September
  - None

Future anticipated board actions include:

- Shunt wire construction
- PG&E interconnect construction
- EMU Pantograph Inspection & Monitoring System contract

2.6. Government and Community Affairs

There were five outreach events this month.

3.0 ELECTRIFICATION – INFRASTRUCTURE

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

3.1. Electrification

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

Activity This Month

- Continued to install OCS foundations in Segment 3 and 4 both on and off track.
- Continued to install OCS poles, identification plates, down guys, and balance weights in Segment 2.
- Begin OCS pole installation in Segment 4.
- Continued to install OCS wires in Segment 2.
- Potholed at proposed OCS locations and utility locations in Segments 3 and 4 in advance of foundation installation. BBII and PCEP also continued to resolve conflicts found during the potholing process, such as loose concrete, asphalt, and other debris, and continued designing solutions for those conflicts that cannot be avoided. The conflicts must be resolved before installation of foundations at those locations.
- Relocated signal cables and remove abandoned facilities found in conflict with planned OCS foundations as conflicts were identified.
- Continued to installed form and rebar and high-voltage cable at TPS-2.
- Continued to install ductbank and manholes, transformer accessory fit-up, and form and rebar work at TPS-1.
- Delivered PG&E metering devices to both TPS-1 and TPS-2.
- Continued to install ductbank and manholes at PS-6.
- Continued grading work at PS-7.
- Continued to install ductbanks and manholes at SWS-1.
- Continued to install signal ductbank and conduits at Control Point (CP) Shark, CP Ralston, and CP Dumbarton.
- Continued signal equipment kit installation at CP Michael.
- Continued drilling of rails for impedance bond connections in Segments 1, 2, 3 and 4 at various control points and crossings.
- Continued installation of insulated joints (IJs) corridor wide.
- Continued installation of bridge attachments in Segment 2.

- Progressed the OCS design with BBII in all segments, which included submittal and review of Design Change Notices for revised foundation locations.
- Coordinated design review with local jurisdictions for the OCS, traction power facilities, and bridge attachments design, including responses to comments from jurisdictions.
- Continued to review and coordinate signal and communication design submittals with BBII.
- Continued discussions with FRA and CPUC on grade crossing design.
- Received CPUC approvals on General Order 88B for grade crossing modifications in Segment 4 regarding the distance of foundations and poles from the crossings.
- Continued to progress on the TPS interconnection design for TPS-1 and TPS-2. The interconnection is between the PG&E substations and future Caltrain main substations.
- Worked with BBII through Site Specific Work Plans (SSWP) for upcoming field work.
- Continued to work with PG&E and Silicon Valley Power (SVP) for the finalization of single phase studies.
- 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[ab]	Completed this Month	Completed to Date	Required[ab]	Completed this Month	Completed to Date
1	Tunnels	32	0	32	32	0	0
	A	309	0	0	259	0	0
	B	237	0	0	177	0	0
2	5	243[c]	0	184	208	0	160
	4	314	0	243	253	0	186
	3	174[c]	0	60	140	0	36
	2	248	0	78	205	0	54
	1	206	0	79	154	0	26
3	2	514	0	0	442	0	0
	1	390	70	353	311	0	0
4	A	244	53	151	180	46	46
	B	131	0	70	124	20	47
	CEMOF	112	0	0	102	0	0
Total		**3,154**	**123**	**1,250**	**2,587**	**66**	**555**

Note:

a. Foundations required do not match poles required as guy foundations are needed in some locations for extra support.
b. The number of required poles and foundations fluctuate due to design changes.
c. 55 foundations in S2WA5 will be installed by South San Francisco and 64 foundations in S2WA3 will be installed by 25th Avenue.

Activity Next Month

- Continue installation of foundations 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, assemblies and OCS wires in Segment 2.
- Continue to install OCS poles in Segment 4.
- Continue work with BBII on field investigation activities and designs, which will include the progression of the OCS, traction power, bonding and grounding, signal systems, and other civil infrastructure such as overhead bridge protections.
- Pothole and clear obstructions at proposed OCS locations. Potholing will concentrate in Segments 3 and 4.
- Continue construction at TPS-1 and TPS-2.
- Continue construction at PS-7, PS-4, PS-6, and the Switching Station.
- Continue to install conduit and foundations for signal and wayside power cubicle units in Segments 2 and 4.
- Continue to install impedance bond connections.
- Continue to install IJs.
- Continue to install bridge attachments.
- Continue to coordinate with stakeholders on the consistent warning time solution and advance location-specific design.
- Continue to progress location-specific design for grade crossing system.
- Review BBII work plans for upcoming construction activities.
- Continue to progress design for PG&E interconnection towards 95% and work on long-lead material procurement in advance of construction.
- Coordinate with PG&E on final design for PG&E infrastructure.
- Coordinate with local jurisdictions to review designs.
- Continue tree pruning and removals.

3.2. Supervisory Control and Data Acquisition

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

Activity This Month

- Submitted formal schedule for review and Monthly Progress Report.
- Worked on development of test procedures (ongoing).
- Submitted 23 test procedures for JPB review.

Activity Next Month

- Prepare and deliver the Monthly Report and the Monthly Schedule Update.
- Attend project status meetings.
- Support ongoing discussions concerning RFIs.
- When final Points List is received, complete the database and display to 100% for all locations.
- Continue development of Test Procedures and respond to comments received from JPB.

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

- Tunnel 4 Historic South Portal reconstruction completed with fabrication of archstone blocks.
- Continued review of and prepared responses for submittals and RFIs.
- Met with ProVen to discuss the Tunnel OCS Option Schedule.

Activity Next Month

- Review the scope of work for fencing above tunnel portals.
- Continue procuring and start fabrication of OCS termination structures from steel shop drawings based on as-built survey of foundations and shop drawing approval.
- Review and respond to submittals, RFIs, and SSWPs as needed.
- Continue weekly coordination for field activities and associated TransitAmerica Services, Inc. (TASI) protection.
- Prepare and plan for OCS Option Scope, scheduled to begin in December 2019 with the installation of the Drop Tubes at Tunnel 1.

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

- 14 Final Design Reviews of the 18 major systems completed. Remaining 4 are conditionally approved. Scheduled for completion in late 2019, early 2020.
- 64 First Article Inspections total, 48 conducted, 11 closed.
- FRA agreed to design of revised Bike Car arrangement with flip-up seats.
- FRA 'Compliance Review' of EMU design conducted in Stadler's Salt Lake City (SLC) facility September 10th and 11th. An additional inspection in SLC 1st Quarter 2020 is planned. FRA 'Sample Car Inspection' likely to be performed in Pueblo, Colorado mid-2020.
- Manufacturing, assembly and testing activities ramping up in SLC.
- 19 of 133 car shells (first three 7-car trainsets) are in SLC in incremental stages of completion, 2 completely wired cars are undergoing electrical testing.
- Overall production in SLC facility is behind schedule. Two major reasons: shortage of sub-supplier parts and lack of shop personnel to assemble trains.
- Stadler adding personnel through local hiring and transfer of experience employees from other Stadler facilities to SLC.
    - Stadler staging full-time engineers/QA personnel at problematic sub-suppliers.
    - Stadler looking into alternate sub-suppliers.
- PCEP performed staff Quality Assurance training on September 4th.

Activity Next Month

- Continue truck (bogie) structural and lifecycle testing.
- Alternate Vehicle Technology compliance (crashworthiness) validation analysis to be submitted to FRA.
- Conduct propulsion gearbox endurance test and teardown inspection.
- Repeat last of the four floor/ceiling fire endurance tests.
- Negotiate change orders with Stadler.

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

- As-built drawings of underground utilities completed by TASI and submitted to contractor.
- Temporary fence installed around lay down area.
- All required permits have been processed and issued.
- Began building formwork for the maintenance inspection pit and saw cutting asphalt.

Activity Next Month

- Pothole utilities.
- Remove asphalt.
- Clear and grubbing.
- Cut and remove existing rail.
- Install catch basins at the North Pit.
- Start shoring.

5.0 SAFETY

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

Activity This Month

- Project staff provided input and continued its participation in the BBII contractor workforce safety meetings. Project incidents continue to be reviewed with project staff to reinforce the application of recommended safety mitigation measures.
- Continued to provide input and oversight of the contractor SSWP safety provisions and ongoing safety construction oversight and inspections.
- Conducted the monthly project Safety and Security Certification and Fire/Life Safety Meetings.
- Participated in Quarterly JPB Capital Projects Safety Committee.
- Reviewed SSWPs and safety requirements for the pending CEMOF project work.
- Finalized results of the Safety and Security Management Plan internal audit of requirements with the BBII contractor safety staff and finalized recommendations to support ongoing compliance.
- Investigated project incident occurrences and worked with the BBII contractor to identify incident root causes and develop safety and security mitigation measures.
- Conducted ongoing safety inspections of contractor field activities and performed pre-work site hazards assessment walks with BBII and subcontractor staff.
- Provided project safety status updates to PMOC staff.
- Participated in weekly project coordination meetings with the contractor to review open issues and recommended action items.

Activity Next Month

- Monthly safety communication meetings continue to be scheduled for the Project Safety and Security Certification Committee, Fire/Life Safety Committee, Rail Activation Committee, and other project-related contractor and JPB safety meetings to discuss safety priorities.
- Continue focus on performing site safety inspections on the OCS foundation, pole installations, potholing, and CEMOF work to assess safety work practices and identify additional opportunities for improvement. Conduct contractor equipment inspections as needed.
- Continue to meet with the PCEP contractors, JPB safety, and TASI to identify opportunities to further improve project safety performance and continue to reinforce lessons learned safety mitigation recommendations resulting from prior project incidents.
- Prepare FTA quarterly safety update information and participate in the FTA PCEP Quarterly Update Meeting discussions.

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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.
- One design package audit of PGH Wong was conducted with no findings or observations.
- A JPB NCR was written for OCS pole foundations at 10 platform locations not being recessed to the adjoining station platforms.
- A materials control audit was conducted on the BBII Santa Clara warehouse with no findings or observations.

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	1	98
Audit Findings		
Audit Findings Issued	0	62
Audit Findings Open	0	0
Audit Findings Closed	0	62
Non-Conformances		
Non-Conformances Issued	1	10
Non-Conformances Open	1	2
Non-Conformances Closed	0	8

Activity Next Month

- Two design package audits of PGH Wong are planned.
- Conduct audit of BBII cable trough installations at Segments 2 and 4.

7.0 SCHEDULE

At the request of the FTA PMOC, a schedule workshop was held on September 24, and was also attended by SFCTA and CHSRA. The purpose of the workshop was to provide status on a re-evaluation of the BBII electrification schedule, and its impact on the overall program schedule. The PMOC was informed that the initial analysis, with focus on the critical path, would be complete in the coming weeks, and would be incorporated into the program schedule upon completion.

The overall schedule remains unchanged from last month. The forecasted Revenue Service Date (RSD) remains May 2022. The program critical path runs through the manufacturing and testing of EMU trainsets.

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

Table 7-1 Schedule Status

Milestones	Program Plan	Progress Schedule (September 2019)[1]
Segment 4 Completion	11/21/2019	05/22/2020[2]
○ Interconnection from PG&E Substation to Traction Power Substation (TPS)	N/A	04/27/2020
Arrival of First Vehicle in Pueblo, CO	N/A	05/29/2020[2]
Arrival of First Vehicle at JPB	07/29/2019	02/26/2021[2]
PG&E Provides Permanent Power	09/09/2021	09/09/2021
Electrification Substantial Completion	08/10/2020	12/31/2021[2]
Start Phased Revenue Service	N/A	01/03/2022[2]
RSD (w/o Risk Contingency)	12/09/2021	05/06/2022
FFGA RSD (w/ Risk Contingency)	08/22/2022	08/22/2022

Note:

1. Dates may shift slightly as the update of this month's Progress Schedule is still in process.
2. See "Notable Variances" for explanation on date shift.

Notable Variances

During this monthly progress reporting period, BBII is currently reporting an overall delay to substantial completion, including the intermediate milestone of Segment 4/Test Track completion. The delay is primarily due to the time it has taken to finalize the modifications required for the signal system, the effect that differing site conditions (DSCs) are having on OCS foundation installation and design completion of the Traction Power Substation (TPS) interconnect.

JPB continues to work with and is urging BBII to accelerate resolution of these issues. In the meantime, the JPB forecasted date for BBII's completion has been updated to reflect the inclusion of the signal system work which has been impacted by CWT.

Additional delays have been experienced by Stadler during assembly of the first trainset. The resulting effect is a delay to arrival of the first trainset at JPB, however there is no anticipated effect on the overall vehicle schedule at this time.

Items listed in Table 7-2 reflect the critical path activities/milestones for the PCEP.

Table 7-2 Critical Path Summary

Activity	Start	Finish
Manufacturing, Testing & Acceptance of Trainsets 1 - 14	08/13/2018	05/06/2022
RSD w/out Risk Contingency	05/06/2022	05/06/2022
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 1st Trainset in Salt Lake City	02/04/2019 (A)
Segment 4 Completion	05/22/2020
Arrival of 1st Trainset in Pueblo, CO	05/29/2020
Arrival of 1st Trainset at JPB	02/26/2021
Conditional Acceptance of 1st Trainset	04/09/2021
System Electrified	12/31/2021
Begin Phased Revenue Service	01/03/2022
Conditional Acceptance of 14th Trainset	05/06/2022
FFGA RSD w/ Risk Contingency	08/22/2022

Note: "(A)" denotes an actual completion

8.0 BUDGET AND EXPENDITURES

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

Table 8-1 Electrification Budget & Expenditure Status

Description of Work	Budget (A)	Current Budget (B)[1]	Cost This Month (C)[2]	Cost To Date (D)[3]	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
ELECTRIFICATION						
Electrification [4]	$696,610,558	$723,025,330	$8,913,805	$343,679,222	$379,346,109	$723,025,330
SCADA	$0	$3,446,917	$0	$1,934,371	$1,512,546	$3,446,917
Tunnel Modifications	$11,029,649	$42,243,966	$0	$24,333,951	$17,910,015	$42,243,966
Real Estate	$28,503,369	$28,503,369	$67,335	$20,527,893	$7,975,476	$28,503,369
Private Utilities	$63,515,298	$92,451,380	$4,403,682	$64,124,996	$28,326,385	$92,451,380
Management Oversight [5]	$141,506,257	$144,957,684	$2,143,870	$123,214,033	$21,743,652	$144,957,684
Executive Management	$7,452,866	$6,214,226	$132,813	$7,280,401	($1,066,175)	$6,214,226
Planning	$7,281,997	$7,281,997	$27,327	$5,686,574	$1,595,423	$7,281,997
Community Relations	$2,789,663	$2,789,663	$24,420	$1,489,332	$1,300,331	$2,789,663
Safety & Security	$2,421,783	$3,691,387	$92,797	$2,670,981	$1,020,405	$3,691,387
Project Management Services	$19,807,994	$19,807,994	$215,757	$11,774,063	$8,033,931	$19,807,994
Engineering & Construction	$11,805,793	$11,805,793	$324,065	$8,676,742	$3,129,051	$11,805,793
Electrification Eng & Mgmt	$50,461,707	$50,461,707	$693,459	$43,320,730	$7,140,977	$50,461,707
Construction Management	$0	$2,790,608	$413,450	$830,250	$1,960,358	$2,790,608
IT Support	$312,080	$407,170	$0	$407,170	$0	$407,170
Operations Support	$1,445,867	$1,980,632	$7,126	$2,210,448	($229,816)	$1,980,632
General Support	$4,166,577	$4,166,577	$104,050	$4,831,163	($664,586)	$4,166,577
Budget / Grants / Finance	$1,229,345	$1,229,345	$26,844	$1,341,745	($112,400)	$1,229,345
Legal	$2,445,646	$2,445,646	$18,642	$4,175,559	($1,729,912)	$2,445,646
Other Direct Costs	$5,177,060	$5,177,060	$63,122	$3,810,995	$1,366,064	$5,177,060
Prior Costs 2002 - 2013	$24,707,878	$24,707,878	$0	$24,707,878	$0	$24,707,878
TASI Support	$55,275,084	$55,275,084	$1,275,834	$30,039,260	$25,235,823	$55,275,084
Insurance	$3,500,000	$4,543,588	$641,308	$4,543,588	$0	$4,543,588
Environmental Mitigations	$15,798,320	$14,972,644	$0	$690,411	$14,282,234	$14,972,644
Required Projects	$17,337,378	$14,253,335	$15,710	$822,834	$13,430,501	$14,253,335
Maintenance Training	$1,021,808	$1,021,808	$0	$0	$1,021,808	$1,021,808
Finance Charges	$5,056,838	$6,137,156	$86,800	$3,670,444	$2,466,712	$6,137,156
Contingency	$276,970,649	$185,292,945	N/A	N/A	$147,068,469	$147,068,469
Forecasted Costs and Changes	$0	$0	N/A	N/A	$38,224,476	$38,224,476
ELECTRIFICATION SUBTOTAL	**$1,316,125,208**	**$1,316,125,208**	**$17,548,345**	**$617,581,002**	**$698,544,206**	**$1,316,125,208**

Notes regarding tables above:

1. Column B “Current Budget” includes executed change orders and awarded contracts.
2. Column C "Cost This Month" represents the cost of work performed this month.
3. Column D "Cost To Date" includes actuals (amount paid) and accruals (amount of work performed) to date.
4. Cost To Date for “Electrification” includes 5% for Contractor’s retention until authorization of retention release.
5. The agency labor is actual through August 2019 and accrued for September 2019.

