



AGENDA

Peninsula Corridor Joint Powers Board

March 02, 2023, 9:00 am

This meeting will be conducted as a hybrid teleconference and in-person meeting pursuant to the Brown Act. **Members of the public may participate remotely or in-person, provided that they satisfy the safety protocols listed below.**

Members of the public may participate remotely via Zoom at <https://us06web.zoom.us/j/87581188408?pwd=OFNUYTVFdExlOXRkR2tQOENXQUhhUT09> or by entering Webinar ID: **875 8118 8408**, Passcode: **033088** in the Zoom app for audio/visual capability or by calling 1-669-900-6833 (enter webinar ID and press # when prompted for participant ID) for audio only. The video live stream will be available after the meeting at <https://www.caltrain.com/video-board-directors>

Members of the public also may participate in person at: San Mateo County Transit District, Bacciocco Auditorium - Second Floor, 1250 San Carlos Ave., San Carlos, CA, or any other noticed location provided they comply with the following safety protocols:

Please Note the Following COVID-19 Protocols for In-person Attendance:

1. Visitors experiencing the following symptoms of COVID-19 may not enter the building:
 - Cough
 - Shortness of breath
 - Muscle Pain
 - Sore Throat
 - Fever
 - Chills
 - Loss of taste or smell
2. Visitors must use the hands-free temperature scanners upon entry. An alert will occur and entrance will be prohibited if a temperature is measured at 100.4 or above.
3. Visitors must show proof of Covid-19 vaccination or a negative COVID-19 PCR test (with results obtained within last 7 days). Masks will be required for visitors who do not show proof of full vaccination (defined as two weeks after the second dose in a two-dose series, such as for the Pfizer-BioNTech and Moderna vaccines, or two weeks after a single dose of the J&J/Janssen vaccine).

Public Comments: Public comments may be submitted to publiccomment@caltrain.com prior to the meeting's call to order so that they can be sent to the Board as soon as possible, while those received during or after an agenda item is heard will be included into the Board's weekly correspondence and posted online at: <https://www.caltrain.com/about-caltrain/meetings>.

Verbal public comments will also be accepted during the meeting in person and through Zoom* or the teleconference number listed above. Public comments on individual agenda items are limited to one per person PER AGENDA ITEM. Participants using Zoom over the Internet should use the Raise Hand feature to request to speak. For participants calling in, dial *67 if you do not want your telephone number to appear on the live broadcast. Callers may dial *9 to use the Raise Hand feature for public comment. Each commenter will be recognized to speak, and callers should dial *6 to unmute themselves when recognized to speak.

Each public comment is limited to two minutes. The Board Chair has the discretion to manage the Public Comment process in a manner that achieves the purpose of public communication and assures the orderly conduct of the meeting.

March 02, 2023 - Thursday

9:00 am

All items to which [Government Code section 84308](#) applies have been marked with an asterisk

1. Call to Order / Pledge of Allegiance
 2. Roll Call
 3. Consideration of requests, if any, of Directors to participate remotely due to Emergency Circumstances
 4. 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.
 5. Report of the Executive Director Informational
 6. Consent Calendar
Members of the Board may request that an item under the Consent Calendar be considered separately.
 - 6.a. Approve Regular Meeting Minutes of February 2, 2023 and Work-Program-Legislative-Planning (WPLP) Minutes of January 26, 2023 Motion
- Approved by the Finance Committee***
- 6.b. Chief Financial Officer Update on Revenues and Expenses for the Period Ending January 31, 2023 Motion
 - 6.c. Authorize the Executive Director to Execute a Memorandum of Agreement (MOA) with Transbay Joint Powers Authority (TJPA) For Planning of the San Francisco Downtown Rail Extension (DTX) Enabling Work at 4th and King Railyard* Resolution

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

Approved by the Technology, Operations, Planning, and Safety (TOPS) Committee

- | | |
|--|---------------|
| 6.d. Authorize Memorandum of Understanding with the Transportation Agency for Monterey County for Salinas Extension* | Resolution |
| 6.e. Authorize Use of Construction Manager/General Contractor (CMGC) Project Delivery Method for the Broadway Grade Separation Project | Resolution |
| 6.f. Capital Projects Quarterly Status Report - 2nd Quarter Fiscal Year 2023 | Informational |

Approved by the Advocacy and Major Projects (AMP) Committee

- | | |
|--|---------------|
| 6.g. State and Federal Legislative Update and Approval of Legislative Proposal: Support ACA 1 (Aguiar-Curry) | Motion |
| 6.h. Link21 Update | Informational |
| 6.i. San Francisco Downtown Rail Extension (DTX) Project Update | Informational |
| 6.j. Metropolitan Transportation Commission (MTC)/Regional Update | Informational |
| 7. Women's History Month Resolution | Resolution |
| 8. Reports | |
| 8.a. Report of the Citizens Advisory Committee | Informational |
| 8.b. Report of the Chair | Informational |
| 8.c. Report of the Local Policy Maker Group (LPMG) | Informational |
| 8.d. Report of the Transbay Joint Powers Authority (TJPA) | Informational |
| 9. Peninsula Corridor Electrification Project (PCEP) Monthly Progress Report | Informational |
| 10. Correspondence | |
| 11. Board Member Requests | |
| 12. Date/Time of Next Regular Meeting: Thursday, April 6, 2023 at 9:00 am.
The meeting will be accessible via Zoom and in person at the San Mateo County Transit District, Bacciocco Auditorium, 2nd Floor, 1250 San Carlos Avenue, San Carlos, CA. | |
| 13. Adjourn | |

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

Information for the Public

All items appearing on the agenda are subject to action by the Board. Staff recommendations are subject to change by the Board. If you have questions on the agenda, please contact the JPB Secretary at 650.508.6242. Agendas are available on the Caltrain website at www.caltrain.com. Communications to the Board of Directors can be e-mailed to board@caltrain.com. *Free translation is available; Para traducción llama al 1.800.660.4287; 如需翻译 请电1.800.660.4287*

Date and Time of Board and Committee Meetings

JPB Board: First Thursday of the month, 9:00 am; JPB TOPS and AMP Committee: Two Wednesdays before the Board meeting, 1:30pm and 3:30 pm respectively. The date, time, and location of meetings may be changed as necessary. Meeting schedules for the Board and committees are available on the website.

Location of Meeting

Members of the Public may attend this meeting in person or remotely via Zoom. *Should Zoom not be operational, please check online at <https://www.caltrain.com/about-caltrain/meetings> for any updates or further instruction.

Public Comment*

Members of the public are encouraged to participate remotely or in person. Public comments may be submitted by comment card in person and given to the JPB Secretary. Prior to the meeting's call to order, public comment may be sent to publiccomment@caltrain.com so that they can be sent to the Board as soon as possible, while those received during or after an agenda item is heard will be included into the Board's weekly correspondence and posted online at: <https://www.caltrain.com/about-caltrain/meetings> .

Oral public comments will also be accepted during the meeting in-person or through Zoom, or the teleconference number listed above. Public comments on individual agenda items are limited to one per person PER AGENDA ITEM. Each commenter will be automatically notified when they are unmuted to speak for three minutes or less. The Board Chair shall have the discretion to manage the Public Comment process in a manner that achieves the purpose of public communication and assures the orderly conduct of the meeting. Oral public comments will also be accepted during the meeting in person or through Zoom or the teleconference number listed above. Public comments on individual agenda items are limited to one per person PER AGENDA ITEM. Each commenter will be automatically notified when they are unmuted to speak for two minutes or less. The Board Chair shall have the discretion to manage the Public Comment process in a manner that achieves the purpose of public communication and assures the orderly conduct of the meeting.

Accessible Public Meetings/Translation

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

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Availability of Public Records

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



Executive Director's Monthly Report: February 2023

Executive Director Michelle Bouchard

Report prepared for March Board meeting; data current through January 2023.









Who We Are and What We Do

Caltrain Vision: Provide a safe, reliable, sustainable modern rail system that meets the growing mobility needs of the San Francisco Bay Area region.

The Peninsula Corridor Joint Powers Board (JPB) is responsible for Caltrain passenger rail service which currently extends from San Francisco 77 miles south to Gilroy, serving 31 stations and providing vital links to multiple transit properties in 20 cities. Caltrain has been a central part of Peninsula communities since 1865.



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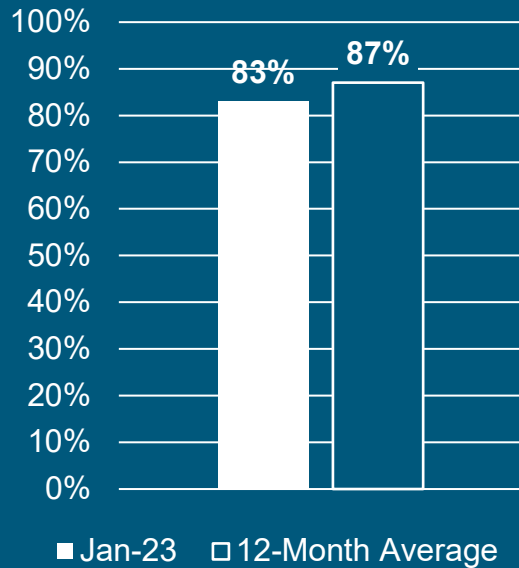




Performance at a Glance

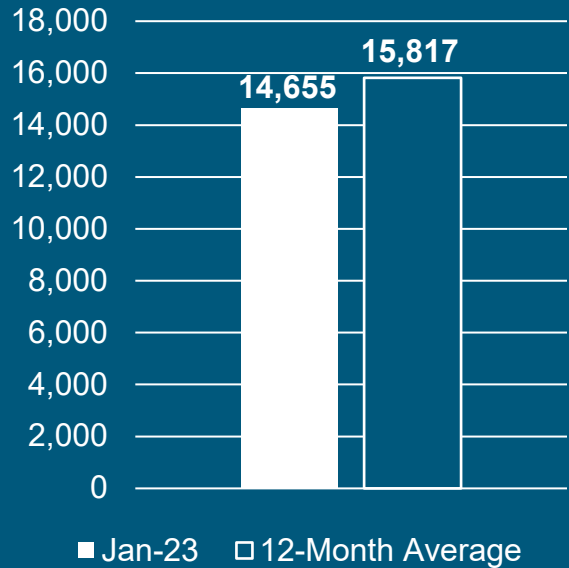
On-Time Performance

Percentage of trains arriving within six minutes of the scheduled time



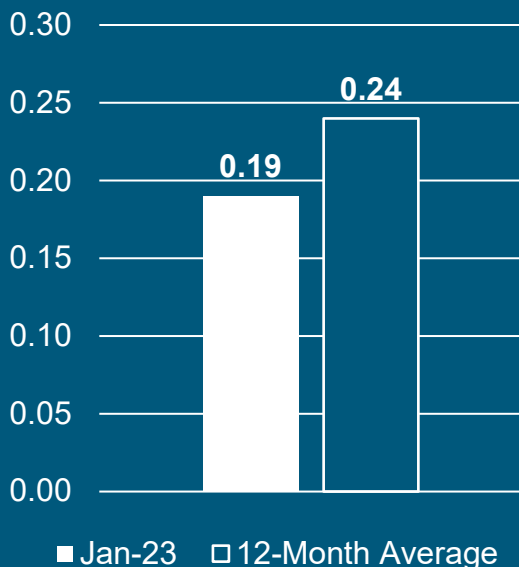
Average Daily Ridership

Average estimated weekday ridership



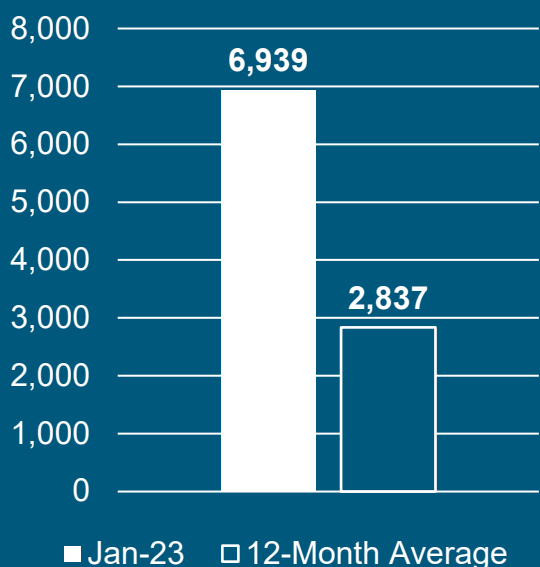
Farebox Recovery Ratio

Ratio of fare revenue to operating costs



Mean Distance Between Failures

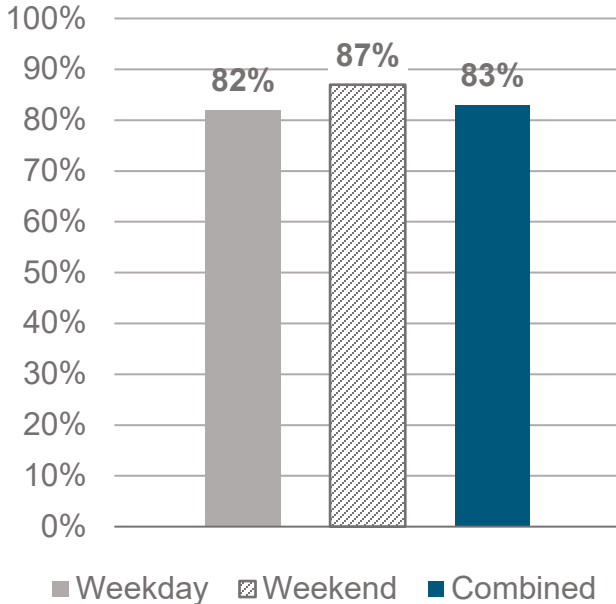
Average miles travelled by locomotives before maintenance/repair is required





On-Time Performance

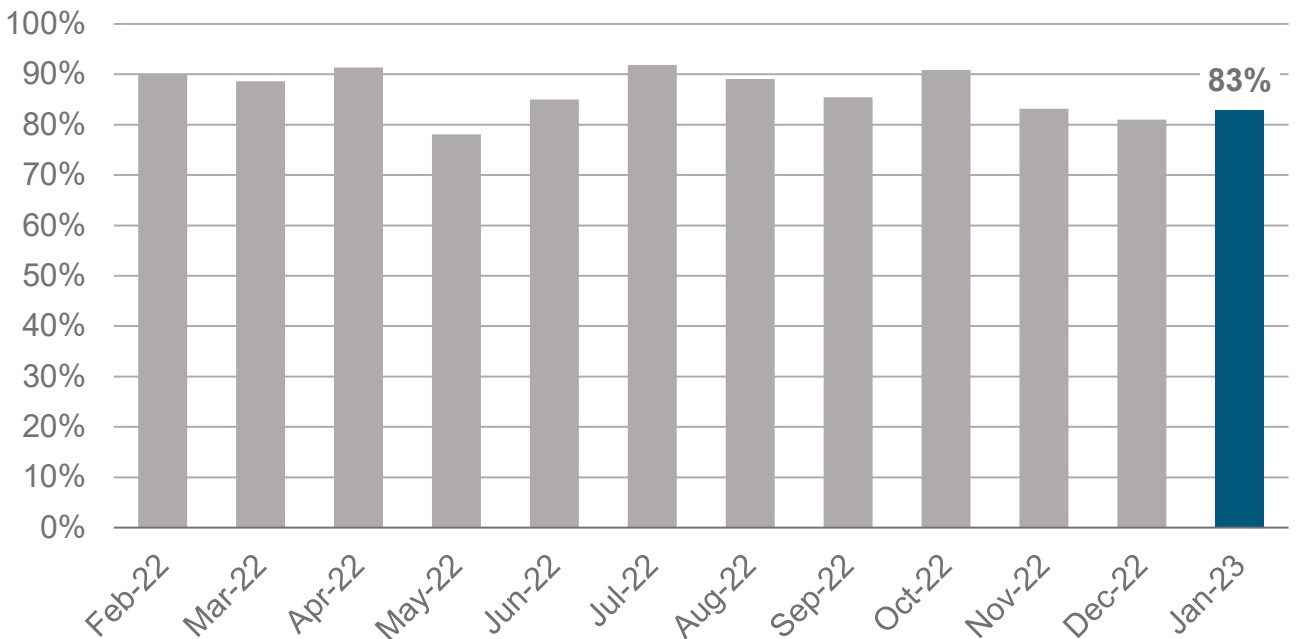
Performance This Month (Jan-23)



Trains are considered on-time if they arrive within six minutes of the scheduled arrival time at end-line locations (i.e. San Francisco, San Jose Diridon, Tamien, and Gilroy).

The on-time performance (OTP) goal for Caltrain is 95 percent. OTP has been trending down in recent months due to impacts from more frequent mechanical breakdowns, increased construction, and higher numbers of trespassers. Note that holidays are included in the Weekend category.

Monthly On-Time Performance in the Past Year





Delays and Cancellations

Nov-22

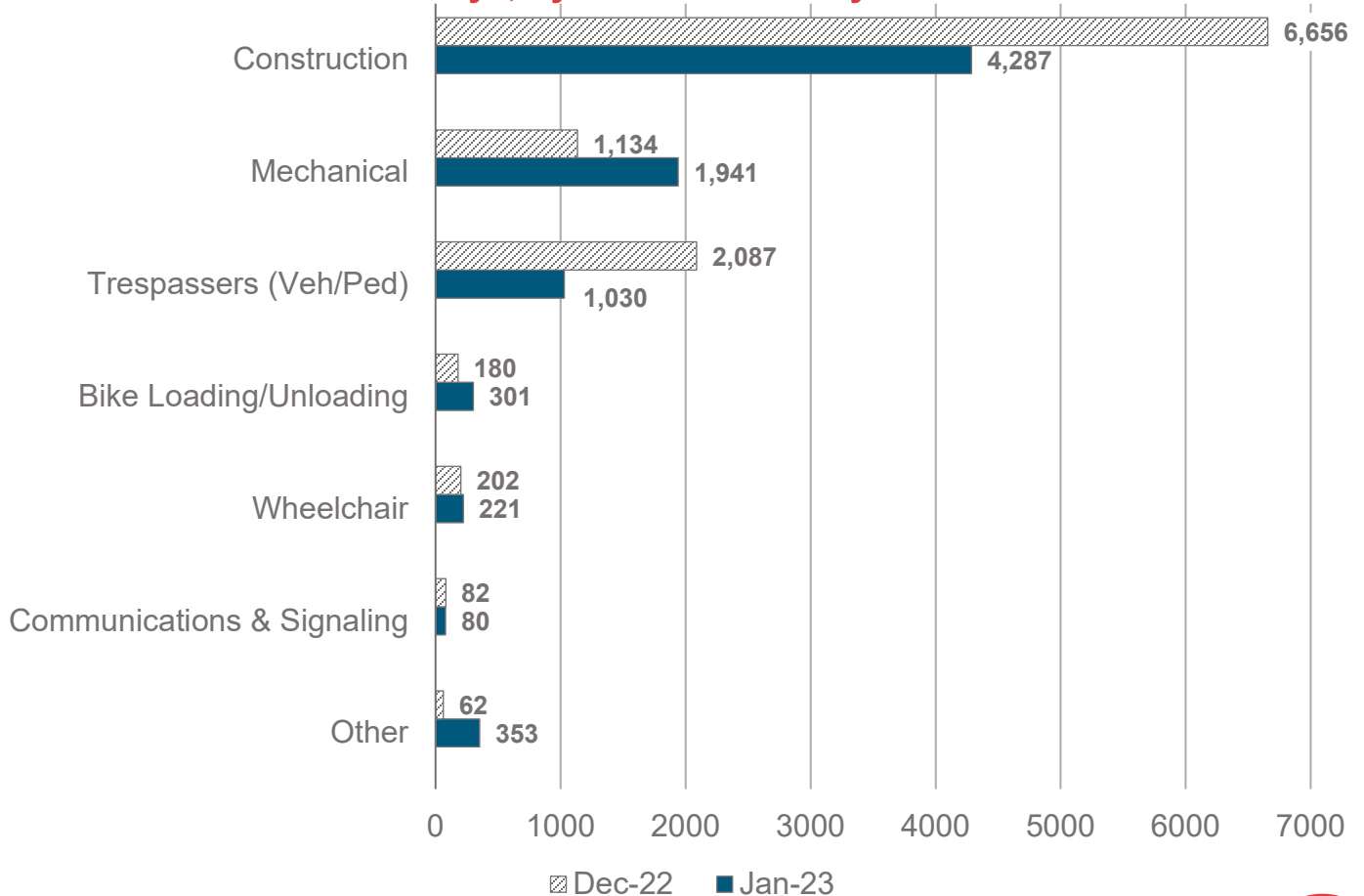
Dec-22

Jan-23

Number of Late Trains	405	438	414
Average Minutes Late for Late Trains	24	19	24
Number of Cancelled Trains	30	13	56

Trains are considered late if they arrive at their end-line destination six minutes or more after the scheduled time. Average Minutes Late represents the average difference in actual arrival time from the scheduled arrival time for late trains. Cancelled Trains includes trains forced to terminate mid-run, as well as those that are annulled before they begin to operate.

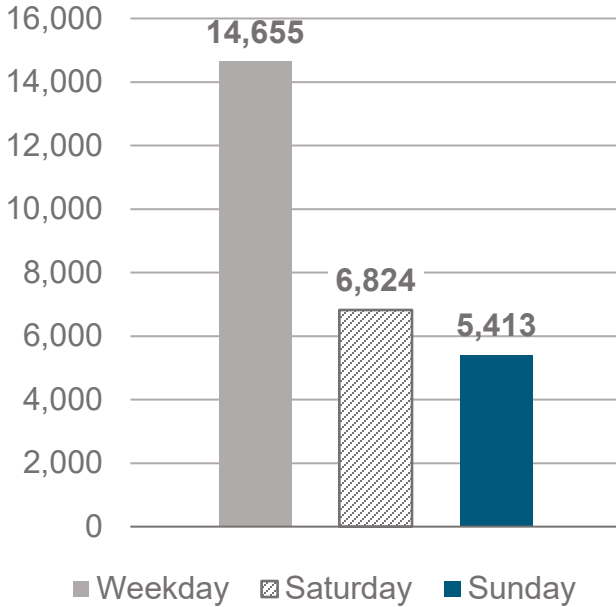
Reasons for Train Delays, by Minutes of Delay





Ridership and Revenue

Average Daily Ridership (Jan-23)

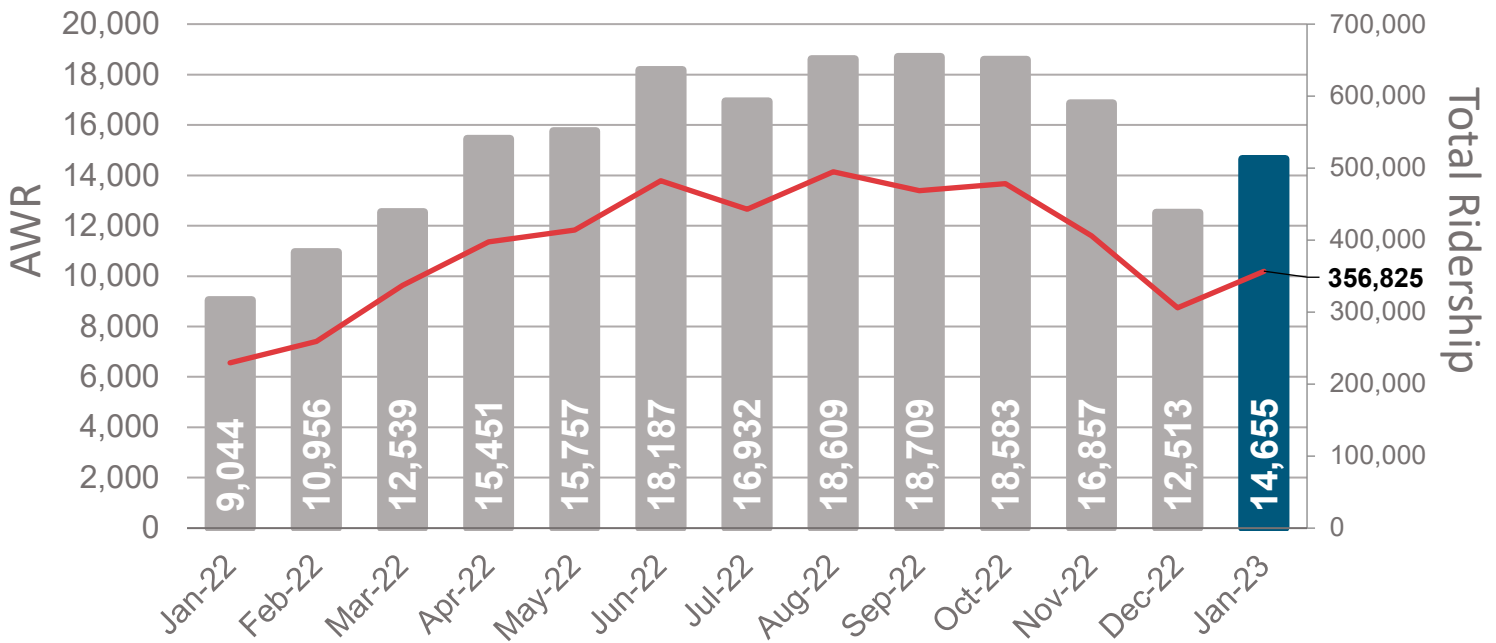


Both total and average weekday ridership (AWR) increased significantly from the same month in the prior year due to the receding impacts of the COVID-19 pandemic, including gradual introduction of return-to-office policies and increased leisure activities such as special events at Oracle Park and Chase Center.

Ridership in the Past Year

■ Average Weekday Ridership

— Total Monthly Ridership



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





Ridership and Revenue

Special Service Ridership Report

49ers

- One regular season home game in January.
- Total ridership boarding and alighting at Mountain View station was 741.
- Season total ridership is 10,908, a 39% increase compared to 2021 (7,848), and a 37% decrease compared to 2019 (17,446).
- Special Trains: None.

Playoffs

- Two playoff home games in January.
- Playoffs total ridership boarding and alighting at Mountain View station was 1,628, a 51% decrease compared to 2019 (3,313).
- Special Trains: None.

Sharks

- Four regular season home games in January.
- Total additional ridership boarding at San Jose Diridon station was 389.
- Year-to-date additional ridership is 1,463, a 21% decrease compared to 2021 (1,843) and a 76% decrease compared to 2019 (6,009).
- Special Trains: None.

Warriors

- Seven regular home season games in January.
- Total additional post-game ridership boarding at San Francisco station was 1,114
- Year-to-date additional ridership is 6,017, a 36% decrease compared to 2021 (9,375) and a 55% decrease compared to 2019 (13,388).
- Special Trains: None.

Other Special Events

- MLK Day Celebration Train: Total additional ridership was 503, a 40% decrease compared to 2020 (841) and a 45% decrease compared to 2019 (913).
- *Please note, the MLK train was canceled for 2021, 2022.*





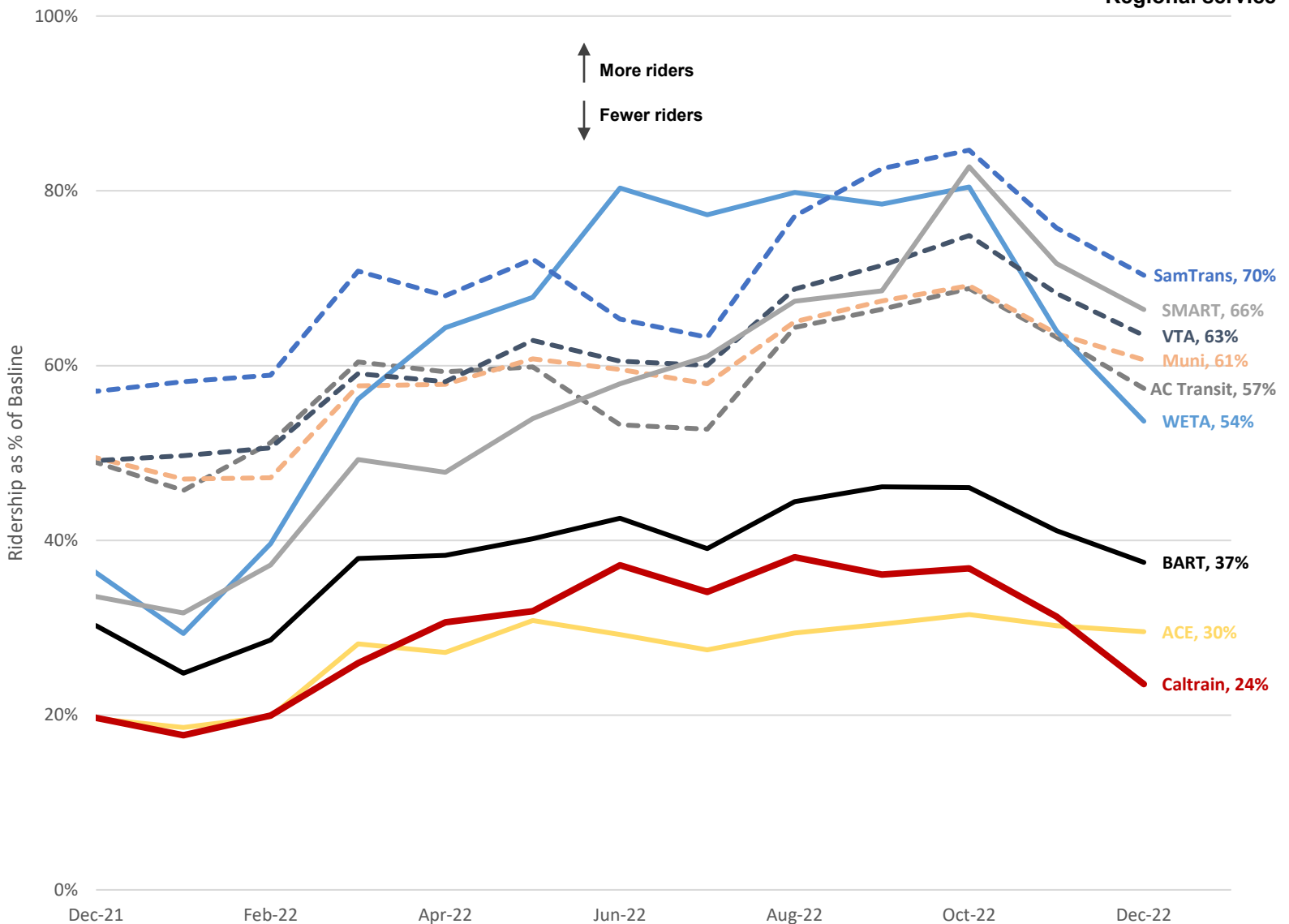
Ridership and Revenue

Public Transit Ridership Recovery in the Bay Area

The below chart represents total monthly ridership as a percentage of baseline (defined as total monthly ridership reported in February 2020).

