



AGENDA

Peninsula Corridor Joint Powers Board

March 29, 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.

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

March 29, 2023 - Wednesday

9:00 am

1. Call to Order / Pledge of Allegiance
2. Roll Call
3. Suspend Section 4 of the JPB Rules of Procedure to Authorize Regular Meeting to Occur on March 29, 2023, rather than April 6, 2023 Motion
4. Consideration of requests, if any, of Directors to participate remotely due to Emergency Circumstances Motion
5. Public Comment for Items Not on the Agenda
Comments by each individual speaker shall be limited to two (2) minutes. Items raised that require a response will be deferred for staff reply.
6. Report of the Executive Director Informational
7. Consent Calendar
Members of the Board may request that an item under the Consent Calendar be considered separately.
 - 7.a. Meeting Minutes of March 2, 2023 Motion

Approved by the Finance Committee

 - 7.b. Accept Statement of Revenues and Expenses for the Period Ending February 28, 2023 Motion
 - 7.c. Authorize the Executive Director to Execute an Amendment to the Letter of Agreement with Transbay Joint Powers Authority (TJPA) For Activities Undertaken in Support of the Downtown Rail Extension (DTX)* Resolution

- | | |
|--|--|
| 7.d. Declare an Emergency Regarding the North Channel Embankment of the San Francisquito Creek Bridge Due to Erosion and Authorize the Executive Director to Enter into Construction Agreement with Walsh Construction for Emergency Repair Work at San Francisquito Creek Bridge* | Resolution |
| 7.e. Authorize Rejection of Bid for Churchill Avenue Grade Crossing Improvements Project and Re-Advertisement of the Solicitation* | Resolution
<u>Motion</u> |
| 7.f. Authorize Execution of Agreement with Valley Transportation Authority (VTA) for Bus Bridge Services for the Caltrain Peninsula Corridor Electrification Project (PCEP) Signal Cutovers and OCS Testing* | Resolution |
| 8. Recognizing Arab American Heritage Month | Resolution |
| 9. Reports | |
| 9.a. Report of the Citizens Advisory Committee | Informational |
| 9.b. Report of the Chair | Informational |
| 9.c. Report of the Local Policy Maker Group (LPMG) | Informational |
| 9.d. Report of the Transbay Joint Powers Authority (TJPA) | Informational |
| 10. Peninsula Corridor Electrification Project (PCEP) Monthly Progress Report | Informational |
| 11. Correspondence | |
| 12. Board Member Requests | |
| 13. Date/Time of Next Regular Meeting: Thursday, May 4, 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. | |
| 14. Adjourn | |

Information for the Public

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

Date and Time of Board and Committee Meetings

JPB Board: First Thursday of the month, 9:00 am; JPB TOPS and AMP Committee: Two Wednesdays before the Board meeting, 1:30 pm 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.

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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.

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: March 2023

Executive Director Michelle Bouchard

Report prepared for April Board meeting; data current through February 2023.









Who We Are and What We Do

Caltrain Mission: Caltrain is a customer-focused rail system offering safe, reliable, accessible, and sustainable transportation service that enhances quality of life for all.

Caltrain Vision: To be a vital link in the statewide rail network by improving connectivity to other transit systems, contributing to the region's economic vitality, and partnering with local communities to ensure that diverse constituencies receive a world-class travel experience.



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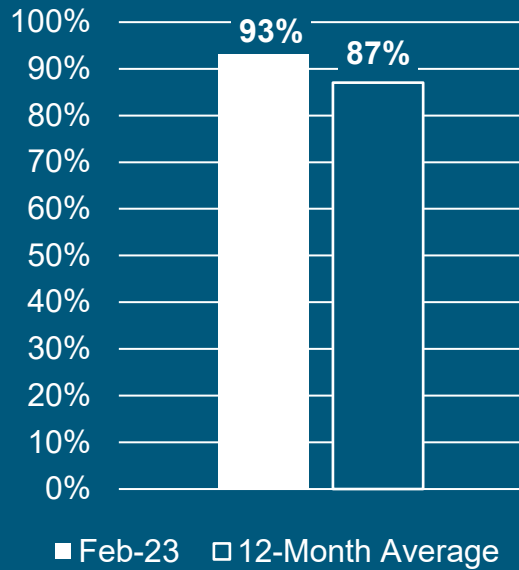