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	$554,298,897	$13,984,738	$136,880,433	$417,418,463	$554,298,897
CEMOF Modifications	$1,344,000	$6,550,777	$281,057	$1,138,912	$5,411,865	$6,550,777
Management Oversight [4]	$64,139,103	$63,113,984	$624,267	$38,524,814	$24,589,170	$63,113,984
Executive Management	$5,022,302	$4,263,136	$88,469	$4,551,708	($288,572)	$4,263,136
Community Relations	$1,685,614	$1,285,614	$14,967	$598,987	$686,627	$1,285,614
Safety & Security	$556,067	$765,296	$11,091	$474,906	$290,390	$765,296
Project Mgmt Services	$13,275,280	$13,275,280	$100,267	$7,621,651	$5,653,629	$13,275,280
Eng & Construction	$89,113	$89,113	$0	$23,817	$65,296	$89,113
EMU Eng & Mgmt	$32,082,556	$30,581,014	$144,155	$17,740,121	$12,840,893	$30,581,014
Construction Management	$0	$1,501,543	$134,322	$174,822	$1,326,720	$1,501,543
IT Support	$1,027,272	$952,089	$13,581	$530,988	$421,102	$952,089
Operations Support	$1,878,589	$1,878,589	$12,676	$294,566	$1,584,022	$1,878,589
General Support	$2,599,547	$2,599,547	$42,490	$2,093,010	$506,537	$2,599,547
Budget / Grants / Finance	$712,123	$712,123	$24,039	$890,086	($177,963)	$712,123
Legal	$1,207,500	$1,207,500	$232	$1,221,499	($13,999)	$1,207,500
Other Direct Costs	$4,003,139	$4,003,139	$37,978	$2,308,652	$1,694,487	$4,003,139
TASI Support	$2,740,000	$2,740,000	$35,331	$35,331	$2,704,669	$2,740,000
Required Projects	$4,500,000	$4,500,000	$0	$491,250	$4,008,750	$4,500,000
Finance Charges	$1,941,800	$3,761,482	$53,200	$2,249,627	$1,511,855	$3,761,482
Contingency	$38,562,962	$29,162,185	N/A	N/A	$29,248,261	$29,248,261
Forecasted Costs and Changes	$0	$0	N/A	N/A	($86,076)	($86,076)
EMU SUBTOTAL	**$664,127,325**	**$664,127,325**	**$14,978,593**	**$179,320,367**	**$484,806,958**	**$664,127,325**

Notes regarding tables above:

1. Column B “Current Budget” includes executed change orders and awarded contracts.
2. Column C "Cost This Month" represents the cost of work performed this month.
3. Column D "Cost To Date" includes actuals (amount paid) and accruals (amount of work performed) to date.
4. The agency labor is actual through August 2019 and accrued for September 2019.

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**	**$17,548,345**	**$617,581,002**	**$698,544,206**	**$1,316,125,208**
EMU Subtotal	**$664,127,325**	**$664,127,325**	**$14,978,593**	**$179,320,367**	**$484,806,958**	**$664,127,325**
PCEP TOTAL	**$1,980,252,533**	**$1,980,252,533**	**$32,526,937**	**$796,901,369**	**$1,183,351,164**	**$1,980,252,533**

Notes regarding tables above:

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

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

Description of Work	Budget (A)	Current Budget (B)[1]	Cost This Month (C)[2]	Cost To Date (D)[3]	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
CHSRA Early Pole Relocation	$1,000,000	$1,000,000	$0	$687,776	$312,224	$1,000,000
PS-3 Relocation (Design)	$500,000	$500,000	$0	$150,000	$350,000	$500,000
TPSS-2 Pole Relocation (Design)	$110,000	$110,000	$0	$88,000	$22,000	$110,000
EMU Option Cars	$172,800,047	$172,800,047	$20,079,365	$52,359,370	$120,440,677	$172,800,047
CNPA TOTAL	**$174,410,047**	**$174,410,047**	**$20,079,365**	**$53,285,146**	**$121,124,901**	**$174,410,047**

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.
- TPSS-2 Pole Relocation (Design): Design changes due to the relocation of VTA/BART Pole at TPSS-2 location. 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.

Table 8-5 Budget Transfers of Contingency

Transfer	Description	Contingency[1]
ELECTRIFICATION		
BBI-CCO-037	Field Orders for Signal Cable Relocation (FO-053 & FO-059)	$184,576
BBI-CCO-061	Interconnect Renaming of Circuit Numbers	$58,058
BBI-CCO-063A	Track Access Delays - Quarter 1 2018 (Partial)	$343,496
BT-017A	Safety & Security Support FY20	$1,269,604
BT-019	Rail Road Liability Protection (RRLP) for Tunnel OCS	$110,058
BT-021	IT Support Budget for Electrification	$75,183
	ELECTRIFICATION SUBTOTAL	**$2,040,975**
EMU		
BT-017A	Safety & Security Support FY20	$209,229
BT-021	IT Support Budget for Electrification	($75,183)
	EMU SUBTOTAL	**$134,046**
	PCEP TOTAL	**$2,175,021**

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 five PCEP contracts are BBII, CEMOF, Stadler, SCADA and Tunnel Modifications.

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	Change Order Authority Usage
09/03/2019	BBI-053-CCO-037	Field Orders for Signal Cable Relocation (FO-053 & FO-059)	$184,576	$184,576
09/07/2019	BBI-053-CCO-057	Mediator with Technical Expertise	$0	$0
09/27/2019	BBI-053-CCO-061	Interconnect Renaming of Circuit Numbers	$58,057	$58,057
09/27/2019	BBI-053-CCO-63A	Track Access Delays 2018 Quarter 1 (Partial)	$343,496	$343,496
		Total	**$586,129**	**$586,129**

[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	Change Order Authority Usage
	None			
		Total		

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

CEMOF 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
	None			
		Total	**$0**	**$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	Change Order Authority Usage
	None		$0	$0
		Total	**$0**	**$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**

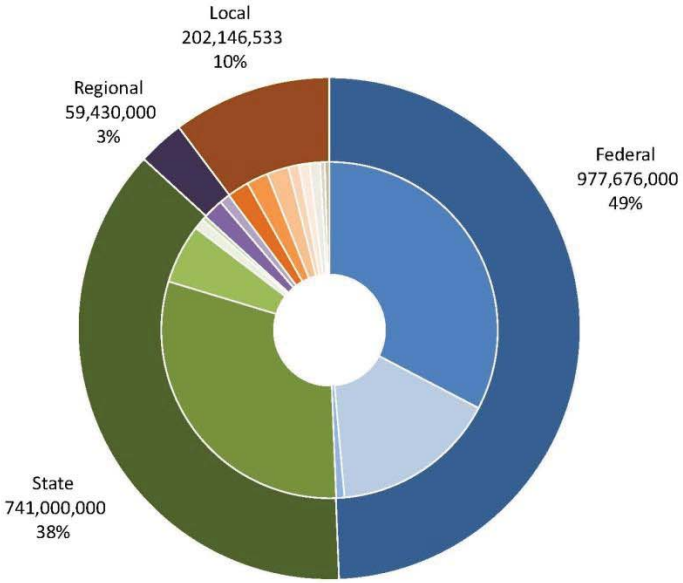
Date	Change Number	Description	CCO Amount	Change Order Authority Usage
	None			
		Total	**$0**	**$0**

[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).

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 reported, FTA awarded amendments to include $67 million in Fiscal Year 2019 Section 5307 formula funds, and the next $100 million in Core Capacity funds, in the existing grants for the project.

Figure 10-1 Funding Plan



Fund Source	Amount	%
FTA Core Capacity	$647,000,000	32.67%
FTA Section 5307 (EMU only)*	$315,000,000	15.91%
FTA Section 5307 (Environmental / Pre Development only)	$15,676,000	0.79%
Prop 1A	$600,000,000	30.30%
High Speed Rail Cap and Trade	$113,000,000	5.71%
Transit & Intercity Rail Capital Program	$20,000,000	1.01%
Prop 1B (Public Transportation Modernization & Improvement Account)	$8,000,000	0.40%
Bridge Toll Funds (RM1/RM2)	$39,430,000	1.99%
Carl Moyer	$20,000,000	1.01%
SFCTA/SFMTA**	$41,382,178	2.09%
SMCTA Measure A	$41,382,178	2.09%
VTA Measure A	$41,382,177	2.09%
Santa Clara (VTA) 7-Party MOU Contribution	$20,000,000	1.01%
San Francisco 7-Party MOU Contribution	$20,000,000	1.01%
San Mateo (SMCTA) 7-Party MOU Contribution	$20,000,000	1.01%
Caltrain Low Carbon Transit Operations Cap and Trade	$9,000,000	0.45%
Prior Local Contribution	$9,000,000	0.45%
Total	**$1,980,252,533**	

Notes:
*Includes necessary fund transfer with SMCTA
**Includes $4M CMAQ Transfer considered part of SF local contribution

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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 CWT modifications within budget and schedule.
2. Contractor incorrect sequencing of early utility locations, preliminary design, final design, and foundation construction may result in inefficiencies in construction, redesign, and reduced production rates.
3. Extent of differing site conditions and delays in resolving differing site conditions result in delays to the completion of Electrification contract and increases program costs.
4. Track access does not comply with contractor-stipulated work windows.
5. Major program elements may not be successfully integrated with existing operations and infrastructure in advance of revenue service.
6. Potential that modifications to the PTC database and signal software are not completed in time for cutover and testing.
7. Additional property acquisition is necessitated by change in design.
8. Contractor generates hazardous materials that necessitate proper removal and disposal in excess of contract allowances and expectations.
9. Rejection of Design Variance Request (DVR) for Auto Transformer Feeder (ATF) and static wires results in cost and schedule impacts to PCEP.
10. Changes to PTC implementation schedule could delay completion of electrification work.

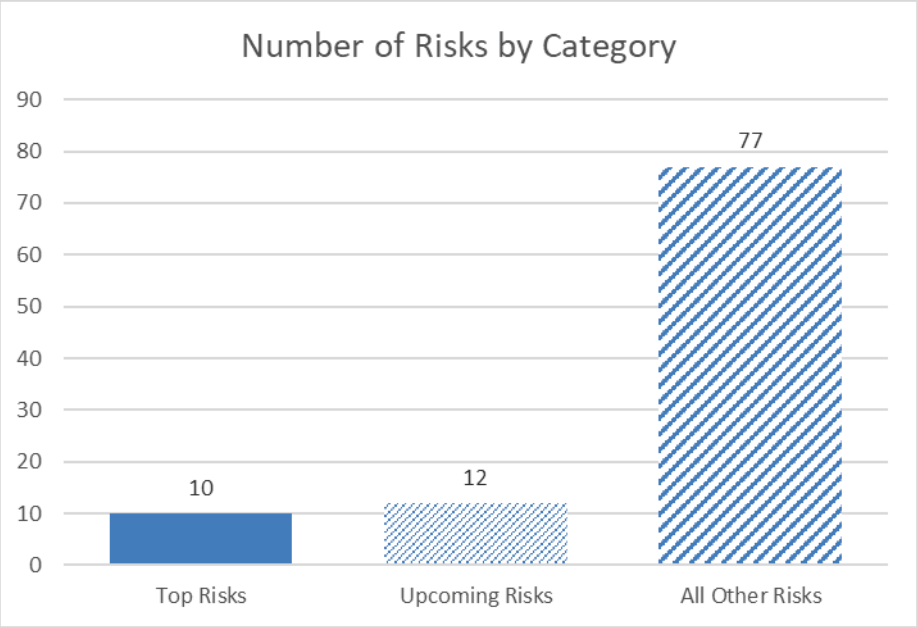
Activity This Month

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

- Updated risk retirement dates based upon revisions to the project schedule and input from risk owners.
- Continued weekly monitoring of risk mitigation actions and publishing of the risk register.
- The Risk Management team attended Project Delivery, Electrification, and Systems Integration meetings to monitor developments associated with risks and to identify new risks.

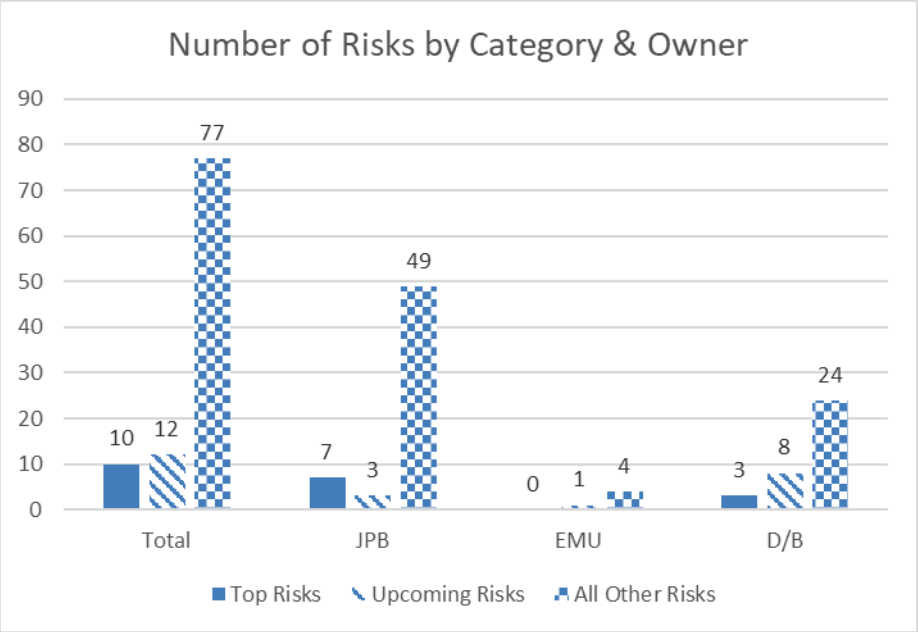
Figures 11-1 and 11-2 show the risks identified for the program. Risks are categorized as top risk, upcoming risk, and all other risks. The categories are based on a rating scale composed of schedule and cost factors. Top risks are considered to have a significantly higher than average risk grade. Upcoming 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 = 99

Figure 11-2 Risk Classification



Total Number of Active Risks = 99

Activity Next Month

- Conduct weekly monitoring of risk mitigation actions and continue publishing risk register.
- Update risk descriptions, effects, mitigations and retirement dates based on weekly monitoring and attendance at key project meetings.
- Convene Risk Assessment Committee meeting.
- Finalize risk analysis report for cost and schedule impacts based on updated risk register with Project Management and PMOC.