Total Monthly Ridership as a Share of Pre-Pandemic Levels

--- Local service
— Regional service



Sources:

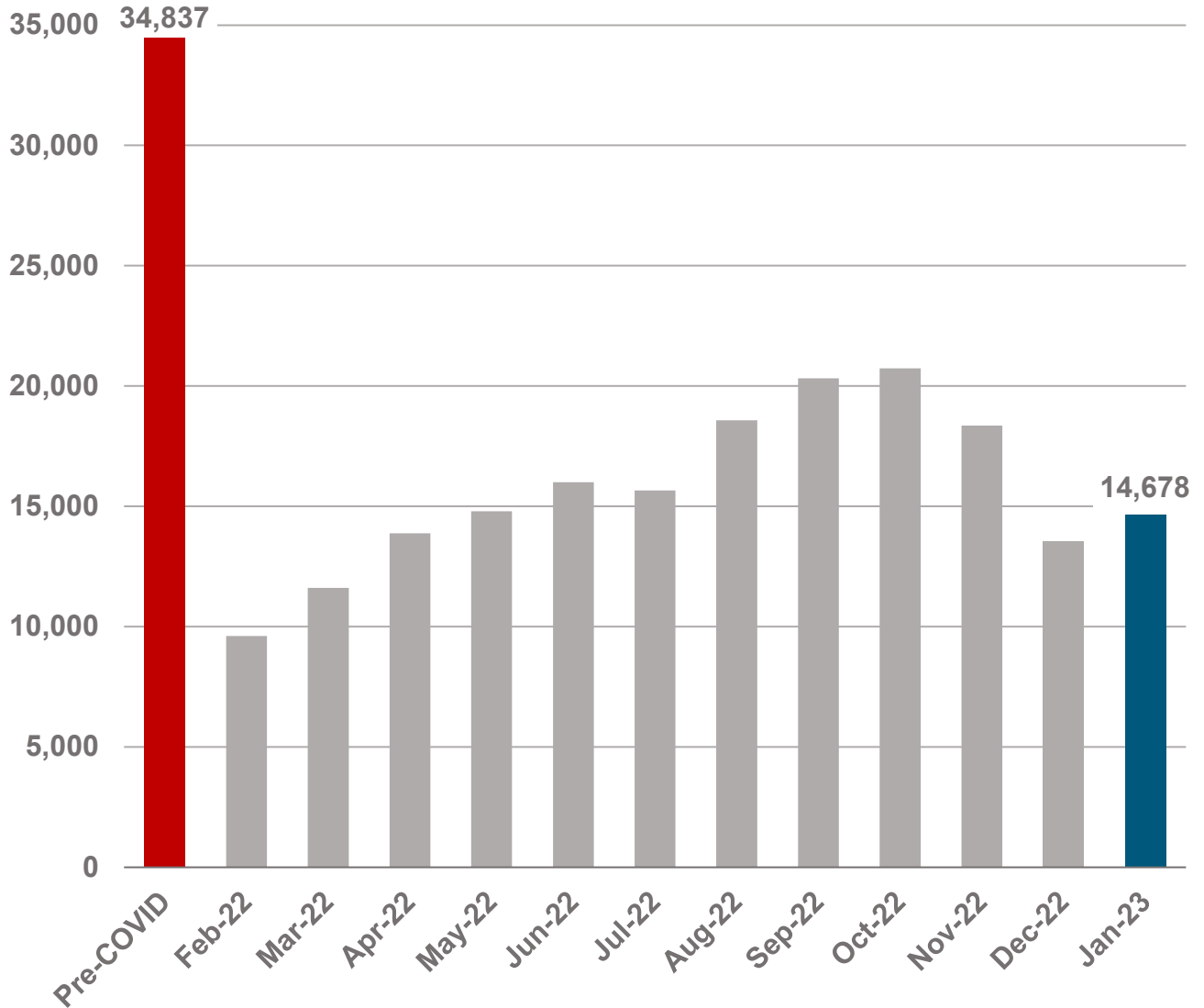
- Caltrain ridership estimates based on conductor counts & Clipper data
- Ridership data for all other agencies retrieved from the National Transit Database





Ridership and Revenue

Monthly BART Transfers at Millbrae in the Past Year



BART Transfers at Millbrae represents the total number of BART-to-Caltrain and Caltrain-to-BART transfers, as measured by Clipper Card data.

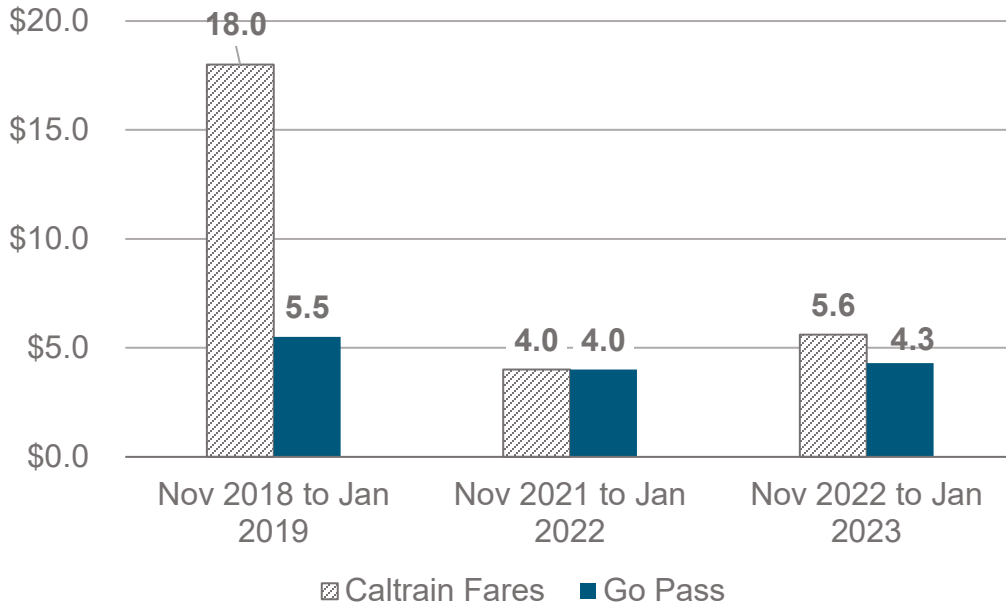
Pre-COVID data is provided for comparison purposes and represents average monthly transfers during the one-year period from March 2019 to February 2020.





Ridership and Revenue

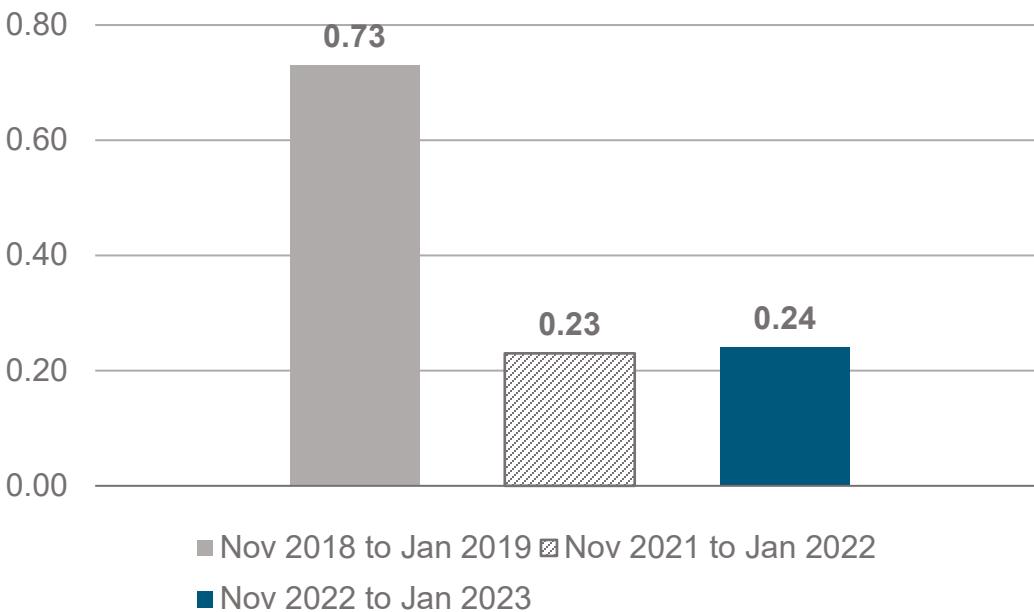
Total Fare Revenues (\$M) - Past 3 Months Comparison



Fare revenue comes in the form of one-way tickets, daily or monthly passes (“Caltrain Fares”), and the Go Pass program.

Fare revenue is generally more stable than ridership due to many riders paying for monthly passes, which provide consistent revenue regardless of usage.

Farebox Recovery Ratio (3-Month Rolling Average)



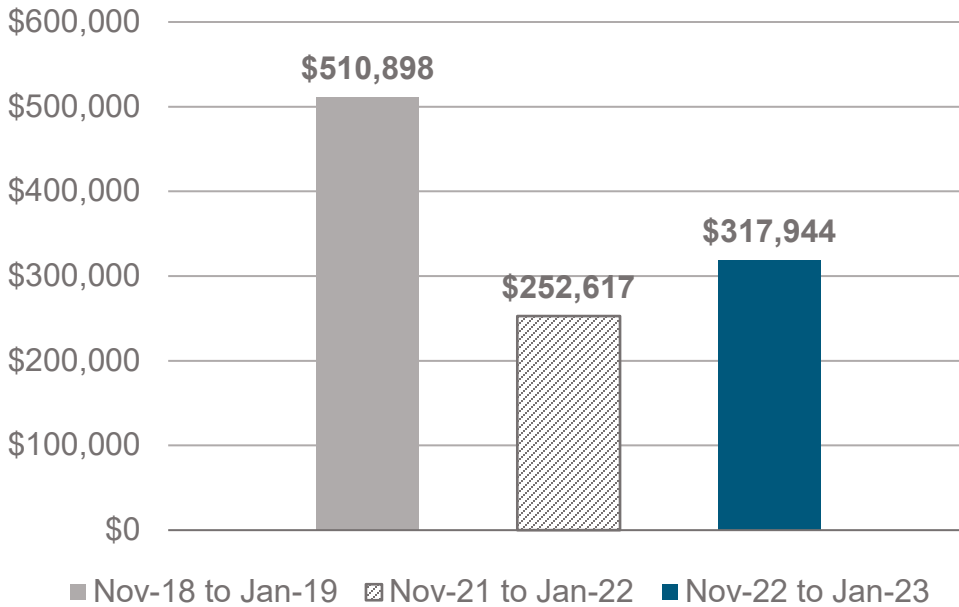
Farebox Recovery Ratio represents how much of the cost of providing service is covered by customer fares. A higher ratio indicates that a greater share of costs are covered by riders.





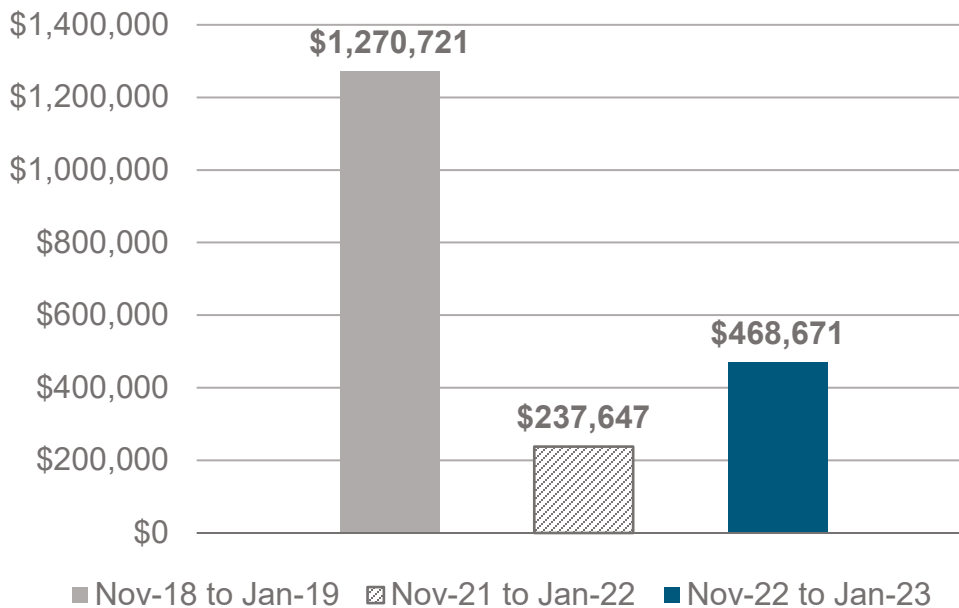
Ridership and Revenue

Advertising Revenue (3-Month Rolling Average)



Advertising Revenue declined substantially for transit agencies throughout the country with the onset of the COVID-19 pandemic. However, the most recent 3-month period of revenue is nearly as high as the same 3-month period in 2019.

Parking Revenue (3-Month Rolling Average)



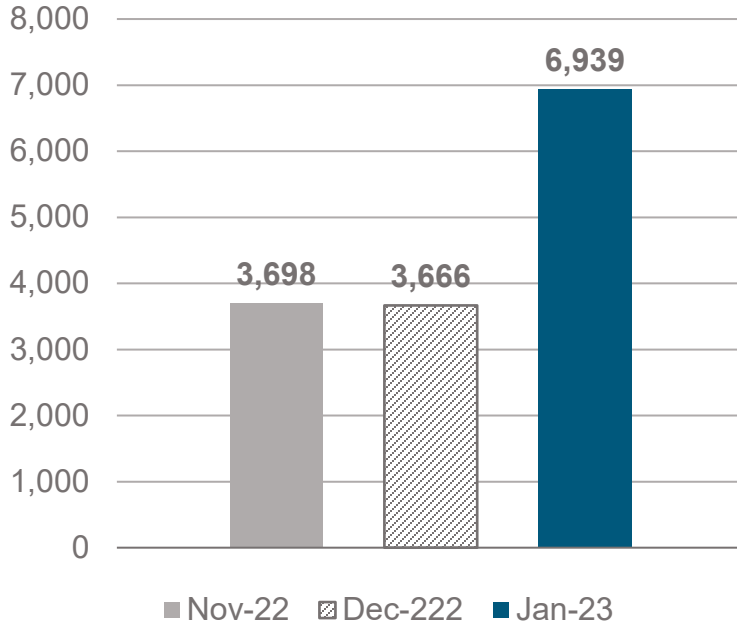
Parking Revenue is generated by purchases of daily and monthly parking permits for parking at Caltrain-owned lots.





Maintenance Performance

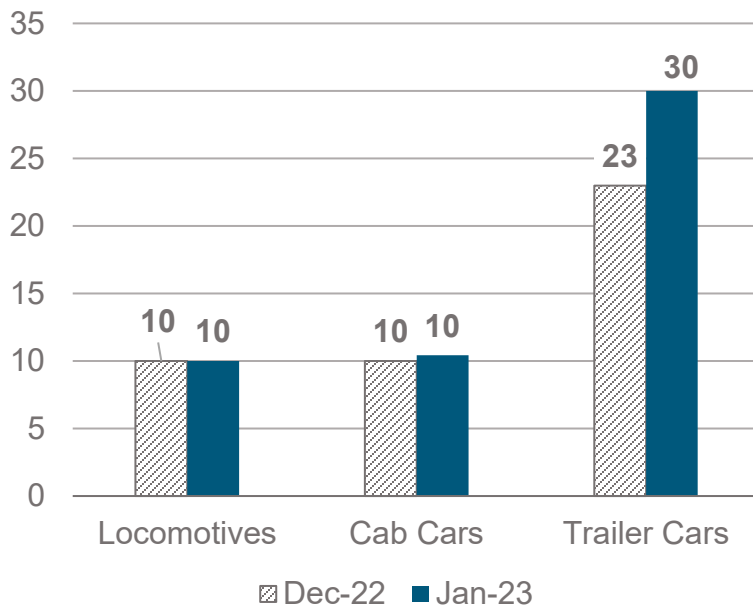
Mean Distance Between Failure (Locomotives)



Mean Distance Between Failure (MDBF) is a measure of fleet reliability that represents the average distance traveled by train cars before maintenance or repair is required. A higher value indicates an improvement in reliability. Data is measured in miles.

The graph to the left represents MDBF for all passenger locomotives in Caltrain’s fleet.

Equipment in Maintenance/Repair



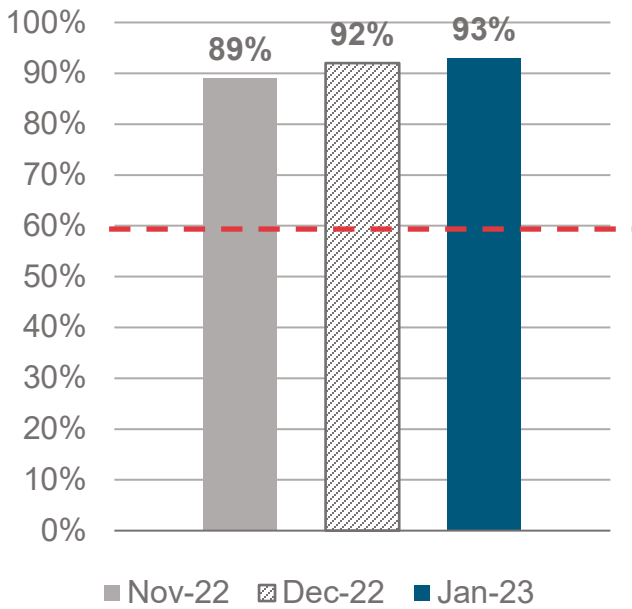
Equipment in Maintenance/Repair represents the number of locomotives and cars that are out of service on an average day each month due to routine and preventative maintenance or other repairs.





Maintenance Performance

Equipment Availability (Locomotives)

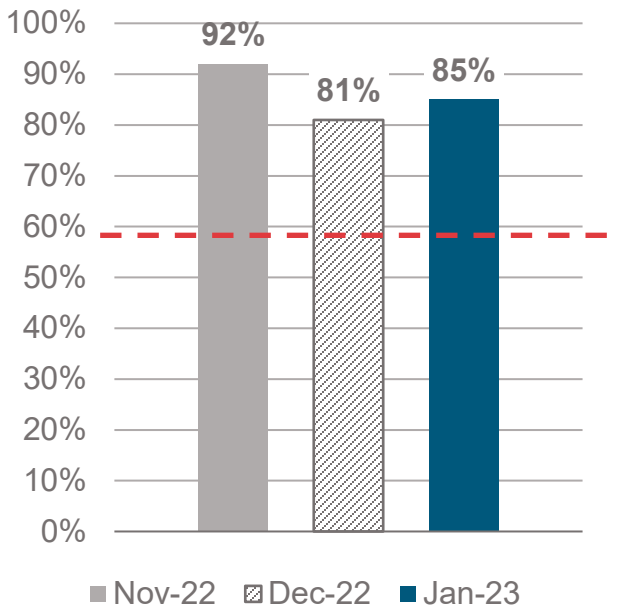


Equipment Availability is the number of cars or locomotives available for service on an average day each month as a percentage of the daily equipment required to run base service.

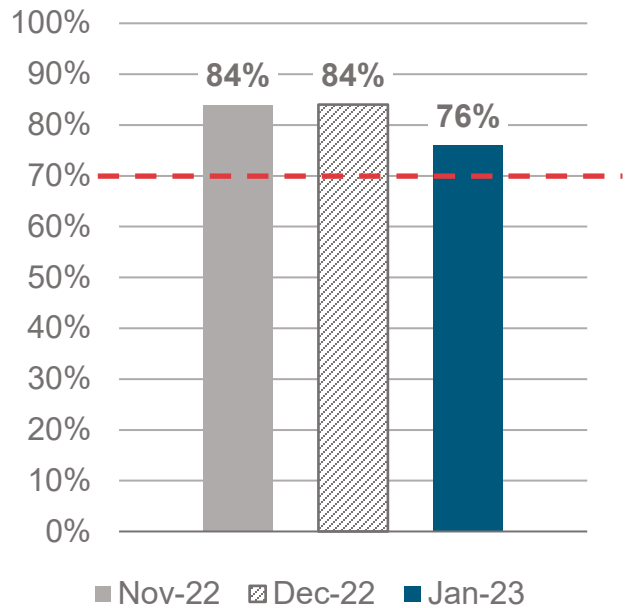
Caltrain currently owns 29 passenger locomotives, with 18 required daily; 36 cab cars, with 21 required daily; and 98 trailer cars, with 69 required daily.

The high average age of Caltrain’s current fleet, with around two-thirds being at the end of its useful life, significantly affects availability.

Equipment Availability (Cab Cars)



Equipment Availability (Trailer Cars)



Note: The dotted red line (- - -) on each graph represents the target line (i.e., the percentage of each equipment type required to run base service on an average weekday).





Service and Program Updates

Caltrain Seeks Community Organizations Needing Donated Go Passes

Caltrain is currently conducting outreach to organizations serving low-income or marginalized communities to encourage them to apply to the Go Pass Donation Program. As part of the Go Pass Donation Program, Caltrain distributes donated Go Passes from employers along the corridor to participating community-serving organizations. Participating organizations can then provide donated Go Passes to their clients, who are then able to ride Caltrain at no personal cost over the course of the calendar year.

Organizations that wish to participate in or learn more about the program can send an email to GPDP@caltrain.com and apply online [here](#). Caltrain will begin reviewing applications on February 24 and will be in touch with applicants once it has completed the review process.

Temporary Weekend Service Reductions for Electrification Construction

On the weekends of February 11-12, 25-26 and March 4-5, 11-12, Caltrain will be suspending rail service between San Francisco and Millbrae Stations to accommodate Caltrain Electrification construction and testing. Limited bus service, known as a bus bridge, will be provided to riders traveling to or from the affected area. These will be the first of 31 weekends in 2023 in which service will be adjusted to accommodate construction and testing for electrified service, which is expected to launch in fall 2024. Service reductions have been limited to weekend service to reduce the impact on our riders.

Caltrain Receives \$367 Million in State Funding to Finish Electrification

Caltrain has been awarded \$367M to finish its Electrification Project, scheduled to be completed in Fall 2024. The funding award, which comes from California's Transit and Intercity Rail Capital Program's (TIRCP) Cycle 6 Existing Project Reserve, represents the remaining funding needed to complete the project and begin running passenger electrified rail service.





Communications and Marketing Update

January 2023 Press Releases:

- Press Release: "Caltrain Receives \$367 Million in State Funding to Finish Electrification Project"
- Press Release: "Caltrain to Host Meeting on Guadalupe River Bridge Replacement Project"
- Press Release: "Caltrain to Host Meeting on San Jose Diridon Plaza Transit-Oriented Development"

January 2023 Campaigns:

- Take Caltrain to the Game - Warriors, Sharks, 49ers (ongoing)
- Clipper Mobile (ongoing)
- 20% Off Caltrain Monthly Pass (ongoing)
- Clipper Start (ongoing)

Digital Communications Report:

In January, Caltrain experienced a high volume of messaging, beginning with the "2023 Winter Storm" that impacted all facets of media and service. We provided customers with adequate and reliable information, and this continued throughout the first two weeks of the month. The Celebration Train was announced for the first time in three years and was celebrated on January 16th. Caltrain also launched a video that focused on the positive impact the electrification project has brought to California and other locations. The month ended with the news that Caltrain had acquired \$367 million in state funding to finish the Electrification Project.

January Digital Marketing Highlights:

- Celebration Train
- Continued weekly video series
- Caltrain Electrification Impact Video
- 49ers Content to celebrate their playoff season
- State Funding announcement – across all platforms





Capital Projects Update

Project: Guadalupe River Bridge Replacement

Project Description	Status Summary			
	Safety	Schedule	Budget	Funding
JPB will replace the MT-1 railroad bridge and extend and seismically retrofit the MT-2 railroad bridge over the Guadalupe River in the City of San Jose, Santa Clara County, California. The project is located just north of Willow Street and east of State Route (SR) 87 between the Tamien and San Jose Diridon stations.	●	●	●	●
Project Phase: 6 – Procurement/Construction/Implementation				
Project Costs (in thousands of dollars)				Estimated Completion
	Current Budget	Committed to Date	Expended + Accruals	
Totals	63,699	11,280	9,801	02/16/25
Percentages	100.00%	17.7%	15.4%	
Project Highlights – Recent and Upcoming Work				
<p>On 1/13/2023, in light of heavy rains and high waters, a bridge settlement monitoring system was installed for early detection of any erosion related structural instability. On 1/20/2023, the City of San Jose issued an executed right-of-entry agreement to allow construction on their portion of the project site. On 1/25/2023, Valley Water performed a debris cleanup to support construction on their portion of the project site. On 1/26/2023, the JPB and Walsh held a partnering workshop with the project teams and senior management. On 1/28/2023, UPRR issued a conditional approval of the project design. On 1/30/2023, the USACE issued the 408 and 404 permits for the project.</p> <p>In February 2023, JPB anticipates the removal of the OCS by the PCEP contractor, the issuance of an Encroachment Permit by Valley Water, and site preparation activities including the removal of trees and the installation of stabilized site entrances, an office trailer, an access road, and fencing. Funding status light yellow until planned FY25 funding appropriated by Board in May 2024. Schedule status light yellow from mutual agreement with Contractor to delay NTP seven days.</p>				

Note: The Capital Projects information is current as of January 31, 2023, and is subject to change prior to the March 2023 Board meeting.

Statuses: ● – Green ● – Yellow ● – Red





Capital Projects Update

Project: Ticket Vending Machine (TVM) Upgrade

Project Description	Status Summary			
	Safety	Schedule	Budget	Funding
This project will upgrade the existing TVM Server and retrofit and refurbish existing TVM machines to include functions planned for the Clipper program. The new machines will be able to dispense new Clipper cards (excluding discount Clipper cards that require verification of eligibility) and allow customers to add value to existing Clipper cards. In addition, the scope was increased to include upgrades to the credit card reader and database.	●	●	●	●

Project Phase: 6 - Procurement/Construction/Implementation

Project Costs (in thousands of dollars)				Estimated Completion
	Current Budget	Committed to Date	Expended + Accruals	
Totals	3,892	2,711	2,089	06/30/23
Percentages	100.00%	69.7%	53.7%	

Project Highlights – Recent and Upcoming Work

The vendor has received all the parts and material for the Phase 4 upgrade. The vendor is testing the new parts to ensure it is working as intended. They found an issue with the display module which they are currently investigating.

Fix the issue with the display module and begin Phase 4 to upgrade 27 TVMs in late February or early March 2023.

Note: The Capital Projects information is current as of January 31, 2023, and is subject to change prior to the March 2023 Board meeting.

Statuses: ● – Green ● – Yellow ● – Red





Capital Projects Update

Project: Bayshore Station Bridge Painting

Project Description	Status Summary			
	Safety	Schedule	Budget	Funding
This project will perform rehabilitation of the coatings of the existing steel pedestrian overpass bridge at the Bayshore Station in Brisbane. The bridge's paint coatings are in need of rehabilitation due to surface rust. This work combined with a complete repainting of the bridge will bring the structure to a state of good repair.	●	●	●	●
Project Phase: 6 – Procurement/Construction/Implementation				
Project Costs (in thousands of dollars)				Estimated Completion
	Current Budget	Committed to Date	Expended + Accruals	
Totals	6,870	3,652	2,536	07/31/23
Percentages	100.00%	53.2%	36.9%	
Project Highlights – Recent and Upcoming Work				
<p>Continued to work with the Construction Management team to prepare and conduct weekly meetings with the Contractor Top Line Engineers. Continued to work with the Engineering to identify corrective action plan for material section loss and implement repair prior to painting operations via change order.</p> <p>Continued to work with the Rail Operations and Government, Rail Customer Experience and Community Affairs team to identify platform and stairwell closures and path of travel during painting operations.</p> <p>Continued to work with the Contractor in submitting a time impact analysis of the delays of the project in order to determine responsible party/parties for delays. Continued to work with PCEP team to identify OCS schedule to better align with the Bayshore Painting operations.</p>				

Note: The Capital Projects information is current as of January 31, 2023, and is subject to change prior to the March 2023 Board meeting.

Statuses: ● – Green ● – Yellow ● – Red





Capital Projects Update

Project: Clipper Next Gen Validators Site Preparation

Project Description	Status Summary			
	Safety	Schedule	Budget	Funding
<p>The scope of the project is to:</p> <ul style="list-style-type: none"> • Prepare all 30 Caltrain stations (excluding Stanford) to be ready for the installation of the next generation Clipper validators. There will be a total of 305 validators installed by MTC/Cubic. • Provide conduits and cables for 120 VAC electrical at all the locations where the new Clipper validators will be installed by MTC/Cubic. • Install anchor bolts in the platforms where the new Clipper validators will be mounted. • Install ground rods or utilize existing electrical grounding for the new Clipper validators. 	●	●	●	●
Project Phase: 6 - Procurement/Construction/Implementation				
Project Costs (in thousands of dollars)				Estimated Completion
	Current Budget	Committed to Date	Expended + Accruals	
Totals	4,141	2,069	1,956	2/23/23
Percentages	100.00%	50.0%	47.2%	
Project Highlights – Recent and Upcoming Work				
<p>Contractor completed all the stations for the new Clipper validator by providing electrical power at the new validator locations on the platforms. MTC/Cubic installed all the new Clipper validators at the stations. Contractor completed all the punch list items. TASI resources were scheduled to remove all the old Clipper CIDs at each station. A change order was issued for Contractor to remove them instead to accommodate PCEP’s need for TASI resources. Delayed substantial completion.</p> <p>Remove all the existing old CIDs at the stations and issue Substantial Completion.</p>				

Note: The Capital Projects information is current as of January 31, 2023, and is subject to change prior to the March 2023 Board meeting.

Statuses: ● – Green ● – Yellow ● – Red





Capital Projects Update

Project: Broadband Wireless Communications

Project Description	Status Summary			
	Safety	Schedule	Budget	Funding
The project will design a broadband wireless communications system along the Caltrain corridor for the wayside train maintenance diagnostics and passenger Wi-Fi service. The project will investigate leveraging the existing infrastructure such as the Overhead Contact System (OCS) poles and JPB fiber network to communicate with passing trains. Wayside antennas may be mounted on the OCS poles at a constant interval to communicate with moving trains that will be equipped with radios and antennas.	●	●	●	●
Project Phase: 5 - Development (100/IFB)				
Project Costs (in thousands of dollars)				Estimated Completion
	Current Budget	Committed to Date	Expended + Accruals	
Totals	28,820	1,339	770	9/30/24
Percentages	100.00%	4.6%	2.7%	
Project Highlights – Recent and Upcoming Work				
<p>Conducted a kickoff meeting with the vendor Nomad Digital and their subcontractor B&C Transit to discuss the roles and communications between Nomad and Caltrain. Nomad Digital submitted their Site-Specific Work Plan to survey the corridor for electrical and fiber connections. Nomad Digital submitted Request For Information (RFI) for documentation for as-built drawings for electrical and fiber assets.</p> <p>Respond to the RFIs and prepare for the site surveys.</p>				

Note: The Capital Projects information is current as of January 31, 2023, and is subject to change prior to the March 2023 Board meeting.