Performance at a Glance

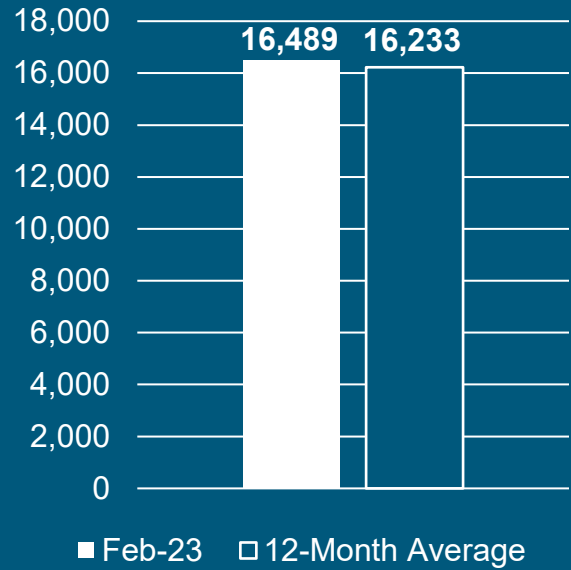
On-Time Performance

Percentage of trains arriving within six minutes of the scheduled time



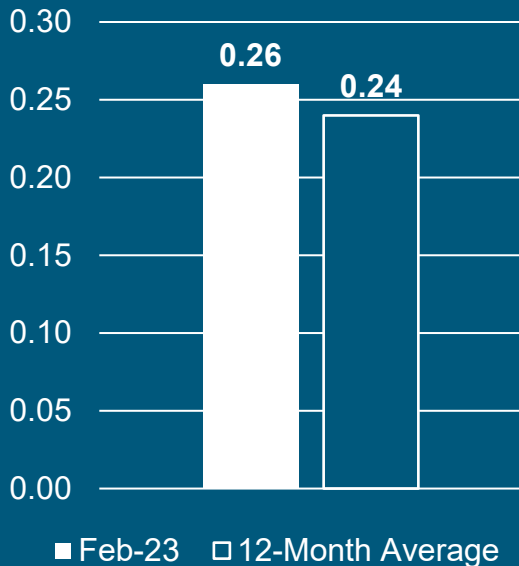
Average Daily Ridership

Average estimated weekday ridership



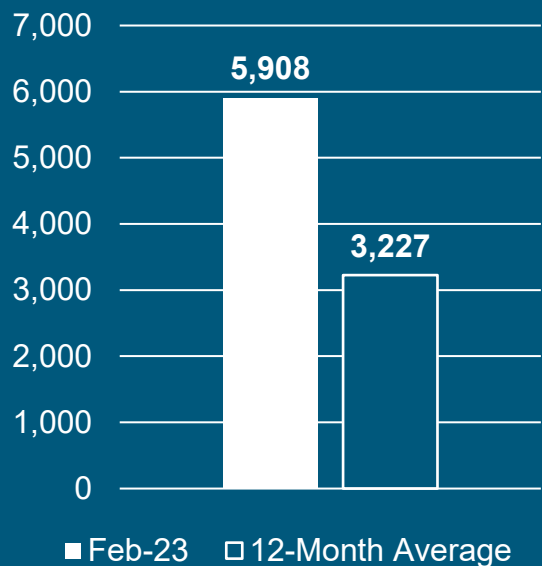
Farebox Recovery Ratio

Ratio of fare revenue to operating costs



Mean Distance Between Failures

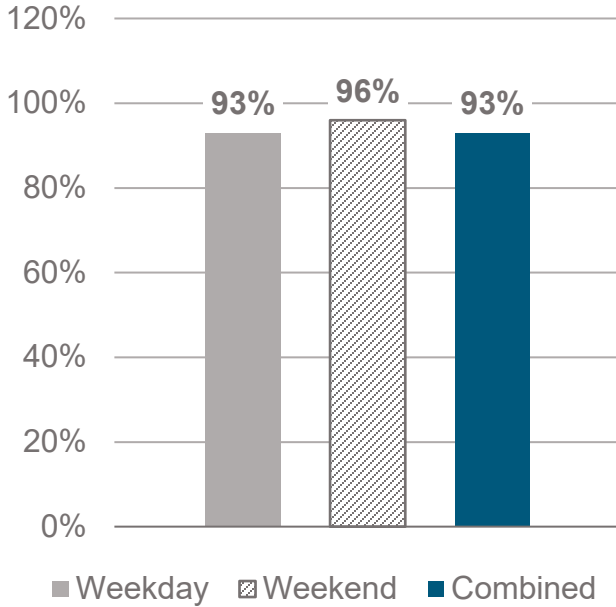