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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, duct bank and manhole installation, tree trimming/removal, conduit installation, abandoned signal cable removal, signal case installation, relocation of existing power pole, 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. Wildlife exclusion fencing installation and monitoring occurred adjacent to portions of the alignment designated for wildlife exclusion fencing. Pre-construction nesting bird surveys during the nesting bird season continued through September 15 and then were ceased for the remainder of 2019 (nesting bird season is defined as February 1 through September 15). Nesting bird surveys will commence on February 1, 2020.

- Best management practices (BMP) installation (e.g., silt fencing, straw wattles, soil covers) 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, duct bank and manhole installation, tree trimming/removal, conduit installation, signal case installation, abandoned signal cable removal, existing pole relocation, grading, site clearing, soils removal, etc.) occurring in areas that require environmental compliance monitoring in an effort to minimize potential impacts on sensitive environmental resources in accordance with the MMRP.
- Noise and vibration monitoring of project activities will continue to occur and non-hazardous soil will continue to be removed.
- Biological surveyors will continue to conduct pre-construction surveys for sensitive wildlife species ahead of project activities.
- 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 prior to upcoming construction activities adjacent to potentially suitable habitat for sensitive wildlife species.

13.0 UTILITY RELOCATION

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

Activity This Month

- Worked with all utilities on review of overhead utility line relocations based on the current design.
- Coordinated with individual utility companies on relocation plans and schedule for incorporation with Master Program Schedule.
- Coordinated work with communications utilities on review of relocation design.
- Continued to coordinate relocation work for SVP and Palo Alto Power facilities.
- Continued to coordinate relocation by communication cable owners such as AT&T and Comcast.
- Coordinated with PG&E and SVP on relocation and de-energization of parallel power facilities to enable foundation construction and future pole installation.
- Conducted utility coordination meeting to discuss overall status and areas of potential concern from the utilities.

Activity Next Month

- Coordinate with utility owners on the next steps of relocations, including support of any required design information.
- Update the relocation schedule as information becomes available from the utility owners.
- Continue to review relocation design SVP, Palo Alto Power, and communications companies and coordinate relocation field work.
- Continue communication relocations in all Segments.
- Continue SVP and Palo Alto Power relocations in Segment 3.
- Continue to coordinate de-energization and relocation of parallel power facilities with PG&E and SVP to enable foundation construction.
- Conduct monthly and weekly utility meeting with utility owners.

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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 (easements). There are two larger full acquisition areas required for wayside facilitates. 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:

- One for which the appraisal has been completed and the offer is pending.
  - BBII need date is October 2019.
- One in Segment 3 for which we are applying for a permit from Santa Clara Valley Water District (SCVWD).
- One parcel in Segment 2.
  - The site is owned by UPRR, which has issued a permit.
- Four that are in redesign.
  - SWS-1, needed in February 2019.
    - Owned by SamTrans, which has agreed to issue a permit upon approval of design.
  - One parcel in Segment 4, needed in February 2019.

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 needs as soon as possible.
  - BBII must justify and JPB must approve all new parcels.
- Design needs to progress to enable BBII to identify exact acquisition areas.
- Staff is conducting pre-acquisition activities as appropriate.
- JPB has approved four new parcels to date.

Activity This Month

- Sent updated First Written Offer (FWO) package to Willowbend.
- Staff reviewing potential new pole locations and providing feedback to the design team.
- Commencement of appraisal for KB Homes.
- Working with property owners for Segment 3 and 4 to enable potholing.
- Reviewing parcel acquisition options for Marchese parcel with SCVWD. Working with City of San Jose and Diridon Hospitality to finalize design. Met with Diridon

Hospitality and we are moving forward with redesign. Follow up conference calls with Diridon Hospitality.

- Actively working with SVP to de-energize and install foundations.
- Met with new property owner at former Tripp parcel to resolve an encroachment in JPB right of way.
- Staff is actively working with PG&E and VTA to gain access to their properties for potholing.
- Finalizing appraisal map for Britannia Gateway.
- Working with UPRR on encroachment permit and/or easement.

Activity Next Month

- Continue to negotiate for all open parcels.
- Obtain encroachment permit from SCVWD.
- Meet with property owner for Phan parcel to update legal descriptions and deeds for the modified design.
- Continue to coordinate with SVP, VTA and SCVWD options for foundation installations.
- Finalize design for Diridon Hospitality.
- Work with City of San Jose to resolve underlying street interests.
- Present updated appraisal maps to PG&E for their approval regarding the Britannia Gateway parcel.
- Continue to work with Segment 3 and 4 owners for early access to pothole.
- Make offers on the parcel for which appraisals have been completed.
- Actively participate in Foundation/Pothole and Gannett Fleming weekly meetings.
- 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.

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16.0 GOVERNMENT AND COMMUNITY AFFAIRS

The Community Relations and Outreach team coordinates all issues with all jurisdictions, partner agencies, government organizations, businesses, labor organizations, local agencies, residents, community members, other interested parties, and the media. In addition, the team oversees the BBII's effectiveness in implementing its Public Involvement Program. The following PCEP-related external affairs meetings took place this month:

Presentations/Meetings

- San Mateo County Economic Development Association
- Redwood City/San Mateo County Chamber of Commerce
- Mission Bay Citizen's Advisory Committee
- San Jose Diridon Station Outreach
- Redwood City Station Outreach

Third Party/Stakeholder Actions

- Palo Alto Paralleling Station 5 (PS-5) DCN 102 Design Drawings

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17.0 DISADVANTAGED BUSINESS ENTERPRISE (DBE) PARTICIPATION AND LABOR STATISTICS

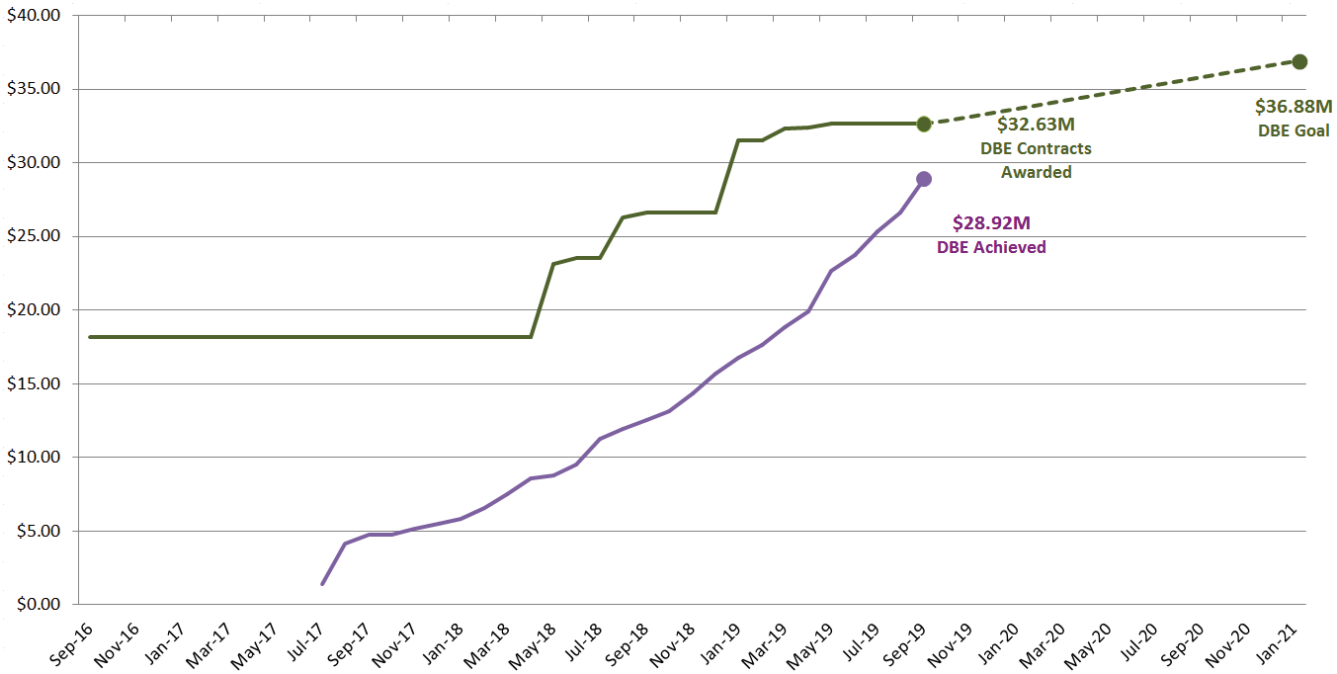
BBII proposed that 5.2% ($36,884,154) of the total DB contract value ($709,310,651) would be subcontracted to DBEs.

Activity This Month

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

- **$28,921,028** has been paid to DBE subcontractors.
- **4.1%** has been achieved.

Figure 17-1 DBE Participation



Activity Next Month

In order to reach the 5.2% DBE participation goal, BBII has proposed the following key actions:

"In the month of October, 2019, 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."

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18.0 PROCUREMENT

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

- None

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

- None

Contract Awards this Month:

- 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:

- RFP – Pantograph Monitoring and Inspection System
- RFQ – Scissor Lift Work Platform

Existing Contracts Amendments Issued:

- None

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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)

Date	Milestone
2018	Completed all PG&E agreements
	JPB approves contract award to Mitsui for the purchase of electric locomotives and Amtrak for overhaul services, storage, acceptance testing, training, and shipment of locomotive to CEMOF
	JPB approves authorization for the Executive Director to negotiate final contract award to ProVen for tunnel modifications and track rehabilitation project
	JPB approves contract award (LNTP) to ProVen for tunnel modifications
	Issued NTP to ProVen for tunnel modifications (October)
	Amended contract with ProVen to include OCS in the tunnels (November)
2019	JPB approves contract award to ProVen for CEMOF modifications (February)
	JPB approves LNTP to ProVen for CEMOF modifications (April)
	JPB approves NTP to ProVen for CEMOF modifications (September)

APPENDICES

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Appendix A – Acronyms

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

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

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**

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Appendix B – Funding Partner Meetings

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Funding Partner Meeting Representatives

Updated September 30, 2019

Agency	CHSRA	MTC	SFCTA/SFMTA/CCSF	SMCTA	VTA
FTA Quarterly Meeting	• Bruce Armistead • Boris Lipkin • Simon Whitehorn • Ian Ferrier (info only) • Wai Siu (info only)	• Anne Richman	• Luis Zurinaga	• April Chan • Peter Skinner	• Jim Lawson
Funding Partners Quarterly Meeting	• Bruce Armistead • Boris Lipkin • Simon Whitehorn • John Popoff	• Trish Stoops	• Luis Zurinaga	• April Chan • Peter Skinner	• Krishna Davey
Funding Oversight (monthly)	• Kelly Doyle	• Anne Richman • Kenneth Folan	• Anna LaForte • Maria Lombardo • Luis Zurinaga • Monique Webster • Ariel Espiritu Santo	• April Chan • Peter Skinner	• Jim Lawson • Marcella Rensi • Michael Smith
Change Management Board (monthly)	• Bruce Armistead • Boris Lipkin • Simon Whitehorn	• Trish Stoops • Kenneth Folan	• Luis Zurinaga • Tilly Chang (info only)	• Joe Hurley	• Krishna Davey • Jim Lawson • Nuria Fernandez (info only)
Master Program Schedule Update (monthly)	• Ian Ferrier • Wai Siu	• Trish Stoops	• Luis Zurinaga	• Joe Hurley	• Jim Lawson
Risk Assessment Committee (monthly)	• Ian Ferrier • Wai Siu	• Trish Stoops	• Luis Zurinaga	• Joe Hurley	• Krishna Davey
PCEP Delivery Coordination Meeting (bi-weekly	• Ian Ferrier	• Trish Stoops	• Luis Zurinaga	• Joe Hurley	• Krishna Davey
Systems Integration Meeting (bi-weekly	• Ian Ferrier • Wai Siu	• Trish Stoops	• Luis Zurinaga	• Joe Hurley	• Krishna Davey

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Appendix C – Schedule

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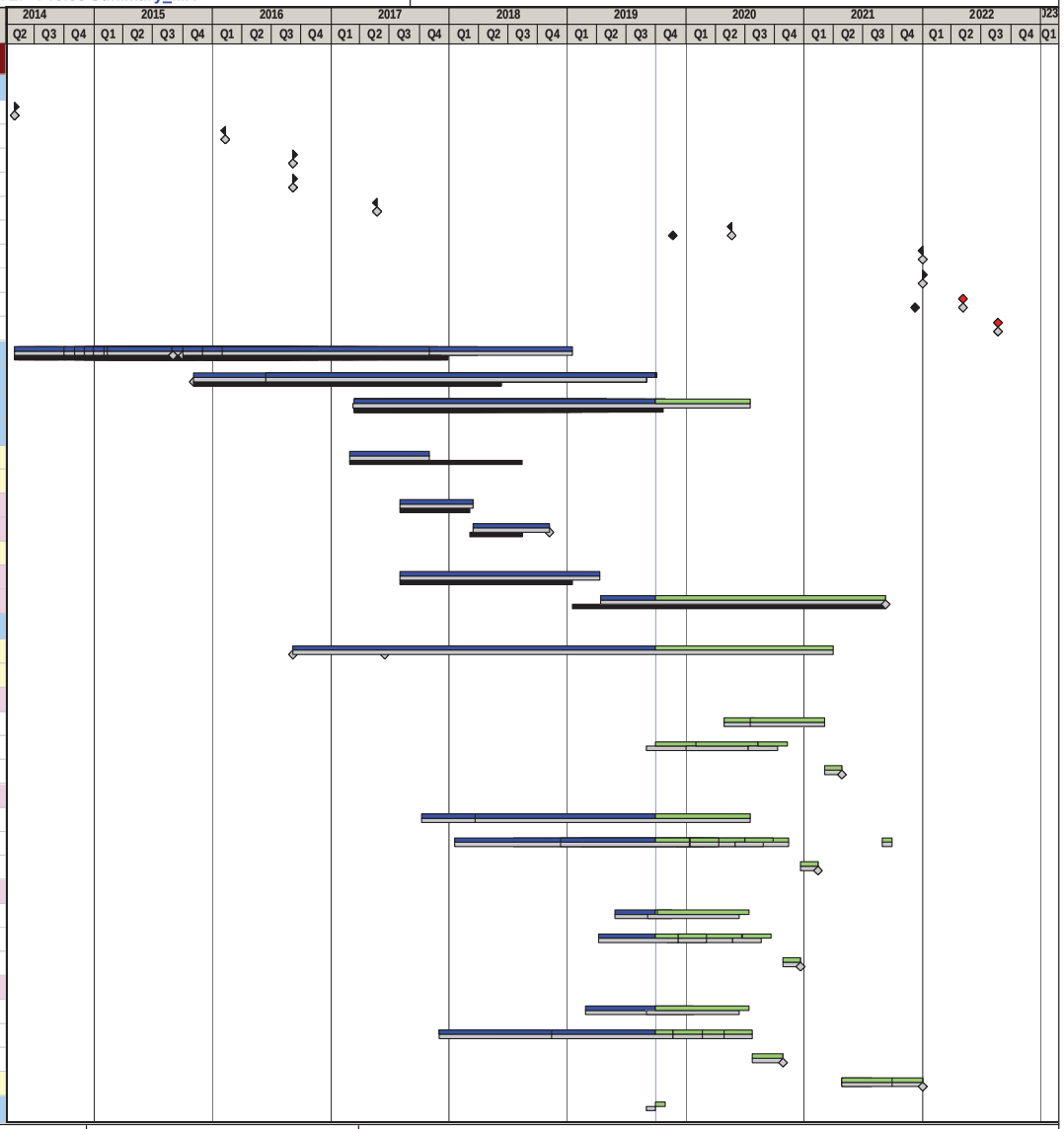
MASTER PROGRAM SCHEDULE C18.08 | _PCEP C18.08 Summary_MR | 10-21-19 14:06