Statuses: ● – Green ● – Yellow ● – Red





Capital Projects Update

Project: MP-36 Locomotive Mid-Life Overhaul Project

Project Description	Status Summary			
	Safety	Schedule	Budget	Funding
<p>This project involves performing mid-life overhaul of six MP-36-3C Locomotives. The mid-life overhaul includes complete disassembly of the main diesel engine, overhauling by reconditioning re-usable main frame components and re-assembly with new engine components and replacement of Separate Head-End Power (SEP-HEP) unit and all electrical components of the SEP-HEP compartment. All areas of the locomotive car body, trucks, wheels and electrical components shall be reconditioned to like-new condition or replaced with new material. The project work is occurring off-site at the contractor's facility location. The 6 locomotives to be overhauled are Locomotive #'s 923, 924, 925, 926, 927 & 928. In order to maintain daily service, only 1 to 2 of these locomotives are released at a time for overhaul work that is expected to take approximately 8 months per locomotive. Due to this restriction, the overall completion of this work is expected to take approximately 4 years.</p>	●	●	●	●
Project Phase: 6 – Procurement/Construction/Implementation				
Project Costs (in thousands of dollars)				Estimated Completion
	Current Budget	Committed to Date	Expended + Accruals	
Totals	14,833	13,174	5,796	05/31/24
Percentages	100%	85.4%	39.1%	
Project Highlights – Recent and Upcoming Work				
<p>Unit 927 is in service, operating without defect. Locomotive ready to begin emissions testing on 1/28/23. Unit 924 shipped from Alstom and is at CEMOF while Alstom repairs issues found by TASI staff. Unit 925 is still in overhaul - due to ship in March 2023. 926 was removed from service in preparation for shipping to Alstom.</p> <p>Unit 927 to have emissions testing completed. Unit 924 to complete dynamic testing on Caltrain and begin service. 925 to begin static functional testing. 926 to be shipped to Mare Island to begin overhaul.</p>				

Note: The Capital Projects information is current as of January 31, 2023, and is subject to change prior to the March 2023 Board meeting.

Statuses: ● – Green ● – Yellow ● – Red



Acknowledgements

This report is made possible by contributions from the following groups and individuals.

Caltrain Planning

Dahlia Chazan, Deputy Chief
Ted Burgwyn, Director, Rail Network and Operations Planning

Communications Division

Robert Casumbal, Director, Marketing & Research
Jeremy Lipps, Digital Communications Manager
Julian Jest, Manager, Market Research & Development

Finance Administration

Ryan Hinchman, Director, Financial Planning & Analysis
Bruce Thompson, Manager, Fare Program Operations
Dapri Hong, Budget Analyst III

Rail Administration / Rail Operations & Maintenance

David Santoro, Acting Chief Operating Officer
Patrice Givens, Administrative Analyst II
Graham Rogers, Business Operations Project Manager
Sam Sargent, Director, Strategy & Policy
Henry Flores, Deputy Director, Rail Vehicle Maintenance

Rail Development

Rob Barnard, Deputy Chief
Andy Robbins, Director Capital Program Delivery
Jonathan Tillman, Director Capital Programs Management
Robert Cheung, Project Controls Deputy Director
Sowmya Karipe, Project Controls Specialist

Additional Support

Caltrain Staff Coordinating Council
Don Esse, Senior Operations Financial Analyst
Margie Alexander, TASI
Sarah Doggett, MTC



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

Draft Minutes of February 2, 2023

Members Present (Remote): C. Chavez, D. Davis, R. Mueller
Members Present (In Person): P. Burt, R. Medina, J. Gee, S. Heminger, M. Zmuda
Members Absent: S. Walton
Staff Present: M. Bouchard, K. Kelly, J. Harrison, A. Myles-Primakoff, S. Sargent,
C. Fromson, D. Chazan, B. Shaw, P. Shrestha, N. Fogarty,
B. Fitzpatrick, T. Bartholomew, D. Seamans, S. Wong, K. Scribner,
M. Tseng

1. Call to Order / Pledge of Allegiance

Chair Steve Heminger called the meeting to order at 9:00 am and Director Zmuda led the pledge of allegiance.

2. Swearing-in of newly appointed Board Members:

- **Pat Burt Representing Valley Transportation Authority**
- **Rico E. Medina Representing San Mateo County Transit District**

District Secretary Dora Seamans administered the Oath of Office.

3. Roll Call

Ms. Seamans called the roll and confirmed there was a Board quorum present.

4. General Counsel Report – Closed Sessions: Conference with Legal Counsel – Significant exposure to litigation pursuant to § 54956.9(b). Two potential cases

5. General Counsel Report – Report Out from Above Closed Session

Ms. Seamans called the roll and confirmed there was a Board quorum present.

*The Board convened in closed session at 9:04 am
The Board reconvened in regular session at 9:56 am*

General Counsel James Harrison stated the Board agreed to accept the tender from the San Mateo County Transportation Authority in the case of Walter versus the JPB.

6. Public Comment for Items Not on the Agenda

Don Cecil, SAMCEDA (San Mateo County Economic Development Association), commended the Caltrain Board and staff for their work on many funding issues.

Aleta Dupree commented on Clipper and developing relationships.

7. Report of the Executive Director

Michelle Bouchard, Executive Director, provided a report which included the following:

- State to provide the rest of the funding for the electrification program and expressed thanks to many [supporters](#) and Chief Communications Officer Casey Fromson
- Looming fiscal cliffs, electrification funding, and the Regional Measure 3 (RM3) challenges were dismissed
- Planned 31 weekend shutdowns to complete required testing and construction safely, increase production, and prepare for pre-revenue service early next year, while minimizing impact to weekday passenger service
- Proactively addressing challenges to the shutdowns with bus bridges and entire organization geared toward ensuring its success
- Plan for tree removal for fallen trains
- Martin Luther King Jr. celebration was wonderful with about 500 people in attendance

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

- Estimate on the funding structure for network management
- Actions the Board will take to decide whether we participate and to ensure JPB voice is heard
- Being clear in what we are getting and/or giving up in this new relationship before jumping in

Public Comment

Adina Levin, Friends of Caltrain, commented on receiving \$367 million from the State to finish electrification, budget challenges, and keeping services running.

Aleta Dupree commented on Regional Measure 3 (RM3) issue settlement and the toll money can be used for transportation projects from the escrow account.

8. Consent Calendar

- 8.a.i. Meeting Minutes of January 5, 2023**
- 8.a.ii. Renew Findings to Authorize Holding Meetings via Teleconference through February 28, 2023, Pursuant to Assembly Bill (AB) 361**
- 8.a.iii. Report of the Interim Chief Financial Officer**
- 8.a.iv. Accept Statement of Revenues and Expenses for the Period Ending December 31, 2022**
- 8.a.v. Authorize the Executive Director to Enter into an Agreement to Underground a Interconnect Facility to Traction Power Station 1 in South San Francisco**
- 8.a.vi. State and Federal Legislative Update**
- 8.a.vii. Caltrain Ridership Growth Task Force Update**
- 8.a.viii. Metropolitan Transportation Commission (MTC)/Regional Update**
- 8.b. Declare Certain Real Property Located at Redwood City Caltrain Station Exempt Surplus Land Pursuant to the Surplus Land Act**

Public Comment

Adina Levin, Friends of Caltrain, commented on ridership recovery methods looking at strategies to regrow ridership, tighten up Millbrae connection, and encouraged staff look at cross agency strategy to regrow ridership.

Jeff Carter, Millbrae, commented on ridership growth task force and go to distance-based pricing for BART as easier for people to use the service.

Motion/Second: Chavez/Zmuda moved to approve all items under 8a regular consent items

Ayes: Burt, Chavez, Heminger, Medina, Mueller, Zmuda, Davis, Gee

Noes: None

Absent: Walton

Motion/Second: Chavez/Heminger moved to approve item 8b

Ayes: Burt, Chavez, Heminger, Medina, Mueller, Zmuda, Davis,

Noes: None

Absent: Walton

Recused: Gee

9. African American History Month Resolution

Tasha Bartholomew, Communications Manager, spoke about the following:

- Caltrain condemning racism in rhetoric or actions
- African American Caltrain rider statistics
- Caltrain sponsorship of the annual Martin Luther King Jr. celebration train

Motion/Second: Davis/Chavez

Ayes: Burt, Chavez, Heminger, Medina, Mueller, Zmuda, Davis, Gee

Noes: None

Absent: Walton

10. Award of Contract to and Authorize Execution of Agreement with Compass in Connection with Bus Bridge Services for the Caltrain Peninsula Corridor Electrification Project (PCEP) 2023 Bus Bridge Services

Pranaya Shrestha, CalMod Chief Officer, provided the presentation which included the following:

- Bus bridge needs and request for proposal
- Providing lifeline bus bridges during 31 weekend shutdowns
- Compass Transportation background (based in South San Francisco)

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

- Include the draft contract in the agenda as a link if Board action is requested
- Use of partner agency shuttle services for the weekend shutdowns
- Weekend shutdown marketing and press release efforts information and emphasize it will only be on the weekends

Public Comment

Aleta Dupree commented on bus bridges and transfers to BART.

Adina Levin, Friends of Caltrain, commented on bus bridges being necessary and eventually inconvenient for users, data from the Bicycle Committee where the majority of riders did not have access to a car for trips on Caltrain, and do not turn off the data feed that shows up in Google maps and other applications for riders to access schedule information.

Motion/Second: Chavez/Zmuda

Ayes: Burt, Chavez, Heminger, Medina, Mueller, Zmuda, Davis, Gee

Noes: None

Absent: Walton

11. Amend Balanced Budget and Financial Reserve Policy to Allow for Biennial Budgets

Ladi Millard Olmeda, Director of Budgets & Financial Analysis, provided updates that included the following:

- Biennial budgeting starting Fiscal Year 2024-25 and budget amendments as needed
- Advantages included longer commitment of policy direction, funding, and planning, 2 of 3 member agencies budget cycles align
- Promotes future discussions on operating and capital reserve policies and member obligations

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

- Currently two member agencies budget cycles align and requested staff check with the San Francisco Municipal Transportation Agency(SFMTA) too
- Future discussions on reserves and recognizing which circumstances Caltrain can withdraw those funds

Public Comment

Aleta Dupree commented on the ability to financially plan long term.

Adina Levin, Friends of Caltrain, expressed support for this item.

Michelle Bouchard, Executive Director, noted that SamTrans Board recently approved shifting to a biennial budget.

Motion/Second: Chavez/Medina

Ayes: Burt, Chavez, Heminger, Medina, Mueller, Zmuda, Davis, Gee

Noes: None

Absent: Walton

12. Authorize Agreement with SamTrans to Establish Caltrain Chief Safety Officer Position

James Harrison, Legal Counsel, provided the presentation that included the following:

- SamTrans directors' ability to vote and participate on this item
- Caltrain's need for a dedicated rail safety officer

- SamTrans and JPB's agreement to replace this shared service with a position reporting directly to the Caltrain Executive Director
- Initiated by the March 10, 2022 incident of a train striking on-track equipment and the Federal Transit Administration requirement for all rail agencies to appoint a dedicated safety officer reporting directly to the accountable executive

Motion/Second: Davis/Medina

Ayes: Burt, Chavez, Heminger, Medina, Mueller, Zmuda, Davis, Gee

Noes: None

Absent: Walton

13. San Francisco Downtown Extension (DTX) Draft Caltrain Principles for Negotiations

Michelle Bouchard, Executive Director, noted the former Board WPLP (Work Program-Legislative-Planning) Committee's work on this to get to a federal New Starts process that will be monthly discussion at the new Advocacy and Major Projects (AMP) committee.

Dahlia Chazan, Deputy Chief of Caltrain Planning, provided the presentation which included the following information:

- Purpose of this item to get feedback and direction for negotiating on Caltrain's behalf
- Project Elements – will allow Caltrain extension from 4th and King to Salesforce Transit Center to close the gap in the regional transit network connection
- Caltrain's role as the first operator and reimbursed by Transbay Joint Powers Authority (TJPA) for staff and consulting work
- 2020 Long range service vision and framework for equity, connectivity, recovery, and growth
- Caltrain potential system expansions and long range service vision service to Gilroy
- Federal Transit Administration (FTA) New Starts process accepted October 2021 and request for full funding from FTA (occurs once a year)
- Development of draft 20-year financial plan (capital \$6.6 billion and operating costs \$40 million annually estimates)
- Upcoming Downtown Extension (DTX) milestones and Master Cooperative Agreement (MCA)
- 10-year capital improvement plan and a special March Board workshop on finances
- MCA draft principles to guide discussions/negotiations between Caltrain and TJPA to mitigate future financial and operational risks associated with DTX and staff proposing core principles this spring into summer
- Proposed motion: draft mc principle #1-3 and draft proposed escalation path for resolving issues concerning contents of MCA

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

- Include a slide for all grade separations showing forward momentum and prioritization for DTX, Diridon for a corridor-wide grade separation plan
- Agendize a future Board prioritization process on overall priorities corridor-wide down to Gilroy

- Add sub-bullet that it must be consistent with 2040 Service Vision Plan, and support based on equal commitments Diridon and corridor-wide
- Importance of state of readiness in competing successfully for grant funding

Public Comment

Vaughn Wolffe, Pleasanton, commented on having a surcharge to pay for the network, assessing before spending, and potential empty trains.

Jeff Carter, Millbrae, commented on working with Prologis on the railyard, Pennsylvania Avenue extension expenses, and separating 16th Street going onto 7th Street.

Adina Levin, Friends of Caltrain, commented on Director Heminger's comment for investments located in each county.

Aleta Dupree commented on getting past the pandemic.

Leslie Rogers did not (or was unable to) comment when called to speak and was advised to send an email to the Board as an alternative.

Motion/Second: Heminger/Mueller amended to include consistency with 2040 Vision Service Vision for project design, operations (and a future Board discussion on larger projects and prioritization, and the state of readiness)

Ayes: Burt, Chavez, Heminger, Medina, Mueller, Zmuda, Davis, Gee

Noes: None

Absent: Walton

14. Peninsula Corridor Electrification Project (PCEP): Monthly Progress Report and Update on 2023 Construction and Service Impact Plan

Pranaya Shrestha, CalMod Chief Officer, provided the presentation which included the following information:

- Project highlights – schedule, budget, construction, electric trains
- Safety & security – no reportable injuries
- Top risks – Overhead catenary system (OCS) installation delay due to low contractor productivity
- Sufficient field roadway workers in charge (RWIC), signal communication design, installation, testing, and cutover with significant critical items needed to be accomplished this month
- Project Resiliency - power redundancy, design criteria, and maintenance

Casey Fromson, Chief Communications Officer, provided an update that included the following:

- Electrification Project fully funded (\$43 million federal funding)
- Substantial support groups involved, which included elected officials, environmental groups, transit advocates, business, labor, educational groups, and health advocates
- 31 weekend shutdowns in 2023 (starting with San Francisco to Millbrae) – there is an overall program schedule that will include real time delay information by even an hour so Balfour Beatty can address them and make that up immediately

- Planned activities in February 2023 included short circuit testing, first electric train runs, signal installation and testing, San Francisco to Millbrae weekend shutdowns February 11-12 and 25-26
- Customer outreach with website, social media, email, announcements, station ambassadors, and event centers

The Board members had a discussion and staff provided further clarification in response to the Board comments and questions, regarding being on schedule with the 31 weekend shutdowns and PG&E being a factor in keeping on schedule.

15. Reports

a. Report of the Citizens Advisory Committee (CAC)

Brian Shaw, CAC Chair, provided a report on committee discussions, which included the following:

- Limited options regarding bike racks for bus service
- Coordinating between BART and Caltrain for a transfer
- Feedback on Caltrain on-time performance
- Measure RR oversight
- Suicide prevention update

b. Report of the Chair

Chair Gee thanked Directors for their interest in Board committee membership and announced the replacement of the Work-Program-Legislative-Planning (WPLP) committee with the Advocacy and Major Projects (AMP) Committee and the Technology, Operations, Planning, and Safety (TOPS) Committee. He spoke on the hosting of Lunar New Year in Redwood City on Saturday and late March Board Finance workshop.

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

Director Jeff Gee announced the new LPMG Chair Pat Burt and Vice Chair Jen Wolosin. He noted discussions on the corridor-wide grade separation study, getting consensus, and socializing the weekend shutdowns.

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

Director Jeff Gee reported on the approved National Environmental Policy Act (NEPA)/California Environmental Quality Act (CEQA) documents last month, with a request to enter into engineering on this month's agenda.

14. Correspondence

Correspondence was available online.

15. Board Member Requests

Director Burt requested prioritization discussion of major development projects along the Caltrain corridor.

Director Davis and Chair Gee requested a discussion of Caltrain's role in Metropolitan Transportation Commission (MTC) regional meetings, specifically for regional network management.

Director Heminger requested asking San Francisco Municipal Transportation Authority (SFMTA) for biennial budget alignment with the other two agencies.

Director Zmuda requested looking at circumstances when Caltrain can draw on the reserve budget.

Director Chavez requested links to be included to actual contract documents in Board materials so that Directors can review details related to wages and benefits.

Director Gee requested emphasizing "Weekend" during the PCEP 2023 Bus Bridge Services presentations.

Director Gee requested DTX Draft Caltrain Principals for Negotiations - principle #2 be consistent with 2040 Service Vision and to include funding.

Director Heminger requested showing all three grade separations as a whole instead of just the Downtown Extension project.

16. Date/Time of Next Regular Meeting:

Thursday, March 2, 2023, at 9:00 am via Zoom and in person at the San Mateo County Transit District, Bacciocco Auditorium, 2nd Floor, 1250 San Carlos Avenue, San Carlos, CA.

17. Adjourn

Adjourned at 12:30 pm

Chair Gee welcomed everyone into the Lunar Year of the Rabbit.

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

**Peninsula Corridor Joint Powers Board
Work Program – Legislative – Planning Committee (WPLP)
1250 San Carlos Avenue, San Carlos CA 94070**

Draft Minutes of January 26, 2023

MEMBERS PRESENT: C. Chavez, S. Heminger

MEMBERS ABSENT: None

STAFF PRESENT: M. Bouchard, J. Harrison, C. Fromson, B. Fitzpatrick, S. Sargent, N. Fogarty, D. Ryan, D. Chazan, G. Rogers, S. Wong, M. Tseng, K. Scribner

1. Call to Order/Pledge of Allegiance

Acting Chair Steve Heminger called the meeting to order at 1:30 p.m. and led the Pledge of Allegiance.

2. Roll Call

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

3. Public Comment for Items Not on the Agenda

There were none.

4. Approve Meeting Minutes of November 16, 2022

Motion/Second: Chavez/ Heminger

Ayes: Chavez, Heminger

Noes: None

Absent: None

5. Authorize the Executive Director to Enter into an Agreement to Underground an Interconnect Facility to Traction Power Station 1 in South San Francisco

Brian Fitzpatrick, Real Estate, provided an update, which included the following highlights:

- Current traction power facility fed by overhead power line and the developer (IQHQ) and the City of South San Francisco requested that Caltrain allow the lines to be undergrounded
- The agreement would accommodate the City's request and has no cost or liability for Caltrain

Motion/Second: Chavez/ Heminger

Ayes: Chavez, Heminger

Noes: None

Absent: None

6. Declare Certain Real Property Located at Redwood City Caltrain Station Exempt Surplus Land Pursuant to the Surplus Land Act

Nadine Fogarty, Deputy Director TOD (Transit Oriented Development) and Real Estate, provided the presentation, which included the following information:

- Before they can enter into an exclusive negotiating agreement, the Board needs to declare part of the land exempt surplus land under the Surplus Land Act
- The JPB and the Minkoff Group would exchange a portion of the JPB property next to the Redwood City Caltrain station for an adjacent parcel owned by Minkoff Group
- Both entities would dedicate a portion of their property for a new street
- Benefits of proposed property exchange included realizing the vision for the Redwood City Transit District, encourage and facilitate future residential TOD on JPB property, and office development

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

- The property offered as surplus land would first be offered to affordable housing developers, park districts, and school districts as a competitive bid for who get the first shot at obtaining the property
- Assess and appraise the properties before any action and bring it back to the Board
- The unit count per acre, density requirement, 350 future units allowed on JPB property, and implication the future current land use status relative to the exchange
- Office development and redevelopment of parcel is in question partly because it is currently used for parking and for the SamTrans Bus transit facility and staff is working closely with SamTrans and the City of Redwood City on moving forward
- The future TOD could generate revenue potential for the JPB
- As a condition of the exchange, ask for developer support for affordable housing on the site

Motion/Second: Chavez/ Heminger with the condition that staff asks the developer to support affordable housing on the site before the exchange

Ayes: Chavez, Heminger

Noes: None

Absent: None

7. Authorize TAMC – JPB Memorandum of Understanding (MOU) for Salinas Extension

Sam Sargent, Director, Strategy and Policy, Rail Administration, provided the presentation, which included the following information:

- In 2020 there was a Gilroy-Salinas feasibility study for rail extension service
- Caltrain and the Transportation Agency for Monterey County (TAMC) agreed to four foundational elements for any future extension: 1. cost neutral service, 2. no changes to Caltrain mainline service (San Francisco – Gilroy), 3. TAMC must address all the risks and liabilities of a new service, 4. no changes to JPA governance structure

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

- The duration of California Environmental Quality Act (CEQA) documents done in 2007
- Requirements to prevent Caltrain mainline service disruptions
- TAMC, as the project lead, to identify and guarantee additional operations and maintenance funding for cost neutrality to the JPB
- Communications with the Gilroy community to help them understand what this is and TAMC's role in the process for South County
- Regular updates on core outcomes and shared expectations with the appropriate JPB committee and engagement with South County
- Formally meet quarterly or biannually with Morgan Hill and Gilroy to discuss expectations
- Include CAC (Citizens Advisory Committee) for any further review and input
- Clarify cost neutrality details to include costs for the capital improvements (for the right-of-way improvements and build stations), required operating subsidy, and ongoing rehabilitation and maintenance
- TAMC needs to negotiate the trackage agreement

8. San Francisco Downtown Extension (DTX) Draft Caltrain Principles for Negotiations

Executive Director Michelle Bouchard noted that this would go to the full Board on Thursday, then monthly to the new AMP committee, then go back to full Board as necessary for approval.

Dahlia Chazan, Deputy Chief Caltrain Planning, provided a presentation, which included the following information:

- DTX recently rebranded as “the Portal”
- Seeking feedback on negotiating principals and this will go to AMP (Advocacy and Major Projects) committee in the future
- Caltrain's role as DTX partner and the project may use Caltrain 4th and King railyards
- In 2040 service vision and the Federal Transit Administration (FTA) New Starts process
- Master Cooperative Agreement (MCA) components, draft principles, and draft proposed escalation path for resolving issues concerning contents of MCA

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

- Recommend to the Caltrain Board to have a priority setting session for improved understanding of the implications of its and regional goals and projects
- Discuss regional megaprojects, including DTX and South County, electrification and grade separations, and the funding needs, timelines, who works on what, and how to deliver
- Consistent with the Service vision plan and everything being cost neutral for Caltrain
- Consider imposing surcharge on the fares for funding capital or operating costs
- Update capital and operating costs to be in similar dollars representation
- Operating shortfall and how much people would pay for a premium service such as the baby bullet trains

- From the perspective of a three-county organization, Caltrain Board to consider the principles for multiple projects

Public Comment

Vaughn commented on comparing the cost of a project versus actual future usage of the project.

9. State and Federal Legislative Update

This item was included in the packet and taken under advisement.

10. Caltrain Ridership Growth Task Force Update

This item was included in the packet and taken under advisement.

11. Committee Member Requests

Director Heminger requested a condition that the groups involved in the exempt surplus land agreement support affordable housing onsite in the contract.

Director Chavez requested regular updates to a JPB committee regarding TAMC-JPB memorandum of understanding (MOU).

Director Heminger requested the TAMC-JPB MOU moved to the March Board (February committees) for review.

Director Heminger requested explicit details about “Caltrain cost neutrality” in terms of TAMC-JPB MOU.

Director Heminger requested updated numbers regarding operating cost and capital costs in the same dollars for full Board review

Director Heminger requested a mini capital improvement plan (CIP) for the San Francisco Downtown Extension (DTX) Draft Caltrain Principles for Negotiations prior to the master cooperative agreement (MCA)

12. Date/Time of Next Regular WPLP Committee Meeting: This was the last WPLP Committee meeting and the scope of work will be split into two new Committees beginning February 2023 with Technology, Operations, Planning, and Safety (TOPs) at 1:30 pm and Advocacy and Major Projects (AMP) Committee at 3:30 pm on February 22, 2023, via Zoom (additional location, if any, to be determined).

13. Adjourn

The meeting adjourned at 3:14 p.m.

**Peninsula Corridor Joint Powers Board
Staff Report**

To: Board of Directors
Through: Michelle Bouchard, Executive Director
From: Kathleen Kelly, Interim Chief Financial Officer (CFO)
Subject: **Chief Financial Officer Update on Revenues and Expenses for the Period Ending January 31, 2023**

<input checked="" type="checkbox"/> Finance Committee Recommendation	<input type="checkbox"/> Technology, Operations, Planning, and Safety Committee Recommendation	<input type="checkbox"/> Advocacy and Major Projects Committee Recommendation	<input type="checkbox"/> Staff Coordinating Council Reviewed	<input type="checkbox"/> Staff Coordinating Council Recommendation
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Action

Staff proposes that the Board of Directors (Board) of the Peninsula Corridor Joint Powers Board (JPB) accept and enter into the record the Chief Financial Officer Update on Revenues and Expenses for the Period Ending January 31, 2023.

This staff report provides a brief discussion of significant items and trends on the attached Statement of Revenues and Expenses through January 31, 2023, and highlights projections for the end of the year. The statement has been designed to follow the Agency-wide line-item rollup as included in the approved budget. The columns have been designed to provide an easy comparison of year-to-date current actuals to the budget including dollar and percentage variances.

Significance

Annual Forecast: The annual forecast is based on actual revenue and expense trends through January 2023, augmented by analyzing trends and reviewing details with cost center managers to develop projections through the rest of the year. Overall, a surplus of \$1.6 million is projected for FY23, compared to a \$2.5 million deficit projected in the Approved FY 2023 Budget (the Approved Budget assumed a draw of \$2.5 million from the FY 2022 surplus). The most significant component in the positive change is related to higher-than-assumed Measure RR receipts.

Forecast Revenues: Total Revenue (page 1, line 16) is forecasted to be \$5.1 million higher than budget. This is driven primarily by higher Measure RR sales taxes (page 1, line 12), estimated to be \$5.0 million over budget, due to the continued recovery. Other significant increases over the budget are:

- \$2.3 million in Other Income (page 1, line 5), driven by additional Advertising revenue and Interest Income;

- \$0.7 million from higher Go Pass revenue (page 1, line 2); and
- \$0.3 million higher Rental Income (page 1, line 4).

These projected increases are partially offset by a \$3.2 million lower non-Go Pass Fare revenue (page 1, line 1) due to slower ridership recovery and PCEP service reductions, which began in December 2022.

Forecast Expenses: Total Expense (page 2, line 50) is forecasted to be \$0.9 million higher than budget, made up of relatively small changes in several line items:

- Debt Service (page 2, line 48) is forecasted \$1.1 million higher than budgeted, because the principal payment in FY23 for the Fare Bonds was inadvertently omitted from the budget;
- Other Office Expense and Services (page 2, line 40) are forecasted \$0.2 million higher than budget due to a parking lease at Menlo Park that started October 2022; and
- Security Services (page 2, line 22) are forecasted \$0.1 million higher than budget due to overtime.

Partially offsetting these increases are projected savings in Wages and Benefits (page 2, line 35), which are forecasted to be \$0.4 million lower than budget due to vacancies.

Year-to-Date Revenues: As of January's year-to-date actual, the Grand Total Revenue (page 1, line 16) is \$3.4 million higher than the adopted budget. As reflected in the year-end projections, this is primarily driven by the increases in Other Income (page 1, line 5) and Measure RR proceeds (page 1, line 12), partially offset by Caltrain Fares (page 1, line 1).

Year-to-Date Expenses: As of January's year-to-date actual, the Grand Total Expense (page 2, line 50) is \$6.0 million lower than the adopted budget. These savings are lower than shown in the year-end projections because much of the savings is based on timing.

Other Information: The Agency accounts for revenue and expenditures on a modified cash basis (only material revenues and expenses are accrued) on the monthly financial statement. As such, the variance between the current year's actual and the budget may show noticeable variances due to the timing of expenditures.

Budget Impact

There are no budget amendments for January 2023.

