



BOARD OF DIRECTORS 2020

DAVE PINE, VICE CHAIR
CHERYL BRINKMAN
JEANNIE BRUINS
CINDY CHAVEZ
RON COLLINS
DEVORA "DEV" DAVIS
CHARLES STONE
SHAMANN WALTON
MONIQUE ZMUDA

JIM HARTNETT
EXECUTIVE DIRECTOR

AGENDA

PENINSULA CORRIDOR JOINT POWERS BOARD

Bacciocco Auditorium, 2nd Floor
1250 San Carlos Avenue, San Carlos CA 94070

January 9, 2020 – Thursday

9:00 am

1. Call to Order / Pledge of Allegiance
2. Swearing-in of Monique Zmuda Representing the City and County of San Francisco
3. Roll Call
4. Report of the Nominating Committee
 - a. Election of Officers for 2020
5. Public Comment For Items Not on the Agenda

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

6. Consent Calendar

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

- | | |
|---|--------|
| a. Approve Special Meeting/Study Session Minutes of November 21, 2019 and Meeting Minutes of December 5, 2019 | MOTION |
| b. Receive Key Caltrain Performance Statistics | MOTION |
| c. Receive State and Federal Legislative Update | MOTION |
| d. Accept Statement of Revenues and Expenditures for November 2019 | MOTION |

Approved by the Finance Committee

- | | |
|---|------------|
| e. Approve 2020 Committee Meeting Calendar | MOTION |
| f. Authorization to Receive State Rail Assistance Program Funds | RESOLUTION |

Peninsula Corridor Joint Powers Board
January 9, 2020 Agenda

Approved by the Work Program-Legislative-Planning Committee:

- g. Adoption of 2019 Title VI Program (a civil rights program required by the Federal Transportation Authority) RESOLUTION
- h. Adoption of 2020 Legislative Program MOTION
- 7. Report of the Chair
 - a. Resolution of Appreciation for former Chair Gillian Gillett
- 8. Report of the Executive Director
 - a. Peninsula Corridor Electrification Project Monthly Report for November INFORMATIONAL
 - b. Monthly Report on Positive Train Control System INFORMATIONAL
- 9. Report of the Citizens Advisory Committee
- 10. *Report of the Work Program-Legislative-Planning (WPLP) Committee*
 - a. Adoption of Caltrain Rail Corridor Use Policy RESOLUTION
- 11. Correspondence
- 12. Board Member Requests
- 13. General Counsel Report
- 14. Date/Time of Next Regular Meeting: Thursday, February 6, 2020 at 9:00 a.m. San Mateo County Transit District Administrative Building, 2nd Floor, 1250 San Carlos Avenue, San Carlos, CA
- 15. Adjourn

INFORMATION FOR THE PUBLIC

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

If you have questions on the agenda, please contact the JPB Secretary at 650.508.6242. Agendas are available on the Caltrain website at www.caltrain.com. Communications to the Board of Directors can be emailed to board@caltrain.com.

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

Location, Date and Time of Regular Meetings

Regular meetings are held at the San Mateo County Transit District Administrative Building located at 1250 San Carlos Avenue, San Carlos, one block west of the San Carlos Caltrain Station on El Camino Real, accessible by SamTrans bus Routes ECR, 260, 295 and 398. Additional transit information can be obtained by calling 1.800.660.4287 or 511.

The JPB meets regularly on the first Thursday of the month at 9:00 a.m. The JPB Citizens Advisory Committee meets regularly on the third Wednesday of the month at 5:40 p.m. at the same location. Date, time and place may change as necessary.

Public Comment

If you wish to address the Board, please fill out a speaker's card located on the agenda table and hand it to the JPB Secretary. If you have anything that you wish distributed to the Board and included for the official record, please hand it to the JPB Secretary, who will distribute the information to the Board members and staff.

Members of the public may address the Board on non-agendized items under the Public Comment item on the agenda. Public testimony by each individual speaker shall be limited to two minutes and items raised that require a response will be deferred for staff reply.

Accessible Public Meetings/Translation

Written materials in appropriate alternative formats, disability-related modification/accommodation, as well as sign language and foreign language interpreters are available upon request; all requests must be made at least 72 hours in advance of the meeting or hearing. Please direct requests for disability-related modification and/or interpreter services to the Title VI Administrator at San Mateo County Transit District, 1250 San Carlos Avenue, San Carlos, CA 94070-1306; or email titlevi@samtrans.com; or request by phone at 650-622-7864 or TTY 650-508-6448.

Availability of Public Records

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

**Peninsula Corridor Joint Powers Board
Board of Directors Meeting
Special Meeting/Study Session
107 Broadway Avenue, Half Moon Bay, CA**

MINUTES OF NOVEMBER 21, 2019

MEMBERS PRESENT: G. Gillett, (Chair), C. Brinkman, J. Bruins, C. Chavez, R. Collins, D. Davis, D. Pine, S. Walton, C. Stone

MEMBERS ABSENT: None

STAFF PRESENT: J. Hartnett, M. Bouchard, J. Cassman, D. Hansel, C. Mau, S. Petty, D. Seamans

CALL TO ORDER/ROLL CALL

Chair Gillett called the meeting to order at approximately 9:04 am. A quorum was present.

CALTRAIN BUSINESS PLAN ORGANIZATIONAL ASSESSMENT WORKSHOP (INCLUDING SERVICE DELIVERY, INTERNAL ORGANIZATION AND GOVERNANCE)

Jim Hartnett, Executive Director, thanked Board members and staff for attending the special meeting. He provided a brief history of Caltrain and stated that it is a good time to assess the agency strengths and weaknesses. Mr. Hartnett expressed appreciation for the dedication and support to the staff and partners in the private sector for the hard work done recently on the Business Plan.

PRESENTATION & DISCUSSION – Grace Crunican and Howard Permut

Mr. Hartnett introduced Grace Crunican and Howard Permut, consultants hired to discuss the Caltrain Business Plan Organization Assessment, including service delivery, internal organization and governance, and facilitate the workshop.

Ms. Crunican acknowledged the location was not ideal for public transit access and apologized for that. However, she felt the relaxed atmosphere was more conducive for board collaboration. She requested board members to try to think of themselves as one board and not individuals representing their “home” agencies that appointed them. She cited the strength that comes from acting as a group, not as individuals from each county.

Ms. Crunican reviewed the success of Caltrain and stated the workshop is intended to discuss how to seize more opportunities for success. She introduced Howard Permut, consultant, to discuss Service Delivery.

Service Delivery

Mr. Permut stated his presentation was a shortened version from the August 1, 2019 Caltrain meeting. He reiterated the fact that change is coming and Caltrain can no longer stay still and there’s a need to have an organization that would deliver the

service vision; a significant expansion over current service delivery.

He discussed the three areas of the agenda for the day regarding the entire Caltrain organization: service delivery, internal organization, and governance. Guidelines for the retreat were discussed, which were to focus on the Board's shared accountability to Caltrain, use of the organization assessment report as a factual basis for discussion, engage in an open and respectful dialog and strive to reach consensus on conclusions and next steps.

Mr. Permut discussed the current train service delivery with use of contractor, Transit America Services, Inc. (TASI) and its impending contract expiration date of 2022 (with an optional one-year extension). He discussed three options for service delivery: extension of the contract, solicit a new service provider or provide the services in-house. Timing was discussed with the recommendation that Caltrain pursue the extension of the TASI contract, with an inter-disciplinary task force of senior staff, including a deadline for negotiations, and the setting of a deadline, should negotiations are unsuccessful. Mr. Permut introduced Michelle Bouchard, Chief Operating Officer, to continue the presentation.

Ms. Bouchard recalled the last train operator procurement process, which resulted in choosing TASI as the contracted train operator. She emphasized the high level of effort and time required in the process itself, which took the full attention of a cross section of the entire organization. She stated that staff acknowledged the recommendation from August and have begun negotiations on the TASI extension. She noted that contract provisions would be subject to certain conditions. Ms. Bouchard also noted that the Federal Transit Administration has been advised of the proposed extension and internal/ external task forces are in place, noting the Board's future ad-hoc committee would be able to assist staff through the process.

Ms. Bouchard responded to inquiries on the TASI contract components, which included the following: continuation of Disadvantaged/Small Business/Women-Owned business enterprise opportunities, quantitative and qualitative contract components, workforce protections provisions needs to be addressed, potential in-house options, and Board subcommittees and briefings.

As an aside, Ms. Crunican stated the board issue of considering new special legal counsel would be placed on the board's agenda in December.

Internal Organization

Mr. Permut continued his presentation and discussed the internal organization of Caltrain, the resources needed and required functionalities and shared services. He discussed the train's efficiencies ratios as being extremely high but resources very low as an agency. Shared services were discussed and it was noted that the issue is complex. While the agency is trying to be as effective as it can be, there are issues with resources, sharing staff, pension liabilities, service delivery model, and how that all fits in with its governance model.

Further, Mr. Permut discussed the issue of talent attraction, retention, high staff vacancy

rates, large use of consultants and the great desire to attract a skill-based workforce to deliver the service vision. Other issues in the key functional areas were planning and contracts departments, rail activation group, information technology, human resources and capital project implementation. He provided recommendations for addressing the vacancies and undertake a complete six-month organizational study in FY 2020-21 and for the next five years, develop a financial resourcing strategy to make informed decisions for the agency.

Ms. Bouchard responded to the recommendations relative to the rail division, consisting of the total vacancies, hires/active recruitments, use of consultants and new positions required to support rail activation. She discussed a five-year organizational study that is underway for process implementation and creating a more effective workforce. She responded to board members' inquiries regarding hiring issues Caltrain is having and the reasons behind it.

Ms. Crunican read aloud detailed comments from the board members that were interviewed separately about the organization itself. Board members provided lengthy commentary on a variety of issues related to the agency.

Ms. Crunican summarized the area of internal organization, what needs to be worked on and a plan of action to move forward.

Governance

Mr. Permut discussed the area of governance and how Caltrain is seen as a governing body. He displayed several options, using Options A through I, as models of how the governance of the agency could be. He reviewed the following self-directed options:

- Option A - Retention of the status quo;
- Option B - Peninsula Corridor Joint Powers Board as currently structured coupled with modifications;
- Option C - Retention of the Joint Powers Agreement as currently structured but reorganized as a railroad authority that directly hires its management and administrative employees;
- Option D - Same as Option C, except that staffing is supplemented on an as-needed basis with expertise from Joint Powers Agreement member agencies;
- Option E - Creation of a Special District to Govern and Administer Caltrain – "Peninsula Rail Transit District."

Mr. Permut displayed *non-self-directed* options, for discussion purposes, including:

- Option F – Regional cooperation;
- Option G – Regional integration of key functions;
- Option H – Consolidated regional rail authority with subsidiary railroads;
- Option I – Fully consolidated regional railroad.

Chair Gillett recessed the meeting at 10:49 a.m. and reconvened it at 11:04 a.m.

Ms. Crunican finished reading aloud comments from board members, the business community and members of the public, who were interviewed individually prior to the workshop. She then split up board members into three working groups to discuss the following questions:

1. What are the top three issues you think can and should be addressed by the Board within the next six months? Why? Rank in order of priority.
2. Discuss the "straw" proposals as a group. What aspects of them seem promising? Why?
3. Who should act as subcommittee to research and further develop the options for the Board's (and member agencies') consideration? The member agency general managers? A board subcommittee? Who else? Why?

Ms. Crunican handed out a document containing "straw" scenarios, for Board discussion purposes only on various issues:

Scenarios 1: Stay the Course

- *No process is put in place to discuss governance and no changes are made to governance or the managing agency relationship*
- *Member agency contributions remain at current levels and no new regional funding measures (e.g., FASTER or a 3-county tax) move forward*
- *The electrification project is completed but current member agency funding is not sufficient to support expanded service*

Scenario 2: Direct Accountability

- *A special counsel is appointed as soon as practicable to directly represent the JPB on governance matters*
- *A process to discuss governance is established that, over the next six months, results in agreement to provide for accountability of an executive director and key organizational functions directly to the JPB*
- *The JPB remains in place and the San Mateo County Transit District remains as the managing agency*

Scenario 3: Separate Organization

- *A special counsel is appointed as soon as practicable to directly represent the JPB on governance matters*
- *A process to discuss governance is established that, over the next six months, results in a commitment from all parties to the eventual separation of Caltrain from the managing agency relationship with the San Mateo County Transit District.*

Scenario 4: Construction Authority

- *A special counsel is appointed as soon as practicable to directly represent the JPB on governance matters*
- *The JPB remains in place and the San Mateo County Transit District remains as the managing agency - but the railroad agrees that Downtown Extension (DTX), Diridon station and possibly future grade separation projects will be delivered through a regional construction authority*
- *Funding for these projects is negotiated as part of a large regional measure (e.g. FASTER)*

After the break and as requested by Ms. Crunican, each group reported out from their discussions, in no particular order:

Group 2 (Stone/Chavez/Walton):

What are the top three issues you think can and should be addressed by the Board within the next six months? Why? Rank in order of priority.

- Dedicated funding source
- Special legal counsel and governance
- Electrification

Discuss the "straw" proposals as a group. What aspects of them seem promising? Why?

The group discussed straw scenarios 2a and 2b.

Who should act as subcommittee to research and further develop the options for the board's (and member agencies') consideration? The member agency general managers? A board subcommittee? Who else? Why?

A staff-led working committee consisting of Ms. Bouchard, general managers, special counsel, and a Board ad hoc committee with a sunset date, consisting of one Board member from each county. The group would work on transparency, clarity of legal rights, responsibilities and obligations of its member agency partners from Caltrain's perspective, all while keeping in mind current tax initiatives.

At 12:10 p.m., Director Gillett was excused from the remainder of the meeting.

Group 1 (Collins/Bruins/Gillett):

What are the top three issues you think can and should be addressed by the Board within the next six months? Why? Rank in order of priority.

- Staffing under the Caltrain brand with specialized compensation for rail personnel
- Electrification
- TASI extension
- Hiring a chief commercial officer to monetize assets

Discuss the “straw” proposals as a group. What aspects of them seem promising? Why?

The group expressed support for #2a and to look at it with a working group and to model it like the work being done on the Business Plan, bringing in some expertise and to look at it deeply over the next six months. Enhanced accountability was discussed and maybe a discussion at the Board meeting. The group also discussed scenarios 3 & 4.

Who should act as subcommittee to research and further develop the options for the board’s (and member agencies’) consideration? The member agency general managers? A board subcommittee? Who else? Why?

The group concluded that there needs to be a sub-committee on Board governance and look at best practices from other jurisdictions. Using the Business Plan as a model, it would be good to take a deeper dive into the issue of governance.

Group 3 (Pine/Davis/Brinkman):

What are the top three issues you think can and should be addressed by the Board within the next six months? Why? Rank in order of priority.

- Support for hiring special counsel
- Accountability/Formalize the CEO evaluation process
- Unravel who owns what and who owes what

Discuss the “straw” proposals as a group. What aspects of them seem promising? Why?

Reviewed the governance structure.

Who should act as subcommittee to research and further develop the options for the board’s (and member agencies’) consideration? The member agency general managers? A board subcommittee? Who else? Why?

Create a working group of Board members, with managing partners in attendance, and perhaps a stakeholder from each county who has the authority to represent. The group felt that the construction authority stood alone.

At 12:53 p.m., Director Walton was excused from the remainder of the meeting.

Ms. Crunican summarized the three topics that rose to the top of all three groups’ discussions: funding, governance, and hiring of special legal counsel. Regarding the governance aspect, she summarized that the Board would like to receive clarity on the right of way facts and ownership issues for presentation at a future Board meeting. Regarding the discussion of funding for Caltrain itself, the consensus was to forge ahead, despite possible outside ballot initiatives. Regarding the hiring of special legal counsel, the consensus was to expedite that procurement process. She emphasized that dedicated time and commitment was going to be needed by the board moving forward, as the issues are critical.

Vice Chair Pine invited public comment.

PUBLIC COMMENT

Elizabeth Alexis, CARRD, addressed the Board regarding unrestored train service, conflicts on many levels, opportunities to review the Caltrain structure and the possibility of separating from SamTrans.

Roland Lebrun, San Jose, addressed the Board regarding funding, changes to the governance structure and the fairness of taxes.

Adina Levin, Friends of Caltrain, expressed appreciation in seeing the service vision move forward, discussed a Caltrain tax versus a ballot measure and suggested the possible inclusion of stakeholders going forward.

Concluding Remarks

Director Stone clarified a comment regarding a sales tax discussion at a board meeting. Vice Chair Pine stated he looks forward to moving ahead in the process.

CEO Hartnett providing concluding remarks and thanked the consultants, staff and public for their attendance at the meeting.

ADJOURN

The meeting adjourned at 1:23 p.m.

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

MINUTES OF DECEMBER 5, 2019

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

MEMBERS ABSENT: G. Gillett, (Chair)

STAFF PRESENT: J. Hartnett, C. Mau, T. Bartholomew, C. Boland, M. Bouchard, A. Chan, J. Funghi, D. Hansel, S. Murphy, G. Martinez, S. Petty, D. Seamans, P. Skinner,

CALL TO ORDER / PLEDGE OF ALLEGIANCE

Vice Chair Pine called the meeting to order at 9:04 a.m. and led the Pledge of Allegiance. He requested to rearrange agenda items 12 (Conclusions from Special Meeting on Organization and Governance and 13, Selection/Retention of Special Counsel for Governance Matters) to be heard after agenda item 6 (Report of the Executive Director).

ROLL CALL

A quorum was confirmed with all members present, with the exception of Director Davis, who arrived at 9:12 a.m. and Chair Gillett, who was absent.

PUBLIC COMMENT FOR ITEMS NOT ON THE AGENDA

Jeff Carter, Millbrae, commented on the location of the Board's special meeting on Nov. 21, 2019, and that it was not located within the vicinity of using Caltrain.

Vaughn Wolffe, Pleasanton, stated that early approval is needed to implement large projects within the next decade. He emphasized the need to build energy storage systems following electrification, should PG&E cut off power to the trains.

At 9:12 a.m. Director Davis arrived at meeting.

Roland Lebrun, San Jose, discussed a train failure on December 4 at 22nd Avenue, causing a delay and asked that refunds be automatically issued following train failures.

Jon Spangler, BART Bicycle Advisory Task Force, stated the task force supported the San Francisco Bike Advisory Committee's resolution supporting additional bike space on the electrified trains.

Bert Hill, Board Member, Golden Gate Bridge and Transportation District and Chair of the Bicycle Advisory Committee, discussed a resolution passed by the advisory committee regarding use of bikes and mobility devices.

CONSENT CALENDAR

Member Chavez suggested including the agenda item "Recommendation of the Nominating Committee for the Citizens Advisory Committee representing Santa Clara

County" on the Consent Calendar. Board members concurred and included the item on the Consent Calendar vote.

Motion/Second: Brinkman/Davis moved approval of the Consent Calendar, including the item titled "Recommendation of the Nominating Committee for the Citizens Advisory Committee representing Santa Clara County."

Ayes: Brinkman, Bruins, Chavez, Collins, Davis, Pine, Stone, Walton
Noes: None
Absent: Gillett

- Approved Meeting Minutes of Oct. 3, 2019
- Approved 2020 Board Meeting Calendar
- Received Key Caltrain Performance Statistics, Oct. 2019
- Received State and Federal Legislative Update
- Accepted Statement of Revenues and Expenditures for Sept. and Oct. 2019
- Approved 2020 Work Program-Legislative-Planning Committee Meeting Calendar
- Recommendation of the Nominating Committee for the Citizens Advisory Committee representing Santa Clara County

REPORT OF THE CHAIR

Appointment of Nominating Committee for 2020 Officers

Vice Chair Pine stated he conferred with Chair Gillett to recommend the Nominating Committee of Board members Walton, Stone and Chavez as appropriate to select the next chair and vice chair. The Committee would report out its decision in January 2020.

REPORT OF THE EXECUTIVE DIRECTOR

CEO Hartnett announced the ongoing partnership with Silicon Valley Community Foundation who sponsored the 17th annual Holiday Train and toy drive event. Mr. Hartnett provided updates on the Transbay Joint Powers Authority terminal repair and tenants occupying the building.

Director Brinkman thanked conductor Ray on Train 226 for promoting the holiday train. She announced that a holiday market would be held in the concourse of the new Transbay building plaza area in San Francisco.

Peninsula Corridor Electrification Project (PCEP) Monthly Report for October 2019

John Funghi, CalMod Chief Officer, provided a monthly update on the electrification project including foundation work, pole installation, PG&E reconstruction of its own substations, tunnel modification, and assembly of electric multiple units.

Director Bruins added that the PCEP Ad Hoc Committee for the project continues to meet periodically. Mr. Funghi responded to Board member inquiries regarding issues causing delays to the project.

Monthly Report on Positive Train Control System

Michelle Bouchard, Chief Operating Officer, Rail, updated Board members on the major milestones of the project, including the federal deadline and Caltrain's expected

on-time certification.

Public Comment

Roland Lebrun, San Jose, cited a Brown Act violation, discussed the delayed schedule and labor issues associated with the project.

Vice Chair Pine stated the next two items were taken out of order from the posted agenda:

CONCLUSIONS FROM SPECIAL MEETING ON ORGANIZATION AND GOVERNANCE

CEO Hartnett expressed appreciation to the Board for its participation at the Special Meeting/workshop on Nov. 21, 2019, held in Half Moon Bay. He introduced Director, Policy Development, Sebastian Petty, who provided a synopsis of the meeting and conclusions. He reviewed the three top issues: Service Delivery (the manner in which Caltrain contracts and operates its service), Internal Organization (how Caltrain organizes itself) and Governance (how Caltrain is overseen by a governing body). Mr. Petty reviewed an initial to-do list of items to be accomplished, discussed funding and the link to governance. He introduced Consultant, Grace Crunican, who facilitated the workshop and discussed the next steps.

Ms. Crunican confirmed the three trending issues from the workshop and discussed other issues of concern to the Board, which included electrification of the right of way, organization/staffing and the current service provider, Transit America and contract extension.

Directors Walton expressed appreciation for holding the workshop and the commitment of the full Board. Directors Walton and Chavez thanked the consultants for capturing the essence of the meeting.

Board members discussed the ad hoc committee formed for updates on the electrification project and discussed whether it should be publicly noticed and attended.

CEO Hartnett briefly discussed the process for retaining special legal counsel.

Vice Chair Pine invited public comment.

Public Comment

Jeff Carter, Millbrae, discussed consolidation, separating the Caltrain agency from SamTrans management, dedicated Caltrain funding, and development on the right of way using four tracks.

Adina Levin, Friends of Caltrain, discussed funding, a regressive tax, expressed appreciation for the open dialog at the workshop and the Board's participation in the regional process.

Roland Lebrun, San Jose, discussed Transit America's contract extension.

SELECTION/RETENTION OF SPECIAL COUNSEL FOR GOVERNANCE MATTERS

Executive Director Hartnett summarized the consensus of the Board for retaining special legal counsel. He stated staff would be preparing a scope of service and call known firms to alert them as well as reaching out to its partner agencies for recommendations. A formal Request for Proposals will be prepared for release in early 2020. Mr. Hartnett stated he would be prepared to work with the Board ad hoc committee, if one was appointed and make recommendations at the appropriate time. The budget and source of funds would be included in the discussions.

Board members discussed at length whether conflicts exist between Caltrain and the managing agency, SamTrans, its legal counsel, Hanson Bridget, and what those potential conflicts may or may not be. Cost of retaining new special counsel was discussed.

REPORT OF THE CITIZENS ADVISORY COMMITTEE

Brian Shaw, Chair of the Caltrain Citizens Advisory Committee, provided an update on two recent Advisory Committee meetings.

Amending the By-Laws to include Alternate CAC Members

Motion/Second: Chavez/Stone moved to approve an amendment to the Citizens Advisory Committee By-Laws, to include an alternative member, to implement when necessary.

Ayes: Brinkman, Bruins, Chavez, Collins, Davis, Stone, Walton, Pine

Noes: None

Absent: Gillett

REPORT OF THE WORK PROGRAM-LEGISLATIVE-PLANNING (WPLP) COMMITTEE

Accept the concept layout for further development as recommended by the Diridon integrated Station Concept plan

Melissa Reggiardo, Manager, Caltrain Planning, provided a comprehensive presentation on the Diridon Integrated Station Concept Plan and recommended acceptance of the preferred conceptual layout for further development, in coordination with the partner agencies; the Santa Clara Valley Transportation Authority (VTA), the California High Speed Rail Authority (CAHSR) and the City of San Jose (City). Ms. Reggiardo acknowledged the consultant team of Arcadis and Bentham Crowell Architects who were instrumental in coordinating all of the concepts.

Ms. Reggiardo provided conceptual illustrations of the initial three concepts, as follows:

- San Fernando Street – At-grade station on San Fernando Street, which is most similar to today's station layout. It utilizes the existing northern and southern track alignment;
- Santa Clara Street – Elevated station on Santa Clara Street, which locates the station closer to BART, introduces an optimized northern track alignment and presents the opportunity to relocate Caltrain's maintenance facility (Caltrain Central Equipment and Maintenance Facility or "CEMOF"). She noted the layout provided an option to operate some rail service over a new southern rail alignment on a viaduct over

Interstate 280/State Route 87;

- Stover Street – Elevated station on Stover Street (between San Fernando Street and Santa Clara Street), which locates the station closer to BART, introduces an optimized northern track alignment and presents the opportunity to relocate CEMOF.

Ms. Reggiardo introduced a fourth concept of an elevated dual concourse, which contained a combination of favored elements in the above three and was now considered the preferred alternative.

- Elevated Dual Concourse – Elevated station with platforms south of San Carlos Street and concourses located at Santa Clara Street (to connect with BART) and San Fernando Street. The layout utilizes the existing rail alignment to the north and could utilize either the existing alignment or Interstate 280/State Route 87 alignment to the south. The relocation of CEMOF would be necessary.

Ms. Reggiardo answered questions of committee members and explained details and next steps in advancing the conceptual layout and securing funding. Board members discussed the four concepts and provided commentary.

Director Walton left the meeting at 11:58 a.m.

Public Comment

Vaughn Wolffe, Pleasanton, discussed the sequencing, funding, and timing of the project.

Roland Lebrun, San Jose, stated that partnerships are working together but lacked the product. He discussed station design in Amsterdam and how it would work well at Diridon.

Adina Levin, Friends of Caltrain, discussed the design plan, transfers and options, including integration of fares and schedules.

Jeff Carter, Millbrae, discussed seamless transfers, expediting the project. He noted many deficiencies at the Millbrae station and uncoordinated schedules between Caltrain and BART.

Doug DeLong, Mountain View, inquired how the project would integrate with Union Pacific lines.

Drew, San Mateo, discussed possible tax measures and impact on the riders. He discussed details of the proposed plan and requested to see pros and cons outlined for the passenger.

Motion/Second: Davis/Chavez moved to approve the conceptual layout for further development, as recommended by the San Jose Diridon Integrated Station Concept Plan partnership team, as follows: To use elevated station platforms, station entrances at Santa Clara Street and San Fernando Street and utilize existing track approaches into the future station.

Ayes: Brinkman, Bruins, Chavez, Collins, Davis, Stone, Pine
Noes: None
Absent: Gillett, Walton

2020 LEGISLATIVE PROGRAM

Casey Fromson, Director of Government and Community Affairs, summarized the draft 2020 Legislative Program, which was scheduled to be presented to the Citizens Advisory Committee at its next meeting. No action was taken.

ACCEPT COMPREHENSIVE ANNUAL FINANCIAL REPORTS FOR FISCAL YEAR 2019

Derek Hansel, Chief Financial Officer, introduced Grace Martinez, Director of Finance, who briefly presented highlights of the Comprehensive Annual Financial Report for the Fiscal Year ending 2019. Mr. Hansel expressed appreciation to the financial team, executive staff and legal counsel for their support in preparing the Report.

Ahmad Gharaibeh, EideBailly auditors, discussed the scope of the audit and announced the agency was in good standing with no material exceptions or adjustments to its financial statements.

Public Comment

Jeff Carter, Millbrae, discussed passenger fares and associated revenue, passenger miles and noted that weekend passenger-miles was missing from statistics.

Roland Lebrun, San Jose, inquired whether it was wise to be purchasing commercial real estate.

Motion/Second: Brinkman/Bruins moved acceptance of the Comprehensive Annual Financial Report for fiscal year 2019.

Ayes: Brinkman, Bruins, Chavez, Collins, Davis, Stone, Pine
Noes: None
Absent: Gillett, Walton

Director Davis left the meeting at 12:20 p.m.

INCREASE THE EXECUTIVE DIRECTOR'S CONTRACT AUTHORITY FOR THE SOUTH SAN FRANCISCO STATION IMPROVEMENT PROJECT AND AMEND TO INCREASE THE FISCAL YEAR 2020 CAPITAL BUDGET BY \$47,400,185 TO \$54,500,185

Michelle Bouchard introduced Howard Beckford, Senior Project Manager, who provided an update on the South San Francisco Station Improvement project and the need to increase the executive director's authority for the station improvements.

Motion/Second (Brinkman/Stone) moved approval of the increase the executive director's contract authority for the South San Francisco station improvement project and amend to increase the fiscal year 2020 capital budget by \$47,400,185 to \$54,500,185.

Ayes: Brinkman, Bruins, Chavez, Collins, Stone, Pine
Noes: None
Absent: Davis, Gillett, Walton

CORRESPONDENCE

Correspondence to the Board of Directors was available online and at the public desk.

DATE/TIME OF NEXT REGULAR MEETING: Thursday, January 9, 2020 at 9:00 a.m. San Mateo County Transit District Administrative Building, 2nd Floor, 1250 San Carlos Avenue, San Carlos, CA.

ADJOURN

The meeting adjourned at 12:51 p.m.

**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 – NOVEMBER 2019**

ACTION

Staff Coordinating Council recommends that the Board receive the Performance Statistics Report for November 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 November 2019, Caltrain's Average Weekday Ridership (AWR) increased by 6.1 percent to 69,607 from November 2018 AWR of 65,601. The total number of passengers who rode Caltrain in November 2019 increased by 2.6 percent to 1,472,693 from 1,435,134 November 2018 ridership. The ridership increase was impacted by November 2019 special event ridership in comparison to November 2018 ridership.

This month ticket sales increased from November 2018 for:

- One Way tickets: 7.7 percent
- ED One Way tickets: 10.2 percent
- Day Passes: 19.2 percent
- ED Day Passes: 40.8 percent

This month ticket sales decreased from November 2018 for:

- Monthly Passes: 4.6 percent
- ED Monthly Passes: 4.7 percent

Caltrain Mobile Ticketing accounted for approximately 6.1 percent (89,501 rides) of November 2019 rides and 7.3 percent (\$634,787) of November 2019 Monthly Ticket Sales

Revenue. The number of Eligible Go Pass Employees increased 11.5 percent to 90,895 from 81,523 from November 2018. The number of participating Go Pass Companies increased to 135 from 132 from November 2018. Total Farebox Revenue increased by 4.5 percent to \$8,718,421 from \$8,340,099 in November 2018.

On-time performance (OTP) for November 2019 was 93.3 percent compared to 93.9 percent OTP for November 2018. In November 2019, there were 751 minutes of delay due to mechanical issues compared to 711 minutes in November 2018.

Looking at customer service statistics, there were 7.3 complaints per 100,000 passengers in November 2019 which decreased from 8.2 in November 2018.

Shuttle ridership for November 2019 increased 7.4 percent from November 2018. For station shuttles:

- Millbrae-Broadway shuttle: 189 average daily riders
- Weekend Tamien-San Jose shuttle: 27 average daily riders

When the Marguerite shuttle ridership is removed, the impact to ridership was an increase of 12.3 percent. Due to ongoing service issues with the Shuttle Contractor (MV Transportation) as a result of staffing shortage, there were a total of 325 DNOs (Did Not Operate) trips for Caltrain shuttles in November 2019. Although DNOs have decreased in recent months for Caltrain, there are still service losses 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.

Table A
November 2019

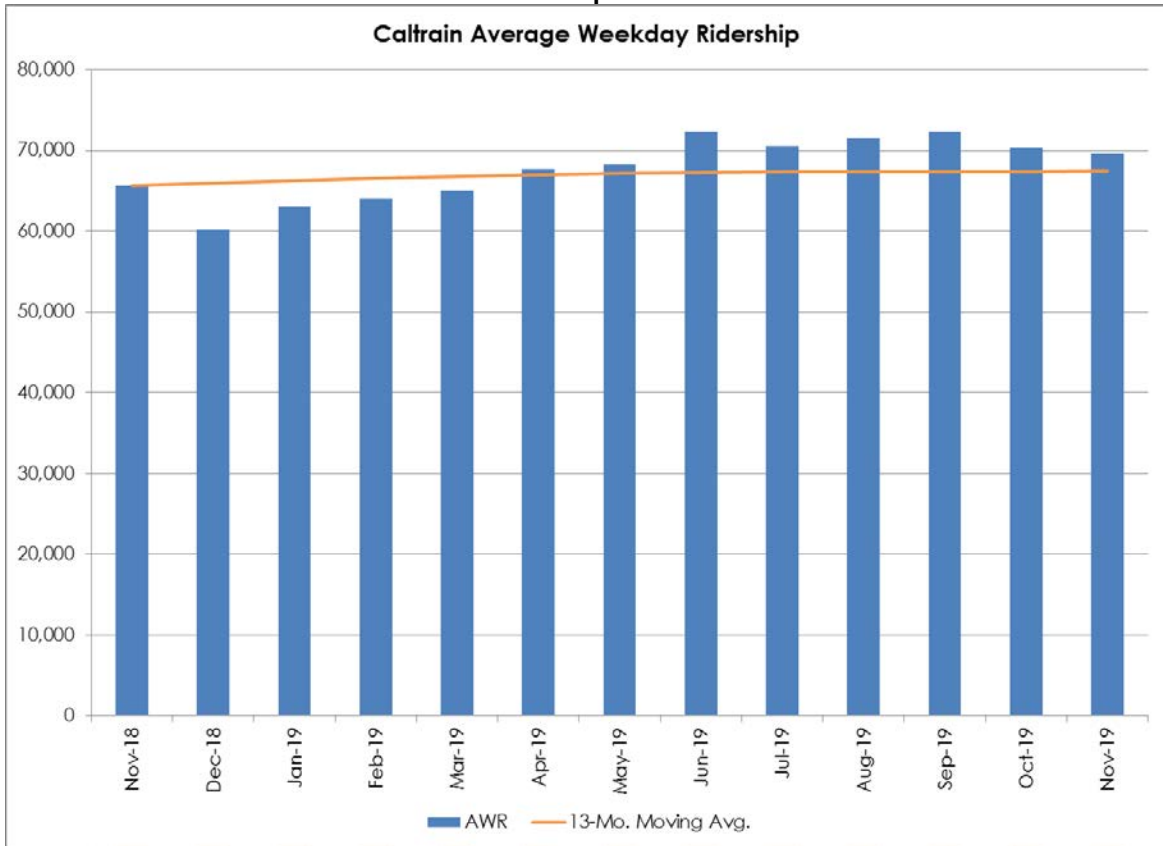
	FY2019	FY2020	% Change
Total Ridership	1,435,134*	1,472,693	2.6%
Average Weekday Ridership	65,601*	69,607	6.1%
Total Farebox Revenue	\$ 8,340,099	\$ 8,718,421	4.5%
On-time Performance	93.9%	93.3%	-0.6%
Average Weekday Caltrain Shuttle Ridership	8,171	8,773	7.4%

Fiscal Year to Date

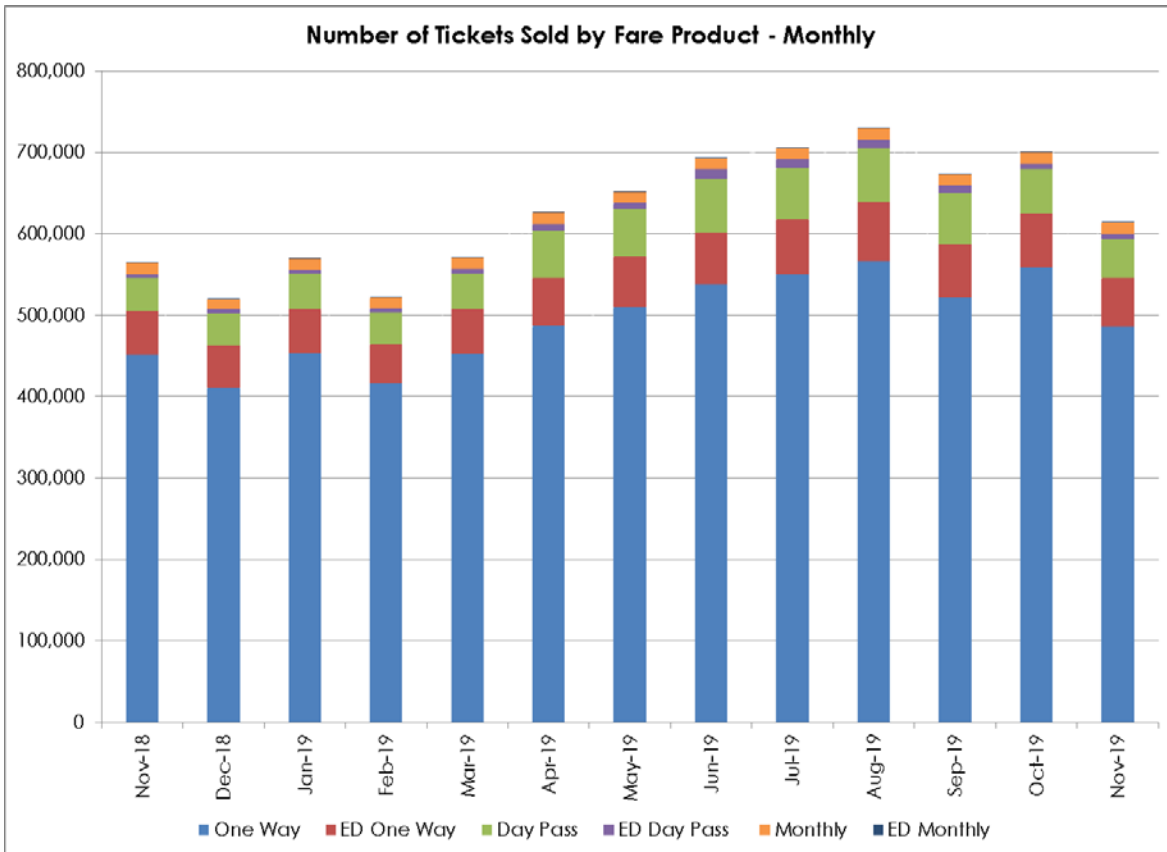
	FY2019	FY2020	% Change
Total Ridership	7,933,246*	8,159,969*	2.9%
Average Weekday Ridership	86,301*	88,601*	2.7%
Total Farebox Revenue	\$ 43,714,290	\$ 45,334,073	3.7%
On-time Performance	93.0%	93.5%	0.5%
Average Weekday Caltrain Shuttle Ridership	8,435	8,876	5.2%

* = Items revised due to calibration to the ridership model

Graph A

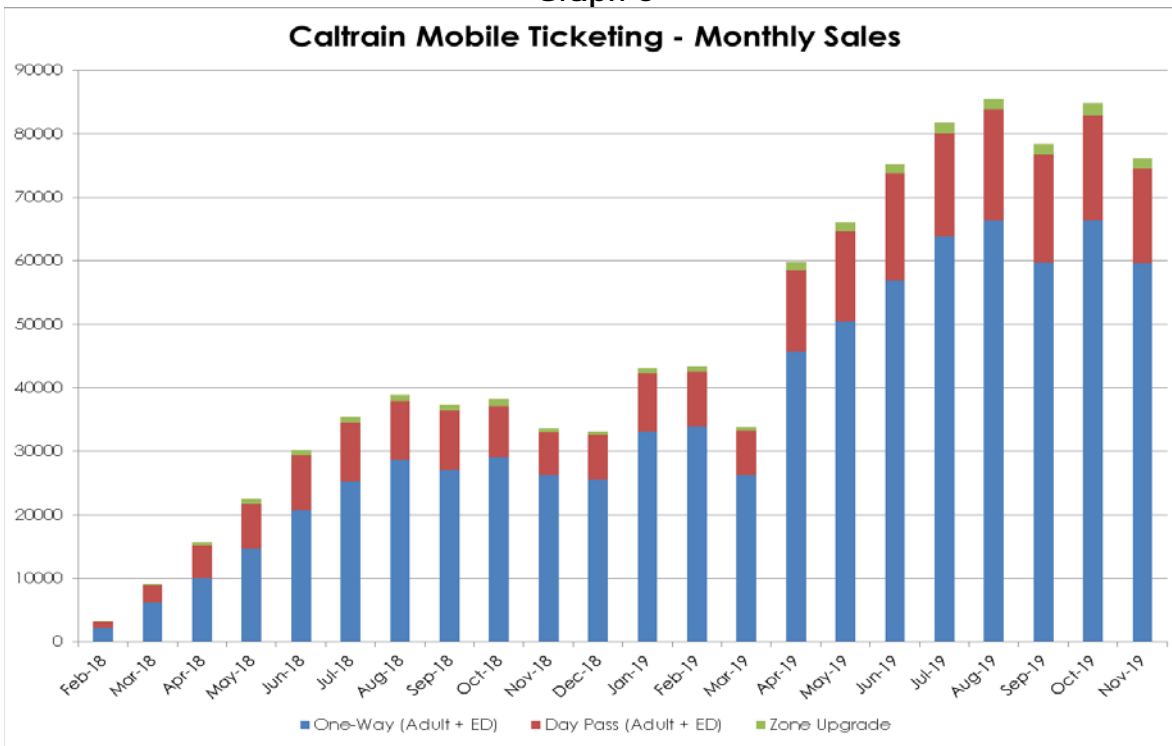


Graph B

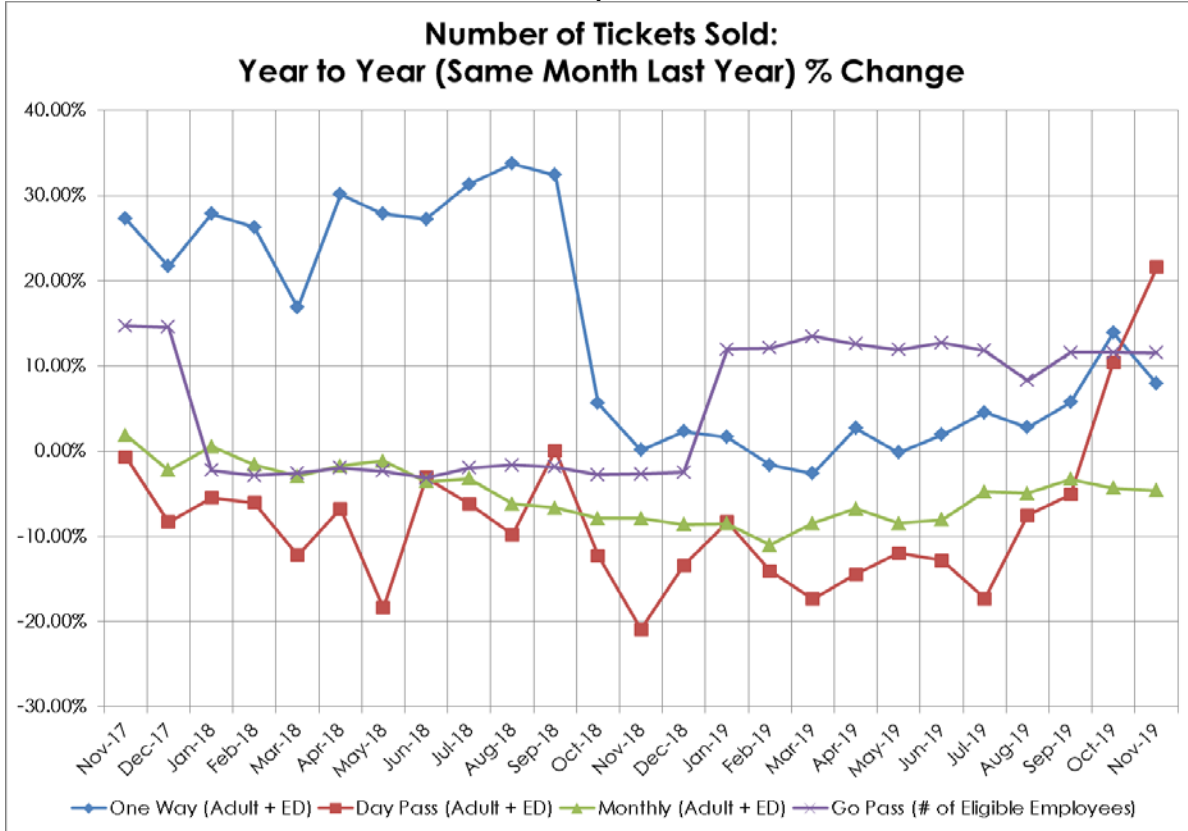


*Go Passes tracked by Monthly Number of Eligible Employees (not by Sales)

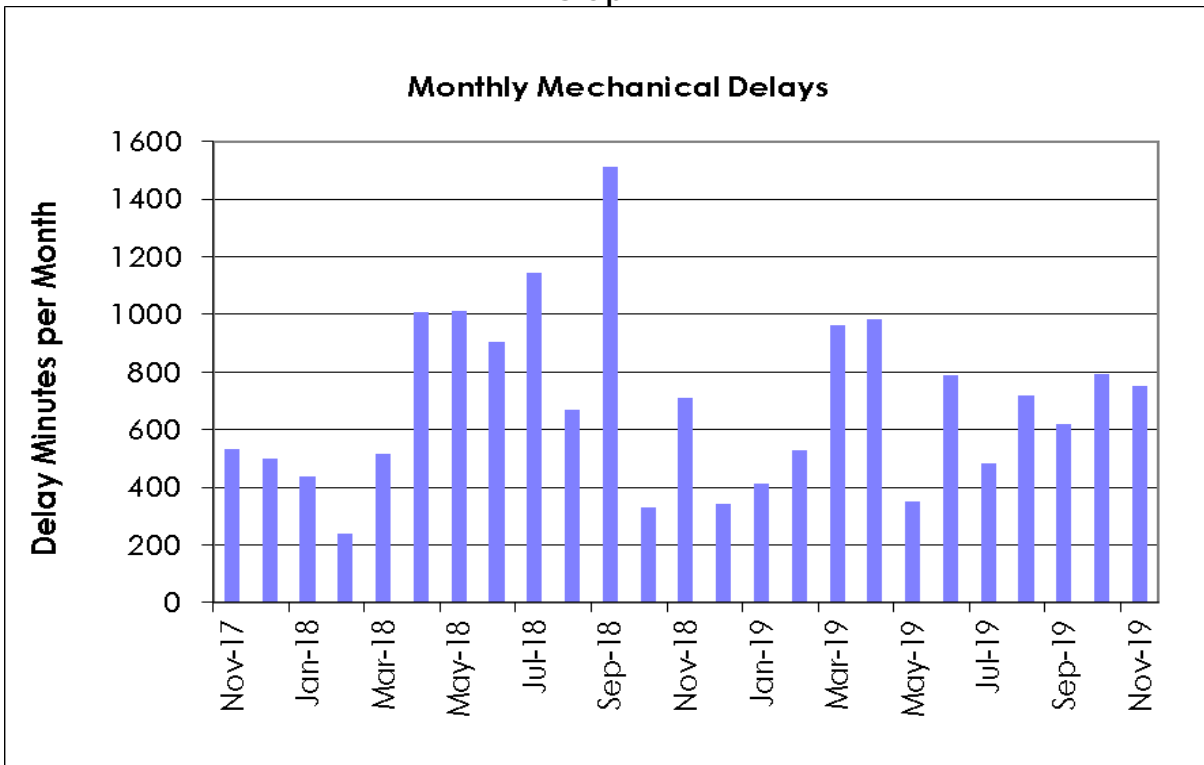
Graph C



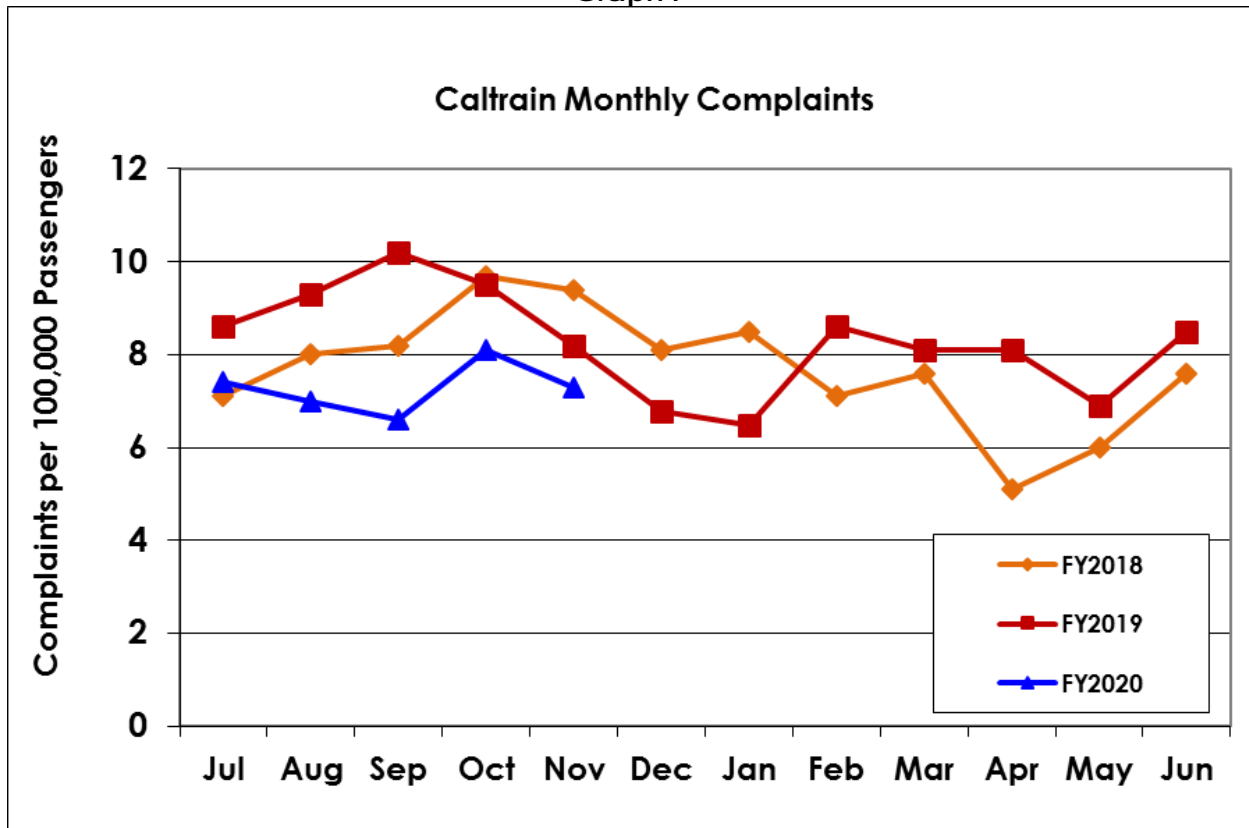
Graph D



Graph E



Graph F



Caltrain Promotions – November 2019

49ers At Levi’s® Stadium – 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. Interior stadium digital billboard will display train departure information. Total year-to-date ridership alighting and boarding was 14,598, a 14 percent increase compared to the same number of games in 2018.

San Jose Sharks at SAP Center – The regular 2019/20 San Jose Sharks season kicked off on October 4 bringing exciting hockey action to the SAP Center, just one block from the San Jose Diridon Station. Caltrain service was promoted through a paid geo-targeted Facebook ad campaign, a paid search AdWords campaign and digital display ads on premium sports websites. The campaign also included social media content, Caltrain’s Special Events website and a news release. Caltrain’s Sharks service campaign will run throughout the season. Total year-to-date post-game ridership was

4,211, which represents a six percent increase compared to the same number of games in 2018.

Stanford Football "Big Game" – Stanford hosted the 2019 Big Game against Berkeley on Saturday, November 23. The Big Game was promoted through paid geo-targeted display ads on premier sports websites & college sports pages, Facebook/Instagram click-to-web ads and Google Search Keyword ads. Communication included social media messaging, Caltrain's Special Events website listing and a news release. To further encourage game day transit ridership, Stanford sent an e-mail blast to all season ticket holders before each home game and post on their social media channels. Stanford Football printed take-ones and interior ad cards, which were posted onboard trains. Total riders alighting and boarding at Stanford Station for the Big Game was 2,021, a one percent decrease compared to 2017 ridership.

Caltrain Digital Metrics - NOV 2019



New Followers

+306

Nov 19 - 181,262

Oct 19 - 180,956

Nov 18 - 174,938

Caltrain.com Sessions

Nov 19 - 835,405

Oct 19 - 921,326

Nov 18 - 708,983

Monthly Yelp & FB Rating



(1 Nov review: 1/5)

Top Tagged Issues

1. Bikes (13)

2. Delays (7)

3. Clipper (7)

4. Compliment (7)

*Tag metrics impacted due to staffing shortage.