#	Activity Name	Duration	Start	Finish
1	**MASTER PROGRAM SCHEDULE C18.08**	2168d	05-01-14 A	08-22-22
2	**MILESTONES**	2168d	05-01-14 A	08-22-22
3	Start	0d	05-01-14 A	
4	NEPA Reevaluation Complete	0d		02-11-16 A
5	LNTP to Electrification Contractor	0d	09-06-16 A	
6	LNTP to Vehicle Manufacturer	0d	09-06-16 A	
7	FTA Issues FFGA	0d		05-23-17 A
8	Segment 4 (incl. Test Track) Complete	0d		05-22-20
9	Electrification Substantial Completion	0d		12-31-21
10	Start Phased Revenue Service	0d	01-03-22	
11	Revenue Service Date (RSD) w/out Risk Contingency	0d		05-06-22
12	Revenue Service Date (RSD) w/ Risk Contingency (FFGA RSD)	0d		08-22-22
13	**PLANNING / APPROVALS**	1230d	05-01-14 A	01-16-19 A
14	**REAL ESTATE ACQUISITION**	991d	11-05-15 A	10-01-19
15	**OVERHEAD UTILITY RELOCATION (Various)**	852d	03-10-17 A	07-17-20
16	**PG&E INFRASTRUCTURE**	1151d	03-01-17 A	09-09-21
17	**INTERCONNECT (Feasibility Study)**	171d	03-01-17 A	10-31-17 A
18	**INTERIM POWER**	322d	08-01-17 A	11-05-18 A
19	***DESIGN & PERMITTING***	159d	08-01-17 A	03-16-18 A
20	***CONSTRUCTION***	164d	03-16-18 A	11-05-18 A
21	**PERMANENT POWER**	1044d	08-01-17 A	09-09-21
22	***DESIGN & PERMITTING***	431d	08-01-17 A	04-12-19 A
23	***CONSTRUCTION***	612d	04-15-19 A	09-09-21
24	**ELECTRIFICATION (BBII)**	1389d	09-06-16 A	12-31-21
25	**DESIGN**	1192d	09-06-16 A	03-31-21
26	**CONSTRUCTION**	1453d	10-09-17 A	09-30-21
27	***Segment 1***	574d	10-01-19	04-26-21
28	**OCS**	309d	04-29-20	03-03-21
29	**Traction Power**	406d	10-01-19	11-09-20
30	**Segment Testing**	54d	03-04-21	04-26-21
31	***Segment 2***	1453d	10-09-17 A	09-30-21
32	**OCS**	1015d	10-09-17 A	07-19-20
33	**Traction Power**	1351d	01-19-18 A	09-30-21
34	**Segment Testing**	54d	12-19-20	02-11-21
35	***Segment 3***	621d	04-09-19 A	12-19-20
36	**OCS**	415d	05-28-19 A	07-15-20
37	**Traction Power**	532d	04-09-19 A	09-21-20
38	**Segment Testing**	54d	10-27-20	12-19-20
39	***Segment 4***	1061d	12-01-17 A	10-26-20
40	**OCS**	507d	02-25-19 A	07-15-20
41	**Traction Power**	969d	12-01-17 A	07-26-20
42	**Segment Testing**	92d	07-27-20	10-26-20
43	**TESTING**	249d	04-26-21	12-31-21
44	**DRILL TRACK (TASI)**	20d	10-01-19	10-28-19



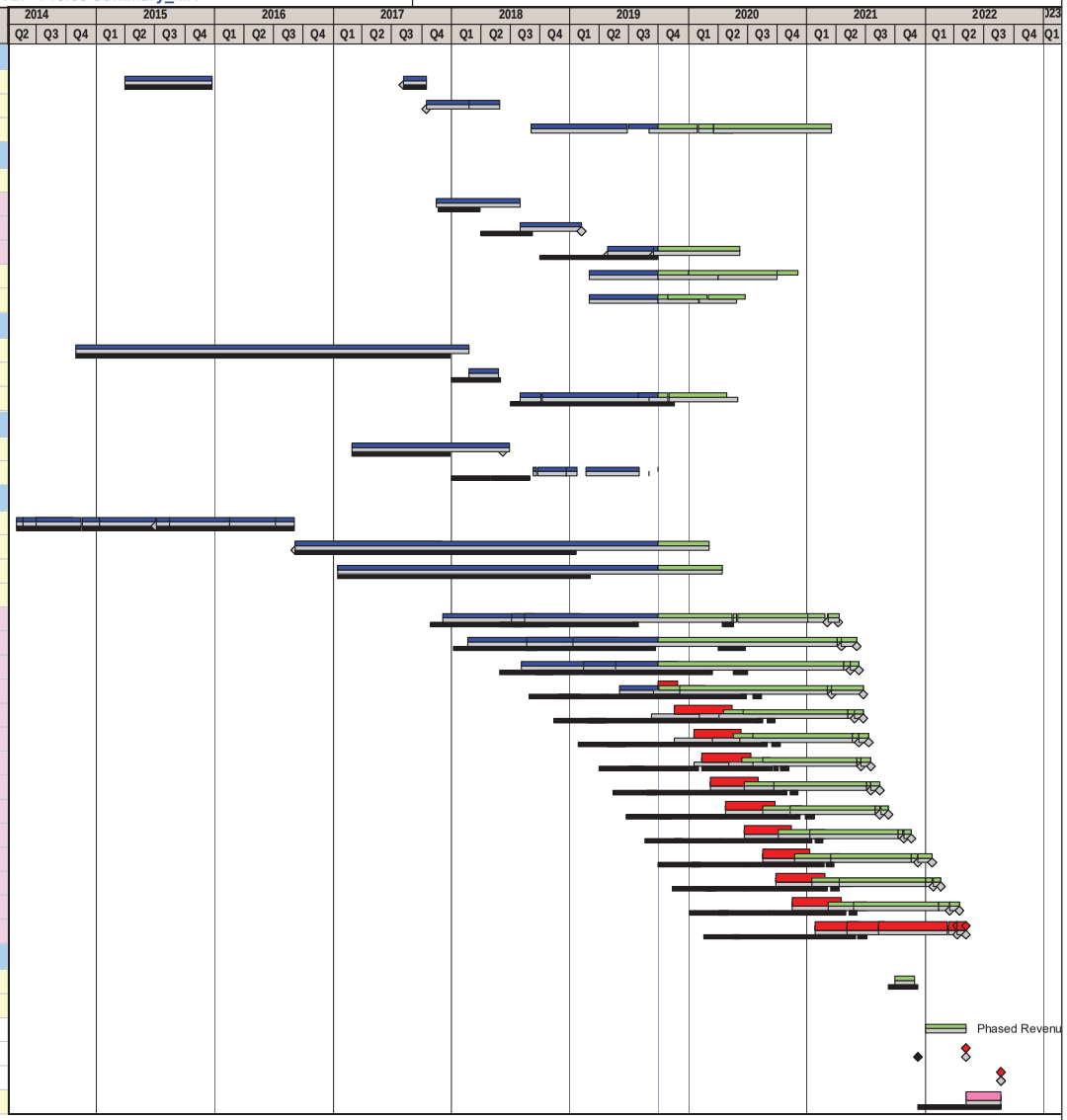
Actual Level of Effort | Progress | Critical | Prog Plan (C16.00) | Risk Contingency
Prog Plan (C16.00) | Remaining | Start Milestone | Last Months Update
Last Months Update | Near Critical | Finish Milestone | Critical Milestone

Filename: _C18.08 102119

SEPTEMBER 2019 SCHEDULE UPDATE IS DRAFT UNTIL FINALIZED AT OCTOBER 2019 MONTH END

MASTER PROGRAM SCHEDULE C18.08 | _PCEP C18.08 Summary_MR | 10-21-19 14:06

#	Activity Name	Duration	Start	Finish
45	**SCADA (Arinc)**	1518d	03-30-15 A	03-19-21
46	**PREPARE SOLE SOURCE & AWARD**	649d	03-30-15 A	10-16-17 A
47	**DESIGN**	157d	10-16-17 A	05-31-18 A
48	**IMPLEMENTATION, TEST, INSTALL & CUTOVER**	646d	09-04-18 A	03-19-21
49	**CEMOF (Various)**	796d	11-16-17 A	12-03-20
50	**CEMOF MODIFICATIONS (ProVen)**	669d	11-16-17 A	06-09-20
51	***DESIGN***	178d	11-16-17 A	07-31-18 A
52	***BID & AWARD***	132d	08-01-18 A	02-07-19 A
53	***CONSTRUCTION***	292d	04-29-19 A	06-09-20
54	**PANTORGRAPH INSPECTION & MONITORING SYSTEM (Ctr TBD)**	448d	03-01-19 A	12-03-20
55	**SCISSOR LIFT WORK PLATFORM (Ctr TBD)**	338d	03-01-19 A	06-26-20
56	**TUNNEL MODIFICATION (ProVen)**	1435d	10-31-14 A	04-30-20
57	**DESIGN**	840d	10-31-14 A	02-22-18 A
58	**BID & AWARD**	66d	02-23-18 A	05-25-18 A
59	**CONSTRUCTION**	457d	08-01-18 A	04-30-20
60	**ELECTRIC LOCOMOTIVE (Amtrak / Mitsui)**	674d	03-01-17 A	10-01-19
61	**BID & AWARD**	348d	03-01-17 A	06-29-18 A
62	**REHAB / TEST/ TRAIN / SHIP**	276d	09-10-18 A	10-01-19
63	**EMU (Stadler)**	2092d	05-01-14 A	05-06-22
64	**DEVELOP RFP, BID & AWARD**	612d	05-01-14 A	09-02-16 A
65	**DESIGN**	913d	09-06-16 A	03-05-20
66	**PROCUREMENT (Material)**	849d	01-16-17 A	04-16-20
67	**MANUFACTURING & TESTING**	1155d	12-04-17 A	05-06-22
68	***TRAINSET 1***	875d	12-04-17 A	04-09-21
69	***TRAINSET 2***	857d	02-22-18 A	06-04-21
70	***TRAINSET 3***	745d	08-06-18 A	06-11-21
71	***TRAINSET 4***	540d	06-03-19 A	06-25-21
72	***TRAINSET 5***	420d	11-18-19	06-25-21
73	***TRAINSET 6***	385d	01-20-20	07-09-21
74	***TRAINSET 7***	375d	02-10-20	07-16-21
75	***TRAINSET 8***	375d	03-09-20	08-13-21
76	***TRAINSET 9***	360d	04-27-20	09-10-21
77	***TRAINSET 10***	370d	06-22-20	11-19-21
78	***TRAINSET 11***	375d	08-17-20	01-21-22
79	***TRAINSET 12***	365d	09-28-20	02-18-22
80	***TRAINSET 13***	370d	11-16-20	04-15-22
81	***TRAINSET 14***	335d	01-25-21	05-06-22
82	**TESTING & STARTUP (JPB)**	232d	10-01-21	08-22-22
83	**PRE-REVENUE TESTING**	61d	10-01-21	11-30-21
84	**REVENUE OPERATIONS**	166d	01-03-22	08-22-22
85	Phased Revenue Service	90d	01-03-22	05-06-22
86	Revenue Service Date (RSD) w/out Risk Contingency	0d		05-06-22
87	Revenue Service Date (RSD) w/ Risk Contingency (FFGA RSD)	0d		08-22-22
88	**RISK CONTINGENCY**	108d	05-07-22	08-22-22



Actual Level of Effort | Progress | Critical | Prog Plan (C16.00) | Risk Contingency
Prog Plan (C16.00) | Remaining | Start Milestone | Last Months Update
Last Months Update | Near Critical | Finish Milestone | Critical Milestone