Prepared By: Danny Susantin, Accountant III	650.622.8073
Jennifer Ye, Director, Accounting	650.622.7890

PENINSULA CORRIDOR JOINT POWERS BOARD									
STATEMENT OF REVENUE AND EXPENSE									
Fiscal Year 2023									
January 2023									
% OF YEAR ELAPSED							58.3%		
	JULY TO JANUARY				ANNUAL				
	CURRENT ACTUAL	ADOPTED BUDGET	\$ VARIANCE	% VARIANCE	APPROVED BUDGET	FORECAST	\$ VARIANCE		
REVENUE									
OPERATIONS:									
1	Caltrain Fares	15,485,964	17,226,000	(1,740,036)	(10.1%)	30,151,000	27,000,000	(3,151,000)	1
2	Go Pass	10,031,158	9,485,000	546,158	5.8%	16,260,000	17,000,000	740,000	2
3	Parking Revenue	1,054,793	1,106,000	(51,207)	(4.6%)	1,896,000	1,797,505	(98,495)	3
4	Rental Income	737,439	545,629	191,810	35.2%	935,357	1,235,357	300,000	4
5	Other Income	3,260,589	1,017,520	2,243,069	220.4%	1,744,319	4,044,319	2,300,000	5
6								-	6
7	TOTAL OPERATING REVENUE	30,569,943	29,380,149	1,189,794	246.6%	50,986,676	51,077,181	90,505	7
8									8
9	CONTRIBUTIONS:								
10	AB434 Peninsula & TA Shuttle Funding	40,000	40,000	-	.0%	40,000	40,000	-	10
11	Operating Grants	6,613,120	6,613,120	-	.0%	11,288,161	11,288,161	-	11
12	Measure RR	67,882,496	65,661,919	2,220,577	3.4%	114,300,000	119,292,000	4,992,000	12
13									13
14	TOTAL CONTRIBUTED REVENUE	74,535,616	72,315,039	2,220,577	3.1%	125,628,161	130,620,161	4,992,000	14
15									15
16	GRAND TOTAL REVENUE	105,105,559	101,695,188	3,410,371	3.4%	176,614,837	181,697,342	5,082,505	16
17									17

PENINSULA CORRIDOR JOINT POWERS BOARD									
STATEMENT OF REVENUE AND EXPENSE									
Fiscal Year 2023									
January 2023									
% OF YEAR ELAPSED							58.3%		
	JULY TO JANUARY				ANNUAL				
	CURRENT ACTUAL	ADOPTED BUDGET	\$ VARIANCE	% VARIANCE	APPROVED BUDGET	FORECAST	\$ VARIANCE		
18	EXPENSE							18	
19								19	
20	DIRECT EXPENSE:							20	
21	Rail Operator Service	55,796,485	56,955,367	(1,158,882)	(2.0%)	98,257,758	98,257,758	-	21
22	Security Services	4,310,817	4,662,300	(351,483)	(7.5%)	7,935,381	8,028,807	93,426	22
23	Shuttle Services	62,236	87,500	(25,264)	(28.9%)	121,600	121,600	-	23
24	Fuel and Lubricants*	8,913,165	10,231,214	(1,318,049)	(12.9%)	17,539,232	17,539,232	-	24
25	Timetables and Tickets	12,842	78,953	(66,111)	(83.7%)	135,350	135,350	-	25
26	Insurance	8,360,342	8,403,480	(43,138)	(.5%)	9,299,730	9,299,730	-	26
27	Claims, Payments, and Reserves	1,336,926	770,000	566,926	73.6%	1,320,000	1,336,926	16,926	27
28	Facilities and Equipment Maintenance	4,021,453	4,278,669	(257,216)	(6.0%)	7,258,788	7,107,788	(151,000)	28
29	Utilities	1,545,803	1,526,931	18,872	1.2%	2,617,600	2,617,600	-	29
30	Maint & Services-Bldg & Other	702,692	923,651	(220,959)	(23.9%)	1,754,100	1,754,100	-	30
31								31	
32	TOTAL DIRECT EXPENSE	85,062,762	87,918,065	(2,855,303)	(3.2%)	146,239,539	146,198,891	(40,648)	32
33								33	
34	ADMINISTRATIVE EXPENSE							34	
35	Wages and Benefits	7,879,159	8,773,177	(894,018)	(10.2%)	13,926,330	13,532,312	(394,018)	35
36	Managing Agency Admin OH Cost	2,248,075	2,081,421	166,654	8.0%	3,565,453	3,565,453	-	36
37	Board of Directors	9,016	15,465	(6,449)	(41.7%)	57,275	57,275	-	37
38	Professional Services	3,807,935	5,394,529	(1,586,594)	(29.4%)	9,305,755	9,305,755	-	38
39	Communications and Marketing	171,392	235,508	(64,116)	(27.2%)	403,730	403,730	-	39
40	Other Office Expenses and Services	1,046,983	1,611,587	(564,604)	(35.0%)	2,762,496	2,956,896	194,400	40
41								41	
42	TOTAL ADMINISTRATIVE EXPENSE	15,162,560	18,111,687	(2,949,127)	(16.3%)	30,021,039	29,821,421	(199,618)	42
43								43	
44	TOTAL OPERATING EXPENSE	100,225,322	106,029,752	(2,849,622)	(2.7%)	176,260,578	176,020,312	(240,266)	44
45								45	
46	Governance	208,877	204,169	4,708	2.3%	350,000	350,000	-	46
47								47	
48	Debt Service Expense	1,349,812	1,506,022	(156,210)	(10.4%)	2,581,752	3,711,375	1,129,623	48
49								49	
50	GRAND TOTAL EXPENSE	101,784,011	107,739,943	(5,955,932)	(5.5%)	179,192,330	180,081,687	889,357	50
51								51	
52	NET SURPLUS / (DEFICIT)	3,321,548	(6,044,755)	9,366,303	(154.9%)	(2,577,493)	1,615,655	4,193,148	52
53								53	
54	Draw from FY2022 surplus	-				2,577,493	-		54
55	ADJUSTED NET SURPLUS / (DEFICIT)	3,321,548				-	1,615,655		55
56								56	
57	Reserve, Beginning Balance	16,115,624				16,115,624			57
58	FY23 Set aside	-				10,763,226			58
59	Reserve, Ending Balance	16,115,624				26,878,850			59
60								60	
61	* Fuel and Lubricants costs were decreased by a realized gain of \$1,661,814 from the fuel hedge program.								61



BOARD OF DIRECTORS 2023

JEFF GEE, CHAIR
DEVORA "DEV" DAVIS, VICE
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PAT BURT
CINDY CHAVEZ
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RICO E. MEDINA
RAYMOND MUELLER
SHAMANN WALTON
MONIQUE ZMUDA

PENINSULA CORRIDOR JOINT POWERS BOARD

INVESTMENT PORTFOLIO

AS OF JANUARY 31, 2023

MICHELLE BOUCHARD
EXECUTIVE DIRECTOR

TYPE OF SECURITY	MATURITY DATE	INTEREST RATE	PURCHASE PRICE	MARKET RATE
Local Agency Investment Fund (Unrestricted) *	Liquid Cash	2.425%	10,173,414	10,173,414
County Pool (Unrestricted)	Liquid Cash	2.053%	565,032	565,032
Other (Unrestricted)	Liquid Cash	3.854%	96,673,326	96,673,326
Other (Restricted) **	Liquid Cash	1.000%	39,076,807	39,076,807
			\$ 146,488,579	\$ 146,488,579

Interest Earnings for January 2023 \$ 421,003.64
Cumulative Earnings FY2023 \$ 2,288,263.21

* 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.

Farebox Revenues by Ticket Type	PENINSULA CORRIDOR JOINT POWERS BOARD											
	Previous Years				FY2023							
	FY2019	FY2020	FY2021	FY2022	Jul-22	Aug-22	Sep-22	Oct-22	Nov-22	Dec-22	Jan-23	FY2023 Total YTD
REVENUE												
OPERATIONS:												
401400 (TVM)	18,431,265	11,165,620	2,458,837	6,836,440	626,228	770,942	736,862	521,754	451,992	391,581	343,162	3,842,520
401410 (Clipper)	54,621,910	37,970,696	2,924,987	7,764,755	1,129,007	1,611,378	1,377,219	1,502,886	1,366,749	1,077,607	1,092,550	9,157,397
401420 (Central)	64,908	20,799	309,748	39,911	5,139	945	9,901	11,080	2,767	826	2,263	32,920
401430 (Mobile App)	4,716,955	5,689,776	830,051	2,808,795	346,758	354,177	342,457	322,502	273,906	192,050	208,607	2,040,455
401500 (Gilroy)	1,903,941	1,542,171	178,759	449,281	37,440	66,110	80,675	63,053	67,606	56,277	41,509	412,672
401700 (Go-Pass)	22,929,136	19,705,372	25,737,533	15,337,175	1,417,118	1,415,836	1,432,132	1,462,192	1,479,267	1,490,677	1,333,937	10,031,158
total Farebox Revenue	102,668,114	76,094,433	32,439,915	33,236,357	3,561,691	4,219,387	3,979,245	3,883,466	3,642,288	3,209,018	3,022,027	25,517,122
Less: Go-Pass												
401700 (Go-Pass)	22,929,136	19,705,372	25,737,533	15,337,175	1,417,118	1,415,836	1,432,132	1,462,192	1,479,267	1,490,677	1,333,937	10,031,158
Revenues without Go-Pass	79,738,978	56,389,061	6,702,382	17,899,182	2,144,573	2,803,551	2,547,114	2,421,274	2,163,021	1,718,342	1,688,090	15,485,964
Tickets Sold					Jul-22	Aug-22	Sep-22	Oct-22	Nov-22	Dec-22	Jan-23	Total
TVM	2,354,393	1,465,876	315,378	755,674	86,060	86,171	83,501	74,335	61,170	51,304	52,036	494,577
Clipper	3,521,066	2,620,816	339,753	1,227,757	156,994	179,747	177,647	182,485	159,636	118,367	144,893	1,119,769
Central	9,167	5,044	-	4,032	319	145	770	879	477	50	275	2,915
Mobile	543,920	661,515	111,394	381,441	42,175	43,696	41,411	39,967	33,608	25,094	28,997	254,948
# of tickets sold (without go-pass)	6,428,546	4,753,251	766,525	2,368,904	285,548	309,759	303,329	297,666	254,891	194,815	226,201	1,872,209
AVG Revenue Per Ticket					Jul-22	Aug-22	Sep-22	Oct-22	Nov-22	Dec-22	Jan-23	Total
TVM	\$ 7.83	\$ 9.05	\$ 7.80	\$ 9.05	\$ 7.28	\$ 8.95	\$ 8.82	\$ 7.02	\$ 7.39	\$ 7.63	\$ 6.59	\$ 7.77
Clipper	\$ 15.51	\$ 6.32	\$ 8.61	\$ 6.32	\$ 7.19	\$ 8.96	\$ 7.75	\$ 8.24	\$ 8.56	\$ 9.10	\$ 7.54	\$ 8.18
Central	\$ 7.08	\$ 9.90	\$ -	\$ 9.90	\$ 16.11	\$ 6.52	\$ 12.86	\$ 12.60	\$ 5.80	\$ 16.53	\$ 8.23	\$ 11.29
Mobile	\$ 8.67	\$ 7.36	\$ 7.45	\$ 7.36	\$ 8.22	\$ 8.11	\$ 8.27	\$ 8.07	\$ 8.15	\$ 7.65	\$ 7.19	\$ 8.00
Total	\$ 12.40	\$ 11.86	\$ 8.74	\$ 7.56	\$ 7.51	\$ 9.05	\$ 8.40	\$ 8.13	\$ 8.49	\$ 8.82	\$ 7.46	\$ 8.27

Farebox Revenues by Ticket Type	PENINSULA CORRIDOR JOINT POWERS BOARD						
	July 2022 to January 2023					Annual Budget	
	FY2019	FY2020	FY2021	FY2022	FY2023	FY2023	% of Budget
REVENUE							
401400 (TVM)	11,204,054	9,295,291	1,032,211	3,657,107	3,842,520		
401410 (Clipper)	31,835,524	32,050,068	1,495,927	3,804,997	9,157,397		
401420 (Central)	33,088	33,646	-	25,462	32,920		
401430 (Mobile App)	2,276,555	4,736,033	344,226	1,417,292	2,040,455		
401500 (Gilroy)	1,143,735	1,217,780	96,271	225,453	412,672		
401700 (Go-Pass)	12,355,982	14,673,982	17,778,038	8,780,635	10,031,158		
total Farebox Revenue	58,848,938	62,006,799	20,746,673	17,910,947	25,517,122	46,411,000	55%
Less: Go-Pass							
401700 (Go-Pass)	12,355,982	14,673,982	17,778,038	8,780,635	10,031,158	16,260,000	62%
Revenues without Go-Pass	46,492,956	47,332,817	2,968,635	9,130,312	15,485,964	30,151,000	51%
Tickets Sold							
TVM	1,450,272	1,242,176	155,562	401,004	494,577		
Clipper	2,032,636	2,189,653	150,997	595,667	1,119,769		
Central	4,089	4,064	-	2,607	2,915		
Mobile	253,892	547,523	49,477	190,474	254,948		
# of tickets sold (without go-pass)	3,740,889	3,983,416	356,036	1,189,752	1,872,209		
AVG Revenue Per Ticket							
TVM	\$ 7.73	\$ 7.48	\$ 6.64	\$ 9.12	\$ 7.77		
Clipper	\$ 15.66	\$ 14.64	\$ 9.91	\$ 6.39	\$ 8.18		
Central	\$ 8.09	\$ 8.28	\$ -	\$ 9.77	\$ 11.29		
Mobile	\$ 8.97	\$ 8.65	\$ 6.96	\$ 7.44	\$ 8.00		
Total	\$ 12.43	\$ 11.88	\$ 8.34	\$ 7.67	\$ 8.27		

**Peninsula Corridor Joint Powers Board
Staff Report**

To: Board of Directors
Through: Michelle Bouchard, Executive Director
From: Dahlia Chazan, Deputy Chief, Caltrain Planning
Subject: **Authorize the Executive Director to Execute a Memorandum of Agreement (MOA) with Transbay Joint Powers Authority (TJPA) for Planning of the San Francisco Downtown Rail Extension (DTX) Enabling Work at 4th and King Railyard**

Finance Committee Recommendation

Technology, Operations, Planning, and Safety Committee Recommendation

Advocacy and Major Projects Committee Recommendation

Staff Coordinating Council Reviewed

Staff Coordinating Council Recommendation

Action

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

- 1) Authorize the Executive Director, or designee, to execute a Memorandum of Agreement (MOA) for reimbursement from Transbay Joint Powers Authority (TJPA) to Caltrain for planning the Downtown Rail Extension (DTX) enabling work at 4th and King railyard.
- 2) Amend the Caltrain Fiscal Year 2023 Capital Budget from \$126,409,412 to \$127,004,412, to include the \$595,000 reimbursable expenses in the MOA.

A draft of the Enabling Work Planning Memorandum of Agreement is available at the following link: <https://www.caltrain.com/media/28512/download?inline>.

Significance

The San Francisco DTX project lead, the TJPA, has identified the need for enabling work to occur in Caltrain’s right-of-way at the 4th and King railyard to accommodate the main DTX station and tunnel construction, currently slated to begin in 2025, pending funding. The enabling work includes track realignment, utility relocation, building relocation, and other site work at the railyard. Caltrain is coordinating with TJPA to advance the design of this enabling sitework. The work will utilize a multi-stage construction program to allow Caltrain to maintain continuous operations during the construction period. The design and phasing of the work is underway with the procurement and construction anticipated to occur in 2024 and 2025, pending funding.

Caltrain and TJPA have negotiated a Memorandum of Agreement (MOA) to authorize reimbursement from TJPA to Caltrain for planning this enabling work at 4th and King railyard.

As outlined in the MOA, Caltrain will retain consultant services to develop, manage, and administer the DTX work located in Caltrain's right-of-way. The consultant(s) will be responsible for bringing conceptual planning up to 30% design level, which will provide a more comprehensive understanding of the operational and cost implications of the enabling sitework. It will also inform the recommended delivery method accounting for risk, operations, and TJPA schedule requirements.

The Caltrain consultant(s), authorized by the MOA, will oversee the work of the engineering team retained by TJPA to ensure the design is consistent with Caltrain's design requirements, while TJPA retains contractual oversight of the scope, schedule, and budget. The MOA is an interim agreement to progress the enabling work; it will be superseded by the DTX Master Cooperative Agreement (MCA) between Caltrain and TJPA, or second agreement between the parties that specifically addresses the railyards work.

The MOA is for an initial not-to-exceed amount of \$595,000 and a term expiring no later than March 31, 2024.

Budget Impact

In FY2022, a budget of \$311,329 was established for the DTX Project. Through the adoption and amendment of Caltrain's FY2023 Capital Budget, \$3,819,545 was added to the project, funded by general capital funds and TJPA. This resulted in a total project budget of \$4,130,874.

The execution of the MOA between Caltrain and TJPA will provide additional funding that will further increase the total project budget by \$595,000, from \$4,130,874 to \$4,725,874, increasing the Caltrain FY2023 Capital Budget from \$126,409,412 to \$127,004,412.

Background

The DTX project will extend Caltrain and future California High-Speed Rail service from the existing 4th and King railyard to the Salesforce Transit Center in downtown San Francisco. The project will include the construction of a new underground station at 4th and Townsend streets and bring rail service to the underground train station at the Salesforce Transit Center, which was built as part of the construction of the Transit Center. The completion of the DTX may have a major impact on Caltrain ridership by expanding service into downtown San Francisco and providing intermodal connections to Muni, AC Transit, and more.

The DTX project is executing an accelerated master schedule to support a potential 2025 Full Funding Grant Agreement (FFGA) through the Federal Transit Administration's (FTA) Capital Improvement Grant process. It was accepted into the FTA's initial Project Development Phase in December 2021 and will request entry into the Engineering Phase in February 2023. The February submittal includes a 20-year financial plan, project cost estimate, preliminary engineering plans, project management plan, and a funding plan demonstrating 30% of non-federal funding commitment. In August 2023, the project plans to apply for an FFGA. The August submittal will include the MCA between Caltrain and TJPA. The MCA will address key

topics including design support and coordination, right of way, temporary encroachment, permitting, procurement and construction coordination, operations maintenance and rehabilitation, and asset disposition. The MCA will also include the elements of this MOA for the continued delivery of enabling works at 4th and King.

As described in the previous section, the MOA covers all Caltrain efforts supporting delivery of the 30% design package for the DTX enabling work that would need to be completed within the 4th and King railyard. TJPA has determined that the enabling work is necessary to meet the DTX delivery schedule. However, the MOA does not include or authorize the procurement and construction of the enabling work. TJPA plans to request pre-award authority from the FTA to fund the construction of the enabling work prior to the commencement of the main civil construction. If FTA grants TJPA's request, staff will return to the Board for authorization before proceeding with any procurement and construction activities for the enabling work at the railyard.

In December 2022, the Board received a presentation providing an overview of the DTX project, the current tasks and timeline, an update on the MCA, and initial background on the enabling work at 4th and King Railyard. The Board received another update in February 2023 and adopted principles to guide Caltrain staff in negotiating the MCA.

Prepared By: Gwen Buckley

Principal Planner

650-722-6827

Resolution No. 2023 -

**Board of Directors, Peninsula Corridor Joint Powers Board
State of California**

* * *

Authorizing the Executive Director to Execute a Memorandum of Agreement with Transbay Joint Powers Authority for Planning of the Downtown Rail Extension Enabling Work at 4th and King Railyard

Whereas, the Downtown Rail Extension (DTX) project will extend Caltrain and future California High-Speed Rail service from the existing 4th and King railyard to the Salesforce Transit Center in downtown San Francisco and may have a major impact on Caltrain service; and

Whereas, the Transbay Joint Powers Authority (TJPA), who is responsible for the project delivery of the DTX, has identified the need for enabling works to occur in Caltrain's right-of-way at the 4th and King railyard to accommodate the main DTX station and tunnel construction; and

Whereas, the enabling works includes track realignment, utility relocation, building relocation, and other site work at the railyard and Caltrain is coordinating with the TJPA to advance the design of this enabling sitework; and

Whereas, Caltrain and TJPA have negotiated a Memorandum of Agreement (MOA) to authorize reimbursement from TJPA to Caltrain for planning of this enabling work at 4th and King railyard; and

Whereas, Caltrain will retain consultant services to develop, manage, and administer the DTX work located in Caltrain's right-of-way; and

Whereas, the consultant(s) will be responsible for bringing conceptual planning up to 30% design level, which will provide a more comprehensive understanding of the operational and cost implications of the enabling sitework; and

Whereas, the MOA authorizes reimbursement from TJPA to Caltrain for the consultant services for an initial not-to-exceed amount of \$595,000; and

Whereas, the execution of the MOA between Caltrain and TJPA will provide additional funding that will increase the project budget to \$595,000, from \$4,130,874 to \$4,725,874, increasing the Caltrain FY2023 Capital Budget from \$126,409,412 to \$127,004,412; and

Now, Therefore, Be It Resolved that the Board of Directors authorizes the Executive Director, or designee, to execute a MOA for reimbursement from TJPA to Caltrain for administration of the DTX enabling work at 4th and King railyard; and

Be it Further Resolved that the Board of Directors approves an amendment the Caltrain Fiscal Year 2023 Capital Budget to include \$595,000 to cover the reimbursable expenses in the MOA.

Regularly passed and adopted this 2nd day of March, 2023 by the following vote:

Ayes:

Noes:

Absent:

Chair, Peninsula Corridor Joint Powers Board

Attest:

JPB Secretary



FY2023 AMENDED CAPITAL BUDGET

Attachment B
Amendment 3
March 2023

Item #	PROJECT NAME	FY2023 ADOPTED CAPITAL BUDGET	Amendment 3	FY2023 AMENDED CAPITAL BUDGET	Federal Funds	STA SOGR	Unrestricted Funds	Member Agency Funds					Others			FY2023 AMENDED CAPITAL BUDGET	
								San Francisco	San Mateo	Santa Clara (Gen Funds)	Santa Clara (Measure B)	Total	Others	Externally Funded	Total		
i. S O G R																	
Bridges																	
1	Guadalupe Bridges Replacement ¹ Total Project Budget (Post-Amendment): \$27,312,250	10,959,443		10,959,443	6,353,943	-	-						-	4,605,500	-	4,605,500	10,959,443
2	San Francisquito Creek Bridge Replacement	60,000		60,000	48,000		12,000						-	-	-	-	60,000
	Total Bridges	11,019,443	-	11,019,443	6,401,943	-	12,000	-	-	-	-	-	-	4,605,500	-	4,605,500	11,019,443
Right of Way																	
3	SOGR Track	7,000,000		7,000,000	5,600,000	736,744	63,256	600,000	-	-	-	-	600,000	-	-	-	7,000,000
4	Track Tie Replacement	500,000		500,000	400,000	-	-	-	-	-	100,000	100,000	-	-	-	-	500,000
5	SOGR ROW	800,000		800,000	-	800,000	-	-	-	-	-	-	-	-	-	-	800,000
6	ROW Fencing	1,500,000		1,500,000	-	-	50,000	1,450,000	-	-	-	-	1,450,000	-	-	-	1,500,000
	Total Right of Way	9,800,000	-	9,800,000	6,000,000	1,536,744	113,256	2,050,000	-	-	100,000	2,150,000	-	-	-	-	9,800,000
Signal & Communications																	
7	SOGR Signal & Communications	3,000,000		3,000,000	2,400,000	-	600,000	-	-	-	-	-	-	-	-	-	3,000,000
8	SOGR Fiber Optic	2,585,300		2,585,300	2,068,240	-	517,060	-	-	-	-	-	-	-	-	-	2,585,300
	Total Signal & Communications	5,585,300	-	5,585,300	4,468,240	-	1,117,060	-	-	-	-	-	-	-	-	-	5,585,300
Rolling Stock																	
9	SOGR Locomotive FY23	1,500,000		1,500,000	-	-	650,000	-	-	850,000	-	850,000	-	-	-	-	1,500,000
	Total Rolling Stock	1,500,000	-	1,500,000	-	-	650,000	-	-	850,000	-	850,000	-	-	-	-	1,500,000
Station & Intermodal Access																	
10	SOGR Facilities	1,000,000		1,000,000	-	-	1,000,000	-	-	-	-	-	-	-	-	-	1,000,000
11	SOGR Historical Stations	1,000,000		1,000,000	-	-	-	-	-	1,000,000	-	1,000,000	-	-	-	-	1,000,000
	Total Station & Intermodal Access	2,000,000	-	2,000,000	-	-	1,000,000	-	-	1,000,000	-	1,000,000	-	-	-	-	2,000,000
	Total SOGR	29,904,743	-	29,904,743	16,870,183	1,536,744	2,892,316	2,050,000	-	1,850,000	100,000	4,000,000	4,605,500	-	4,605,500	-	29,904,743
ii. LEGAL MANDATES AND ELECTRIFIED SERVICE RAIL PROGRAM INTEGRATION																	
12	CCTV End of Life Equipment	75,000		75,000	-	-	75,000	-	-	-	-	-	-	-	-	-	75,000
	Total	75,000	-	75,000	-	-	75,000	-	-	-	-	-	-	-	-	-	75,000
iii. OPERATIONAL IMPROVEMENTS/ENHANCEMENTS																	
13	PADS Replacement	1,060,000		1,060,000	-	-	1,060,000	-	-	-	-	-	-	-	-	-	1,060,000
14	Next Generation Visual Messaging Sign (VMS)	2,700,000		2,700,000	-	-	2,700,000	-	-	-	-	-	-	-	-	-	2,700,000
15	BCCF Virtualization Project	1,200,000		1,200,000	-	-	1,200,000	-	-	-	-	-	-	-	-	-	1,200,000
16	Broadband Communications ⁴ Total Project Budget (Post-Amendment): \$28,820,241	14,820,241		14,820,241	-	-	5,193,586	-	-	-	-	-	9,626,655	-	9,626,655	-	14,820,241
17	Caltrain VoIP	222,000		222,000	-	-	222,000	-	-	-	-	-	-	-	-	-	222,000
18	Technology Refresh Assessment	325,000		325,000	-	-	325,000	-	-	-	-	-	-	-	-	-	325,000
19	GIS System - Update & Upgrade	2,000,333		2,000,333	-	-	2,000,333	-	-	-	-	-	-	-	-	-	2,000,333
20	Enterprise Asset Management Software System	1,048,000		1,048,000	-	-	1,048,000	-	-	-	-	-	-	-	-	-	1,048,000
21	Backup Central Control Facility (BCCF) Office Remodel	1,000,000		1,000,000	-	-	1,000,000	-	-	-	-	-	-	-	-	-	1,000,000
22	Support for Property Mapping	500,000		500,000	-	-	500,000	-	-	-	-	-	-	-	-	-	500,000
23	South Linden & Scott Grade Separation*	5,500,000		5,500,000	-	-	-	-	-	-	-	-	-	5,500,000	5,500,000	-	5,500,000
24	Mary Ave/Sunnyvale Ave Grade Separation*	18,898,000		18,898,000	-	-	-	-	-	-	-	-	-	18,898,000	18,898,000	-	18,898,000
25	Rengstorff Grade Separation ⁵ Total Project Budget (Post-Amendment): \$22,000,000	18,500,000		18,500,000	-	-	-	-	-	-	-	-	-	18,500,000	18,500,000	-	18,500,000
26	Middle Ave Undercrossing*	400,000		400,000	-	-	-	-	-	-	-	-	400,000	400,000	-	-	400,000
27	Bernardo Ave Undercrossing*	4,990,000		4,990,000	-	-	-	-	-	-	-	-	4,990,000	4,990,000	-	-	4,990,000
28	San Mateo Grade Crossing Improvements ⁶ Total Project Budget (Post-Amendment): \$5,471,550	3,471,550		3,471,550	-	-	-	-	-	-	-	-	-	3,471,550	3,471,550	-	3,471,550
42	Mountain View Transit Grade Separation ² Total Project Budget (Post-Amendment): \$18,200,000	7,000,000		7,000,000	-	-	-	-	-	-	-	-	7,000,000	-	7,000,000	-	7,000,000



FY2023 AMENDED CAPITAL BUDGET

Attachment B
Amendment 3
March 2023

Item #	PROJECT NAME	FY2023 ADOPTED CAPITAL BUDGET	Amendment 3	FY2023 AMENDED CAPITAL BUDGET	Federal Funds	STA SOGR	Unrestricted Funds	Member Agency Funds					Others			FY2023 AMENDED CAPITAL BUDGET	
								San Francisco	San Mateo	Santa Clara (Gen Funds)	Santa Clara (Measure B)	Total	Others	Externally Funded	Total		
Total		83,635,124	-	83,635,124	-	-	15,248,919	-	-	-	-	-	16,626,655	51,759,550	68,386,205	83,635,124	
iv. PLANNING/STUDIES																	
29	DTX Support ³ Total Project Budget (Post-Amendment): \$4,725,874	3,819,545	595,000	4,414,545	-	-	500,000						-	3,914,545	-	3,914,545	4,414,545
30	Redwood City Corridor Planning	1,000,000		1,000,000	-		25,000		975,000				975,000	-	-	-	1,000,000
31	Rail Network and Operations Planning	200,000		200,000	-		200,000						-	-	-	-	200,000
32	Transit-Oriented Development Studies	750,000		750,000	-		750,000						-	-	-	-	750,000
33	Electric Multiple-Unit (EMU) Hybridization	350,000		350,000	-		-				350,000		350,000	-	-	-	350,000
34	San Francisco Corridor and Stations Planning	250,000		250,000	-		-	250,000					250,000	-	-	-	250,000
35	SF Railyards Preliminary Business Case	250,000		250,000	-		250,000						-	-	-	-	250,000
36	Caltrain Access Policy Update	100,000		100,000	-		100,000						-	-	-	-	100,000
37	Capital Planning Technical Support	250,000		250,000	-		250,000						-	-	-	-	250,000
43	Diridon Business Case ⁷ Total Project Budget (Post-Amendment): \$5,223,935	3,000,000		3,000,000	-		-						3,000,000	-	3,000,000	3,000,000	
Total		9,969,545	595,000	10,564,545	-	-	2,075,000	250,000	975,000	-	350,000	1,575,000	6,914,545	-	6,914,545	10,564,545	
v. DTX FUNDING																	
38	DTX Funding	1,500,000		1,500,000	-		1,500,000						-	-	-	-	1,500,000
Total		1,500,000	-	1,500,000	-	-	1,500,000	-	-	-	-	-	-	-	-	-	1,500,000
vi. CAPITAL/CONTINGENCY FUNDS																	
39	Capital Contingency Funds - Engineering	330,000		330,000	-		-		330,000				330,000	-	-	-	330,000
40	Capital Contingency Funds - Rail	660,000		660,000	-		-		660,000				660,000	-	-	-	660,000
41	Capital Project Development	335,000		335,000	-		-		335,000				335,000	-	-	-	335,000
Total		1,325,000	-	1,325,000	-	-	-	-	1,325,000	-	-	1,325,000	-	-	-	-	1,325,000
Total		126,409,412	595,000	127,004,412	16,870,183	1,536,744	21,791,235	2,300,000	2,300,000	1,850,000	450,000	6,900,000	28,146,700	51,759,550	79,906,250	127,004,412	

* Project is externally funded and relies on separate, project-specific funding plan.

¹ \$1,317,377 is funded by Local Partnership Program (LPP) funds

² \$7,000,000 is funded by Valley Transportation Authority (VTA) Measure B through an Amended Cooperative Agreement between JPB, VTA, and City of Mountain View

³ \$3,319,545 is funded by Transbay Joint Powers Authority (TJPA) through a Letter of Agreement (LOA) between JPB and TJPA

⁴ \$5,500,000 is funded by State Rail Assistance (SRA) funds; \$4,126,655 is proposed to be funded by unconfirmed SRA or State Broadband Grant funds

⁵ \$9,784,564 is funded by VTA Measure B through a Cooperative Agreement between JPB, VTA, and City of Mountain View

⁶ \$1,404,609 is funded by Section 130 Program funds through an amendment to the existing Caltrans Funding Agreement

⁷ \$2,000,000 is funded by Metropolitan Transportation Commission (MTC) through an Amended Master Funding Agreement between JPB and MTC; \$1,000,000 is funded by the City of San Jose through an Amended Funding Agreement between JPB and City of San Jose

**Peninsula Corridor Joint Powers Board
Staff Report**

To: Board of Directors
Through: Michelle Bouchard, Executive Director
From: Sam Sargent, Director, Strategy and Policy
Subject: **Authorize Memorandum of Understanding with the Transportation Agency for Monterey County for Salinas Extension**

Finance
Committee
Recommendation

Technology,
Operations,
Planning, and
Safety Committee
Recommendation

Advocacy and
Major Projects
Committee
Recommendation

Staff Coordinating
Council Reviewed

Staff Coordinating
Council
Recommendation

Action

Staff recommends that the Board of Directors (Board) of the Peninsula Corridor Joint Powers Board (JPB) authorize the Executive Director, or designee, to execute a Memorandum of Understanding (“MOU”) between the Peninsula Corridor Joint Powers Board (“JPB”) and Transportation Agency for Monterey County (“TAMC”) relating to the extension of Caltrain passenger rail service from Gilroy to Salinas.

Significance

Through previous transportation planning studies, TAMC and the State of California determined that transit alternatives to the US 101 Corridor in Monterey County were necessary to reduce congestion in the Monterey Bay and San Francisco Bay areas. TAMC has previously endorsed an extension of Caltrain rail service from Gilroy to Salinas as the preferred transit alternative and Caltrans has included this service extension in its near-term scenario in its 2018 State Rail Plan.

Caltrain and TAMC worked together on a Gilroy-Salinas Feasibility Study (“Study”), which was adopted by the JPB on April 27, 2020. The Study specified that the Monterey County Rail Extension project (“Project”) must be cost-neutral to Caltrain and outlined a range of issues that needed to be confirmed or clarified. Since the adoption of the Study, Caltrain and TAMC counsel and executive staff have engaged in negotiations concerning an MOU. With the conclusion of negotiations, Caltrain and TAMC have agreed to present the proposed MOU to their respective boards.