Social Engagement

Video Views

374,352 (Oct - 437,090)

Content Impressions

4,542,069 (Oct - 3.56M)

Interactions

34,050 (Oct - 37,120)



@caltrain, @gocaltrain



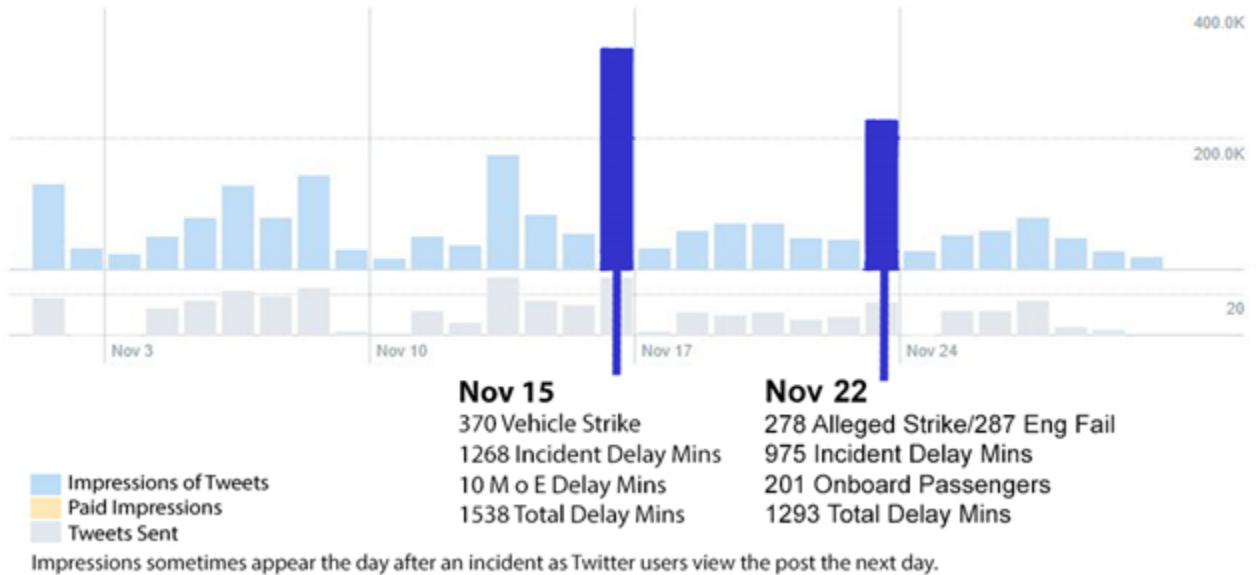
@gocaltrain



@caltrain

Twitter Impression Spikes Nov, 2019

Your Tweets earned **2.3M impressions** over this 30 day period



Caltrain News Coverage Report – November 2019



Total # of articles: 90 (compared to 68 in October)

Prepared by:

Patrice Givens, Data Specialist
 James Namba, Marketing Specialist
 Jeremy Lipps, Social Media Officer

650.508.6347
 650.508.7924
 650.622.7845

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Seamus Murphy
Chief Communications Officer

SUBJECT: **STATE AND FEDERAL LEGISLATIVE UPDATE**

ACTION

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

SIGNIFICANCE

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

Prepared By: Casey Fromson, Government and
Community Affairs Director

650-508-6493

December 13, 2019

TO: Peninsula Corridor Joint Powers Board Members

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

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

Overview

Interim recess is coming to a close, and legislators and their staff are gearing up to start the second year of the two-year session. On January 6, Legislators will return to Sacramento where they will begin introducing new bills and moving their two-year bills.

The two-year bills that did not make it out of their first house last year will need to pass out and be transmitted to their second house by January 31, meaning they will move quickly. The two-year bills that made it into the second house before the first year of session closed will follow the normal legislative calendar for passage.

High Speed Rail

As noted in the last Board Report, the Assembly Transportation Committee held a High Speed Rail oversight hearing on November 12 in Fresno that shed light on individual legislator's concerns over High Speed Rail spending in the Central Valley.

There is a growing list of legislators publicly expressing skepticism regarding electrifying the segments in the Central Valley and whether the spending for electrification would be better allocated to other projects.

Given that the Legislature already approved half the bond spending, the other half will need to be approved when the funding is needed. It remains to be seen if this will occur in 2020 or be pushed out to 2021.

Status of State Grant Opportunities

We have included in this report a list of major competitive grant programs administered by the State from which transit and rail projects are eligible/can be funded.

Transit and Intercity Rail Capital Program (TIRCP)

The TIRCP was created to fund capital improvements to modernize California's intercity rail, bus, ferry, and rail transit systems to reduce emissions, expand and improve transit

service and ridership, integrate rail services and improve transit safety. Funds available are estimated at \$450-500 million for Cycle 4 but could change on auction proceeds and changing cash flow requirements of already awarded projects.

Important Dates:

January 2020 – Applications Due

April 2020 – CalSTA Award Announcement

Solutions for Congested Corridors Program (SCCP)

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

Important Dates:

October 2019 – Guidelines Adopted

January 2020 – Applications Due

June 2020 – Program Adoption

Local Partnership Program (LPP)

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

Important Dates:

October 2019 – Guidelines Adopted

January 2020 – Applications Due

June 2020 – Program Adoption

Trade Corridor Enhancement Program (TCEP)

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

Important Dates:

January 2020 – Guidelines Adopted

March 2020 – Applications Due

June 2020 – Program Adoption

Grade Separation Funding

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

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

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

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

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

Holland & Knight

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

Caltrain As of December 16, 2019 Federal Transportation Report

FY 2020 Appropriations Update

On November 21, President Donald Trump signed a stopgap bill passed by both the House and Senate to fund the federal agencies at fiscal year FY 2019 levels through December 20. The measure permanently repealed a \$7.57 billion rescission in highway funding scheduled for July 1, 2020, under the 2015 highway bill, the FAST Act. The legislation also included a Senate amendment to prevent a \$1.2 billion (12 percent across-the-board) cut to public transit formula funds that would have negatively impacted every public transit agency in the country.

On December 12, top congressional appropriators announced that they reached a deal to avert a shutdown and fund the federal government for the remainder of FY 2020. Text of the measure is expected to be released late on Monday, December 16. The agreement on all 12 appropriations bills for fiscal year FY 2020 allows Congress to move forward on \$22 billion for defense and \$27 billion for non-defense budgets compared to FY 2019 – levels secured by the *Bipartisan Budget Act of 2019* ([H.R. 3877](#)) reached in August.

As of Monday, December 16, lawmakers are still working through sticking points in the bills, but House Appropriations Committee Chairwoman Nita Lowey (D-NY) told reporters “We’ll have a good product that we can vote on Tuesday.” The House must pass this bill by Tuesday, December 17, to give the Senate necessary time for approval and President signing the legislation into law before the current CR expires on December 20.

The House and Senate will pass all 12 appropriations bills in two big packages, or “minibuses”. The bill is expected to be released late on Monday, December 16. The first minibus will include funding for Defense, Commerce-Justice-Science, Financial Services, and Homeland Security. The second package will include Labor/HHS, Agriculture, Energy & Water, Interior, Legislative Branch, Military Construction/Veterans Affairs, State-Foreign Operations, and Transportation-Housing-Urban Development. The second package is also expected to carry a number of policy riders. Potential riders include:

- Full repeal of the Cadillac Tax
- Full repeal of the Medical Device Tax
- Raising the tobacco purchase age from 18 to 21 years
- Healthcare extenders (DSH, CHC, and Behavioral Health) extended through May 22, 2020. The short-term extension is being used to apply pressure and set a cliff to pass surprise medical billing and prescription drugs legislation next year.
- The Creating and Restoring Equal Access to Equivalent Samples (CREATES Act)
- Seven year reauthorization of the Ex-Im Bank
- Seven year reauthorization of the Terrorism Risk Insurance Program

- Extension of the National Flood Insurance Program through September 30, 2020
- Two years of additional funding for the Secure Rural Schools program
- SECURE Act

President Trump will get \$1.375 billion for border barrier construction, significantly less than the \$5 billion the White House requested. Congress will not backfill \$3.6 billion in military construction funds that the White House had taken under its emergency declaration. Trump will be able to retain his ability to transfer funding from Pentagon accounts to the border wall.

Continued Work on Surface Transportation Bill

The House Transportation and Infrastructure Committee is planning to release a draft of the surface transportation authorization bill in February for comments and the committee will markup in the spring.

The Senate EPW Committee earlier this year on July 30, 2019, unanimously approved a five-year highway reauthorization bill, *America's Transportation Infrastructure Act (S. 2302)*, authorizing \$287 billion in Highway Trust Fund contract authority and an additional \$5.7 billion from the U.S. Department of the Treasury general fund. This funding is a 27 percent increase over the current surface transportation bill, the *Fixing America's Surface Transportation (FAST) Act*. The Senate Banking Committee that oversees transit and the Senate Commerce, Science, and Transportation Committee that oversees rail still need to pass their bills, as well as the House Ways & Means/Senate Finance Committees to address how to pay for the bill. The current surface transportation authorization bill, the FAST Act, expires on September 30, 2020 to agree on a deal for reauthorization.

Commuter Railroads Lag Behind Freight Railroads in PTC Implementation

The Federal Railroad Administration (FRA) on November 25 [released data](#) showing that in total, nearly 93 percent of required routes are operating using Positive Train Control (PTC) systems. Freight railroads are operating with more than 95 percent of route miles complete, while commuter railroad PTC systems are operating on less than half of the 3,129 required routes. The American Public Transportation Association (APTA) said that through the third quarter of 2019, 37 percent of commuter railroads are operating with PTC or have been certified by the FRA, and of those, 50 percent are in an advanced level of field testing, 10 percent are in field testing, and 3 percent are still preparing for field testing. Railroads have nearly a year to comply with the statutory mandate and install PTC before the December 2020 deadline.

DOT Solicits Comments on Use of NETT Council

In April of this year, the U.S. Department of Transportation (DOT) created the Non-Traditional and Emerging Transportation Technology (NETT) Council to identify and resolve jurisdictional and regulatory gaps associated with non-traditional and emerging transportation projects. DOT issued a [notice](#) in the Federal Register on November 26, 2019 requesting comments on projects, issues, or topics that DOT should consider through the NETT Council, including regulatory models and other alternative approaches for non-traditional and emerging transportation technologies. DOT noted that they are not requesting comment on issues related to automated vehicles (AVs) or unmanned aerial

systems (UAS) as the agency already provides resources to the two industry areas. Comments are requested by January 10, 2020.

Congress Shifts Focus Towards AV Legislation and Safety

Bipartisan staff from the Senate Commerce Committee and the House Energy and Commerce (E&C) Committee have jointly released draft language for potential driverless car legislation in the last month as pressure grows from industry related to the need for government guidelines to address the rapid development of AV technology. A partial draft was released on October 28 that included exemptions, testing and evaluations, and the creation of an automated vehicles advisory council. On December 2, another partial draft was released to stakeholders for comment (due December 9, 2019), that included definitions, federal, state, and local roles, and rulemaking. The draft bill would allow state and local governments to continue the regulation of sale, distribution, repair, and service of AVs, along with the authority to enforce local or state traffic laws. The federal government would be responsible for issuing safety standards.

Last Congress, the House and Senate committees both passed AV legislation to create federal standards for AVs. However, both bills were held up because of Senate Democrats concern around safety and security language. Timing is unclear for introduction of a bill this Congress, and anything introduced is likely to face an uphill battle. Safety will be a sticking point for lawmakers, especially after a loose safety regulation contributed to the death of a pedestrian in Tempe, Arizona who was hit by Uber AV test vehicle.

On November 20, the Senate Committee on Commerce, Science, and Technology (CST) [held a hearing titled](#), “Highly Automated Vehicles: Federal Perspectives on the Deployment of Safety Technology.” The witnesses were:

Robert Sumwalt, Chairman, National Transportation Safety Board (NTSB)

James Owens, Acting Administrator, National Highway Traffic Safety Administration (NHTSA), U.S. Department of Transportation (USDOT)

Joel Szabat, Acting Under Secretary of Transportation for Policy, U.S. Department of Transportation (USDOT)

While many members emphasized the nearly 40,000 car fatalities annually in the U.S. mainly attributed to human error, the safety of drivers, passengers, pedestrians, bicyclists, and others were the focal point of the hearing. AV industry leaders were surprised to hear James Owens repeatedly say, “All vehicles on the road today require an operator to be in control or ready to take control as a fall back and the operator is responsible for ensuring the safe operation of their vehicle at all times.” Timing around introduction is unclear, especially as the focus shifts to the impeachment inquiry, 2020 elections, and many other must-do legislation items.

Grants

Coming Soon: INFRA Grants

DOT has said that they will issue a NOFO in December. \$1 billion is available for FY 2020. The NOFO will not change much from FY 2019 NOFO.

Grant Opportunity: State and Local Government Data Analysis Tools for Roadway Safety (DOT)

The purpose of this one-time funding opportunity is to partner with State and local governments, along with their supporting partners, to develop, refine, and implement data tool applications that address specific roadway safety problems and can demonstrate deployment applications through technical assistance and peer exchanges. All applications are due by January 17, 2020. More information can be found in the [Funding Opportunity Announcement via Grants.gov](#).

Grant Award Announcement: Bus and Bus Facilities Grants

On November 25, DOT Secretary Elaine Chao announced that the Federal Transit Administration (FTA) awarded \$423 million in transit infrastructure grants to improve the safety and reliability of American bus systems and enhance mobility for transit riders. The funding supports projects to replace, rehabilitate, and purchase buses and related equipment, as well as projects to purchase, rehabilitate, and construct bus-related facilities. A total of [94 projects in 42 states and the District of Columbia were awarded funding](#) from FTA's Grants for [Buses and Bus Facilities Program](#). There were seven awards in the state of California which are included below. Holland & Knight secured a conference call with FTA staff to provide a debrief for Caltrain's bus and bus facilities grant. FTA said that the grant was highly recommended (highest possible rating) and was very complementary of the grant application. FTA offered valuable feedback on how to improve the application for the next round and encouraged Caltrain to submit next year.

- \$466,883 for the California Department of Transportation on behalf of Full Access and Coordinated Transportation, Inc. (FACT) Full Access and Coordinated Transportation, Inc. (FACT), which provides specialized transportation services for residents of San Diego County. The funding will be used to purchase accessible vehicles to improve access, mobility and service reliability for people with disabilities, seniors, and others who use the service.
- \$260,000 for the California Department of Transportation on behalf of Redwood Coast Transit Authority (RCTA) Redwood Coast Transit Authority (RCTA). The funding will be used to purchase new buses that will replace buses that have exceeded their useful life in rural Del Norte County.
- \$592,998 for the California Department of Transportation on behalf of Tehama County Transit Agency Board Tehama County Transit Agency Board to renovate existing buildings at the Tehama Rural Area Express (TRAX) transit facility in Red Bluff, California.
- \$4,335,000 for the California Department of Transportation on behalf of Yosemite Area Regional Transportation System (YARTS) Yosemite Area Regional Transportation System (YARTS) to purchase battery-electric over-the-road coach buses equipped with ADA lifts and restrooms.
- \$5,145,281 for the Fresno County Rural Transit Agency to construct a new state-of-the-art bus maintenance and operations facility.
- \$1,800,000 for Solano County Transit to plan, construct, and install electrical charging infrastructure to accommodate an all-electric bus fleet that is planned for the future.

- \$2,000,000 for the Transit Joint Powers Authority for Merced County to purchase zero-emission electric buses and associated charging equipment to replace the agency's gasoline-fueled buses that have exceeded their useful life.

Grant Award Announcement: BUILD

On November 12, DOT Secretary Elaine Chao announced \$900 million in funding for American infrastructure through the Better Utilizing Investments to Leverage Development (**BUILD**) Transportation Discretionary Grants program. [Funding was awarded to 55 projects in 35 states](#) that will be used to support roads, bridges, transit, rail, ports or intermodal transportation. There were only two BUILD awards in the state of California: \$8,683,480 for the Lancaster Urban Transit Leveraged-Infrastructure Fleet Expansion Project and \$10,540,582 for Fresno’s Veterans Boulevard Interchange, Extension, and Grade Separation Project.

Holland & Knight has spoken with DOT and they will start doing debriefs in January.

According to U.S.DOT, the modal breakdown of the 2019 grant awards is:

Road/Bridge	\$603,321,144	68.3%
Transit	\$84,610,032	9.6%
Rail	\$48,300,000	5.5%
Port/Maritime	\$128,550,000	14.6%
Bike-Ped	\$0	0.0%
Aviation	\$18,690,047	2.1%
TOTAL	\$883,471,223	100.0%

PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT

TO: Joint Powers Board
THROUGH: Jim Hartnett
Executive Director
FROM: Derek Hansel
Chief Financial Officer
SUBJECT: **STATEMENT OF REVENUES AND EXPENSES FOR THE PERIOD ENDING
NOVEMBER 30, 2019**

ACTION

Staff proposes that the Board of Directors accept and enter into the record the Statement of Revenues and Expenses for the month of November 2019.

This staff report provides a brief discussion of significant items and trends on the attached Statement of Revenues and Expenses through November 30, 2019. The statement has been designed to follow the Agency-wide line item rollup as included in the adopted budget. The columns have been designed to provide easy comparison of year-to-date prior to current actuals for the current fiscal year including dollar and percentage variances. In addition, the current forecast of Revenues and Expenses is compared to the Adopted Budget for Fiscal Year 2020.

SIGNIFICANCE

Annual Forecast: The annual forecast is currently the same as the budget and will be updated twice a year and presented at the February and April board meetings.

Year to Date Revenues: As of November year-to-date actual, the Total Revenue (page 1, line 17) is \$3.2 million higher than the prior year. This is primarily driven by Farebox Revenue (page 1, line 1), Other Income (page1, line 5), and JPB Member Agencies Contributions (page 1, line12).

Year to Date Expenses: As of November year-to-date actual, the Total Expense (page 1, line 49) is \$1.4 million lower than the prior year-to-date actual. This is primarily due to decreases in Shuttles Services (page1, line 26), Fuel and Lubricants (page1, line 27), Claims, Payments and Reserves (page1, line 30), Facilities & Equipment Maintenance (page 1, line 31), Managing Agency Admin OH cost (page 1, line 39), Professional Services (page 1, line 41) and Other Office Expenses (page1, line 43). The decreases are partially offset by increases in in Rail Operator Service (page 1, line 23) and in Wages & Benefits (page 1, line 38).

Other Information: Starting in January 2019, the Agency modified the basis of reporting from accrual basis to modified cash basis (only material revenues and expenses are accrued) in monthly financial statements. The change in the accounting basis is not retroactively reflected in the prior year actual. As such, the monthly variance between the prior year and the current year actual may show

noticeable variances for some line items on the financial statements.

BUDGET IMPACT

There are no budget amendments for the month of November 2019.

STRATEGIC INITIATIVE

This item does not achieve a strategic initiative.

Prepared By : Thwe T. Han, Accountant II

650-508-7912

Jennifer Ye, Manager, General Ledger

650-622-7890

PENINSULA CORRIDOR JOINT POWERS BOARD
STATEMENT OF REVENUE AND EXPENSE
Fiscal Year 2020
November 2019

	YEAR TO DATE				% OF YEAR ELAPSED				41.7%
	PRIOR ACTUAL	CURRENT ACTUAL	\$ VARIANCE	% VARIANCE	ANNUAL		\$ VARIANCE	% BUDGET	
					APPROVED BUDGET	FORECAST			
REVENUE									
OPERATIONS:									
1 Farebox Revenue	43,714,290	45,334,073	1,619,784	3.7%	106,000,000	106,000,000	-	0.0%	1
2 Parking Revenue	2,174,611	2,166,277	(8,335)	(.4%)	5,335,000	5,335,000	-	0.0%	2
3 Shuttles	839,440	713,168	(126,271)	(15.0%)	2,503,200	2,503,200	-	0.0%	3
4 Rental Income	865,082	862,596	(2,487)	(.3%)	2,060,540	2,060,540	-	0.0%	4
5 Other Income	913,816	1,411,505	497,689	54.5%	1,753,450	1,753,450	-	0.0%	5
6									6
7 TOTAL OPERATING REVENUE	48,507,239	50,487,620	1,980,380	4.1%	117,652,190	117,652,190	-	0.0%	7
8									8
CONTRIBUTIONS:									9
10 AB434 Peninsula & TA Shuttle Funding	768,770	918,339	149,570	19.5%	1,737,950	1,737,950	-	0.0%	10
11 Operating Grants	2,737,753	2,159,259	(578,494)	(21.1%)	5,347,497	5,347,497	-	0.0%	11
12 JPB Member Agencies	13,957,500	15,651,238	1,693,738	12.1%	29,921,971	29,921,971	-	0.0%	12
13 Use of Reserves	-	-	-	0.0%	1,064,614	1,064,614	-	0.0%	13
14									14
15 TOTAL CONTRIBUTED REVENUE	17,464,022	18,728,836	1,264,814	7.2%	38,072,032	38,072,032	-	0.0%	15
16									16
17 GRAND TOTAL REVENUE	65,971,262	69,216,456	3,245,194	4.9%	155,724,222	155,724,222	-	0.0%	17
18									18
EXPENSE									19
20									20
OPERATING EXPENSE:									21
22									22
23 Rail Operator Service	35,231,234	36,333,168	1,101,935	3.1%	90,817,696	90,817,696	-	0.0%	23
24 Positive Train Control	20,481	-	(20,481)	(100.0%)	2,400,000	2,400,000	-	0.0%	24
25 Security Services	2,390,019	2,320,516	(69,503)	(2.9%)	6,544,183	6,544,183	-	0.0%	25
26 Shuttles Services	1,799,270	1,587,259	(212,011)	(11.8%)	5,290,100	5,290,100	-	0.0%	26
27 Fuel and Lubricants	4,940,874	4,533,132	(407,742)	(8.3%)	11,003,417	11,003,417	-	0.0%	27
28 Timetables and Tickets	4,774	36,227	31,453	658.8%	143,500	143,500	-	0.0%	28
29 Insurance	1,752,656	1,807,800	55,144	3.1%	4,506,064	4,506,064	-	0.0%	29
30 Claims, Payments, and Reserves	232,603	(151,666)	(384,270)	(165.2%)	951,794	951,794	-	0.0%	30
31 Facilities and Equipment Maint	1,085,352	614,344	(471,009)	(43.4%)	3,339,391	3,339,391	-	0.0%	31
32 Utilities	839,723	793,424	(46,300)	(5.5%)	2,105,422	2,105,422	-	0.0%	32
33 Maint & Services-Bldg & Other	528,434	391,914	(136,520)	(25.8%)	1,567,930	1,567,930	-	0.0%	33
34									34
35 TOTAL OPERATING EXPENSE	48,825,420	48,266,117	(559,303)	(1.1%)	128,669,496	128,669,496	-	0.0%	35
36									36
ADMINISTRATIVE EXPENSE									37
37									37
38 Wages and Benefits	4,843,392	5,728,133	884,742	18.3%	12,066,711	12,066,711	-	0.0%	38
39 Managing Agency Admin OH Cost	2,798,496	1,757,427	(1,041,069)	(37.2%)	5,098,065	5,098,065	-	0.0%	39
40 Board of Directors	4,370	5,464	1,095	25.1%	14,600	14,600	-	0.0%	40
41 Professional Services	1,805,524	1,096,670	(708,854)	(39.3%)	4,275,583	4,275,583	-	0.0%	41
42 Communications and Marketing	91,899	89,907	(1,992)	(2.2%)	321,500	321,500	-	0.0%	42
43 Other Office Expenses and Services	1,059,677	792,080	(267,597)	(25.3%)	2,638,494	2,638,494	-	0.0%	43
44									44
45 TOTAL ADMINISTRATIVE EXPENSE	10,603,357	9,469,682	(1,133,675)	(10.7%)	24,414,953	24,414,953	-	0.0%	45
46									46
47 Long Term Debt Expense	598,842	912,250	313,408	52.3%	2,639,773	2,639,773	-	0.0%	47
48									48
49 GRAND TOTAL EXPENSE	60,027,619	58,648,049	(1,379,570)	(2.3%)	155,724,222	155,724,222	-	0.0%	49
50									50
51 NET SURPLUS / (DEFICIT)	5,943,642	10,568,407	4,624,765	77.8%	(0)	(0)	-	0.0%	51



BOARD OF DIRECTORS 2019

GILLIAN GILLET, CHAIR
 DAVE PINE, VICE CHAIR
 CHERYL BRINKMAN
 JENNIE BRUNS
 DEVORA "DEV" DAVIS
 RON COLLINS
 CINDY CHAVEZ
 CHARLES STONE
 MONIQUE ZMUDA

JIM HARTNETT
 EXECUTIVE DIRECTOR

PENINSULA CORRIDOR JOINT POWERS BOARD

INVESTMENT PORTFOLIO

AS OF NOVEMBER 30, 2019

TYPE OF SECURITY		MATURITY DATE	INTEREST RATE	PURCHASE PRICE	MARKET RATE
Local Agency Investment Fund (Unrestricted)	*	Liquid Cash	2.103%	40	40
County Pool (Restricted)		Liquid Cash	2.010%	709,302	709,302
Other (Unrestricted)		Liquid Cash	0.000%	57,513,491	57,513,491
Other (Restricted)	**	Liquid Cash	0.200%	25,060,371	25,060,371
				\$ 83,283,204	\$ 83,283,204

Interest Earnings for November 2019 \$ 98,135.82
 Cumulative Earnings FY2020 \$ 119,660.04

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

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

PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT

TO: Joint Powers Board
THROUGH: Jim Hartnett
Executive Director
FROM: Dora Seamans
Executive Officer, District Secretary/Executive Administration
SUBJECT: **2020 FINANCE COMMITTEE CALENDAR**

ACTION

Staff Coordinating Council recommends the Board approve the attached Committee meeting calendar for 2020.

SIGNIFICANCE

The Finance Committees' regular monthly meetings are scheduled for the fourth Mondays of each month at 2:30 pm. Possible exceptions for Committee consideration and approval would be Tuesday, May 26 to avoid conflict with the Memorial Day holiday and Monday, December 21 which is close to the Christmas holiday.

BUDGET IMPACT

There is no impact on the budget.



Peninsula Corridor Joint Powers Board
FINANCE COMMITTEE
Meeting Calendar
2020

Monday – 2:30 PM
January 27
February 24
March 23
April 27
Tues, May 26*
June 22
July 27
August 24
September 28
October 26
November 23
Mon., December 21*

* Moved due to Memorial Day and Christmas holidays.

The Board meets the fourth Monday of the month unless otherwise noted. All meetings are held at 1250 San Carlos Avenue, San Carlos, CA.

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

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

SUBJECT: **AUTHORIZATION TO RECEIVE STATE RAIL ASSISTANCE PROGRAM FUNDS**

ACTION

Staff Coordinating Council recommends the Board authorize the Executive Director, or his designee, to:

1. Submit a project application for \$8 million in State Rail Assistance (SRA) funds to be used for a portion the \$38.6 million local match required for the Peninsula Corridor Electrification Enhancement (PCEE) project; and
2. Affirm that the Peninsula Corridor Joint Powers Board (JPB) agrees to comply with all conditions and requirements of the SRA program, as set forth in the certification and assurances and applicable statutes, regulations and guidelines; and
3. Execute and file the certifications and assurances and authorized agent form as well as any amendments, and furnish any additional information as may be required of SRA recipients.

SIGNIFICANCE

In May 2018, the California State Transportation Agency (CalSTA) awarded the JPB a \$164 million Transit and Intercity Rail Capital Program (TIRCP) grant to help fund the PCEE, which will achieve a number of objectives including the purchase of up to 37 additional Electric Multiple Units (EMUs) to increase capacity of the electrified Caltrain system. The additional EMUs will provide Caltrain with an additional three seven-car EMU consists and will extend the 16, six-car sets currently on-order to seven cars each.

As part of the grant award, the JPB is required to provide a \$38.6 million match toward the purchase of the additional EMU's. To help fund the required match, JPB staff recommends allocating \$8 million in SRA funding currently available to the JPB.

To receive these funds, CalSTA requires recipients to obtain Board approval for the allocation of funding to the project as well as authorization to execute Certifications and Assurances and Authorized Agent forms.

BUDGET IMPACT

There is no budget impact associated with this action. Budget authority for the \$182.6 million project cost of the additional EMU's, including local match, was approved by the Board in November 2018. JPB staff is in the process of identifying the remainder of the matching funds, including future SRA allocations and the potential sale of a portion of the gallery car fleet which has reached the end of its useful life.

BACKGROUND

The Road Repair and Accountability Act of 2017, Senate Bill (SB) 1 (Chapter 5, Statutes of 2017), signed by the Governor on April 28, 2017, includes the SRA program to provide \$40 million per year in formula funding to commuter and intercity rail agencies for operating and capital needs. The program is administered by the CalSTA, and Caltrain receives approximately \$5 million per year from this program.

Prepared By: Peter Skinner, Manager, Grants and Fund Programming 650.622.7818

RESOLUTION NO. 2020 –

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

* * *

**AUTHORIZING RECEIPT OF STATE RAIL ASSISTANCE PROGRAM FUNDS FOR THE
PENINSULA CORRIDOR ELECTRIFICATION ENHANCEMENT PROJECT**

WHEREAS, The Road Repair and Accountability Act of 2017, Senate Bill (SB) 1 (Chapter 5, Statutes of 2017), signed by the Governor on April 28, 2017, includes a program that will provide additional revenues for transit infrastructure repair and service improvements; and

WHEREAS, SB1 established the State Rail Assistance (SRA) program to provide operating and capital funds to rail agencies across the state; and

WHEREAS, SB1 named the California State Transportation Agency (CalSTA) as the administrative agency for SRA funds; and

WHEREAS, CalSTA has developed guidelines for the purpose of administering and distributing SRA funds to eligible project sponsors; and

WHEREAS, these guidelines requires that recipient agencies of SRA funds execute Certifications and Assurances and an Authorized Agent form prior to receiving an allocation, and

WHEREAS, the Peninsula Corridor Joint Powers Board (JPB) is an eligible project sponsor and may receive state funding from SRA now or sometime in the future for transit projects; and

WHEREAS, the Board of Directors wishes to authorize the Executive Director, or his designee to:

1. Submit the following project application to CalSTA for SRA funds:

- Project Name: Peninsula Corridor Enhancement Project
 - Amount of SRA funds requested: \$8,000,000
 - Project Description: This project will achieve a number of objectives including the purchase of up to 37 additional Electric Multiple Units (EMUs) to increase capacity of the electrified Caltrain system. The additional EMUs will provide Caltrain with an additional three seven-car EMU consists and will extend the 16, six-car sets currently on-order to seven cars each, and
2. Affirm that the Peninsula Corridor Joint Powers Board agrees to comply with all conditions and requirements of the SRA Program as set forth in the certification and assurances and applicable statutes, regulations and guidelines; and
 3. Execute and file Certifications and Assurances and Authorized Agent form as well as any amendments, and furnish any additional information as CalSTA may require of SRA recipients.

NOW, THEREFORE, BE IT RESOLVED that the Executive Director, or his designee, is authorized to:

1. Submit the following project application to CalSTA SRA funds:
 - Project Name: Peninsula Corridor Enhancement Project
 - Amount of SRA funds requested: \$8,000,000
 - Project Description: This project will achieve a number of objectives including the purchase of up to 37 additional Electric Multiple Units (EMUs) to increase capacity of the electrified Caltrain system. The additional EMUs will provide Caltrain with an additional three seven-car EMU consists

and will extend the 16, six-car sets currently on-order to seven cars each;
and

2. Affirm that the Peninsula Corridor Joint Powers Board agrees to comply with all conditions and requirements of the SRA Program as set forth in the certification and assurances and applicable statutes, regulations and guidelines; and
3. Execute and file Certifications and Assurances and Authorized Agent form as well as any amendments, and furnish any additional information as CalSTA may require of SRA recipients.

Regularly passed and adopted this 9th day of January 2020 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary

PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Carter Mau
Deputy General Manager/CEO

SUBJECT: **ADOPTION OF 2019 TITLE VI PROGRAM**

ACTION

Staff Coordinating Council recommends the Board approve the 2019 Title VI Program, provided to the Board via online link, which demonstrates the Peninsula Corridor Joint Powers Board's (JPB) compliance with Title VI of the Civil Rights Act of 1964, and the Federal Transit Administration's (FTA) implementing guidance.

SIGNIFICANCE

Under Federal guidelines issued in October 2012, the FTA requires the governing body of each Federal funding recipient to adopt a Title VI Program every three years. This will be the JPB's third program under these guidelines and is due to the FTA by February 7, 2020.

The JPB's Title VI Program includes the following documentation of JPB policies, procedures and activities:

- Contents and placement of public notices regarding the public's rights under Title VI of the Civil Rights Act of 1964
- Title VI complaint form and procedures
- List of transit-related Title VI investigations, complaints, and lawsuits pending within the last three years
- Public Participation Plan and summary of public engagement processes undertaken in past three years
- Limited English Proficiency Plan/Language Assistance Plan
- Demographic information on membership of non-elected committees, such as the Citizens Advisory Committee, and discussion of encouragement of minority involvement
- Results of equity analyses for any facilities constructed over the last three years
- Service area description and demographic profile, including ridership survey results
- Service Standards and Policies (adopted by the JPB in 2013), as well as results of service monitoring under these standards and policies
- Results of equity analyses for fare and service changes made in past three years, based upon the JPB's Major Service Change, Disparate Impact and Disproportionate Burden policies, also adopted in 2013

- Record of Board consideration and adoption of the Title VI Program

Staff recommends the Board adopt the 2019 Title VI Program so that it may be submitted to the FTA for review and acceptance by the FTA before the JPB's 2016 Title VI Program expires. The FTA's guidelines require that agencies submit the Title VI program 60 days before the existing Program's expiration date. However, an extension was granted by the FTA Region IX Office to submit the Title VI Program by February 7, 2020.

BUDGET IMPACT

There is no impact on the Fiscal Year 2020 budget.

BACKGROUND

Title VI of the Civil Rights Act of 1964 prohibits discrimination on the basis of race, color, or national origin in programs and activities receiving Federal financial assistance. Executive Order 12898, issued in 1994, mandates that Federal agencies take steps to address disproportionately high and adverse human health or environmental effects of their programs and activities on minority and low-income populations. Executive Order 13166, issued in 2000, requires recipients of Federal financial assistance to provide meaningful access to persons with limited proficiency in English.

Prepared by: Wendy Lau, Title VI Administrator
Shayna van Hoften, Legal Counsel

650.622.7864
415.995.5880

RESOLUTION NO. 2020 –

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

* * *

ADOPTING THE PENINSULA CORRIDOR JOINT POWERS BOARD'S 2019 TITLE VI PROGRAM

WHEREAS, Title VI of the Civil Rights Act of 1964, 42 USC 2000d *et seq.*, (Title VI) prohibits recipients of Federal financial assistance from subjecting any person to discrimination based on, race, color or national origin under any programs and activities receiving federal financial assistance; and

WHEREAS, the Peninsula Corridor Joint Powers Board (JPB) receives a variety of grants and other forms of federal financial assistance from the Federal Transit Administration (FTA); and

WHEREAS, the FTA issued Circular FTA C 4702.1B, effective October 1, 2012 (Circular), setting forth requirements and guidelines for Title VI compliance; and

WHEREAS, the Circular details required elements of a Title VI Program, which each recipient of FTA financial assistance must submit to the FTA every three years to evidence compliance with Title VI; and

WHEREAS, the JPB received an extension from the FTA Region IX Title VI Officer to submit the JPB's 2019 Title VI Program by February 7, 2020; and

WHEREAS, the JPB's Title VI Program must include numerous elements, including but not limited to:

1. Information on numerous agency policies, procedures and activities undertaken over the last three years;
2. A public participation plan;
3. Information on public outreach undertaken by the JPB over the past three years;
4. A plan for engaging persons with limited English proficiency;

5. Major Service Change, Disparate Impact, and Disproportionate Burden policies, and System-wide service standards and policies, which this Board adopted pursuant to Resolution No. 2013-21;
6. Results of service monitoring analysis; and
7. Results of fare and service change equity analyses conducted over the past three years; and

WHEREAS, staff has developed a proposed Title VI Program (provided to the Board via online link), including the above-referenced items and evidencing the JPB's compliance with Title VI, for Board consideration and approval; and

WHEREAS, Staff Coordinating Council recommends, and the Executive Director concurs, that the Board approve the Title VI Program for submittal to the FTA.

NOW, THEREFORE, BE IT RESOLVED the Board of Directors of the Peninsula Corridor Joint Powers Board hereby adopts the JPB's 2019 Title VI Program; and

BE IT FURTHER RESOLVED the Board of Directors authorizes the Executive Director, or his designee, to:

1. Include evidence of the Board's consideration and approval of the final JPB Title VI Program;
2. Submit the final JPB Title VI Program to the FTA; and
3. Take any other steps necessary to give effect to this Resolution, including responding to any follow-up inquiries from the FTA.

Regularly passed and adopted this 9th day of January, 2020 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary



Caltrain

Caltrain Title VI Program Update

JPB Board
January 9, 2020

Overview

- Title VI States:
 - “No person in the United States shall, on the ground of race, color or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving federal financial assistance.”
- Federal Transit Administration (FTA) Requirements
 - Monitors transit providers for Title VI Compliance as recipients of federal funds
- Caltrain Title VI Program Update is due every three years to FTA; next submission is February 7, 2020.

Review Process

1. Each section reviewed by appropriate staff to address updates, changes, or unimplemented goals.
2. Review of other Title VI Programs from Valley Transportation Authority, BART, and SFMTA for key missing components.
3. Feedback and information edited by Title VI Administrator.
4. Reviewed by appropriate staff one more time.



3

2019 Updates

- Title VI Notices: Will move to translate Notices and Complaints in all Safe Harbor Languages. Notices are at all stations.
- Procedure to request interpreters and translations for public hearings/ public meeting through Title VI Administrator
- Included more online strategies for public participation
- Used updated ACS data to define minority and low income stations



4

Transit Provider Reporting Requirements

- Service Standards and Policies (headways, amenities, train assignment, route designation, etc.)
- Demographic and Ridership Service Profile
- Public Participation Plan
- Language Access Plan
- Investigation and Complaint Procedure
- Major Service Change Policies
- Fare and Equity Analyses between 2017-2019
- Service Performance Monitoring



5

Title VI Complaints

- 9 Complaints: Complainants filed a Title VI Complaint Form.
 - Non-discriminatory reasons
 - Proof of Payment Procedures
 - Video does not show incident
 - Not supported by evidence
 - Complainant no longer wishes to pursue complaint
 - Unable to reach Complainant



6

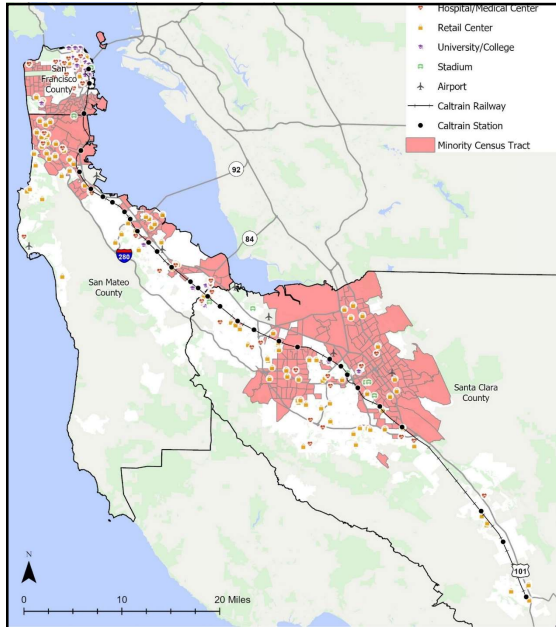
Table 9: Top 9 Predominant Languages within Caltrain Service Area

Safe Harbor Languages	ACS 2017 5 year	English Language Learner	On Board Survey 2016
Spanish	1	1	1
Chinese (incl. Mandarin, Cantonese)	2	3	2
Vietnamese	3	2	5
Tagalog (incl. Filipino)	4	4	3
Korean	5	9	5
Russian	6	8	4
Hindi	7	10	N/A
Japanese	8	6	5
Persian (incl. Farsi, Dari)	9	16	5
Punjabi	11	13	N/A
Khmer	12	22	N/A
Arabic	13	7	5
Portuguese	14	12	5
Telugu	15	11	N/A
Tamil	16	15	N/A
Gujarati	17	25	N/A
Italian	18	35	5
French (incl. Cajun)	19	17	4
Urdu	20	18	N/A

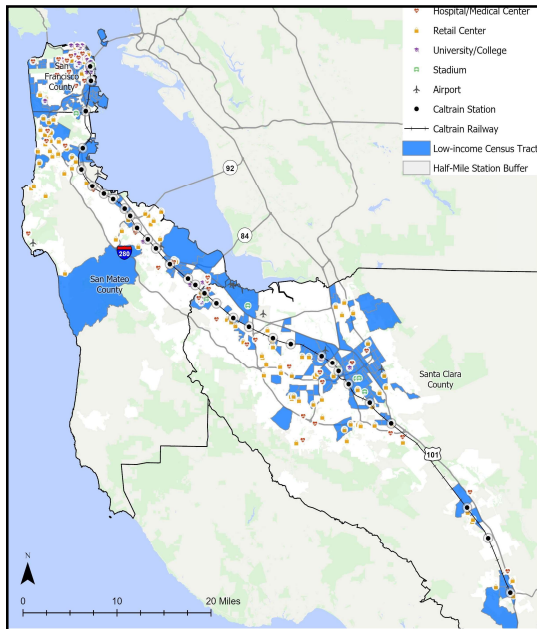


Document	Languages	Examples	Vital Document?
Title VI Notices	All Safe Harbor Languages	Fixed Route Bus Ad Card	Yes
Safety and Security Information	All Safe Harbor Languages/ Icons and Symbols to reach as many LEP riders as possible, regardless of language spoken and literacy levels.	Emergency Re Route	Depends on subject matter
Notice of Free Language Assistance	All Safe Harbor Languages		Yes
Legal Notices	All Safe Harbor Languages		Yes
Title VI Complaint Form and Procedures	All Safe Harbor Languages		Yes
Instructional or informational ridership brochures	Primary Tier 2 and Tier 3 when requested	Take ones, Traveling Tips, Rider Guides	Yes
Applications to Participate in Programs, Benefits, and Services	Primary Tier 2 and Tier 3 when requested	Paratransit Services, RTC Applications	Yes
Fare and Major Service Changes Notices	Primary Tier 2 and Tier 3 when requested		Yes
Fare and Major Service Change Documentation/Analysis	Primary and Tier 2/Tier3 as requested		No
Project Fact Sheets	Primary and Tier 2/Tier3 as determined by location and/or as requested	Translated Fact Sheets/Summaries may be created in lieu of large document translations depending on the subject matter and cost.	Depends on Subject Matter
Public Hearings	Primary (Meeting Notices) and Tier 2/ Tier 3 as requested	Formal Notices, protocols to submit comments, presentation materials	Yes
Public Outreach	Primary (Meeting Notices) Tier 2/Tier 3 languages as determined by location and as funding permits	Formal Notices, Documents that require public input, fact sheets, informational brochures with key information	Depends on Subject Matter
General Promotional Materials/ Promotional Events	Primary and Tier2/Tier3 languages as determined by location and as funding permits	Fliers, brochures	No
Construction and Other Courtesy Notices	Primary and Tier2/Tier3 languages determined by location and as funding permits.	Service Disruptions, Retrofits, Reroutes due to Events	No
Surveys	Primary as determined by location and as funding permits. Oral interpretation by request.		No





- **Minority Station:** Stations located in Census tracts where the minority population exceeds the system wide majority of 51%.
- **21/32 Stations** designated as minority



- **Low Income* Station:** Stations in Census tracts where the low income population exceeds system wide threshold of 13.1%
- Definition used by BART and VTA given region's high cost of living.
- **23/32 stations** are low-income stations

* 200% of the federal poverty guideline (1 person under \$24,999 is considered below the poverty line).



Service Policies

Standard Type	Service Standard																		
Vehicle Load	Peak- 1.2 (not to exceed 1 passenger per 5 seats) Off Peak Load Factor 1.0 (not to exceed 1 passenger per seat)																		
On Time Performance	95% Goal = reaches final destination w/in 5 min 59 secs (NB and SB). When delays occur, it affects all stations regardless of minority or low-income station status.																		
Headways	<table border="1"> <thead> <tr> <th>Station Type</th> <th>Peak</th> <th>Reverse-Peak</th> </tr> </thead> <tbody> <tr> <td>Major</td> <td>20</td> <td>20</td> </tr> <tr> <td>Intermediate</td> <td>30</td> <td>30</td> </tr> <tr> <td>Minor</td> <td>60</td> <td>60</td> </tr> <tr> <td>Gilroy</td> <td colspan="2">3 trips per peak period</td> </tr> <tr> <td>Special</td> <td colspan="2">-----Service provided as needed-----</td> </tr> </tbody> </table> <p>Midday/Evenings and Weekends: 60 minutes</p>	Station Type	Peak	Reverse-Peak	Major	20	20	Intermediate	30	30	Minor	60	60	Gilroy	3 trips per peak period		Special	-----Service provided as needed-----	
Station Type	Peak	Reverse-Peak																	
Major	20	20																	
Intermediate	30	30																	
Minor	60	60																	
Gilroy	3 trips per peak period																		
Special	-----Service provided as needed-----																		
Service Coverage	Service is largely static as service is provided to all stations during peak, reverse peak, evenings, and weekends regardless of minority or low-income station status.																		



Service Policies

Policy Type	Policy Standard																		
Vehicle Assignment:	<p>118 passenger cars are rotated on a daily basis to serve scheduled trains. Several trains a day are specified to be equipped with Gallery to utilize the higher bike capacity.</p> <p>As a fixed Guide Way system, the entire Caltrain fleet services all stations with no distinction between fleet vehicles.</p>																		
Amenities	<p>Core: Elevators, Trash bins, shelters, bike lockers, bike racks, pay phones, smart card validation equipment and ticket vending machines</p> <table border="1"> <thead> <tr> <th>Station Type</th> <th>Level</th> <th>Amenities</th> </tr> </thead> <tbody> <tr> <td>Major</td> <td>Level 1</td> <td>Core amenities</td> </tr> <tr> <td>Intermediate</td> <td>Level 1</td> <td>Core amenities</td> </tr> <tr> <td>Minor</td> <td>Level 1</td> <td>Core amenities</td> </tr> <tr> <td>Gilroy</td> <td>Level 2</td> <td>Core amenities without bike racks, PA & VMS</td> </tr> <tr> <td>Special</td> <td>Level 3</td> <td>TVMs only, at stations with scheduled stops</td> </tr> </tbody> </table>	Station Type	Level	Amenities	Major	Level 1	Core amenities	Intermediate	Level 1	Core amenities	Minor	Level 1	Core amenities	Gilroy	Level 2	Core amenities without bike racks, PA & VMS	Special	Level 3	TVMs only, at stations with scheduled stops
Station Type	Level	Amenities																	
Major	Level 1	Core amenities																	
Intermediate	Level 1	Core amenities																	
Minor	Level 1	Core amenities																	
Gilroy	Level 2	Core amenities without bike racks, PA & VMS																	
Special	Level 3	TVMs only, at stations with scheduled stops																	



Questions?



**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Seamus Murphy
Chief Communications Officer

SUBJECT: **2020 LEGISLATIVE PROGRAM**

ACTION

The Staff Coordinating Council recommends that the Board adopt the 2020 Legislative Program.

SIGNIFICANCE

The 2020 Program establishes the principles that will guide Caltrain's legislative and regulatory advocacy efforts through the 2020 calendar year, including the second half of the 2019-20 State legislative session and second session of the 116th Congress. The program is intended to be broad enough to cover the wide variety of issues that are likely to be considered during that time and flexible enough to allow Caltrain to respond swiftly and effectively to unanticipated developments. Adoption of the Program provides our legislative delegation and our transportation partners with a clear statement of Caltrain's priorities.

The 2020 Program is organized to guide Caltrain's actions and positions in support of three primary objectives:

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

The Program is structured to apply these core objectives to a series of issues detailed in the 2020 Legislative Program.

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

Caltrain and its legislative consultants will employ a variety of engagement tools to support the 2020 Legislative Program, including:

1. Direct Engagement

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

2. Coalition-based Engagement

Engage local and regional stakeholders to build awareness about specific issues and participate in local, regional, statewide and national coalitions organized to advance positions that are consistent with the 2020 Program.

3. Media Engagement

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

BUDGET IMPACT

There is no impact on the budget.

BACKGROUND

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

Prepared By: Casey Fromson,
Government and Community Affairs Director

650.508.6493

Peninsula Corridor Joint Powers Board

2020 Legislative Program

Purpose

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

The 2020 Legislative Program establishes the principles that will guide the Agency's legislative and regulatory advocacy efforts through the 2020 calendar year, including the second half of the 2019-2020 State legislative session and the second session of the 116th Congress. The program is intended to be broad enough to cover the wide variety of issues that are likely to be considered during that time and flexible enough to allow the Agency to respond swiftly and effectively to unanticipated developments.

Objectives

The 2020 Legislative Program is organized to guide the Agency's actions and positions in support of three primary objectives:

- Maintain and enhance funding opportunities to support the Agency's programs and services;
- Seek a regulatory environment that streamlines project delivery and maximizes the Agency's ability to meet transportation service demands; and
- Reinforce and expand programs that build and incentivize public transportation ridership and improve quality transportation choices.

Issues

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

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

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

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

Advocacy Process

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

Public Engagement Strategies

Staff, led by the Communications Division and its legislative consultants, will employ a variety of public engagement strategies to support the 2020 Legislative Program, including:

- Direct Engagement
Engage policymakers directly and sponsor legislation, submit correspondence and provide public testimony that communicates and advances the Agency's legislative priorities and positions.
- Coalition-based Engagement
Engage local and regional stakeholders to build awareness about specific issues and participate in local, regional, statewide and national coalitions organized to advance positions that are consistent with the 2020 Legislative Program.
- Media Engagement
Build public awareness and communicate the Agency's legislative priorities by issuing press releases, organizing media events, and through the use of social media.

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

State and Regional

Funding Opportunities and Challenges

<i>Issue / Background</i>	<i>Strategy</i>
<p>General Funding In 2017, the State enacted SB 1, which provides \$5.2 billion to maintain local streets and roads and highways, ease traffic congestion, and provide mobility options through investments in public transportation and bicycle and pedestrian programs.</p> <p>In 2014, the Legislature called for, via SB 1077, a pilot program to study a road charge model as an alternative to the gas tax. The nine-month pilot began in July 2016, with over 5,000 participating vehicles statewide. The California State Transportation Agency (CalSTA) reported its findings from the Legislature to the CTC and the Legislature in 2018.</p>	<ul style="list-style-type: none"> ● Protect against the elimination or diversion of any State or regional funds that support the agency’s transportation needs. ● Support State funding allocation requests for investments that benefit the agency’s transportation programs and services. ● Work with statewide transit coalitions to identify and advance opportunities for funding that would support the agency’s transportation priorities. ● Support efforts to provide funding for the deployment of zero emission transit vehicles and infrastructure. ● Monitor recommendations of the Road Usage Charge (RUC) Technical advisory Committee and implementation of a RUC program by the California State Transportation Agency (CalSTA). ● Monitor efforts to implement a mileage-based user fee as a potential revenue source.
<p>Formula Funding After years of diversion to support the State’s General Fund, funding for the State Transit Assistance (STA) program has remained stable over the last few budget cycles thanks to successful legal, legislative and political efforts on behalf of the transportation community. Still, more revenue is needed in order to meet the demand of increased ridership, reduce highway congestion and adhere to the State’s mandate of reducing greenhouse gas emissions, and creating livable communities.</p>	<ul style="list-style-type: none"> ● Support the full funding of the STA program at levels called for in the 2011 reenactment of the 2010 gas-tax swap legislation. ● Advocate for the regularly scheduled issuance of State infrastructure bonds that support the Agency’s services and programs. ● Support full and timely allocation of the Agency’s STIP share. ● Support CTA efforts to engage the Legislature on TDA reform and the review of performance measures for transit.

<p>In 2019, the California Transit Association convened a working group, at the request of the Senate and Assembly Transportation Committees to review and provide potential changes to the Transportation Development Act (TDA). The Agency is part of the working group.</p>	
<p>Cap-and-Trade Revenues In 2012, the State began implementing the cap-and-trade market-based compliance system approved as a part of the California Global Warming Solutions Act of 2006 (AB 32). Since the program began selling allowances, the program has generated billions of dollars. In 2014, legislation was enacted creating a long-term funding plan for cap-and-trade which dedicates 60 percent of cap-and-trade revenues to transportation. The remaining 40 percent is subject to annual appropriation through the state budget process. In 2017, the legislature extended the program from 2020 to 2030.</p> <p>Caltrain is eligible for funding through the Low Carbon Transit Operations Program, the Transit and Intercity Rail Capital Program, and the Affordable Housing Sustainable Communities Program. Each program’s requirements, oversight, and competitiveness vary.</p> <p>The programs require a certain percentage of funds be expended in state defined “disadvantaged communities” (as defined by CalEnviroScreen). This can prove difficult in</p>	<ul style="list-style-type: none"> • Work with the Administration and like-minded coalitions to secure the appropriation of additional cap-and-trade revenues to support the Agency’s transportation needs. • Support legislation and regional action that makes a broad array of the Agency’s emissions-reducing transportation projects, programs and services eligible for investment. • Protect existing cap-and-trade appropriations for transit operations, capital projects and sustainable communities strategy implementation. • Work to direct additional revenues to transit-eligible programs, including efforts to secure funding from the remaining discretionary funds and revenues dedicated to the high-speed-rail project. • Support efforts to revise the State’s definition on “disadvantaged communities” to encompass a larger proportion of disadvantaged communities on the Peninsula.