Filename: _C18.08 102119

SEPTEMBER 2019 SCHEDULE UPDATE IS DRAFT UNTIL FINALIZED AT OCTOBER 2019 MONTH END

Appendix D – Standard Cost Codes

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Description of Work	Approved Budget (A)	Cost This Month[1] (B)	Cost To Date (C)	Estimate To Complete (D)	Estimate At Completion (E) = (C) + (D)
10 - GUIDEWAY & TRACK ELEMENTS	**$28,143,966**	**($1,543,070)**	**$22,857,688**	**$5,476,065**	**$28,333,753**
10.02 Guideway: At-grade semi-exclusive (allows cross-traffic)	$2,500,000	$0	$66,807	$2,533,193	$2,600,000
10.07 Guideway: Underground tunnel	$25,643,966	($1,543,070)	$22,790,881	$2,942,872	$25,733,753
10.07 Allocated Contingency	$0	$0	$0	$0	$0
30 - SUPPORT FACILITIES: YARDS, SHOPS, ADMIN. BLDGS	**$7,050,777**	**$281,057**	**$1,138,912**	**$5,911,865**	**$7,050,777**
30.03 Heavy Maintenance Facility	$6,550,777	$281,057	$1,138,912	$5,411,865	$6,550,777
30.03 Allocated Contingency	$0	$0	$0	$0	$0
30.05 Yard and Yard Track	$500,000	$0	$0	$500,000	$500,000
40 - SITEWORK & SPECIAL CONDITIONS	**$265,429,560**	**$6,725,343**	**$140,188,977**	**$125,662,056**	**$265,851,032**
40.01 Demolition, Clearing, Earthwork	$3,077,685	$975,000	$3,921,000	($843,315)	$3,077,685
40.02 Site Utilities, Utility Relocation	$91,128,599	$4,660,561	$61,680,449	$27,275,151	$88,955,599
40.02 Allocated Contingency	($0)	$0	$0	($0)	($0)
40.03 Haz. mat'l, contam'd soil removal/mitigation, ground water treatments	$2,200,000	$0	$3,800,000	$994,473	$4,794,473
40.04 Environmental mitigation, e.g. wetlands, historic/archeologic, parks	$32,579,208	$45,000	$1,493,045	$31,086,163	$32,579,208
40.05 Site structures including retaining walls, sound walls	$568,188	$0	$0	$568,188	$568,188
40.06 Pedestrian / bike access and accommodation, landscaping	$764,933	$0	$0	$764,933	$764,933
40.07 Automobile, bus, van accessways including roads, parking lots	$284,094	$0	$0	$284,094	$284,094
40.08 Temporary Facilities and other indirect costs during construction	$114,216,852	$1,044,781	$69,294,484	$45,122,368	$114,416,852
40.08 Allocated Contingency	$20,610,000	$0	$0	$20,410,000	$20,410,000
50 - SYSTEMS	**$521,476,559**	**$8,753,048**	**$105,704,761**	**$426,258,442**	**$531,963,202**
50.01 Train control and signals	$99,483,668	$1,740,189	$16,753,873	$82,789,586	$99,543,459
50.01 Allocated Contingency	$0	$0	$0	$0	$0
50.02 Traffic signals and crossing protection	$23,879,905	$0	$0	$23,879,905	$23,879,905
50.02 Allocated Contingency	$1,140,000	$0	$0	$1,140,000	$1,140,000
50.03 Traction power supply: substations	$72,744,787	$2,055,483	$25,678,484	$59,351,622	$85,030,106
50.03 Allocated Contingency	$27,990,895	$0	$0	$27,990,895	$27,990,895
50.04 Traction power distribution: catenary and third rail	$274,335,624	$4,899,387	$63,214,414	$222,266,466	$285,480,880
50.04 Allocated Contingency	$14,338,381	$0	$0	$1,334,659	$1,334,659
50.05 Communications	$5,455,000	$57,989	$57,989	$5,397,011	$5,455,000
50.07 Central Control	$2,090,298	$0	$0	$2,090,298	$2,090,298
50.07 Allocated Contingency	$18,000	$0	$0	$18,000	$18,000
60 - ROW, LAND, EXISTING IMPROVEMENTS	**$35,675,084**	**$67,335**	**$18,409,665**	**$17,265,420**	**$35,675,084**
60.01 Purchase or lease of real estate	$25,927,074	$67,335	$18,281,091	$7,645,984	$25,927,074
60.01 Allocated Contingency	$8,748,010	$0	$0	$8,748,010	$8,748,010
60.02 Relocation of existing households and businesses	$1,000,000	$0	$128,574	$871,426	$1,000,000
70 - VEHICLES (96)	**$625,680,624**	**$14,506,961**	**$169,414,219**	**$454,809,752**	**$624,223,971**
70.03 Commuter Rail	$591,541,609	$14,506,961	$168,922,969	$422,532,565	$591,455,534
70.03 Allocated Contingency	$7,235,083	$0	$0	$5,864,506	$5,864,506
70.06 Non-revenue vehicles	$8,140,000	$0	$491,250	$7,648,750	$8,140,000
70.07 Spare parts	$18,763,931	$0	$0	$18,763,931	$18,763,931
80 - PROFESSIONAL SERVICES (applies to Cats. 10-50)	**$330,222,946**	**$3,596,263**	**$283,685,479**	**$54,869,737**	**$338,555,216**
80.01 Project Development	$130,350	$0	$280,180	($149,830)	$130,350
80.02 Engineering (not applicable to Small Starts)	$187,058,830	$745,027	$195,365,837	($2,914,368)	$192,451,469
80.02 Allocated Contingency	$230,308	$0	$0	$549,119	$549,119
80.03 Project Management for Design and Construction	$74,332,188	$1,399,018	$65,832,863	$11,120,144	$76,953,008
80.03 Allocated Contingency	$8,000,396	$0	$0	$8,000,396	$8,000,396
80.04 Construction Administration & Management	$25,347,671	$787,683	$12,960,194	$18,296,869	$31,257,063
80.04 Allocated Contingency	$17,867,277	$0	$0	$11,957,886	$11,957,886
80.05 Professional Liability and other Non-Construction Insurance	$4,543,588	$641,308	$4,543,588	$0	$4,543,588
80.06 Legal; Permits; Review Fees by other agencies, cities, etc.	$6,341,599	$19,354	$4,670,794	$1,670,805	$6,341,599
80.06 Allocated Contingency	$556,000	$0	$0	$556,000	$556,000
80.07 Surveys, Testing, Investigation, Inspection	$3,388,781	$3,874	$32,022	$3,356,759	$3,388,781
80.08 Start up	$1,797,957	$0	$0	$1,797,957	$1,797,957
80.08 Allocated Contingency	$628,000	$0	$0	$628,000	$628,000
Subtotal (10 - 80)	**$1,813,679,516**	**$32,386,937**	**$741,399,699**	**$1,090,253,337**	**$1,831,653,036**
90 - UNALLOCATED CONTINGENCY	**$107,092,780**	**$0**	**$0**	**$89,119,260**	**$89,119,260**
Subtotal (10 - 90)	**$1,920,772,296**	**$32,386,937**	**$741,399,699**	**$1,179,372,597**	**$1,920,772,296**
100 - FINANCE CHARGES	**$9,898,638**	**$140,000**	**$5,920,070**	**$3,978,568**	**$9,898,638**
Total Project Cost (10 - 100)	**$1,930,670,934**	**$32,526,937**	**$747,319,770**	**$1,183,351,164**	**$1,930,670,934**

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Appendix E – Change Order Logs

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Change Order Logs

Electrification Contract

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

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

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)	$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
7/1/2019	BBI-053-CCO-040B	Increase Quantity for Utilities Potholing (Bid Item #9)	$1,867,700	5.36 %	$25,792,717
7/10/2019	BBI-053-CCO-033A	Relocation of PS3 (Design) - CNPA	$500,000	1.44 %[3]	$25,292,717
8/15/2019	BBI-053-CCO-047	CEMOF Slot Drains (Design Only)	$69,000	0.20%	$25,223,717
8/16/2019	BBI-053-CCO-055	Sheriff's Deputy in Segment 4B	$4,644	0.01%	$25,219,073
9/3/2019	BBI-053-CCO-037	Field Orders for Signal Cable Relocation (FO-053 & FO-059)	$184,576	0.53%	$25,034,497
9/7/2019	BBI-053-CCO-057	Mediator with Technical Expertise	$0	0.00%	$25,034,497
9/27/2019	BBI-053-CCO-061	Interconnect Renaming of Circuit Numbers	$58,058	0.17%	$24,976,439
9/27/2019	BBI-053-CCO-063A	Track Access Delays - Quarter 1 2018 (Partial)	$343,496	0.99%	$24,632,943
		Total	**$27,649,770**	**29.28 %**	**$24,632,943**

Notes:

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

EMU Contract

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

Date	Change Number	Description	CCO Amount	Change Order Authority Usage[1]	Remaining Authority
09/22/2017	STA-056-CCO 001	Contract General Specification and Special Provision Clean-up	$0	0.00%[2]	-
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%[2]	-
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%[2]	-
12/12/2017	STA-056-CCO 006	Prototype Seats and Special Colors	($27,500)	(0.10%)	$26,669,473
01/17/2018	STA-056-CCO 007	Multi-Color Destination Signs	$130,760	0.47%	$26,538,713
02/09/2018	STA-056-CCO-008	Adjustment to Delivery and LDs due to delayed FNTP	$490,000	0.00%[2]	-
02/12/2018	STA-056-CCO-009	Ship Cab Mock-up to Caltrain	$53,400	0.19%	$26,485,313

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
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%[2]	-
10/29/2018	STA-056-CCO-012	Multiple Change Group 4	$0	0.00%[2]	-
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
		Total	**$176,199,485**	**10.56 %**	**$24,635,535**

Notes:

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

SCADA Contract

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

Date	Change Number	Description	CCO Amount	Change Order Authority Usage[1]	Remaining Authority
	None to date				
		Total	**$0**	**0.00%**	**$517,038**

Notes:

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

Tunnel Modifications Contract

Change Order Authority (10% of ProVen Contract[1]) **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 %	$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 %	$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
		Total	**$385,289**	**7.00 %**	**$5,122,489**

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.

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
	None to date				
		Total	**$0**	**0.00%**	**$655,078**

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.

Appendix F – Risk Table

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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 CWT modifications within budget and schedule.	Delay and additional cost for rework.
313	Contractor's incorrect sequencing of early utility location, preliminary design, final design, foundation construction, and communication of utility information to sub-contractors may result in inefficiencies in construction, redesign, and reduced production rates.	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.	More differing site conditions and longer to resolve. Extends construction of foundations and the OCS system and results in less efficient construction of foundations.
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.
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
257	Potential that modifications to the PTC database and signal software are not completed in time for cutover and testing.	Failure to follow the Configuration Management process will result in delays to completing PCEP signal cutovers. This could delay milestone completion as well as project substantial completion.
267	Additional property acquisition is necessitated by change in design.	New project costs and delays to schedule.
273	Contractor generates hazardous materials, that necessitates proper removal and disposal in excess of contract allowances and expectations.	Delay to construction while removing and disposing of hazardous materials resulting in schedule delay, increased construction costs, and schedule delay costs.
308	Rejection of DVR for ATF and static wires results in cost and schedule impacts to PCEP.	Delay and delay claims

ID	RISK DESCRIPTION	EFFECT(S)
298	Changes to PTC implementation schedule could delay completion of the electrification work. Cost and schedule of BBII contract could increase as a result of change in PTC system	1. Changes in datafiles could affect what Balfour provides; could delay timing for testing; could change books that FRA had to review. 2. Full integrated testing between EMU and wayside cannot be conducted without PTC in place. 3. Delays to completion of signal system could result in conflicts with PTC testing and PCEP construction and integrated testing. 4. Potential for track access impacts due to PTC testing.
309	Potential that vehicles will not receive timely notification from FRA of compliance with acceptable alternate crash management standards	Delays to completion of construction and additional cost to changes in design.
209	TASI may not have sufficient number of signal maintainers for testing.	• Delays to construction/testing. • Delays to completion of infrastructure may delay acceptance of vehicles
302	May not have a 110-mph electrified section of track that will be ready for testing for final acceptance of vehicle.	Contract with Stadler implies readiness of Electrification Project and track upgrades for EMU testing Delays in testing may increase Caltrain costs.
10	Potential for Stadler's sub-suppliers to fall behind schedule or delays in parts supply chain result in late completion of vehicles.	• 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)
14	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.
240	Property not acquired in time for contractor to do work. Property Acquisition not complete per contractor availability date <>Fee <>Easement <>Contract stipulates that if parcels are not available by contract date, there is only a delay if parcels are not available by the time contractor completes the Segment	• Potential delays in construction schedule

ID	RISK DESCRIPTION	EFFECT(S)
263	Collaboration across multiple disciplines to develop a customized rail activation program may fail to comprehensively address the full scope of issues required to operate and maintain an electrified railroad and decommission the current diesel fleet.	Delay in testing of EMUs. Delay in Revenue Service Date. Additional costs for Stadler and BBII due to overall schedule delays.
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
312	Project executed the OCS Option; increase in procurement durations for necessary OCS Parts (Conductor Rail) has led to an associated increase in costs and schedule duration for the overall project	Additional cost to project, primarily from additional bus bridges.
315	Increased oversight and schedule risk associated with Stadler plan to move carshell manufacturing to a new Switzerland facility	Increased PCEP oversight costs possible trainset delivery schedule slippage
67	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
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.
136	UP reviews of BBI design may extend project duration.	Delays to completion of design and claims for delay.
261	EMU electromechanical emissions and track circuit susceptibility are incompatible.	Changes on the EMU and/or signal system require additional design and installation time and expense.
277	Inadequate D-B labor to support multiple work segments	Additional cost and time
281	Additional work in the form of signal/pole adjustments may be required to remedy sight distance impediments arising from modifications to original design.	Add repeater signals, design duct bank would result in increased design and construction costs.
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

ID	RISK DESCRIPTION	EFFECT(S)
287	Design changes may necessitate additional implementation of environmental mitigations not previously budgeted.	Increased cost for environmental measures and delays to construct and overall delay in construction schedule
295	ProVen may not be able to complete termination structures prior to Balfour completing Segment 1.	Delays to completion of construction and associated claims costs.
296	BBII needs to complete interconnection and traction power substations be sufficiently complete to accept interim power	Delay in testing and increased costs
13	Vehicle manufacturer could default.	Prolonged delay to resolve issues (up to 12 months) Increase in legal expenses Potential price increase to resolve contract issue
12	Potential for electromagnetic interference (EMI) to private facilities with sensitive electronic equipment caused by vehicles.	• Increased cost due to mitigation • Potential delay due to public protests or environmental challenge.
56	Lack of operations personnel for testing.	• Testing delayed. • Change order for extended vehicle acceptance.
88	Construction safety program fails to sufficiently maintain safe performance.	Work stoppages due to safety incidents resulting in schedule delay and additional labor costs.
161	Unanticipated costs to provide alternate service (bus bridges, etc.) during rail service disruptions.	Cost increase.
183	Installation and design of new duct bank takes longer because of UP coordination	Schedule - Delay. May need to use condemnation authority to acquire easement. Cost - Additional cost for PG&E to make connections increasing project costs
247	Timely resolution of 3rd party design review comments to achieve timely approvals	Delay to completion of design and associated additional labor costs.
270	OCS poles or structures as designed by Contractor fall outside of JPB row	Additional ROW Take, additional cost and time
294	UP does not accept catenary pole offsets from centerline of track necessitating further negotiation or relocation of poles	Delay to construction and additional costs for redesign and ROW acquisition.

ID	RISK DESCRIPTION	EFFECT(S)
82	Unexpected restrictions could affect construction progress: <> night work <> noise <> local roads <> local ordinances	• Reduced production rates. • Delay
119	Coordination of electrification design with Operations	• Qualified individuals may not be available. • Training may take longer than anticipated.
241	Segment 4 substantially complete (Segment 4, TPS-2, Interconnect) may not be installed prior to scheduled exercising of EMUs	Inability to exercise EMUs
253	Risk that existing conditions of Caltrans-owned bridges will not support bridge barriers. The existing bridge conditions and structural systems are unknown and may not support mounting new work Design will need to prove new barriers will not impact existing capacity of the bridges prior to Caltrans's approval for construction. Without approval of design and issuance of permit, there is risk to the schedule for the work and also budget if during design existing bridge will require some upgrades due to the introduction of new attachments.	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.
11	Risks in achieving acceptable vehicle operations performance: <> software problems <> electrical system problems <> mechanical problems <> systems integration problems Increased issues lately with vehicles regarding system integration and compatibility.	Cost increase. Delays vehicle acceptance Potential spill-over to other program elements
16	Inter-operability issues with diesel equipment.	Cost increase.
31	New cars possibly not reliable enough to be put into service as scheduled	Operating plan negatively impacted
78	Need for unanticipated, additional ROW for new signal enclosures.	Delay while procuring ROW and additional ROW costs.
171	Electrification facilities could be damaged during testing.	Delay in commencing electrified operations.

ID	RISK DESCRIPTION	EFFECT(S)
190	Track roughness and cant could present problems for European vehicles which are accustomed to a higher class of track bed maintenance. Becomes problematic with concept of specifying "off-the-shelf" design.	Vehicle cost increase. Vehicle delivery delay.
244	Determine that there is sufficient storage for both EMU and Diesel fleets while maintaining Yard/Vehicle operability.	Potential delay in completion of Test & Commissioning due to vehicle movements & logistics
250	Potential for municipalities 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.
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.
259	Work on 25th Avenue Grade Separation Project could delay Balfour construction schedule.	• Increased cost for BBI as catenary construction in this section was anticipated to be constructed under the 25th Avenue Grade Separation Project. • Potential delays in construction schedule • Risk is delay to BBI
271	Need for additional construction easements beyond that which has been provided for Contractor proposed access and staging	Additional cost and time
272	Final design based upon actual Geotech conditions	Could require changes
288	Independent checker finds errors in signal design and technical submittals	Additional cost and time
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.

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.
316	PTC system “freeze periods” during revenue service demonstration periods may delay Balfour activities including: cutovers at new locations, taking signals out of service, making software changes in a location, and spicing into fiber.	Delays and additional costs associated with interruption of efficient work flow.
19	Potential for vehicle delivery to be hampered by international conflict; market disruption; labor strikes at production facility.	Delay in production of vehicle with associated cost implications.
21	EMU production delay. Possible that there are quality issues, failed factory tests, poor integration / control of suppliers.	Schedule Increase - up to 6 months (6 months float already built into 36 month schedule)
27	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.
42	Full complement of EMUs not available upon initiation of electrified revenue service	Late delivery impacts revenue service date.
55	Failure to pass Qualification Testing.	Cost Increase - minimal Schedule delay
61	Latent defects in EMU vehicles.	Unbudgeted costs incurred from legal actions. Repairs take trains out-of-service.
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.