If approved by the JPB, the MOU would provide the design standards, operations parameters, and coordination expectations for Caltrain and TAMC on the Project. TAMC would serve as the

lead agency for project development, while Caltrain would be the lead agency for future operations. The MOU memorializes the four foundational elements from the 2020 Study, which includes the requirement that any extension to Salinas be cost-neutral for the JPB. In addition, the MOU provides that implementation of the Project is contingent on funding availability and the execution of an operations and maintenance agreement between Caltrain and TAMC.

Budget Impact

No budget impact.

Background

On August 23, 2006, TAMC, as the Lead Agency under the California Environmental Quality Act (CEQA), certified the final Environmental Impact Report (EIR) for the Project. The California Transportation Commission approved TAMC's Final EIR on September 7, 2006. Subsequently, on January 31, 2007, TAMC adopted a resolution endorsing the extension of rail service into Monterey County as the Locally Preferred Alternative for capacity improvements to the US 101 Corridor.

During this environmental and planning process, TAMC and the State of California determined that a system of premium transit services could better compete with automobile travel and attract new transit riders. Investment in rail transit would increase corridor capacity and reduce congestion, improve air quality, and save energy in the Monterey Bay and San Francisco Bay areas. The Governor and Legislature have expressed support for the Project by including the Project in the 2018 California Department of Transportation State Rail Plan.

The State Rail Plan identified the establishment of a regional rail network on the Central Coast with connections from Santa Cruz, Monterey, and Salinas to the statewide network at Gilroy as a critical component of the Monterey Bay area's future mobility network.

Adopted by the JPB on April 27, 2020, the Study evaluated the feasibility of Caltrain operating the new service south of Gilroy on behalf of TAMC. The Study found no operational, legal, or design issues were identified that would make the Project infeasible from the JPB's perspective.

The JPB and TAMC agreed to four foundational elements for any future extension of Caltrain passenger rail service from Gilroy to Salinas. These included:

1. Service must be cost-neutral for the JPB;
2. No changes to the Caltrain mainline (San Francisco to Gilroy);
3. TAMC, working with the state, must address all risks and liabilities of the new service;
and
4. No changes to the JPA governance structure.

These foundational elements are incorporated into the MOU. Caltrain staff recommends that the JPB approve the resolution authorizing the Executive Director to execute the MOU, allowing this regionally significant work to progress.

Following JPB input at the February WPLP committee meeting, Caltrain staff have engaged South County policymakers, VTA board members and staff, and presented to the JPB Citizen's Advisory Committee. The goal is to ensure a clear understanding of the TAMC – JPB MOU, in particular its independent relationship to additional Caltrain service between Tamien and Gilroy stations.

Prepared By: Sam Sargent

Director, Strategy and Policy

650-730-6223

Resolution No. 2023 –

**Board of Directors, Peninsula Corridor Joint Powers Board
State of California**

* * *

**Adopting a Resolution Authorizing the Executive Director, or Designee, to Execute a
Memorandum of Understanding Between the Transportation Agency of Monterey County
and the Peninsula Corridor Joint Powers Board Regarding the Extension of Caltrain Service
from Gilroy to Salinas**

Whereas, Caltrain and the Transportation Agency for Monterey County (TAMC) have a cooperative working relationship for planning, development, and implementation of the extension of Caltrain passenger rail service from Gilroy to Salinas (the “Project”); and

Whereas, through previous transportation planning studies, TAMC and the State of California determined that they needed to invest in a system of premium transit services that could better compete with traveling by automobile and attract new riders from the automotive modes of travel in order to provide additional transportation capacity in the US 101 Corridor, thereby reducing congestion, improving air quality, and saving energy in the Monterey Bay Area and San Francisco Bay Area; and

Whereas, the Governor and the Legislature expressed their support and endorsement of this Project by providing funding for the Project from the Traffic Congestion Relief Act of 2000, the Proposition 116 Rail Bond, the Public Transportation Account, and the Transit and Intercity Rail Capital Program; and

Whereas, the Caltrans State Rail Plan of 2018 includes this service in its near-term scenario;
and

Whereas, in order to provide safe, efficient and effective transportation alternatives to the automobile, TAMC adopted a resolution endorsing the Extension of Rail Service into Monterey County as the Locally Preferred Alternative for the US 101 corridor on January 31, 2007; and

Whereas, Caltrain adopted a Gilroy-Salinas Feasibility Study on April 27, 2020, which specifies that the Project shall be cost-neutral to Caltrain and which outlines a range of issues that will need to be confirmed or clarified; and

Whereas, TAMC, as the Lead Agency under the California Environmental Quality Act (CEQA), certified the final Environmental Impact Report (EIR) on August 23, 2006, and adopted an Addendum to the EIR on August 28, 2013, which EIR and Addendum to the EIR contemplate the actions described herein; and

Whereas, it is recognized that, with respect to some of the provisions set forth herein, numerous actions must be taken pursuant to federal, state, and local laws and regulations before such policies can be implemented; and

Whereas, the purpose of the MOU is to provide a framework for the Parties' cooperation, and the respective duties of the Parties will be set forth in subsequent permits and agreements;

Now, therefore, be it resolved that the Board of Directors authorizes the Executive Director, or designee, to execute the MOU, in substantially the same form as set forth in

Attachment A, and to take all necessary actions to implement the MOU following execution of the MOU.

Regularly passed and adopted this 2nd day of March 2023 by the following vote:

Ayes:

Noes:

Absent:

Chair, Peninsula Corridor Joint Powers Board

Attest:

JPB Secretary

**Peninsula Corridor Joint Powers Board
Staff Report**

To: Board of Directors
Through: Michelle Bouchard, Executive Director
From: Rob Barnard, Deputy Chief, Rail Development
Subject: **Authorize Use of Construction Manager/General Contractor (CMGC) Project Delivery Method for the Broadway Grade Separation Project**

Finance
Committee
Recommendation

Technology,
Operations,
Planning, and
Safety Committee
Recommendation

Advocacy and
Major Projects
Committee
Recommendation

Staff Coordinating
Council Reviewed

Staff Coordinating
Council
Recommendation

Action

Staff Coordinating Council recommends that the Board of Directors (the “Board”) of the Peninsula Corridor Joint Powers Board (“JPB”):

1. Make findings that use of the Construction Manager/General Contract (CMGC) project delivery method for the Broadway Grade Separation Project (Project) will accomplish one or more of the following objectives: reduce project costs, expedite the project's completion, or provide features not achievable through the more traditional Design-Bid-Build (DBB) method, as required to utilize this project delivery method pursuant to Public Utilities Code section 103395;
2. Authorize the use of the CMGC project delivery method for the Project based on these findings; and
3. Authorize the Executive Director, or designee, to file any other required documentation and to take any other actions necessary to give effect to this action.

Significance

Authorization of the Use of CMGC Method. The Board previously authorized use of CMGC project delivery method on August 4, 2022, for the Mountain View Grade Separation and Access Project. Procurement of CMGC services for the Mountain Project is currently underway.

The Legislature enacted Assembly Bill 797 in 2013 to authorize the San Mateo County Transit District to use the CMGC project delivery approach for public transit projects within its jurisdiction. This authorization extends to the JPB pursuant to the Joint Powers Agreement, which established the JPB.

Pursuant to Public Utilities Code section 103395, the JPB may enter into a CMGC project delivery method contract only after taking the following steps. First, JPB must evaluate the

traditional design-bid-build process of construction and CMGC method of project delivery in a public meeting. Second, JPB must then make written findings that the use of the CMGC project delivery method on a specific project under consideration will accomplish one or more of the following objectives:

- Reduce project costs;
- Expedite the project's completion; or
- Provide features not achievable through the design-bid-build method.

The JPB must make findings *prior* to entering a CMGC project delivery method contract. Contracting using the CMGC project delivery method requires two steps. First, the JPB issues a best-value procurement to engage a contractor for preconstruction services. The initial agreement must include a provision for subsequent negotiation of any of the later stages of the project including the construction itself. Second, if the JPB would like to award a contract for construction services after the initial phase of the contract, a Total Contract Price (TCP) must be negotiated. If an acceptable TCP cannot be negotiated, then JPB may award the subsequent phases of the contract using any other method of project delivery permitted by law.

Under the CMGC project delivery method, the agency conducts two qualifications-based selections to separately hire a designer and a CMGC contractor (contractor) to collaborate during the pre-construction design phase to deliver the Project. The contractor is initially authorized to participate in the pre-construction design phase work. Upon agreement on the Total Contract Price (TCP) to deliver the construction work, the contractor's construction phase contract will be executed. The CMGC project delivery balances and facilitates important factors relating to the agency's control, including relationships with stakeholders and access to designer and contractor expertise during the pre-construction design phase.

Broadway Grade Separation Project. The Project objectives of the Broadway Grade Separation Project are to:

- Improve safety for all modes of travel.
- Improve overall traffic flow.
- Reduce traffic delays caused by gate down times.

After assessment (described in more detail in the background section below) of the respective merits of both the DBB and CMGC project delivery methods and how these different project delivery methods would best address the unique features and complexities of the Broadway Grade Separation Project, Staff has determined that use of the CMGC project delivery method will provide benefits that are not achievable through the DBB process. The CMGC project delivery method will allow contractor collaboration with the designer, providing opportunities to improve the project with innovative solutions.

Staff recommends that the Board make specific findings that the CMGC project delivery will also result in reduced project costs and expedited project completion. See Section 6.2 of the Project Delivery Method Evaluation report dated January 2023 (attached) for additional

information. Proof of the cost and schedule benefits resulting from CMGC project delivery are documented in many industry documents and reports. A listing of some of the available industry documents and reports related to CMGC project delivery cost and schedule benefits are included in the *References Appendix C* section of said report, which also documents the methods and results of the November 2022 Project Delivery Method Assessment Workshop.

Staff recommends that the Board make these findings and authorize the use of the CMGC method for the Project. In the future, Staff will seek authorization from the Board to (1) enter into agreements with City of Burlingame and the San Mateo County Transportation Authority (TA) to add to the budget to the Final Design and Pre-Construction phase; (2) amend the FY23 budget to include new funds; and (3) amend the Project budget authority.

Budget Impact

There is no immediate budget impact as the result of Board action to authorize use of the CMGC contracting approach over the traditional DBB contracting process for the Broadway Grade Separation Project.

Separate from this Board action, project cost updates and project delivery contract negotiations impacting the Broadway Grade Separation Project budget will be discussed and reflected in future JPB budgets.

Background

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

Assessment of Project Delivery Method. To select a project delivery method for the Project, representatives of the project stakeholders (Caltrain, the City of Burlingame, and the San Mateo County Transportation Authority) composed an evaluation team that met and conducted a facilitated Project Delivery Assessment Workshop in November 2022. The objective of the Workshop was to allow the evaluators to compare and score the CMGC and DBB project delivery methods.

The Workshop participants completed the Transportation Cooperative Research Program (TCRP) Report 131-based analytical project delivery method assessment. This analytical project delivery assessment was conducted as a facilitated group discussion with the issue ranking completed using a consensus approach. Following the TCRP Report 131-based project delivery

method assessment, the participants completed the Modified Caltrans Quantitative Project Delivery Assessment Worksheets. Following are the participants' scores for the two project delivery methods:

Ranking or Scoring Method	DBB	CMGC
TCRP Report 131 Analytical Method	46	62
Modified Caltrans Quantitative Method	52	77

The higher scores for CMGC in each ranking method indicate a high level of confidence that the CMGC project delivery method will provide the agency with greater benefits than the traditional design bid build method in achieving the project goals and objectives including cost certainty and expedited schedule.

Based on these results, it was found that the CMGC project delivery method will achieve the Project schedule objectives and reduce Project costs, providing the dominant and obvious choice for delivering the Broadway Grade Separation Project. The conclusion reached by the evaluation team is that the CMGC project delivery method offers several advantages over traditional Design-Bid-Build methods, including potential time and cost savings and providing opportunities for project innovation. Additional details on the scoring methodologies and results can be found in the *Project Delivery Method Evaluation* report dated January 2023, attached.

Conclusions of the Assessment. As noted in the previous Assessment of Project Delivery Method section, the project delivery evaluation team conducted two detailed analyses of potential project delivery methods in a one day facilitated Workshop. The results of these analyses presented in the previous section demonstrate the CMGC project delivery method is superior to the traditional DBB project delivery method. The Workshop methods and analysis results are documented in the *Project Delivery Method Evaluation* dated January 2023, attached.

Use of the CMGC project delivery method to complete the final design of and construct the Broadway Grade Separation Project will: (a) result in substantial costs savings and reduce risk to the JPB; (b) allow the JPB to select a highly qualified contractor with the specialized expertise required to deliver the project; (c) benefit the public by improving safety and coordination during construction; and (d) avoid favoritism and promote competition.

Prepared By:	Alex Acenas	Senior Project Manager	650.730.0502
	Rob Barnard	Deputy Chief, Rail Development	650.508.7783

Resolution No. 2023 –

**Board of Directors, Peninsula Corridor Joint Powers Board
State of California**

* * *

**Authorize Use of Construction Manager General Contractor (CMGC) Project Delivery
Method Pursuant to Public Utilities Code Section 103395 for the Broadway Grade
Separation Project**

Whereas, the City of Burlingame (City) and the San Mateo County Transportation Authority (TA) desire to grade separate the Broadway at-grade crossing to improve safety and reduce traffic congestion; and

Whereas, the Broadway Grade Separation Project objectives are to: improve safety for all modes of travel, improve overall traffic flow and reduce traffic delays caused by gate down times; and

Whereas, the Legislature enacted Assembly Bill No. 797 in 2013 to authorize the San Mateo County Transit District to use the Construction Manager General Contractor (CMGC) project delivery approach for public transit projects within its jurisdiction. This authorization extends to the Peninsula Corridor Joint Powers Board (JPB) pursuant to the Joint Powers Agreement, which established the JPB; and

Whereas, pursuant to Public Utilities Code section 103395, the JPB may enter into a CMGC project delivery method contract after taking the following steps. First, the JPB must evaluate the traditional design-bid-build (DBB) process of construction compared to the CMGC method of project delivery in a public meeting. Second, the JPB must make written findings that the use of the CMGC project delivery method on the specific project under consideration will

accomplish one or more of the following objectives: (1) reduce project costs; (2) expedite the project's completion; or (3) provide features not achievable through the design-bid-build method; and

Whereas, agency staff representatives of the JPB, the City, and the TA have investigated different project delivery methods and have evaluated the respective merits of delivering the Broadway Grade Separation Project through the CMGC project delivery method versus the DBB method; and

Whereas, staff has determined, based on the evaluation described in the Project Delivery Method Evaluation Report dated January 2023 and provided to the Board prior to the meeting of the JPB on March 2, 2023, that use of the CMGC project delivery method will benefit the JPB by providing project features not achievable through the DBB project delivery method, such as opportunities for project innovation, and will likely also result in the reduction of project costs and promote the expeditious completion of the project; and

Whereas, based on this evaluation, staff recommends that the Board make findings that the use of the CMGC project delivery method is in the best interest of the JPB and authorize the use of the CMGC project delivery method to complete the Broadway Grade Separation Project; and

Now, Therefore, Be It Resolved the Board of Directors of the Peninsula Corridor Joint Powers Board hereby finds that utilizing the CMGC project delivery method pursuant to Public Utilities Code section 103395 for the Broadway Grade Separation Project will be in the best interest of the JPB as it will accomplish the objectives of providing project features not achievable

through the traditional DBB project delivery method and will likely also reduce project costs and expedite completion; and

Be It Further Resolved based upon these findings, the Board hereby authorizes staff to proceed with using the CMGC project delivery method pursuant to Public Utilities Code Section 103395.

Be It Further Resolved that the Board authorizes the Executive Director, or designee, to take such additional actions as may be necessary to give effect to this resolution.

Regularly passed and adopted this 2nd day of March 2023 by the following vote:

Ayes:

Noes:

Absent:

Chair, Peninsula Corridor Joint Powers Board

Attest:

JPB Secretary

**Peninsula Corridor Joint Powers Board
Staff Report**

To: Board of Directors
Through: Michelle Bouchard, Executive Director
From: Robert Barnard, Deputy Chief, Rail Development
Subject: **Capital Projects Quarterly Status Report – 2nd Quarter Fiscal Year 2023**

Finance
Committee
Recommendation

Technology,
Operations,
Planning, and
Safety Committee
Recommendation

Advocacy and
Major Projects
Committee
Recommendation

Staff Coordinating
Council Reviewed

Staff Coordinating
Council
Recommendation

Action

Staff Coordinating Council recommends the Board receives the Capital Projects Quarterly Status Report. The full report and a summarized version are in the following link:

<https://www.caltrain.com/about-caltrain/statistics-reports/quarterly-capital-program-status-report>.

Significance

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

Budget Impact

There is no impact on the budget.

Background

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

Prepared By: Robert Cheung Deputy Director, Project Controls (650) 730-0296



Capital Program Quarterly Status Report and DBE Status Report



**2nd Quarter Fiscal Year 2023
(October to December 2022)**

Prepared for the March 02, 2023 Caltrain Board Meeting

DRAFT

Projects in Focus

Concerning (projects with red status lights)

1. 100410 - Whipple Avenue Grade Separation Study

- **Schedule:** The scope of work for the next phase of the project is to be determined but will likely include additional planning work. As a result the project will temporarily pause as Caltrain and City Staff discuss next steps.

2. 100439 - Bayshore Station Overpass Pedestrian Bridge Rehab

- **Schedule:** Delay is due to revisions to Scaffolding and Containment plan and approval of Site Specific Work Plan. Approval of the Scaffolding and Containment plan required numerous revisions to accommodate PCEP wire installation, and structural calculations required to verify the temporary structure per contract specifications. Approval of the Site Specific Work Plan required numerous coordination meetings with Rail Operations, and Customer access to path of travel, platform closures, and signage. Contractor is working to add multiple shifts to further mitigate the schedule delays.

3. 100427 - San Francisquito Creek Bridge Replacement

-**Schedule:** Proposed new scope is pending approval from the Management Committee. The project will be presented to Management Committee in March 2023.

-**Budget:** Proposed new scope is pending approval from the Management Committee. The project will be presented to Management Committee in March 2023.

4. 100445 - Automatic Passenger Counters at San Francisco 4th & King Station

- **Schedule:** The COVID-19 Pandemic caused delay in development and logistics. The schedule issue was escalated within Centum Adetel and Caltrain. The Centum Team provided a revised Schedule to complete installation, commissioning and training by 04/01/2023. Project Manager to request schedule re-baseline at February 2023 Management Committee meeting.

5. 100574 - Next Generation Clipper Validator Station Site Prep

-**Schedule:** The schedule has been extended due to delay in Substantial Completion. The project will be submitted to management committee for schedule re-baseline in February 2023.

6. 100667 - Bernardo Avenue Undercrossing

-**Schedule:** The schedule has been delayed due to the extensive analysis and review of the concept alternatives provided by the City to help them decide the path forward. The City has decided to move ahead with the preparation of 35% plans using their consultant. The schedule will be fine-tuned and submitted to management committee for re-baseline at March 2023 meeting.

-**Budget:** Project EAC is higher due to Construction and Construction Management cost estimate and requires additional funding. Project Manager to seek approval from Management Committee for increasing the budget and re-baseline at March 2023 meeting.

7. 100668 - Sunnyvale Grade Separation

- **Schedule:** The City of Sunnyvale is performing alternatives analysis for the Mary Avenue grade separation. The alternatives analysis and community outreach has taken longer than originally expected. The City will hand over the project to Caltrain once the conceptual (15% plans) study is complete. Caltrain will explore potential options to accelerate the project including alternative delivery methods.

8. 100685 - Verizon Sink Hole Repair San Jose

- **Schedule:** Project Schedule is extended due to delay in agreements between the parties. Request the Management Committee to re-baseline the schedule once the agreement with Verizon is finalized.

9. 100686 - Middle Avenue Undercrossing

- **Budget:** Additional alternatives analysis and price escalation are factors contributing to higher costs. Caltrain will work with the City to explore cost effective solutions.

Watching (projects with yellow status lights)

1. 002113 - Guadalupe River Bridges Replacement and Extension

- **Funding:** The JPB Board approved the funding plan for the project which relies on additional funding from the FY2024 and FY2025 SOGR Federal funding. Limited Notice to Proceed was issued to the contractor, Walsh Construction, on 11/21/2022.

2. 100278 - Mary Avenue Traffic Signal Preemption




- **Schedule:** The schedule has been delayed due to delay in project closeout. Gate 8 - Project Closeout Complete will be presented to Management Committee in February 2023.

3. 100676 - San Mateo Replacement Parking Track

- **Funding:** Additional funds to support construction required. Seek 50% match from MTC's Local Partnership Program funding to support spring 2023 construction.

Performance Summary

Table S1. Projects in each status light by performance category

Status Light	Safety	Schedule	Budget	Funding
 Green	100.0%	75.0%	91.7%	94.4%
 Yellow	0.0%	2.8%	0.0%	5.6%
 Red	0.0%	22.2%	8.3%	0.0%

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

Table S2. Summary of project changes from previous quarter

Status Changes	Projects	Pct. Projects
All green	15	41.7%
Improved	9	25.0%
Got worse	7	19.4%
Stayed the same (except all green)	5	13.9%
Total Projects	36	

Table S3. Individual Projects

Project Number	Title	Safety		Schedule		Budget		Funding		Page
		Q1	Q2	Q1	Q2	Q1	Q2	Q1	Q2	
CONSTRUCTION/IMPLEMENTATION										
Grade Separations										
002088	25th Avenue Grade Separation	●	●	●	●	●	●	●	●	7
ROW Bridges										
002113	Guadalupe River Bridges Replacement and Extension	●	●	●	●	●	●	●	●	13
100439	Bayshore Station Overpass Pedestrian Bridge Rehab	●	●	●	●	●	●	●	●	19
ROW Grade Crossings										
100522	Watkins Ave Grade Crossing Safety Improvements	●	●	●	●	●	●	●	●	25
ROW Communications & Signals										
100278	Mary Avenue Traffic Signal Preemption	●	●	●	●	●	●	●	●	29
100403	Broadband Wireless Communications System	●	●	●	●	●	●	●	●	33
Fare Collection										
100240	Ticket Vending Machines (TVM) Rehab	●	●	●	●	●	●	●	●	37
100574	Clipper Next Generation Validators Site Preparations	●	●	●	●	●	●	●	●	42
Miscellaneous										
100233	MP-36 Locomotive Mid-Life Overhaul Project	●	●	●	●	●	●	●	●	47
100430	CCF BCCF Virtualization	●	●	●	●	●	●	●	●	51
100445	Automatic Passenger Counters at San Francisco 4th & King Station	●	●	●	●	●	●	●	●	54
DESIGN (includes Preliminary and Final Design, and Procurement)										
Grade Separations										
002152	South Linden & Scott Grade Separation	●	●	●	●	●	●	●	●	59
100244	Burlingame Broadway Grade Separation	●	●	●	●	●	●	●	●	62
100482	Rengstorff Grade Separation	●	●	●	●	●	●	●	●	66
100617	Mountain View Transit Center Grade Separation & Access Project	●	●	●	●	●	●	●	●	71
ROW Bridges										
100427	San Francisquito Creek Bridge Replacement	●	●	●	●	●	●	●	●	76
ROW Grade Crossings										
100426	Churchill Avenue Grade Crossing	●	●	●	●	●	●	●	●	81
100563	FY21-22 Grade Crossing Improvements	●	●	●	●	●	●	●	●	84
100566	San Mateo Grade Crossing Improvements	●	●	●	●	●	●	●	●	87
ROW Communications & Signals										
100432	Migration to Digital Voice Radio System	●	●	●	●	●	●	●	●	91
100449	Next Generation Visual Messaging Sign (VMS)	●	●	●	●	●	●	●	●	94
100572	Communication System SOGR	●	●	●	●	●	●	●	●	97
100614	Predictive Arrival/Departure System (PADS) Replacement	●	●	●	●	●	●	●	●	100
100616	Caltrain Fiber Connectivity to Passenger Stations and Digital Voice	●	●	●	●	●	●	●	●	103
Miscellaneous										
100676	San Mateo Replacement Parking Track	●	●	●	●	●	●	●	●	107
100684	Mini-High Platforms	●	●	●	●	●	●	●	●	110

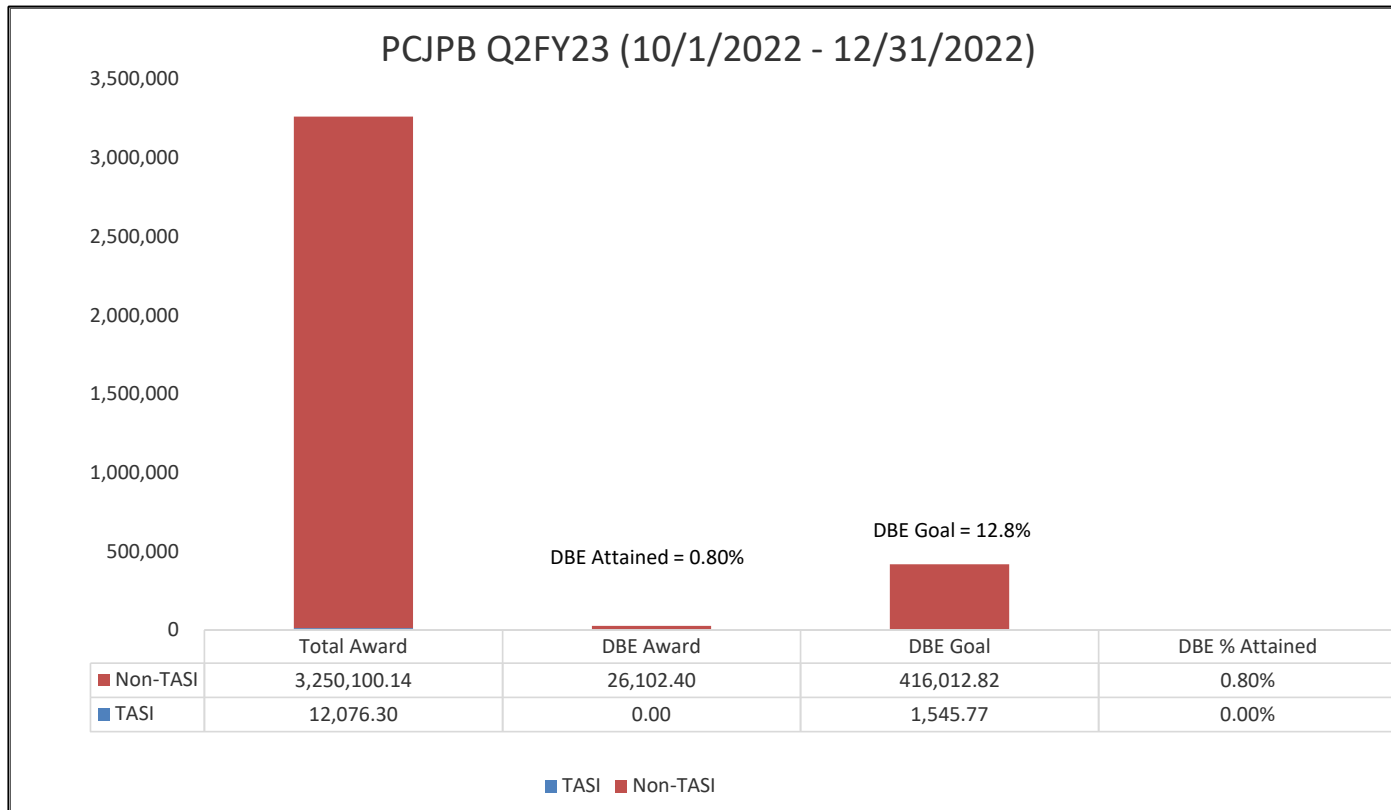
Table S3. Individual Projects (Continued)

Project Number	Title	Safety		Schedule		Budget		Funding		Page
		Q1	Q2	Q1	Q2	Q1	Q2	Q1	Q2	
PLANNING (includes Initiation and Design to 15%)										
Grade Separations										
100410	Whipple Avenue Grade Separation Study	●	●	●	●	●	●	●	●	114
100667	Bernardo Avenue Undercrossing	●	●	●	●	●	●	●	●	117
100668	Sunnyvale Grade Separation	●	●	●	●	●	●	●	●	120
100686	Middle Avenue Undercrossing	●	●	●	●	●	●	●	●	123
Miscellaneous										
100564	Enterprise Asset Management (EAM) Software System	●	●	●	●	●	●	●	●	127
100565	Update and Upgrade GIS System	●	●	●	●	●	●	●	●	130
100673	CCTV Study-Assessment		●	●	●	●	●	●	●	134
100685	Verizon Sink Hole Repair San Jose	●	●	●	●	●	●	●	●	137
100687	Downtown Rail Extension (DTX)	●	●	●	●	●	●	●	●	140
CLOSEOUT (includes Start-up/Turnover and Closeout)										
Stations										
002146	South San Francisco Station Improvement	●	●	●	●	●	●	●	●	144

Appendix A - Disadvantaged Business Enterprise (DBE)

Disadvantaged Business Enterprise (DBE)

PCJPB Award



Note: The overall triennial DBE goal for Federal Fiscal Year 2023-25 is 12.8%.

**Peninsula Corridor Joint Powers Board
Staff Report**

To: Board of Directors
Through: Michelle Bouchard, Executive Director
From: Casey Fromson, Chief Communications Officer
Subject: **State and Federal Legislative Update and Approval of Legislative Proposal:
Support ACA 1 (Aguiar-Curry)**

Finance Committee Recommendation Advocacy and Major Projects Committee Recommendation Staff Coordinating Council Reviewed Staff Coordinating Council Recommendation

Action

Staff proposes the Committee recommend the Board:

1. Receive the attached State and Federal Legislative Updates
2. Approve Legislative Proposal: Support ACA 1 (Aguiar – Curry)

Significance

The 2023 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.

Budget Impact

None.

Background

None.

Prepared By: Devon Ryan Government & Community Affairs 650.730.6172
Officer



February 10, 2023

TO: Caltrain Board of Directors

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

RE: **STATE LEGISLATIVE UPDATE – March 2023**

General Update

The Legislature is back in session and legislators are busy introducing new legislation until the bill introduction deadline on February 17.

Budget Update

As discussed in last month's report, the Governor presented his proposed 2023-24 January Budget in mid-January. To deal with the projected \$22.5 billion deficit, the proposed budget included various "trigger reductions" in the climate and transportation sector, including a \$2 billion reduction in Transit Intercity Rail Capital Program (TIRCP) funding.

In response, Senator Wiener submitted a letter signed by 12 other legislators (some of whom are part of Caltrain's legislative delegation) urging the Governor to restore the reductions and provide transit operations funding based on the fiscal cliff faced by many transit agencies.

TIRCP Update. On January 31, the much-anticipated TIRCP awards were announced and Caltrain secured \$367 million in state funding for the Peninsula Corridor Electrification Project (PCEP).