<p>jurisdictions with a small number of disadvantaged communities.</p>	
<p>Voter Threshold Legislation has been considered in recent years that provide a framework for lowering the thresholds for the State or a city, county, special JPB or regional public agency to impose a special tax.</p>	<ul style="list-style-type: none"> • Support efforts to amend the State Constitution to reduce the voter threshold required for the State or a city, county, special district or regional transportation agency to impose a special tax for transportation projects or programs.
<p>Other State or Local Funding Options Local and regional governments continue to seek methods for funding new infrastructure, facility needs, sustainability initiatives, and projects that will support ridership growth through a variety of methods such as managed lanes and local ballot measures.</p> <p>In 2017, SB797 gave Caltrain the authority to place a three county, 1/8 sales tax measure on the ballot. There is no sunset date for the measure to be enacted.</p> <p>A potential regional transportation measure (called FASTER) is being led by the Bay Area Council, Silicon Valley Leadership Group and SPUR. They are working towards a November 2020 ballot and many details about the expenditure plan are still being discussed.</p>	<ul style="list-style-type: none"> • Advocate for legislation that would create new local funding tools to support transportation infrastructure and services. • Support innovative local and regional funding options that will provide financial support for the agency. • Support legislation that works to ensure revenues generated through express lane projects remain in the County of origin. • Advocate for funding sources that would assist transit agencies in obtaining funds for sustainability initiatives including water conservation, waste reduction, long-term resource efficiency of facilities and equipment, and greenhouse gas reductions. • Support funding for workforce development, retention and housing to attract and retain quality personnel. • Support efforts to implement SB797. • Support efforts that allow for public private partnerships that benefit the implementation of capital projects, efficient operation of transit services, or enhanced access to a broad range of mobility options that reduce traffic congestion. • Work to ensure the agency is at the table and appropriately funded as part of any “FASTER” regional funding measure.
<p>Transportation & Housing Connection Given the housing shortage crisis, there have been efforts at the State and regional level to link housing and zoning with transportation funding</p>	<ul style="list-style-type: none"> • Evaluate state or regional efforts that directly link transportation funding to housing • Advocate for solutions that appropriately match decision making authority with funding (i.e – An agency shouldn’t be financially penalized for decisions that are outside the authority of the agency)

Transportation Projects	
<p>General As the Bay Area’s population continues to grow, the region’s transportation infrastructure is being negatively impacted. Highways, local streets and roads are becoming heavily congested, Caltrain is nearing its capacity limits, and the demand for housing with easy access to public transit is increasing.</p>	<ul style="list-style-type: none"> • Work with partners in the region to bring business, community, and transportation stakeholders together to enhance, support and advocate for transportation and mobility in the Bay Area.
<p>Caltrain Modernization (CalMod) Program In 2012, the State Legislature appropriated \$705m in Prop 1A high-speed rail funds to modernize the Caltrain corridor and lay the foundation for future high-speed rail service. Under a multi-party regional funding agreement, this investment was matched with a variety of local, regional, state and federal funding sources to electrify the corridor, install an advanced signaling system and replace Caltrain’s aging diesel trains with electric trains that will dramatically improve service between San Francisco and San Jose. The CalMod program is a transformational first step in the realization of a larger future for Caltrain that will be guided by the Caltrain 2040 Business Plan efforts.</p> <p>Caltrain 2040 Business Plan In October 2019, the Caltrain Board adopted a long-term 2040 Service Vision, defining an ambitious plan for growing service over the next 20-plus years. The service vision outlines the capital and operating needs to achieve the this vision and includes projects such as longer EMU fleet, longer platforms, level</p>	<ul style="list-style-type: none"> • Advocate for the sale and allocation of Proposition 1A bonds to meet the commitments specified in SB 1029 with respect to the Caltrain corridor and work to include funding for Caltrain in any future Proposition 1A appropriations. • Support the allocation of cap-and-trade funding to advance implementation of the CalMod Program. • Work with state, local and regional partners to advance policies and actions that will help secure funding needed to fulfill local, regional and state commitments to the CalMod Program. • Work to address regulatory challenges that limit the implementation of solutions that will maximize Caltrain capacity and service benefits. • Advocate for funding and policies to support grade separation projects. • Support the allocation of cap-and-trade or other state / regional funding to advance implementation of Caltrain projects. • Work to address regulatory actions or policies that negatively impact Caltrain future capacity or service improvements. • Support the implementation of the Caltrain Business Plan associated projects and policies. Continue to educate the Caltrain legislative delegation and key members of the Administration on the Plan. • Ensure relevant state and regional agencies incorporate relevant elements of the Caltrain business plan in their long-term plans. • Consistent with existing agreements between JPB and CHSRA, support efforts to plan, engage stakeholders, and implement the Blended System project on the Caltrain corridor.

<p>boarding, passing tracks, grade separations and station upgrades. It also identified needs to prepare the railroad to expand and integrate into a regional rail network. The plan is expected to be complete in 2020.</p> <p>High-Speed Rail Blended System In 2016, a new round of HSR Blended System planning, outreach and environmental clearance work kicked-off in the corridor. HSR anticipates releasing a Draft EIR in 2020. While this project is not being led by the JPB, the agency owns the right-of-way and has a significant interest in the process and success of the project that will “blended” with Caltrain service. HSR may ask for another Prop 1A allocation in 2020. HSR will also release a 2020 Business Plan.</p>	<ul style="list-style-type: none"> • Ensure Caltrain is positioned to receive funding if there is an appropriation of Cap and Trade funds and/or bond funds in support of the state’s rail modernization efforts.
<p>Transit Oriented Development / First and Last Mile First and last mile projects, as well as transit oriented development projects are an important part of the broad transit ecosystem that will help support robust ridership in the corridor.</p>	<ul style="list-style-type: none"> • Support efforts to provide commuters with easy and convenient options to travel to and from major transit centers to their final destination. • Support the development of new and innovative first and last mile options. • Support increased funding opportunities for first and last mile projects. • Advocate for policies that promote transit-oriented developments in ways that with compliment transit services. • Support the State’s GHG reduction goals by supporting transit oriented developments. • Support state funding incentives and streamlining processes for transit oriented development.
<p>Transportation Demand Management (TDM) TDM is the application of strategies and policies to reduce travel demand of single-occupancy vehicles or to redistribute this demand in space or time.</p>	<ul style="list-style-type: none"> • Support efforts that provide more TDM tools and funding opportunities. • Support policies that encourage use of TDM.

Regulatory and Administrative Issues	
<p>General Every year a variety of legislation or regulatory action is pursued that would affect regulations governing transportation-related service operations, administration, planning and project delivery. In addition, opportunities exist to reform or update existing regulations that are outdated, or can be improved to address potential burdens on transportation agencies without affecting regulatory goals.</p>	<ul style="list-style-type: none"> • Support opportunities to remove barriers to, and improve the ability to conduct, safe, efficient transportation operations, administration, planning and project delivery efforts, including alternative project delivery methods that provide flexibility to the agency. • Oppose efforts to impose unjustified and burdensome regulations or restrictions on the Agency’s ability to conduct efficient transportation operations, administration, planning and project delivery efforts.
<p>California Environmental Quality Act (CEQA) Several regional and statewide transportation organizations continue working to modernize CEQA and minimize unnecessary delays during the environmental review process.</p>	<ul style="list-style-type: none"> • Closely monitor efforts to modernize CEQA. Without compromising CEQA’s effectiveness as an environmental protection policy, support proposals that advantage transportation projects, such as transit expansion, pedestrian / bicycle improvements, and transit oriented development.
<p>Sustainable Communities Strategies Implementation In conjunction with AB 32 and SB 32 implementation, the Sustainable Communities and Climate Protection Act (SB 375) requires regions to develop Sustainable Communities Strategies (SCS) with integrated housing, land-use and transportation policies that will accommodate population growth and reduce regional greenhouse gas emissions by specific amounts. In 2017, regional authorities in the Bay Area approved the update to Plan Bay Area (PBA 2040). Currently, MTC and ABAG are in the process of updating the Plan. The final Plan Bay Area 2050 is expected to be adopted in 2021.</p>	<ul style="list-style-type: none"> • Advocate for policies that provide adequate and equitable funding to support increased demand and dependence the Agency’s transportation services associated with the implementation of SB 375 and Plan Bay Area. • Ensure any planning, development, or policy proposals are consistent with the Agency’s policies and planning, especially the Caltrain Business Plan.
<p>State Rail Plan Caltrans released the 2018 California State Rail Plan which will provide a framework for planning and implementing</p>	<ul style="list-style-type: none"> • Closely monitor the State Rail Plan for potential opportunities to leverage resources for the Caltrain corridor.

California's rail network for the next 20 years and beyond.

- Ensure the State Rail Plan appropriately characterizes the Caltrain system and future plans.
- Ensure any planning, development, or policy proposals for a second bay crossing are consistent with Caltrain policies and planning.

Federal

Funding Opportunities and Challenges

Issue / Background

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

In September 2019, Congress passed a continuing resolution (CR) to keep federal agencies funded at the same level as the previous fiscal year, through November 21, 2019. Congress is expected to pass a CR or omnibus appropriations bill to fund the government for the fiscal year 2020.

The President and the Department of Transportation (DOT) have proposed phasing out the Capital Investment Grant program (New Starts/Small Starts/Core Capacity) in the annual budget request. However, Congress continues to provide funding for the program and has include language in the annual Transportation/HUD Appropriations bills requiring the Federal Transit Administration (FTA) to allocate funding for projects and to continue to sign full funding grant agreements.

Strategy

- Partner with local, regional, State and national coalitions to advocate appropriation of the maximum authorized amount for programs that benefit the agency's transportation services and needs.
- Work with local and regional coalitions to support requests for funding from discretionary programs, including the Capital Investment Grant program.
- Communicate frequently with the agency's federal delegation and key appropriators on the needs or concerns of pending appropriation bills.

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

<p>prepare the railroad to expand and integrate into a regional rail network.</p> <p>High-Speed Rail Blended System In 2016, a new round of HSR Blended System planning, outreach and environmental clearance work kicked-off in the corridor. HSR anticipates releasing a Draft EIR in 2020. While this project is not being led by the JPB, the agency owns the right-of-way and has a significant interest in the process and success of the project that will “blended” with Caltrain service. HSR may ask for another Prop 1A allocation in 2020. HSR will also release a 2020 Business Plan.</p>	
Regulatory and Administrative Issues	
<p>General Every year a variety of legislation or regulatory action is pursued that would affect regulations governing transportation-related service operations, administration, planning and project delivery. In addition, opportunities exist to reform or update existing regulations that are outdated, or can be improved to address potential burdens on transportation agencies without affecting regulatory goals.</p>	<ul style="list-style-type: none"> • Support opportunities to remove barriers to, and improve the ability to conduct, safe, efficient transportation operations, administration, planning and project delivery efforts, including alternative project delivery methods that provide flexibility to the agency. • Oppose efforts to impose unjustified and burdensome regulations or restrictions on the Agency’s ability to conduct efficient transportation operations, administration, planning and project delivery efforts.
<p>FAST Act Reauthorization and other Regulations The FAST Act expires in September 2020. Congressional authorization committees have been holding hearings throughout 2019. The Senate Environment and Public Works Committee passed its bill, America’s Transportation Infrastructure Act of 2019 (S. 2302), on July 30, 2019. The bill authorizes \$287 billion over five</p>	<ul style="list-style-type: none"> • Collaborate with local, regional, state and national transportation advocacy groups to coordinate comments and advocacy efforts that support regulations that maximize benefits for transportation programs, services and users. • Collaborate with local, regional, state and national transportation advocacy groups to coordinate proposals and advocacy efforts for FAST Act reauthorization. • Monitor and review guidance and rulemaking proposals affecting FAST Act implementation and other transportation issues.

<p>years, including \$259 billion for highway formula programs. The total represents an increase of over 27 percent from FAST Act funding. The legislation maintains the existing rail-highway grade crossing set-aside at the current \$245 million per year but increases the federal cost share for the grants from 90 percent to 100 percent. The bill also allows states to use these funds for projects to reduce pedestrian injuries and fatalities from trespassing on railroad right-of-way.</p> <p>Funding has still not been identified to pay for the bill. The other authorization committees in the Senate and House still need to draft and pass their bills. During Congress' consideration of the reauthorization bill, there will be an opportunity to change, increase funding, and implement new policy for highway, transit, and rail programs.</p> <p>USDOT will also issue guidance, new rulemaking, and take action in response to Executive Orders on a variety of issues outside the scope of the FAST Act.</p>	
<p>Infrastructure Proposals Congress could consider an infrastructure package in 2020 that would include increased funding for highways, transit, aviation, and water programs. Funding for these programs has yet to be identified.</p>	<ul style="list-style-type: none"> • Monitor closely and take action as needed on new Administration or Congressional policies that may have a significant impact on transit / transportation projects and programs. • Advocate for funding for the Agency's projects and needs in a broad infrastructure proposal.

PENINSULA CORRIDOR JOINT POWERS BOARD
RESOLUTION 2020 – 3

EXPRESSING APPRECIATION TO

GILLIAN GILLETT

**FOR HER OUTSTANDING PUBLIC SERVICE ON THE
PENINSULA CORRIDOR JOINT POWERS BOARD OF DIRECTORS**

WHEREAS, GILLIAN GILLETT was first appointed to the Joint Powers Board to represent the City and County of San Francisco in 2017; and

WHEREAS, GILLIAN GILLETT was selected to serve as the Vice Chair of the Board in 2018 and subsequently as Chair in 2019; and

WHEREAS, GILLIAN GILLETT, as Director of Transportation Policy for the City and County of San Francisco, had an extensive and impressive understanding of transportation issues which proved instrumental in assisting the Board in making critical decisions; and

WHEREAS, GILLIAN GILLETT, during her tenure on the Board, always put the region's best interests first in making each and every decision, which fostered widespread respect from her colleagues, high regard among staff and other leaders in the community; and

WHEREAS, GILLIAN GILLETT was an effective steward of the Peninsula Corridor Electrification Project, providing insight and accountability to ensure the project is delivered on schedule; and

WHEREAS, GILLIAN GILLETT pushed for improved amenities for bicyclists at stations, including expanded bike parking options and additional bike share availability; and

WHEREAS, GILLIAN GILLETT advocated for equity in the Caltrain system, pushing the agency to participate in the Means Based Fare piloted by MTC; and

WHEREAS, GILLIAN GILLETT helped initiate efforts to create an effective transit oriented development policy, to allow Caltrain to expand its sources of revenue while also combating the housing crisis; and

WHEREAS, GILLIAN GILLETT was instrumental in implementing 22nd Street Beautification Project, which modernized and improved a station that is critical to thousands of Caltrain riders; and

WHEREAS, GILLIAN GILLETT was a strong voice in favor of the developing Caltrain Business Plan, promoting a service vision that better serves our riders by increasing the frequency and flexibility of the system in order to meet growing demand; and

WHEREAS, during GILLIAN GILLETT's tenure, she has been a leader and an advocate, dedicated to fulfilling the agency's mission and improving the lives of people throughout the Caltrain Corridor; and

NOW, THEREFORE, BE IT RESOLVED that the Caltrain Board of Directors hereby commends and expresses its sincere appreciation to **GILLIAN GILLETT** for her outstanding service and for her many accomplishments on the Caltrain Joint Powers Board.

Regularly passed and adopted this 9th day of January, 2020.

Chair, Peninsula Corridor Joint Powers Board





Memorandum

Date: December 30, 2019
To: Board of Directors
From: Jim Hartnett, Executive Director
Subject: January 9, 2020 JPB Board Meeting Executive Director's Report

- **On-time Performance –**
 - **Through December 29:** The preliminary December 2019 OTP was 92.3 percent compared to 92.2 percent for December 2018.
 - **Trespasser Strikes –** There were two trespasser strikes on December 2 and December 11, one resulting in a fatality.
 - **November:** The November 2019 OTP was 93.3 percent compared to 93.9 percent for November 2018.
- **Caltrain Mobile Ticketing –** Caltrain Mobile launched in February 2018 which has allowed customers to purchase One-way, Day Pass and Zone Upgrade tickets conveniently. Since then, more than one million of tickets were sold through the app, over nine million in revenue collected. In mid-December, Caltrain added daily parking. The initial soft launch alerted the riders via a splash screen on the app to notify of the availability of the product. Hard launch date is scheduled after the holidays. Various collateral and advertisements will further promote to customers the availability of daily parking on the mobile app.
- **Hillsdale Station Triangle Parking Lot Closure –** The Hillsdale Station triangle parking lot located on the east side of the station will close permanently on Monday, January 27, 2020. The JPB's lot lease is being terminated in order to develop the property. Caltrain customers will be informed of alternative parking on the east side of the station between 28th Ave and 31st Avenues. Other parking lot impacts and improvements are also being coordinated with the City of San Mateo. The lot closure will also

have a significant impact on all Hillsdale Station shuttles that utilize the parking lot. Staff is also working with the City to relocate shuttle pick-up and drop-off along Pacific Avenue adjacent to the east side of the station. Customer Experience staff in coordination with other departments is in the process of finalizing and executing efforts to inform customers and shuttle operations. Additional details are available on the Hillsdale Station webpage <http://www.caltrain.com/stations/hillsdalestation.html>.

- **CAC Meeting** – The Citizens Advisory Committee met on Wednesday, December 18, in San Carlos. Ryan McCauley, Government & Community Affairs Specialist, provided an update on the 2020 Draft Legislative Program. Rob Scarpino, Deputy Director – Railroad Infrastructure Maintenance, provided a presentation on Right of Way Clean-up. Joe Navarro, Deputy Chief – Rail Operations, provided an update on the impact on riders due to weather. Joe also provided the Staff Report. The next CAC meeting is scheduled for Wednesday, January 15, in San Carlos.
- **BAC Meeting** – The next Bicycle Advisory Committee is scheduled for Thursday, January 16, in San Carlos.
- **Special Event Train Service**

Services Provided:

- **SF 49ers Regular Season** – The 49ers hosted 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 5:20 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 for both weekend games and one post-event special train for the weekday game. Total riders alighting and boarding at Mountain View station in November was 6,398. Total year-to-date ridership alighting and boarding at Mountain View station in November was 14,598, a 14 percent increase compared to the same number of games in 2018.

The 49ers hosted the Atlanta Falcons on Sunday, December 15, at 1:25 p.m., and the Los Angeles Rams on Saturday, December 21 at 5:15 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. December event ridership will be provided in February.

- **Stanford Football Regular Season** – The Stanford Cardinal hosted Cal (the Big Game) on Saturday, November 23, at 1:00 p.m. Caltrain operated one pre-game and one post-game special train. Total riders alighting and

boarding at Stanford Station was 2,021, a one percent decrease compared to 2017 Big Game ridership.

The Stanford Cardinal hosted Notre Dame on Saturday, November 30, at 1:00 p.m. Total riders alighting and boarding at Stanford Station was 566, a 34 percent decrease compared to 2018 average ridership per game.

Season total ridership alighting and boarding at Stanford Station, excluding the Big Game, was 3,629, and average ridership per game was 726, a 15 percent decrease compared to 2018.

- **Warriors Regular Season** – The Golden State Warriors hosted seven games in November. Total post-game additional riders, boarding at San Francisco station in November was 4,139. Year-to-date post-game additional riders, boarding at San Francisco station in November was 7,867.

The Golden State Warriors hosted eight games in December. Event ridership will be provided in February.

- **San Jose Sharks Regular Season** – The Sharks hosted eleven games in November. Total post-game additional riders, boarding at San Jose Diridon station in November was 2,830. Total year-to-date post-game additional riders, boarding at San Jose Diridon station in November, was 4,211, which represents a six percent increase compared to the same number of games in the 2018/2019 season.

The Sharks hosted eight games in December. Event ridership will be provided in February.

- **Bad Bunny Concert at Chase Center** – On Sunday, November 24, the Bad Bunny concert was held at the new Chase Center at 7:00p.m. In coordination with Chase Center in order to accommodate the crowds after regular Caltrain Sunday service, Caltrain operated one extra post-event local train. Total additional post-event ridership was 93.
- **PAC-12 College Football Championship Game** – The PAC-12 College Football Championship game was held at Levi's Stadium on Friday, December 6 at 5:00 p.m. Caltrain operated regular weekday service. There were 1,359 pre- and post-game riders at Mountain View station.
- **Holiday Train** – Caltrain operated the Holiday Train in collaboration with the Silicon Valley Community Foundation (SVCF) on Saturday, December 7 and Sunday, December 8. On Saturday, December 7, the train departed San Francisco and made stops at Burlingame, Redwood City, Mountain View,

and Santa Clara. On Sunday, December 8, train also departed San Francisco and made stops at Millbrae, San Mateo, Menlo Park, and Sunnyvale.

During Holiday Train weekend, despite the stormy weather thousands of people converged on Peninsula train stations to experience the glittering show train, holiday tunes, Santa and his friends and take the opportunity to donate toys for children in need.

Approximately 1,161 toys were collected during Holiday Train weekend. An additional 259 toys were collected by San Mateo County Transit District employees and the SamTrans Stuff A Bus Toy Drive. This season's holiday toy drive brought in a total of 1,420 toys.

Toys donated at stations benefit the Salvation Army's Toy & Joy Program. A \$15,000 donation made to the U.S. Marine Corps Reserve's Toys for Tots program by the Holiday Train enabled the purchase of approximately 1,500 toys for the non-profit organization.

Community support is a hallmark of the Holiday Train. Working at the San Francisco rail yard, volunteers spent every Saturday for two months decorating the train. Ambassadors at train stations helped pass out candy canes, programs and stickers to joyous onlookers. Local artists and vendors provided entertainment at each station before the train arrived. Those who volunteered to wear a holiday character costume were rewarded by the delighted response of the thousands of families who turned out for the event.

- **Holiday Service** – During the following Holidays, Caltrain operated the following schedules:
 - Tuesday, December 24 – Christmas Eve (Regular Weekday schedule)
 - Wednesday, December 25 – Christmas Day (Sunday schedule)

Services Scheduled:

- **Redbox Bowl (California Golden Bears vs. Illinois Fighting Illini)** – The Redbox Bowl College Football game will be held at Levi's Stadium on Monday, December 30 at 1:00 p.m. Caltrain will operate regular weekday service and will track pre- and post-game ridership.
- **SF 49ers Regular Season** – The SF 49ers have clinched the West Division and the NFC's No 1 overall seed. The 49ers will host the NFL divisional

playoff game at Levi's Stadium on Saturday, January 11 at 1:35 p.m. (team opponent TBD). Caltrain will operate one extra pre-game train with limited stops and one extra post-game local train from Mountain View to San Francisco.

Caltrain will support the 49ers with extra service as needed for all home games at Levi's Stadium during the post-season.

- **San Jose Sharks** – The Sharks will host four games in January. 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 January. In coordination with Chase Center, Caltrain will operate regular service for all home games and continues to monitor ridership as well as identify the need for additional or modified post-game service. Caltrain will track post-game service ridership at SF Station for all home games.
- **Holiday Service** – During the following Holidays, Caltrain will operate the following schedules:
 - 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:
 - Monday, January 20 – Martin Luther King Day
 - Monday, February 17 – President's Day

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

- **Caltrain NorCalMLK Celebration Train** – The Caltrain NorCalMLK Celebration Train will operate on Monday, January 20, 2019. The Celebration Train will provide free service for those who wish to attend the annual celebration of the life and legacy of Dr. King in San Francisco hosted by the Northern California Dr. Martin Luther King, Jr. Community Foundation (NorCalMLK).

Attendees must register in advance in order to receive a free Celebration Train commemorative ticket. Commemorative tickets will be valid for the Celebration Train and for one southbound Caltrain trip after 1 p.m. on January 20, 2019. The train will depart from the San Jose Diridon Caltrain Station at 9:35 a.m. It will make stops in Palo Alto at 9:55 a.m. and San Mateo at 10:19 a.m. before arriving in San Francisco by 10:45 a.m. There is no special southbound service. However, MLK Celebration Train tickets will be accepted on southbound trains departing San Francisco after 1 p.m. that day.

- **Capital Projects –**

The Capital Projects information is current as of December 13, 2019 and is subject to change between December 13 and January 9, 2020 (Board Meeting).

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

In December, assembly of the 31st Avenue Bridge steel bridge was completed. Painting of the bridge will ensue when the weather permits such activity. Ramp and stair walls for the future relocated Hillsdale Station by 28th Avenue continued.

Trackwork construction began in the elevated segments of MSE Wall A (Borel to 25th Avenue) and MSE Wall B (25th Avenue to 28th Avenue. Construction of the panels of MSE Wall C (between 28th Avenue and the new Pedestrian Underpass) was completed and the coping in this section is now in progress. Construction of MSE Wall D (between the Pedestrian Underpass and 31st Avenue), and MSE Wall E (between 31st Avenue and existing Hillsdale station) continued.

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 Spring of 2020 until Fall of 2020. The planned dates for the temporary closure were extended due to the Third Party Fiber Optic (TPFOC) utility relocation delays in early 2019. During the temporary closure, enhanced bus and shuttle service to the Belmont Station will be provided to minimize the temporary passenger inconvenience.

The original San Mateo Parking Track (i.e., Bay Meadows Set-Out 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 future replacement locations. Staff is currently preparing follow up to comments received at the Community Meeting and a follow-up Community Meeting is planned for January 13 to review community comments to the feasibility analysis.

During December, construction of a drainage ditch along the right-of-way from 9th Avenue to 14th Avenue, in order to improve the area's water runoff in anticipation of this upcoming Winter season's rains, was to have been completed. Progress of the work, that was originally expected to be completed in November, was delayed by the rains in late November and early December.

- **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 December, construction of OCS foundations and the removal of abandoned underground utilities were in progress. Shoring, that is required to commence construction of the pedestrian underpass and the station, is expected to begin in January.

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 requires additional funding allocation to ensure construction can continue and key milestones can be achieved. Funding with the San Mateo County Transit Authority (TA) and City of South San Francisco have been finalized and the JPB board authorized the receipt of additional funding and increased contract authority in December.

- **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 early 2020 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 scope of the

original contract was increased to include upgrades to the credit card reader and the database.

Testing of the new credit card reader is currently in progress. The completion of the 2 prototype machines is expected in 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 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 35% design is currently in progress. 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. Ten (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 project has completed the preliminary 35% design phase and is now progressing towards completion of the 65% final design submittal that is expected at the end of December. 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 and the contract has been executed with a Notice to Proceed issued on November 11, 2019. Kickoff meetings with the design consultant, Xentrans, have been held. 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 complete disassembly of the main diesel engine, overhauling by reconditioning re-usable main frame components and re-assembly with new engine components and replacement of the Separate Head-End Power (SEP-HEP) unit and all electrical components of the SEP-HEP compartment. All areas of the locomotive 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 has returned to service. Locomotive #922 is still undergoing refurbishment at the vendor's facility and expected to be returned in March 2020.

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 Request for Proposal (RFP) was advertised on November 11, 2019 and the proposals due date has been extended from December 31, 2019 to January 31, 2020 to allow for additional time for proposer's questions and for JPB proposal clarifications and responses to questions. Award of the contract is planned for Spring 2020.

The 6 locomotives to be overhauled are Locomotive #'s 923, 924, 925, 926, 927 & 928. In order to maintain daily service, only 1 to 2 of these locomotives will be released at a time for overhaul that is expected to take approximately 8 months per locomotive. Due to this restriction, the overall completion of this work is expected to take approximately 4 years.

**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). The MPR is available online under "Reports and Presentations" at this webpage: http://www.caltrain.com/projectsplans/CaltrainModernization/CalMod_Document_Library.html. No action required.

SIGNIFICANCE

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

BUDGET IMPACT

There is no impact on the budget.

BACKGROUND

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

Prepared by: Josh Averill, Program Management Administrator

650.508.6453



Modernization Program Peninsula Corridor Electrification Project (PCEP)



November 2019 Monthly Progress Report

November 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:

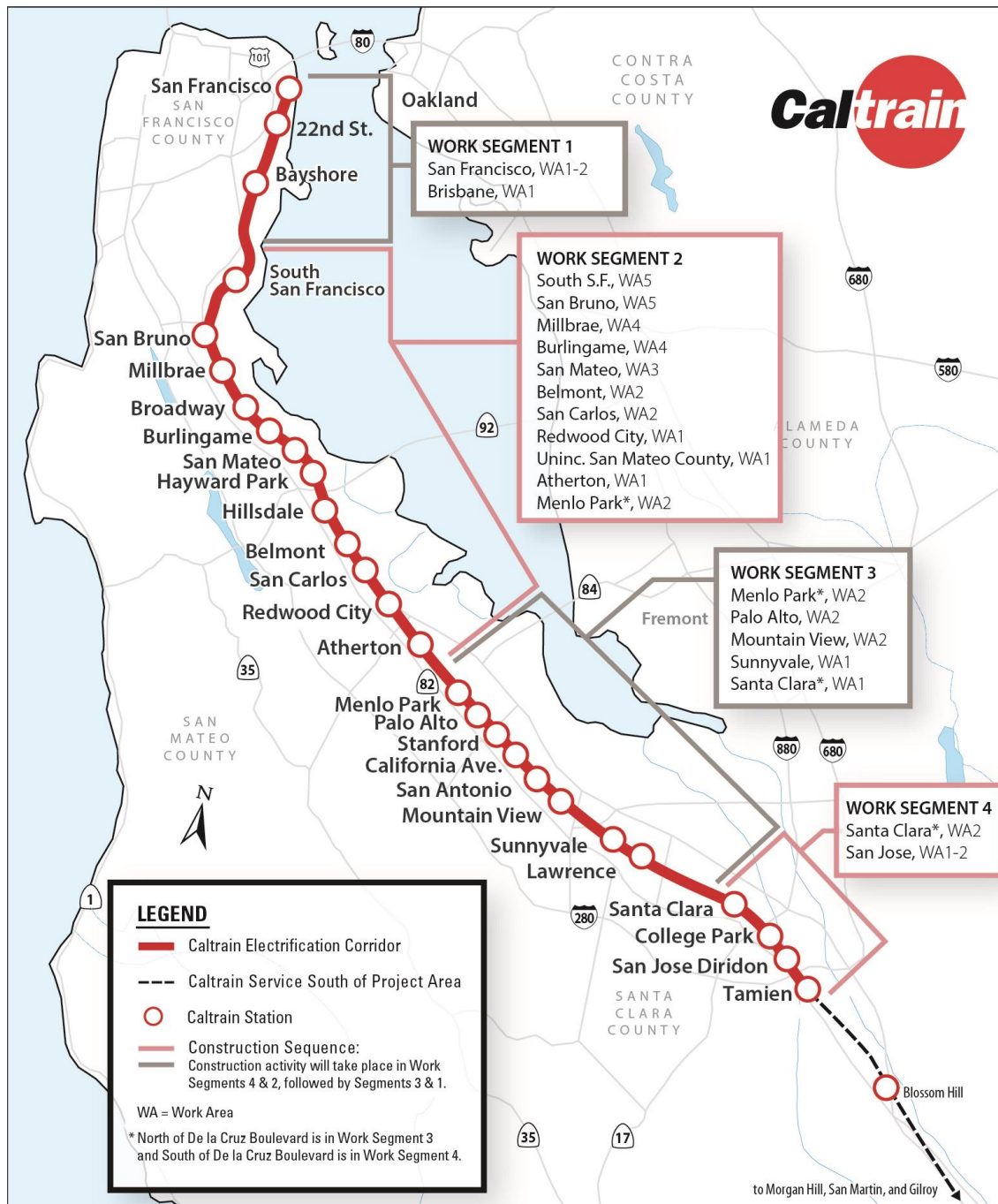
- **Improved Train Performance, Increased Ridership Capacity and Increased Service:** Electrified trains can accelerate and decelerate more quickly than diesel-powered trains, allowing Caltrain to run more efficiently. In addition, because of their performance advantages, electrified trains will enable 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



Peninsula Corridor Electrification Project
Monthly Progress Report

Electrification infrastructure construction activities this month include installation of 151 Overhead Catenary Systems (OCS) foundations in Segment 3-2, installation of OCS poles and assemblies in Segment 4, installation of signal equipment and signal cable in Segment 4, and electrical equipment and cable installation at Traction Power Substations 1 and 2.

EMU activities include structural and electrical tests, as well as a swing test to confirm clearances between car body, trucks, and gear. As a result of resolution of resource and parts shortages, Stadler’s car production rate has improved.

The Centralized Equipment Maintenance and Operations Facility construction activities included completion of the formwork buildout for the maintenance inspection pit.

2.1. Monthly Dashboards

Dashboard progress charts are included below to summarize construction progress.

Figure 2-2 Expenditure – Planned vs. Actual

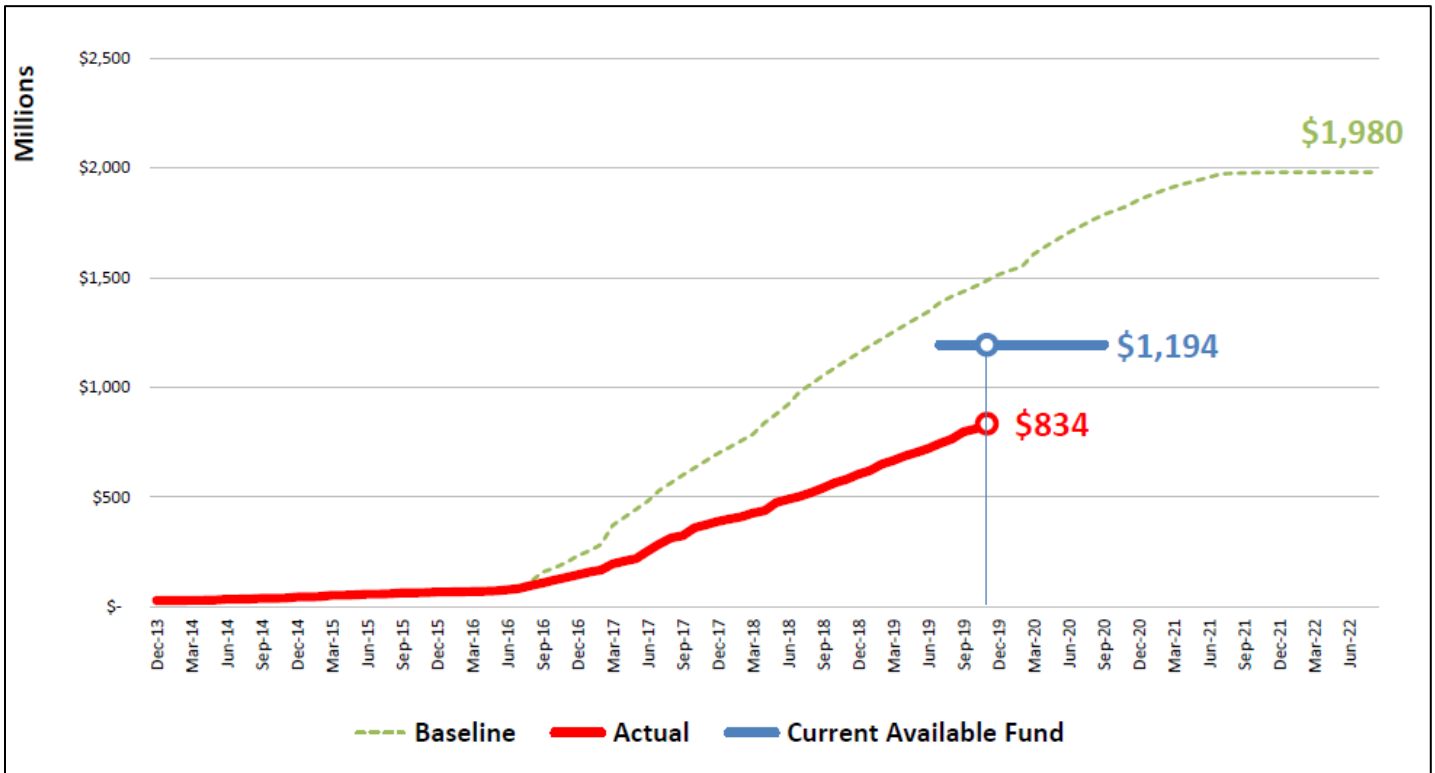


Figure 2-3 Spending Rate vs. Required

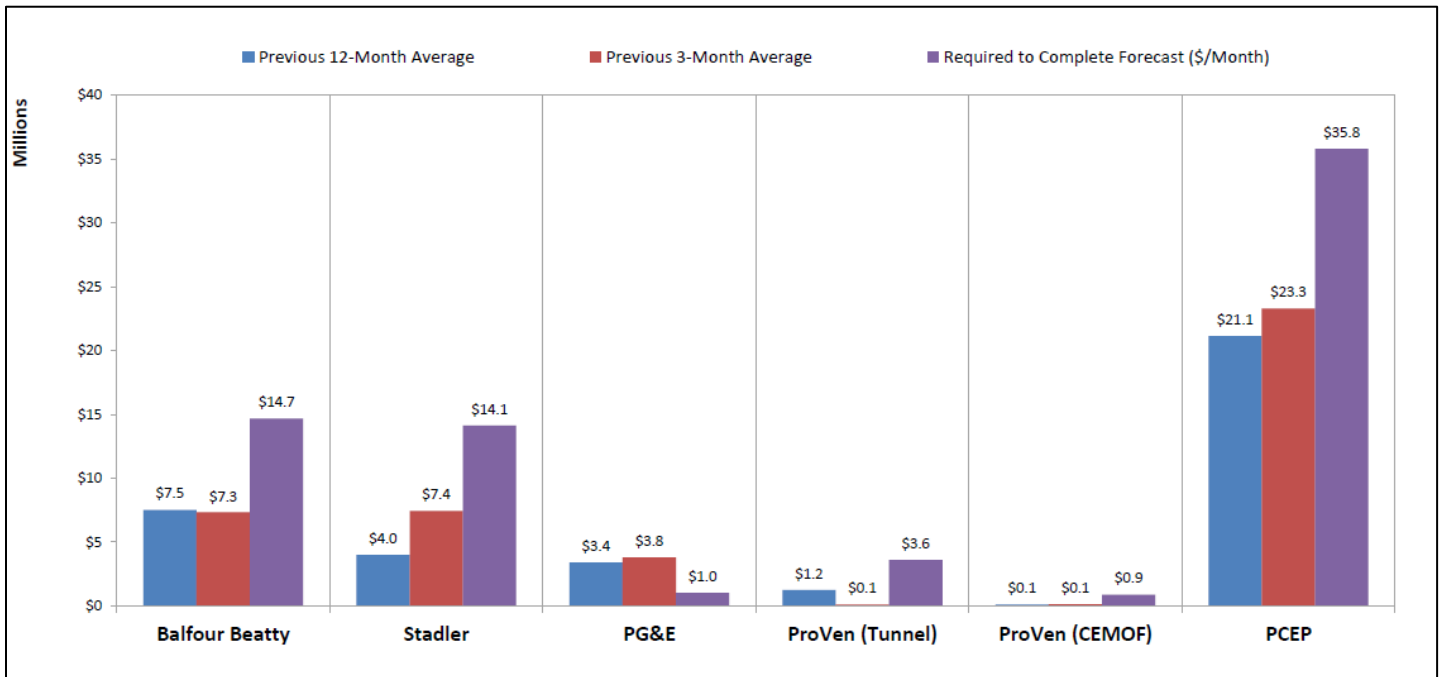
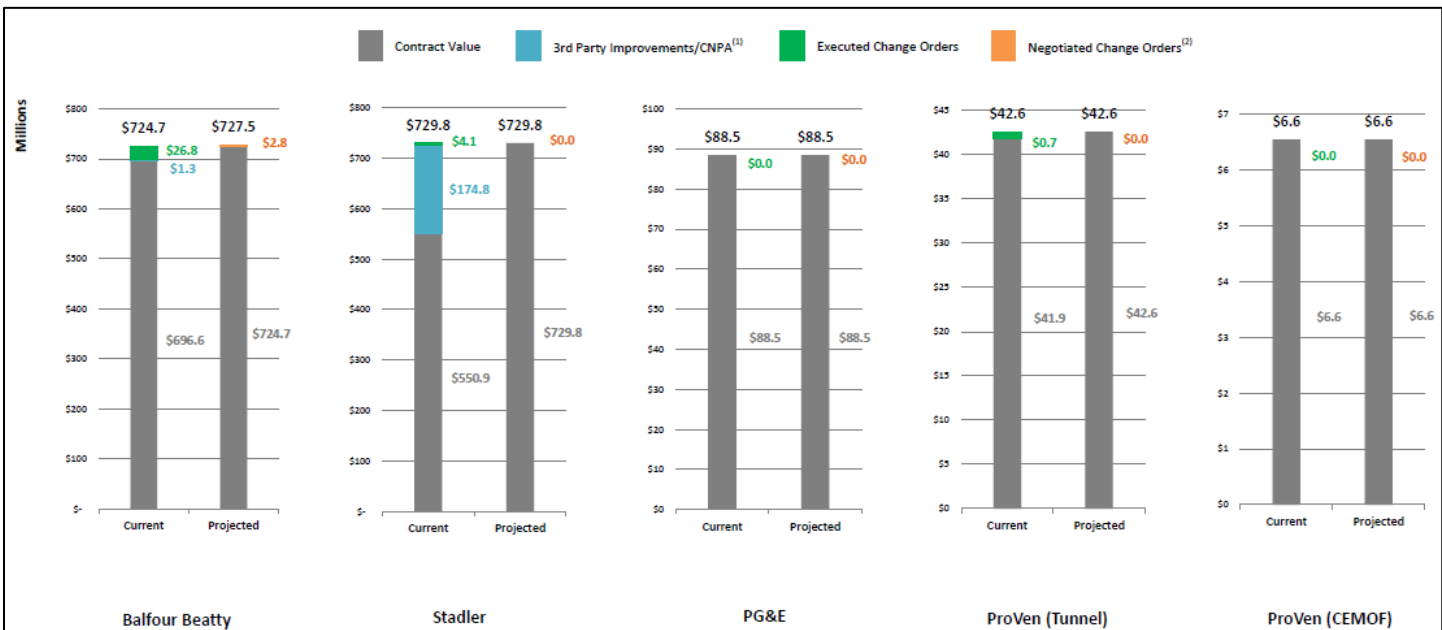


Figure 2-4 Construction Contract Budgets



Notes:

(1) 3rd Party Improvements/CNPA consists of the following "Below-the-Line" projects:

- Balfour Beatty: (\$1,266,000 Total):
 - CHSRA Early Pole Relocation (Design Only): \$625,000
 - TPSS-2 VTA/BART Pole Relocation (Design Only): \$110,000
 - TPSS-2 VTA/PCEP Pole Height (Redesign): \$31,000
 - Relocation of PS-3 (Burlingame): \$500,000
- Stadler (\$174,761,397 Total):
 - EMU Options Cars: \$172,800,047
 - Add Flip-Up Seats into Bike Cars: \$1,961,350

(2) Includes only negotiated change orders not yet executed

Figure 2-5 OCS Foundation Production

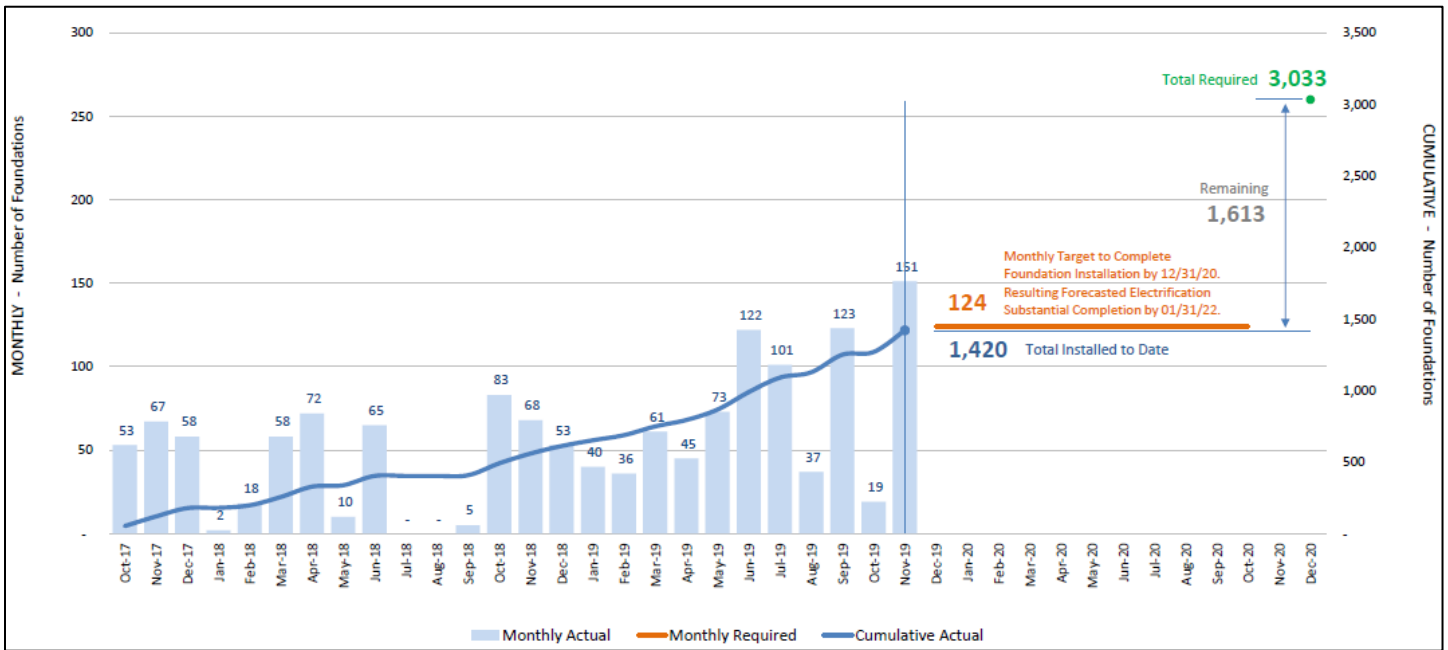
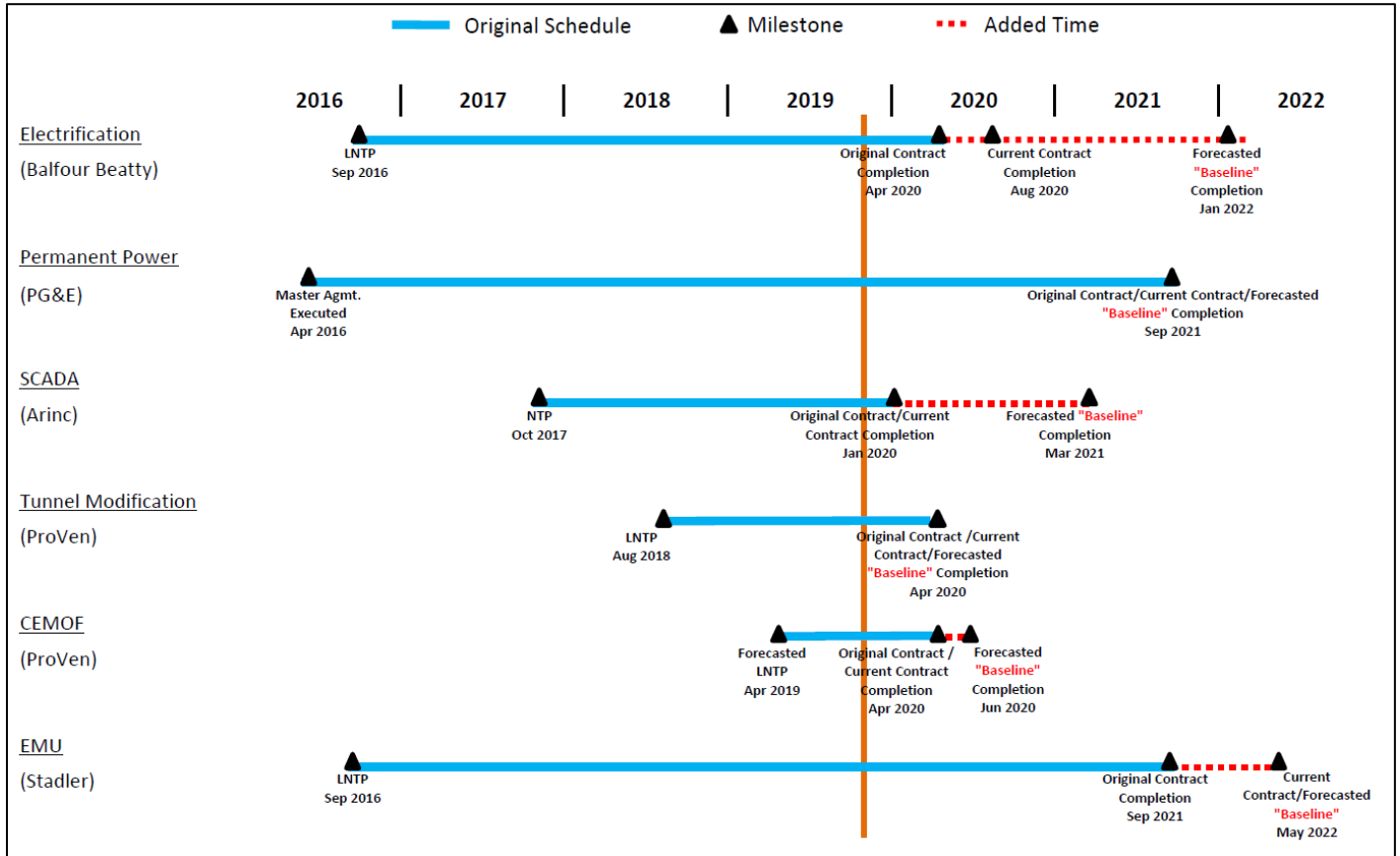


Figure 2-6 Contractor Completion Schedule



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
- The progression of the PG&E single phase study including next steps to resolve comments from PG&E and Silicon Valley Power (SVP), which will be required for the energization of the system
- 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 and the upcoming work for the Tunnel OCS

- 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

The Project Management Oversight Consultant (PMOC) is scheduled to visit the project office on December 16 – 18. The Fire Life Safety team has conducted initial Awareness Training to the fire departments and will now start training with the police departments. In EMU design and manufacturing, the propulsion gearbox retest and teardown is scheduled for January 2020 and the truck fatigue testing will be completed by November 25. Manufacturing is ongoing in Altenrhein for the 4th trainset of car shells, and is ongoing in Winterthur for the 4th and 5th trainsets of truck frames. For construction and field activities, on-track foundations are ongoing in Segment (S) S3 Work Area (WA) WA2 with 151 on-track foundations completed to date. One gantry has been erected at TPS-1 and further installation of gantries continues. Corridor-wide relocations are in progress with the communication companies, and JPB continues to work with Comcast and AT&T on their relocations. The demonstration and Factory Acceptance Test (FAT) for Supervisory Control and Data Acquisition (SCADA) has been scheduled for January. The Tunnel Modification Project is planning to restart work with the following schedule: drop tube installation to start in December 2019 and be completed by February 2020, Overhead Catenary System (OCS) termination structure to start in January 2020 and be completed by February 2020, and wiring installation for the conductor rail and wires to start January 2020 and be completed by May 2020.

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 being reviewed. Data was recovered from a corrupted database. 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 the System Integration database are resolved. Meetings with the electrification contractor to discuss design and construction integration issues are being scheduled as needed. 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. Systems Integration is working with the JPB Rail Activation Committee.

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, VTA: Manolo Gonzalez-Estay, SFCTA: Luis Zurinaga

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

Funding Partners: CHSRA: Ian Ferrier, MTC: Trish Stoops

Two risks were added and two were retired.

Change Management Board (CMB) – Monthly

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

Activity this Month

The CMB met on November 27, 2019.

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 identified for consideration and approved.

CEMOF Contract

No changes were identified for consideration.

Stadler Contract

Three changes were identified for consideration and approved.

SCADA Contract

No changes were identified for consideration

Tunnel Modification Contract

No changes were identified for consideration.

Amtrak Contract

No changes were identified for consideration.

2.3. Schedule

The overall schedule remains unchanged from last month. The forecasted Revenue Service Date (RSD) remains as 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. JPB is working with BBII on the issue and is urging BBII to accelerate resolution.

The MPS has been updated this month to recognize three delays: (one) grade crossing and signal system design, (two) OCS pole foundation installation, (three) TPS-2 interconnection completion. Progress with the grade crossing and signal system design is slower than anticipated. Installation of OCS pole foundations has been hampered by resolution of foundation location conflicts discovered during potholing and BBII's inability to have enough fabricated rebar cages onsite. The TPS-2 interconnection delay stems from the inability of BBII and its interconnection subcontractor to bring the design of the interconnection to completion and to contract with a PG&E-approved installation subcontractor in a timely manner. These three issues have caused a four-month delay to completion of Segment 4 and a one-month delay to overall substantial completion. The anticipated revenue service date of May 2022 is unchanged.

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

Table 2-1 Schedule Status

Milestones	Program Plan	Progress Schedule (November 2019) ¹
Arrival of First Vehicle in Pueblo, CO	N/A	05/29/2020
Arrival of First Vehicle at JPB (after Pueblo Testing)	N/A	02/26/2021
Segment 4 Completion	11/21/2019	02/14/2021 ²
o Interconnection from PG&E Substation to Traction Power Substation (TPS)	N/A	09/30/2020 ²
PG&E Provides Permanent Power	09/09/2021	09/09/2021
Electrification Substantial Completion	08/10/2020	01/31/2022 ²
Start Phased Revenue Service	N/A	02/01/2022 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	\$14,919,492	\$644,942,885	\$671,182,323	\$1,316,125,208
EMU Subtotal	\$664,127,325	\$664,127,325	\$8,781,234	\$189,306,564	\$474,820,761	\$664,127,325
PCEP TOTAL	\$1,980,252,533	\$1,980,252,533	\$23,700,726	\$834,249,449	\$1,146,003,084	\$1,980,252,533

Notes regarding tables above:

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

2.5. Board Actions

- None

Future anticipated board actions include:

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

2.6. Government and Community Affairs

There were two outreach events this month.