ID	RISK DESCRIPTION	EFFECT(S)
245	Failure of BBI to submit quality design and technical submittals in accordance with contract requirements • $3-$5M/month burn rate for Owner's team during peak	Delays to project schedule and additional costs for preparation and review of submittals.
252	Failure of BBI to order/manufacture long lead items prior to 100% IFC design document approval by JPB	Delays to project schedule and additional cost for contractor and JPB staff time.
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.
8	Requests for change orders after vehicles are in production	Delays to manufacturing of vehicles and additional design and manufacturing costs.
23	Manufacturer cannot control vehicle weight to meet specifications.	Increased operating cost.
25	Potential that vehicles cannot meet requirements for "Mean Time to Repair" (MTTR).	Increased maintenance cost.
32	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.
51	Damage during delivery of first six EMUs.	Schedule delay
53	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)
54	Infrastructure not ready for vehicles (OCS, TPS, Commissioning site / facility).	Increases cost if done off property
69	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
87	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.

ID	RISK DESCRIPTION	EFFECT(S)
106	Potential that DB contractor will have insufficient field resources (personnel or equipment) to maintain aggressive schedule. Multiple segments will need to be under design simultaneously. Labor pool issue. 32 qualified linemen will be needed. Potential there is not enough available. Big storm damage anywhere in US will draw from the pool to make line repairs. Possible shortages with other specialty crafts as well.	Delay.
151	Public could raise negative concerns regarding wheel/rail noise.	Increased cost to mitigate: <> grind rails <> reprofile wheels <> sound walls
182	Compliance with Buy America requirements for 3rd party utility relocations. <>Utility relocations covered under existing Caltrain agreements that require utilities to move that will not have effect on project cost - will not be Buy America <>Installation of new equipment inside PG&E substations that will provide all PG&E customers, about 1/6 of that provides power to our system - is upgrade that benefits all customers subject to Buy America requirements, is it 1/6th, or 100% <>Risk is substation not relocations <>Substation equipment is available domestically, has 6 month longer lead time and increased cost of 20%	• Increased cost • Delay
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	• Delay • Cost increase

ID	RISK DESCRIPTION	EFFECT(S)
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: • Fire, police, and first responders • Local communities • Schools	Safety hazards resulting in incidents that delay construction and increase labor cost. Delays in RSD until training is completed as requirement of safety certification process.
237	JPB needs an agreement with each city in which catenary will be strung over an existing grade crossing (17 in all) under GO 88 (grade crossings). These agreements must be executed subsequent to installing overhead catenary. JPB is preparing a response to CPUC while working with the cities. Delays in reaching agreement could have impacts on schedule and budget.	Not completing the grade crossing diagnostics and getting agreement from the cities on the results can result in delays to necessary approvals for the project and revenue service.
248	3rd party coordination <>Jurisdictions, Utilities, UP, Contractors <>D/B needs to provide timely information to facilitate 3rd party coordination <>Risk is for construction	Delays in approvals resulting in project schedule delays and associated costs.
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.
283	Fluctuation in foreign currency v US dollar	Increase in costs
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.

ID	RISK DESCRIPTION	EFFECT(S)
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
297	Cost and schedule of Stadler contract could increase as a result of this change in PTC system Delay of PTC may delay acceptance of EMUs.	1) Full integrated testing between EMU and wayside cannot be conducted without PTC in place. 2) Delay in EMU final design for PTC and potential PTC interfaces. Need to finalize braking system sequence priority.

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Appendix G – MMRP Status Log

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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.

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 (BUOW) have been conducted from April through 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 surveys conducted to date. Survey reports for the 2017, 2018, and 2019

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						surveys have been submitted to the JPB for the project record. In addition, pre-construction surveys of the potential BUOW habitat areas in Segment 4 are ongoing, and they occur no more than 7 days prior to the onset of construction activities.
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, in 2017, 2018 and again in 2019, prior to project-related activities with the potential to impact nesting birds. Nesting Bird Surveys continued through a portion of this reporting period (they occurred through September 15, 2019), and then they were ceased until the beginning of the 2020 nesting season (February 1, 2020). No new active nests were observed during this reporting period and as of the end of the reporting period, there are no active nests.
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

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						been observed on the Project to date.
BIO-1j: Avoid nesting birds and bats during vegetation maintenance.				**X**	Upcoming	To be completed during Project operation.
BIO-2: Implement serpentine bunchgrass avoidance and revegetation measures.	**X**	**X**	**X**		Complete	Not applicable. Subsequent habitat assessment and avoidance of Communication Hill eliminated any potential to affect serpentine bunchgrass. This measure is no longer needed.
BIO-3: Avoid or compensate for impacts on wetlands and waters.	**X**	**X**	**X**		Complete	The JPB has compensated for unavoidable wetland impacts by purchasing adequate credits from a wetlands mitigation bank approved by USACE and SFRWQCB.
BIO-5: Implement Tree Avoidance, Minimization, and Replacement Plan.	**X**	**X**	**X**		Ongoing	Tree removal and pruning activities were initiated in August 2017 under the guidance of the BBI Arborist, and in accordance with the Tree Avoidance, Minimization, and Replacement Plan. Tree Removal and Pruning status is provided to the JPB on a regular basis.
BIO-6: Pay *Santa Clara Valley Habitat Plan* land cover fee (if necessary).	**X**				Complete	Not applicable. The SCVHP does not apply to the Project because TPS2, Option 1 was not selected and OCS does not extend to Communication Hill. This measure is not needed.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
CUL-1a: Evaluate and minimize impacts on structural integrity of historic tunnels.	X				Upcoming	To be implemented prior to construction in tunnels.
CUL-1b: Minimize impacts on historic decorative tunnel material.	X				Upcoming	To be implemented prior to construction in tunnels. Historic American Engineering Record (HAER) documentation was completed in October 2018, pursuant to this measure.
CUL-1c: Install project facilities in a way that minimizes impacts on historic tunnel interiors.	X				Upcoming	To be implemented prior to construction in tunnels.
CUL-1d: Implement design commitments at historic railroad stations	X				Complete	The Qualified Architectural Historian completed and submitted the HABS Level III documents to the JPB for all seven of the historic stations. Pole placement has been designed to minimize the visual impact to historic stations and all design changes are reviewed by the Environmental Compliance Lead to ensure the mitigation measure is being implemented as the design of the project progresses.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
CUL-1e: Implement specific tree mitigation considerations at two potentially historic properties and landscape recordation, as necessary.	X	X			Complete	It was determined that the project is not acquiring any ROW at either of the subject properties so all tree effects would be within the JPB ROW. Therefore, the APE does not include these two historic properties. This measure is no longer needed.
CUL-1f: Implement historic bridge and underpass design requirements.	X				Ongoing	This measure is being implemented as described during the design process and will be incorporated into the final design. The four bridges that are included in the MMRP are rail bridges crossing over another feature. Design of the OCS system is taking into account that there are requirements that restrict the design. Thus far, the designs for Construction Segments 2 & 4 are in process and designs are not yet complete. The D-B will forward to the Architectural Historian once complete.
CUL-2a: Conduct an archaeological resource survey and/or monitoring of the removal of pavement or other obstructions to determine if historical resources under CEQA or unique archaeological resources under PRC 21083.2 are present.	X				Ongoing	Periodic inspections of ground surface areas along the alignment, in conjunction with cultural monitoring as-needed of project activities in culturally sensitive areas are ongoing. The Archaeological Final Report will be provided at the conclusion of construction activities.

Mitigation Monitoring and Reporting

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

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
CUL-2e: Stop work if cultural resources are encountered during ground-disturbing activities.	**X**	**X**			Ongoing	No prehistoric or historic-period cultural materials have been observed during cultural monitoring.
CUL-2f: Conduct archaeological monitoring of ground-disturbing activities in areas as determined by JPB and SHPO.		**X**			Ongoing	Cultural monitoring as-needed of project activities in culturally sensitive areas is ongoing. The Archaeological Final Report will be provided at the conclusion of construction activities.
CUL-3: Comply with state and county procedures for the treatment of human remains discoveries.		**X**			Ongoing	No human remains have been observed to date on the Project. It should be noted that during this reporting period, an inadvertent discovery occurred during construction activities at Switching Station 1 (SWS-1). During the course of excavation activities, a concentration of bones whose origin was unknown were encountered. Upon a thorough field examination, field archaeologists determined the bones were not human and were not within an archaeological context. A brief memorandum of the evaluation of the find was prepared for the record.

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.

Mitigation Monitoring and Reporting

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	Field activities are being monitored daily for significant color changes or odors which may indicate contamination.
HYD-1: Implement construction dewatering treatment, if necessary.	**X**	**X**			Ongoing	Facilities & BMPs are in place to deal with this requirement should it arise in the OCS foundations.
HYD-4: Minimize floodplain impacts by minimizing new impervious areas for TPFs or relocating these facilities.	**X**				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. The TPFs in Construction Segments 2 & 4 are currently in final design and design for TPFs in Construction Segments 1 & 3 has begun. The design minimizes hardscape only to required structure foundations; yard areas are to receive a pervious material.
HYD-5: Provide for electrical safety at TPFs subject to periodic or potential flooding.	**X**			**X**	Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. The TPFs in Construction Segments 2 & 4 are currently in final design and design for TPFs in Construction Segments 1 & 3 has begun. The design plan currently raises the TPFs above the floodplain.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
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.
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.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
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 impacted intersections for the 2020 Project Condition.	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		
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.
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.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
NOI-CUMUL-2: Conduct project-level vibration analysis for Blended System operations and implement vibration reduction measures as necessary and appropriate for the Caltrain corridor				**X**	In Progress	CHSRA is conducting this analysis as part of the EIR/EIS for the San Francisco to San Jose section.
TRA-CUMUL-1: Implement a phased program to provide traffic improvements to reduce traffic delays near at-grade crossings and Caltrain stations				**X**	Upcoming	This measure will be implemented during project operation.
TRA-CUMUL-2: Implement technical solution to allow electric trolley bus transit across 16th Street without OCS conflicts in cooperation with SFMTA.	**X**				Complete	Not applicable. SFMTA has elected to not electrify the 16th Street crossing. This measure no longer applies.
Mitigation Measure TRA-CUMUL-3: As warranted, Caltrain and freight operators will partner to provide Plate H clearance as feasible between San Jose and Bayshore.				**X**	Upcoming	This measure will be implemented during project operation.
AES-2a: Minimize OCS construction activity on residential and park areas outside the Caltrain ROW.	**X**	**X**			Ongoing	The OCS proposed construction schedule has been provided to the JPB. OCS construction began the week of October 2, 2017. The D-B has used the potholing process to assist in locating conflicts in the 35% design and attempting to relocate OCS pole locations within the ROW, thereby avoiding parks and residential areas.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
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.
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.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
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.
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

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						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.
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

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						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 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.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
BIO-1i: Minimize impacts on Monarch butterfly overwintering sites.	**X**	**X**			Ongoing	The agency-approved Qualified Biologist has periodically monitored the project limits to evaluate the presence of Monarch butterfly overwintering sites. No Monarch butterfly overwintering sites have been observed on the Project to date.
BIO-1j: Avoid nesting birds and bats during vegetation maintenance.				**X**	Upcoming	To be completed during Project operation.
BIO-2: Implement serpentine bunchgrass avoidance and revegetation measures.	**X**	**X**	**X**		Complete	Not applicable. Subsequent habitat assessment and avoidance of Communication Hill eliminated any potential to affect serpentine bunchgrass. This measure is no longer needed.
BIO-3: Avoid or compensate for impacts on wetlands and waters.	**X**	**X**	**X**		Complete	The JPB has compensated for unavoidable wetland impacts by purchasing adequate credits from a wetlands mitigation bank approved by USACE and SFRWQCB.
BIO-5: Implement Tree Avoidance, Minimization, and Replacement Plan.	**X**	**X**	**X**		Ongoing	Tree removal and pruning activities were initiated in August 2017 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 *Santa Clara Valley Habitat Plan* land cover fee (if necessary).	**X**				Complete	Not applicable. The SCVHP does not apply to the Project because TPS2, Option 1 was not selected and OCS does not extend to Communication Hill. This measure is not needed.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
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.
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.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
CUL-1e: Implement specific tree mitigation considerations at two potentially historic properties and landscape recordation, as necessary.	X	X			Complete	It was determined that the project is not acquiring any ROW at either of the subject properties so all tree effects would be within the JPB ROW. Therefore, the APE does not include these two historic properties. This measure is no longer needed.
CUL-1f: Implement historic bridge and underpass design requirements.	X				Ongoing	This measure is being implemented as described during the design process and will be incorporated into the final design. The four bridges that are included in the MMRP are rail bridges crossing over another feature. Design of the OCS system is taking into account that there are requirements that restrict the design. Thus far, the designs for Construction Segments 2 & 4 are in process and designs are not yet complete. The D-B will forward to the Architectural Historian once complete.
CUL-2a: Conduct an archaeological resource survey and/or monitoring of the removal of pavement or other obstructions to determine if historical resources under CEQA or unique archaeological resources under PRC 21083.2 are present.	X				Ongoing	Periodic inspections of ground surface areas along the alignment, in conjunction with cultural monitoring as-needed of project activities in culturally sensitive areas are ongoing. The Archaeological Final Report will be provided at the conclusion of construction activities.

Mitigation Monitoring and Reporting

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

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
CUL-2e: Stop work if cultural resources are encountered during ground-disturbing activities.	**X**	**X**			Ongoing	No prehistoric or historic-period cultural materials have been observed during cultural monitoring.
CUL-2f: Conduct archaeological monitoring of ground-disturbing activities in areas as determined by JPB and SHPO.		**X**			Ongoing	Cultural monitoring as-needed of project activities in culturally sensitive areas is ongoing. The Archaeological Final Report will be provided at the conclusion of construction activities.
CUL-3: Comply with state and county procedures for the treatment of human remains discoveries.		**X**			Ongoing	No human remains have been observed to date on the Project.
EMF-2: Minimize EMI effects during final design, Monitor EMI effects during testing, commission and operations, and Remediate Substantial Disruption of Sensitive Electrical Equipment.	**X**	**X**	**X**		Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. Designs are submitted and reviewed/commented on by JPB. Monitoring EMI effects will occur post construction.
GEO-1: Perform a site-specific geotechnical study for traction power facilities.	**X**				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. Geotechnical studies and results are submitted to JPB as completed.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
GEO-4a: Identification of expansive soils.	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. Geotechnical 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 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.
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.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
HYD-4: Minimize floodplain impacts by minimizing new impervious areas for TPFs or relocating these facilities.	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. The TPFs in Construction Segments 2 & 4 are currently in final design and design for TPFs in Construction Segments 1 & 3 has begun. The design minimizes hardscape only to required structure foundations; yard areas are to receive a pervious material.
HYD-5: Provide for electrical safety at TPFs subject to periodic or potential flooding.	X			X	Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. The TPFs in Construction Segments 2 & 4 are currently in final design and design for TPFs in Construction Segments 1 & 3 has begun. The design plan currently raises the TPFs above the floodplain.
HYD-7: Implement sea level rise vulnerability assessment and adaptation plan.				X	Ongoing	The JPB has initiated this measure and preparation of the sea level rise vulnerability assessment and adaptation plan is underway.
NOI-1a: Implement Construction Noise Control Plan.	X	X			Ongoing	The Noise and Vibration Control Plan has been submitted and is being implemented. Field activity is monitored per the Plan. If allowable noise levels are near or exceed allowable noise levels, mitigation such as blankets are used from that point forward.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
NOI-1b: Conduct site-specific acoustical analysis of ancillary facilities based on the final mechanical equipment and site design and implement noise control treatments where required.	**X**				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. Design is still in process and a noise study is currently being performed.
NOI-2a: Implement Construction Vibration Control Plan.	**X**	**X**			Ongoing	The Noise and Vibration Control Plan has been submitted and is being implemented. Field activity is monitored per the Plan.
PSU-8a: Provide continuous coordination with all utility providers.	**X**	**X**			Ongoing	The design requirements indicated in the measure will be implemented through the final design as described. Coordination with utility providers is ongoing and there have not been any service interruptions thus far.
PSU-8b: Adjust OCS pole foundation locations.	**X**				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described.
PSU-8c: Schedule and notify users about potential service interruptions.	**X**	**X**			Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. There have not been any service interruptions thus far.
PSU-9: Require application of relevant construction mitigation measures to utility relocation and transmission line construction by others.	**X**	**X**			Ongoing	JPB has initiated coordination with PG&E regarding transmission line construction. PG&E is currently raising overcrossing lines in Segment 2.