Bills with Recommended Action

ACA 1 (Aguiar-Curry) – Local Government Financing. Assemblymember Aguiar-Curry reintroduced ACA 1, which would reduce the voter-approval threshold from 2/3 to 55% for cities and counties to issue bonds or raise taxes for public infrastructure and affordable housing projects. Caltrain supported this measure in 2021. *Recommend support.*

Legislation of Interest

AB 6 (Friedman) – Transportation Planning. AB 6 is an intent bill that declares the Legislature's intent to require regional transportation agencies to prioritize and fund transportation projects (including those funded by a local sales tax measure) that contribute to the goals outlined in the region's sustainable community strategy and the state's climate goals.

AB 7 (Friedman) – Transportation Funding for Capacity Projects. Assemblymember Friedman introduced a second intent bill that states intent to eliminate single occupancy vehicle freeway projects and allow for capacity projects only for bus transit, rail and active transportation projects that significantly add safety and reduce congestion without interfering with existing maintenance and rehabilitation needs.

AB 96 (Kalra) – Local Public Transit Agencies: New Technologies. Assemblymember Kalra reintroduced a version of AB 2441 from last year, which was ultimately vetoed by the Governor. The bill imposes requirements on public transit employers relating to the introduction of new technologies that could eliminate job functions and requires public transit employers to provide 12 month notice to employee representatives prior to procuring, acquiring or deploying these technologies and subject this to collective bargaining, among other requirements.

AB 463 (Hart) - Public Transit Electricity Prioritization. This bill would require the California Public Utilities Commission (CPUC) to consider the impacts of stopping electrical service to the operation of public transit vehicles when establishing priorities for electrical services that provide public benefits.

AB 557 (Hart) - Brown Act Teleconference Flexibilities. This bill would remove the sunset established in AB 361 (R. Rivas) as well as increase the time period when the Board must renew the findings of an emergency or need for social distancing from 30 days to 45 days.

AB 610 (Holden) - Free Youth Transit Passes. Assemblymember Holden reintroduced AB 1919 from last session that requires the creation of a Youth Free Transit Pass Pilot program.

SB 411 (Portantino) - Brown Act Flexibility for Appointed Bodies. This bill would allow local legislative bodies with appointed members to use teleconferencing indefinitely regardless of the presence of an emergency.

Proposed Regulation

California Air Resources Board (CARB) Proposed In-Use Locomotive Regulation.

This proposed regulation is intended to speed the transition to zero-emission vehicles away from diesel locomotives for rail operators in the state. Caltrain submitted a comment letter on November 7 and comments at the November 18 Board hearing that detailed these issues. Caltrain will continue to work with CARB staff and the California Transit Association to reach a path forward.

Grants

Transit and Intercity Rail Capital Program – The Transit and Intercity Rail Capital Program (TIRCP) provides grants from the Greenhouse Gas Reduction Fund to fund transformative capital improvements that will modernize California’s intercity, commuter, and urban rail systems, and bus and ferry transit systems, to significantly reduce emissions of greenhouse gases, vehicle miles traveled, and congestion. Eligible projects include zero-emission vehicles and associate fueling or charging infrastructure of facility modifications.

Current Guidelines: Cycle 6 guidelines found here

Status: Grant funding awarded

Last year, the CTC hosted workshops for the three SB 1 programs it oversees – the Solutions for Congested Corridors Program (SCCP), Local Partnership Program (LPP), and the Trade Corridor

Enhancement Program (TCEP). The CTC solicited applications for the next round of funding in Summer 2022 and will announce project awards in Summer 2023. As a reminder, in late-2020, the California Transportation Commission awarded grants for three SB 1 programs – the Solutions for Congested Corridors Program, Local Partnership Program, and the Trade Corridor Enhancement Program.

Caltrans – Caltrans has released the FY 2023-24 Sustainable Transportation Planning Grant application guide and call for applications. The program has a total of \$84 million available for transportation planning projects statewide.

Current Guidelines: Guidelines can be found here.

Status: Applications are due March 9, 2023.

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. The 2022 STIP, adopted in March 2022, includes \$796 million in new STIP funding capacity. Local agencies receive a share of STIP funding, as does the State. The STIP is funded with gasoline excise tax revenues.

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.

State Legislative Matrix 2/10/2023

Bill Number (Author)	Summary	Location	Position
AB 6 (Friedman D) Transportation planning.	Existing law requires certain transportation planning agencies to prepare and adopt regional transportation plans directed at achieving a coordinated and balanced regional transportation system. Existing law requires each regional transportation plan to also include a sustainable communities strategy prepared by each metropolitan planning organization in order to, among other things, achieve certain targets established by the State Air Resources Board for the reduction of greenhouse gas emissions from automobiles and light trucks in the region for 2020 and 2035, respectively. This bill would state the intent of the Legislature to enact subsequent legislation that would require regional transportation agencies to prioritize and fund transportation projects, including those funded by a local sales tax measure, that significantly contribute towards the goals outlined in a region's sustainable communities strategy and the state's climate goals. Introduced: 12/5/2022	Assembly Print	Watch
AB 7 (Friedman D) Transportation: funding: capacity projects.	Existing law requires the Department of Transportation to improve and maintain the state's highways, and establishes various programs to fund the development, construction, and repair of local roads, bridges, and other critical transportation infrastructure in the state. This bill would state the intent of the Legislature to enact subsequent legislation that would eliminate single occupancy vehicle freeway capacity projects, and allow capacity projects only for bus rapid transit, rail, active transportation purposes, projects that significantly add safety, and projects that significantly reduce congestion, without interfering with existing maintenance and rehabilitation needs. Introduced: 12/5/2022	Assembly Print	Watch
AB 96 (Kalra D) Public employment: local public transit agencies: autonomous transit vehicle technology.	Existing law creates various transit districts and prescribes requirements applicable to their labor relations, including those that address the recognition and certification of exclusive employee representatives, unit determinations, and procedures for meeting and conferring on matters subject to collective bargaining. This bill would require a public transit employer to provide written notice to the exclusive employee representative of the workforce affected by autonomous transit vehicle technology of its determination to begin, or its substantive progress toward initiating, any procurement process or a plan to acquire or deploy any autonomous transit vehicle technology for public transit services that would eliminate job functions or jobs of the workforce to which the autonomous transit vehicle technology applies not less than 12 months before commencing the process, plan, or deployment. The bill would require a public transit employer, upon a written request of the exclusive employee representative, to provide specified information to the exclusive employee representative, including the potential gaps in skills that may result from the new service. The bill would require the public transit employer, following the written request for information by the exclusive employee representative, and within 30 days of receiving the specified information, to commence collective bargaining on specified subjects, including creating plans to train and prepare the affected workforce to fill new positions created by the autonomous transit vehicle technology.	Assembly Public Employment and Retirement	Watch

	Introduced: 1/9/2023		Item #6.g. 3/2/2023
AB 241 (Reyes D) Clean Transportation Program.	The California Alternative and Renewable Fuel, Vehicle Technology, Clean Air, and Carbon Reduction Act of 2007 creates the Clean Transportation Program, administered by the State Energy Resources Conservation and Development Commission, to provide funding to certain entities to develop and deploy innovative technologies that transform California’s fuel and vehicle types to help attain the state’s climate change policies. This bill would state the intent of the Legislature to enact future legislation related to the Clean Transportation Program. Introduced: 1/13/2023	Assembly Print	Watch
AB 463 (Hart D) Electricity: prioritization of service: public transit vehicles.	Existing law vests the Public Utilities Commission with regulatory authority over public utilities, including electrical corporations and gas corporations. Existing law requires the commission to establish priorities among the types or categories of customers of every electrical corporation and every gas corporation, and among the uses of electricity or gas by those customers, to determine which of those customers and uses provide the most important public benefits and serve the greatest public need, and to categorize all other customers and uses in order of descending priority based on these standards. Existing law requires the commission, in establishing those priorities, to consider, among other things, the economic, social, and other effects of a temporary discontinuance in electrical or gas service to certain customers or for certain uses, as specified. If an electrical or gas corporation experiences a shortage of capacity or capability and is unable to meet all demands by its customers, existing law requires the commission to order that service be temporarily reduced by an amount that reflects the established priorities for the duration of the shortage. This bill would require the commission, in establishing those priorities, to also consider the economic, social equity, and mobility impacts of a temporary discontinuance in electrical service to the customers that rely on electrical service to operate public transit vehicles. This bill contains other related provisions and other existing laws. Introduced: 2/6/2023	Assembly Print	Watch
AB 480 (Ting D) Surplus land.	Existing law prescribes requirements for the disposal of surplus land by a local agency, as defined, and requires, except as provided, a local agency disposing of surplus land to comply with certain notice requirements before disposing of the land or participating in negotiations to dispose of the land with a prospective transferee, particularly that the local agency send a notice of availability to specified entities that have notified the Department of Housing and Community Development of their interest in surplus land, as specified. Under existing law, if the local agency receives a notice of interest, the local agency is required to engage in good faith negotiations with the entity desiring to purchase or lease the surplus land. Existing law defines terms for purposes of these provisions, including the term “exempt surplus land,” which includes, among other things, surplus land that is put out to open, competitive bid by a local agency, as specified, for purposes of a mixed-use development that is more than one acre in area, that includes not less than 300 housing units, and that restricts at least 25% of the residential units to lower income households with an affordable sales price or an affordable rent for a minimum of 55 years for rental housing and 45 years for ownership housing. This bill would modify these provisions to require that the mixed-use development include not less than 300 residential units. Introduced: 2/7/2023	Assembly Print	Watch
AB 557 (Hart D) Open meetings: local agencies: teleconferences.	Existing law, the Ralph M. Brown Act, requires, with specified exceptions, that all meetings of a legislative body of a local agency, as those terms are defined, be open and public and that all persons be permitted to attend and participate. The act contains specified provisions regarding providing for the ability of the public to observe and provide comment. The act allows for meetings to occur via	Assembly Print	Watch

	<p>teleconferencing subject to certain requirements, particularly that the legislative body notice each teleconference location of each member that will be participating in the public meeting, that each teleconference location be accessible to the public, that members of the public be allowed to address the legislative body at each teleconference location, that the legislative body post an agenda at each teleconference location, and that at least a quorum of the legislative body participate from locations within the boundaries of the local agency’s jurisdiction. The act provides an exemption to the jurisdictional requirement for health authorities, as defined. Existing law, until January 1, 2024, authorizes a local agency to use teleconferencing without complying with those specified teleconferencing requirements in specified circumstances when a declared state of emergency is in effect, or in other situations related to public health, as specified. If there is a continuing state of emergency, or if state or local officials have imposed or recommended measures to promote social distancing, existing law requires a legislative body to make specified findings not later than 30 days after the first teleconferenced meeting, and to make those findings every 30 days thereafter, in order to continue to meet under these abbreviated teleconferencing procedures. Existing law requires a legislative body that holds a teleconferenced meeting under these abbreviated teleconferencing procedures to give notice of the meeting and post agendas, as described, to allow members of the public to access the meeting and address the legislative body, to give notice of the means by which members of the public may access the meeting and offer public comment, including an opportunity for all persons to attend via a call-in option or an internet-based service option. Existing law prohibits a legislative body that holds a teleconferenced meeting under these abbreviated teleconferencing procedures from requiring public comments to be submitted in advance of the meeting and would specify that the legislative body must provide an opportunity for the public to address the legislative body and offer comment in real time. This bill would extend the above-described abbreviated teleconferencing provisions when a declared state of emergency is in effect, or in other situations related to public health, as specified, indefinitely. The bill would also extend the period for a legislative body to make the above-described findings related to a continuing state of emergency and social distancing to not later than 45 days after the first teleconferenced meeting, and every 45 days thereafter, in order to continue to meet under the abbreviated teleconferencing procedures. This bill contains other related provisions and other existing laws.</p> <p>Introduced: 2/8/2023</p>		<p>Item #6.g. 3/2/2023</p>
<p><u>AB 610 (Holden D)</u> Youth Transit Pass Pilot Program: free youth transit passes.</p>	<p>Existing law declares that the fostering, continuance, and development of public transportation systems are a matter of state concern. Existing law authorizes the Department of Transportation to administer various programs and allocates moneys for various public transportation purposes. Upon the appropriation of moneys by the Legislature, this bill would create the Youth Transit Pass Pilot Program, administered by the department, for purposes of awarding grants to transit agencies for the costs of creating, designing, developing, advertising, distributing, and implementing free youth transit passes to persons attending certain educational institutions, providing free transit service to holders of those passes, and administering and participating in the program, as specified. The bill would authorize a transit agency to submit a grant application in partnership with one or more educational institutions and would also authorize grant funds to be used to maintain, subsidize, or expand an existing fare free program, as provided. The bill would authorize a transit agency with an existing fare free program that enables a person 18 years of age or younger to use a transit agency’s bus and rail services without paying any additional fare or charge to submit an application without an educational institution partner, as provided. The bill would require the department to submit a report to specified committees of the Legislature on or before January 1, 2028, on, among other things, the outcomes of the program and the funding conditions associated with offering free youth transit passes, the status of transit pass programs statewide, and whether these provisions led to reductions in the emissions of greenhouse gases and vehicle miles traveled, as provided. The bill would repeal its provisions as of</p>	<p>Assembly Print</p>	<p>Watch</p>

	January 1, 2029. This bill contains other existing laws. Introduced: 2/9/2023		Item #6.g. 3/2/2023
<u>ACA 1 (Aguiar-Curry D)</u> Local government financing: affordable housing and public infrastructure: voter approval.	The California Constitution prohibits the ad valorem tax rate on real property from exceeding 1% of the full cash value of the property, subject to certain exceptions. This measure would create an additional exception to the 1% limit that would authorize a city, county, city and county, or special district to levy an ad valorem tax to service bonded indebtedness incurred to fund the construction, reconstruction, rehabilitation, or replacement of public infrastructure, affordable housing, or permanent supportive housing, or the acquisition or lease of real property for those purposes, if the proposition proposing that tax is approved by 55% of the voters of the city, county, or city and county, as applicable, and the proposition includes specified accountability requirements. The measure would specify that these provisions apply to any city, county, city and county, or special district measure imposing an ad valorem tax to pay the interest and redemption charges on bonded indebtedness for these purposes that is submitted at the same election as this measure. This bill contains other related provisions and other existing laws. Introduced: 12/5/2022	Assembly Print	Watch
<u>SB 84 (Gonzalez D)</u> Clean Transportation Program.	The California Alternative and Renewable Fuel, Vehicle Technology, Clean Air, and Carbon Reduction Act of 2007 creates the Clean Transportation Program, administered by the State Energy Resources Conservation and Development Commission, to provide funding to certain entities to develop and deploy innovative technologies that transform California's fuel and vehicle types to help attain the state's climate change policies. This bill would state the intent of the Legislature to enact future legislation related to the Clean Transportation Program. Introduced: 1/13/2023	Senate Rules	Watch
<u>SB 229 (Umberg D)</u> Surplus land: disposal of property: violations: public meeting.	Existing law prescribes requirements for the disposal of land determined to be surplus land by a local agency. Those requirements include a requirement that a local agency, before disposing of a property or participating in negotiations to dispose of that property with a prospective transferee, send a written notice of availability of the property to specified entities, depending on the property's intended use, and send specified information in regard to the disposal of the parcel of surplus land to the Department of Housing and Community Development. Existing law, among other enforcement provisions, makes a local agency that disposes of land in violation of these disposal provisions, after receiving notification of violation from the department, liable for a penalty of 30% of the final sale price of the land sold in violation for a first violation and 50% for any subsequent violation. Under existing law, except as specified, a local agency has 60 days to cure or correct an alleged violation before an enforcement action may be brought. This bill would require a local agency that has received a notification of violation from the department to hold an open and public session to review and consider the substance of the notice of violation. The bill would require the local agency's governing body to provide prescribed notice no later than 14 days before the public session. The bill would prohibit the local agency's governing body from taking final action to ratify or approve the proposed disposal until a public session is held as required. By imposing new duties on local agencies, the bill would impose a state-mandated local program. This bill contains other related provisions and other existing laws. Introduced: 1/23/2023	Senate Gov. & F.	Watch
<u>SB 411 (Portantino D)</u> Open meetings: teleconferences: bodies	Existing law, the Ralph M. Brown Act, requires, with specified exceptions, that all meetings of a legislative body, as defined, of a local agency be open and public and that all persons be permitted to attend and participate. The act generally requires for teleconferencing that the legislative body of a local agency that elects to use teleconferencing post agendas at all teleconference locations, identify	Senate Rules	Watch

with appointed membership.	<p>each teleconference location in the notice and agenda of the meeting or proceeding, and have each teleconference location be accessible to the public. Existing law also requires that, during the teleconference, at least a quorum of the members of the legislative body participate from locations within the boundaries of the territory over which the local agency exercises jurisdiction. The act provides an exemption to the jurisdictional requirement for health authorities, as defined. Existing law, until January 1, 2024, authorizes the legislative body of a local agency to use alternate teleconferencing provisions during a proclaimed state of emergency or in other situations related to public health that exempt a legislative body from the general requirements (emergency provisions) and impose different requirements for notice, agenda, and public participation, as prescribed. The emergency provisions specify that they do not require a legislative body to provide a physical location from which the public may attend or comment. Existing law, until January 1, 2026, authorizes the legislative body of a local agency to use alternative teleconferencing in certain circumstances related to the particular member if at least a quorum of its members participate from a singular physical location that is open to the public and situated within the agency’s jurisdiction and other requirements are met, including restrictions on remote participation by a member of the legislative body. This bill would authorize a legislative body to use alternate teleconferencing provisions similar to the emergency provisions indefinitely and without regard to a state of emergency. The bill would alternatively define “legislative body” for this purpose to mean a board, commission, or advisory body of a local agency, the membership of which board, commission, or advisory body is appointed and which board, commission, or advisory body is otherwise subject to the act. This bill contains other related provisions and other existing laws.</p> <p>Introduced: 2/9/2023</p>		Item #6.g. 3/2/2023
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Total Measures: 12

Total Tracking Forms: 12

Caltrain Federal Report January 2023 – February 2023

Administration Update

White House Issues New NOFO Calendar

- The White House has released a new [notice of funding opportunity calendar](#) which includes both open NOFOs and a calendar for NOFOs for the Infrastructure Investment and Jobs Act (IIJA).
- In addition, the Administration has published:
 - [State Fact Sheets](#) that summarize how IIJA is helping each state. \$18.1 billion for over 570 projects in has been announced for [the state of California](#) to date. This includes \$2 billion to improve public transit in FY 2022 and 2023.
 - [Updated BIL maps](#) that reflect the more than 20,000 projects and funding awards announced.
 - An updated [build.gov](#) layout with an illustrated map showing some early signature projects funded so far.

Congressional Update

Congress Announces Transportation Committee Leadership

- Both the Senate and House have announced the leadership and finalized the membership for each of the committees for the 118th Congress.
 - House Transportation & Infrastructure Committee (oversees transit, rail, and highways policy): Chairman Sam Graves (R-MO) and Ranking Member Rick Larsen (D-WA)
 - Senate Committee on Commerce, Science, and Transportation (oversees rail policy): Chairwoman Maria Cantwell (D-WA) and Ranking Member Ted Cruz (R-TX)
 - Senate Banking, Housing, and Urban Affairs (oversees transit policy): Chairman Sherrod Brown (D-OH) and Ranking Member Tim Scott (R-SC)
 - House Transportation-HUD Appropriations Subcommittee: Chairman Tom Cole (R-OK) and Ranking Member Mike Quigley (D-IL)

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

- Senate Transportation-HUD Appropriations Subcommittee: Chairman Brian Schatz (D-HI) and Ranking Member Susan Collins (R-ME)

FTA Rail Vehicle Replacement Grant Program

- The Federal Transit Administration's Rail Vehicle Replacement Grant Program will distribute \$600 million over two fiscal years in up to six project awards and makes funding available to help fund capital projects to replace rail rolling stock. The program is a set-aside of the State of Good Repair Formula Grants Program.
- Caltrain applied to this program on January 5, 2023 for three new, high-performance electric trains to replace diesel locomotive trains. Award announcements are expected in April 2023.

Round-Up of Open Grant Opportunities

- [RAISE Grant Program](#). \$1.5 billion available. All applications due by February 28, 2023.
- [Areas of Persistent Poverty Program](#). \$20 million available. All applications due by March 10, 2023.
- [Corridor Identification and Development Grant Program](#). \$365 million available. All applications due by March 27, 2023.
- [FY22 Federal-State Partnership for Intercity Passenger Rail Grant Program](#). The original deadline for this program was March 7, 2023, but it was recently extended to April 21, 2023. In addition, the funding available for the program has been increased due to funding made available through FY23 omnibus bill, adding up to an additional \$2.3 billion for a total of up to \$4.6 billion.

**Peninsula Corridor Joint Powers Board
Staff Report**

To: Board of Directors
Through: Michelle Bouchard, Executive Director
From: Dahlia Chazan, Deputy Chief, Caltrain Planning
Subject: **Link21 Update**

<input type="checkbox"/> Finance Committee Recommendation	<input type="checkbox"/> Technology, Operations, Planning, and Safety Committee Recommendation	<input checked="" type="checkbox"/> Advocacy and Major Projects Committee Recommendation	<input type="checkbox"/> Staff Coordinating Council Reviewed	<input type="checkbox"/> Staff Coordinating Council Recommendation
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Action

This item is for information only.

Significance

This report and accompanying presentation are submitted to keep the Board advised on the status of Caltrain’s ongoing work to support and advise the Link21 program, led by BART and the Capitol Corridor Joint Powers Authority (“CCJPA”). Caltrain staff meets with program leadership on a monthly basis, to support our partner’s work and to ensure that the interests of the JPB are represented during the planning phases of Link21.

Budget Impact

No budget impact.

Background

The 21-county Northern California Megaregion, encompassing an area of over 24,000 miles, is home to 12.5 million people and is the fifth largest megaregional economy in the United States. Along with economic and population growth over the past 30 years, the Megaregion has experienced increasing income inequality and displacement as residents struggle to live affordably and within easy reach of work, school, shopping, and recreation.

The existing and proposed future BART and regional rail services (including commuter, intercity, and high-speed rail) is unable to effectively meet the future needs of the Megaregion. Without new investments in existing services and a new transbay crossing, most trips will continue to be made by car, contributing to increased congestion and greenhouse gas emissions, unreliable travel times, and damage to the environment and public health.

BART and CCJPA, with support from the California State Transportation Agency (CalSTA), have partnered to advance the Link21 program which is focused on a new transbay passenger rail crossing. Caltrain staff are working closely with the Link21 program to support our partner's efforts and represent the interests of the JPB.

Prepared By: Sam Sargent

Director, Strategy & Policy

650-730-6223

**Peninsula Corridor Joint Powers Board
Staff Report**

To: Board of Directors
Through: Michelle Bouchard, Executive Director
From: Dahlia Chazan, Deputy Chief, Caltrain Planning
Subject: **San Francisco Downtown Rail Extension (DTX) Project Update**

<input type="checkbox"/> Finance Committee Recommendation	<input type="checkbox"/> Technology, Operations, Planning, and Safety Committee Recommendation	<input checked="" type="checkbox"/> Advocacy and Major Projects Committee Recommendation	<input checked="" type="checkbox"/> Staff Coordinating Council Reviewed	<input checked="" type="checkbox"/> Staff Coordinating Council Recommendation
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Action

This report includes an informational update that requires no action by the Board of Directors (“Board”) of the Peninsula Corridor Joint Powers Board (“JPB” or “Caltrain”).

Significance

Caltrain and the Transbay Joint Powers Authority (“TJPA”) are negotiating a Master Cooperative Agreement (“MCA”) for the San Francisco Downtown Rail Extension Project (“DTX” or “The Portal”) to be included in the TJPA’s August 2023 application for the Federal Transit Administration (“FTA”) Capital Investment Grants (“CIG”) Program. The MCA will address key topics, including design support and coordination; procurement and construction coordination; financial commitments; operations, maintenance, and rehabilitation; and asset disposition.

Over the course of the next six months, Caltrain staff will engage the AMP Committee and the Board to provide project updates and receive guidance on the terms of the MCA, and ultimately request approval of the MCA. This report provides an opportunity for the Committee to give input to staff on interpreting the principles as we initiate negotiations for the financial terms in the MCA.

Caltrain and TJPA are in the early stages of drafting the financial terms for the MCA. This aspect of the MCA will define the roles and responsibilities of the two agencies in payment, financing, and reporting; and define the agencies’ respective rights and responsibilities over project assets. Caltrain staff are currently reviewing the initial draft terms to assess its compatibility with the three guiding principles adopted at the February 2nd Caltrain Board meeting. The principles are as follows:

1. Project must be cost-neutral to Caltrain.
 - a. Capital Costs – Any capital contributions Caltrain makes beyond those committed to project development (PCEP, real property, \$1.5M, reimbursed staff time and resources) must be offset through committed third-party funding sources (e.g., grants).

- b. Maintaining State of Good Repair – DTX cannot detract from Caltrain’s ability to maintain its assets in a State of Good Repair.
 - c. Operating Costs – Caltrain's DTX operating contributions cannot detract from Caltrain's ability to operate the rest of the system. Any contribution of incremental operating revenue (e.g., fare revenue, special fare zone, facility revenues) must be directly attributable to DTX and any operating costs in excess of incremental operating revenue must be backstopped by non-Caltrain source(s) in case revenue projections are not met.
2. Project design, operations, and funding must be compatible with and connected to Caltrain’s existing and planned rail system and must be consistent with Caltrain’s 2040 service vision.
 3. Safety and customer experience must be the primary focus of all planning, design, construction, and operations and maintenance decisions.

Budget Impact

This informational item has no impact on the budget.

Background

The DTX project will extend Caltrain and future California High-Speed Rail service from the existing 4th and King railyard to the Salesforce Transit Center in downtown San Francisco and will have a positive impact on Caltrain service.

The project is seeking funding through the FTA's CIG New Starts program. For New Starts projects, the FTA requires completion of two phases, Project Development and Engineering, in advance of receipt of a Full Funding Grant Agreement (“FFGA”). The DTX project is executing an accelerated master schedule to support a potential FFGA approval in 2025. It was accepted into the initial Project Development Phase in December 2021 and will request entry into the Engineering Phase in February 2023. The February submittal includes a draft 20-year financial plan, project cost estimate, preliminary engineering plans, project management plan, and a funding plan demonstrating 30% of non-federal funding commitment. In August 2023, the project plans to request the FFGA. The August submittal will include the MCA between Caltrain and TJPA.

On February 9th, the TJPA Board received an update on the Draft 20-Year Financial Plan that included updated draft capital and operating cost estimates. The current DTX project capital cost estimate is \$6.68 billion in year-of-expenditure dollars, and excludes maintenance of way vehicles, retrofits for vehicles to allow level boarding, and rolling stock. The incremental O&M costs for the DTX project in its project first full year of operations (2033) are preliminarily estimated at \$40 million per year in current-year dollars (2023\$). The DTX 20-Year Financial Plan is not directly a part of the MCA but will inform the financial terms of the agreement between Caltrain and TJPA.

Prepared By: Gwen Buckley Principal Planner 650-722-6827

**Peninsula Corridor Joint Powers Board
Staff Report**

To: Board of Directors
Through: Michelle Bouchard, Executive Director
From: Sam Sargent, Director, Strategy and Policy
Subject: **Metropolitan Transportation Commission (MTC) / Regional Update**

Finance
Committee
Recommendation

Technology,
Operations,
Planning, and
Safety Committee
Recommendation

Advocacy and
Major Projects
Committee
Recommendation

Staff Coordinating
Council Reviewed

Staff Coordinating
Council
Recommendation

Action

None. Informational only.

Significance

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

The Commission's scope over the years has expanded to address other regional issues, including housing and development. MTC is actively considering several key policy and funding decisions that affect Caltrain, and staff wants to ensure the Joint Powers Board (JPB) is apprised of these discussions.

Budget Impact

No budget impact at this time.

Key Regional Items this Month

1. Major Project Advancement Policy (MAP) Updates
2. Regional Measure 3 (RM3) Update
3. MTC Regional Network Management (RNM) Framework Recommendations

1. Major Project Advancement Policy (MAP) Updates

Caltrain staff last presented on MAP for the November 3, 2022 MTC-Regional Update to the JPB. To recap, MAP was adopted by the MTC in October 2022 to support Plan Bay Area 2050 implementation and deliver the Bay Area’s major transportation projects.

The adopted MAP included a list of Bay Area major transportation projects and a funding endorsement table with details for Level 1 megaprojects, including Caltrain Electrification. The endorsement table guided MTC’s recommendations for the region’s Transit and Intercity Rail Capital Program (TIRCP) state funding requests:

Project/Program Title	Sponsor	Cost	Funding Gap	CIG	Other Federal	TIRCP Base	TIRCP Augment 1*	TIRCP Augment 2	SB1	Other State	Other Local/Regional	Anticipated	Total Endorsement
Revenue Envelope:				\$ 5.8	\$ 8.8	\$ 2.5	\$ 1.30	\$ 0.8	\$ 2.3	\$ 2.1	\$ 3.8	\$ 10.6	\$ 38.1
Level 1 -- Projects In, or Nearing Construction													
Peninsula Corridor Electrification Project	Caltrain	\$ 2.4	\$ 0.41	\$ 0.05	\$ 0.06	\$ -	\$ 0.30	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 0.41
BART Core Capacity Program	BART	\$ 4.4	\$ 0.66	\$ 0.06	\$ -	\$ -	\$ 0.25	\$ 0.35	\$ -	\$ -	\$ -	\$ -	\$ 0.66
BART to Silicon Valley Phase II	VTA	\$ 9.0	\$ 3.29	\$ 2.1	\$ -	\$ -	\$ 0.45	\$ 0.30	\$ -	\$ -	\$ 0.5	\$ -	\$ 3.30
Level 1 Megaprojects Contingency	N/A	\$ 0.5	\$ 0.40	\$ -	\$ 0.05	\$ -	\$ -	\$ 0.10	\$ -	\$ -	\$ -	\$ 0.3	\$ 0.40
Level 1 ZEB Projects		\$ 1.3	\$ 1.31	\$ -	\$ 1.11	\$ 0.10	\$ 0.10	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 1.31
Level 1 BRT Projects		\$ 0.4	\$ 0.33	\$ 0.3	\$ 0.03	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 0.33
Transit Service Improvements and Modernization		\$ 1.3	\$ 0.75	\$ -	\$ 0.31	\$ 0.35	\$ -	\$ -	\$ 0.1	\$ -	\$ -	\$ -	\$ 0.75
Grade Separations		\$ 0.3	\$ 0.15	\$ -	\$ 0.05	\$ -	\$ 0.1	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 0.15
Express Lanes Projects		\$ 1.0	\$ 0.96	\$ -	\$ 0.10	\$ -	\$ -	\$ -	\$ 0.3	\$ -	\$ -	\$ 0.6	\$ 0.96
Other Roadway/ATP Projects Under \$250 M		\$ 0.3	\$ 0.25	\$ -	\$ 0.10	\$ -	\$ -	\$ -	\$ 0.1	\$ 0.1	\$ -	\$ -	\$ 0.25
Level 1 Subtotal		\$ 20.9	\$ 8.5	\$ 2.5	\$ 1.7	\$ 0.5	\$ 1.2	\$ 0.8	\$ 0.4	\$ -	\$ 0.5	\$ 0.8	\$ 8.5
Level 2 -- Projects Ready for Construction													
Revenue Envelope:				\$ 3.3	\$ 7.1	\$ 2.0	\$ 0.1	\$ 0.1	\$ 1.9	\$ 2.1	\$ 3.3	\$ 9.8	\$ 29.6
Caltrain Downtown Extension (DTX)**	TJPA	\$ 6.5	\$ 4.2			\$ 0.50	\$ 0.06						\$ -
Valley Link Rail Project - Initial Operating Segment	Valley Link	\$ 1.9	\$ 1.2			\$ 0.30	\$ 0.04						\$ -
Level 2 Megaprojects Contingency	N/A	\$ 0.4	\$ 0.4										\$ -
Level 2 ZEB Projects		\$ 1.3	\$ 1.3			\$ 0.10		\$ 0.05					\$ -
Level 2 BRT Projects		\$ 0.3	\$ 0.3										\$ -
Transit Service Improvements and Modernization		\$ 1.0	\$ 0.7			\$ 0.30							\$ -
Grade Separations		\$ 0.8	\$ 0.7										\$ -
Express Lanes Projects		\$ 1.0	\$ 1.0										\$ -
Goods Movement		\$ 0.6	\$ 0.3										\$ -
Roadway-Other		\$ 0.7	\$ 0.7										\$ -
Level 2 Subtotal		\$ 14.4	\$ 10.7	\$ -	\$ -	\$ 1.2	\$ 0.1	\$ 0.1	\$ -	\$ -	\$ -	\$ -	\$ -

* = Likely future endorsement areas

October 2022 MTC funding endorsement table

Caltrain was ultimately awarded \$367 million to complete the electrification project, which is \$67 million more than the October 2022 approved funding endorsement. At the February 8, 2023 MTC Programming and Allocations Committee, MTC staff proposed a timeline for anticipated annual updates to MAP:

- February – information item on MAP Stage Gate Evaluation Policy and Procedure and new MAP Programmatic Categories.
- March – information item with proposed updates to the MAP Endorsement Table based on new project (i) cost information, (ii) funding awards, including the Caltrain Electrification state and federal awards, and (iii) newly identified funding sources for Bay Area major transportation projects.
- April – MTC adoption of proposed MAP Revisions, as detailed below.