3.0 ELECTRIFICATION – INFRASTRUCTURE

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

3.1. Electrification

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

Activity This Month

- Installed OCS foundations in S3WA2.
- Continued to install OCS poles, down guys, and balance weights in Segment 4.
- Completed extension and preparation of Mountain View Siding to be used for installation of OCS foundations in S3WA2.
- Potholed at proposed OCS locations and utility locations in Segments 3 and 4 in advance of foundation installation. BBI and PCEP also continued to resolve conflicts found during the potholing process, such as loose concrete, asphalt, and other debris, and continued designing solutions for those conflicts that cannot be avoided. The conflicts must be resolved before installation of foundations at those locations.
- Relocated signal cables and remove abandoned facilities found in conflict with planned OCS foundations as conflicts were identified.
- Continued to install formwork, rebar and high-voltage cable at TPS-2.
- Continued to install ductbank and manholes, gantries, drainage, and form and rebar work at TPS-1.
- Continued to install ductbank and manholes at PS-6.
- Continued grading work at PS-7.
- Continued to install ductbanks and manholes at SWS-1.
- Removed existing stairway at PS-4 as a part of ongoing sitework.
- Installed signal equipment at Control Point (CP) Bird.
- Installed signal cable at Auzeais Crossing.
- Continued to install signal ductbank and conduits in Segment 4.
- 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.

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- 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.
- Continued to progress on the TPS interconnection design for TPS-1 and TPS-2. 90% design for TPS-2 was received and is under review. 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 and came to an agreement on steps to finalize the 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 ^{abc}	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	0	184	208	0	160
	4	314	0	240 ^d	253	0	186
	3	174	0	63 ^d	140	0	36
	2	248	0	78	205	0	60
	1	206	0	79	154	0	33
3	2	512	148	148	442	0	0
	1	390	0	353	311	0	0
4	A	244	1	156	180	20	107
	B	131	2	87	124	10	70
	CEMOF	112	0	0	102	0	0
Total		3,152	151	1,420	2,587	30	652

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.
- d. Three foundations were reported in the wrong work area in January 2019

Activity Next Month

- Continue installation of foundations in S3WA2.
- Continue resolution of DSCs.

- Continue to install protective steel plates for protection of utilities during foundation installation.
- Continue to install OCS poles and assemblies in 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 at TPS-1 towards 90% and work on long-lead material procurement in advance of construction.
- Complete review of 90% TPS-2 Interconnection Design.
- Coordinate with PG&E on final design and construction for PG&E infrastructure.
- Coordinate with local jurisdictions to review designs.
- Continue tree pruning and removals.

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 addressing comments to test procedures (ongoing).
- JPB reviewed a number of the 23 test procedures submitted last month. Comments were returned to the contractor on 10 of these procedures.
- JPB completed a quality systems audit of ARINC. There were no findings.

Activity Next Month

- Prepare and deliver the Monthly Report and the Monthly Schedule Update.
- Attend project status meetings.
- Support ongoing discussions concerning RFIs.
- 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

- Assembled the drop tubes and brackets.
- Continued review of and prepared responses for submittals and RFIs.
- Met with ProVen to discuss the weekend closures schedule for Tunnel OCS work.

Activity Next Month

- Continue procuring and 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.
- Start the installation of the drop tubes at all tunnels.
- Prepare and plan for the six consecutive weekend shutdowns for installation of the OCS in the tunnels.

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

- System Level Final Design Reviews continue to have open items addressed and closed.
- First Article Inspections continue to be conducted and closed.
- Swing test completed successfully to confirm clearances between car body, trucks and draft gear during all combinations of car movement to simulate horizontal and vertical track curves.
- Structural tests of trucks and bolsters successfully completed.
- Electrical test conducted in Salt Lake City on third car of first trainset.
- Car production rate improved as parts and resource shortages have been addressed.
- 28 car shells have been shipped from Stadler - Switzerland and 19 are onsite in Stadler's Salt Lake City facility.
- Four trainsets of trucks and bolsters have been shipped from Stadler's facility in Winterthur to Salt Lake City.
- Alternative Vehicle Technology (AVT) package transmitted to the FRA for acceptance. Submittal illustrates cars meet alternate crashworthiness standards.
- Change orders approved by CMB to defer installation of onboard wheel chair lifts, update virtual reality model, and exclude vandal resistance film on windows.

Activity Next Month

- Submit petition for FRA waiver pertaining to manual emergency opening of side doors. The petition for waiver is for a design that when the door emergency open is requested, the train comes to a stop and then the doors open.
- Conduct propulsion gearbox endurance test and teardown inspection. Delayed until January 2020.

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

- Potholed additional utilities.
- Continued processing submittals, RFIs, and SSWPs.
- Completed building the formwork for the maintenance inspection pit.

Activity Next Month

- Remove ballast at Track 5.
- Shoring for the north and south maintenance pit.

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.
- 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.
- Reviewed and commented on Tunnel work Job Hazard Analyses and SSWPs, and conducted equipment inspections in preparation of work activities.
- 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 pole installations, potholing, Tunnel, 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.
- Provide project safety updates to FTA PMOC staff and coordinate construction site visits.

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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.
- A Corrective Action Request (CAR) was written against BBII for continuing NCRs without sufficient corrective action for issues concerning BBII field personnel working to designs/drawings that don't match the latest from the designer, PGH Wong. A response is required within 30 days, and staff anticipates agreeing to a corrective process next month.
- Conducted an audit of Modern Railway Systems, the signaling installer.
- Conducted an audit of Collins Aerospace, the SCADA supplier.
- Conducted an audit of BBII Document Control.

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

Table 6-1 Quality Assurance Audit Summary

Quality Assurance Activity	This Reporting Period	Total to Date
Audits Conducted	3	103
Audit Findings		
Audit Findings Issued	3	65
Audit Findings Open	0	0
Audit Findings Closed	3	65
Non-Conformances		
Non-Conformances Issued	0	10
Non-Conformances Open	0	1
Non-Conformances Closed	1	9

Activity Next Month

- Conduct audit of BBII rail welding.
- Conduct audits of the two RMA facilities, the QC lab for the CEMOF Contractor, PMI.

7.0 SCHEDULE

The overall schedule remains unchanged from last month. The forecasted Revenue Service Date (RSD) remains as 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 (November 2019) ¹
Arrival of First Vehicle in Pueblo, CO	N/A	05/29/2020
Arrival of First Vehicle at JPB (after Pueblo testing)	N/A	02/26/2021
Segment 4 Completion	11/21/2019	02/14/2021 ²
o Interconnection from PG&E Substation to Traction Power Substation (TPS)	N/A	09/30/2020 ²
PG&E Provides Permanent Power	09/09/2021	09/09/2021
Electrification Substantial Completion	08/10/2020	01/31/2022 ²
Start Phased Revenue Service	N/A	02/01/2022 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

BBII continues to report an overall delay to substantial completion. JPB is working with BBII on the issue and is urging BBII to accelerate resolution.

The MPS has been updated this month to recognize three delays: (one) grade crossing and signal system design, (two) OCS pole foundation installation, (three) TPS-2 interconnection completion. Progress with the grade crossing and signal system design is slower than anticipated. Installation of OCS pole foundations has been hampered by resolution of foundation location conflicts discovered during potholing and BBII's inability to have enough fabricated rebar cages onsite. The TPS-2 interconnection delay stems from the inability of BBII and its interconnection subcontractor to bring the design of the interconnection to completion and to contract with a PG&E-approved installation subcontractor in a timely manner. These three issues have caused a four-month delay to completion of Segment 4 and a one-month delay to overall substantial completion. The anticipated revenue service date of May 2022 is unchanged.

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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 1 st Trainset in Salt Lake City	02/04/2019 (A)
Arrival of 1 st Trainset in Pueblo, CO	05/29/2020
Arrival of 1 st Trainset at JPB	02/26/2021
Segment 4 Completion	02/14/2021
Conditional Acceptance of 1 st Trainset	04/09/2021
System Electrified	01/31/2022
Begin Phased Revenue Service	02/01/2022
Conditional Acceptance of 14th Trainset	05/06/2022
FFGA RSD w/ Risk Contingency	08/22/2022

Note: “(A)” denotes an actual completion

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8.0 BUDGET AND EXPENDITURES

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

Table 8-1 Electrification Budget & Expenditure Status

Description of Work	Budget (A)	Current Budget (B) ¹	Cost This Month (C) ²	Cost To Date (D) ³	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
ELECTRIFICATION						
Electrification ⁽⁴⁾	\$696,610,558	\$723,394,964	\$7,188,353	\$356,732,507	\$366,662,457	\$723,394,964
SCADA	\$0	\$3,446,917	\$0	\$1,934,371	\$1,512,546	\$3,446,917
Tunnel Modifications	\$11,029,649	\$42,624,610	\$0	\$24,633,015	\$17,991,595	\$42,624,610
Real Estate	\$28,503,369	\$28,503,369	\$119,218	\$20,675,601	\$7,827,768	\$28,503,369
Private Utilities	\$63,515,298	\$92,451,380	\$3,895,942	\$71,127,068	\$21,324,312	\$92,451,380
Management Oversight ⁽⁵⁾	\$141,506,257	\$144,957,684	\$1,998,274	\$127,255,903	\$17,701,781	\$144,957,684
Executive Management	\$7,452,866	\$6,214,226	\$107,885	\$7,551,943	(\$1,337,717)	\$6,214,226
Planning	\$7,281,997	\$7,281,997	\$1,062	\$5,705,066	\$1,576,931	\$7,281,997
Community Relations	\$2,789,663	\$2,789,663	\$6,352	\$1,514,332	\$1,275,331	\$2,789,663
Safety & Security	\$2,421,783	\$3,691,387	\$85,000	\$2,844,681	\$846,706	\$3,691,387
Project Management Services	\$19,807,994	\$19,807,994	\$133,397	\$12,052,089	\$7,755,905	\$19,807,994
Engineering & Construction	\$11,805,793	\$11,805,793	\$259,114	\$9,246,628	\$2,559,165	\$11,805,793
Electrification Eng & Mgmt	\$50,461,707	\$50,461,707	\$645,813	\$44,480,332	\$5,981,376	\$50,461,707
Construction Management	\$0	\$2,790,608	\$502,500	\$1,683,863	\$1,106,745	\$2,790,608
IT Support	\$312,080	\$407,170	\$0	\$407,170	\$0	\$407,170
Operations Support	\$1,445,867	\$1,980,632	\$14,811	\$2,245,972	(\$265,340)	\$1,980,632
General Support	\$4,166,577	\$4,166,577	\$115,375	\$5,073,985	(\$907,408)	\$4,166,577
Budget / Grants / Finance	\$1,229,345	\$1,229,345	\$2,598	\$1,345,694	(\$116,349)	\$1,229,345
Legal	\$2,445,646	\$2,445,646	\$62,479	\$4,444,692	(\$1,999,045)	\$2,445,646
Other Direct Costs	\$5,177,060	\$5,177,060	\$61,888	\$3,951,578	\$1,225,482	\$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	\$1,716,727	\$32,857,982	\$22,417,102	\$55,275,084
Insurance	\$3,500,000	\$4,543,588	\$0	\$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	\$977	\$821,995	\$13,431,340	\$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	\$0	\$3,670,444	\$2,466,712	\$6,137,156
Contingency	\$276,970,649	\$184,542,668	N/A	N/A	\$123,132,120	\$123,132,120
Forecasted Costs and Changes	\$0	\$0	N/A	N/A	\$61,410,548	\$61,410,548
ELECTRIFICATION SUBTOTAL	\$1,316,125,208	\$1,316,125,208	\$14,919,492	\$644,942,885	\$671,182,323	\$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 October 2019 and accrued for November 2019.

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Table 8-2 EMU Budget & Expenditure Status

Description of Work	Budget (A)	Current Budget (B) ¹	Cost This Month (C) ²	Cost To Date (D) ³	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
EMU						
EMU	\$550,899,459	\$555,034,909	\$8,322,400	\$145,202,833	\$409,832,076	\$555,034,909
CEMOF Modifications	\$1,344,000	\$6,550,777	(\$221,202)	\$1,250,438	\$5,300,339	\$6,550,777
Management Oversight ⁽⁴⁾	\$64,139,103	\$63,113,984	\$680,670	\$40,011,695	\$23,102,289	\$63,113,984
Executive Management	\$5,022,302	\$4,263,136	\$45,143	\$4,687,355	(\$424,219)	\$4,263,136
Community Relations	\$1,685,614	\$1,285,614	\$3,893	\$614,294	\$671,320	\$1,285,614
Safety & Security	\$556,067	\$765,296	\$10,000	\$497,244	\$268,052	\$765,296
Project Mgmt Services	\$13,275,280	\$13,275,280	\$80,586	\$7,790,881	\$5,484,399	\$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	\$343,294	\$18,481,767	\$12,099,246	\$30,581,014
Construction Management	\$0	\$1,501,543	\$67,500	\$325,537	\$1,176,006	\$1,501,543
IT Support	\$1,027,272	\$952,089	\$15,871	\$557,777	\$394,312	\$952,089
Operations Support	\$1,878,589	\$1,878,589	\$9,734	\$319,795	\$1,558,793	\$1,878,589
General Support	\$2,599,547	\$2,599,547	\$63,201	\$2,203,168	\$396,380	\$2,599,547
Budget / Grants / Finance	\$712,123	\$712,123	\$1,442	\$893,375	(\$181,252)	\$712,123
Legal	\$1,207,500	\$1,207,500	\$2,188	\$1,222,475	(\$14,975)	\$1,207,500
Other Direct Costs	\$4,003,139	\$4,003,139	\$37,817	\$2,394,210	\$1,608,930	\$4,003,139
TASI Support	\$2,740,000	\$2,740,000	(\$634)	\$53,691	\$2,686,309	\$2,740,000
Required Projects	\$4,500,000	\$4,427,821	\$0	\$538,280	\$3,889,541	\$4,427,821
Finance Charges	\$1,941,800	\$3,761,482	\$0	\$2,249,627	\$1,511,855	\$3,761,482
Contingency	\$38,562,962	\$28,498,352	N/A	N/A	\$29,571,195	\$29,571,195
Forecasted Costs and Changes	\$0	\$0	N/A	N/A	(\$1,072,843)	(\$1,072,843)
EMU SUBTOTAL	\$664,127,325	\$664,127,325	\$8,781,234	\$189,306,564	\$474,820,761	\$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 October 2019 and accrued for November 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	\$14,919,492	\$644,942,885	\$671,182,323	\$1,316,125,208
EMU Subtotal	\$664,127,325	\$664,127,325	\$8,781,234	\$189,306,564	\$474,820,761	\$664,127,325
PCEP TOTAL	\$1,980,252,533	\$1,980,252,533	\$23,700,726	\$834,249,449	\$1,146,003,084	\$1,980,252,533

Notes regarding tables above:

4. Column B "Current Budget" includes executed change orders and awarded contracts.
5. Column C "Cost This Month" represents the cost of work performed this month.
6. 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	\$43,750	\$731,526	\$268,474	\$1,000,000
PS-3 Relocation (Design)	\$500,000	\$500,000	\$0	\$150,000	\$350,000	\$500,000
TPSS-2 VTA/PCEP Pole Relocation (Design)	\$110,000	\$110,000	\$5,500	\$93,500	\$16,500	\$110,000
TPSS-2 VTA/PCEP Pole Height (Redesign)	\$31,000	\$31,000	\$0	\$0	\$31,000	\$31,000
EMU Option Cars	\$172,800,047	\$172,800,047	\$0	\$52,359,370	\$120,440,677	\$172,800,047
Add Flip-Up Seats into Bike Cars	\$1,961,350	\$1,961,350	\$0	\$0	\$1,961,350	\$1,961,350
CNPA TOTAL	\$176,402,397	\$176,402,397	\$49,250	\$53,334,396	\$123,068,001	\$176,402,397

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 VTA/PCEP Pole Relocation and Height (Design): Design changes due to the relocation of VTA/BART Pole at TPSS-2 location and pole height redesign for live line clearances. This scope is funded by the VTA.
- EMU Option Cars: Exercise Stadler Contract Option for 37 additional EMUs. This scope is funded with a combination of TIRCP and matching local funds.
- Add Flip-Up Seats into Bike Cars: Stadler contract change order to add four additional flip-up seats in each of the two unpowered (bike) cars per trainset (eight total per trainset). This scope is funded by Caltrain outside of the PCEP.

Table 8-5 Budget Transfers of Contingency

Transfer	Description	Contingency¹
ELECTRIFICATION		
BBI-CCO-038	Field Order for Signal Cable Relocation (FO-079 & FO-085)	\$187,764
BBI-CCO-025B	Addition of OCS Shunt Wires in Segments 2 & 4 - Wire Assembly Materials Only	\$144,370
PRO-CCO-021	Out of Sequence Piles	\$185,857
	ELECTRIFICATION SUBTOTAL	\$517,991
EMU		
	EMU SUBTOTAL	\$0
	PCEP TOTAL	\$517,991

Notes regarding tables above:

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

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

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

9.0 CHANGE MANAGEMENT

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

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

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

Executed Contract Change Orders (CCO) This Month

Electrification Contract

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

Date	Change Number	Description	CCO Amount
11/15/2019	BBI-053-CCO-038	Field Order for Signal Cable Relocation (FO-079 & FO-085)	\$187,764
11/26/2019	BBI-053-CCO-025B	Addition of OCS Shunt Wires in Segments 2 & 4 - Wire Assembly Materials Only	\$144,370
Total			\$332,134

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
11/13/2019	STA-056-CCO-022	Add Flip-Up Seats into Bike Cars (CNPA: \$1.96M funded by Non-PCEP)	\$1,961,350
Total			\$1,961,352

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
	None		\$0
Total			\$0

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

SCADA Contract

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

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

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

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Tunnel Modification Contract

Change Order Authority (10% of ProVen Contract)²

10% x \$38,477,777 = \$3,847,778

Date	Change Number	Description	CCO Amount
10/4/2019	PROV-070-CCO-021	Out of Sequence Piles	\$185,857
10/30/2019	PROV-070-CCO-017	Hard Piping in T-4 (CNPA - Drainage \$2,200.00)	\$2,200
Total			\$188,057

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

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

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

Amtrak AEM-7 Contract

Change Order Authority (Lump Sum)

Up to \$150,000

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

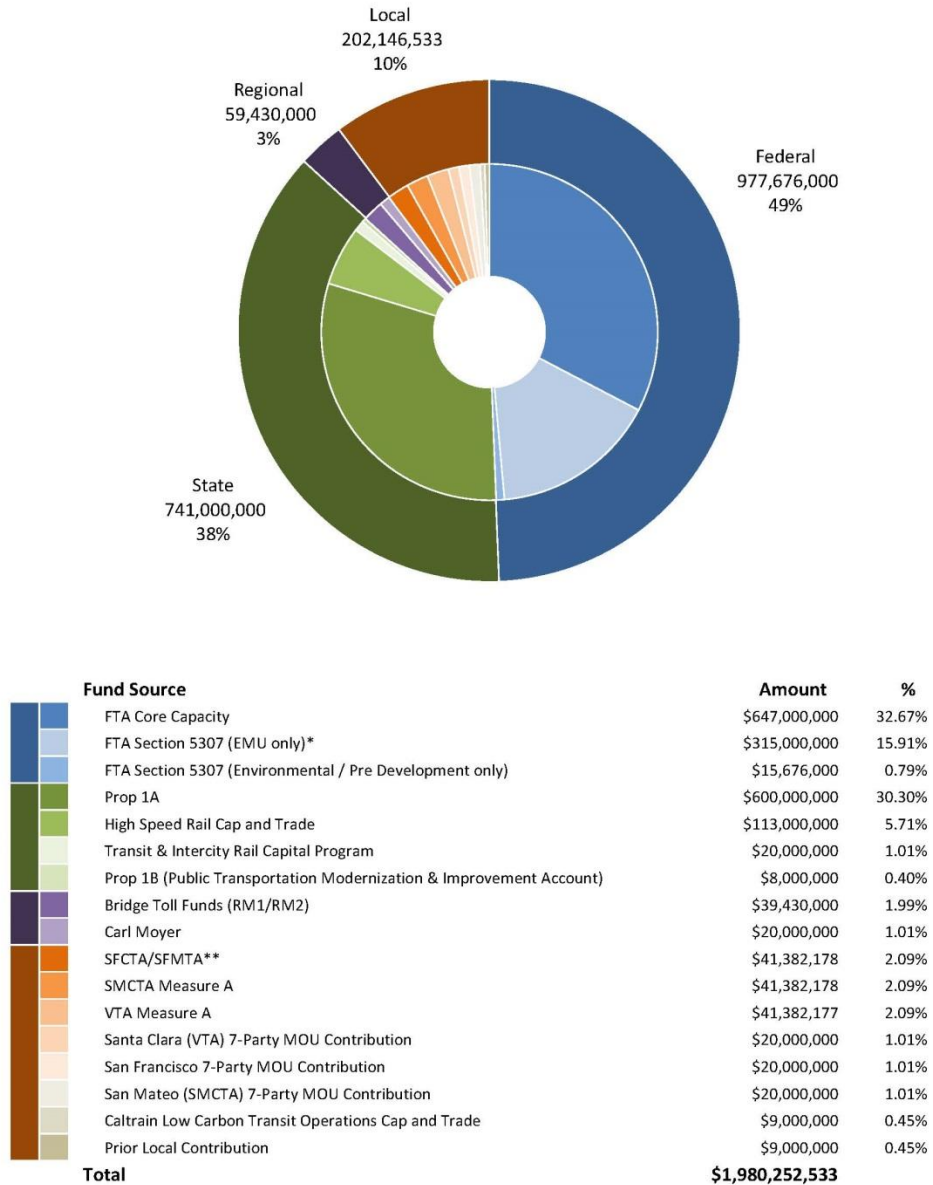
Notes:

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

10.0 FUNDING

Figure 10-1 depicts a summary of the funding plan for the PCEP. It provides a breakdown of the funding partners as well as the allocated funds. As previously 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



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. 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.
2. 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.
3. The contractor may not complete and install signal design including CWT modifications within budget and schedule.
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.
- Updated contractor-owned risks with JPB and consultant staff and forwarded to BBII for comment.
- 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

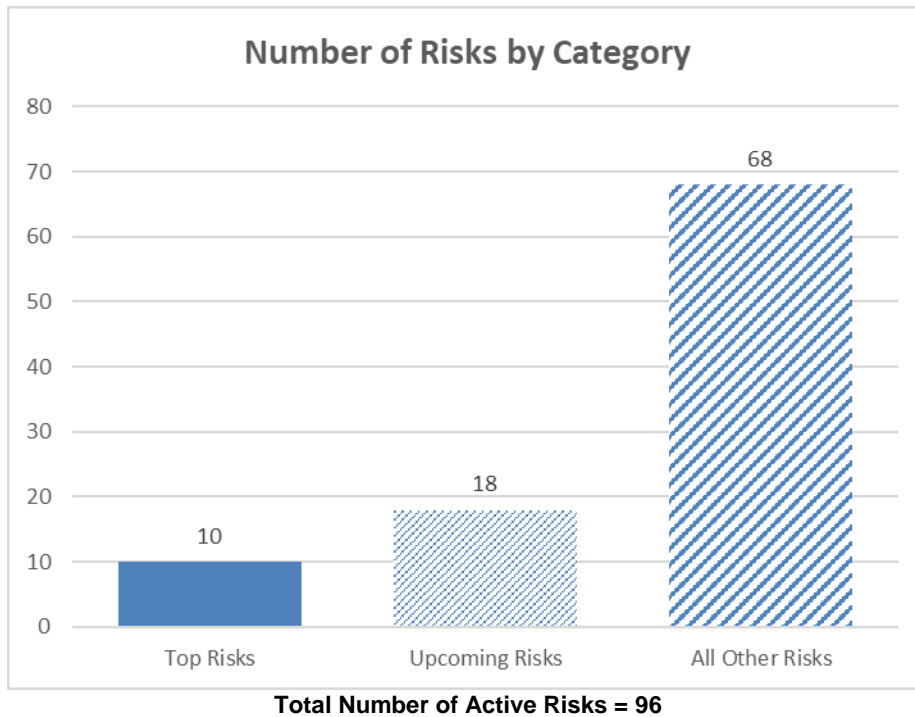
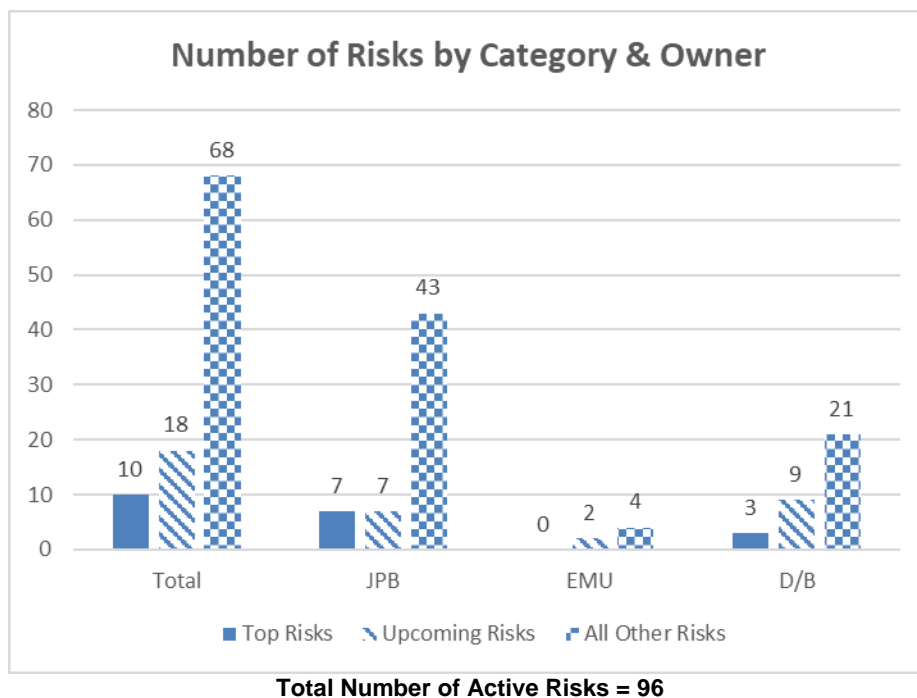


Figure 11-2 Risk Classification



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, signal case installation, grading, abandoned signal cable removal, traction power station work installation, replacement, and/or removal of existing power/light 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.

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- 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). An assessment of two existing subsurface pipes by a certified Asbestos Consultant occurred during this reporting period, and a specification describing the methods for removal and disposal is currently in progress.
- A certified Asbestos Consultant finalized specifications describing the removal, disposal, and monitoring methods for two (2) existing subsurface pipes within the right of way.

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, traction power station drainage installation, grading, site clearing, soil 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.
- Pre-construction nesting bird surveys during the nesting bird season will continue (nesting bird season is defined as February 1 through September 15).
- 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.
- Two existing subsurface pipes will be removed and removal monitored by a certified Asbestos Contractor in accordance with the removal and disposal specifications finalized by the certified Asbestos Consultant.

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.
- 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.
- 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 facilities. The PCEP Real Estate team manages the acquisition of all property rights. Caltrain does not need to acquire real estate to complete the EMU procurement portion of the PCEP.

Of the parcels identified at the beginning of the project, there remain only five owners from whom the agency requires possession; of which two are in redesign.

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

- Continued ongoing negotiations with Willowbend Apartments.
- Staff reviewed potential new pole locations and providing feedback to the design team.
- Prepared First Written Offer package for KB Homes. Reviewed Electrical Safety Zone requirements for KB Homes to confirm acquisitions.
- Reviewed parcel acquisition options for Marchese parcel with Santa Clara Valley Water District (SCVWD).
- Worked with City of San Jose and Diridon Hospitality to finalize design. Met with Diridon Hospitality to move forward with redesign. Conducted follow-up conference calls and exchanged emails with Diridon Hospitality regarding design conflicts.
- Continued working with SVP to de-energize and install foundations.
- Staff continued ongoing work with PG&E and VTA to gain access to their properties for potholing. Submitted acquisition information package/plan to PG&E for their review and working with VTA to develop safety procedures for working near each agency's operating ROW.
- Continued to finalize appraisal map for Britannia Gateway, which requires PG&E approval.

Activity Next Month

- Continue to negotiate for all open parcels.
- Review the acquisition of the Marchese parcel with SCVWD and set up meeting. Continue discussions with PG&E to finalize possession date.
- Confirm new acquisition associated with the Stephens parcel. BBII identified a potential modified acquisition.
- Continue to coordinate with SVP, VTA and SCVWD options for foundation installations. Safety group to coordinate with VTA Safety to comply with their permitting requirements.
- Confirm ROW acquisitions with City of San Jose.
- 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

- South Bay Historical Railroad Society – Model Roadshow Event
- San Mateo County Economic Development Association Economic Outlook Conference – Model Roadshow Event

Third Party/Stakeholder Actions

- Mountain View Bridge Attachments – Design Change Notice Drawings
- Sunnyvale Bridge Attachments – Design Change Notice Drawings

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17.0 DISADVANTAGED BUSINESS ENTERPRISE (DBE) PARTICIPATION AND LABOR STATISTICS

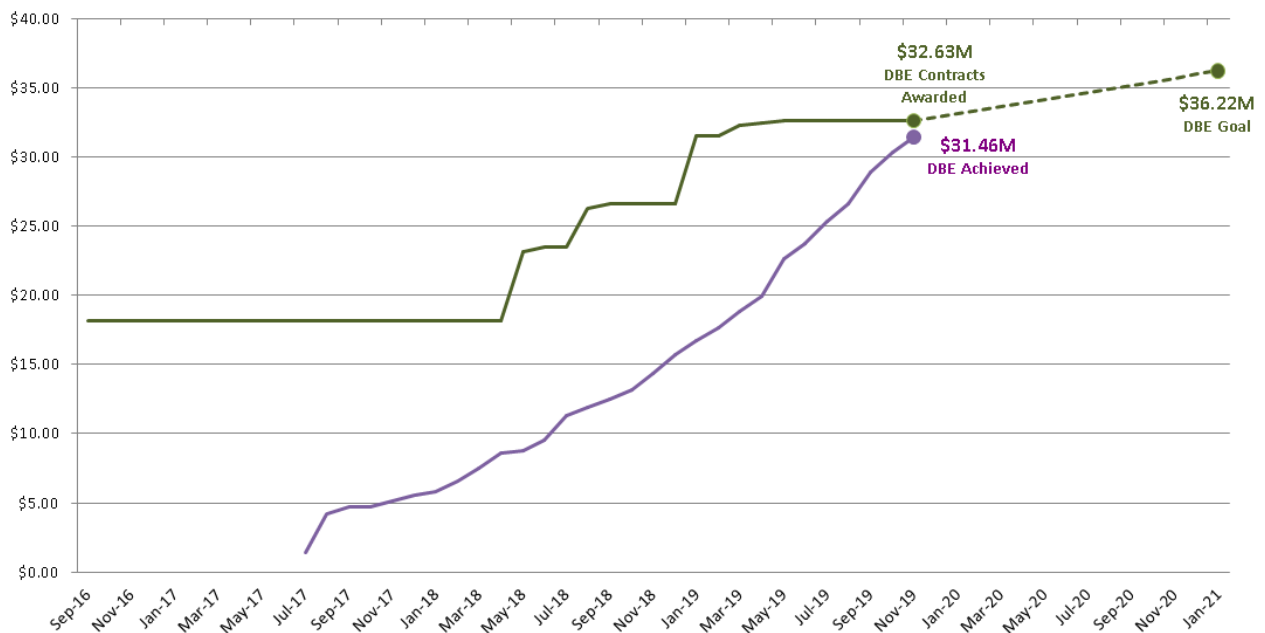
BBII proposed that 5.2% (\$36,223,749) of the total DB base contract value (\$696,610,558) would be subcontracted to DBEs.

Activity This Month

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

- **\$31,455,469** has been paid to DBE subcontractors.
- **4.5%** 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 December, 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:

- Memorandum of Understanding Amendment – Bus Bridge Services for Tunnel Modifications Project – SamTrans
- Contract Amendment – LTK – 14-PCJPB-P-006 – EMU Rail Vehicle Support Services for CalMod

Upcoming IFB/RFQ/RFP to be Issued:

- RFP – Pantograph Inspection and Monitoring 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)

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Monthly Progress Report

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

APPENDICES

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Appendix A – Acronyms

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

Peninsula Corridor Electrification Project
Monthly Progress Report

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

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

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Appendix B – Funding Partner Meetings

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Funding Partner Meeting Representatives
Updated November 30, 2019

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

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Appendix C – Schedule

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#	Activity Name	Duration	Start	Finish	2014				2015				2016				2017				2018				2019				2020				2021				2022			
					Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
1	MASTER PROGRAM SCHEDULE C18.10	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		02-14-21																																				
9	Electrification Substantial Completion	0d		01-31-22																																				
10	Start Phased Revenue Service	0d	02-01-22																																					
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	1033d	11-05-15 A	12-02-19																																				
15	OVERHEAD UTILITY RELOCATION (Various)	949d	03-10-17 A	12-04-20																																				
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	PERMANENT POWER	1044d	08-01-17 A	09-09-21																																				
20	<i>DESIGN & PERMITTING</i>	431d	08-01-17 A	04-12-19 A																																				
21	<i>CONSTRUCTION</i>	612d	04-15-19 A	09-09-21																																				
22	ELECTRIFICATION (BBII)	1410d	09-06-16 A	01-31-22																																				
23	DESIGN	1192d	09-06-16 A	03-31-21																																				
24	CONSTRUCTION	1484d	10-09-17 A	10-31-21																																				
25	<i>Segment 1</i>	601d	12-10-19	08-01-21																																				
26	<i>OCS</i>	267d	09-15-20	06-08-21																																				
27	<i>Traction Power</i>	400d	12-10-19	01-12-21																																				
28	<i>Segment Testing</i>	54d	06-09-21	08-01-21																																				
29	<i>Segment 2</i>	1484d	10-09-17 A	10-31-21																																				
30	<i>OCS</i>	1154d	10-09-17 A	12-05-20																																				
31	<i>Traction Power</i>	1382d	01-19-18 A	10-31-21																																				
32	<i>Segment Testing</i>	54d	04-09-21	06-02-21																																				
33	<i>Segment 3</i>	732d	04-09-19 A	04-09-21																																				
34	<i>OCS</i>	471d	05-28-19 A	09-09-20																																				
35	<i>Traction Power</i>	563d	04-09-19 A	10-22-20																																				
36	<i>Segment Testing</i>	54d	02-15-21	04-09-21																																				
37	<i>Segment 4</i>	1172d	12-01-17 A	02-14-21																																				
38	<i>OCS</i>	553d	02-25-19 A	08-30-20																																				
39	<i>Traction Power</i>	1080d	12-01-17 A	11-14-20																																				
40	<i>Segment Testing</i>	92d	11-15-20	02-14-21																																				
41	TESTING	183d	08-01-21	01-31-22																																				
42	DRILL TRACK (TASI)	20d	12-02-19	12-30-19																																				
43	SCADA (Arinc)	1518d	03-30-15 A	03-19-21																																				

█ 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

#	Activity Name	Duration	Start	Finish	2014-2022																																			
					2014				2015				2016				2017				2018				2019				2020				2021				2022			
					Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1				
44	PREPARE SOLE SOURCE & AWARD	649d	03-30-15 A	10-16-17 A																																				
45	DESIGN	157d	10-16-17 A	05-31-18 A																																				
46	IMPLEMENTATION, TEST, INSTALL & CUTOVER	646d	09-04-18 A	03-19-21																																				
47	CEMOF (Various)	796d	11-16-17 A	12-03-20																																				
48	CEMOF MODIFICATIONS (ProVen)	669d	11-16-17 A	06-09-20																																				
49	<i>DESIGN</i>	178d	11-16-17 A	07-31-18 A																																				
50	<i>BID & AWARD</i>	132d	08-01-18 A	02-07-19 A																																				
51	<i>CONSTRUCTION</i>	292d	04-29-19 A	06-09-20																																				
52	PANTOGRAPH INSPECTION & MONITORING SYSTEM (Ctr TBD)	448d	03-01-19 A	12-03-20																																				
53	SCISSOR LIFT WORK PLATFORM (Ctr TBD)	380d	03-01-19 A	08-26-20																																				
54	TUNNEL MODIFICATION (ProVen)	1435d	10-31-14 A	04-30-20																																				
55	<i>DESIGN</i>	840d	10-31-14 A	02-22-18 A																																				
56	<i>BID & AWARD</i>	66d	02-23-18 A	05-25-18 A																																				
57	<i>CONSTRUCTION</i>	457d	08-01-18 A	04-30-20																																				
58	ELECTRIC LOCOMOTIVE (Amtrak / Mitsui)	718d	03-01-17 A	12-02-19																																				
59	<i>BID & AWARD</i>	348d	03-01-17 A	06-29-18 A																																				
60	<i>REHAB / TEST/ TRAIN / SHIP</i>	320d	09-10-18 A	12-02-19																																				
61	EMU (Stadler)	2092d	05-01-14 A	05-06-22																																				
62	<i>DEVELOP RFP, BID & AWARD</i>	612d	05-01-14 A	09-02-16 A																																				
63	<i>DESIGN</i>	913d	09-06-16 A	03-05-20																																				
64	<i>PROCUREMENT (Material)</i>	849d	01-16-17 A	04-16-20																																				
65	<i>MANUFACTURING & TESTING</i>	1155d	12-04-17 A	05-06-22																																				
66	<i>TRAINSET 1</i>	875d	12-04-17 A	04-09-21																																				
67	<i>TRAINSET 2</i>	857d	02-22-18 A	06-04-21																																				
68	<i>TRAINSET 3</i>	768d	08-06-18 A	07-14-21																																				
69	<i>TRAINSET 4</i>	540d	06-03-19 A	06-25-21																																				
70	<i>TRAINSET 5</i>	420d	12-02-19	07-09-21																																				
71	<i>TRAINSET 6</i>	385d	02-03-20	07-23-21																																				
72	<i>TRAINSET 7</i>	375d	02-24-20	07-30-21																																				
73	<i>TRAINSET 8</i>	375d	03-23-20	08-27-21																																				
74	<i>TRAINSET 9</i>	360d	05-11-20	09-24-21																																				
75	<i>TRAINSET 10</i>	370d	07-06-20	12-03-21																																				
76	<i>TRAINSET 11</i>	375d	08-31-20	02-04-22																																				
77	<i>TRAINSET 12</i>	365d	10-12-20	03-04-22																																				
78	<i>TRAINSET 13</i>	370d	11-30-20	04-29-22																																				
79	<i>TRAINSET 14</i>	335d	01-25-21	05-06-22																																				
80	TESTING & STARTUP (JPB)	211d	10-31-21	08-22-22																																				
81	<i>PRE-REVENUE TESTING</i>	61d	10-31-21	12-30-21																																				
82	<i>REVENUE OPERATIONS</i>	144d	02-01-22	08-22-22																																				
83	Phased Revenue Service	69d	02-01-22	05-06-22																																				
84	Revenue Service Date (RSD) w/out Risk Contingency	0d		05-06-22																																				
85	Revenue Service Date (RSD) w/ Risk Contingency (FFGA RSD)	0d		08-22-22																																				
86	RISK CONTINGENCY	108d	05-07-22	08-22-22																																				

█ Actual Level of Effort
 ▬ Progress
 █ Critical
 ◆ Prog Plan (C16.00)
 ◆ Last Months Update
 █ Risk Contingency
▬ Prog Plan (C16.00)
 ▬ Remaining
 ▶ Start Milestone
 ◆ Last Months Update
 ▬ Near Critical
▬ Last Months Update
 ▬ Near Critical
 ◀ Finish Milestone
 ◆ Critical Milestone

NOVEMBER 2019 SCHEDULE UPDATE IS DRAFT UNTIL FINALIZED AT DECEMBER 2019 MONTH END

Appendix D – Standard Cost Codes

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**Peninsula Corridor Electrification Project
Monthly Progress Report**

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	\$28,524,610	\$0	\$23,009,375	\$5,615,235	\$28,624,610
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	\$26,024,610	\$0	\$22,942,568	\$3,082,042	\$26,024,610
10.07 Allocated Contingency	\$0	\$0	\$0	\$0	\$0
30 - SUPPORT FACILITIES: YARDS, SHOPS, ADMIN. BLDGS	\$7,050,777	(\$221,202)	\$1,250,438	\$5,803,827	\$7,054,266
30.03 Heavy Maintenance Facility	\$6,550,777	(\$221,202)	\$1,250,438	\$5,303,827	\$6,554,266
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	\$5,684,242	\$150,128,456	\$118,968,194	\$269,096,649
40.01 Demolition, Clearing, Earthwork	\$3,077,685	\$60,000	\$3,961,000	(\$883,315)	\$3,077,685
40.02 Site Utilities, Utility Relocation	\$91,128,599	\$4,421,533	\$69,437,753	\$21,717,847	\$91,155,599
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	\$34,100	\$1,684,245	\$31,269,963	\$32,954,208
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	\$1,168,610	\$71,245,458	\$43,842,011	\$115,087,469
40.08 Allocated Contingency	\$20,610,000	\$0	\$0	\$20,410,000	\$20,410,000
50 - SYSTEMS	\$521,476,559	\$6,170,723	\$119,252,312	\$419,460,661	\$538,712,973
50.01 Train control and signals	\$99,483,668	\$2,531,096	\$23,027,513	\$78,919,469	\$101,946,982
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	\$859,571	\$29,406,908	\$55,623,198	\$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	\$274,479,994	\$2,780,056	\$66,759,901	\$224,401,885	\$291,161,786
50.04 Allocated Contingency	\$14,194,011	\$0	\$0	(\$0)	(\$0)
50.05 Communications	\$5,455,000	(\$0)	\$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	\$119,218	\$18,516,266	\$17,158,818	\$35,675,084
60.01 Purchase or lease of real estate	\$25,927,074	\$119,218	\$18,387,692	\$7,539,382	\$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)	\$625,608,445	\$8,925,255	\$179,067,458	\$444,791,826	\$623,859,285
70.03 Commuter Rail	\$592,277,622	\$8,925,255	\$178,529,179	\$412,633,848	\$591,163,027
70.03 Allocated Contingency	\$6,499,071	\$0	\$0	\$5,864,506	\$5,864,506
70.06 Non-revenue vehicles	\$8,067,821	\$0	\$538,280	\$7,529,541	\$8,067,821
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	\$3,022,490	\$287,523,474	\$63,118,806	\$350,642,280
80.01 Project Development	\$130,350	\$0	\$280,180	(\$149,830)	\$130,350
80.02 Engineering (not applicable to Small Starts)	\$187,284,094	\$1,016,674	\$195,116,405	(\$2,349,490)	\$192,766,915
80.02 Allocated Contingency	\$5,045	\$0	\$0	\$282,474	\$282,474
80.03 Project Management for Design and Construction	\$74,332,188	\$1,297,016	\$68,518,752	\$20,434,256	\$88,953,008
80.03 Allocated Contingency	\$8,000,396	\$0	\$0	\$8,000,396	\$8,000,396
80.04 Construction Administration & Management	\$25,347,671	\$676,999	\$14,088,176	\$17,168,887	\$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	\$0	\$4,543,588	\$38,263	\$4,581,851
80.06 Legal; Permits; Review Fees by other agencies, cities, etc.	\$6,341,599	\$30,823	\$4,943,374	\$1,398,225	\$6,341,599
80.06 Allocated Contingency	\$556,000	\$0	\$0	\$556,000	\$556,000
80.07 Surveys, Testing, Investigation, Inspection	\$3,388,781	\$977	\$32,999	\$3,355,782	\$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)	\$1,813,987,981	\$23,700,726	\$778,747,780	\$1,074,917,367	\$1,853,665,147
90 - UNALLOCATED CONTINGENCY	\$106,784,315	\$0	\$0	\$67,107,149	\$67,107,149
Subtotal (10 - 90)	\$1,920,772,296	\$23,700,726	\$778,747,780	\$1,142,024,516	\$1,920,772,296
100 - FINANCE CHARGES	\$9,898,638	\$0	\$5,920,070	\$3,978,568	\$9,898,638
Total Project Cost (10 - 100)	\$1,930,670,934	\$23,700,726	\$784,667,850	\$1,146,003,084	\$1,930,670,934

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Appendix E – Change Order Logs

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**Peninsula Corridor Electrification Project
Monthly Progress Report**

Change Order Logs

Electrification Contract

Change Order Authority (5% of BBII Contract)

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

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

Peninsula Corridor Electrification Project
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Change Order Authority (5% of BBII Contract)

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

Date	Change Number	Description	CCO Amount	Change Order Authority Usage ¹	Remaining Authority
3/5/2019	BBI-053-CCO-042A	TPSS-2 VTA/BART Pole Relocation (Design Only) (CNPA funded by VTA)	\$110,000	0.32% ³	\$30,490,456
3/11/2019	BBI-053-CCO-036	Field Order for Signal Cable Relocation (FO-064)	\$86,538	0.25%	\$30,403,918
3/20/2019	BBI-053-CCO-035	Millbrae Avenue Existing Overhead Barrier	(\$40,000)	(0.11)%	\$30,443,918
3/19/2019	BBI-053-CCO-046	Training in Design Software and Potholing	\$136,611	0.39%	\$30,307,307
4/8/2019	BBI-053-CCO-041	Grade Crossing Warning System (CN59) – 5 mph Speed Check	\$446,982	1.28%	\$29,860,325
5/30/2019	BBI-053-CCO-044	Additional Daytime Potholing (Increase Quantity by 500 in Segment 4)	\$150,000	0.43 %	\$29,710,325
6/6/2019	BBI-053-CCO-048	Power Metering Devices	\$101,908	0.29 %	\$29,608,417
6/13/2019	BBI-053-CCO-045	Incentive Payment for 2018	\$1,025,000	0.00% ²	-
6/13/2019	BBI-053-CCO-024B	PG&E Utility Feed Connection to TPS #1 and TPS#2 (Material On Hand)	\$1,600,000	4.59 %	\$28,008,417
6/24/2019	BBI-053-CCO-043	PS-5 Site Relocation (Design Only)	\$348,000	1.00 %	\$27,660,417
6/24/2019	BBI-053-CCO-054	Change Design Sequence for OCS Foundations	\$37,500	0.11%	\$27,622,917
7/1/2019	BBI-053-CCO-040B	Increase Quantity for Utilities Potholing (Bid Item #9)	\$1,867,700	5.36 %	\$25,755,217
7/10/2019	BBI-053-CCO-033A	Relocation of PS3 (Design) (CNPA funded by BGSP)	\$500,000	1.44 % ³	\$25,255,217
8/15/2019	BBI-053-CCO-047	CEMOF Slot Drains (Design Only)	\$69,000	0.20%	\$25,186,217
8/16/2019	BBI-053-CCO-055	Sheriff's Deputy in Segment 4B	\$4,644	0.01%	\$25,181,573
9/3/2019	BBI-053-CCO-037	Field Orders for Signal Cable Relocation (FO-053 & FO-059)	\$184,576	0.53%	\$24,996,997
9/7/2019	BBI-053-CCO-057	Mediator with Technical Expertise	\$0	0.00%	\$24,996,997
9/27/2019	BBI-053-CCO-061	Interconnect Renaming of Circuit Numbers	\$58,058	0.17%	\$24,938,939
9/27/2019	BBI-053-CCO-063A	Track Access Delays - Quarter 1 2018 (Partial)	\$343,496	0.99%	\$24,595,443
10/21/2019	BBI-053-CCO-064	TPS-2 VTA Pole Height Redesign (CNPA funded by VTA)	\$31,000	0.09% ³	\$24,564,443
11/15/2019	BBI-053-CCO-038	Field Order for Signal Cable Relocation (FO-079 & FO-085)	\$187,764	0.54 %	\$24,376,680
11/26/2019	BBI-053-CCO-025B	Addition of OCS Shunt Wires in Segments 2 & 4 - Wire Assembly Materials Only	\$144,370	0.41 %	\$24,232,310
Total			\$28,050,404	30.43 %	\$24,232,310

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%	-
10/27/2017	STA-056-CCO 002	Prototype Seats and Special Colors	\$55,000	0.20%	\$27,489,973
11/02/2017	STA-056-CCO 003	Car Level Water Tightness Test	\$0	0.00%	-
12/05/2017	STA-056-CCO-004	Onboard Wheelchair Lift 800 Pound Capacity Provisions	\$848,000	3.08%	\$26,641,973
11/03/2017	STA-056-CCO 005	Design Progression (multiple)	\$0	0.00%	-

**Peninsula Corridor Electrification Project
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Change Order Authority (5% of Stadler Contract)

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

Date	Change Number	Description	CCO Amount	Change Order Authority Usage ¹	Remaining Authority
12/12/2017	STA-056-CCO 006	Prototype Seats and Special Colors	(\$27,500)	(0.10%)	\$26,669,473
01/17/2018	STA-056-CCO 007	Multi-Color Destination Signs	\$130,760	0.47%	\$26,538,713
02/09/2018	STA-056-CCO-008	Adjustment to Delivery and LDs due to delayed FNTF	\$490,000	0.00% ²	-
02/12/2018	STA-056-CCO-009	Ship Cab Mock-up to Caltrain	\$53,400	0.19%	\$26,485,313
04/17/2018	STA-056-CCO-010	Onboard Wheelchair Lift Locations	(\$1,885,050)	(6.84%)	\$28,370,363
04/17/2018	STA-056-CCO-011	Multiple Change Group 3 and Scale Models	\$0	0.00%	-
10/29/2018	STA-056-CCO-012	Multiple Change Group 4	\$0	0.00%	-
10/29/2018	STA-056-CCO-013	Wheelchair Lift Installation Redesign	\$228,400	0.83%	\$28,141,963
12/14/2018	STA-056-CCO-014	PTC System Change	\$0	0.00%	-
12/22/2018	STA-056-CCO-015	EMU Option Cars	\$172,800,047	0.00% ^{2,3}	-
6/26/2019	STA-056-CCO-016	Testing at TTCl (Pueblo Facility) - First Trainset	\$3,106,428	11.28 %	\$25,035,535
8/27/2019	STA-056-CCO-017	Virtual Reality Experience	\$400,000	1.45 %	\$24,635,535
8/21/2019	STA-056-CCO-018	EMI Conducted Emissions Limits	\$0	0.00%	\$24,635,535
8/8/2019	STA-056-CCO-019	Option Car Payment Milestones	\$0	0.00%	\$24,635,535
8/21/2019	STA-056-CCO-020	Multiple No Cost No Schedule Impact Changes Group 5	\$0	0.00%	\$24,635,535
10/28/2019	STA-056-CCO-021	Plugging of High-Level Doorways	\$736,013	2.67%	\$23,899,523
11/13/2019	STA-056-CCO-022	Add Flip-Up Seats into Bike Cars (CNPA: \$1.96M funded by Non-PCEP)	\$1,961,350	7.12% ³	\$21,938,173
Total			\$178,896,847	20.36 %	\$21,938,173

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 Contract¹)

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

Date	Change Number	Description	CCO Amount	Change Order Authority Usage ²	Remaining Authority
3/27/2019	PROV-070-CCO-003	Track Access Delay	\$25,350	0.46 %	\$5,482,428
3/27/2019	PROV-070-CCO-004	Additional OCS Potholing Due to Conflict with Existing Utilities	\$70,935	1.29 %	\$5,411,493

Peninsula Corridor Electrification Project
Monthly Progress Report

Change Order Authority (10% of ProVen Contract¹)

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

Date	Change Number	Description	CCO Amount	Change Order Authority Usage ²	Remaining Authority
3/27/2019	PROV-070-CCO-005	Install Tie Backs and Piles in Boulders at Tunnel 4	\$29,478	0.54 %	\$5,382,015
3/28/2019	PROV-070-CCO-001	Partnering Meetings (50% PCEP)	\$14,443	0.26 % ⁴	\$5,367,572
4/25/2019	PROV-070-CCO-002	Furnish Galvanized E-clips	\$37,239	0.68 %	\$5,330,333
4/30/2019	PROV-070-CCO-006	Additional Rock Bolts and Testing	\$22,549	0.41 %	\$5,307,784
5/23/2019	PROV-070-CCO-013	Late Removal of Leaky Feeder Tunnel 4 (T-4)	\$21,225	0.39 %	\$5,286,559
5/28/2019	PROV-070-CCO-014	OCS Piles Utility Conflict at Tunnel-1 South (T-1S)	\$16,275	0.30 %	\$5,270,284
5/29/2019	PROV-070-CCO-012	OCS Piles Utility Conflict at T-4S	\$6,871	0.12 %	\$5,263,413
5/31/2019	PROV-070-CCO-016A	Portal Structure Detailing Changes	\$84,331	1.53 %	\$5,179,082
6/18/2019	PROV-070-CCO-009	Creosote Ties Covering (CNPA - Drainage \$3,116.00)	\$3,116	0.06 % ⁴	\$5,175,966
6/28/2019	PROV-070-CCO-008	Micropiles at South Tunnel-2 South (T-2S)	\$41,322	0.75 %	\$5,134,644
6/28/2019	PROV-070-CCO-010	Salvage Transition Panels (CNPA - Drainage \$6,144.00)	\$6,144	0.11 % ⁴	\$5,128,500
6/28/2019	PROV-070-CCO-011	Demo PVC and Plug Tunnel-1 South (T-1S) (CNPA - Drainage \$4,035.00)	\$4,035	0.07 % ⁴	\$5,124,465
6/28/2019	PROV-070-CCO-020	Unidentified SD Conflict with Junction Inlet (CNPA - Drainage \$1,976.00)	\$1,976	0.04 % ⁴	\$5,122,489
9/26/2019	PROV-070-CCO-007	Canopy Tube Drilling	\$89,787	1.63%	\$5,032,702
9/26/2019	PROV-070-CCO-023	Over-excavate Trapezoidal Ditch at T-1N (CNPA - Drainage \$46,914.00)	\$46,914	0.85% ⁴	\$4,985,788
10/4/2019	PROV-070-CCO-029	Additional DryFix Pins	\$105,000	1.91%	\$4,880,788
10/4/2019	PROV-070-CCO-021	Out of Sequence Piles	\$185,857	3.37 %	\$4,694,931
10/30/2019	PROV-070-CCO-017	Hard Piping in T-4 (CNPA - Drainage \$2,200.00)	\$2,200	0.04 % ⁴	\$4,692,731
Total			\$815,047	14.80 %	\$4,692,731

Notes:

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

CEMOF Modifications Contract

Change Order Authority (10% of ProVen Contract)

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

Date	Change Number	Description	CCO Amount	Change Order Authority Usage ¹	Remaining Authority
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.