Mitigation Monitoring and Reporting

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

Mitigation Monitoring and Reporting

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

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
Mitigation Measure TRA-CUMUL-3: As warranted, Caltrain and freight operators will partner to provide Plate H clearance as feasible between San Jose and Bayshore.				**X**	Upcoming	This measure will be implemented during project operation.

PENINSULA CORRIDOR ELECTRIFICATION PROJECT (PCEP)

2020Q1 Quarterly Update #20
July 1 – September 30, 2019

November 7, 2019

PCEP Work Segment Map

CalMod ELECTRIFICATION CONTRACT UPDATE

Signal Status

Signal Locations	Total Number of Locations	Design Percent Complete	Anticipated Design Completion	Installation Percent Complete	Anticipated Installation Complete	Testing Percent Complete	Anticipated Testing Completion
Segment 1	25	15%	12/31/2020	0%	6/30/2021	0%	12/31/2021
Segment 2	105	50%	3/31/2020	10%	9/20/2020	0%	3/31/2021
Segment 3	65	35%	12/31/2020	0%	6/30/2021	0%	12/31/2021
Segment 4	21	75%	3/31/2020	18%	9/20/2020	0%	3/31/2021
Total	216						

- Continued installation of signal ductbank, conduits, signal house and WPC foundations in Segments 2 and 4
- Installed signal house at CP Shark
- Continued fabrication and testing of signal houses
- Submitted for review application logic for Control Points Shark, Delmas, Mack, Michael, Stockton, Alameda, and Auzerais St and Virginia Ave crossings
- Submitted preliminary cutover plans for 4 (out of 9) proposed cutover phases in Segment 4
- Technical meetings weekly to discuss progress of grade crossing design submittals
- Met with FRA (Region 7 and HQ) and CPUC on 8/8/19 and 9/19/19

Caltrain 3

CalMod ELECTRIFICATION CONTRACT UPDATE

Design Progress OCS and Traction Power

Required number of OCS submittals has increased due to breaking up of segments and updated contractual requirements

Design Discipline	OCS			Traction Power		
	Required	Completed Previously	Completed this Period	Required	Completed Previously	Completed this Period
Segment 1	12	2	0	3	1	0
Segment 2	15	12	0	3	2	0
Segment 3	6	3	2	2	1	0
Segment 4	10	11	0	4	4	0
Systemwide	12	10	0	7	7	0
Totals	**55**	**37**	**2**	**19**	**15**	**0**

Note: Data as of September 30, 2019

Caltrain 4

CalMod ELECTRIFICATION CONTRACT UPDATE

OCS Progress

Segment	Work Area	Foundations				Poles			
		Required[a]	Completed as of 6/30	Completed this Period (7/1-9/30)	Total Completed	Required	Completed as of 6/30	Completed this Period (7/1-9/30)	Total Completed
1	Tunnels	32[d]	32[d]	0	32[d]	32	0	0	0
	A	309	0	May 2020[b]	0	259	0	0	0
	B	237	0	May 2020[b]	0	177	0	0	0
2	5	243[c]	184	0	184	208	160	0	160
	4	**314**	243	0	243	253	186	0	186
	3	**174**[c]	60	0	60	140	30	**6**	**36**
	2	248	74	0	78[e]	205	10	**44**	**54**
	1	206	78	0	79[e]	154	0	**26**	**26**
3	2	514	0	**Oct 2019[b]**	0	442	0	0	0
	1	390	171	**182**	**353**	311	0	0	0
4	A	244	72	**79**	**151**	180	0	**46**	**46**
	B	131	70	0	70	124	0	**47**	**47**
	CEMOF	112	0	Jan 2020[b]	0	102	0	0	0
Total:		**3,154**	**984**	**261**	**1,250**	**2,587**	**386**	**169**	**555**

Note: [a] Foundations Required do not match Poles Required as guy foundations are needed in some locations for extra support.
[b] Planned Start Date
[c] 55 foundations in S2WA5 will be installed by SSF and 64 foundations in S2WA3 will be installed by 25th Avenue.
[d] The number of foundations for the Tunnels Project reduced from 34 to 32 after it was determined the two "micropiles" are not to be considered foundations.
[e] 5 foundations (1 from S2WA1 and 4 from S2WA2) from Non-Conformance Report #17 were tested and approved.

Caltrain

CalMod ELECTRIFICATION CONTRACT UPDATE

Traction Power Facilities Progress

Facility	Sitework			Substation Building			Low / High Voltage Equipment			Transformer			Gantry		
	Last Period	This Period	To Date	Last Period	This Period	To Date	Last Period	This Period	To Date	Last Period	This Period	To Date	Last Period	This Period	To Date
TPSS-1	28%	0%	28%	0%	0%	0%	16%	**14%**	**30%**	100%	0%	100%	8%	**10%**	**18%**
TPSS-2	75%	0%	75%	20%	0%	20%	47%	**14%**	**61%**	100%	0%	100%	51%	**20%**	**71%**
SWS-1	10%	0%	10%	0%	0%	0%	7%	**5%**	**12%**	100%	**0%**	**100%**	6%	**7%**	**13%**
PS-1	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
PS-2	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
PS-3	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
PS-4	11%	**5%**	**16%**	0%	0%	0%	5%	0%	5%	100%	0%	100%	0%	0%	0%
PS-5	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
PS-6	15%	0%	15%	0%	**14%**	**14%**	9%	**19%**	**28%**	100%	**0%**	**100%**	0%	**10%**	**10%**
PS-7	15%	**36%**	**51%**	0%	**20%**	**20%**	25%	**8%**	**33%**	100%	**0%**	**100%**	18%	0%	18%

Wayside Power Cubicles	Required	Installed
	28	**7**

Last Period: Data as of June 30, 2019
This Period: July 1, 2019 – September 30, 2019

Caltrain

CalMod ELECTRIFICATION CONTRACT UPDATE

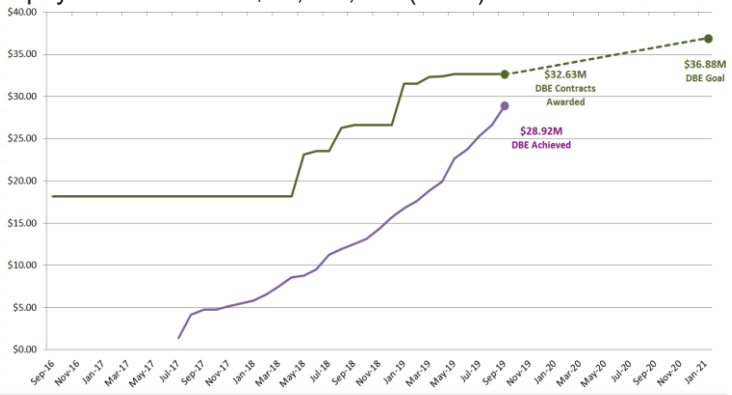
Paralleling Station 4
Hillsdale Station

San Bruno Station OCS

CalMod DBE UPDATE

Disadvantaged Business Enterprises

- 5.2% ($36,884,154) of the total DB contract value ($709,310,651) subcontracted to DBEs
- DBE payments to date: $28,921,028 (4.1%)



SCADA & CEMOF CONTRACTS UPDATE

Other Electrification Contracts

- Supervisory Control and Data Acquisition (SCADA)
  - Numerous functional test procedures completed, in preparation for Pre-Factory Acceptance Testing
  - Continued working with JPB Operations to develop screen layouts and desired operational features

- Centralized Equipment Maintenance and Operations Facility (CEMOF)
  - RFIs and submittals continue to be processed
  - Roadway Worker Protection training is continuing to be provided as workers come onboard the project
  - Full Notice to Proceed was issued on September 10
  - Field work commenced on September 16
  - Underground utilities have been located and marked
  - Safety critical activities were reviewed and approved by JPB Safety
  - CEMOF Access Protocol has been approved by all parties

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TUNNEL CONTRACT UPDATE

ProVen Management, Inc.

- OCS termination structure fabrication, procurement, and installation at all portals are in progress
- ProVen finished casting the Tunnel 4 Historic South Portal Archstones on August 29, 2019, and installation of the blocks will be scheduled on a weekend shutdown
- Installation of drop tubes and conductor rail to start by December; procurement and fabrication are in progress

Update through September 30, 2019

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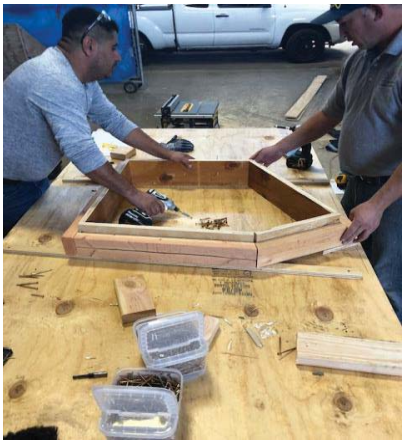
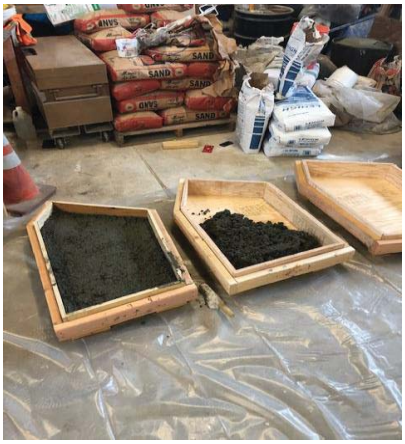
CalMod

TUNNEL CONTRACT UPDATE

Casting Archstones for Portal Reconstruction





Wood forms for archstones, and concreting in various staging

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TUNNEL CONTRACT UPDATE

Casting Archstones For Portal Reconstruction

Completed Archstones

Caltrain

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EMU VEHICLES

EMUs – Design & Manufacturing

- 14 Final Design Reviews of the 18 major systems completed; remaining 4 are conditionally approved; scheduled for completion in late 2019, early 2020
- 64 First Article Inspections total, 48 conducted, 11 closed
- Alternate Vehicle Technology compliance (crashworthiness) validation analysis to be submitted to FRA mid-October
- FRA agreed to design of flip-up seats in Bike cars
- FRA 'Compliance Review' of EMU design conducted in Stadler's Salt Lake City (SLC) facility September 10th and 11th and an additional inspection is planned 1st Quarter 2020; FRA 'Sample Car Inspection' likely to be performed mid-2020
- Manufacturing, assembly and testing activities ramping up in Salt Lake City
- 19 of 133 car shells (first three 7-car trainsets) are in SLC in incremental stages of completion, 2 completely wired cars are undergoing electrical testing
- Overall production in SLC facility is behind schedule primarily due to shortage of sub-supplier parts and lack of shop personnel to assemble trains
  - Stadler adding personnel through local hiring and transfer of experienced employees from other Stadler facilities to SLC
  - Stadler staging full-time engineers/QA personnel at problematic sub-suppliers
  - Stadler looking into alternate sub-suppliers

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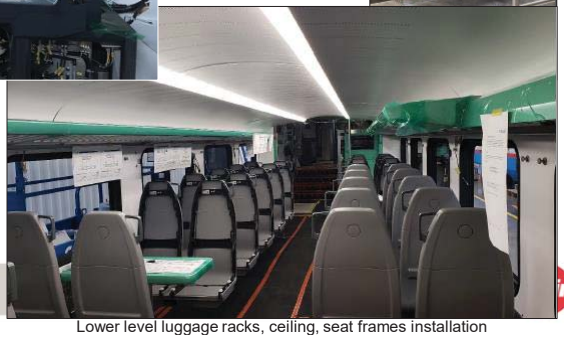
EMU VEHICLES

Engineer's cab and console



Lower level luggage racks, ceiling, seat frames installation

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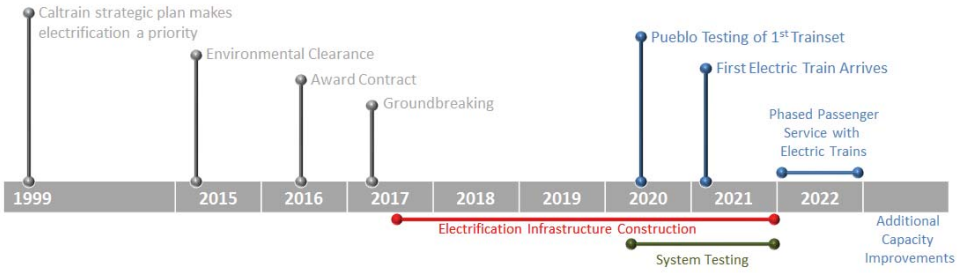
RISK MANAGEMENT

- Ongoing risk monitoring and reporting
- Top 2 Risks:
  - The contractor may not complete and install signal design including CWT modifications within budget and schedule
    - Streamline design reviews
    - Initiate construction prior to IFC
    - Consolidate locations for testing, where possible
  - Contractor sequencing of early utility location, preliminary design, and foundation construction may result in inefficiencies in construction, redesign, and reduced production rates
    - Positively identify known utilities in advance of foundation construction
    - Pothole foundation locations when all design elements have been taken into consideration including line of sight, adjustment of poles, etc.
    - BBII to empower field supervision to identify and respond to obstacles
    - Conducted workshop with BBII to identify improved productivity

SCHEDULE

MILESTONES



*Please keep in mind that testing and construction will overlap as each Segment will be tested individually, prior to final system testing.

Note: Schedule Subject to Change

CalMod BUDGET & EXPENDITURES (in millions)

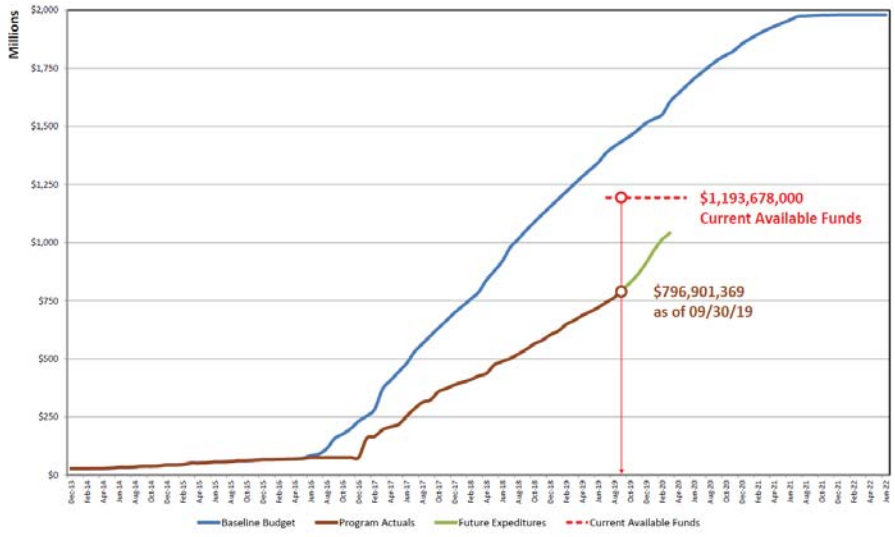
	Budget	Current Budget	FY20 Q1 Costs	Costs to Date	Estimate at Completion
Electrification	$696.61	$723.03	$24.95	$343.68	$723.03
SCADA	$0.00	$3.45	$0.00	$1.93	$3.45
EMU	$550.90	$554.30	$21.91	$136.88	$554.30
PG&E	$57.22	$88.49	$11.93	$64.12	$88.49
Tunnel Modifications	$11.03	$42.24	$1.61	$24.33	$42.24
CEMOF Modifications	$1.34	$6.55	$0.00	$0.00	$6.55
Separate Contract & Support Costs	$347.62	$344.45	$15.23	$225.95	$344.45
Contingency[1]	$315.53	$217.75	$0.00	$0.00	$214.46
Anticipated Changes	$0.00	$0.00	$0.00	$0.00	$3.29
PCEP Total	$1,980.25	$1,980.25	$75.63	$796.90	$1,980.25

Note 1: Contingency is not for out of scope changes.