1. **Major Project Advancement Policy (MAP) Updates** (Continued)

MTC staff proposes an update to the MAP Endorsement Table to reflect Caltrain’s \$367 million state TIRCP award on in January 2023 and \$43 million in additional federal dollars, thanks to the support of then-Speaker Pelosi, Senators Feinstein and Padilla, and the three-county federal delegation.

Other updates to the MAP Endorsement Table include \$250 million in TIRCP funds for BART’s Core Capacity Program and \$375 million in TIRCP funds for the VTA-led BART to Silicon Valley Phase II project. The latter’s increased cost estimates, transition into a different FTA Capital Investment Grant (CIG) program and newly projected FTA funding amount will be reflected in the updated Endorsement Table, along with updated costs for the Transbay Joint Powers Authority (TJPA)-led Downtown Extension (DTX) project.

- **Caltrain Staff Note:** with funding to complete Caltrain Electrification now secured from state and federal sources, staff is not concerned with the MTC updates to the MAP Endorsement Table. This update will reflect the latest cost estimates and grant awards.

More significant than the Endorsement Table update are the MTC staff-proposed Stage Gate Evaluation Policy and Procedure for major transportation projects. Caltrain staff have been expecting these new policies to guide implementation of MAP since October 2022. The policy framework slated for April 2023 MTC approval will include:

- Principles for Stage Gate Evaluation including (1) customer experience and need, (2) adherence to Play Bay Area and related fiscal constraints, (3) ability of a project sponsor to provide regional leadership and assistance on major project delivery, and (4) close partnership with state and federal partners.

- Framework for Evaluation focused on (i) cost and funding, (ii) adherence to Plan Bay Area and regional policies, and (iii) risk management;
- Process for Evaluation including (a) requests for entry into MAP or movement between MAP levels, (b) evaluation criteria, and (c) requests for MTC action.

MTC staff has also included the development of a “regional forum of peers with expertise in project delivery” as a potential piece of the MAP project evaluation process.

- **Caltrain Staff Note:** staff are closely monitoring MTC proposals related to regionalization of project delivery. So far, the idea has been floated in this MAP policy update as well as an early version of the MTC-led Rail Partnership Study. Caltrain is committed to partnering on capital projects with other operators and local jurisdictions, as the railroad currently does on many grade separations, but must retain a substantive level of control over project delivery on the corridor.

1. **Major Project Advancement Policy (MAP) Updates** (Continued)

The MAP Stage Gate Evaluation Policy and Procedure includes risk assessments, which are largely based on existing FTA Risk Management principles and state criteria:

- Assessment of project capital and operating costs and funding;
- Project governance, administration, and integration of the project into the regional transportation network;
- Transparency to the public, customers, funding partners, and transit operators.

Finally, the MAP update includes six programmatic categories to organize regional projects under \$1 billion in capital cost. The goal, according to MTC staff, was to better evaluate and prioritize projects within the context of their category:

Proposed Categories	Status/Next Step	Establish Levels in MAP
Express Lanes	Develop Regional Strategic Plan	Summer 2023
Grade Separations	Assign Projects to MAP Levels in Summer 2023 – Consistent with BIL Strategy	Summer 2023
Zero Emission Transit Transition	Develop Regional Strategic Plan - Identify Level 1 projects for 2023 federal funding cycle	Summer 2023
Transit Expansion <i>(Formerly Bus Rapid Transit . Expand category to include expansion projects from other transit modes)</i>	Continue to work with transit operators to identify projects for FTA Small Starts and other funding opportunities	TBD
Transit Priority, Networks, and State of Good Repair <i>(Formerly Transit Service Improvements and Modernization. Includes all projects in existing category minus projects moved to Major Transit Expansion; Elevates transit priority projects)</i>	February 2023 – MTC to award \$21 million for transit priority projects through Transit Priority Initiative program 2023 – 2024 – Inventory and identify additional projects and develop MAP Levels for funding opportunities.	Late 2023
Goods Movement <i>(New category including some projects from "Other Roadway")</i>	Assign Projects to MAP Levels in March 2023 – Consistent with BIL Strategy	Summer 2023
Other Roadway <i>(Same as existing minus Goods Movement projects)</i>	Assign Projects to MAP Levels in March 2023 – Consistent with BIL Strategy	Summer 2023

Requested JPB Action: None at this time. Caltrain staff will continue to work closely with MTC to ensure a thorough understanding of the MAP Stage Gate Evaluation Policy and Procedure by transit operators. The goal is to advance projects of importance to the railroad, Caltrain customers, and the communities we serve.

2. Regional Measure 3 (RM3) Update

Last month, this report shared the good news that the California Supreme Court dismissed a challenge to the Bay Area Traffic Relief Plan approved by Bay Area voters in 2018 through RM3. The ruling ended a multi-year dispute that prevented many transit operators from accessing hundreds of millions of dollars in bridge toll revenues.

With \$4.5 billion for capital projects, the RM3 Expenditure Plan includes Caltrain-related investments in DTX (\$325 million), Diridon Station developments (\$100 million), and the Next Generation Clipper Fare Payment System (\$50 million).

Letters of No Prejudice (LONPs), which allow a project sponsor to proceed with RM3-eligible work, backed by local funding, while preserving eligibility for future RM3 reimbursement dating back to the date of the LONP have been issued for many projects since the legal challenge began. To date, \$598 million in LONP-backed funding has been approved by MTC, including \$30 million for Next Generation Clipper and \$30 million for Diridon Station.

Requested JPB Action: None at this time. While RM3 did not originally include funds for Caltrain-sponsored projects, the dismissal of the challenge is great news for the projects that will ultimately benefit the railroad and the flow of transportation project dollars.

3. MTC Regional Network Management (RNM) Framework Recommendations

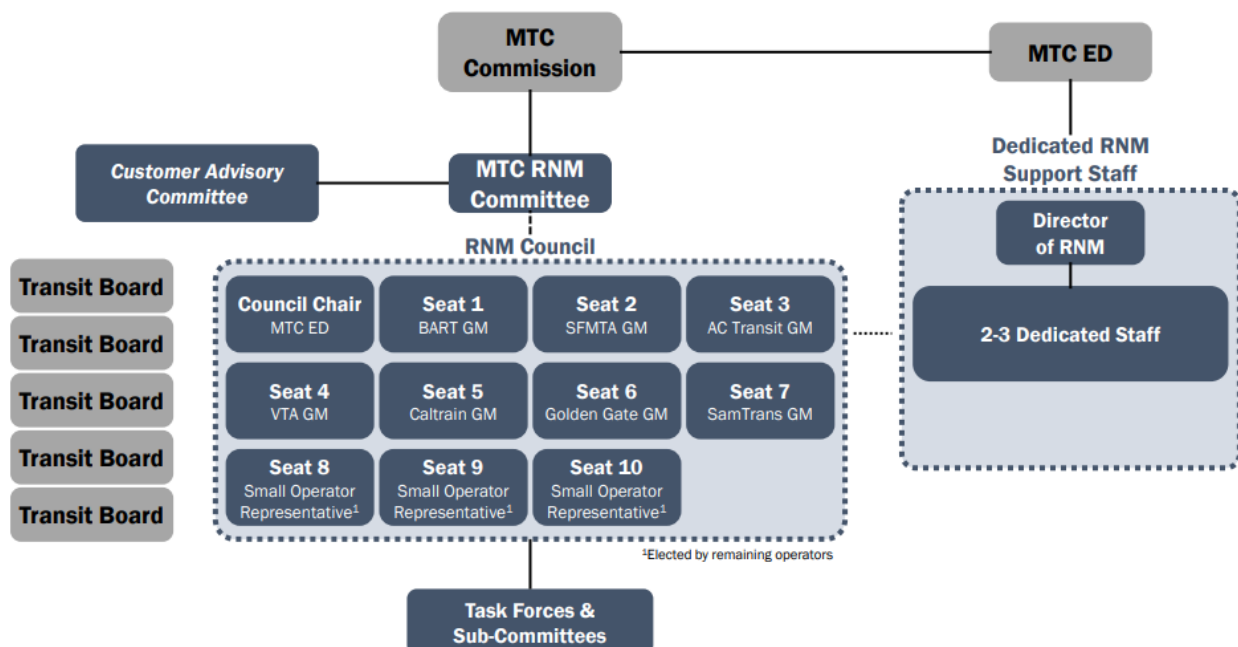
For over a year, Caltrain staff have provided updates on the progress of the MTC-led RNM Business Case. The railroad was represented on the RNM Business Case Advisory Group by Executive Director Bouchard.

The “core purpose” of RNM is to improve the transit customer experience on a regional scale and advance regional improvement projects more efficiently and effectively. The RNM Business Case and RNM Framework focused on six functional areas to determine the correct role of regional actors and transit operators:

- Fare Integration Policy
- Wayfinding and Mapping
- Accessibility
- Bus Transit Priority
- Rail Network Management
- Connected Network Planning

4. MTC Regional Network Management (RNM) Framework Recommendations (Cont.)

To implement the RNM Framework and better coordinate improvement projects in these six functional areas, MTC and consultant staff (with input from transit operators) have proposed the following structure:



- **Caltrain Staff Note:** The JPB has seen this structure graphic in previous month's MTC-Regional Reports. Caltrain executive staff have publicly expressed support for this structure, which ensures Caltrain's seat on the RNM Council. The makeup of MTC commissioners on the RNM Committee is to be determined. Representation of Caltrain's three county service area there will be critical and is expected. Staff will continue to advocate for the railroad's interests in this process and has followed up with MTC staff on an earlier JPB question about the role of transit boards.

MTC staff has developed a 180-day RNM startup plan, which would seat the RNM Committee and RNM Council, as well as kick off the hiring process for dedicated MTC staff to support this work. MTC will take action on the RNM Framework and related policies at the February 22, 2023 Commission meeting.

Requested JPB Action: None at this time.

Prepared By: Sam Sargent

Director, Strategy & Policy

650-730-6223

Resolution No. 2023-

**Peninsula Corridor Joint Powers Board
State of California**

Resolution Honoring National Women’s History Month

Whereas, the advocacy efforts of the National Women’s History Project led to an annual observance of Women’s History Month, which highlights the contributions of women in history and contemporary society, and is celebrated during March in the United States; and

Whereas, women of every race, class and ethnic background have made significant and historic contributions to the growth and strength of our society in countless recorded and unrecorded ways; and

Whereas, the leadership of women in elected office, including the contributions of the women on our own Board of Directors, serves as an example of community and civic engagement for girls and women in the three counties Caltrain serves; and

Whereas, women have been leaders, not only in securing their own rights of suffrage and equal opportunity, but also in the abolitionist movement, the emancipation movement, the industrial labor movement, and the civil rights movement, which create a more fair and just society for all; and

Whereas, in honor of Women’s History Month, Caltrain will be hosting a Women’s Leadership brown bag session that will feature a speaker panel comprised of Caltrain Executive Director Michelle Bouchard, San Mateo County Transit District GM/CEO April Chan, as well as a several female executives and directors who work for the agency; and

Whereas, in honor of Women’s History Month, the agency will also be highlighting female staff members throughout the month in a special Employee Spotlight featured on social media; and

Now, Therefore, Be It Resolved that the Peninsula Corridor Joint Powers Board (Caltrain) does hereby recognize March as National Women’s History Month and celebrates the immense contributions of women in the United States.

Regularly passed and adopted this 2nd day of March, 2023 by the following vote:

Ayes:

Noes:

Absent:

Chair, Peninsula Corridor Joint Powers Board



ATTEST:

JPB Secretary

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

DRAFT MINUTES OF FEBRUARY 15, 2023

MEMBERS PRESENT: A. Brandt, R. Jaques (Alternate), L. Klein, R. Kutler, P. Leung, M. Pagee (Alternate), B. Shaw (Chair), JP. Torres, D. Tuzman (Vice Chair), S. Seebart

MEMBERS ABSENT: P. Joshi (Alternate)

STAFF PRESENT: M. Boomsma, K. Kelly, L. Low, J. Navarrete, D. Santoro, S. Sargent, K. Scribner, J. Ye

Due to COVID-19, this meeting was conducted as a Zoom and in person meeting.

Chair Brian Shaw called the meeting to order at 5:40 p.m. and led the Pledge of Allegiance.

APPROVAL OF MINUTES OF JANUARY 18, 2023

Motion/Second: Klein/Seebart

Ayes: Brandt, Kutler, Leung, Shaw, Tuzman

Abstain: Torres

Absent: None

PUBLIC COMMENT

None

CHAIRPERSON'S REPORT

Chair Brian Shaw reported the February CAC meeting would be the last meeting to be held in hybrid format unless the board decides to extend it at the next board meeting in early March. Chair Shaw also mentioned that the ridership report is included in the packet this month. Chair Shaw also stated that staff is working on presenting proposed agenda topics provided at last month's meeting. Lastly, Chair Shaw shared that staff will be providing a safety briefing every quarter this year.

COMMITTEE COMMENTS

Member Steven Seebart shared a personal experience with a Google search regarding the weekend shutdown. He suggested having information about the current weekend shutdown as the top search result.

Member Rosalind Kutler shared her experience during the weekend shutdown and stated that although it was a long commute, staff did a great job with the signage. She then mentioned that the Millbrae station could use better directional signage to the buses.

Member Adrian Brandt shared that Caltrain received state and federal funding. He then thanked staff for the ridership report in the packet, however noticed a drop in ridership and shared his concerns. He recommends staff figure out a new approach to attract ridership with the fare structure; distance-based fares and equitable fares.

Public Comments:

Jeff Carter, Millbrae, via Zoom Q&A, stated that he would like the CAC meetings to continue with the hybrid format, especially for the public. He then shared his concern with the lack of weekend shut down directional signage at Millbrae station and hopes this can be resolved by the next impacted weekend.

CAC ROLE IN MEASURE RR OVERSIGHT UPDATE / CAC'S ROLES AND RESPONSIBILITIES IN MEASURE RR AUDIT

Kathleen Kelly, Interim Chief Financial Officer presented the CAC's Roles and Responsibilities in Measure RR Audit presentation. The full presentation can be found on caltrain.com.

Committee Comments:

Member Larry Klein asked for clarification with the committee's acceptance of the report and Ms. Kelly responded to several concerns. Member Klein recommended capturing this process for future committee bodies. He also asked for the latest audit report for comparison. Ms. Kelly suggested sending the oversight committee's report for Measure W. They agreed and Ms. Kelly stated that it would be available in March.

Vice Chair David Tuzman asked whether the committee may receive the audit report sooner and Ms. Kelly confirmed.

Member Seebart asked about the timeline for the report and Ms. Kelly responded that the audit happens at the end of the fiscal year. Member Seebart asked whether there is oversight throughout the year and Ms. Kelly confirmed that there are internal controls in place to make sure that the money is spent in the right place.

Member Kutler stated that with the controls in place, it is important to wait the appropriate time for committee audit.

Chair Shaw suggested that the process and the CAC's oversight role be posted on the Caltrain website under CAC page. Ms. Kelly stated that this item will be a public hearing at the next month's meeting.

Public Comments:

Jeff Carter, Millbrae, via Zoom Q&A, shared his concerns with the possible extended duration of future CAC meetings now that the Measure RR oversight being folded into the CAC meetings.

GUADALUPE RIVER BRIDGE REPLACEMENT PROJECT

Lori Low, Government Affairs Officer, and Mike Boomsma, Senior Project Engineer, Senior Project Engineer, presented the Guadalupe River Bridge Replacement Project Update. The full presentation can be found on caltrain.com.

Committee Comments:

Vice Chair Tuzman asked what impacts the construction schedule has on the train schedule. Mr. Boomsma responded that there will be no impacts to the train schedule.

Member Seebart asked what percentage of the time Union Pacific is using Caltrain tracks. Mr. Boomsma stated that he would follow-up with those figures.

Alternate Member Rob Jaques requested the budget and funding plan for this project. He also requested that future capital project presentations include this information. Mr. Boomsma stated that this information has been shared with the board and the finance committee and would be glad to share it with this committee.

Member Brandt asked about precast. Mr. Boomsma stated that the superstructure will be precast and that some of it will be cast onsite.

Public Comments:

None

TAMC-JPB MEMORANDUM OF UNDERSTANDING REGARDING EXTENSION OF CALTRAIN SERVICE FROM GILROY TO SALINAS / TAMC JPB MEMORANDUM OF UNDERSTANDING (MOU) FOR SALINAS EXTENSION

Sam Sargent, Director, Strategy and Policy, presented the TAMC JPB Memorandum of Understanding (MOU) for Salinas Extension presentation. The full presentation can be found on caltrain.com.

Committee Comments:

Member Seebart asked for clarification regarding no changes to train mainline service. Mr. Sargent responded that Caltrain's main line schedule would not be adjusted to accommodate the additional Salinas service and would be an extension of already scheduled trains to Gilroy. Member Seebart asked about the fleet type and Mr. Sargent referred to the feasibility study.

Vice Chair Tuzman asked why the extension to Salinas is a priority and asked about the route on the dotted line. Mr. Sargent explained the importance and the reason for the route is because it is Union Pacific's existing tracks.

Member Brandt requested ridership data to Gilroy. He also asked about the cost of the extension to Salinas. Mr. Sargent stated that he will look into the ridership data to Gilroy and follow-up. He also stated that there was a cost memorandum that was submitted to the state with that information and would provide a copy to the committee.

Chair Shaw asked Mr. Sargent to clarify whether this extension can be done with existing resources and Mr. Sargent confirmed and shared additional details. Chair Shaw then asked whether passengers traveling from Salinas to Gilroy would be able to use their Clipper card and Mr. Sargent responded that it is yet to be determined. Chair Shaw requested that the fare structure technology be a priority.

Public Comments:

Christina Watson, TAMC Director of Planning, provided history and current state of progress at Salinas and Gilroy stations to make this service possible. She provided her contact information for anyone that may have additional questions.

Jeff Carter, Millbrae, via Zoom Q&A, asked for the running time between Gilroy and Salinas. He also mentioned that there was a time when service was extended past Gilroy.

Doug DeLong, Mt. View, commented on the past trackage rights agreement between Caltrain and Union Pacific and indicated that a similar agreement will need to be negotiated to deal with service south of Salinas.

STAFF REPORT UPDATE

David Santoro, Acting Chief Operating Officer reported (The full report can be found on caltrain.com):

On-time Performance (OTP) –

- **January:** The January 2023 OTP was 83% compared to 94.4% for January 2022.
 - **Vehicle on Tracks** – There were three days with a vehicle on the tracks, which caused train delays. The train delays were on January 17 (16th Street), January 26 (Churchill Ave., Palo Alto), and January 29 (near CP Palm in San Mateo).
 - **Mechanical Delays** – In January 2023 there were 1,941 minutes of delay due to mechanical issues compared to 1,411 minutes in January 2022.
 - **Trespasser Strike** – There was one trespasser strike on January 18 (SF, near Bayshore & 22nd St.), resulting in a fatality. There were 8 trains delayed, 2 trains terminated, 1 train annulled and 1 train partially annulled.
- **December:** The December 2022 OTP was 80.6 % compared to 91.1% for December 2021.

- **Vehicle Strike** – There was one vehicle strike on December 1 at Broadway Station, resulting in a fatality. There were 2 trains terminated, 6 trains partially annulled, 4 trains annulled, and 13 trains delayed.
- **Trespasser Strike** – There was one trespasser strike on December 20 near the Sunnyvale station, resulting in a fatality. There were 4 trains delayed.

Mr. Santoro reminded the committee and the public about the remaining weekend service changes between Millbrae and San Francisco stations. He then mentioned that the fare enforcement data did not make it into this month's packet and would include it in next month's packet. Lastly, he reviewed the details of the Go Pass Donation Program.

Committee Comments:

Member Kutler thanked staff for informing passengers of the weekend shutdown schedule. She requested that the conductor announcements include the location of the buses.

Vice Chair Tuzman asked to confirm the location of the shutdown is between San Francisco and Millbrae and Mr. Santoro confirmed.

Member Seebart asked whether there were ambassadors during the shutdown and Mr. Santoro confirmed. Member Kutler advised that there were no ambassadors at the Millbrae station in the evening.

Member Brandt asked for clarification regarding the fare evasion statistic. He then expressed his appreciation with reporting vehicle on tracks that do not cause delay minutes. He shared that better lighting may decrease vehicles on the tracks. Mr. Santoro clarified the fare evasion data and stated that the number of citations given is not the number of passengers found with no proof of payment and that 852 passengers were alighted and not given an administrative citation. Member Brandt stated that the policy of allowing passengers to alight instead of receiving a citation is not part of best practices around the world and asked staff to rethink the policy of allowing passengers to alight the train and not receive a citation.

Chair Shaw shared his positive experience with contracting qualified enforcement vendors. He then shared his observation, that within the last three months, alighting from the train instead of receiving a citation was an unwritten policy, however now it is being verbally stated by the conductors on the train during proof of payment enforcement; "if you don't have proof of payment, you are welcome to leave the train". He recommended that passengers without fare, be given a citation. Chair Shaw then requested that the vehicle on tracks data also include the time of day to help generate a treatment around those crossings that are problematic.

Member Kutler reiterated the need for fare enforcement. She stated that it is a customer service issue and an opportunity for training to politely enforce the fare, treat all passengers equally and to cite passengers when needed.

Member Seebart shared his observation that when conductors find a passenger without fare, it tends to be an argument and suggested sensitivity around the conductor's time and on time performance of the train. He shared mentioned that in other regions, the fare enforcers are not the employees running the trains, but a separate enforcement arm to help not disrupt service.

Public Comments:

Jeff Carter, Millbrae, via Zoom Q&A, requested more detailed ridership and fare media data available on the website. Additionally, he requested origin and destination information with the Clipper data. Lastly, he asked about zone upgrade and how that would work on the train.

JPB CAC Work Plan

March 15, 2023

- Measure RR audit report
- Corridor Crossing Strategy
- Go Pass Donation Program

April 19, 2023

- Safety Quarterly Update
-

May 17, 2023

- FY2024 Preliminary Operating & Capital Budgets
-

June 21, 2023

- Corridor Crossing Strategy (tentative)
-

July 19, 2023

- Safety Quarterly Update
-

August 16, 2023

-
-

September 20, 2023

- Rail Safety Education & Suicide Prevention Update
- Corridor Crossing Strategy (tentative)

October 18, 2023

- Safety Quarterly Update
-

November 15, 2023

- Corridor Crossing Strategy (tentative)
-

December 20, 2023

-
-

Suggested Items:

- Go Pass cost per ride factors – requested by Chair, Brian Shaw on 6/19/19.
- MTC Means-Based Discount Fare program update.
- Caltrain connections with other agencies – requested by Member Rosalind Kutler on 12/18/19.
- Update on grade crossing pilot six months after installation – requested by Member, Patrick Flautt on 12/18/19.
- Operating Costs – requested by Member Adrian Brandt on 2/13/20.
- Clipper Data Availability.
- Construction Obstacles.
- Redwood City Station Development - requested by Member Adrian Brandt on 12/8/21.
- Dual speed check installation/Constant Warning, Downtown Extension, elevated four track station, and the Google campus being planned at the Diridon station - requested by Member Adrian Brandt on 12/15/21.
- Transit Oriented Development & preservation outreach - requested by Member Patricia Leung on 12/15/21.
- Go Pass qualification requirements - requested by Member Rosalind Kutler on 12/15/21.
- Staffing structure, Governance Update, Visual Messaging Display rollout plan - requested by Member David Tuzman on 12/15/21.
- Conductor's communication tools and how they may interface with the public. Regional trip planning and availability for riders that do not have access to mobile devices - requested by Alternate Member Melody Pagee on 12/15/21.
- Distance-based fares on Caltrain. Deep dive on it from a practical standpoint - requested by Chair, Brian Shaw on 12/15/21.
- Engineering Standards.
- Clipper Next Gen Validator Project Update.
- Grade Crossing Presentation and an update on dual speed check and the wireless system – requested by Member Adrian Brandt on 9/21/22 & 1/18/23.

- Look into allowing non-service animals on Caltrain with a travel carrier - requested by Vice-Chair David Tuzman on 9/21/22.
- Locomotive car regulation - requested by Chair, Brian Shaw on 12/21/22.
- EMU presentation.
- Report on Caltrain infrastructure during drought and flood and staff recommendations for repairs and/or needed plans for public safety – requested by Member Rosalind Kutler on 1/18/23.
- Exploration on the five stations south of San Jose and what it would take to get more service and ridership there and explore electrifying the blended corridor from San Jose south - requested by Member Steven Seebart on 1/18/23.
- Conductor communication during major incidents – requested by Alternate Member Melody Pagee on 1/18/23.
- Presentation on whether it is possible to conduct a pilot program for gates that block the entrance to the track from the crossing - requested by Member Adrian Brandt on 1/18/23.
- What Caltrain can do to avoid flooding - requested by Member Adrian Brandt on 1/18/23.
- Staff to revisit the tree survey report - requested by Member Adrian Brandt on 1/18/23.
- TOD Internal - would like to see a presentation on what properties Caltrain owns and opportunities for Transit Oriented Development housing - requested by Member Patricia Leung on 1/1/23.
- TOD External – external - would like to see the work being done with different cities and counties to figure out their plans for adjacent properties - requested by Member Patricia Leung on 1/1/23.
- Marketing campaign for neighboring properties and nearby transit connections to help increase.
- Suicide Prevention Initiatives

DATE, TIME, AND LOCATION OF NEXT REGULAR MEETING:

The next meeting will be March 15, 2023, at 5:40 pm, via Zoom and in person meeting at the San Mateo County Transit District Administrative Building, 2nd Floor Bacciocco Auditorium, 1250 San Carlos Avenue, San Carlos, CA.

Adjourned at 7:46 pm.

**Peninsula Corridor Joint Powers Board
Staff Report**

To: Board of Directors
Through: Michelle Bouchard, Executive Director
From: Pranaya Shrestha, Chief Officer, Caltrain Modernization Program
Subject: **Peninsula Corridor Electrification Project (PCEP) Monthly Progress Report**

<input type="checkbox"/> Finance Committee Recommendation	<input type="checkbox"/> Technology, Operations, Planning, and Safety Committee Recommendation	<input type="checkbox"/> Advocacy and Major Projects Committee Recommendation	<input type="checkbox"/> Staff Coordinating Council Reviewed	<input type="checkbox"/> Staff Coordinating Council Recommendation
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Action

Staff Coordinating Council recommends the Board receive the Peninsula Corridor Electrification Project (PCEP) Monthly Progress Report (MPR).

No action required.

Significance

Staff prepares and submits a report covering the PCEP monthly.

Budget Impact

There is no impact on the budget.

Background

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

Prepared By: Pranaya Shrestha Interim Chief Officer, Caltrain 720.757.9191
Modernization Program



Caltrain Modernization Program Peninsula Corridor Electrification Project (PCEP)



Executive Monthly Progress Report

January 31, 2023

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1.0 EXECUTIVE SUMMARY

1.1 Introduction

The Peninsula Corridor Electrification Project (PCEP) will upgrade 51 miles of diesel service to electrified service from San Francisco to San Jose (Tamien Station). The PCEP scope of work includes design and construction of an overhead contact system, traction power facilities, modification of the existing signaling and grade crossing protection system to make it compatible with the electrified railroad, substation improvements at Pacific Gas and Electric (PG&E) substations, and modifications at existing tunnels and Caltrain’s maintenance facility. It also includes the design, manufacturing, assembly, testing, and delivery of the Electric Multiple Units (EMUs).

Caltrain completed a thorough assessment of all aspects of the program including cost, schedule, risks and organization after the global settlement in 2021. Caltrain re-baselined the program budget and schedule in December of 2021. Caltrain is performing a schedule reforecast effort and is committed to deliver PCEP and achieve revenue service in September of 2024.

1.2 Program Cost and Budget

On December 6, 2021, the JPB adopted a new PCEP program budget of \$2,442,690,697. On January 31, 2023 Caltrain received a \$367 million funding award from California’s Transit and Intercity Rail Capital Program’s (TIRCP) Cycle 6 Existing Project Reserve, representing the remaining funding needed to complete the project. The project is now fully funded in the amount of \$2,442,690,697. As of January 2023, the project is on budget:

- The current project total cost at completion (EAC) is the same as Board adopted budget of \$2.44 billion.
- As of January 2023, a total of \$3.44M has been drawn down from the Shared Risk Pool of \$50 million. In January 2023, \$0.24M was drawn from the Shared Risk Pool.
- As of January 2023, a total of \$3.52M has been drawn from the project contingency of \$40 million. In January 2023, \$0.04M was drawn from project contingency.
- As of January 2023, no new awards have been made from the Project incentive pool of \$18.5 million.
- As of January 2023, no incentive was issued from the milestone incentive pool of \$15 million.

1.3 Program Progress and Schedule

As of January 31, 2023, the overall project completion is 80.77%. The current program schedule is projecting a PCEP substantial completion date of April 2024 and Revenue Service by September 2024. Staff has finalized a 2023 path to completion and service impact plan that will include system integration testing, signal cutovers, and proactive OCS construction productivity mitigations for the remaining PCEP work. The first weekend closure will commence on February 11, 2023 from Millbrae to San Francisco 4th and King.