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AMTRAK AEM-7 Contract

Change Order Authority (Lump Sum)

Up to \$150,000

Date	Change Number	Description	CCO Amount	Change Order Authority Usage¹	Remaining Authority
10/25/2019	AMTK-066-CCO-001	Change to Amtrak Contract for Test Locomotives	(72,179)	(48.12%)	222,179
Total			(72,179)	(48.12%)	\$222,179

Notes:

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

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Appendix F – Risk Table

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Listing of PCEP Risks and Effects in Order of Severity

ID	RISK DESCRIPTION	EFFECT(S)
313	Contractor incorrect sequencing of utility locates, preliminary design, final design, and foundation construction 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.
314	The contractor may not complete and install signal design including CWT modifications within budget and schedule.	Delay and additional cost for rework.
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 necessitate 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
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

Peninsula Corridor Electrification Project
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ID	RISK DESCRIPTION	EFFECT(S)
		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.	<ul style="list-style-type: none"> • Delays to construction/testing. • Delays to completion of infrastructure may delay acceptance of vehicles
10	Potential for Stadler's sub-suppliers to fall behind schedule or delays in parts supply chain result in late completion of vehicles.	<ul style="list-style-type: none"> • Delay in obtaining parts / components. • Cost increases. (See Owner for allocation of costs) • Schedule increase - 3 months (See Owner for allocation of damages associated with this Risk)
240	<p>Property not acquired in time for contractor to do work.</p> <p>Property Acquisition not complete per contractor availability date</p> <p><>Fee</p> <p><>Easement</p> <p><>Contract stipulates that if parcels are not available by contract date, there is only a delay if parcels are not available by the time contractor completes the Segment</p>	<ul style="list-style-type: none"> • Potential delays in construction schedule
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.
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.
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.
315	Increased oversight and schedule risk associated with Stadler plan to move car shell manufacturing to a new Switzerland facility. And to implement second shift of sub-assembly production in	Increased PCEP oversight costs possible trainset delivery schedule slippage

ID	RISK DESCRIPTION	EFFECT(S)
	Altenrhein.AC106	
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	BBI's ability to complete base scope for 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
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
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
13	Vehicle manufacturer could default.	Prolonged delay to resolve issues (up to 12 months) Increase in legal expenses

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ID	RISK DESCRIPTION	EFFECT(S)
		Potential price increase to resolve contract issue
12	Potential for electromagnetic interference (EMI) to private facilities with sensitive electronic equipment caused by vehicles.	<ul style="list-style-type: none"> • Increased cost due to mitigation • Potential delay due to public protests or environmental challenge.
56	Lack of operations personnel for testing.	<ul style="list-style-type: none"> • 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	<p><u>Schedule</u> - Delay. May need to use condemnation authority to acquire easement.</p> <p><u>Cost</u> - Additional cost for PG&E to make connections increasing project costs</p>
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.
82	Unexpected restrictions could affect construction progress: <> night work <> noise <> local roads <> local ordinances	<ul style="list-style-type: none"> • Reduced production rates. • Delay
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	<p>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</p> <p>Design will need to prove new barriers will not impact existing capacity of the bridges prior to Caltrans's approval for</p>	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.

ID	RISK DESCRIPTION	EFFECT(S)
	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.	
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.
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
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.	<ul style="list-style-type: none"> • 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	Additional cost and time

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ID	RISK DESCRIPTION	EFFECT(S)
	provided for Contractor proposed access and staging	
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.
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 workflow.
317	JPB may not make timely acquisition of resources to staff rail activation plan with key personnel.	Delay in operating electrified railroad - delay of RSD.
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.

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ID	RISK DESCRIPTION	EFFECT(S)
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.
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.	Potential need for negotiations that might

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ID	RISK DESCRIPTION	EFFECT(S)
	(Contractor definition of component v. sub-component may not be accepted by Caltrain / FTA.)	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.
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	<ul style="list-style-type: none"> • Increased cost • Delay

ID	RISK DESCRIPTION	EFFECT(S)
	<p>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%</p>	
192	<p>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</p>	<ul style="list-style-type: none"> • Delay • Cost increase
195	<p>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:</p> <ul style="list-style-type: none"> • Fire, police, and first responders • Local communities • Schools 	<p>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.</p>
237	<p>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.</p>	<p>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.</p>
248	<p>3rd party coordination <>Jurisdictions, Utilities, UP, Contractors <>D/B needs to provide timely information to facilitate 3rd party coordination <>Risk is for construction</p>	<p>Delays in approvals resulting in project schedule delays and associated costs.</p>
250	<p>Potential for municipalities to request betterments as part of the electrification project.</p>	<p>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</p>

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ID	RISK DESCRIPTION	EFFECT(S)
		budget.
254	Potential that bridge clearance data are inaccurate and that clearances are not sufficient for installation of catenary.	Results in additional design and construction to create sufficient clearance.
266	Verizon poles in conflict with OCS may not be removed in advance of OCS installation.	Delay in progress of catenary installation resulting in claims and schedule delay
274	JPB as-built drawings and existing infrastructure to be used as basis of final design and construction is not correct	Additional cleanup of as-builts after PCEP construction
275	DB fails to verify as-built drawings and existing infrastructure	Additional cleanup of as-builts after PCEP construction
278	Failure of D/B contractor and subcontractors and suppliers to meet Buy America requirements	Delays while acceptable materials are procured and additional costs for delays and purchase of duplicative equipment.
282	Failure to maintain dynamic envelope and existing track clearances consistent with requirements.	Redesign entailing cost and schedule impacts.
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.
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.

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

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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 2019, prior to project-related activities with the potential to impact nesting birds. No Nesting Bird Surveys occurred during this reporting period. Nesting Bird Surveys will recommence at the beginning of the 2020 nesting season (February 1, 2020). As of the end of the reporting period, there are no active nests observed on the Project.
BIO-1h: Conduct biological resource survey of future contractor-determined staging areas.	X	X			Ongoing	The agency-approved Qualified Biologist has conducted surveys of the staging areas currently being used for construction activities. No special-status species or other potentially sensitive biological resources were observed. The agency-approved Qualified Biologist will continue to survey ahead of the initiation of activities at planned staging areas as the Project moves into new construction areas.
BIO-1i: Minimize impacts on Monarch butterfly overwintering sites.	X	X			Ongoing	The agency-approved Qualified Biologist has periodically monitored the project limits to evaluate the presence of Monarch butterfly overwintering sites. No Monarch butterfly overwintering sites have been observed on the Project to date.

Mitigation Monitoring and Reporting

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

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Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
CUL-1b: Minimize impacts on historic decorative tunnel material.	X				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.
CUL-1e: Implement specific tree mitigation considerations at two potentially historic properties and landscape recordation, as necessary.	X	X			Complete	It was determined that the project is not acquiring any ROW at either of the subject properties so all tree effects would be within the JPB ROW. Therefore, the APE does not include these two historic properties. This measure is no longer needed.

Mitigation Monitoring and Reporting

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

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

Mitigation Monitoring and Reporting

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

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Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
GEO-4b: Mitigation of expansive soils.	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design by the D-B as described. Geotechnical studies are being conducted by Parikh under subcontract with PGH Wong. Studies and results are submitted to JPB as completed.
HAZ-2a: Conduct a Phase II Environmental Site Assessment prior to construction.	X				Complete	A Phase II Environmental Assessment was completed prior to construction by the JPB consultant, and the results were provided to BBI, and the required mitigation is being implemented prior to the initiation of construction activities.
HAZ-2b: Implement engineering controls and best management practices during construction.	X	X			Ongoing	Field activities are being monitored daily for significant color changes or odors which may indicate contamination. In addition, during this reporting period, a certified Asbestos Consultant finalized specifications describing the removal, disposal, and monitoring methods for two existing subsurface pipes within the right of way. Removal and disposal by a certified Asbestos Contractor, as well as the associated monitoring by the certified Asbestos Consultant, is planned to occur during a future reporting period.
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. PGH Wong has completed analysis and design and issued for JPB review.
NOI-2a: Implement Construction Vibration Control Plan.	X	X			Ongoing	The Noise and Vibration Control Plan has been submitted and is being implemented. Field activity is monitored per the Plan.
PSU-8a: Provide continuous coordination with all utility providers.	X	X			Ongoing	The design requirements indicated in the measure will be implemented through the final design as described. Coordination with utility providers is ongoing and there have not been any service interruptions thus far.
PSU-8b: Adjust OCS pole foundation locations.	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described.
PSU-8c: Schedule and notify users about potential service interruptions.	X	X			Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. There have not been any service interruptions thus far.
PSU-9: Require application of relevant construction mitigation measures to utility relocation and transmission line construction by others.	X	X			Ongoing	JPB has initiated coordination with PG&E regarding transmission line construction. PG&E is currently raising overcrossing lines in Segment 2.

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

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Mitigation Monitoring and Reporting

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

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

Mitigation Monitoring and Reporting

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

Mitigation Monitoring and Reporting

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

Mitigation Monitoring and Reporting

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

Mitigation Monitoring and Reporting

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

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Mitigation Monitoring and Reporting

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

Mitigation Monitoring and Reporting

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

Mitigation Monitoring and Reporting

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

Mitigation Monitoring and Reporting

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

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

Mitigation Monitoring and Reporting

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

Mitigation Monitoring and Reporting

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

Mitigation Monitoring and Reporting

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

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 16 th Street without OCS conflicts in cooperation with SFMTA.	X				Complete	Not applicable. SFMTA has elected to not electrify the 16 th Street crossing. This measure no longer applies.

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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 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 – December 2019**

ACTION

Staff Coordinating Council recommends that the Board receive the Positive Train Control (PTC) report for December 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:

<u>Key Project Activity</u>	<u>Expected Completion</u>	<u>Progress as of 10/23/19</u>	<u>Progress On Track?</u>	<u>Mitigation Required or Approvals Needed</u>
Approval of Designated Revenue Service Demonstration (RSD) Test Request	May 31 st	Completed	Completed	Formal conditional approval received on September 10. Team incorporating FRA conditions in test plan to ensure compliance to approval.
Approval of revised project PTC Implementation Plan (PTCIP) and Request for Amendment (RFA)	May 31 st	Completed	Completed	Formal approval received on May 16, 2019 for PTCIP and RFA Rev. 10.
Pilot Installations (4) Completed	June 20 th	Completed	Completed	All pilots completed
Submit Designated RSD Application	Oct 15 th	Completed	Completed	RSD Application submitted and in review by FRA.
Submit Full Track RSD Application	June 7 th	Completed	Completed	Formal RSD request for full track was submitted to the FRA on June 14, 2019
Complete Critical Feature Verification & Validation (V&V) for Designated Track RSD	Oct 30 th	Completed	Completed	
Complete Designated RSD Training	Nov 14 th	Completed	Completed	Training for designated RSD personnel completed
Complete Required Vehicle Installations	Dec 3 rd	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 15 th 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 going through overhaul 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

Key Project Activity	Expected Completion	Progress as of 10/23/19	Progress On Track?	Mitigation Required or Approvals Needed
Full RSD – Complete Lab Integrated End to End Testing (LIEE)	June 30, 2019	Completed	Completed	LIEE Cycle 3 was completed ahead of schedule on June 12, 2019
Full RSD – Complete Field Integrated Testing (FIT)	August 2019	Completed	Completed	Full track FIT has completed on June 30, 2019
Full RSD – Complete Field Qualification Testing (FQT)	September 2019	Completed	Completed	Full track FQT has completed on July 14, 2019
*Commence Full RSD – Caltrain ROW	October 2019	Completed	Completed	Caltrain has successfully entered RSD on September 07, 2019.
Complete Lab Integrated End to End Testing for Interoperability with UPRR (LIEE-I)	October 2019	Completed	Completed	LIEE-I with UPRR was completed on October 15.
*Complete Interoperability Testing with UPRR - Both ROW	December 2019	Completed	Completed	Interoperable Test with UPRR on both territories were completed on Nov 5 th , 2019
*Complete Interoperability Testing with Tenant Railroads - ACE	April 30 2020	Completed	Completed	Interoperable Test with ACE was completed on Nov 17, 2019.
*Complete Interoperability Testing with Tenant Railroads - AMTRAK	April 30 2020	Plan	Yes	Scheduled Interoperable field testing on Feb 8/9
Achieve Interoperability with UPRR	Dec 31, 2019	Completed	Completed	Accomplished on December 9, 2019
Achieve Interoperability with other Tenants	April 30, 2020	Plan	Ahead of Schedule	Accomplished Interoperable with ACE on December 9, 2019.
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 December 2019:

- o Caltrain has commenced Revenue Service Demonstration (RSD) on September 7, 2019.
- o Continued to provide technical support for RSD runs and addressed defect items with support from WABTEC PTC help-desk.
- o Completed Interoperable Test with UPRR for UP equipped train on Caltrain and Caltrain PTC equipped train on UP. Achieved PTC Interoperable Operations with UPRR.
- o Wabtec achieved second Performance Incentive.
- o Completed Interoperable Test with ACE and achieved PTC Interoperable operation with ACE.
- o ITCM Test Federation has been achieved with railroads via 4-Tunnel configuration. Team is continuing 8-Tunnel configuration effort to achieve Federation with Amtrak and the remaining railroads for PTC Interoperability Implementation.
- o Completed Cellular Separation effort.
- o Continued BCCF/CCF Cutover planning effort and finalization of cutover plan and procedure.
- o Completed Lab Regression Testing for on-board software 17.4.1.
- o Completed post RSD slot 10 and WSRS upgrades.
- o Commenced field regression testing planning effort for the next subdiv file and software release.
- o Completed RSD commencement acceptance close out effort.
- o Submitted PTC Virtualization Plan for final approval.
- o Submitted Field Interoperability Test (ACE) Results.
- o Submitted Field Interoperability Test (UPRR) Results.

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, or have just recently completed 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 January 2020.

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 December 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. RSD roll out is increasing after the Thanksgiving Holiday. Caltrain has reached goal of running all 92 trains per weekday with PTC on December 17, 2019.
- 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.
- PTC helpdesk is continuing support PTC operation since commencement of RSD with support from Tier 1 and Tier 2 support staff for PTC Operations. Post RSD weekly meetings and defect-tracking 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. TASI will provide 24/7 helpdesk coverage by mid-January 2020.
- Caltrain Project team, Caltrain Operations including TASI and UPRR PTC team have worked together successfully and achieved PTC interoperability on both ROW during the week of December 9, 2019.
- Caltrain Project team, Operations and ACE worked together and commenced ACE PTC Operation on Caltrain territory on December 9th, 2019.
- UPRR, Caltrain and ACE are meeting on the weekly basis to address any technical and operational issues related to PTC interoperable operations.
- Continued managing ARINC under newly established 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.
- Issued Work Directive Proposal Request to ARINC for BCCF/CCF Cutover effort.
- 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.

- o Caltrain Configuration Management (CM) process and Configuration Control Board have been established to review and approve configuration changes for the Rail Operational systems. Staff has recommended Talon as the CM tool.

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 December 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 – Risks are mitigated, Interoperability with UPRR and ACE were achieved and Amtrak is scheduled in February 2020.
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 was completed in October 2019. The

Risk Item	Type	Mitigation Action
		Long-term communication MPLS solution will be implemented in early 2020.
Maintenance of existing Assets Data Communications, Wayside Infrastructure and on-board equipment	Internal	Coordinated with Operations and TASI to ensure all assets transfer including all documentation were done and handed off to Operations/TASI. PTC infrastructure are maintained by TASI and Project team continue to provide support as Tier 2/Tier 3 to ensure PTC is reliable for PTC Revenue Service Operations.

6. FRA Coordination Status:

- o Continued weekly calls with FRA review team
- o Received green light for Interoperable Operations on Caltrain ROW with UPRR and ACE
- o Continued RSD daily, Weekly and Monthly Report to the Test Monitor
- o Received approval on critical feature validation regression plan
- o Submit field regression testing plan for new on-board software

7. Caltrain Roadmap to Full RSD and Interoperability:

- o 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; all 92 trains per weekday are under PTC as of the end of 2019.
 8. Caltrain completed Interoperability Laboratory Testing with UPRR on August 12, 2019 for cycle one and subsequently cycle two on October 15, 2019.
 9. Caltrain has received Interoperability Test Request Conditional Approval from the FRA.
 10. Caltrain completed Interoperability Field Testing with UPRR on November 5 2019 and has achieved Interoperability with UPRR on December 9, 2019.
 11. Caltrain has completed Interoperability Testing with ACE and started PTC Operations on December 9, 2019. Caltrain will commence Interoperability Testing with Amtrak in February of 2020. Caltrain will achieve interoperability requirements with all tenants by April 2020.
 12. 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 November 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	\$ 29.59	\$ 44.44	\$ -	66.60%
Other Contractors	\$ 6.00	\$ -	\$ 6.00	\$ 1.71	\$ 6.00	\$ -	28.58%
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	\$ 14.37	\$ 29.03	\$ 1.32	49.49%
Project Contingency	\$ 6.06	\$ -	\$ 6.06	\$ -	\$ 6.06	\$ -	
Total PTC Project	\$ 89.41	\$ -	\$ 89.41	\$ 46.17	\$ 88.10	\$ 1.32	52.41%
Note:							
1). Expended and Accruals To-Date is through November 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 January 2020:

- o Continue ITCM Test and production Federation with remaining railroads.
- o Continue to support PTC RSD Roll out with Operations and TASI.
- o Continue BCCF/CCF cutover planning effort.
- o Continue Data Collection and PTC log analysis for PTC RSD daily and weekly reports to the FRA following RSD conditional approval requirements.
- o 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.
- o Continue to provide Tier 2 PTC System Engineering support for tracking anomalies and addressing defect resolutions with Tier 3.
- o Continue Interoperability coordination with UPRR, ACE via weekly calls.
- o Continue Interoperability coordination with Amtrak for next year LIEE-I and field test planning.
- o Continue MP1500 locomotive Brake Testing effort that will conclude Brake Testing following newly issued PTC rules.
- o Continue 8 tunnel Federation effort, PTC Virtualization and ATCS work.
- o Perform network core switches installation and configuration test effort at CCF/BCCF.
- o Perform CFV for new subdivision file.
- o Perform field regression testing for new on-board software.
- o Perform LIEE-I with Amtrak on January 8/9 of 2020.

Prepared By: Matt Scanlon, Deputy Director, Systems - 650.622.7819

Draft

**CITIZENS ADVISORY COMMITTEE (CAC)
PENINSULA CORRIDOR JOINT POWERS BOARD (JPB)
SAN MATEO COUNTY TRANSIT DISTRICT ADMINISTRATIVE BUILDING
Bacciocco Auditorium, 2nd Floor
1250 San Carlos Avenue, San Carlos CA 94070**

MINUTES OF DECEMBER 18, 2019

MEMBERS PRESENT: M. Romo, P. Leung, P. Flautt, R. Kutler, R. Valenciana (Vice Chair), B. Shaw (Chair)

MEMBERS ABSENT: A. Brandt, A. Dagum, L. Klein,

STAFF PRESENT: C. Fromson, P. Givens, Y. Hanakura, R. McCauley, J. Navarrete, J. Navarro, R. Peredia, R. Scarpino

Chair Brian Shaw called the meeting to order at 5:44 p.m. and led the Pledge of Allegiance.

INTRODUCTION OF NEW CAC MEMBER

Chair Brian Shaw introduced newly appointed Santa Clara County committee member, Patrick Flautt.

Member R. Kutler arrived at 5:46 p.m.

APPOINTMENT OF NOMINATING COMMITTEE

A nominating committee was established with three CAC members, Rosalind Kutler, Ricardo Valenciana and Patricia Leung, one from each county. Staff will coordinate a conference call, in early January, for the committee to meet and provide a recommendation for Chair and Vice Chair.

APPROVAL OF MINUTES OF NOVEMBER 20, 2019

Motion/Second: Flautt / Valenciana

Ayes: Leung, Kutler, Romo, Shaw

Absent: Brandt, Dagum, Klein,

PUBLIC COMMENT

Andy Chow, Redwood City, reviewed Caltrain’s obstacles and accomplishments over the past decade and is looking forward to the new decade, 2020.

Jeff Carter, Millbrae, welcomed the new CAC Member, Patrick Flautt. Jeff then stated that with the new LED lighting installation at 22nd ST. station, it has created dark areas on

the northbound platform at night and requested staff to adjust the lighting to help improve the low lit areas.

CHAIRPERSON'S REPORT

Chair Brian Shaw reported that the JPB passed the recommended amendment to the bylaws, to add an alternate member from each county. Chair Shaw stated that the JPB will begin to appoint alternates in 2020.

COMMITTEE COMMENTS

Member Martin Romo requested staff to present on Transit Oriented Development. He requested staff to inform the committee of sites that are potentially useful for housing/affordable housing development and to update the committee on what plans may exist.

Member Rosalind Kutler requested staff to address the Caltrain connections with other transit agencies. She suggested informing the public whether there are plans to address the issue and to inform the public so that they have a better understanding.

Chair Shaw requested both items be agendized.

Member Patrick Flautt suggested each member of the CAC have email addresses and business cards associated to the Citizen's Advisory Committee. He also suggested that each member of the CAC be incentivized to ride Caltrain by being provided a clipper card to provide staff with feedback. Member Flautt also suggested aligning with the Bicycle Advisory Committee. Chair Shaw suggested meeting with that committee quarterly. Lastly, Member Flautt suggested staff to have a video summary of the CAC meetings posted online. Chair Shaw requested to agendize the discussion of the possibility of a summary video of the CAC meetings by the Social Media Officer.

2020 DRAFT LEGISLATIVE PROGRAM

Ryan McCauley, Government and Community Affairs Specialist, presented the 2020 Legislative Program Draft.

The full 2020 Legislative Program Draft can be found on caltrain.com

Public Comments:

None

Committee Comments:

Chair Brian Shaw asked what the top three priorities are to accomplish in 2020 and how can the CAC help. Mr. McCauley responded that a dedicated source of funding, the 2040 Business Plan and the delivery of PCEP are the top priorities. Chair Shaw asked whether staff has determined to wait until fall 2020 to decide on the 1/8 sales tax or to wait to see how the Faster Ballot Measure goes. Mr. McCauley responded that staff would not go to the ballots with both and discussions are being held to determine

which would be the most beneficial. Chair Shaw asked whether there has been more polling on the 1/8 Sales Tax Measure. Casey Fromson, Director of Government and Community Affairs stated that staff has not completed new polling on the 1/8 Sales Tax Measure. She also stated that the JPB has directed staff to pursue all options to obtain dedicated funding. Chair Shaw asked whether it would be a good idea to reach out to respective entities to voice their opinions on the Dedicated Source of Funding in the summer of 2020. Ms. Fromson responded that it would be a good idea to reach out to respective organizations now, to start those discussions.

RIGHT OF WAY CLEAN-UP

Rob Scarpino, Deputy Director, Infrastructure, presented the Right of Way Clean-Up presentation.

The full PowerPoint presentation can be found on caltrain.com

Public Comments:
None

Committee Comments:

Vice Chair Ricardo Valenciana asked whether there is security when cleaning the Right of Way. Mr. Scarpino confirmed and stated that they work with the city or with the Transit Police. Vice Chair Valenciana also asked which areas require more clean-up work. Mr. Scarpino stated that there are trouble spots across all counties.

Member Rosalind Kutler expressed appreciation for the clean-up.

Member Patricia Leung asked whether there are opportunities for volunteers to help clean or paint. Mr. Scarpino stated that staff has worked with cities in the past and that the volunteers needed Right of Way training to help on the Right of Way and it was not easy as it created supervisory issues. Mr. Joe Navarro, Deputy Chief, Rail Operations, stated that it is more costly to have volunteers and it more cost beneficial to hire workers.

Member Martin Romo asked how many complaints per year are received regarding these issues. Mr. Scarpino stated that he will follow-up with a response. Member Romo stated that he would like to know whether there has been an uptick or an improvement year over year. Mr. Navarro responded that he will follow-up with that information.

Member Patrick Flautt asked whether closed circuit camera system has ever been considered as it would serve as an active deterrent rather than consistently fixing infrastructure. Mr. Scarpino stated that cameras have already been installed at some of the stations and staff continues to consider installing cameras at all stations. Mr. Navarro stated that for this to happen, the first step would be to install fiber across the corridor and then Wi-Fi would follow. Member Flautt asked what is the cost of renting a group of goats. Mr. Scarpino stated that it was approximately \$30k for a couple of days, similar cost to hiring roadway workers to clean.

Chair Brian Shaw asked whether there is a database that keeps track of the trouble spots along the corridor to determine improvement of those areas since the corridor is static. Mr. Navarro stated that although the corridor is static, the surrounding areas change as business' move in and out of buildings near the corridor which may affect the status of those areas. Mr. Scarpino added that there is an extensive list of the problem areas and that staff also works with the surrounding property owners to eliminate problems. Chair Brian Shaw asked what the process is to report debris along the corridor. Mr. Navarro responded to call Customer Service to report those issues. Member Kutler added that there is a webform to report issues and has worked great. She stated that she usually receives a response within 3 business days. Member Flautt asked whether there is a way to better inform the public of this webform that currently exists to report issues. He also suggested the form being available via the Mobile App and having the capability to capture the GPS coordinates to better report the issue. Chair Shaw reiterated having a mobile app platform to easily report issues at stations and onboard the train. He stated that this will help staff easily identify improvements of troubled areas. Mr. Navarro appreciated the feedback provided by the members and stated that customer complaints are currently being collected by calls made to the Customer Service department and by the webforms completed from the website. Mr. Navarro also stated that the problem areas are constantly being monitored via field visits by numerous members of staff. Lastly, Mr. Navarro stated that he is looking into the contractor's response time to customer complaints depending on priority to better improve productivity. Once this happens, he will look into additional ways customers may report issues. Member Flautt asked to revisit this topic once the timeline changes have been made with the contractor. Mr. Navarro agreed. Chair Shaw requested this topic be agendaized for a future meeting.

Chair Shaw then asked how staffs deals with areas that are outside of Caltrain's property, but near to it. Mr. Scarpino responded that Caltrain works with either the city or various property owners to address the issues. Mr. Scarpino stated that staff rectified a homeless encampment issue in San Francisco between 7th ST. and 16th ST. by working with the City of San Francisco. Chair Shaw then asked how staff prioritizes work. Mr. Scarpino responded that it considers, the annual schedule of plans, changes to development on surrounding property, problem areas and the costs associated to work.

IMPACT ON RIDERS DUE TO WEATHER

Joe Navarro, Deputy Chief, Rail Operations, presented the options for Impacts on Riders due to Weather.

Joe Navarro, Deputy Chief, Rail Operations, displayed pictures of current shelters at various stations and advised that staff is looking to be consistent along the corridor and requested feedback from the committee on the redesign of the shelters.

Committee Comments:

Member Kutler stated that she has seen passengers affected by weather, both sun and rain at 22nd ST. She stated that the shelters do not provide shade inside, but rather behind the shelter and requires a better design. Member Flautt suggested a canopy

design. Mr. Navarro stated that he would take the suggestions under consideration along with the future ridership of Caltrain to make an informed decision.

Chair Shaw shared his opinions on things to consider. Each city has their own agenda on design standards and maintenance. How much of the platform has roofing or coverage and whether there is a minimum needed at each platform considering ADA passengers, boarding and alighting passengers. Both shade and rain should be considered. Chair Shaw requested staff to provide consideration around what the issues are to improve and whether there are standards and expectations depending on the trains' frequency. Mr. Navarro stated that he would provide additional information at a later meeting.

Public comment:

Jeff Carter, Millbrae, stated that Member Kutler made great points on shelter from the sun and from the rain and agrees with the idea of large canopies. He stated that he visited Chicago in the Winter and that the shelters for the train had heaters in the shelters. Jeff stated that Millbrae does not have much protection from the wind or rain and is horrible and would greatly appreciate improvements to Millbrae. Lastly, he stated that 22nd ST. is not as bad and hopes for elevators at the station one day.

STAFF REPORT UPDATE

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

Mr. Navarro asked the committee which background color they prefer for the TVMs, white or red. The committee chose red.

On-time Performance (OTP) –

- **November:** The November 2019 OTP was 93.4% compared to 93.9% for November 2018.
 - **Vehicle Strike** – There was one vehicle strike on November 15.
 - **Vehicle on Tracks** – There were three days, November 7, 18, 27, with a vehicle on the tracks that caused train delays.
 - **Mechanical Delays** – In November 2019 there were 751 minutes of delay due to mechanical issues compared to 711 minutes in November 2018.
- **October:** The October 2019 OTP was 93.3% compared to 94.8% for October 2018.
 - **Trespasser Strikes** – There were two trespasser strikes on October 1 and 23, resulting in fatalities.

Full Staff Report can be found on Caltrain.com

Mr. Navarro reported that staff will pilot a potential solution to prevent vehicles from turning down the tracks at grade crossings. Staff will install "turtles" the size of a cellular phone with a solid laser light, parallel to the tracks, at a grade crossing that is monitored by cameras. He mentioned that approval was received from the CPUC.

Mr. Navarro then announced that passengers can now pay for parking on the Mobile Ticketing application as of today.

Public comment:
None

Committee comment:
Member Flautt asked what would be considered a successful grade crossing "turtle" installation pilot. Mr. Navarro responded that he would compare the number of vehicles currently turning down the track and compare it to the number of vehicles that turned down the tracks during the pilot and any decrease of vehicles would be considered a successful pilot, the goal is to have zero cars turning down the tracks. Chair Brian Shaw requested an update to the grade crossing pilot six months after installation.

JPB CAC Work Plan

January 15, 2020

- Mobile App Parking
- Grade Crossing Improvements
- Hillsdale

February 19, 2020

➤

March 18, 2020

➤

April 15, 2020

➤

Items to be scheduled

- Schedule Audit – requested by Member Lauren Fernandez on 3/6/18
- Go Pass cost per ride factors – requested by Chair, Brian Shaw on 6/19/19
- Distance based fares – requested by Chair, Brian Shaw on 6/19/19

- San Mateo County Climate Action Plan – requested by Member Rosalind Kutler on 10/16/19
- JPB Operating & Capital Budgets FY2021 – to be scheduled for May 2020
- MTC Means-Based Discount Fare program update

DATE, TIME AND LOCATION OF NEXT REGULAR MEETING:

January 15, 2020 at 5:40 p.m., San Mateo County Transit District Administrative Building, 2nd Floor Bacciocco Auditorium, 1250 San Carlos Avenue, San Carlos, CA.

Adjourned at 7:15 pm

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Peninsula Corridor Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Michelle Bouchard
Chief Operating Officer, Rail

SUBJECT: **ADOPTION OF THE CALTRAIN RAIL CORRIDOR USE POLICY**

ACTION

The Staff Coordinating Council (SCC) recommends that the Board adopt the Caltrain Rail Corridor Use Policy.

SIGNIFICANCE

Peninsula Corridor Joint Powers Board (JPB) staff will make a presentation to provide an extensive update on the Caltrain Rail Corridor Use Policy (RCUP) to the Board. Following the presentation, staff will propose that the Board adopt the RCUP at the January 2020 Board meeting.

The RCUP is one of four interrelated planning and policy efforts that will collectively inform and guide the future use of JPB property. The other three projects include the Caltrain Business Plan, the Caltrain Station Management Toolbox (Toolbox), and the Caltrain Transit-Oriented Development (TOD) Policy.

BUDGET IMPACT

There is no impact on the budget.

ADDITIONAL INFORMATION

Update on RCUP

Over the last six months, Caltrain staff has made extensive progress to develop the RCUP, a policy framework to guide the use of JPB Property and support delivery of Caltrain's Long-Term Service Vision, which was adopted unanimously by the Caltrain Board on October 3, 2019. Included as an attachment to this staff report, the full draft RCUP consists of two main components: a set of maps of JPB property along the Caltrain corridor, and an administrative document to accompany the maps, which provides a decision-making framework regarding proposed non-railroad uses of JPB property. This full draft Policy will be proposed for Board adoption on January 9, 2020.

Over the last few months, staff has been working closely with the Work Program – Legislative – Planning (WPLP) Committee to provide updates and seek feedback on the RCUP’s development, which has been closely aligned with the Caltrain Business Plan. The updates to the WPLP are summarized below:

- At its September 2019 meeting, the WPLP received a presentation with an update on the RCUP. It reintroduced the purpose of the RCUP and its connection to the Business Plan, introduced key terms for the RCUP, presented an illustrative RCUP map, and concluded with next steps.
- At its November 2019 meeting, the WPLP received a second presentation with an RCUP update. This presentation provided background and context on the RCUP project, explained the process for completing the technical analysis for the RCUP maps, and shared the draft RCUP maps and key findings.
- At its December 2019 meeting, the WPLP received a third presentation to provide an overview of the draft administrative framework that accompanies the maps. Staff also shared a copy of the full draft RCUP. The WPLP passed a motion to recommend Board adoption of the RCUP at the January 2020 JPB meeting.

Before proposing adoption, an extensive update is planned for the full Board on January 9, 2020 to share key draft findings for the RCUP project and the full draft RCUP policy framework. This update will include background and context on the RCUP project, as well as an explanation for the process to develop the RCUP maps. Staff will share key draft findings from those maps, including a preliminary assessment of potential opportunity sites for development projects on JPB property. The update will also introduce the high-level decision-making framework that accompanies the maps as the administrative component of the RCUP project. Following the update, it will be recommended that the Board adopt the RCUP.

Projects Related to Use of JPB Property

For additional context and background, the text below summarizes the four interrelated efforts that Caltrain staff is currently engaged in to inform and guide the use of JPB property. Together, these efforts will provide a cohesive and “living” framework of policy direction and decision-making tools related to the use of JPB property assets, including for access improvements and development projects.

The four individual projects include:

- Caltrain Business Plan: this effort will establish a long-term vision for the Caltrain rail service for the next 20 to 30 years. It will assess the benefits, impacts, and costs of different service visions, building the case for investment and a plan for implementation. The Business Plan will include future service levels and patterns; conceptual infrastructure needs; costs for operations, maintenance, and capital

projects; and ridership, mobility, and revenue outcomes. It will also consider the railroad's interactions, benefits, and impacts with surrounding communities. Lastly, it will assess the organizational structure of the agency, including its governance and delivery approaches, as well as funding mechanisms to support future service.

- Rail Corridor Use Policy: this effort will develop a policy framework around the use of JPB-owned property to align with the service vision and the conceptual infrastructure needs developed in the Caltrain Business Plan. It will inventory land owned by the JPB and will develop decision frameworks related to the near- and long-term use of JPB property, including evaluation of potential conflicts between land development opportunities and future transit uses.
- Station Management Toolbox: this effort is funded by an FTA planning grant. It will develop a quantitative tool to help Caltrain evaluate tradeoffs and make decisions at its stations, including how to balance and manage investments in different access modes at stations and how to evaluate the potential use of station land for joint development projects.
- Transit-Oriented Development Policy: this effort will establish goals for transit-oriented development on Caltrain property, which will align with the conceptual infrastructure needs developed as part of the Business Plan. It will set forth policies to guide: the disposition of real estate assets; business objectives associated with joint development decisions (including the balance between affordable housing and revenue); engagement with local planning efforts; and other actions to promote the successful execution of TOD on JPB-owned property, as well as on property around transit facilities owned by third parties.

NEXT STEPS:

After the RCUP is adopted by the Board, staff will complete additional administrative tasks to prepare the public-facing materials that will be used to implement the RCUP, including application forms and website updates.

Caltrain Rail Corridor Use Policy

Peninsula Corridor Joint Powers Board
January 9, 2020



Overview of Presentation

- **Background on RCUP**
- **Draft RCUP Maps**
 - Draft Property Use Zones
 - Draft Service Vision Capital Project Overlay
 - Draft Key Mapping Findings
- **Draft Decision-Making Framework**
- **Next Steps**



Background and Context



2

Why is Caltrain developing the Rail Corridor Use Policy (RCUP)?

JPB staff **frequently** receive requests from third parties to use JPB property for all types of “non-railroad uses,” such as:

- Utilities
- Development projects
- Commercial businesses
- Access facilities
- Pop-up events
- Farmers markets



Would the proposed use be compatible with the railroad’s current and future needs?



A Board-adopted policy is needed to check compatibility of proposed uses and guide use of JPB property to achieve Caltrain’s Adopted Long-Term Service Vision



3

RCUP Objectives

What will the RCUP contain?

- Provide a Board-adopted **policy framework** that supports the delivery of Caltrain's Long-Term Service Vision while also clarifying nearer-term opportunities for the use of JPB property
- Develop a **process** for considering and approving the range of proposed uses and projects on JPB property
- Provide **transparency** on decision-making process and outcomes



Policy Framework



Maps



Decision-Making Process

4

RCUP Users and Applications

Primary Users

- Caltrain staff
- Joint Powers Board

Example Applications

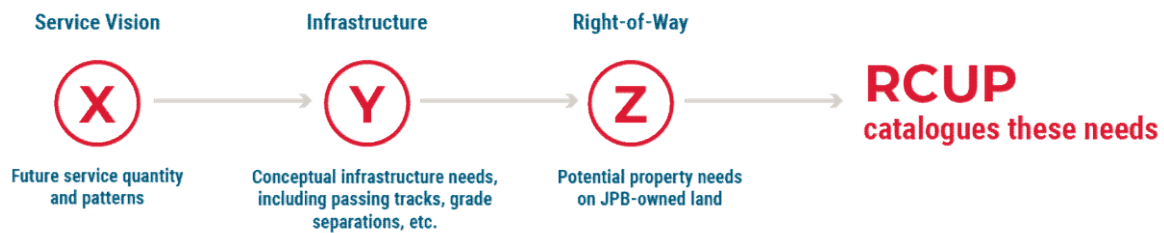
Checking the compatibility of proposed third party uses such as:

- Proposed revenue-generating land uses of JPB property, such as:
 - A potential long-term lease for a joint development project, or
 - A potential commercial lease for a business.
- Proposed community land uses on JPB property, such as:
 - A potential park, or
 - A potential access facility.
- Other proposed uses of JPB property



6

Connection to Caltrain's Long-Term Service Vision



7

What are the preliminary conclusions from the RCUP analysis?

- Most of the JPB's property is needed for **operations and for potential future capital projects** to support delivery of Caltrain's Long-Term Service Vision.
- The RCUP analysis shows a **very limited number of sites that could be potential development opportunities** without encroaching on area that is needed for potential future capital projects to support Caltrain's Long-Term Service Vision.
- Looking to the future, there could be additional potential opportunities to **integrate development projects with potential future capital projects** that support Caltrain's Long-Term Service Vision.



8

What are the preliminary conclusions from the RCUP analysis?

- The RCUP analysis shows 2 draft sites that are “high potential opportunity sites” – regularly shaped and >1.5 acres in size – that could be candidates for standard, independent development projects. **The draft high potential opportunity sites total 4.8 acres.**
- The RCUP analysis shows 7 draft sites that are “other potential opportunity sites” – irregularly shaped, <1.5 acres in size, or have other issues – that could potentially be candidates for development, pending further analysis. **The draft other potential opportunity sites total 6.8 acres.**
- The RCUP opportunity site analysis is preliminary – **additional real estate analysis is needed** through the TOD Policy to refine the number and size of the potential opportunity sites.



Connection to Other Projects

How does the RCUP fit in with Caltrain's other planning and policy tools and documents?

Caltrain Business Plan

How Should Caltrain Grow?

Rail Corridor Use Policy (RCUP)

How could JPB's land be used?

Who could use JPB's property?

What property could be available for non-railroad uses, such as development projects?

JPB Property Assets
Four interrelated policies, plans, and tools to guide use of JPB Property

Station Management Toolbox

What are potential outcomes and tradeoffs associated with development and access improvements at stations?

Transit-Oriented Development Policy

How should JPB develop land that is available for non-railroad uses?

Draft RCUP Maps



11

RCUP Mapping Process

Property
Use Zones



Service Vision
Capital Project
Overlay



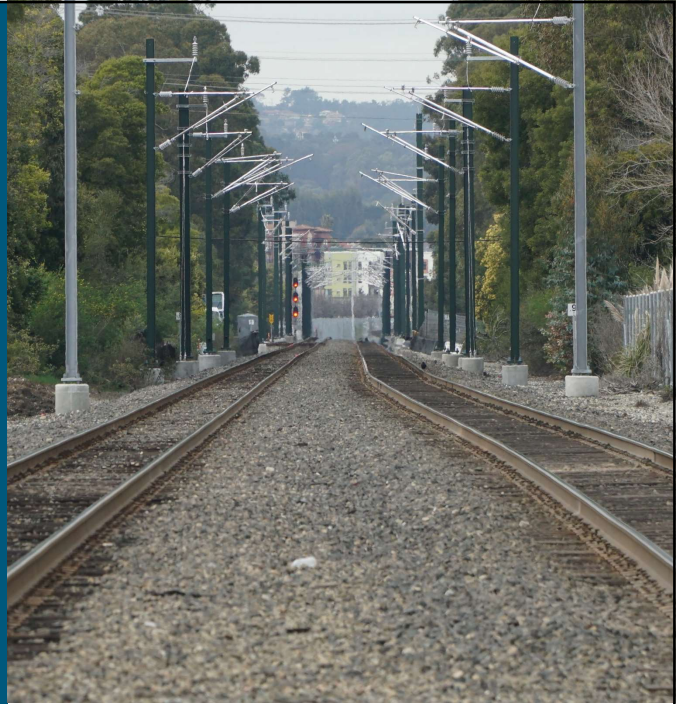
- Draft maps have been developed for all the JPB's property and operating easements.
- Two key components to the RCUP maps:
 - **Property Use Zones** serve as the **base land use districts** for JPB property in the RCUP.
 - **Service Vision Capital Project Overlay** is an overlay to the Property Use Zones and includes all **potential future capital projects** on JPB property that support the Business Plan's service vision.



12

Property Use Zones

- Applied to all JPB property on the Caltrain corridor.
- Each Property Use Zone has a list of allowable land uses that could be located within each zone.



13

Property Use Zone 1: Operating Right-of-Way

- Property reserved for the safe operation of the railroad.
- Generally unavailable for non-railroad land uses, except compatible utility uses.

Property Use Zone 2: Station Right-of-Way

- Property located at and near Caltrain stations; includes facilities that support the functioning of the station.
- Could include non-railroad land uses that are compatible with the functioning of the station and safe operation of the railroad.



Note: This is a draft map that is for general information only. Peninsula Corridor Joint Powers Board property lines are approximate and for illustrative purposes only.



14

Property Use Zone 3: Non-Operating Right-of-Way

- Property that is not included in Property Use Zones 1, 2, or 4.
- Could include non-railroad land uses that are compatible with the safe operation of the railroad.

Property Use Zone 4: Special Study Area

- Property that is involved in a defined, complex planning process with multiple stakeholders (currently includes San Francisco and San Jose terminals).
- Generally unavailable for non-railroad land uses, except compatible utility uses.



Note: This is a draft map that is for general information only. Peninsula Corridor Joint Powers Board property lines are approximate and for illustrative purposes only.



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Service Vision Capital Project Overlay

- Conceptually represents areas of JPB property that may be needed for potential future capital projects.
- Before the start of the potential future capital project, allowable non-railroad uses will be limited to ensure that the property does not become permanently encumbered.
- Long-term non-railroad uses – such as a development project – could be designed to be delivered with or after the construction of the potential future capital project.



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Methodology for Service Vision Capital Project Overlay



- Inclusive of **all potential future capital projects** that may be needed to support delivery of Caltrain's Long-Term Service Vision.
- Deliberately taking a conservative approach to mapping potential projects.
 - RCUP maps will be updated in the future as conditions change (e.g., once a future project's design has been finalized, or once a project has been delivered).
- Worked with the Caltrain Business Plan consultant team and Caltrain Engineering department to determine the dimensions for project "footprints" (including space for both construction and final project).

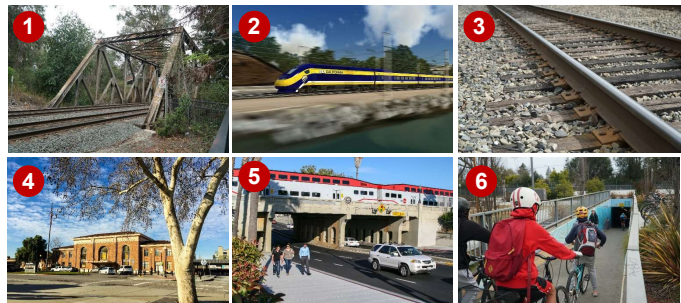


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Methodology for Service Vision Capital Project Overlay

Service Vision Capital Project Overlay includes the following types of projects:

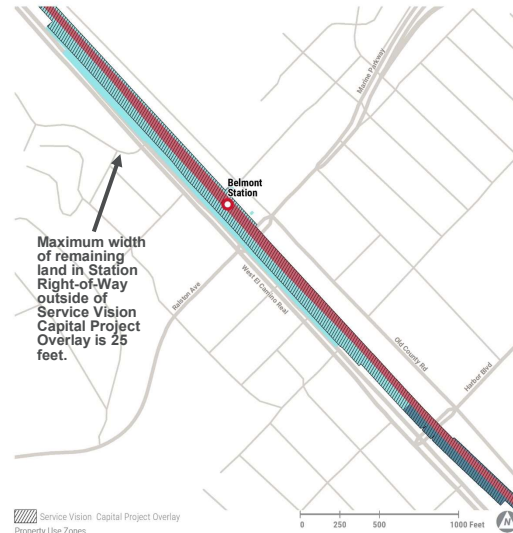
- 1 Near-term future maintenance and rehabilitation projects
- 2 Potential future changes to facilitate a blended rail system with High Speed Rail
- 3 Potential future passing tracks to support increased rail service, as described by the Caltrain Business Plan in Moderate and High Growth Scenarios
- 4 Potential future terminal projects at San Francisco and San Jose
- 5 Potential future grade separation projects at each current at-grade vehicular crossing
- 6 Potential future grade separation projects for bikes and pedestrians only



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Service Vision Capital Project Overlay on RCUP Map

- Conceptually represents areas of JPB property that may be needed for potential future capital projects.
- Before the start of the potential future capital project, allowable non-railroad uses will be limited to ensure that the property does not become permanently encumbered.
- Long-term non-railroad uses – such as a development project – could be designed to be delivered with or after the construction of the potential future capital project.



Note: This is a draft map that is for general information only. Peninsula Corridor Joint Powers Board property lines are approximate and for illustrative purposes only.



Draft Mapping Results: Key Findings for Service Vision Capital Project Overlay

Table 2: JPB Property by Service Vision Capital Project Overlay (DRAFT)

JPB Property	Total Acres	Percent of Total Acreage
Within the Service Vision Capital Project Overlay	512.5	74%
Outside of Service Vision Capital Project Overlay	177.3	26%
Total	689.8	100%

Note: These findings are draft and are subject to change.



Draft Mapping Results: Key Findings for Service Vision Capital Project Overlay

- Station Right-of-Way and Non-Operating Right-of-Way are the two property use zones that could potentially have other non-railroad uses in them – but, these properties are not necessarily developable.

Table 3: JPB Property Not in Service Vision Capital Project Overlay, by Property Use Zone (DRAFT)

Property Use Zone	Total Acres Not in Service Vision Capital Project Overlay	Percent of Total JPB Acreage
1: Operating ROW	110.1	16%
2: Station ROW	25.1	4%
3: Non-Operating ROW	42.1	6%
4: Special Study Area	0	0%
Total	177.3	26%



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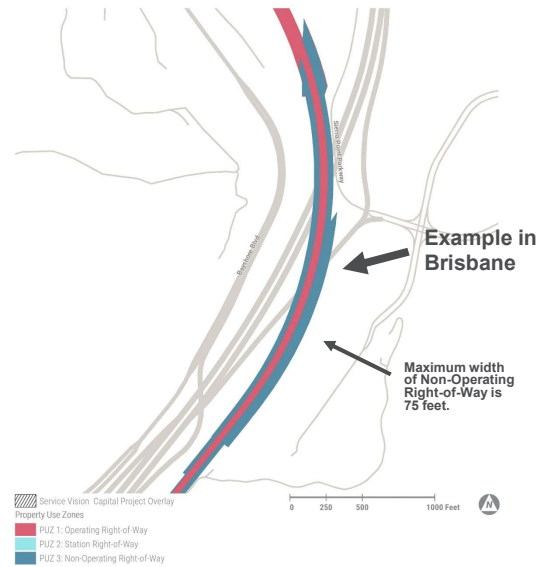
Draft Mapping Results: Preliminary Assessment of Potential Opportunity Sites

- Strategic Economics completed this analysis.
- Preliminary assessment of potential opportunity sites included:
 - Property in Station Right-of-Way (Property Use Zone 2) and Non-Operating Right-of-Way (Property Use Zone 3) outside of the Service Vision Capital Project Overlay, across entire corridor.
- Identified the following types of sites:
 - “High Potential Opportunity Sites”: sites that are >1.5 acres in size and regularly shaped; could be candidates for standard, independent development projects.
 - “Other Potential Opportunity Sites”: Sites that are <1.5 acres in size, irregularly shaped, or have other issues and complications; pending further analysis through TOD Policy, could potentially be candidates for development.
- Results show **a limited number of sites that could be independently developable** without encroaching on area within the Service Vision Capital Project Overlay.



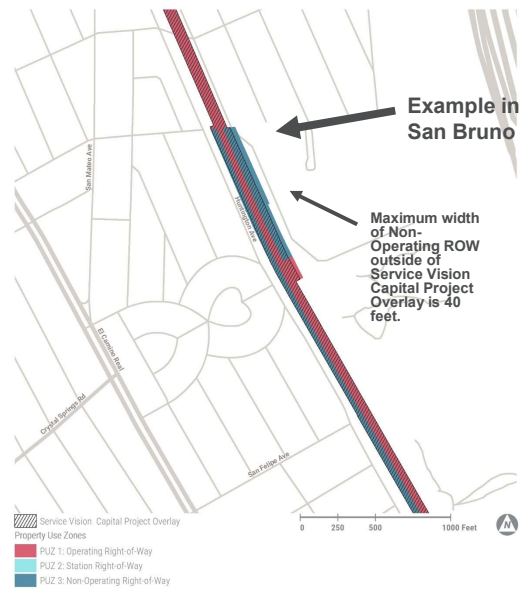
22

Much of the JPB's property outside the Service Vision Capital Project Overlay is in the form of small, narrow sites



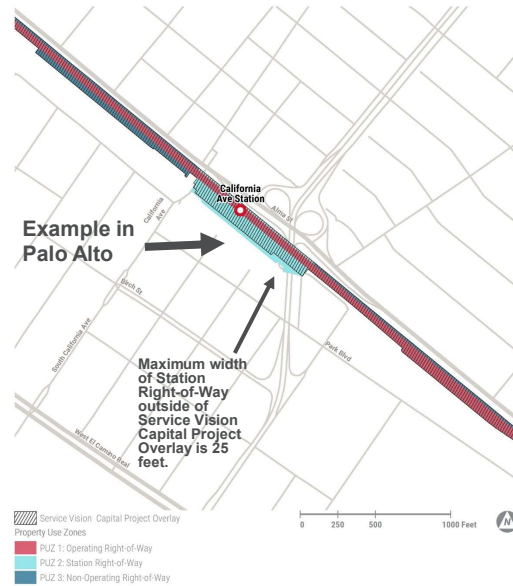
Note: This is a draft map that is for general information only. Peninsula Corridor Joint Powers Board property lines are approximate and for illustrative purposes only.

Much of the JPB's property outside the Service Vision Capital Project Overlay is in the form of small, narrow sites



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Much of the JPB's property outside the Service Vision Capital Project Overlay is in the form of small, narrow sites



Note: This is a draft map that is for general information only. Peninsula Corridor Joint Powers Board property lines are approximate and for illustrative purposes only.



Draft Potential Opportunity Sites

- This preliminary assessment is truly preliminary – sites and actual developable area will be determined with additional real estate analysis through the TOD Policy.
- This additional “developability” study will include consideration of additional factors, including site constraints, parking, access needs, relationship to future potential capital projects, etc.

Table 4: Preliminary Assessment of Potential Opportunity Sites – Draft and Subject to Future Analysis and Change

Location	Estimated Site Area (acres)
Draft High Potential Opportunity Sites	
Redwood City Station	1.7
Mountain View Station	3.1
Subtotal	4.8
Draft Other Potential Opportunity Sites	
Williams Ave & Diana St, SF	1.4
South San Francisco Station	1.3
San Mateo Station	1.1
2 nd Avenue, San Mateo	0.3
Hillsdale Station	0.6
Menlo Park Station	1.2
Sunnyvale Station	0.9
Subtotal	6.8
Grand Total	11.6

Note: These findings are draft and are subject to change.