Budget / Expenditures as of September 30, 2019

Caltrain

CalMod ACTUAL VS PLANNED



Caltrain

CalMod CONTINGENCY[1] DRAWDOWN

Contracts	Amount	Contingency
Beginning Contingency		$315,533,611
Drawdown		
Executed Change Orders	$29,412,622	
SCADA Contract	$3,446,917	
PG&E Supplemental #4	$31,263,082	
Tunnel Modifications	$31,749,083	
CEMOF Modifications	$5,206,777	
Total	$101,078,481	
Remaining Contingency		$214,455,131

Note 1: Contingency is not for out of scope changes.

As of September 30, 2019

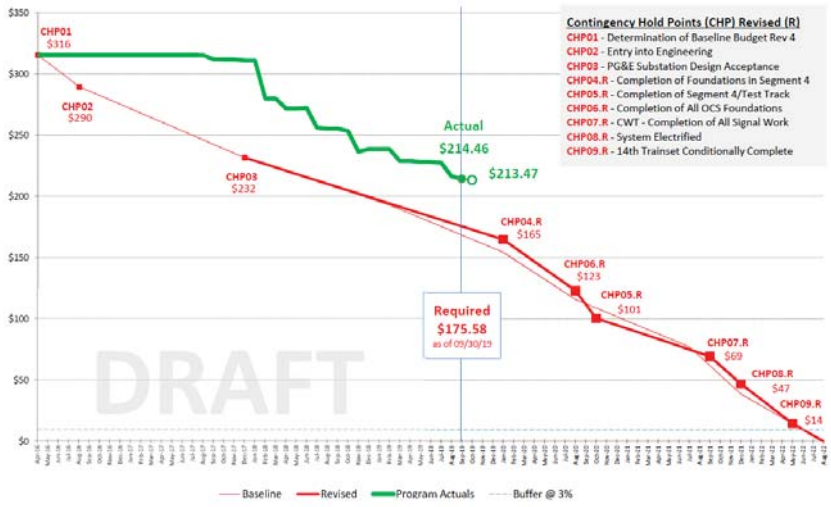
CalMod ANTICIPATED CONTINGENCY[1] DRAWDOWN

Contracts	Amount	Contingency
Remaining Contingency		$214,455,131
Pending Contingency Drawdown		
Switch Machine Isolation - Credit	($277,430)	
Change Design Sequence for OCS Foundations	$37,500	
Foundation Inefficiencies S2WA5	$401,501	
Plugging of High-Level Doorways	$736,013	
Canopy Tube Drilling	$89,787	
Total	$987,371	
Anticipated Remaining Contingency		$213,467,760

Note 1: Contingency is not for out of scope changes.

As of September 30, 2019

CalMod CONTINGENCY[1] DRAWDOWN CURVE

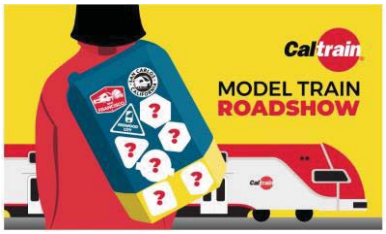


Note 1: Contingency is not for out of scope changes.

CalMod OUTREACH

July 1 – September 30, 2019

- 15 Community meetings
- 9,580 direct mailers / door hangers
- 3,270 Subscribers to the Monthly eNewsletter
  - Average Open Rate – 37% (vs. 18% National Average)
- 2,071 Subscribers to the weekly Construction Updates
- Summer 2019: Electric Train Roadshow
  - www.calmod.org/roadshow



CalMod

CONTACT

CALMOD CONTACT INFORMATION

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TWITTER @caltrain

Caltrain

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QUESTIONS

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 – October 2019**

ACTION

Staff Coordinating Council recommends that the Board receive the Positive Train Control (PTC) report for October 2019.

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:

Key Project Activity	Expected Completion	Progress as of 10/23/19	Progress On Track?	Mitigation Required or Approvals Needed
Approval of Designated Revenue Service Demonstration (RSD) Test Request	May 31st	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 31st	Completed	Completed	Formal approval received on May 16, 2019 for PTCIP and RFA Rev. 10.
Pilot Installations (4) Completed	June 20th	Completed	Completed	All pilots completed
Submit Designated RSD Application	Oct 15th	Completed	Completed	RSD Application submitted and in review by FRA.
Submit Full Track RSD Application	June 7th	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 30th	Completed	Completed	
Complete Designated RSD Training	Nov 14th	Completed	Completed	Training for designated RSD personnel completed
Complete Required Vehicle Installations	Dec 3rd	Completed	Completed	(44) Installs required for RSD completed, punch list items being addressed 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 15th 2019	Completed	Completed	Received FRA's approval on February 6, 2019.
Completion of Remaining Vehicle Installation (all 67 units)	April 30, 2019	Completed (63 Units)	Completed (63 Units)	Except three F40PH 3Cs Rehab vehicles that are out of property and one wrecked vehicle.
Full RSD - Complete Remaining Critical Feature V&V	Jan 2019	Completed	Completed	
Full RSD – Complete Wayside Interface Unit (WIU) V&V	March 15, 2019	Completed	Completed	Completed on March 15, 2019
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

Key Project Activity	Expected Completion	Progress as of 10/23/19	Progress On Track?	Mitigation Required or Approvals Needed
Full RSD – Complete Field Qualification Testing (FQT)	September 2019	Completed	Completed	Full track FQT has completed on July 14, 2019
*Commence Full RSD – Caltrain ROW	October 2019	Completed	Completed	Caltrain has successfully entered RSD on September 07, 2019.
Complete Lab Integrated End to End Testing for Interoperability with UPRR (LIEE-I)	October 2019	Completed	Completed	LIEE-I has commenced on August 12, 2019 and cycle 1 test was concluded. Cycle 2 was completed on October 15.
*Complete Interoperability Testing with UPRR South of CP Lick	December 2019	Plan	Ahead of Schedule	Interoperable Test Coordination effort with UPPR is ongoing.
*Complete Interoperability Testing with Tenant Railroads	April 30 2020	Plan	Yes	Coordination effort with AMTRAK and ACE is on going.
Submit Caltrain PTC Safety Plan to the FRA	June 01, 2020	Plan	Yes	
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, 2020.*

1. Major Wabtec activities for October 2019:

- Caltrain has commenced Revenue Service Demonstration (RSD) on September 7, 2019.
- Continued to provide technical support for RSD runs and addressed defect items with support from WABTEC PTC help-desk.
- Completed lab and field regression testing for the newly released software and deployed new on-board, BOS, WSRS software into production.
- Finalized Field Interoperability with UPRR and received approval from the FRA.
- Completed Interoperability End-to-End Testing (LIEE-I) Cycles one and two testing with UPRR; BCCF Lab is being used for LIEE-I.
- ITCM Test Federation and Production Federation effort with UP, BNSF, HTIX (ACE) and KCS were achieved. Team is continuing the same ITCM effort with Amtrak and the remaining railroads for PTC Interoperability testing and implementation.
- Received and reviewed all completed training course results.
- Commenced updating and testing of Corys Simulator and "Train the Trainer" training for the Corys Simulator.
- Completed KES production testing with UPRR.
- Continued BCCF/CCF Cutover planning effort and received cutover plan and procedure for Caltrain review.
- Continued Interoperability coordination effort, developed test plans for field interoperability testing with UPRR starting October of 29, 2019.
- Commenced Interoperability End-to-End Testing (LIEE-I) with ACE.

2. Vehicle Installation:

Wabtec completed installation of (44) I-ETMS modules on the Caltrain locomotives and cab cars as required in Caltrain's Implementation Plan and statutory criteria requirements in early November of 2018. Wabtec has completed installations on the remaining Caltrain fleet (23 additional locomotives and cab cars) on April 8, 2019. This excludes three locomotives that are off property for overhaul and one damaged cab car. Table below provides the overall status of 67-vehicle installation as of April 17, 2019. No additional update this month. Two off property locomotives are back and PTC equipment installation for these two is scheduled in Mid-November.

I-ETMS On-Board Installation Progress (As of 4/17/19)			
Equipment	**Completed**	**In Progress**	**Pending**
F40	20	0	3
MP36	6	0	0
Bombardier Cab	9	0	0
NS Gallery Cab	26	0	1
MP1500	2	0	0
Total	**63**	**0**	**4**
%	**94%**	**0%**	**6%**

3. Other Key Activities for October of 2019:

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.

- Caltrain continued incremental Revenue Service Demonstration (RSD) roll out since September 7th, 2019. Since all Engineers have been trained, RSD roll out is increasing significantly. The goal is to have all trains running with PTC active before the Holiday Season.
- Herzog Technology Incorporated (HTI) Data collection team and PTC project team are producing PTC daily, weekly and monthly reporting to the FRA per the RSD conditional approval requirements.
- Completed PTC Infrastructure asset handoff effort with TASI.
- PTC helpdesk is up and running since commencement of RSD with support from Tier 1 and Tier 2 support staff for PTC Operations. Post RSD weekly meetings are held to continue monitoring PTC system roll out and address any critical anomalies and defects by system engineering (Tier 2) and WABTEC/ARINC as needed.
- Held a kick-off meeting with ARINC for their long-term maintenance and support service agreement for Rail Operations Control System (ROCS), Passenger Predictive Train Arrival/Departure System (PADS) and Voice Radio Dispatching System (RDS), the three major systems residing in the CCF and BCCF that support Rail Operations.
- The PTC project continues its coordination efforts with the Electrification and EMU programs via regularly scheduled status meetings. Ad hoc meetings to discuss topics requiring in-depth or immediate decisions are held as needed. Data sharing of fiber audit results and testing schedules (sharing of track and time) is ongoing to ensure both teams coordinate needs.
- Caltrain Configuration Management (CM) process has been in place. All configuration changes are going through the CM process. Project and system impact analyses are performed before any approvals are issued from the Configuration Control Board.

4. Change Order Log:

The additional scope items negotiated with Wabtec totaling $1.42 M are needed to support the new milestone schedule approved by FRA in December. They relate to interoperability and the communications system. The funds for this scope will be taken from the board approved $4.5M contingency. This is the only change order for this contract. This change order was reviewed and approved by the Change Management Board in May. The contract amendment one (1) that reflects this change order is executed. There are no new change orders in October 2019.

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.

To date no risks have been identified requiring use of the risk funds. Caltrain and Wabtec jointly review the shared risk register as the project progresses.

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.
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.
Back Office Server (BOS) documentation scope creep	Internal	Ensure standard documentation supplied by Wabtec meets requirements of Caltrain specification criteria
Key Exchange Server Solution	Internal	Implementation of Caltrain Key Exchange Server timely to support Interoperability Testing with UPRR. KES production test is completed in October 2019.
Maintenance of existing Assets Data Communications, Wayside Infrastructure and on-board equipment	Internal	Coordinate with Operations and TASI to ensure all assets transfer is done timely including all documentation to be handed off to Operations/TASI, so assets are maintained properly and be reliable for PTC Revenue Service Operations.

6. **FRA Coordination Status:**
   - Continued weekly calls with FRA review team
   - Received FRA conditional approval of Interoperability Test Request
   - Submitted Final Interoperability Test Plan with ACE/AMTRAK for FRA Approval

7. **Caltrain Roadmap to Full RSD and Interoperability:**
   - Caltrain has achieved Full Track commencement of Revenue Service Demonstration (RSD). Completing interoperability 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 until all 92 trains are under PTC before 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 FRA and plan to commence Interoperability Field Testing with UPRR in late October. The goal is to achieve Interoperability with UPRR by December of 2019.
10. Caltrain will commence Interoperability Testing with all other tenants on Caltrain property once interoperability testing with UPPR is concluded. Caltrain will achieve interoperability requirements with other tenants and commence PTC governed operation by May 2020.
11. Caltrain will complete submission of the final PTC Safety Plan by June 2020 and receive full system certification by December 2020.

8. Cost – Spend vs Budget with Actuals and Accruals through September 2019:

	(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	$ 1.42	$ 44.44	$ 25.84	$ 44.44	$ -	58.15%
Other Contractors	$ 6.00	$ -	$ 6.00	$ 1.81	$ 6.00	$ -	30.13%
Potential Changes	$ 2.00	$ (1.42)	$ 0.58		$ 0.58	$ -	
Potential Incentive - WABTEC	$ 2.00	$ -	$ 2.00	$ 0.50	$ 2.00	$ -	25.00%
Other Program Costs	$ 30.34	$ -	$ 30.34	$ 12.91	$ 30.62	$ (0.27)	42.15%
Project Contingency	$ 6.06	$ -	$ 6.06		$ 5.78	$ 0.27	
Total PTC Project	$ 89.41	$ -	$ 89.41	$ 41.05	$ 89.41	$ (0.00)	45.91%

Note:
1). Expended and Accruals To-Date is through September 30, 2019;
2). Integrator Wabtec Contract Value includes Shared Risk with Not to Exceed Total of $1.91MM;
3). Other Contractors amount includes ROCS Modification and potential fiber fixes;
4). Potential Changes amount is set for future project change orders as result of WABTEC assessment and survey for the communications and office subsystems;
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.

9. Upcoming Key Activities in November 2019:

- Complete Field Interoperability Test with UPRR on both Caltrain and UPRR ROW.
- Complete Interoperability LIEE Testing with ACE using Caltrain newly built BCCF lab.
- Continue ITCM Test and production Federation with remaining railroads.
- Continue RSD acceptance close out effort including all punch list items for onboard installs.
- Commence on-board installation for Vehicles 920 and 921.
- Continue PTC RSD Roll out with Operations and TASI.
- Continue BCCF readiness activities and BCCF/CCF cutover effort.
- Continue Data Collection and PTC log analysis for PTC RSD daily and weekly reports to the FRA following RSD conditional approval requirements.
- Continue to work closely with the FRA regional and national representatives to ensure all aspects of documentation and testing requirements are maintained and approvals (by FRA) granted.
- Continue to provide Tier 2 PTC System Engineering support for tracking anomalies and addressing defect resolutions with Tier 3.
- Continue Interoperability coordination with UPRR, Amtrak and other tenants.
- Submit Field Interoperability Test Plan with ACE/AMTRAK for FRA approval.
- Continue MP1500 locomotive Brake Testing effort that will conclude Brake Testing.
- Continue 8 tunnel, Physical Separation of Cell Network, PTC Virtualization and ATCS work.
- Complete network core switches installation and configuration.

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