1.4 Change Management Board (CMB)

In January 2023, the following item was brought to CMB for approval:

- Award of Compass Bus Bridge Service Contract for Weekend Shutdowns

1.5 This Month's Accomplishments

The project team has completed the following notable activities for the month of January 2023:

- Caltrain has received \$43 million in federal funding as part of the omnibus spending bill signed by President Biden in December 2022.
- Caltrain has been awarded TIRCP grant of \$367 million and PCEP is now fully funded.
- Completed 25kV in-depth OCS awareness training for all TASI staff and tenant railroad trainers prior to full Segment 4 energization.
- Commenced project schedule reforecast that reflects the path to completion and weekend area closures for the remaining PCEP work.
- Completed bus bridge service single source procurement.
- Continued to coordinate with PG&E on TPS2 short circuit testing, low voltage power drop applications, and distribution line de-energization work.
- Held executive and project team partnering sessions.
- Performed train operator EMU refresher training.
- Commenced Segment 3 Menlo Park cutover planning.
- Completed negotiation on railroad isolation and protection change order.
- Continued implementing energized rail isolation and protection procedure.
- Continued development of OCS/TPS maintenance RFP.
- Continued safety special task force working group, including TASI, Rail Operations and PCEP to address communications, process, and procedure improvements.
- Continued providing PCEP progress updates to funding partners, leadership, elected officials, citizens, and business community.
- Continued Rail Activation effort on path to energization for Segment 4 and CEMOF.
- Finalized path for completion plan that requires more track access and work windows on weekends to maximize productivity for the remaining infrastructure, signal cutover, and testing.
- Commenced readiness reviews for weekend bus bridges for OCS construction starting in February 2023.
- Completed Rail Service Plan for first weekend partial area closure from Millbrae to San Francisco to support Segment 1 OCS construction.
- Continued to address TPS 2 findings and complete documentation required to perform short circuit retest.

1.6 Upcoming work

For the next six months, the PCEP team has set additional goals as described below:

- Complete project schedule reforecast that reflects the path to completion and weekend area closures for the remaining PCEP work.
- Continue operations planning, ambassador and rail service planning effort for weekend area closures for Segment 1 and 2 OCS construction, and complete bus bridge service single source RFP.
- Commence first weekend bus bridges for OCS construction in February 2023.

- Commence focused area limited weekend shutdown work in February 2023.
- Continue to coordinate with PG&E on TPS2 short circuit testing, low voltage power drop applications, and distribution line de-energization work.
- Commence EMU maintenance training.
- Energize CEMOF for EMU commissioning.
- Hold Monthly CMB meeting for program status and change order approval.
- Complete Segment 3 Menlo Park cutover in February and the remaining Segment 3 signal cutovers in April 2023.
- Complete Segment 4 mainline live runs and full energization.
- Execute Railroad isolation and protection change order.
- Receive two more EMU trainsets in April 2023.
- Complete Segment 3 construction and ready for Sectionalization Testing.

The PCEP Project is currently on budget and on time for achieving Revenue Service in September of 2024.

1.7 Critical Items

As of January 2023, PCEP has completed Segment 2 signal cutover, fulfilled the \$410M funding gap, and have adequate RWIC to support field construction. The top critical items and related actions are highlighted below.

Table 1-1. Critical Issues and Actions

Critical Issues	Actions
<p>Overhead Contact System (OCS) installation delay due to low productivity</p> <p>Note: The project OCS work was on hold from March 10, 2022, to March 28, 2022 during the safety stand down.</p> <p>Segment 2 OCS was damaged during high wind and heavy rainstorms in late December 2022 and early January 2023</p>	<ul style="list-style-type: none"> • Additional BBII OCS crew training for regulation and variance in the OCS design / installation due to re-design & accommodations to resolve foundation Differing Site Conditions (DSC) issues – Completed. • Hiring additional BBII OCS staff members to prevent schedule slippage and help in future installation planning – Completed. • Hold OCS construction scheduling recovery workshop for remaining OCS installation and testing – Completed. • Increase OCS crews and OCS wiring equipment to increase productivity – Completed. • More track access including weekend area closures for remaining Segments 1 and 2 OCS construction and testing. Weekend bus bridge construction starts on February 11, 2023. • OCS repair work for Segment 2 is planned for September 2023 due to rainstorm and long lead time for materials.
<p>Unsuccessful TPS 2 short circuit test delays drill track and Segment 4 mainline energization</p>	<ul style="list-style-type: none"> • Perform comprehensive root cause analysis and develop corrective action plan. • Implement configuration change control process including design drawing, shop drawings, as-built version control to ensure all parties are using the same set of drawings for TPS2 testing. • Perform technical working groups including all vendors and EOR. • Weekly management team briefing on corrective action status. • Develop SSWP for all work performed at TPS for Caltrain review and approval.

Critical Issues	Actions
	<ul style="list-style-type: none">• Perform field verification and pre-testing before short circuit re-test.

2.0 SAFETY

There were no reportable injuries in January 2023. The Reportable Injury Rate (RIR) for the entire year (2022) was 2.82. Overall, since the project’s inception, the RIR is at 1.87, which is below the national average.

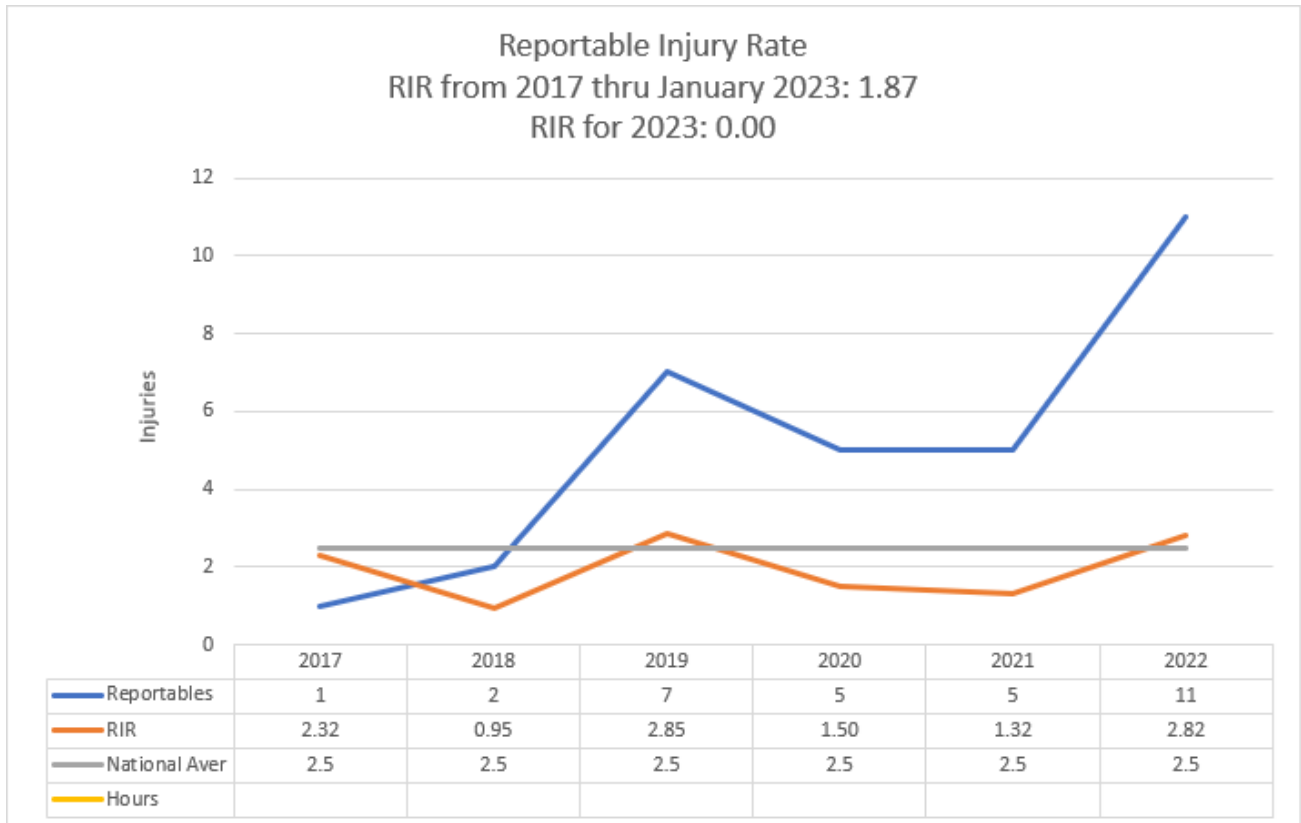


Figure 2-1. Project Reportable Injury Rate (RIR) by Year

Completed Work

Safety staff continues to coordinate with contractors to identify opportunities to improve safety performance. Organizational-wide safety briefings are being performed to ensure staff understand the application of post incident mitigation measures including rules and procedural changes designed to enhance safety. Project Safety continues to reinforce jobsite safety practices throughout the Caltrain alignment, investigate incidents, and identify mitigation measures to prevent re-occurrences. Safety project coordination meetings continue to be conducted monthly to promote a clear understanding of project safety requirements. In addition, Caltrain Safety continues weekly calls with the lead safety staff from Caltrain, PCEP, BBII, and TASI to discuss safety performance and ongoing initiatives.

Upcoming Work

The Fire/Life Safety Committee continues to work with emergency responders along the Caltrain corridor on emergency preparedness in advance of energization. The safety team has

updated the OCS and EMU emergency responder safety familiarization presentations to include voiceover features for use by the Fire Departments. The presentation will also be shared with other emergency responder jurisdictions through the project Fire/Life Safety Committee.

OCS safety awareness training is scheduled for Mountain View Fire Department on February 1, 2023 and Sunnyvale Fire Department from February 15-17, 2023. PCEP Safety Team will be providing OCS Safety Awareness training to the California Public Utilities Commission (CPUC) in Fresno, CA on April 4, 2023. Additional training is currently being coordinated with other Fire Departments.

3.0 IMS PROGRAM SCHEDULE

3.1 Introduction

The Integrated Master Schedule (IMS) Program Summary Schedule depicted in **Figure 3-1** shows the schedule status of the major PCEP projects. The forecasted dates for this program schedule were based on the preliminary draft of BBII's reforecast schedule. The final reforecast schedule information will be available in February's MPR update. The Revenue Service Date (RSD) and Full Funding Grant Agreement (FFGA) Revenue Completion Date (RCD) remains September 26, 2024, and December 31, 2024 respectively.

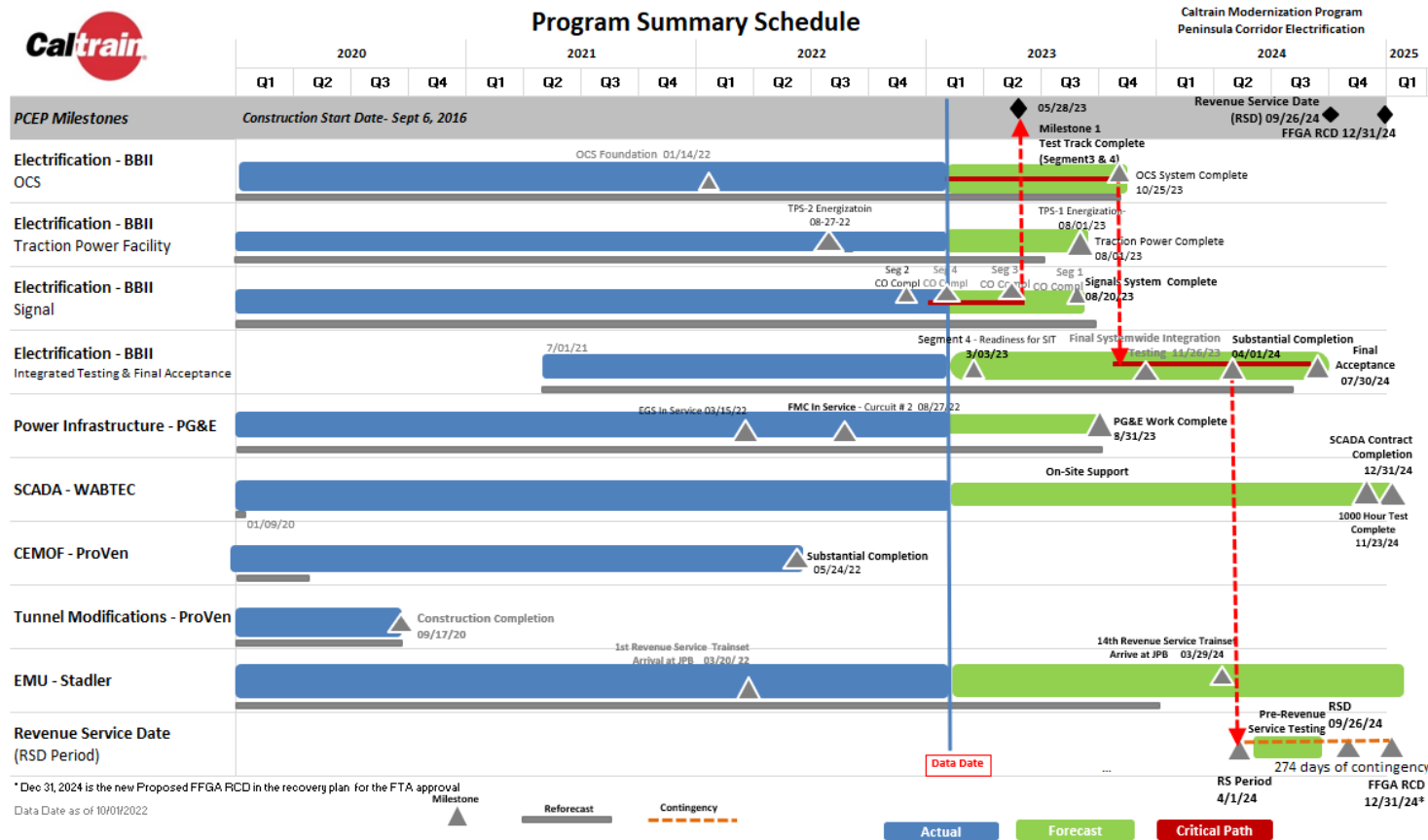


Figure 3-1. Master Program Summary Schedule

3.3 Schedule Contract Milestone Analysis

Milestone 1, redefined to include Segment 3 and 4 for more electrified mileage, is scheduled to be completed by May 28, 2023. The current forecast date for full alignment Substantial Completion is April 1, 2024 with Scheduled Final Acceptance forecasted now for July 30, 2024.

Contractor	Milestones	Reforecast (June 2022) Dates	Current (January 2023) Forecast	Milestone Finish Date Variance	Remarks
BBII	Segment 4 Completion	15-Nov-22	05-Feb-23	-82	Delayed by Reed Street Cutover delays and delays to Segment 4 integrated testing
BBII	Completion of Milestone 1 (Segments 3 and 4)	30-Apr-23	28-May-23	-28	Delayed by Seg 2 Phase 1 signal cutover installation delays which, in turn, delayed installation of Segment 3 signal cutovers and sectionalization testing
BBII	Traction Power Substation #1 Energization	03-Jun-23	01-Aug-23	-59	Delayed by replacement of the batteries and revisions of the enclosure at TPSS-1 to meet PG&E requirements
BBII	Signal Cutovers and Systems Completion	16-Sep-23	20-Aug-23	27	Delayed by Seg 2 Phase 1 signal cutover installation delays which, in turn, delayed installation of Seg 3 and 1 signal cutovers
BBII	OCS Construction Completion	25-Sep-23	25-Oct-23	-30	Delayed by reconstruction and testing of OCS at the Guadalupe Bridge
Stadler	14th Trainset Arrival at JPB Site	04-Jan-24	22-Mar-24	-78	Stadler is experiencing track access availability, workforce availability and material issues with their Suppliers.
BBII	System Integration Testing Start (Segment 4)	15-Nov-22	03-Mar-23	-108	Delayed by energization delay of Overhead Contact System (OCS)
BBII	System Integration Testing Completion	07-Feb-24	26-Nov-23	73	Delayed by installation delay of Overhead Contact System (OCS) in Segments 2 and 1.
BBII	Substantial Completion	01-Apr-24	01-Apr-24	0	
BBII	Scheduled Final Acceptance	30-Jul-24	30-Jul-24	0	
JPB	Revenue Service Date (RSD)	26-Sep-24	26-Sep-24	0	
JPB	FFGA Revenue Completion Date (RCD)	31-Dec-24	31-Dec-24	0	

Figure 3-3. Contract Milestone Analysis

4.0 COST AND BUDGET

4.1 Introduction

This section presents an update on program cost and budget. On December 6, 2021, the JPB adopted a new Program budget of \$2.44 billion. Table 4-1 depicts a summary level of program budget, costs, and estimate at completion based on the latest update of the Electrification and EMU projects as of January 31, 2023.

4.2 Program Budget and Cost

Table 4-1. Budget Summary by Project

Description of Work	Current Budget (A) ¹	Cost This Month (B) ²	Cost To Date (C) ³	Estimate To Complete (D)	Estimate At Completion (E) = (C) + (D)	Variance at Completion (F) = (A) – (E)
Electrification	\$1,749,139,438	\$24,576,681	\$1,490,501,058	\$258,638,380	\$1,749,139,438	\$0
EMU	\$693,551,258	\$7,466,535	\$506,859,097	\$186,692,162	\$693,551,258	\$0
PCEP TOTAL	\$2,442,690,697	\$32,043,217	\$1,997,360,155	\$445,330,542	\$2,442,690,697	\$0

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

Table 4-2 depicts program budget, costs, and estimate at completion summarized by major elements of work. This budget table provides additional detail for the program and is broken down by major contracts for Electrification and EMU, minor contracts, real estate, utilities, project management oversight and other indirect support costs.

Table 4-2. Budget Summary by Major Elements

Description of Work	Re-Baseline Budget	Current Budget	Cost This Month	Cost To Date	Estimate To Complete	Estimate At Completion
Electrification	\$1,097,149,881	\$1,097,149,881	\$18,413,448	\$890,224,997	\$206,808,884	\$1,097,033,881
EMU Procurement	\$556,072,601	\$556,248,486	\$6,491,807	\$421,190,158	\$135,058,328	\$556,248,486
Minor Construction Contracts (Tunnel, CEMOF, SCADA, Non-BBI OCS)	\$67,055,072	\$68,091,194	\$0	\$64,602,778	\$3,488,416	\$68,091,194
Real Estate Acquisition & Support	\$34,914,177	\$34,914,177	-\$2,273	\$23,978,215	\$10,935,962	\$34,914,177
PG&E, Utilities	\$132,088,995	\$132,088,995	\$1,296,890	\$203,341,510	-\$71,252,516	\$132,088,995
Management Oversight & Support	\$312,699,697	\$315,007,767	\$2,760,708	\$260,282,776	\$54,724,991	\$315,007,767
TASI Support	\$114,488,767	\$114,488,767	\$1,638,025	\$92,252,301	\$22,236,466	\$114,488,767
Finance Charges	\$9,898,638	\$9,898,638	\$0	\$9,304,280	\$594,358	\$9,898,638
Insurance	\$6,581,851	\$6,581,851	\$0	\$4,897,449	\$1,684,402	\$6,581,851
Other Required Projects & Services	\$9,084,176	\$10,484,176	\$205,436	\$3,380,015	\$7,104,161	\$10,484,176
Environmental Mitigation	\$14,438,866	\$13,038,866	\$0	\$1,242,229	\$11,796,637	\$13,038,866
Caltrain Capital Overhead (ICAP)	\$48,217,887	\$48,217,887	\$1,239,175	\$22,663,447	\$25,554,440	\$48,217,887
Contingency	\$40,000,089	\$36,480,012	\$0	\$0	\$36,596,012	\$36,596,012
Total	\$2,442,690,697	\$2,442,690,697	\$32,043,217	\$1,997,360,155	\$445,330,542	\$2,442,690,697

4.3 Program Shared Risk Pool and Contingency

Caltrain and Balfour Beatty Infrastructure, Inc. (BBII) continue implementing new mechanisms to ensure a collaborative approach to Project delivery. The management team meets every week to review the issues log focusing on risk mitigation and issues resolution.

As part of global settlement, a shared risk pool of \$50 million was established to manage risks and mitigation proactively and collaboratively with the design-build contractor. Table 4-3 shows the current shared risk drawdown for the current month and to-date as well as the remaining balance of the shared Risk Pool by Risk Category. Any shared risk items (27 Risk IDs listed below in Table 4-3) that are above \$250,000 require Change Management Board (CMB) approval.

Table 4-3. Shared Risk Pool Status as of January 2023

Risk ID	Risk Description	Risk Amount	Current Month	Executed to Date	Remaining Balance
1	Permanent Power Availability	\$268,572	\$0	\$160,916	\$107,656
2	Different Site Condition for OCS Foundation	\$3,500,000	\$0	\$986,104	\$2,513,896
3	Different Site Condition for Duct bank	\$2,800,000	\$226,484	\$391,881	\$2,408,119
4	Condition of existing Fiber backbone infrastructure	\$3,150,000	\$11,818	\$244,632	\$2,905,368
5	Availability of TASI Resource	\$5,777,820	\$0	\$0	\$5,777,820
6	Signal Cutover access and work window	\$5,607,150	\$0	\$0	\$5,607,150
7	Condition of existing signal system	\$538,572	\$0	\$29,125	\$509,447
8	EMI Nonconformance by EMU Vendor	\$750,000	\$0	\$0	\$750,000
9	Reed Street Cutover	\$90,000	\$0	\$0	\$90,000
10	Availability of low voltage power for cutover testing	\$1,120,000	\$0	\$0	\$1,120,000
11	Third party Permits	\$150,000	\$0	\$0	\$150,000
12	SCADA integration for the entire alignment	\$159,524	\$0	\$0	\$159,524
13	Tunnel OCS Compatibility	\$167,500	\$0	\$0	\$167,500
14	Supply chain issue due to COVID 19	\$300,000	\$0	\$28,923	\$271,077
15	End to end Systems integration commissioning	\$2,100,000	\$0	\$0	\$2,100,000
16	Existing Caltrain Operating systems interface and integration	\$1,400,000	\$0	\$0	\$1,400,000
17	Third party Approval	\$150,000	\$0	\$13,140	\$136,860
18	Impact from Caltrain other capital or third-party projects	\$2,166,683	-\$22,389	\$148,103	\$2,018,580
19	Track access delay for BBII Construction	\$1,800,000	\$0	\$128,986	\$1,671,015
20	Additional light Maintenance and Protection Needs	\$280,000	\$0	\$144,500	\$135,500
21	Crossing Protection	\$220,000	\$0	\$102,334	\$117,666
22	Power facilities	\$500,000	\$0	\$0	\$500,000
23	NCR's	\$0	\$0	\$0	\$0
24	Potholing	\$1,700,000	\$0	\$107,547	\$1,592,453
25	Pre-Revenue Service Operational Testing	\$250,000	\$0	\$0	\$250,000
26	TRO Contingency	\$3,000,000	\$0	\$0	\$3,000,000
27	Contingency	\$12,000,000	\$20,167	\$952,479	\$11,047,521
NA	Unidentified	\$54,179	\$0	\$0	\$54,179
	BBII Risk Pool Total	\$50,000,000	\$236,080	\$3,438,669	\$46,561,331

In addition to the established Risk Pool with BBII, the Re-Baseline Budget includes a program contingency of \$40 million to cover non-BBII potential changes and unknowns.

Table 4-4 provides a detailed status of approved transfers from contingency due to executed Contract Change Orders and approved Budget Transfers.

Table 4-4. Program Contingency Drawdown Balance

Change Order	Description	Current Budget Contingency	EAC Contingency
Project Contingency		Previously Reported Balance	\$36,523,532
STA-056-041	Semi-Automatic Phase Break Operation	(\$43,520)	(\$43,520)
PROJECT CONTINGENCY REMAINING BALANCE		\$36,480,012	\$36,596,012

Note: EAC Contingency reflects forecast contingency.

4.4 Electrification Design Builder Contract Incentives

The Global Settlement with BBII also includes incentives based on Milestone completions and remaining contract incentives. Table 4-6 provides a status of Design-Build Contractor incentives Budgeted, Awarded, and remaining Balance.

Table 4-5. BBII Incentives

Incentives	Budgeted	Awarded	Balance
Contract Incentive:			
Quality	\$1,250,000	\$1,000,000	\$250,000
Safety	\$2,500,000	\$875,000	\$1,625,000
Community Outreach	\$2,500,000	\$1,750,000	\$750,000
DBE	\$900,000	\$0	\$900,000
Total Contract Incentive	\$7,150,000	\$3,625,000	\$3,525,000
Milestone Incentive:			
Early Signal and Crossing Cutover	\$4,000,000	\$0	\$4,000,000
Early Project Substantial Completion (NTE)	\$8,000,000	\$0	\$8,000,000
Early Revenue Service	\$3,000,000	\$0	\$3,000,000
Total Milestone Incentive	\$15,000,000		\$15,000,000

4.5 Program Cash Flow and Funding

The remaining program expenditures are cash flowed in Figure 4-1. With the award of the full funding, the program does not expect any cash flow issues due to funding.

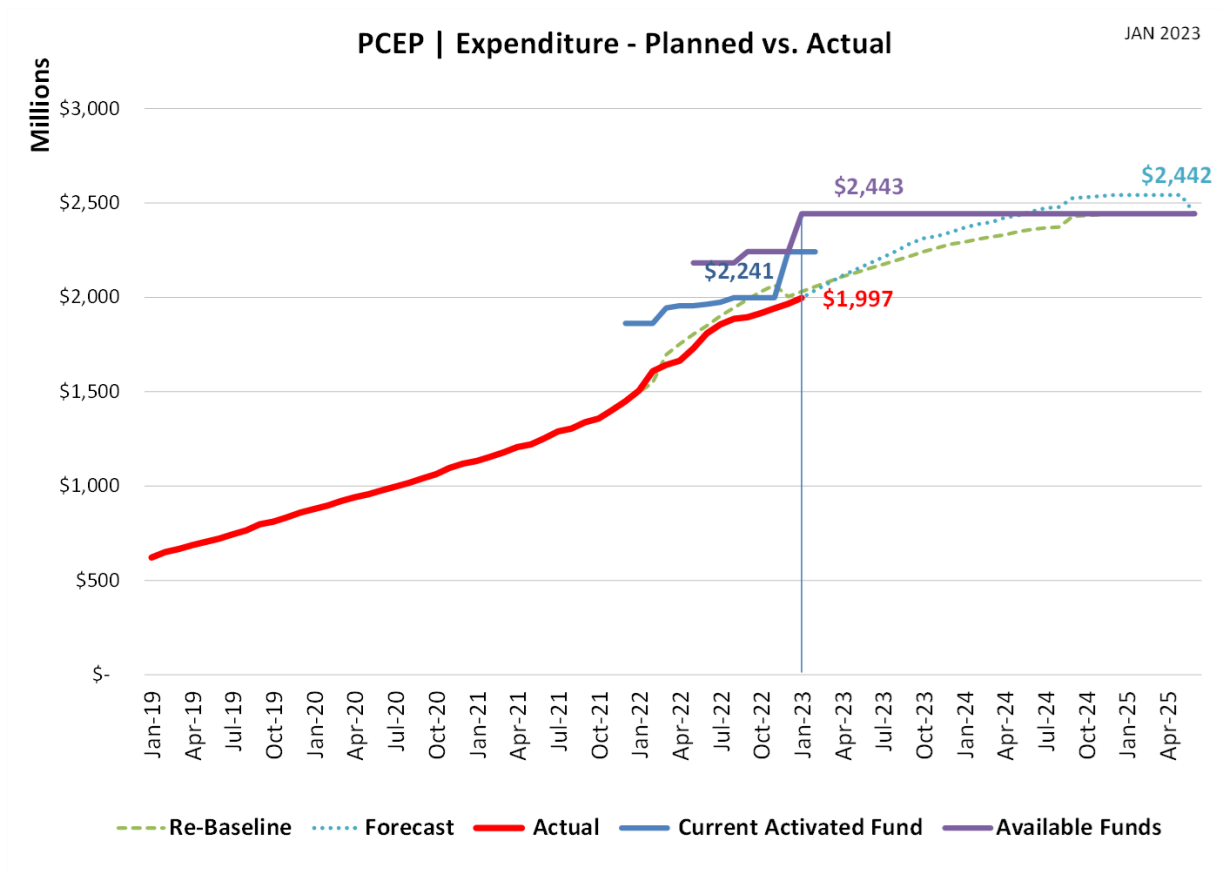


Figure 4.1 Expenditure – Funding Cash Flow

4.6 Issues

Table 4-6. Cost and Funding Issues Identified, and Actions Taken for January 2023

Issues	Actions
Additional funding setup for \$410M Funding Gap.	<ul style="list-style-type: none"> On December 23, 2022, Caltrain received an additional \$43M from the Federal Transportation Administration (FTA). On January 31, 2023, Caltrain received \$367M in state funding from the Transit and Intercity Rail Capital Program (TIRCP) to finish the Peninsula Corridor Electrification Project. With the funding from FTA (\$43M) and TIRCP (\$367M), the \$410M funding gap issue has been resolved.

5.0 CHANGE MANAGEMENT

5.1 Introduction

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

5.2 Change Orders/Shared Risk Pool

5.2.1 Executed Shared Risk

The following Shared Risk items were executed in January 2023:

- Combination of DSC IRLs 079, 229, 248, 251, 273, 274, and 276 was executed on January 23, 2023 for \$27,687.
- Segment 4 End of Electrical Warning Signage was executed on January 10, 2023 for \$17,167.
- Redesign Grounding and Bonding at Atherton Station due to Decommissioning was executed on January 9, 2023 for a credit of (\$22,389).
- Relocation of Signal House at CT26.80 due to Utility Conflict was executed on January 25, 2023 for \$198,797.
- Contaminated Fiber Splice Closure at 25.21 was executed on January 9, 2023 for \$11,818.

5.2.2 Approved Change Orders

- CCO-257 OCS Removal and Replace of Replacement for Guadalupe Bridge Project was executed on January 25, 2023 for \$1,298,842. This Change Order is funded by the Guadalupe Bridge Project.
- CCO-041 Manual Phase Break was executed on January 17, 2023 for \$43,200.

5.2.3 Upcoming Change Orders/Shared Risk Items

- Incorporation of As-Built Additional Ped Gate Mechanisms for \$549,014.
- Right-of-Way Site Security for \$1,050,547.

5.3 Issues

Table 5-1. Change Management Issues Identified and Actions Taken for January 2023

Issues	Actions
Segment 4 Maintenance Option in the existing BBII Contract was never exercised. Maintenance of OCS/TPS for Segment 4 will be needed post Segment 4 substantial completion once Caltrain is using it for EMU testing under 25kV.	<ul style="list-style-type: none"> • Define EMU testing and burn in work schedule. • BBII provides isolation and protection once Segment 4 is powered up. • BBII will provide maintenance lite during EMU testing and burn in. • Prepare Request for Proposal for OCS/TPS Maintenance Service for public procurement scheduled for February 2023. • Develop evaluation criteria for Maintenance Service proposals. • Recommend for award and obtain JPB board approval.