Draft Mapping Results: Preliminary Assessment of Potential Opportunity Sites

- RCUP is the first, preliminary step of analysis.
- TOD Policy process will complete **additional analysis** to further refine this list and complete the initial assessment of potential opportunity sites.
 - Will consider additional factors, including site constraints, need for replacement parking, site “developability,” relationship to future capital projects, product type, access needs, and other factors.
 - **Actual developable area of potential opportunity sites will be determined by this further analysis.**

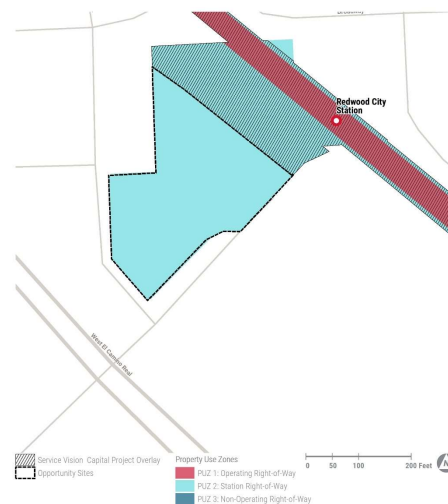


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High Potential Opportunity Site: Redwood City

- Site is currently used for station access (bus pick-up/drop-off and car parking)
- 1.7 acres in Station Right-of-Way remaining after Service Vision Capital Project Overlay
- JPB’s potential future development to be discussed in conjunction with potential future facilities for Caltrain, Dumbarton, Samtrans, City of Redwood City, etc.

Redwood City Station



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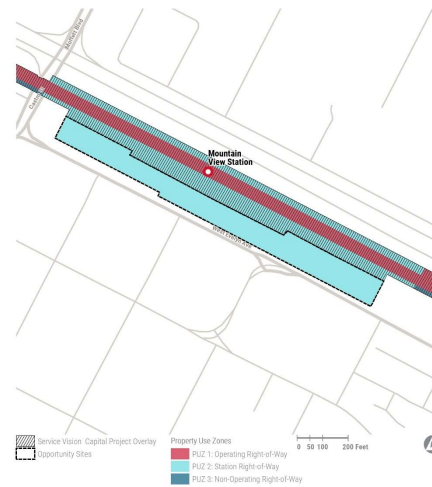
33

High Potential Opportunity Site: Mountain View*

- Site is currently used for station access (car parking and pick-up/drop-off)
- 3.1 acres remaining in Station Right-of-Way after Service Vision Capital Project Overlay
- JPB's potential future development to be discussed in conjunction with potential future plans for City of Mountain View, VTA, etc.

*Part of the site is encumbered by an easement with VTA

Mountain View Station



Note: This is a draft map that is for general information only. Peninsula Corridor Joint Powers Board property lines are approximate and for illustrative purposes only.



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Draft Mapping Results: Preliminary Conclusions

- Most of the JPB's property is needed for operations and for potential future capital projects to support delivery of the Long-Term Service Vision.
- Of the limited areas that are outside of the Service Vision Capital Project Overlay, most of the sites are small and narrow.
- At this time, only 2 sites are considered to be "High Potential Opportunity Sites," but there may be more sites that are potentially developable (all or in part).
- This analysis is preliminary and is subject to further analysis by TOD Policy process. Preliminary results must be studied further to better understand actual developable area on Caltrain corridor.
- There may be additional opportunities for potential development projects that could be integrated with potential future capital projects.



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TOD Policy Connection to RCUP Findings



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Caltrain has a unique corridor

- Legacy corridor:
 - Trains have been operating at the corridor since 1883
 - Parking lots are much smaller than those built in 1980s by other transit agencies
- Dynamic corridor:
 - Business Plan envisions substantially different service patterns than exist today, requiring many infrastructure improvements



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Preliminary Opportunity Sites Reflect Caltrain's Uniqueness

- RCUP identified only two "typical sites:"
 - Mountain View
 - Redwood City
- The remaining sites identified by RCUP are not typical of development sites owned by other agencies
 - Generally smaller and less deep,
 - Not independently developable, and/or
 - Encumbered with other interests.

Draft Other Potential Opportunity Sites

Site	Draft Acreage from RCUP Analysis	Preliminary Real Estate Assessment Notes**
Williams Avenue & Diana St., San Francisco	1.4	Site occupied with community garden and over tunnel
South San Francisco Station	1.3	Most of site is under 101 and it is not independently developable
San Mateo Station	1.1	Subject to long term lease with City of San Mateo
2 nd Avenue, San Mateo	0.3	Great location, very small site
Hillsdale Station	0.6	Not independently developable
Menlo Park Station	1.2	Very narrow, includes many parking spaces and is a historical station site
Sunnyvale Station	0.9	Used as the station's primary access point, shuttles and parking

** Note that these are potential sites; all sites will be subject to further study and analysis before JPB contemplates any potential joint development project.



TOD Policy will be responsive to the potential opportunity site inventory.

TOD Policy needs to be flexible.

- Uniqueness requires that TOD Policy must be flexible to address various types of potential development sites.
 - Example: If a site is too small, a land lease is not feasible:
 - Policy needs to be flexible enough to allow sale of sites under certain conditions such.

As staff continues to work with the Board on the TOD Policy, we will need to:

- Be creative
- Build relationships with potential partners if sites are not independently developable
- Find creative deal structures
- Continue to analyze right-of-way to find more potential sites

As capital projects are planned, there may be opportunities to integrate development projects.

- Objectives of the capital project would dictate the size, location and timing.
- Real estate objectives would be secondary.
- Opportunities for such projects will be identified through the planning process for each capital project.



Draft RCUP Decision-Making Framework



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Background and Context

- JPB staff **frequently** receive requests from third parties to use JPB property for all types of “non-railroad uses,” such as:
 - Utilities
 - Commercial businesses
 - Access facilities
 - Development projects
 - Pop-up events
 - Farmers markets
- For approved third party uses, the JPB will issue an appropriate **Property Access Agreement** to the third party:
 - Depending on use, Property Access Agreement could be a license agreement, right-of-entry permit agreement, service agreement, encroachment permit, lease agreement, or easement agreement.



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Current Approval Process for Proposed Uses

JPB Resolution No. 2010-45 - Policy of Property Conveyance contains policies and procedures for granting Property Access Agreements.

<5 Years on JPB Property:
Staff approval needed

>5 Years on JPB Property:
Staff approval needed
Board approval needed



Compatibility

Staff approval process for proposed uses involves ensuring compatibility with:

- Current and potential future railroad needs
- Caltrain Engineering Standards
- CPUC regulations
- State and federal regulations



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Proposed Role of RCUP in Approval Process

JPB Resolution No. 2010-45 - Policy of Property Conveyance contains policies and procedures for granting Property Access Agreements.

<5 Years on JPB Property:
Staff approval needed

>5 Years on JPB Property:
Staff approval needed
Board approval needed



Compatibility

Staff approval process for proposed uses involves ensuring compatibility with:

- Current and potential future railroad needs
– using Rail Corridor Use Policy maps and administrative document
- Caltrain Engineering Standards
- CPUC regulations
- State and federal regulations



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RCUP Decision-Making Framework Overview

Purpose:

- Provide a Board-adopted, clear, transparent decision-making process to determine the **compatibility of proposed third party uses with current and future railroad needs of JPB property.**
- Will be contained within an administrative document that accompanies the RCUP maps.
- Board will adopt a high-level decision-making framework. A detailed, step-by-step guide will be developed for staff based on Board's adopted decision-making framework, along with public-facing information and forms for proposed non-railroad uses.



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RCUP Decision-Making Framework Overview

Decision-making framework will utilize:

Definitions

of Property Use Zones and Service Vision Capital Project Overlay.

Allowable Uses

List of "allowable uses" that defines the range of uses that could be compatible with the railroad's needs in each zone.

Process

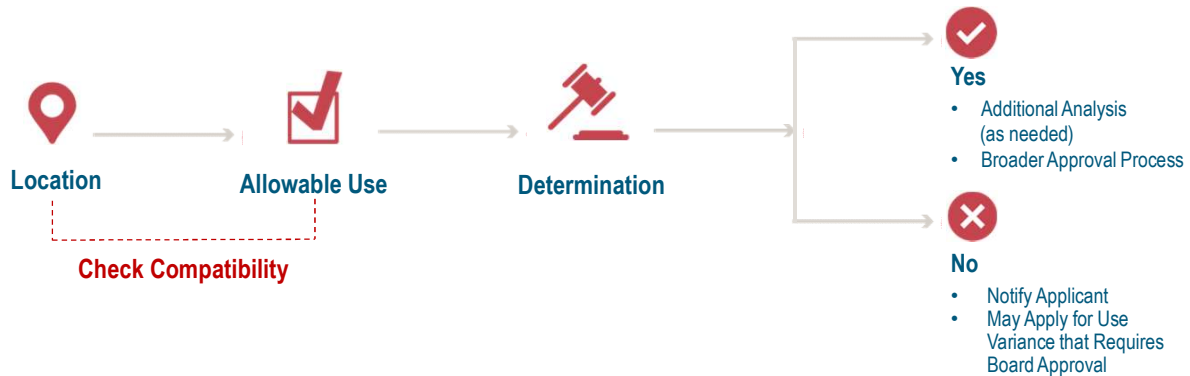
to review, evaluate, and approve/reject proposed uses of JPB property, which will include:

- Directions on how and when to reference the RCUP maps;
- Instructions on when to refer to and use the **TOD Policy** and the **Station Management Toolbox** in the process; and,
- Identification of which land use decisions can be made by staff, and which should be made by the Board.

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RCUP Decision-Making Process for a Proposed Third-Party Use

Approval process begins by checking compatibility with current and future railroad needs using the RCUP.



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Process to Update the RCUP

- The RCUP is intended to be a “living” document and to have the maps periodically updated.
- Example circumstances for updating the maps:
 - Completion of the Electrification Project – Update Operating ROW (Property Use Zone 1) to ensure it includes all PCEP infrastructure within its borders.
 - Decision by a City Council for a preferred alignment for a potential future grade separation project: Update the Service Vision Capital Project Overlay to include the new footprint of the potential project.

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Next Steps



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Upcoming Tasks and Board Updates

Ongoing Technical Work

- RCUP:
 - Developing decision-making framework for staff and public-facing materials.
- TOD Policy:
 - Developing policy framework
 - Propose policy adoption in early 2020

Upcoming Board Updates on RCUP

- **January 2020:** Propose Board adoption of RCUP



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Thank you!



RESOLUTION NO. 2020 –

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

* * *

ADOPTING THE CALTRAIN RAIL CORRIDOR USE POLICY

WHEREAS, the Peninsula Corridor Joint Powers Board (JPB) administers the Caltrain system and is owner of various properties along the Caltrain rail corridor; and

WHEREAS, the JPB frequently receives proposals for “non-railroad uses” of its property, such as for utilities, commercial businesses, development proposals, or government agency uses; and

WHEREAS, in accordance with its Policy Regarding Processing of Requests for Conveyance of Property Interests (adopted pursuant to Resolution 2010-45), the JPB has established an extensive review and approval process for proposed non-railroad uses of property, which considers design, engineering, and regulatory review, and which may conclude with issuance of Property Access Agreements for the proposed property uses; and

WHEREAS, the first step in the JPB’s review process for Property Access Agreements is to determine if a proposed use is compatible with the railroad’s current and future needs; and

WHEREAS, to prepare for the further modernization and expansion of the Caltrain rail service post-electrification, the JPB, working closely with stakeholders in both the public and private sectors, launched a significant undertaking in 2017 to develop a Caltrain Business Plan to articulate a long-term vision and business strategy for the system to the year 2040; and

WHEREAS, Caltrain Business Plan analysis indicates that Caltrain rail service could carry three or more times the current ridership with greatly expanded frequency and capacity and improved travel times; and

WHEREAS, on October 3, 2019, the JPB Board of Directors unanimously adopted the Caltrain 2040 Long-Range Service Vision (Resolution 2019-38) that envisions substantially expanded rail service by 2040, which is anticipated to require significant investments in conceptual capital infrastructure on the rail corridor in order to support the desired growth in train operations; and

WHEREAS, it is anticipated that significant portions of the JPB's property holdings on the rail corridor will be needed to support achievement of the Caltrain 2040 Long-Term Service Vision with growth in train operations and conceptual infrastructure investments; and

WHEREAS, staff has developed the Caltrain Rail Corridor Use Policy to provide a Board-adopted policy framework to use in the first step in the Property Access Agreement review process for proposed non-railroad uses of JPB property, specifically to guide decision-making regarding the compatibility of proposed non-railroad uses with the railroad's current and future needs; and

WHEREAS, the Caltrain Rail Corridor Use Policy is a policy framework to assist the JPB in deciding upon future uses of its property and does not have a binding legal effect on the agency and is therefore not considered a "project" under the terms of the California Environmental Quality Act; and

WHEREAS, Staff Coordinating Council recommends, and the Executive Director concurs, that the Board adopt the attached Caltrain Rail Corridor Use Policy.

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby adopts the Caltrain Rail Corridor Use Policy, attached hereto as Exhibit A; and

BE IT FURTHER RESOLVED that the Board of Directors hereby authorizes the Executive Director, or his designee, to take any further necessary actions to implement the Caltrain Rail Corridor Use Policy.

Regularly passed and adopted this 9th day of January, 2020 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary

CALTRAIN RAIL CORRIDOR USE POLICY

Overview and Background on the Rail Corridor Use Policy

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

The JPB frequently receives proposals for "non-railroad uses" of its property, such as utilities, commercial businesses, development proposals, or community facilities. In accordance with the JPB's Policy of Property Conveyance (Resolution 2010-45), the agency has an extensive review process for such proposals, including design, engineering, and regulatory review, and non-railroad uses of JPB property that have been reviewed and approved by the JPB are issued a Property Access Agreement. The first step in the review process for Property Access Agreements is for Caltrain staff to determine if the proposed use is compatible with the railroad's current and future needs.

The railroad's future needs for its property are directly connected to achieving Caltrain's Long-Term Service Vision, which was unanimously adopted by the Caltrain Board of Directors on October 3, 2019. Developed through the Caltrain Business Plan process, the Long-Term Service Vision describes a substantially expanded rail service on the Caltrain corridor by 2040, with a minimum of eight trains per hour operating in the peak period in each direction between San Francisco and San Jose. In order to support this growth in train service, the Caltrain Business Plan also identified the conceptual infrastructure that will be needed to operate more trains on the corridor and achieve the Long-Term Service Vision. It is anticipated that significant portions of the JPB's property will be needed to deliver this future infrastructure and support future train operations for the Long-Term Service Vision. Therefore, it is essential that the JPB make thoughtful, strategic decisions regarding non-railroad uses on its property to ensure that it can deliver the railroad's vision for its future.

The Rail Corridor Use Policy is intended to provide a Board-adopted policy to guide decision-making regarding the compatibility of proposed non-railroad uses of JPB property. Stated another way, the Rail Corridor Use Policy is intended to be used by the JPB to determine if a proposed non-railroad use of JPB property is compatible with the railroad's current and future needs for its property – a policy to guide decision-making for the first step in the Property Access Agreement review process. For proposed uses that are determined to be compatible with the railroad's current and future needs, it is important to note that in accordance with the Policy of Property Conveyance, additional design, engineering, and regulatory review is required before a Property Access Agreement can be approved and issued by the JPB.

What Does the Rail Corridor Use Policy Contain?

The Rail Corridor Use Policy is a policy framework that consists of two components: **an administrative document** and **a map series** displaying the JPB's property along the Caltrain corridor. The administrative document is intended to be used in conjunction with the maps to guide decision-making regarding the compatibility of proposed non-railroad uses with the railroad's current and future needs.

CALTRAIN RAIL CORRIDOR USE POLICY DRAFT ADMINISTRATIVE DOCUMENT

This section of the Rail Corridor Use Policy contains the administrative components of the policy framework, including the following:

- **Definitions** of the terms used in the policy framework, including the Property Use Zones and the Service Vision Capital Project Overlay;
- **Decision-making process** for proposed non-railroad uses to determine if they are compatible with the railroad's current and future needs;
- **Allowable non-railroad uses** that would be considered to be compatible with the railroad's current and future needs, including an overview and a list of allowable uses for each Property Use Zone; and,
- **Procedures** for updating the Rail Corridor Use Policy.

DEFINITIONS

PROPERTY USE ZONES

OVERVIEW OF PROPERTY USE ZONES

The Property Use Zones serve as the base land use districts for Peninsula Corridor Joint Powers Board (JPB) property along the Caltrain corridor. The Property Use Zones apply to all JPB property and JPB operating easements along the Caltrain corridor from San Francisco to San Jose. Each Property Use Zone has a list of non-railroad uses that may be located within its borders, which are described later in this document.

WHAT ARE “NON-RAILROAD USES?”

Non-railroad uses are uses of JPB property that do not have a primary purpose of supporting the delivery of Caltrain rail service and the safe operation of the railroad. Non-railroad uses may be located below, on, or above JPB property. Some examples of non-railroad uses on JPB property include:

- The many third party utilities that must cross the rail corridor to support the surrounding communities, such as water, electricity, or sewer facilities, which are the most common non-railroad uses on the corridor;
- A residential building, office building, restaurant, or museum near a Caltrain station; or,
- An access facility to improve mobility in a community, such as walkway or bikeway along or across the rail corridor.

In each of these examples, the primary purpose for which the land or building thereon is designed, arranged or intended, or for which it is occupied, maintained, or leased, is not directly related to supporting the delivery of Caltrain rail service and the safe operation of the railroad; therefore, they are considered to be non-railroad uses.

WHAT ARE THE PROPERTY USE ZONES AND HOW DO THEY WORK?

PROPERTY USE ZONE 1: OPERATING RIGHT-OF-WAY

Property Use Zone 1 is the Operating Right-of-Way (ROW) land use district, and it includes property that is required for the safe operation of the railroad in its current configuration and for the Peninsula Corridor Electrification Project (PCEP). Land in Property Use Zone 1 is intended to serve railroad operations and is generally not available for non-railroad uses, except compatible utility uses.

PROPERTY USE ZONE 2: STATION RIGHT-OF-WAY

Property Use Zone 2 is the Station Right-of-Way land use district, and it includes property that is located at and near Caltrain’s stations. Property in Property Use Zone 2 includes facilities that support the functioning of the railroad station, including station buildings, facilities that facilitate access to the railroad (such as sidewalks, driveways, loading and unloading areas, car parking facilities, bike parking facilities, etc.), passenger waiting areas, etc. Property Use Zone 2 could potentially have non-railroad land uses that are compatible with the functioning of the station and the safe operation of the railroad, including development projects, commercial leases, community uses, etc.

PROPERTY USE ZONE 3: NON-OPERATING RIGHT-OF-WAY

Property Use Zone 3 is the Non-Operating Right-of-Way land use district, and it includes all JPB property that is not already included in Property Use Zones 1, 2, and 4. Property in Property Use Zone 3 could potentially have non-railroad land uses that are compatible with the safe operation of the railroad, including development projects, commercial leases, community uses, etc.

PROPERTY USE ZONE 4: SPECIAL STUDY AREA

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

SERVICE VISION CAPITAL PROJECT OVERLAY

OVERVIEW

The Service Vision Capital Project Overlay serves as an overlay district that is applied on top of the Property Use Zones to JPB property along the Caltrain corridor. This overlay conceptually represents areas of JPB property along the Caltrain corridor that may be needed for potential future capital projects to support achievement of Caltrain’s Long-Term Service Vision.

WHAT IS INCLUDED IN THE SERVICE VISION CAPITAL PROJECT OVERLAY?

The Service Vision Capital Project Overlay includes all known potential future capital projects that may be delivered on the corridor to support achievement of Caltrain’s Long-Range Service Vision. Consistent with the Caltrain Business Plan, the program of capital investments included in the Service Vision Capital Project Overlay is intended to be “visionary;” it has been developed to be comprehensive and inclusive of all the projects and plans that are already ongoing in the corridor. This means that many of the capital investments are related to projects and plans that are already under development by Caltrain’s partner agencies and local jurisdictions.

The Service Vision Capital Project Overlay’s collection of potential future capital projects includes the following:

- Near-term future maintenance and rehabilitation projects of existing rail infrastructure;
- Potential future changes to the rail infrastructure to accommodate a blended system;
- Potential future passing tracks to support increased rail service, as described by the Caltrain Business Plan;
- Potential future terminal projects at San Francisco and San Jose;
- Potential future grade separation projects at each current at-grade vehicular crossing; and,
- Potential future grade separation projects for bikes and pedestrians only, as defined by cities along the corridor.

HOW DOES THE SERVICE VISION CAPITAL PROJECT OVERLAY WORK FOR THE RAILROAD?

Because it is known that the property within its boundaries may be needed for a potential capital project in the future, the Service Vision Capital Project Overlay is intended to identify areas that need to be protected to ensure that JPB property would not become permanently encumbered or used in a way that would make it difficult or impossible to deliver the potential future capital project. This overlay is applied on top of the Property Use Zones, and it establishes more restrictive land use regulations than the underlying base Property Use Zone.

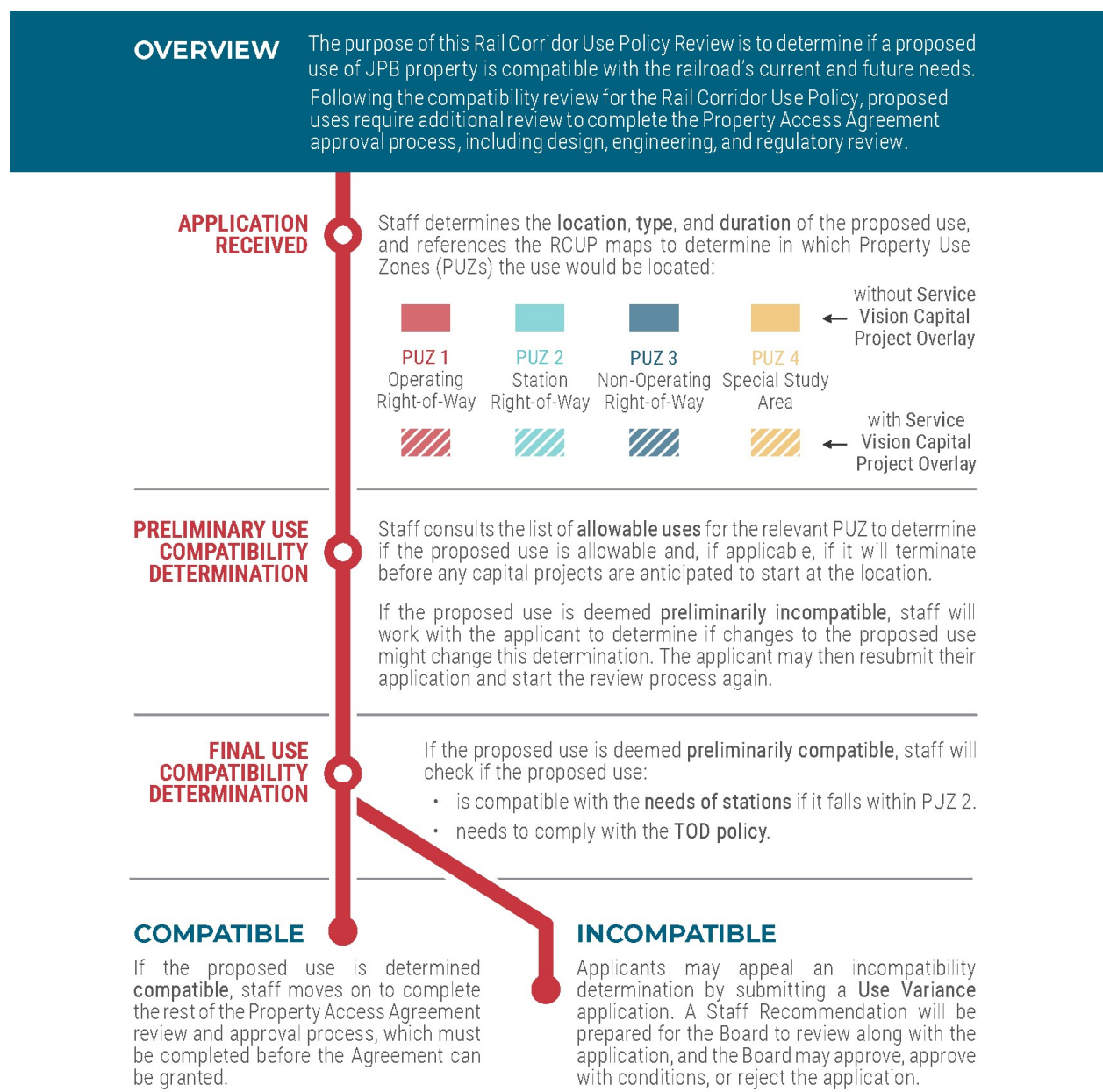
The Service Vision Capital Project Overlay could potentially have non-railroad land uses that are compatible with the safe operation of the railroad and that will be terminated before the anticipated start of the potential future capital project. The Service Vision Capital Project Overlay could also be available for a future, long-term, non-railroad use of the land that is co-designed with the potential future capital project, that is co-delivered with the potential future capital project, or that is delivered after completion of the potential future capital project.

RAIL CORRIDOR USE POLICY DECISION-MAKING PROCESS

The section describes the JPB’s process to review a proposed use and make a decision if it is compatible with the railroad’s current and future needs. This process is summarized and illustrated in a flow chart in Figure 1, while a step-by-step overview describes the process below.

FIGURE 1

DECISION-MAKING FRAMEWORK FOR PROPOSED NON-RAILROAD USES OF JPB PROPERTY



STEP-BY-STEP OVERVIEW OF DECISION-MAKING PROCESS

1. **Application Received.** Staff receive an application for a proposed non-railroad use of JPB property.
 - a. Based on the application, staff determine:
 - i. The location of the proposed use on JPB property,
 - ii. The type of proposed use, and
 - iii. The proposed duration of the use.
 - b. Staff consult the Rail Corridor Use Policy maps to determine:
 - i. The Property Use Zone(s) where the proposed use would be located; and
 - ii. Whether or not the Service Vision Capital Project Overlay occurs where the proposed use would be located.
2. **Preliminary Use Compatibility Determination.** Staff complete a preliminary compatibility review of the proposed use with current and future railroad needs.
 - a. If the proposed use is not within the Service Vision Capital Project Overlay, staff consult the Rail Corridor Use Policy’s list of allowable non-railroad uses for each applicable Property Use Zone (Tables 1A, 2A, 3A, 4A in this document) to determine if the proposed use is listed as an allowable use.
 - i. If it is listed as an allowable use, then it is considered “preliminarily compatible” with the railroad’s current and future needs.
 - ii. If it is not listed as an allowable use, then it is considered “preliminarily incompatible” with the railroad’s current and future needs.
 - b. If the proposed use is within the Service Vision Capital Project Overlay, staff consult the Rail Corridor Use Policy’s list of allowable uses for each applicable Property Use Zone and the Service Vision Capital Project Overlay (Tables 1B, 2B, 3B, 4B in this document) to determine if the proposed use is listed as an allowable use. Staff also determine if the proposed use would terminate before the anticipated start of the potential capital project in the area.
 - i. If it is listed as an allowable use and the proposed use would terminate before the anticipated start of the potential capital project, then it is considered “preliminarily compatible” with the railroad’s current and future needs.
 - ii. If it is not listed as an allowable use or if the proposed use would not terminate before the anticipated start of the potential capital project, then it is considered “preliminarily incompatible” with the railroad’s current and future needs.
3. **Final Use Compatibility Determination.** Staff complete the steps below to make a final determination of compatibility with the railroad’s current and future needs.
 - a. **Preliminarily Compatible.** If the proposed use is determined to be “preliminarily compatible” with the railroad’s current and future needs, staff complete final compatibility review by checking if the Steps 3A – i. and ii. below would apply to the proposed use. If they do not apply, staff jump to Step 3C to make a final determination.

- i. **Station Compatibility.** For any proposed use that is within Property Use Zone 2 – Station Right-of-Way – staff must determine if the proposed use is compatible with the needs and functioning of the station. When possible, staff should use the Station Management Toolbox to help assess the potential impacts of the proposed use on ridership, revenue, equity, and environment metrics. If changes to the proposed use would be needed to ensure it would be compatible with the station, those should be noted through the Rail Corridor Use Policy review process, and the broader Property Access Agreement review process should ensure that the changes are incorporated before granting the Agreement.
 - ii. **TOD Policy Referral.** Regardless of any underlying Property Use Zone, the TOD Policy must be consulted for the following instances of proposed uses, to determine if the TOD Policy would be applicable: if the proposed use would seek a Property Access Agreement duration of 50 years or more, or if the proposed use is on a site that could be contemplated for joint development (including but not limited to sites listed in the agency’s potential opportunity site inventory). If the TOD Policy would be applicable, it should be noted through the Rail Corridor Use Policy review process, and the broader Property Access Agreement review process should ensure that the TOD Policy is complied with before granting the Agreement.
 - b. **Preliminarily Incompatible.** If the proposed use is determined to be “preliminarily incompatible” with the railroad’s current and future needs, staff work with the applicant to assess if there are changes that could be made to the proposed use that could potentially change the compatibility determination. If there are, the applicant may submit a revised application with an updated/changed project and then go through the Preliminary Compatibility review process again. If so, the process may recommence with review of the updated project at Step 1.
 - c. **Final Compatibility Determination.** Based on the results from Steps 3A and/or 3B, staff make a final determination of compatibility with the railroad’s current and future needs.
 - i. If the final determination is that the proposed use is compatible, staff commence the rest of the Property Access Agreement review process that must be completed before the Agreement is granted.
 - ii. If the final determination is that the proposed use is incompatible, staff go to Step 4.
- 4. **Incompatible Uses.** If the proposed use is determined to be incompatible, staff notify applicant of the results of the compatibility review and why the determination was made. Staff may provide information about the applicant’s ability to pursue a Use Variance, which would need to go the Caltrain Board for approval to determine that the proposed use is compatible with current and future railroad needs.
- 5. **Use Variance.** Applicants may appeal an incompatibility determination by submitting a Use Variance application, which includes an opportunity to lay out the grounds for their appeal, as well as the Use Variance application fee.
 - a. If a Use Variance application is received, staff determine current and future railroad needs in the proposed project’s area, including potential future capital projects. Staff also do a preliminary assessment of the compatibility of the proposed use with Caltrain Engineering Standards, CPUC regulations, and State and federal regulations. Staff note if there are any issues that would need to be resolved through the Property Access Agreement review process, or if there are any conditions or terms that would need to be included in the Property Access Agreement itself before it was granted.

- b. Based on these assessments, a Staff Recommendation on the Use Variance is developed for the Board to approve, approve with conditions, or reject the Use Variance. The Use Variance and Staff Recommendation are reviewed by the Chief Operating Officer for Rail and the General Manager before they are submitted to the Board for review, along with the Use Variance application.
- c. The Board may approve, approve with conditions, or reject a Use Variance. The Board's determination is the final decision about the compatibility of the proposed use with current and future railroad needs.
- d. If the Use Variance is approved or approved with conditions by the Board, then the proposed use is considered to be compatible with the railroad's current and future needs, and staff commence the rest of the Property Access Agreement review process.

ALLOWABLE NON-RAILROAD USES

OVERVIEW

Each Property Use Zone has a range of non-railroad uses that may be allowed to be located within that zone. Allowable uses will vary depending on whether or not the proposed location is within the Service Vision Capital Project Overlay. The lists of allowable uses for each Property Use Zone are meant to be broad enough to give flexibility but also clear enough to provide sufficient direction regarding the expected type, location, and relation of proposed uses of JPB property along the rail corridor.

There are three general types of non-railroad uses, which each contain a variety of different types of uses: utilities; commercial and development uses; and community uses. Allowable uses are categorized by the duration of the proposed use of JPB property: short-term uses are for non-railroad uses that would be on JPB property for less than five years, while long-term uses are for non-railroad uses that would be on JPB property for more than five years.

In general, future capital projects for the railroad are not considered non-railroad uses and are generally exempt from the Rail Corridor Use Policy's review process to determine their compatibility with the railroad's current and future needs. Instead, the review and approval of future capital projects should generally proceed via the railroad's approval process for capital projects. This general guidance applies to most capital projects that affect the railroad corridor; however, there may be exceptions with new potential capital projects that are proposed for the Caltrain corridor, which may, at the discretion of Caltrain staff, be required to undergo the Rail Corridor Use Policy's review process to ensure compatibility with the railroad's current and future needs. One notable exception from this general guidance is new crossings for bicycles and pedestrians in a location where a crossing does not currently exist. New bicycle and/or pedestrians crossings across the rail corridor (above the tracks or under the tracks) are considered to be a non-railroad use – specifically, they are considered to be community uses for a new access facility, not capital projects for the railroad. Additionally, as a final note on potential future capital projects, no new at-grade crossings of the railroad tracks are allowed for any mode of transportation at any location along the corridor.

All proposed uses must be compliant with local land use regulations. All proposed uses are subject to the JPB's fee schedule. All leases are expected to comply with requirements for fair market value. All proposed uses are subject to further review and approval from the JPB, in accordance with the Property Conveyance Policy.

TABLES OF ALLOWABLE USES

Tables 1A, 2A, 3A, and 4A present the allowable uses for each Property Use Zone without the Service Vision Capital Project Overlay. Tables 1B, 2B, 3B, and 4B present the allowable uses for each Property Use Zone within the Service Vision Capital Project Overlay. When applicable, the tables note when additional review may be needed to determine compatibility with the current and future needs of the railroad.

OPERATING RIGHT-OF-WAY

 **Table 1A: Operating Right-of-Way (Property Use Zone 1) – No Service Vision Capital Project Overlay**

<i>Non-Railroad Short-term Uses (< 5 Years)</i>	<i>Non-Railroad Long-term Uses (> 5 Years)</i>
Utilities: <ul style="list-style-type: none"> - Facilities and infrastructure that support electricity, gas, water, sewer, telecommunications, etc. - Other uses that serve as a conduit for vital public services 	Utilities: <ul style="list-style-type: none"> - Facilities and infrastructure that support electricity, gas, water, sewer, telecommunications, etc. - Other uses that serve as a conduit for vital public services
Commercial and development uses: <ul style="list-style-type: none"> - None 	Commercial and development uses: <ul style="list-style-type: none"> - None
Community uses: <ul style="list-style-type: none"> - None 	Community uses: <ul style="list-style-type: none"> - None
Notes for Review Process: <ul style="list-style-type: none"> - None 	Notes for Review Process: <ul style="list-style-type: none"> - None

 **Table 1B: Operating Right-of-Way (Property Use Zone 1) – With Service Vision Capital Project Overlay**

<i>Non-Railroad Short-term Uses (< 5 Years)</i>	<i>Non-Railroad Long-term Uses (> 5 Years)</i>
Utilities: <ul style="list-style-type: none"> - Facilities and infrastructure that support electricity, gas, water, sewer, telecommunications, etc. - Other uses that serve as a conduit for vital public services 	Utilities: <ul style="list-style-type: none"> - Facilities and infrastructure that support electricity, gas, water, sewer, telecommunications, etc. - Other uses that serve as a conduit for vital public services
Commercial uses: <ul style="list-style-type: none"> - None 	Commercial uses: <ul style="list-style-type: none"> - None
Community uses: <ul style="list-style-type: none"> - None 	Community uses: <ul style="list-style-type: none"> - None
Notes for Review Process: <ul style="list-style-type: none"> - None 	Notes for Review Process: <ul style="list-style-type: none"> - None

STATION RIGHT-OF-WAY

Table 2A: Station Right-of-Way (Property Use Zone 2) – No Service Vision Capital Project Overlay

<i>Non-Railroad Short-term Uses (< 5 Years)</i>	<i>Non-Railroad Long-term Uses (> 5 Years)</i>
<p>Utilities:</p> <ul style="list-style-type: none"> - Facilities and infrastructure that support electricity, gas, water, sewer, telecommunications, etc. - Other uses that serve vital public services could be considered 	<p>Utilities:</p> <ul style="list-style-type: none"> - Facilities and infrastructure that support electricity, gas, water, sewer, telecommunications, etc. - Other uses that serve vital public services could be considered
<p>Commercial and development uses:</p> <ul style="list-style-type: none"> - Within existing structures on JPB property: <ul style="list-style-type: none"> o Eating and drinking establishments o Retail establishments o Offices o Museums - Other uses that serve commercial purposes that are compatible with the railroad could be considered 	<p>Commercial and development uses:</p> <ul style="list-style-type: none"> - Within existing structures on JPB property: <ul style="list-style-type: none"> o Eating and drinking establishments o Retail establishments o Offices o Museums - New, long-term buildings or structures on JPB property to be used as offices, residences, retail space, etc. - Other uses that serve commercial purposes that are compatible with the railroad could be considered
<p>Community uses:</p> <ul style="list-style-type: none"> - Access facilities, such as walking or bicycling paths - Recreational facilities, such as a park or community garden - Community event, such as a farmers market - Other uses that serve public purposes and are compatible with the railroad could be considered 	<p>Community uses:</p> <ul style="list-style-type: none"> - Access facilities, such as walking or bicycling paths - Recreational facilities, such as a park or community garden - Community event, such as a farmers market - Other uses that serve public purposes and are compatible with the railroad could be considered
<p>Notes for Review Process:</p> <ul style="list-style-type: none"> - Station Compatibility: The proposed use’s compatibility with the needs and functioning of the train station must be confirmed through the RCUP review process. 	<p>Notes for Review Process:</p> <ul style="list-style-type: none"> - Station Compatibility: The proposed use’s compatibility with the needs and functioning of the train station must be confirmed through the RCUP review process. - TOD Policy must be consulted for any proposed use that is more than 50 years in duration or for any proposed use that is on a site that could be contemplated for joint development.

Table 2B: Station Right-of-Way (Property Use Zone 2) – With Service Vision Capital Project Overlay

<i>Non-Railroad Short-term Uses (< 5 Years)</i>	<i>Non-Railroad Long-term Uses (> 5 Years)</i>
<p>Utilities:</p> <ul style="list-style-type: none"> - Facilities and infrastructure that support electricity, gas, water, sewer, telecommunications, etc. - Other uses that serve vital public services could be considered 	<p>Utilities:</p> <ul style="list-style-type: none"> - Facilities and infrastructure that support electricity, gas, water, sewer, telecommunications, etc. - Other uses that serve vital public services could be considered
<p>Commercial and development uses:</p> <ul style="list-style-type: none"> - Within existing structures on JPB property: <ul style="list-style-type: none"> o Eating and drinking establishments o Retail establishments o Offices o Museums - Other uses that serve commercial purposes that are compatible with the railroad could be considered 	<p>Commercial and development uses:</p> <ul style="list-style-type: none"> - Within existing structures on JPB property: <ul style="list-style-type: none"> o Eating and drinking establishments o Retail establishments o Offices o Museums - New, long-term buildings or structures that are designed and/or delivered in conjunction with the potential future capital project on JPB property (offices, residences, retail space, etc.), or that will be constructed after delivery of the potential future capital project. - Other uses that serve commercial purposes that are compatible with the railroad could be considered
<p>Community uses:</p> <ul style="list-style-type: none"> - Community event, such as a farmers market 	<p>Community uses:</p> <ul style="list-style-type: none"> - None
<p>Notes for Review Process:</p> <ul style="list-style-type: none"> - Station Compatibility: The proposed use’s compatibility with the needs and functioning of the train station must be confirmed through the RCUP review process. - Staff must determine that the proposed non-railroad use has a duration that concludes before the anticipated start of delivery of the potential capital project. 	<p>Notes for Review Process:</p> <ul style="list-style-type: none"> - Station Compatibility: The proposed use’s compatibility with the needs and functioning of the train station must be confirmed through the RCUP review process. - Staff must determine that that the proposed non-railroad use has a duration that concludes before the anticipated start of delivery of the potential capital project. - TOD Policy must be consulted for any proposed use that is more than 50 years in duration or for any proposed use that is on a site that could be contemplated for joint development.

NON-OPERATING RIGHT-OF-WAY

Table 3A: Non-Operating Right-of-Way (Property Use Zone 3) – No Service Vision Capital Project Overlay

<i>Non-Railroad Short-term Uses (< 5 Years)</i>	<i>Non-Railroad Long-term Uses (> 5 Years)</i>
<p>Utilities:</p> <ul style="list-style-type: none"> - Facilities and infrastructure that support electricity, gas, water, sewer, telecommunications, etc. - Other uses that serve vital public services could be considered 	<p>Utilities:</p> <ul style="list-style-type: none"> - Facilities and infrastructure that support electricity, gas, water, sewer, telecommunications, etc. - Other uses that serve vital public services could be considered
<p>Commercial and development uses:</p> <ul style="list-style-type: none"> - Within existing structures on JPB property: <ul style="list-style-type: none"> o Eating and drinking establishments o Retail establishments o Offices o Museums - Vehicle sales, rentals, and service establishments - Staging ground for nearby non-railroad construction projects - Other uses that serve commercial purposes that are compatible with the railroad could be considered 	<p>Commercial and development uses:</p> <ul style="list-style-type: none"> - Within existing structures on JPB property: <ul style="list-style-type: none"> o Eating and drinking establishments o Retail establishments o Offices o Museums - Vehicle sales, rentals, and service establishments - New, long-term buildings or structures on JPB property to be used as offices, residences, retail space, etc. - Other uses that serve commercial purposes that are compatible with the railroad could be considered
<p>Community uses:</p> <ul style="list-style-type: none"> - Access facilities, such as walking or bicycling paths - Recreational facilities, such as a park or community garden - Community event, such as a farmers market - Other uses that serve public purposes and are compatible with the railroad could be considered 	<p>Community uses:</p> <ul style="list-style-type: none"> - Access facilities, such as walking or bicycling paths - Recreational facilities, such as a park or community garden - Community event, such as a farmers market - Other uses that serve public purposes and are compatible with the railroad could be considered
<p>Notes on Review Process:</p> <ul style="list-style-type: none"> - None 	<p>Notes on Review Process:</p> <ul style="list-style-type: none"> - TOD Policy must be consulted for any proposed use that is more than 50 years in duration or for any proposed use that is on a site that could be contemplated for joint development.

Table 3B: Non-Operating Right-of-Way (Property Use Zone 3) – With Service Vision Capital Project Overlay

<i>Non-Railroad Short-term Uses (< 5 Years)</i>	<i>Non-Railroad Long-term Uses (> 5 Years)</i>
<p>Utilities:</p> <ul style="list-style-type: none"> - Facilities and infrastructure that support electricity, gas, water, sewer, telecommunications, etc. - Other uses that serve vital public services could be considered 	<p>Utilities:</p> <ul style="list-style-type: none"> - Facilities and infrastructure that support electricity, gas, water, sewer, telecommunications, etc. - Other uses that serve vital public services could be considered
<p>Commercial and development uses:</p> <ul style="list-style-type: none"> - Within existing structures on JPB property: <ul style="list-style-type: none"> o Eating and drinking establishments o Retail establishments o Offices o Museums - Vehicle sales, rentals, and service establishments - Staging ground for nearby non-railroad construction projects - Other uses that serve commercial purposes that are compatible with the railroad could be considered 	<p>Commercial and development uses:</p> <ul style="list-style-type: none"> - Within existing structures on JPB property: <ul style="list-style-type: none"> o Eating and drinking establishments o Retail establishments o Offices o Museums - Vehicle sales, rentals, and service establishments - New, long-term buildings or structures that are designed and/or delivered in conjunction with the potential future capital project on JPB property (offices, residences, retail space, etc.), or that will be constructed after delivery of the potential future capital project. - Other uses that serve commercial purposes that are compatible with the railroad could be considered
<p>Community uses:</p> <ul style="list-style-type: none"> - Community event, such as a farmers market 	<p>Community uses:</p> <ul style="list-style-type: none"> - None
<p>Notes for Review Process:</p> <ul style="list-style-type: none"> - Staff must determine that the proposed non-railroad use has a duration that concludes before the anticipated start of delivery of the potential capital project. 	<p>Notes for Review Process:</p> <ul style="list-style-type: none"> - Staff must determine that the proposed non-railroad use has a duration that concludes before the anticipated start of delivery of the potential capital project. - TOD Policy must be consulted for any proposed use that is more than 50 years in duration or for any proposed use that is on a site that could be contemplated for joint development.

SPECIAL STUDY AREA

Table 4A: Special Study Area (Property Use Zone 4) – No Service Vision Capital Project Overlay

<i>Non-Railroad Short-term Uses (< 5 Years)</i>	<i>Non-Railroad Long-term Uses (> 5 Years)</i>
Utilities: <ul style="list-style-type: none"> - Facilities and infrastructure that support electricity, gas, water, sewer, telecommunications, etc. - Other uses that serve as a conduit for vital public services 	Utilities: <ul style="list-style-type: none"> - Facilities and infrastructure that support electricity, gas, water, sewer, telecommunications, etc. - Other uses that serve as a conduit for vital public services
Commercial uses: <ul style="list-style-type: none"> - None 	Commercial uses: <ul style="list-style-type: none"> - None
Community and development uses: <ul style="list-style-type: none"> - None 	Community and development uses: <ul style="list-style-type: none"> - None
Notes for Review Process: <ul style="list-style-type: none"> - None 	Notes for Review Process: <ul style="list-style-type: none"> - None

Table 4B: Special Study Area (Property Use Zone 4) – With Service Vision Capital Project Overlay

<i>Non-Railroad Short-term Uses (< 5 Years)</i>	<i>Non-Railroad Long-term Uses (> 5 Years)</i>
Utilities: <ul style="list-style-type: none"> - Facilities and infrastructure that support electricity, gas, water, sewer, telecommunications, etc. - Other uses that serve as a conduit for vital public services 	Utilities: <ul style="list-style-type: none"> - Facilities and infrastructure that support electricity, gas, water, sewer, telecommunications, etc. - Other uses that serve as a conduit for vital public services
Commercial uses: <ul style="list-style-type: none"> - None 	Commercial uses: <ul style="list-style-type: none"> - None
Community and development uses: <ul style="list-style-type: none"> - None 	Community and development uses: <ul style="list-style-type: none"> - None
Notes for Review Process: <ul style="list-style-type: none"> - None 	Notes for Review Process: <ul style="list-style-type: none"> - None

POLICIES AND PROCEDURES FOR UPDATING THE RCUP

The Rail Corridor Use Policy is intended to be updated as conditions change on the Caltrain corridor. Changes may be made by staff to ensure that the Rail Corridor Use Policy is kept up-to-date, and staff should regularly report any changes that have been made to the Board. The following list provides examples of circumstances under which the RCUP may be updated; however, this is not an exhaustive list and staff may make other changes as needed, so long as changes are reported to the Board.

MAP CHANGES:

- The Property Use Zones should be updated as construction projects are completed. These updates should be completed to ensure that all property and facilities needed for the safe operation of the railroad are included in Property Use Zone 1 (Operating Right-of-Way).
- The Property Use Zones should be updated as conditions change on the corridor. For example, if there are any station closures in the future, that property should be converted from Property Use Zone 2 (Station Right-of-Way) to Property Use Zone 3 (Non-Operating Right-of-Way). As another example, if Caltrain enters into a formal, complex, multi-stakeholder planning process for one of its stations, that property may be changed to Property Use Zone 4 (Special Study Area).
- The Service Vision Capital Project Overlay should be updated as construction projects are completed. These updates should include removing the Overlay from areas where the construction project has been completed.
- The Service Vision Capital Project Overlay may have its component projects updated, including details about the projects and the projects' footprints, as partner agencies and cities take action on proposed alignments and alternatives, or as the projects reach the final phase of design.
- The Service Vision Capital Project Overlay should be updated to include all potential future capital projects that may be needed to deliver Caltrain's Long-Term Service Vision, including any new, yet-to-be-conceived capital projects.
- The Service Vision Capital Project Overlay should be updated if it is determined conclusively that a potential future capital project is not needed to deliver the Long-Term Service Vision and will not occur on the Caltrain corridor in the future.
- The maps should be updated to be consistent with the JPB's property holdings, including property which the agency owns in fee simple and property on which the agency has a perpetual operating easement. As the JPB's property holdings change over time, the RCUP maps should be updated to include all current JPB property holdings with assigned Property Use Zones. For example, if the JPB purchases additional property to support a capital project, the RCUP maps should be updated to include that new property holding, and Property Use Zones should be appropriately assigned when adding the new property holding to the RCUP maps.

DECISION-MAKING FRAMEWORK

- While it is not anticipated that there will be substantial or significant changes to the RCUP's decision-making framework in the near future, any substantial or significant change that does arise will be reported to the Board. An example of this could be a substantial change to the types of uses that are allowed in a Property Use Zone.

CALTRAIN RAIL CORRIDOR USE POLICY DRAFT MAP SERIES FOR THE CALTRAIN CORRIDOR

The following section of the Rail Corridor Use Policy contains a map series of the JPB's property and operating easements along the Caltrain corridor, beginning with a summary overview of the map contents and a quick reference guide to the Property Use Zones and Service Vision Capital Project Overlay.

PENINSULA CORRIDOR JOINT POWERS BOARD

CALTRAIN RAIL CORRIDOR USE POLICY DRAFT MAPS

OVERVIEW:

- The RCUP is being developed to provide a Board-adopted policy framework around the use of Peninsula Corridor Joint Powers Board (JPB) property to support the achievement of the vision in the Caltrain Business Plan.
- The RCUP will include an administrative policy framework and a series of maps to facilitate decision-making regarding use of space on the JPB's limited property along the rail corridor. This PDF presents the draft maps for the RCUP project.

PROJECT OBJECTIVES:

- Provide a Board-adopted policy framework that supports the delivery of Caltrain's long-term service vision while also clarifying nearer-term opportunities for the use of JPB property.
- Develop a process for considering and approving the range of proposed uses and projects on JPB property.
- Provide transparency and clarity on the decision-making process and outcomes.

PROPERTY USE ZONES

Property Use Zone 1 – Operating Right-of-Way

- Property Use Zone 1 is the Operating Right-of-Way (ROW) land use district, and it includes property that is required for the safe operation of the railroad in its current configuration and for the Peninsula Corridor Electrification Project (PCEP).
- Land in Property Use Zone 1 is intended to serve railroad operations and is generally not available for non-railroad uses, except compatible utility uses.

Property Use Zone 2 – Station Right-of-Way

- Property Use Zone 2 is the Station Right-of-Way land use district, and it includes property that is located at and near Caltrain's stations.
- Property in the Station Right-of-Way includes facilities that support the functioning of the railroad station, including station buildings, access facilities (such as sidewalks, driveways, loading and unloading areas, car parking facilities, bike parking facilities, etc.), passenger waiting areas, etc.
- Property Use Zone 2 could potentially have non-railroad land uses that are compatible with the functioning of the station and the safe operation of the railroad.

Property Use Zone 3 – Non-Operating Right-of-Way

- Property Use Zone 3 is the Non-Operating Right-of-Way land use district, and it includes all JPB property that is not already included in Property Use Zones 1, 2, and 4.
- Property in Property Use Zone 3 could potentially have non-railroad land uses that are compatible with the safe operation of the railroad, including development projects, commercial leases, community uses, etc.

Property Use Zone 4 – Special Study Area

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

SERVICE VISION CAPITAL PROJECT OVERLAY

Service Vision Capital Project Overlay

- The Service Vision Capital Project Overlay serves as an overlay district that is applied on top of the Property Use Zones to JPB property along the Caltrain corridor.
- This overlay conceptually represents areas of JPB property along the Caltrain corridor that may be needed for potential future capital projects.
- Because it is known that the property within its boundaries may be needed for a potential capital project in the future, the Service Vision Capital Project Overlay is intended to ensure that JPB property would not become permanently encumbered or used in a way that would make it difficult or impossible to deliver the potential future capital project.
- The Service Vision Capital Project Overlay could potentially have non-railroad land uses that are compatible with the safe operation of the railroad and that will be terminated before the anticipated start of the potential future capital project.
- The Service Vision Capital Project Overlay could also be potentially available for a future, long-term, non-railroad use of the land that is co-designed with the potential future capital project, that is co-delivered with the potential future capital project, or that is delivered after completion of the potential future capital project.

CALTRAIN RAIL CORRIDOR USE POLICY: MAP 1 OF 34



- 4th & King Station
- 22nd Street Station
- Bayshore Station
- South San Francisco Station
- San Bruno Station
- Millbrae Station
- Broadway Station
- Burlingame Station
- San Mateo Station
- Hayward Park Station
- Hillsdale Station
- Belmont Station
- San Carlos Station
- Redwood City Station
- Atherton Station
- Menlo Park Station
- Palo Alto Station
- Stanford Stadium Station
- California Avenue Station
- San Antonio Station
- Mountain View Station
- Sunnyvale Station
- Lawrence Station
- Santa Clara Station
- College Park Station
- San Jose Diridon Station
- Tamien Station
- JPB-Owned
- UPRR-Owned
- Capitol Station

Legend

Property Use Zones

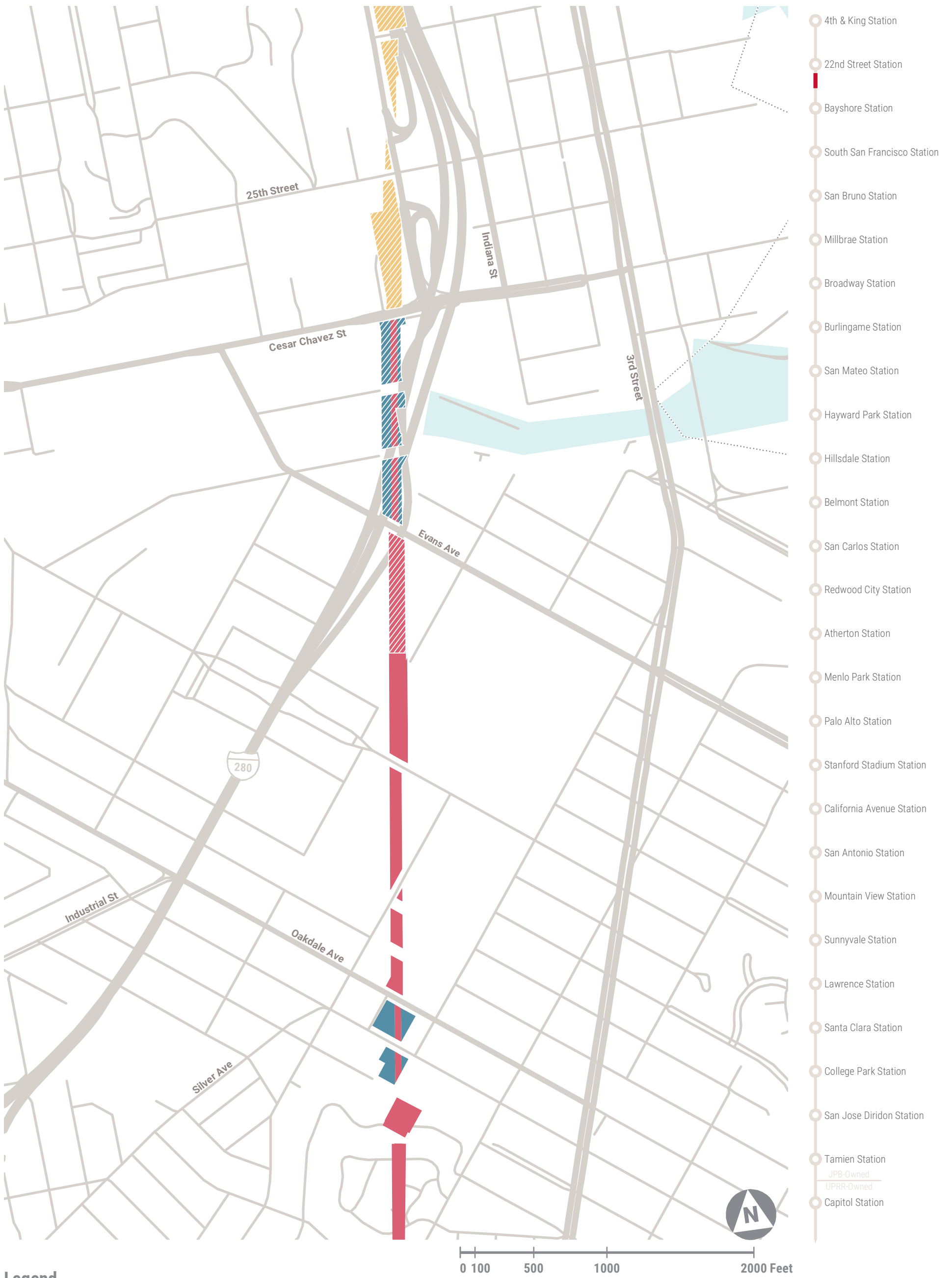
- 1: Operating Right-of-Way
- 2: Station Right-of-Way
- 3: Non-Operating Right-of-Way
- 4: Special Study Area

Service Vision Capital Project Overlay

- Service Vision Capital Project Overlay

Note: Map is for general information only. Peninsula Corridor Joint Powers Board property lines are approximate and for illustrative purposes only. In portions of San Francisco, the Peninsula Corridor Joint Powers Board has a perpetual operating easement but does not own the property in fee.

CALTRAIN RAIL CORRIDOR USE POLICY: MAP 2 OF 34



Legend

Property Use Zones

- 1: Operating Right-of-Way
- 2: Station Right-of-Way
- 3: Non-Operating Right-of-Way
- 4: Special Study Area

Service Vision Capital Project Overlay

- Service Vision Capital Project Overlay

Note: Map is for general information only. Peninsula Corridor Joint Powers Board property lines are approximate and for illustrative purposes only. In portions of San Francisco, the Peninsula Corridor Joint Powers Board has a perpetual operating easement but does not own the property in fee.

CALTRAIN RAIL CORRIDOR USE POLICY: MAP 3 OF 34



- 4th & King Station
- 22nd Street Station
- Bayshore Station
- South San Francisco Station
- San Bruno Station
- Millbrae Station
- Broadway Station
- Burlingame Station
- San Mateo Station
- Hayward Park Station
- Hillsdale Station
- Belmont Station
- San Carlos Station
- Redwood City Station
- Atherton Station
- Menlo Park Station
- Palo Alto Station
- Stanford Stadium Station
- California Avenue Station
- San Antonio Station
- Mountain View Station
- Sunnyvale Station
- Lawrence Station
- Santa Clara Station
- College Park Station
- San Jose Diridon Station
- Tamien Station
- JPB-Owned
- UPRR-Owned
- Capitol Station

Legend

Property Use Zones

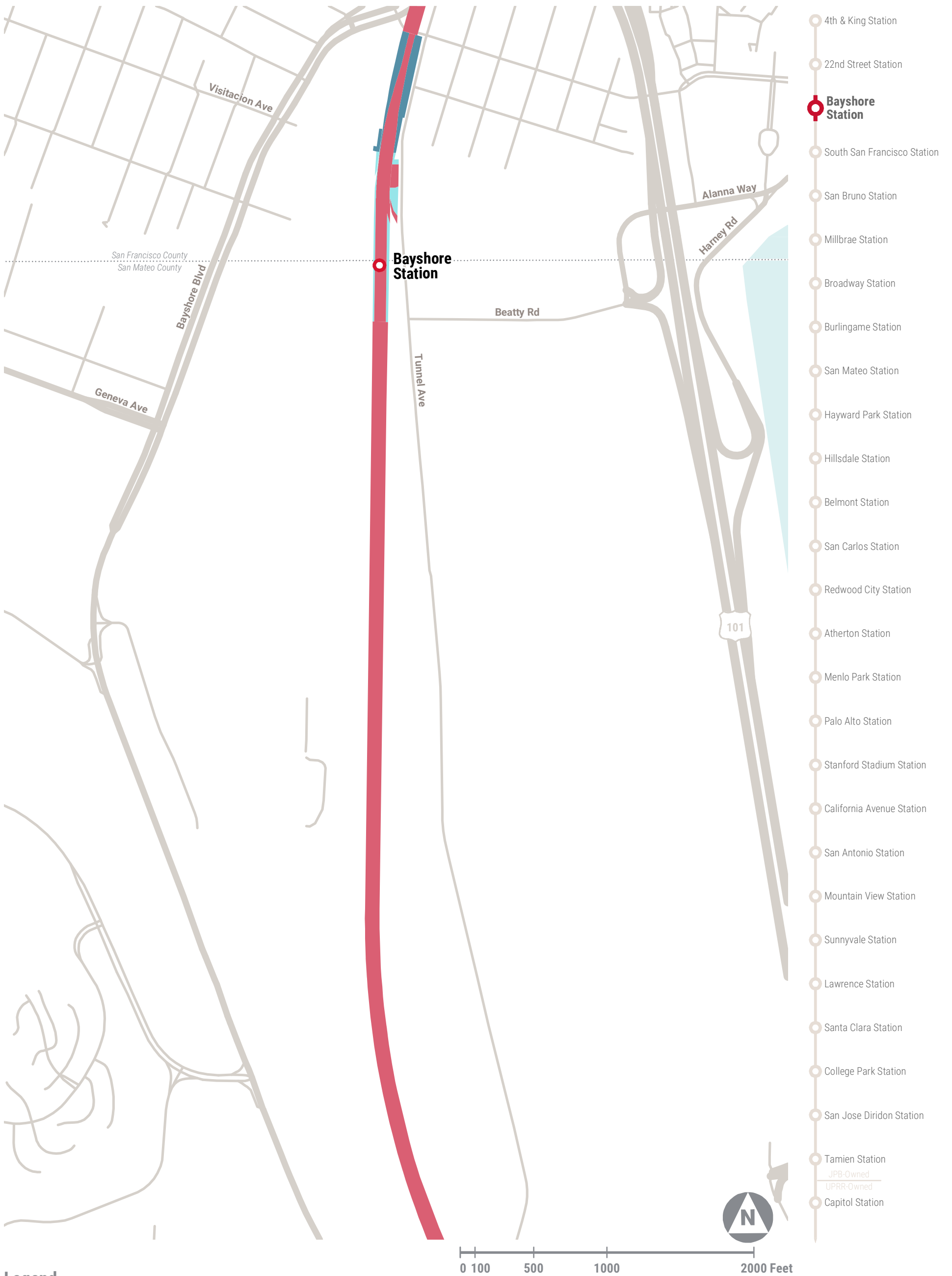
- 1: Operating Right-of-Way
- 2: Station Right-of-Way
- 3: Non-Operating Right-of-Way
- 4: Special Study Area

Service Vision Capital Project Overlay

- ▨ Service Vision Capital Project Overlay

Note: Map is for general information only. Peninsula Corridor Joint Powers Board property lines are approximate and for illustrative purposes only.

CALTRAIN RAIL CORRIDOR USE POLICY: MAP 4 OF 34



Legend

Property Use Zones

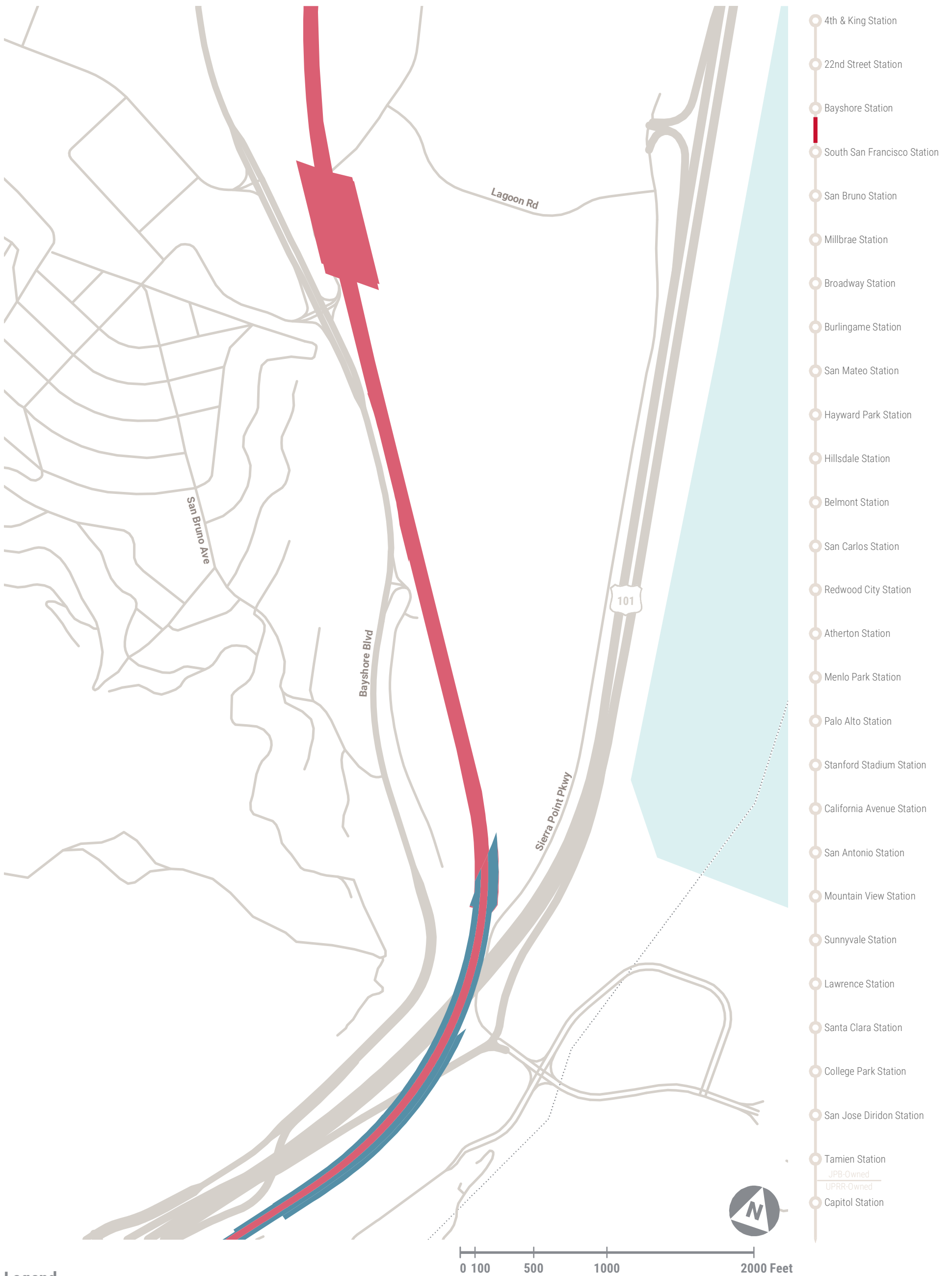
- 1: Operating Right-of-Way
- 2: Station Right-of-Way
- 3: Non-Operating Right-of-Way
- 4: Special Study Area

Service Vision Capital Project Overlay

- Service Vision Capital Project Overlay

Note: Map is for general information only. Peninsula Corridor Joint Powers Board property lines are approximate and for illustrative purposes only.

CALTRAIN RAIL CORRIDOR USE POLICY: MAP 5 OF 34



Legend

Property Use Zones

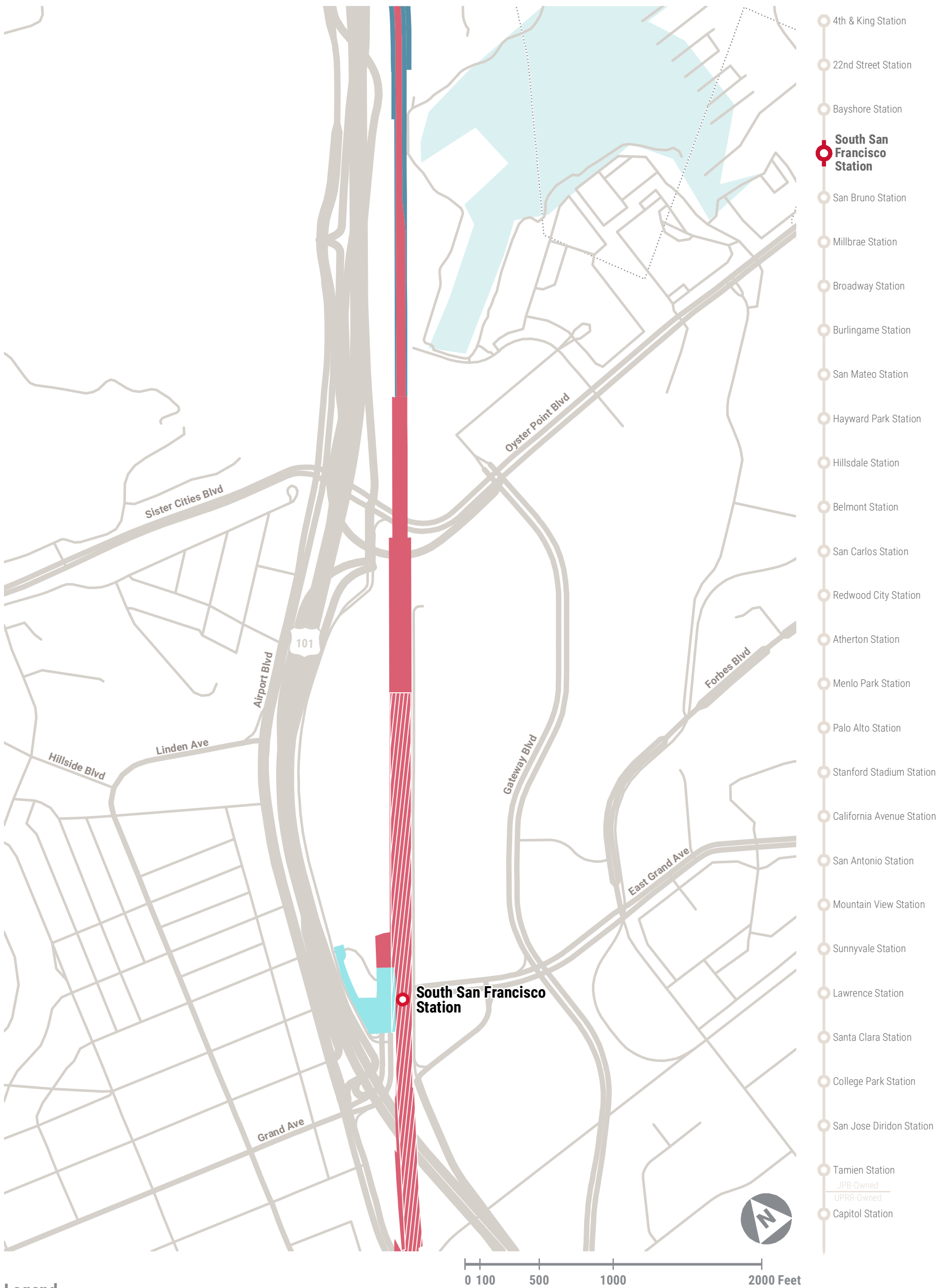
- 1: Operating Right-of-Way
- 2: Station Right-of-Way
- 3: Non-Operating Right-of-Way
- 4: Special Study Area

Service Vision Capital Project Overlay

- Service Vision Capital Project Overlay

Note: Map is for general information only. Peninsula Corridor Joint Powers Board property lines are approximate and for illustrative purposes only.

CALTRAIN RAIL CORRIDOR USE POLICY: MAP 6 OF 34



- 4th & King Station
- 22nd Street Station
- Bayshore Station
- **South San Francisco Station**
- San Bruno Station
- Millbrae Station
- Broadway Station
- Burlingame Station
- San Mateo Station
- Hayward Park Station
- Hillsdale Station
- Belmont Station
- San Carlos Station
- Redwood City Station
- Atherton Station
- Menlo Park Station
- Palo Alto Station
- Stanford Stadium Station
- California Avenue Station
- San Antonio Station
- Mountain View Station
- Sunnyvale Station
- Lawrence Station
- Santa Clara Station
- College Park Station
- San Jose Diridon Station
- Tamien Station
- Capitol Station

Legend

Property Use Zones

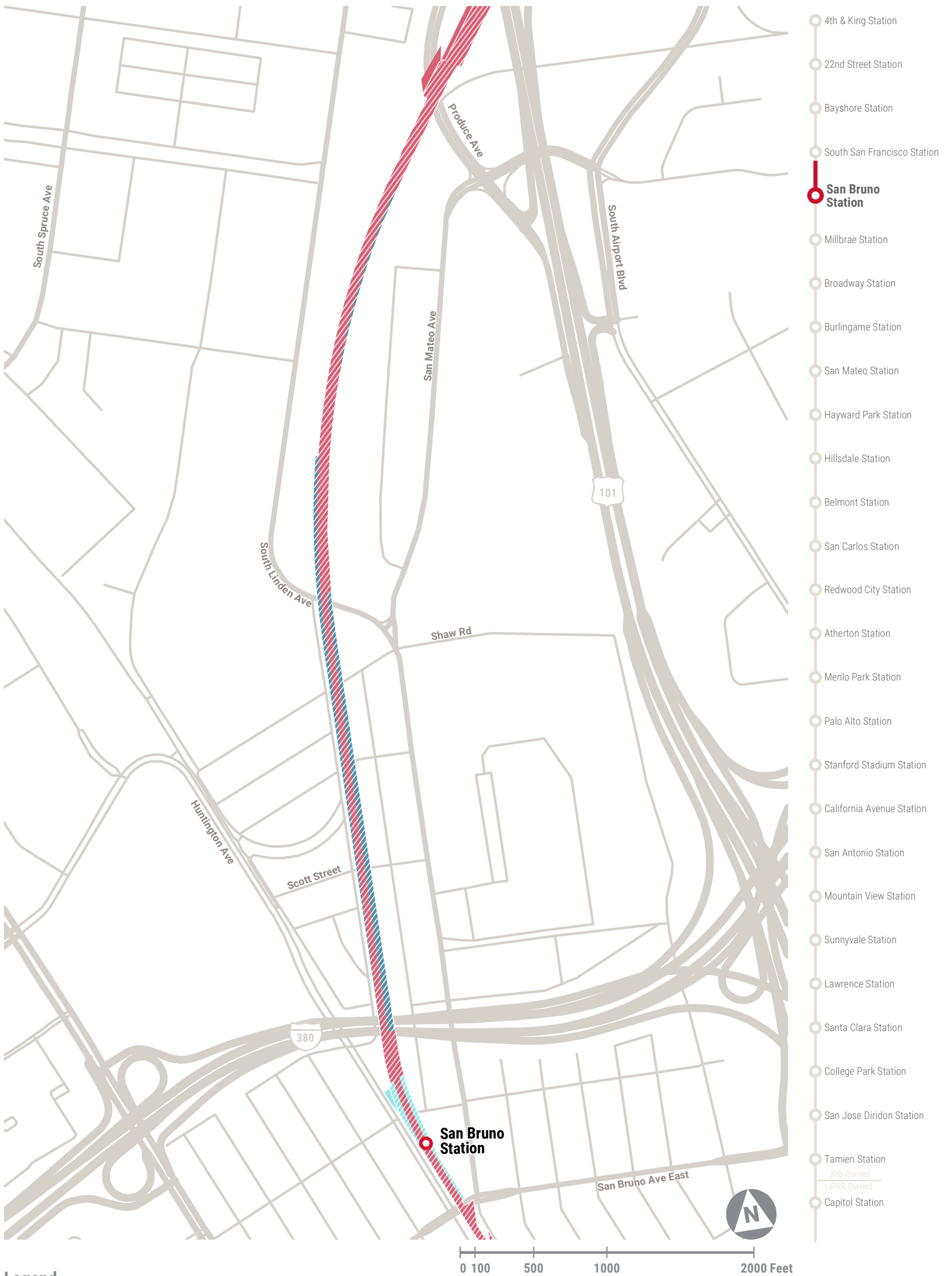
- 1: Operating Right-of-Way
- 2: Station Right-of-Way
- 3: Non-Operating Right-of-Way
- 4: Special Study Area

Service Vision Capital Project Overlay

- ▨ Service Vision Capital Project Overlay

Note: Map is for general information only. Peninsula Corridor Joint Powers Board property lines are approximate and for illustrative purposes only.

CALTRAIN RAIL CORRIDOR USE POLICY: MAP 7 OF 34



Legend

Property Use Zones

- 1: Operating Right-of-Way
- 2: Station Right-of-Way
- 3: Non-Operating Right-of-Way
- 4: Special Study Area

Service Vision Capital Project Overlay

- Service Vision Capital Project Overlay

Note: Map is for general information only. Peninsula Corridor Joint Powers Board property lines are approximate and for illustrative purposes only.

CALTRAIN RAIL CORRIDOR USE POLICY: MAP 8 OF 34



Legend

Property Use Zones

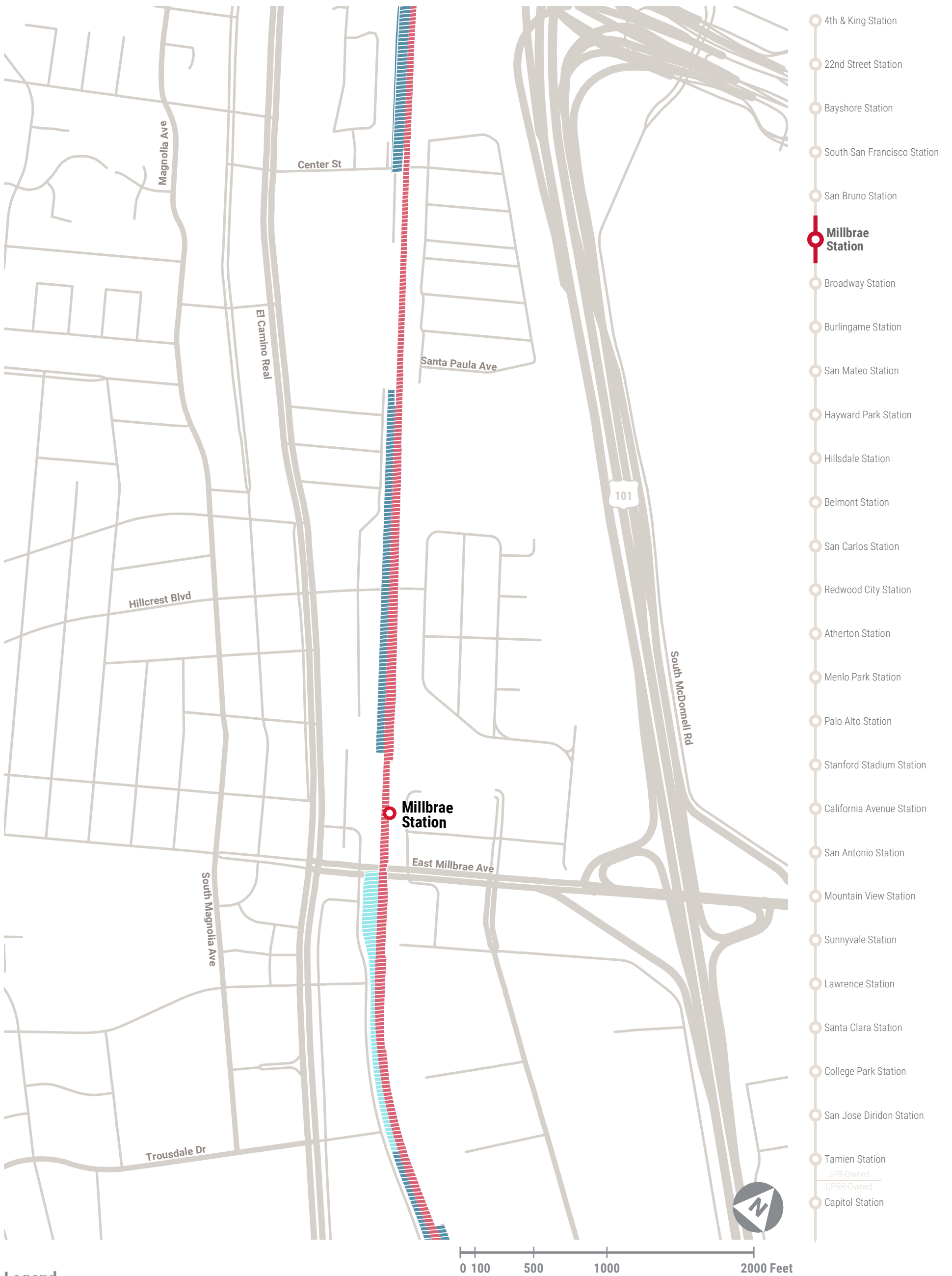
- 1: Operating Right-of-Way
- 2: Station Right-of-Way
- 3: Non-Operating Right-of-Way
- 4: Special Study Area

Service Vision Capital Project Overlay

- Service Vision Capital Project Overlay

Note: Map is for general information only. Peninsula Corridor Joint Powers Board property lines are approximate and for illustrative purposes only.

CALTRAIN RAIL CORRIDOR USE POLICY: MAP 9 OF 34



- 4th & King Station
- 22nd Street Station
- Bayshore Station
- South San Francisco Station
- San Bruno Station
- **Millbrae Station**
- Broadway Station
- Burlingame Station
- San Mateo Station
- Hayward Park Station
- Hillsdale Station
- Belmont Station
- San Carlos Station
- Redwood City Station
- Atherton Station
- Menlo Park Station
- Palo Alto Station
- Stanford Stadium Station
- California Avenue Station
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- Mountain View Station
- Sunnyvale Station
- Lawrence Station
- Santa Clara Station
- College Park Station
- San Jose Diridon Station
- Tamien Station
- JPB-Owned
- UPRR-Owned
- Capitol Station

Legend

Property Use Zones

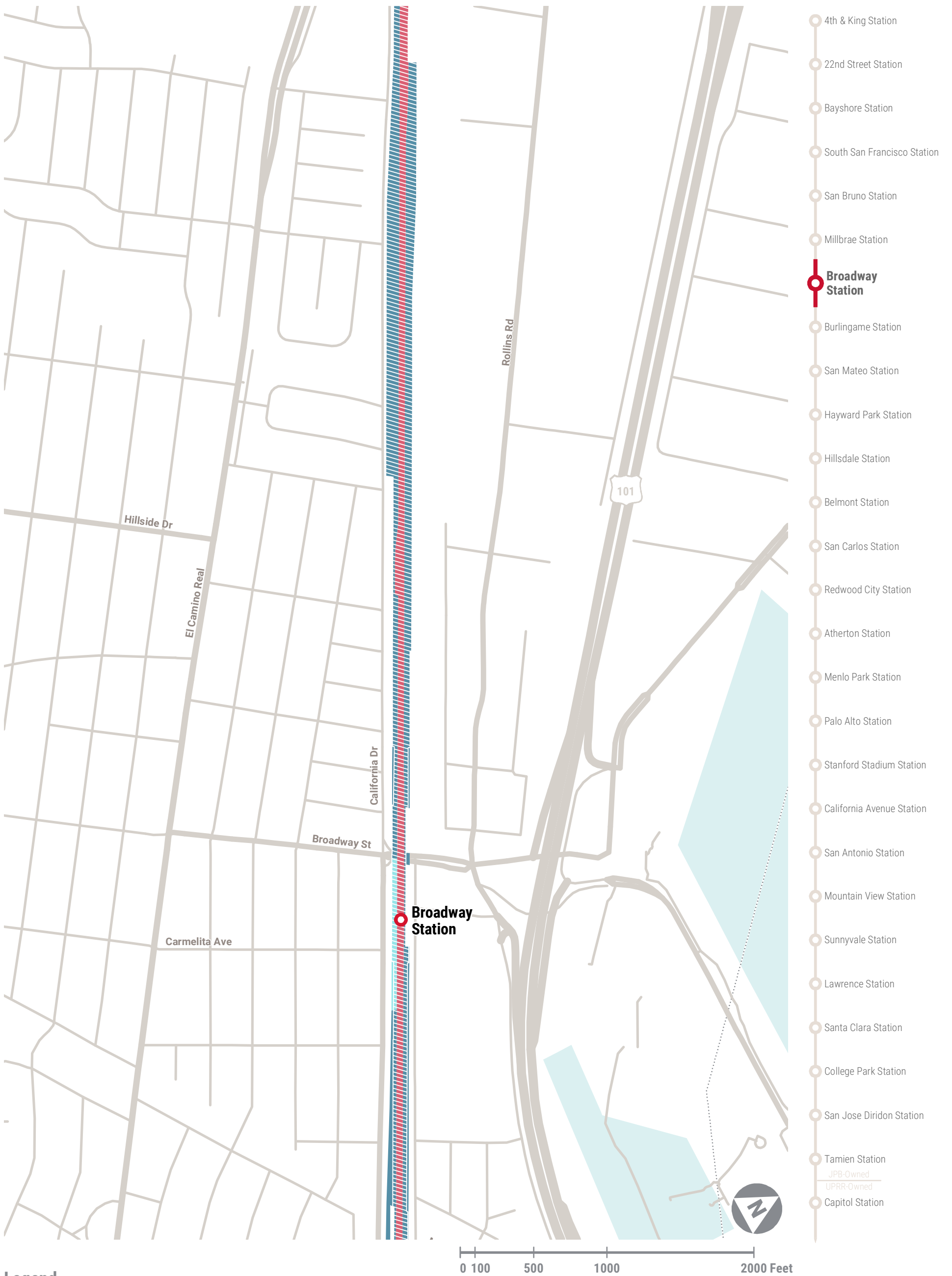
- 1: Operating Right-of-Way
- 2: Station Right-of-Way
- 3: Non-Operating Right-of-Way
- 4: Special Study Area

Service Vision Capital Project Overlay

- ▨ Service Vision Capital Project Overlay

Note: Map is for general information only. Peninsula Corridor Joint Powers Board property lines are approximate and for illustrative purposes only.

CALTRAIN RAIL CORRIDOR USE POLICY: MAP 10 OF 34



Legend

Property Use Zones

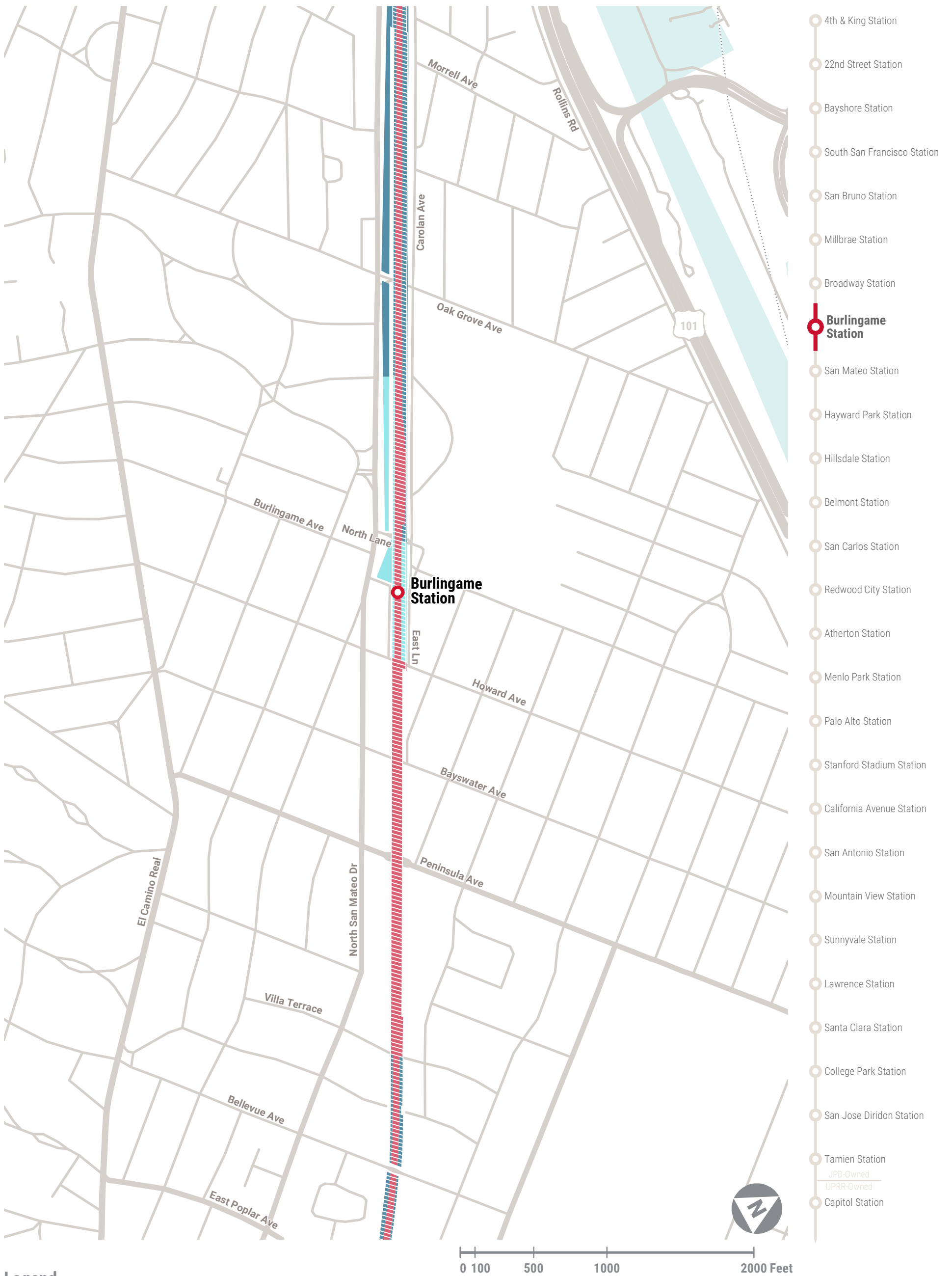
- 1: Operating Right-of-Way
- 2: Station Right-of-Way
- 3: Non-Operating Right-of-Way
- 4: Special Study Area

Service Vision Capital Project Overlay

- Service Vision Capital Project Overlay

Note: Map is for general information only. Peninsula Corridor Joint Powers Board property lines are approximate and for illustrative purposes only.

CALTRAIN RAIL CORRIDOR USE POLICY: MAP 11 OF 34



Legend

Property Use Zones

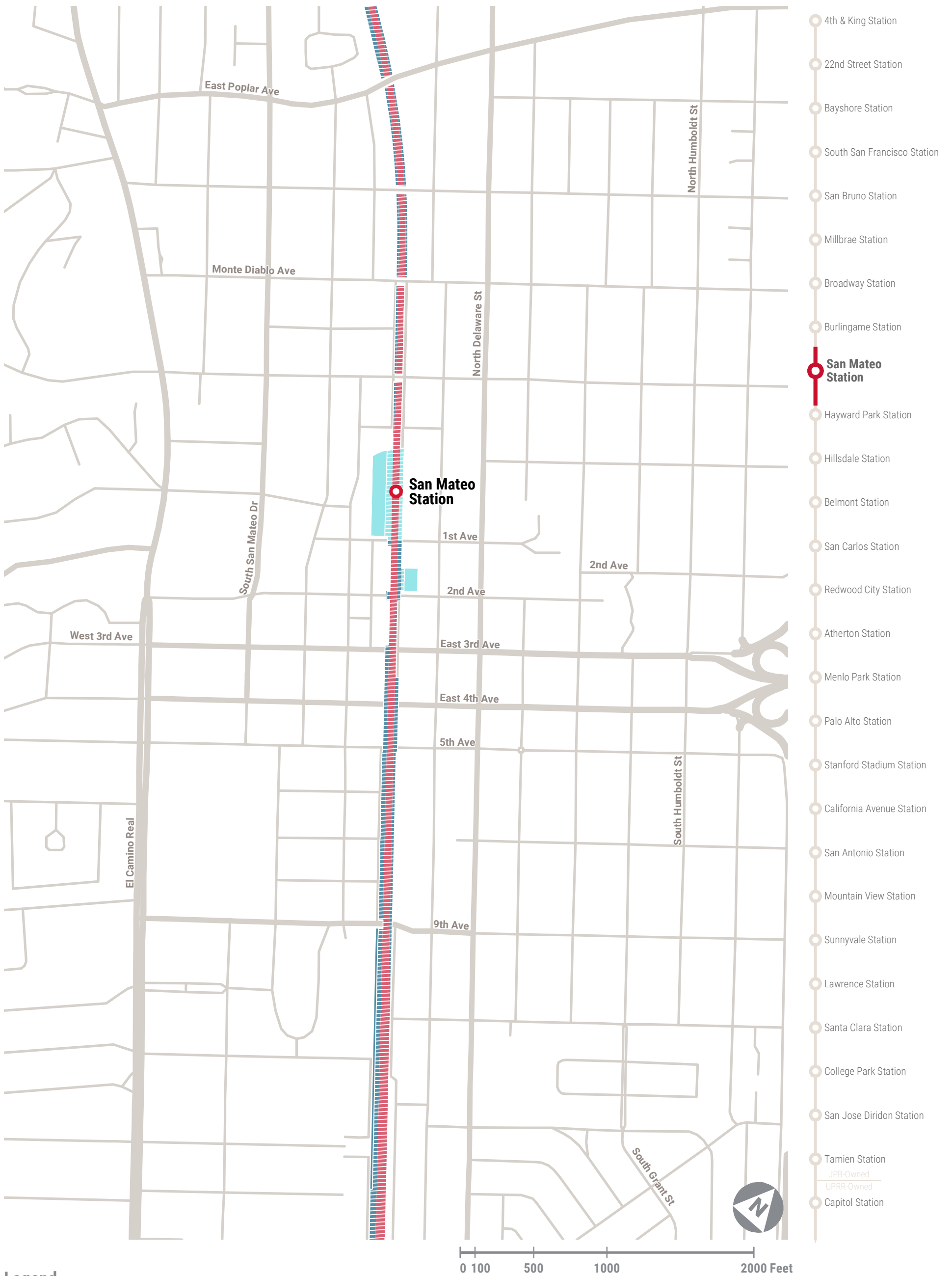
- 1: Operating Right-of-Way
- 2: Station Right-of-Way
- 3: Non-Operating Right-of-Way
- 4: Special Study Area

Service Vision Capital Project Overlay

- Service Vision Capital Project Overlay

Note: Map is for general information only. Peninsula Corridor Joint Powers Board property lines are approximate and for illustrative purposes only.

CALTRAIN RAIL CORRIDOR USE POLICY: MAP 12 OF 34



Legend

Property Use Zones

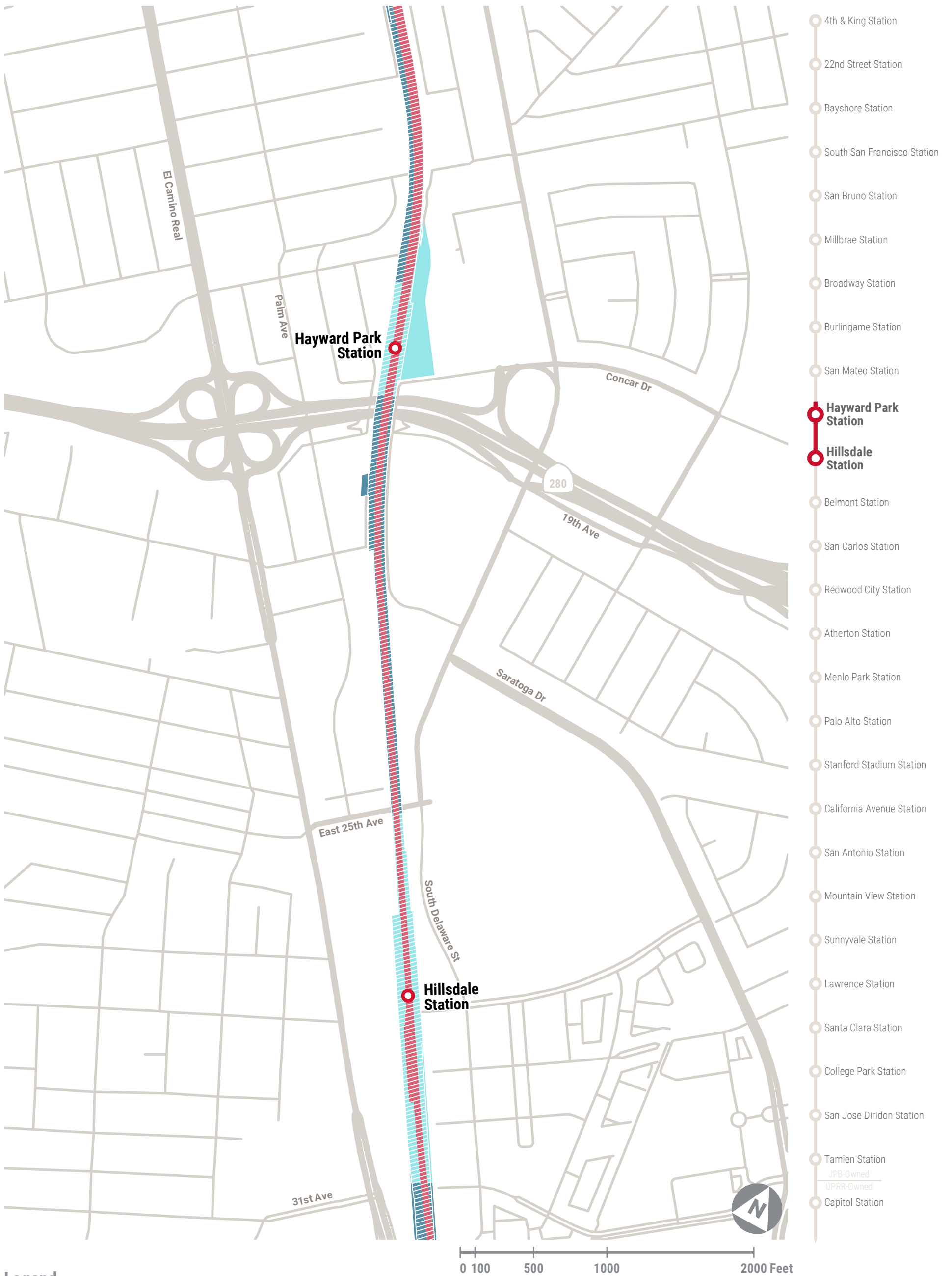
- 1: Operating Right-of-Way
- 2: Station Right-of-Way
- 3: Non-Operating Right-of-Way
- 4: Special Study Area

Service Vision Capital Project Overlay

- Service Vision Capital Project Overlay

Note: Map is for general information only. Peninsula Corridor Joint Powers Board property lines are approximate and for illustrative purposes only.

CALTRAIN RAIL CORRIDOR USE POLICY: MAP 13 OF 34



Legend

Property Use Zones

- 1: Operating Right-of-Way
- 2: Station Right-of-Way
- 3: Non-Operating Right-of-Way
- 4: Special Study Area

Service Vision Capital Project Overlay

- Service Vision Capital Project Overlay

Note: Map is for general information only. Peninsula Corridor Joint Powers Board property lines are approximate and for illustrative purposes only.

CALTRAIN RAIL CORRIDOR USE POLICY: MAP 14 OF 34



Legend

Property Use Zones

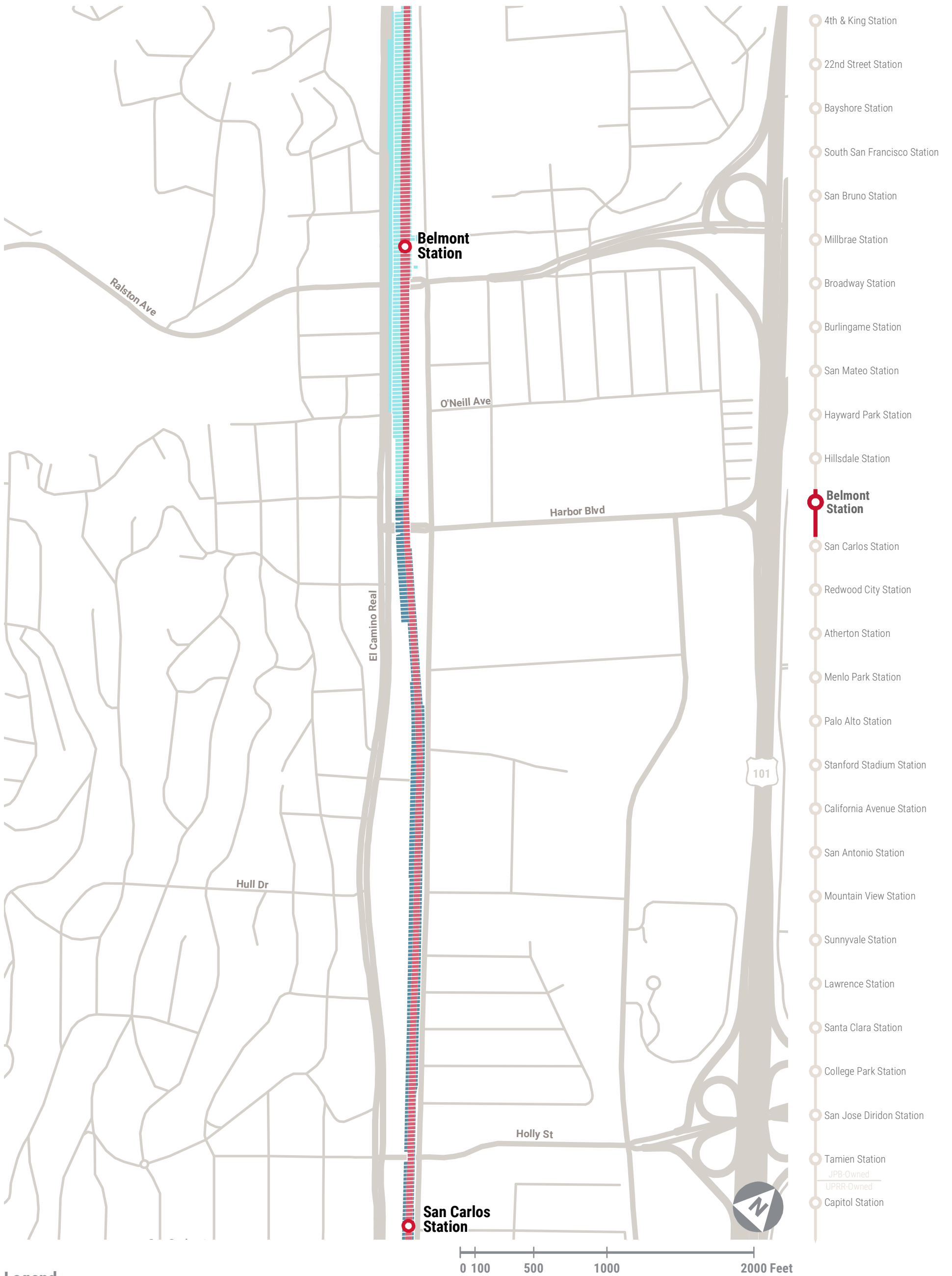
- 1: Operating Right-of-Way
- 2: Station Right-of-Way
- 3: Non-Operating Right-of-Way
- 4: Special Study Area

Service Vision Capital Project Overlay

- Service Vision Capital Project Overlay

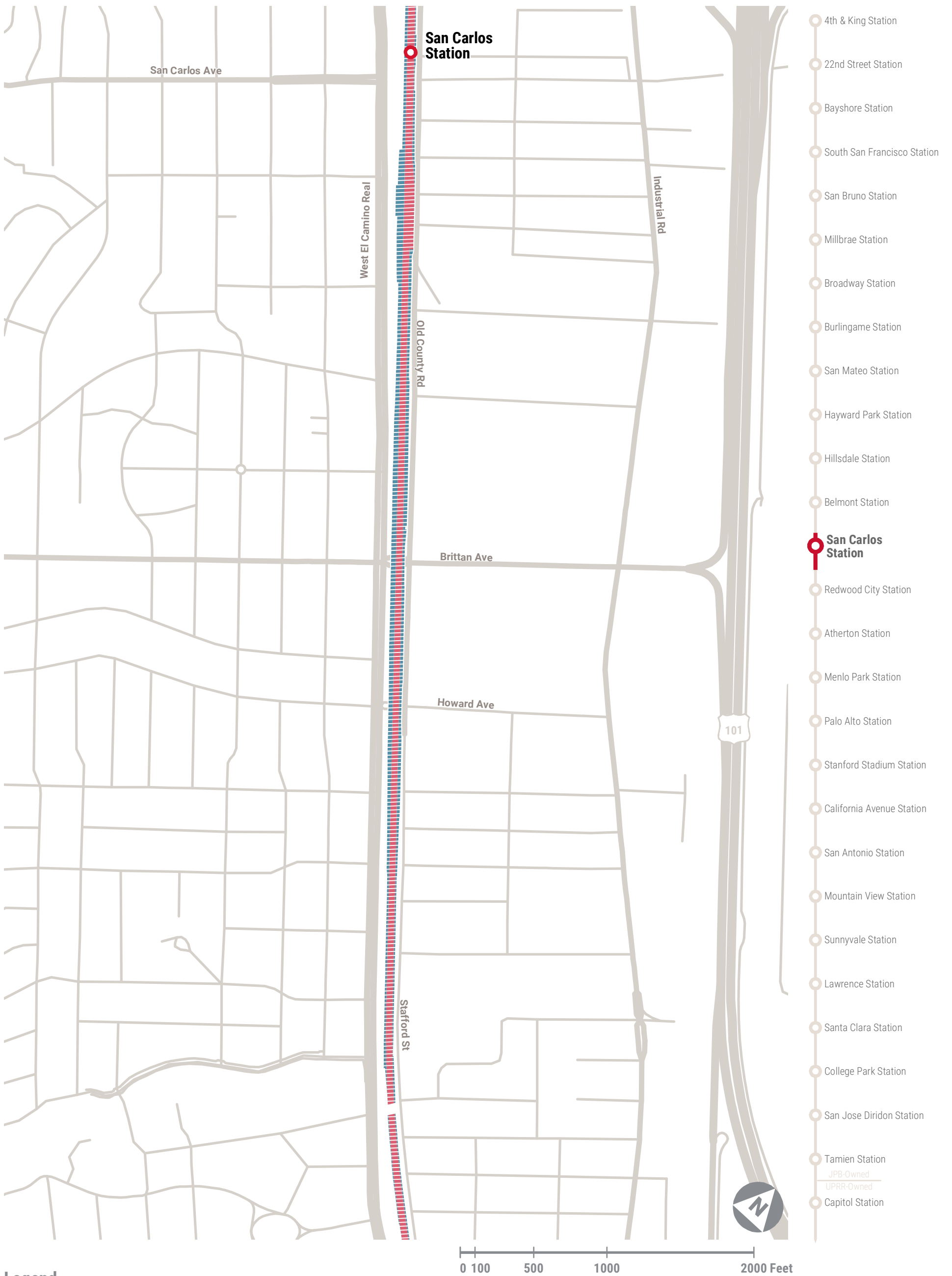
Note: Map is for general information only. Peninsula Corridor Joint Powers Board property lines are approximate and for illustrative purposes only.

CALTRAIN RAIL CORRIDOR USE POLICY: MAP 15 OF 34



Note: Map is for general information only. Peninsula Corridor Joint Powers Board property lines are approximate and for illustrative purposes only.

CALTRAIN RAIL CORRIDOR USE POLICY: MAP 16 OF 34



Legend

Property Use Zones

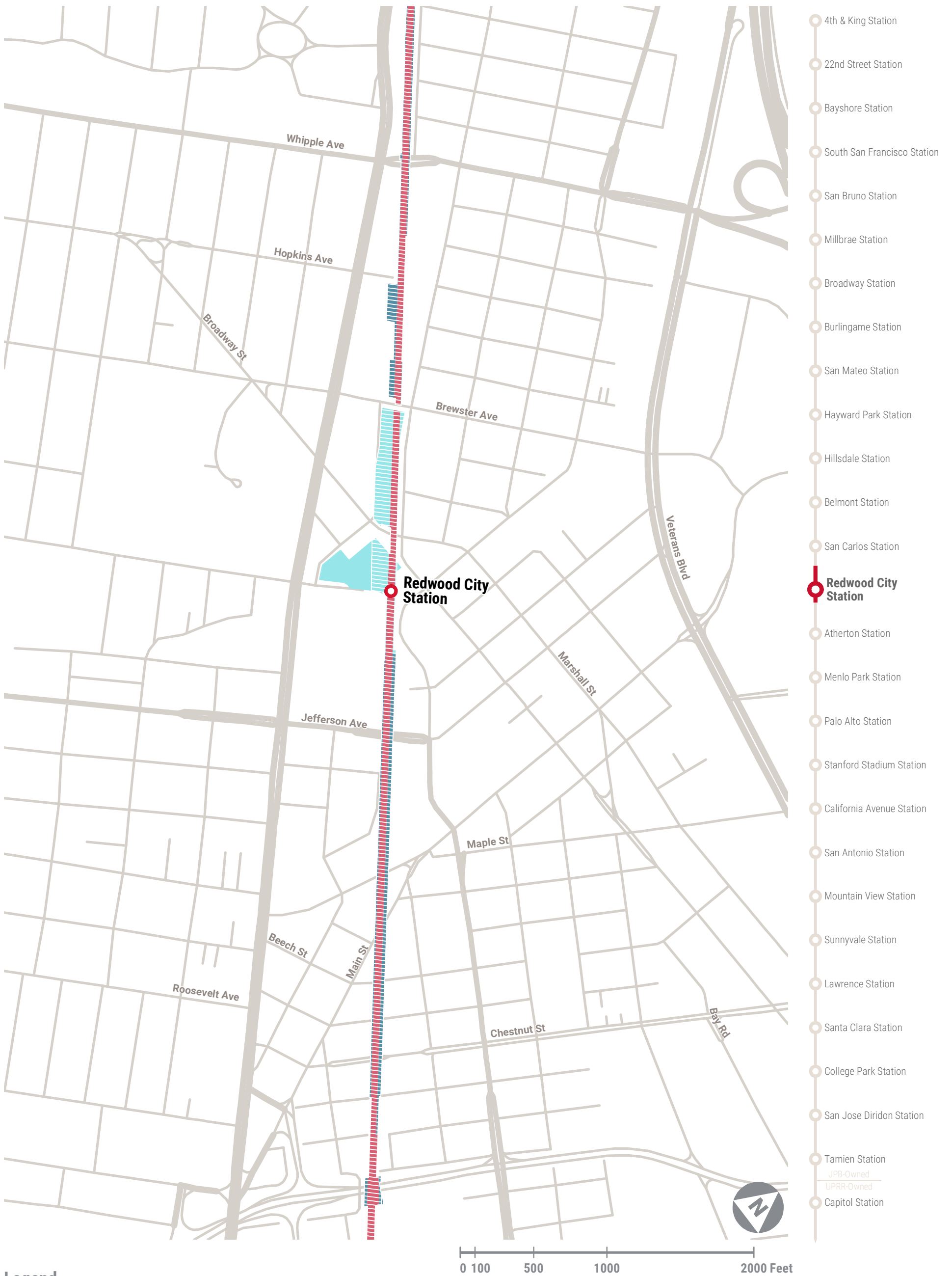
- 1: Operating Right-of-Way
- 2: Station Right-of-Way
- 3: Non-Operating Right-of-Way
- 4: Special Study Area

Service Vision Capital Project Overlay

- Service Vision Capital Project Overlay

Note: Map is for general information only. Peninsula Corridor Joint Powers Board property lines are approximate and for illustrative purposes only.

CALTRAIN RAIL CORRIDOR USE POLICY: MAP 17 OF 34



Legend

Property Use Zones

- 1: Operating Right-of-Way
- 2: Station Right-of-Way
- 3: Non-Operating Right-of-Way
- 4: Special Study Area

Service Vision Capital Project Overlay

- Service Vision Capital Project Overlay

Note: Map is for general information only. Peninsula Corridor Joint Powers Board property lines are approximate and for illustrative purposes only.

CALTRAIN RAIL CORRIDOR USE POLICY: MAP 18 OF 34



Legend

Property Use Zones

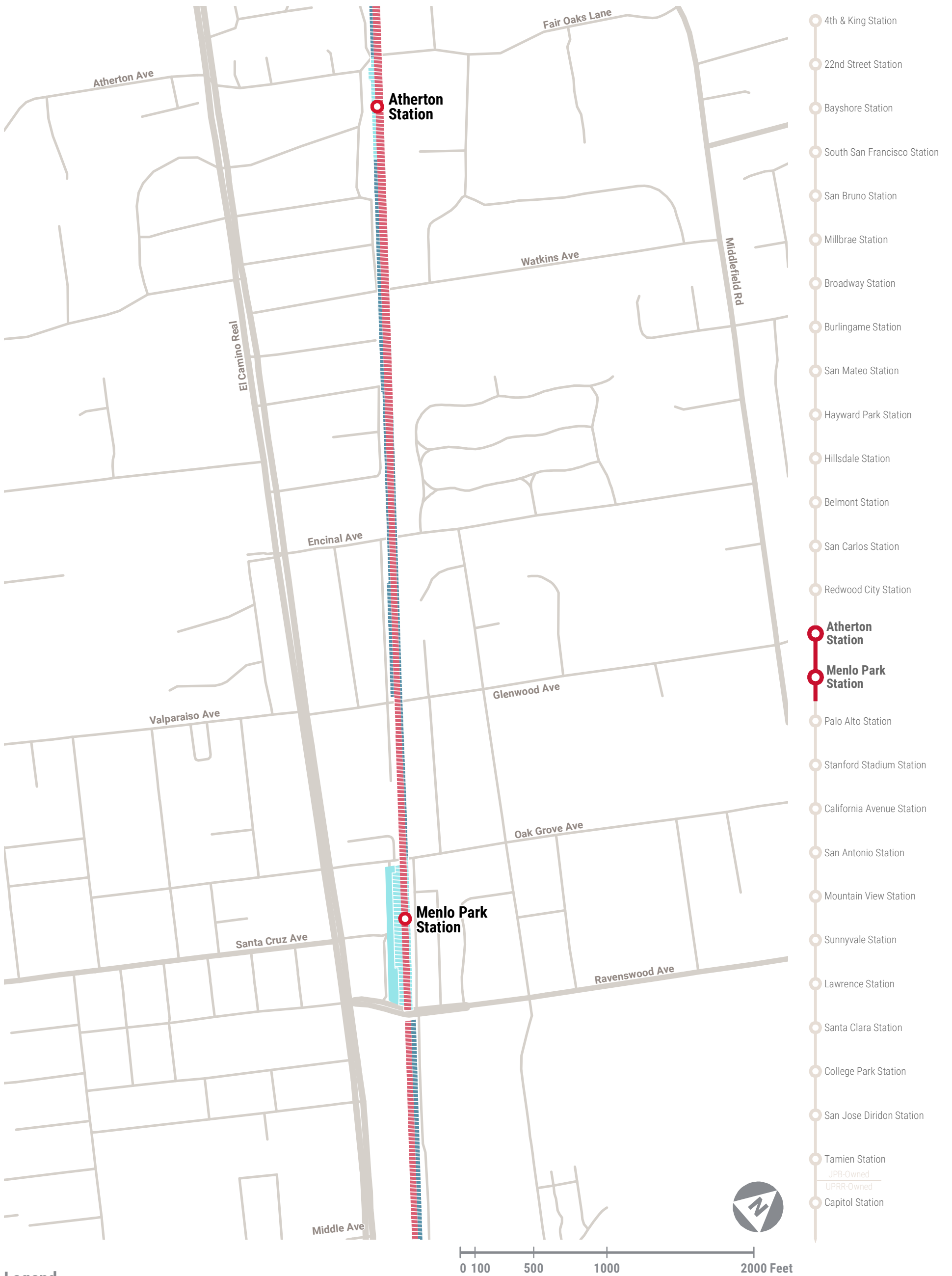
- 1: Operating Right-of-Way
- 2: Station Right-of-Way
- 3: Non-Operating Right-of-Way
- 4: Special Study Area

Service Vision Capital Project Overlay

- Service Vision Capital Project Overlay

Note: Map is for general information only. Peninsula Corridor Joint Powers Board property lines are approximate and for illustrative purposes only.

CALTRAIN RAIL CORRIDOR USE POLICY: MAP 19 OF 34



Legend

Property Use Zones

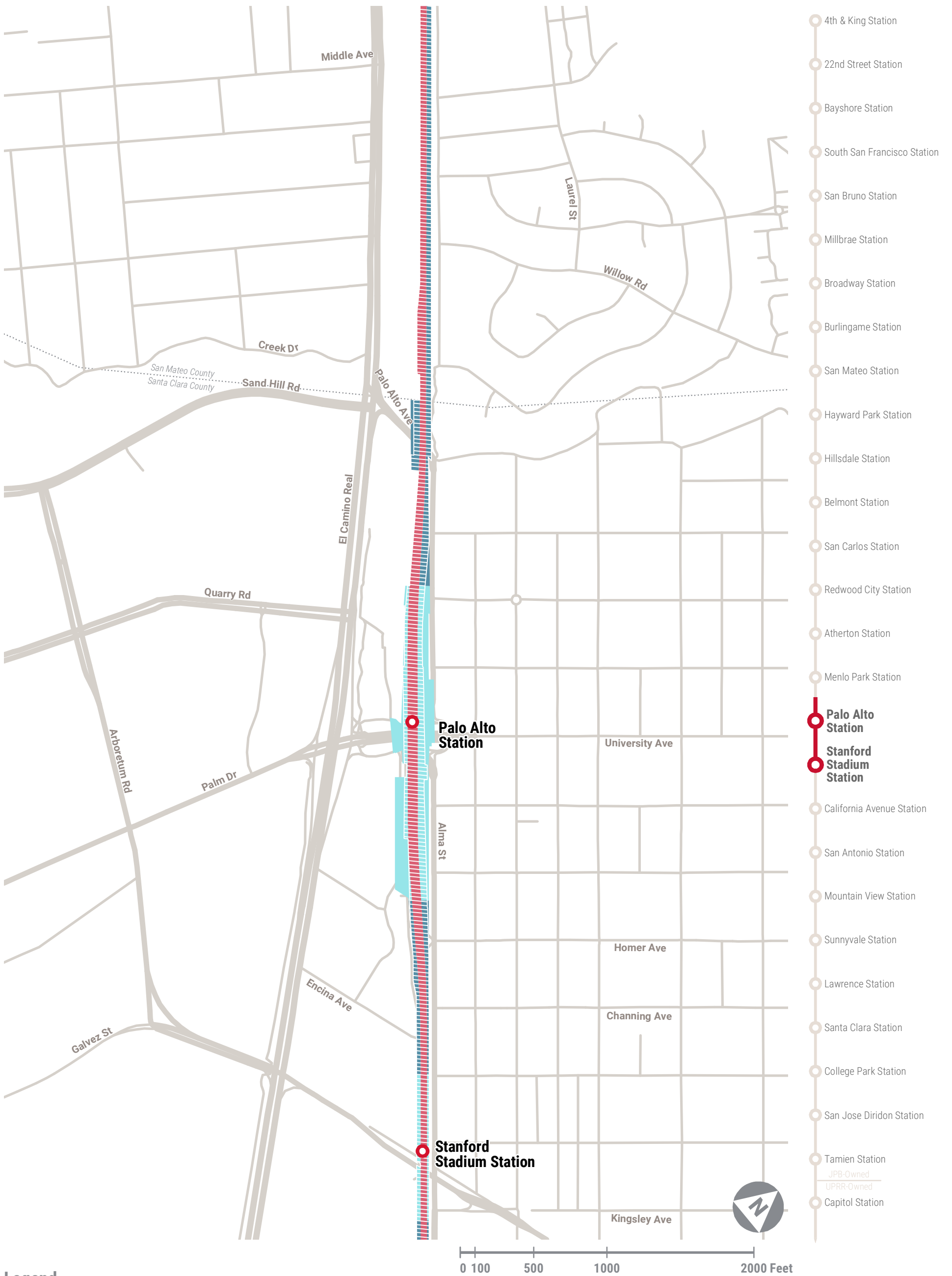
- 1: Operating Right-of-Way
- 2: Station Right-of-Way
- 3: Non-Operating Right-of-Way
- 4: Special Study Area

Service Vision Capital Project Overlay

- Service Vision Capital Project Overlay

Note: Map is for general information only. Peninsula Corridor Joint Powers Board property lines are approximate and for illustrative purposes only.

CALTRAIN RAIL CORRIDOR USE POLICY: MAP 20 OF 34



Legend

Property Use Zones

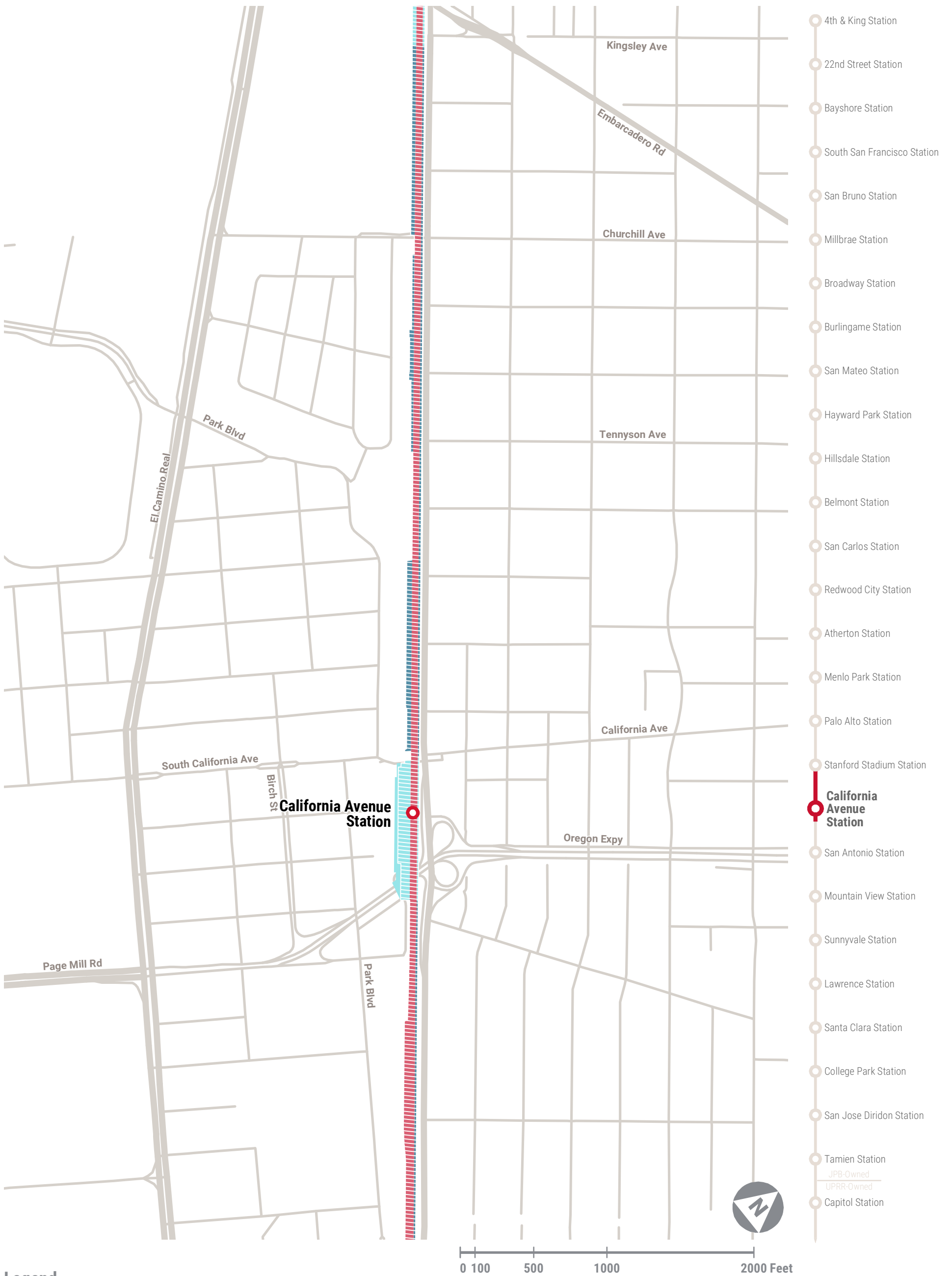
- 1: Operating Right-of-Way
- 2: Station Right-of-Way
- 3: Non-Operating Right-of-Way
- 4: Special Study Area

Service Vision Capital Project Overlay

- Service Vision Capital Project Overlay

Note: Map is for general information only. Peninsula Corridor Joint Powers Board property lines are approximate and for illustrative purposes only.

CALTRAIN RAIL CORRIDOR USE POLICY: MAP 21 OF 34



Legend

Property Use Zones

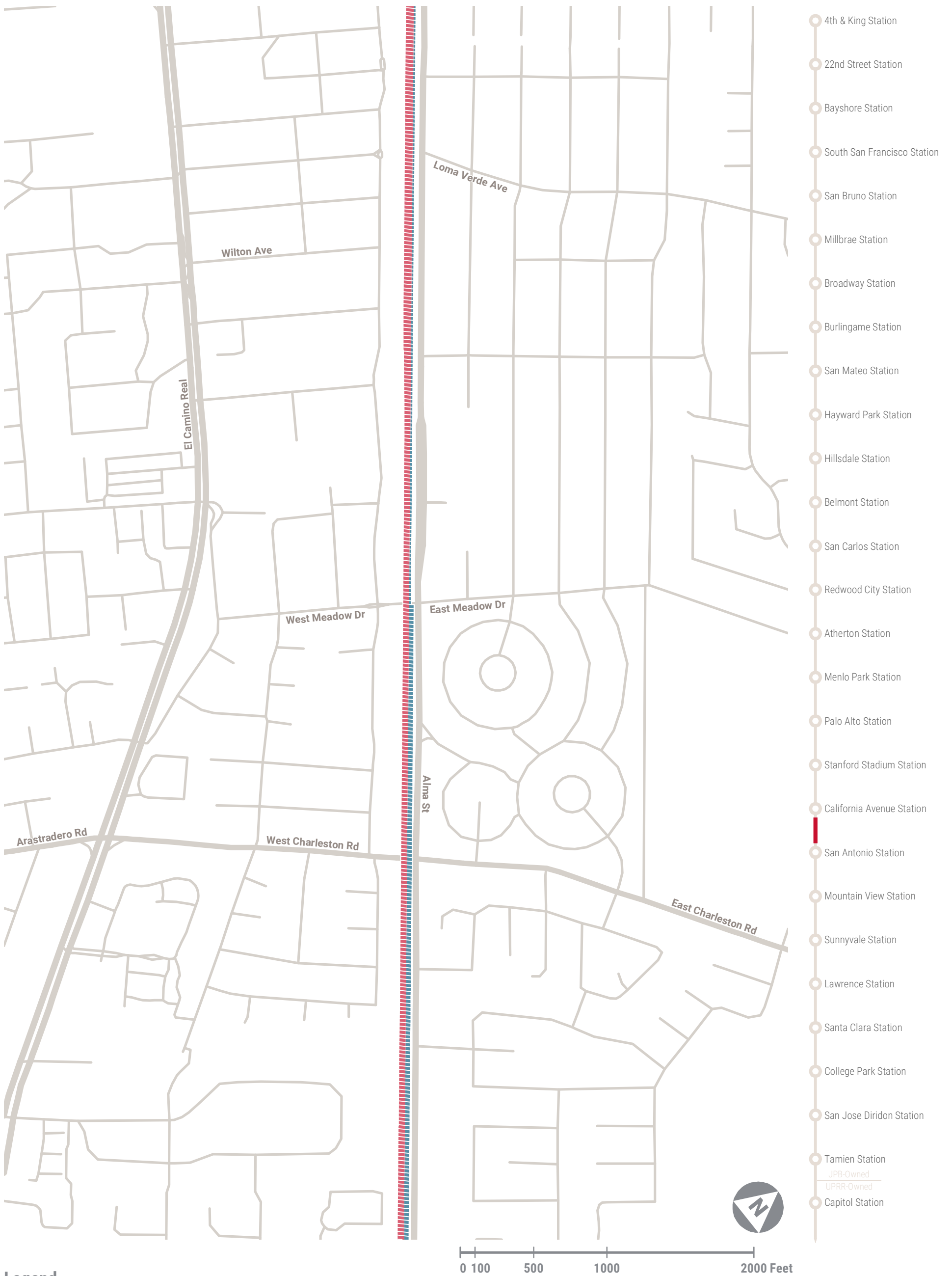
- 1: Operating Right-of-Way
- 2: Station Right-of-Way
- 3: Non-Operating Right-of-Way
- 4: Special Study Area

Service Vision Capital Project Overlay

- Service Vision Capital Project Overlay

Note: Map is for general information only. Peninsula Corridor Joint Powers Board property lines are approximate and for illustrative purposes only.

CALTRAIN RAIL CORRIDOR USE POLICY: MAP 22 OF 34



Legend

Property Use Zones

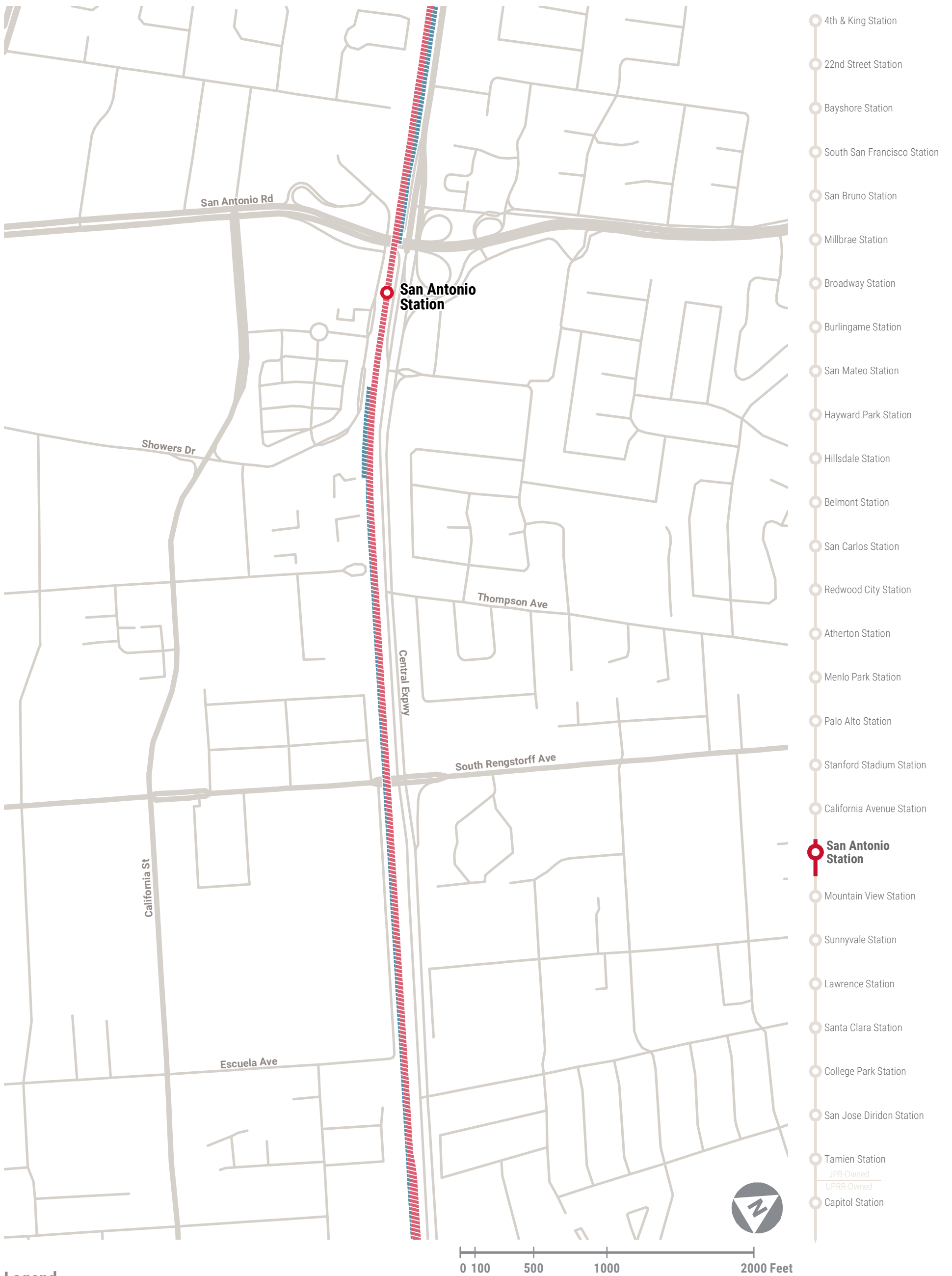
- 1: Operating Right-of-Way
- 2: Station Right-of-Way
- 3: Non-Operating Right-of-Way
- 4: Special Study Area

Service Vision Capital Project Overlay

- Service Vision Capital Project Overlay

Note: Map is for general information only. Peninsula Corridor Joint Powers Board property lines are approximate and for illustrative purposes only.

CALTRAIN RAIL CORRIDOR USE POLICY: MAP 23 OF 34



Legend

Property Use Zones

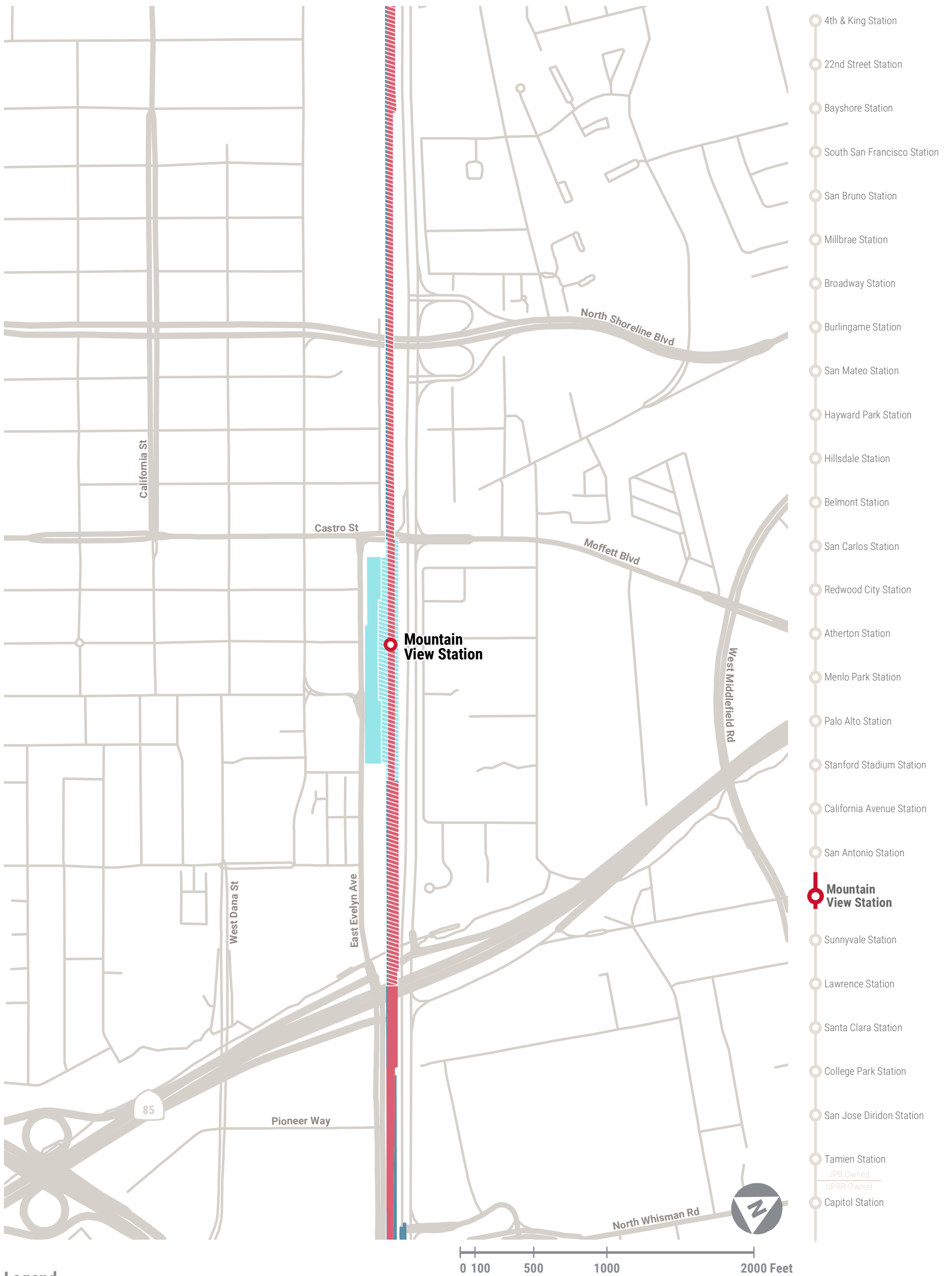
- 1: Operating Right-of-Way
- 2: Station Right-of-Way
- 3: Non-Operating Right-of-Way
- 4: Special Study Area

Service Vision Capital Project Overlay

- Service Vision Capital Project Overlay

Note: Map is for general information only. Peninsula Corridor Joint Powers Board property lines are approximate and for illustrative purposes only.

CALTRAIN RAIL CORRIDOR USE POLICY: MAP 24 OF 34



Legend

Property Use Zones

- 1: Operating Right-of-Way
- 2: Station Right-of-Way
- 3: Non-Operating Right-of-Way
- 4: Special Study Area

Service Vision Capital Project Overlay

- Service Vision Capital Project Overlay

Note: Map is for general information only. Peninsula Corridor Joint Powers Board property lines are approximate and for illustrative purposes only.

CALTRAIN RAIL CORRIDOR USE POLICY: MAP 25 OF 34



Legend

Property Use Zones

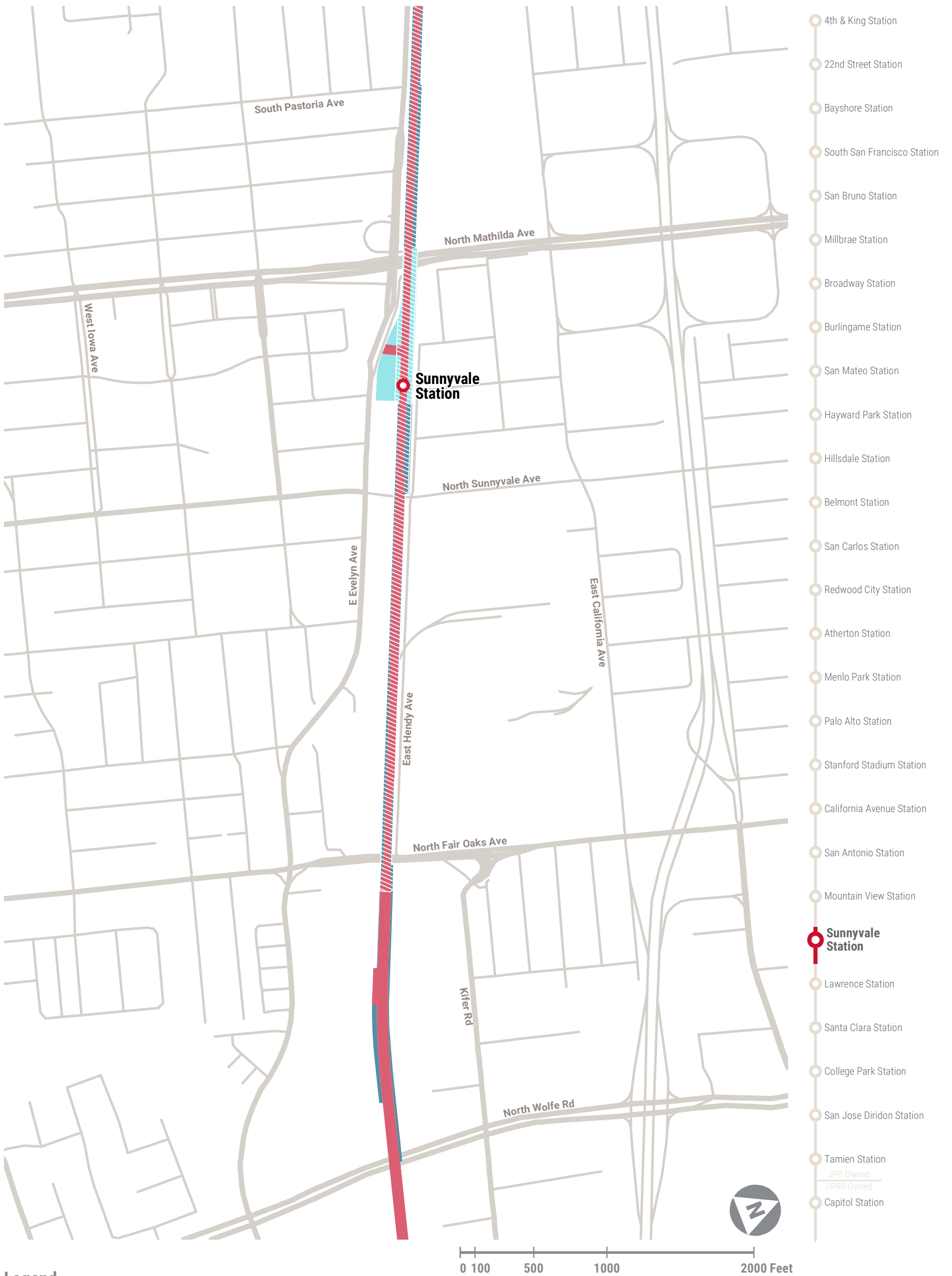
- 1: Operating Right-of-Way
- 2: Station Right-of-Way
- 3: Non-Operating Right-of-Way
- 4: Special Study Area

Service Vision Capital Project Overlay

- Service Vision Capital Project Overlay

Note: Map is for general information only. Peninsula Corridor Joint Powers Board property lines are approximate and for illustrative purposes only.

CALTRAIN RAIL CORRIDOR USE POLICY: MAP 26 OF 34



Legend

Property Use Zones

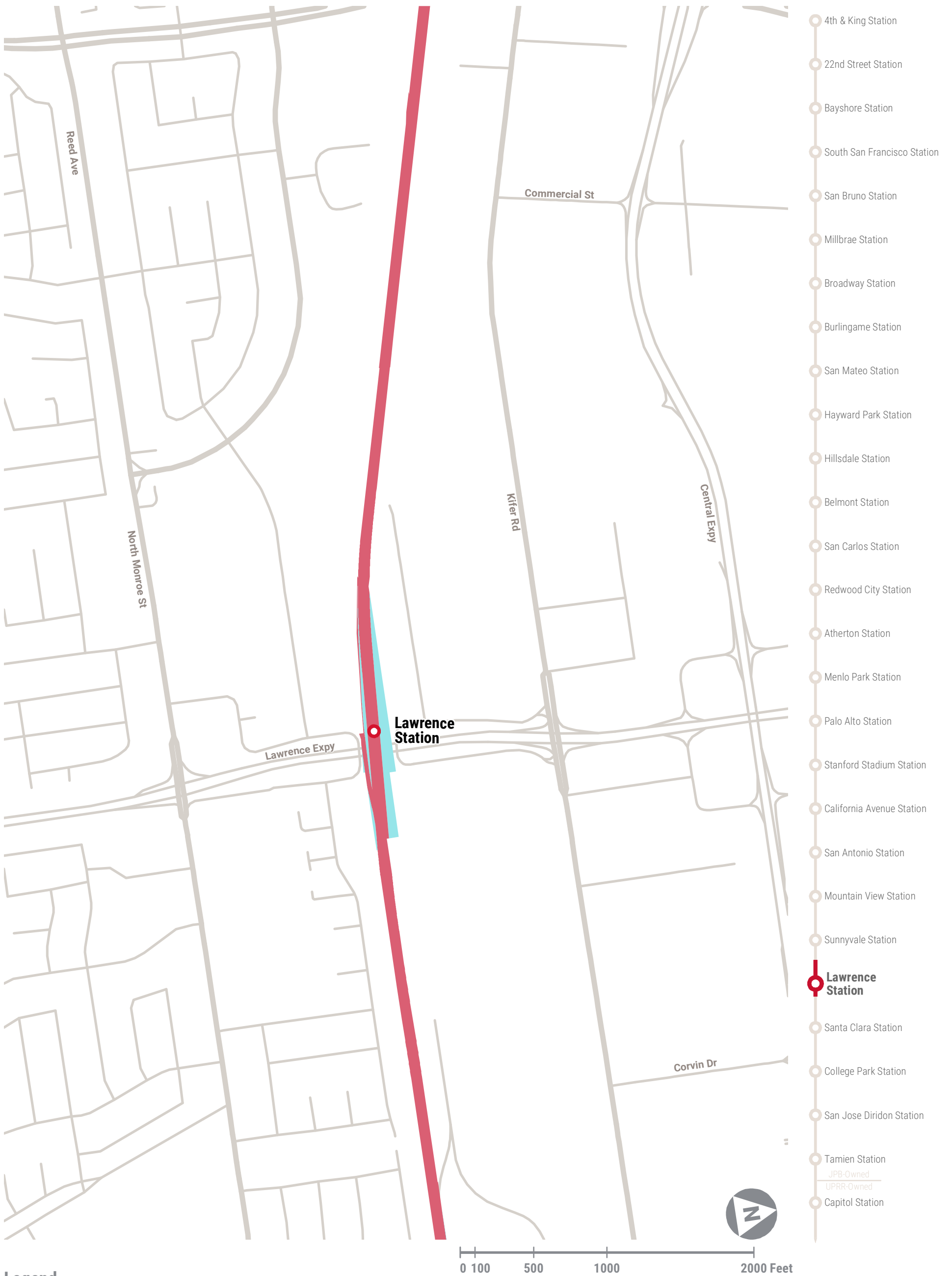
- 1: Operating Right-of-Way
- 2: Station Right-of-Way
- 3: Non-Operating Right-of-Way
- 4: Special Study Area

Service Vision Capital Project Overlay

- Service Vision Capital Project Overlay

Note: Map is for general information only. Peninsula Corridor Joint Powers Board property lines are approximate and for illustrative purposes only.

CALTRAIN RAIL CORRIDOR USE POLICY: MAP 27 OF 34



Legend

Property Use Zones

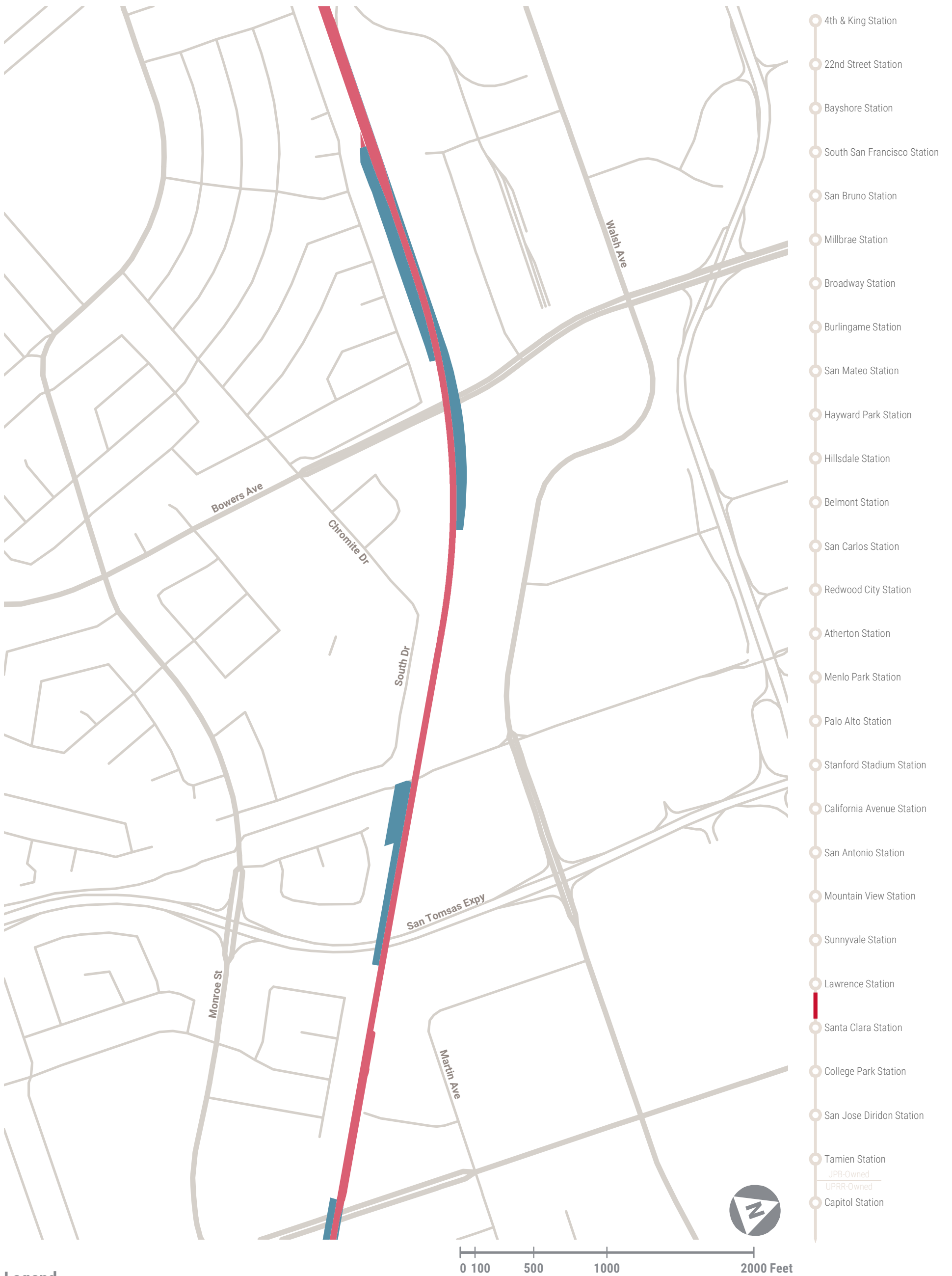
- 1: Operating Right-of-Way
- 2: Station Right-of-Way
- 3: Non-Operating Right-of-Way
- 4: Special Study Area

Service Vision Capital Project Overlay

- Service Vision Capital Project Overlay

Note: Map is for general information only. Peninsula Corridor Joint Powers Board property lines are approximate and for illustrative purposes only.

CALTRAIN RAIL CORRIDOR USE POLICY: MAP 28 OF 34



Legend

Property Use Zones

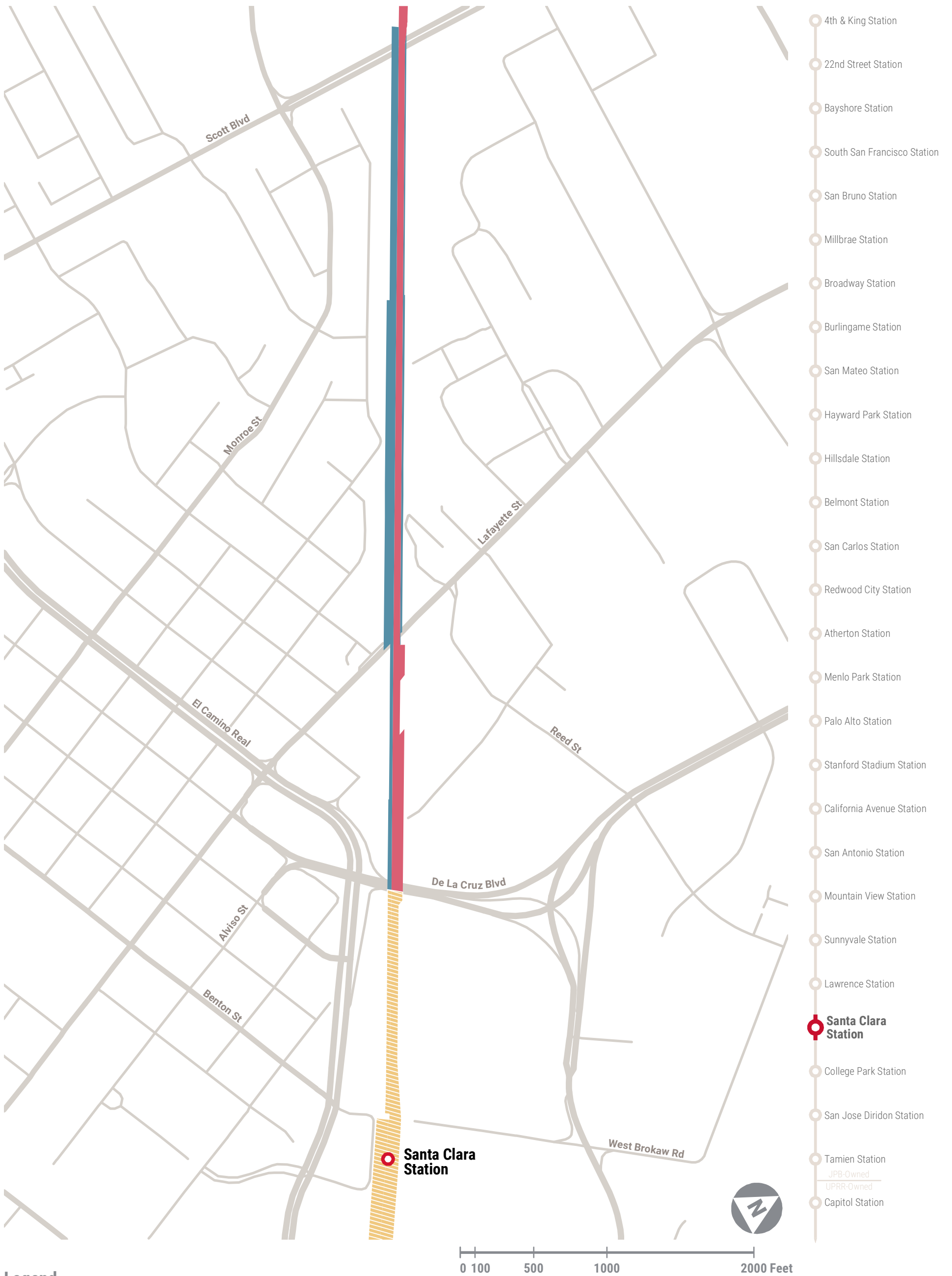
- 1: Operating Right-of-Way
- 2: Station Right-of-Way
- 3: Non-Operating Right-of-Way
- 4: Special Study Area

Service Vision Capital Project Overlay

- Service Vision Capital Project Overlay

Note: Map is for general information only. Peninsula Corridor Joint Powers Board property lines are approximate and for illustrative purposes only.

CALTRAIN RAIL CORRIDOR USE POLICY: MAP 29 OF 34



Legend

Property Use Zones

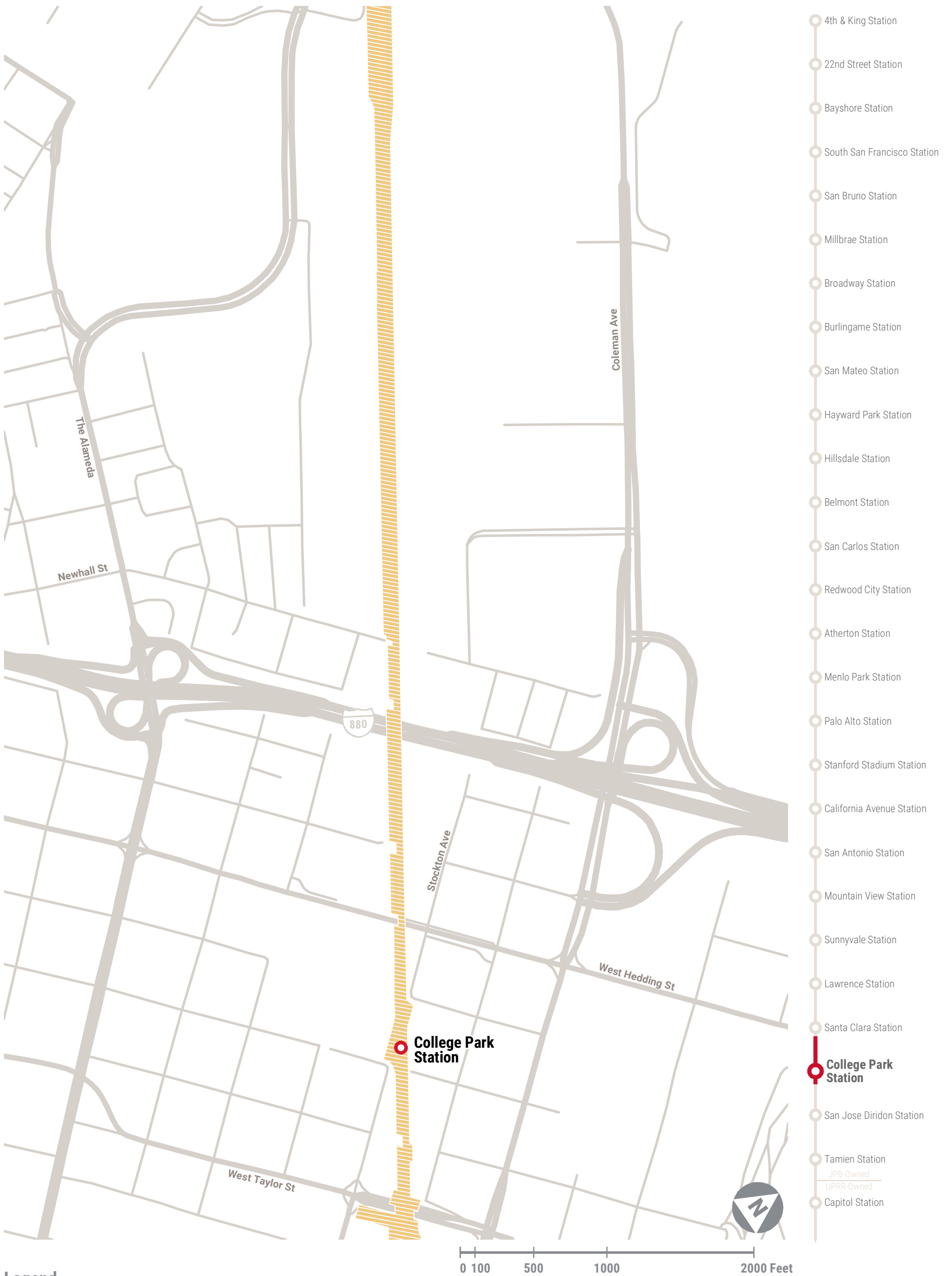
- 1: Operating Right-of-Way
- 2: Station Right-of-Way
- 3: Non-Operating Right-of-Way
- 4: Special Study Area

Service Vision Capital Project Overlay

- Service Vision Capital Project Overlay

Note: Map is for general information only. Peninsula Corridor Joint Powers Board property lines are approximate and for illustrative purposes only.

CALTRAIN RAIL CORRIDOR USE POLICY: MAP 30 OF 34



Legend

Property Use Zones

- 1: Operating Right-of-Way
- 2: Station Right-of-Way
- 3: Non-Operating Right-of-Way
- 4: Special Study Area

Service Vision Capital Project Overlay

- Service Vision Capital Project Overlay

Note: Map is for general information only. Peninsula Corridor Joint Powers Board property lines are approximate and for illustrative purposes only.

CALTRAIN RAIL CORRIDOR USE POLICY: MAP 31 OF 34



- 4th & King Station
- 22nd Street Station
- Bayshore Station
- South San Francisco Station
- San Bruno Station
- Millbrae Station
- Broadway Station
- Burlingame Station
- San Mateo Station
- Hayward Park Station
- Hillsdale Station
- Belmont Station
- San Carlos Station
- Redwood City Station
- Atherton Station
- Menlo Park Station
- Palo Alto Station
- Stanford Stadium Station
- California Avenue Station
- San Antonio Station
- Mountain View Station
- Sunnyvale Station
- Lawrence Station
- Santa Clara Station
- College Park Station
- **San Jose Diridon Station**
- Tamien Station
- Capitol Station

Legend

Property Use Zones

- 1: Operating Right-of-Way
- 2: Station Right-of-Way
- 3: Non-Operating Right-of-Way
- 4: Special Study Area

Service Vision Capital Project Overlay

- ▨ Service Vision Capital Project Overlay

0 100 500 1000 2000 Feet

Note: Map is for general information only. Peninsula Corridor Joint Powers Board property lines are approximate and for illustrative purposes only.

CALTRAIN RAIL CORRIDOR USE POLICY: MAP 32 OF 34



Legend

Property Use Zones

- 1: Operating Right-of-Way
- 2: Station Right-of-Way
- 3: Non-Operating Right-of-Way
- 4: Special Study Area

Service Vision Capital Project Overlay

- Service Vision Capital Project Overlay

Note: Map is for general information only. Peninsula Corridor Joint Powers Board property lines are approximate and for illustrative purposes only.

CALTRAIN RAIL CORRIDOR USE POLICY: MAP 33 OF 34



- 4th & King Station
- 22nd Street Station
- Bayshore Station
- South San Francisco Station
- San Bruno Station
- Millbrae Station
- Broadway Station
- Burlingame Station
- San Mateo Station
- Hayward Park Station
- Hillsdale Station
- Belmont Station
- San Carlos Station
- Redwood City Station
- Atherton Station
- Menlo Park Station
- Palo Alto Station
- Stanford Stadium Station
- California Avenue Station
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- Mountain View Station
- Sunnyvale Station
- Lawrence Station
- Santa Clara Station
- College Park Station
- San Jose Diridon Station
- Tamien Station
- JPB-Owned
- UPRR-Owned
- Capitol Station

Legend

Property Use Zones

- 1: Operating Right-of-Way
- 2: Station Right-of-Way
- 3: Non-Operating Right-of-Way
- 4: Special Study Area

Service Vision Capital Project Overlay

- Service Vision Capital Project Overlay

Note: Map is for general information only. Peninsula Corridor Joint Powers Board property lines are approximate and for illustrative purposes only.

CALTRAIN RAIL CORRIDOR USE POLICY: MAP 34 OF 34



Legend

Property Use Zones

- 1: Operating Right-of-Way
- 2: Station Right-of-Way
- 3: Non-Operating Right-of-Way
- 4: Special Study Area

Service Vision Capital Project Overlay

- Service Vision Capital Project Overlay

Note: Map is for general information only. Peninsula Corridor Joint Powers Board property lines are approximate and for illustrative purposes only.