Average miles travelled by locomotives before maintenance/repair is required





On-Time Performance

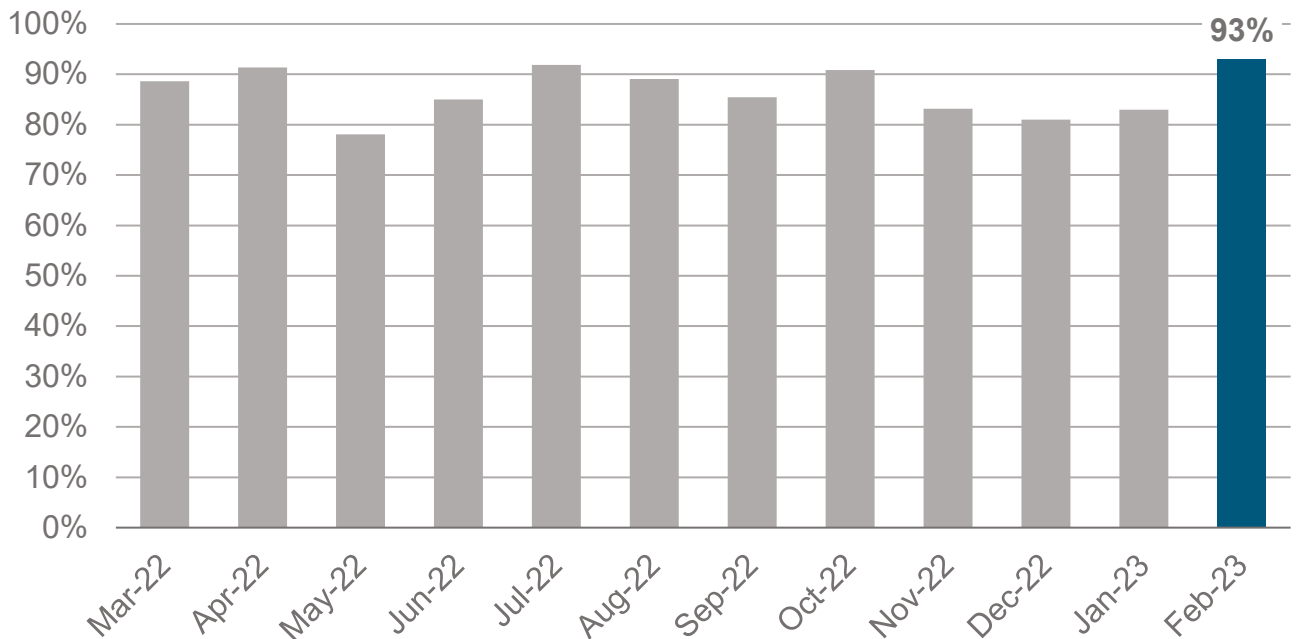
Performance This Month (Feb-23)



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 for the month of February was 93 percent, the highest it has been in the past year. The main drivers of this improvement were fewer train delays caused by construction work, trespassers on the right of way, and mechanical issues.

Monthly On-Time Performance in the Past Year



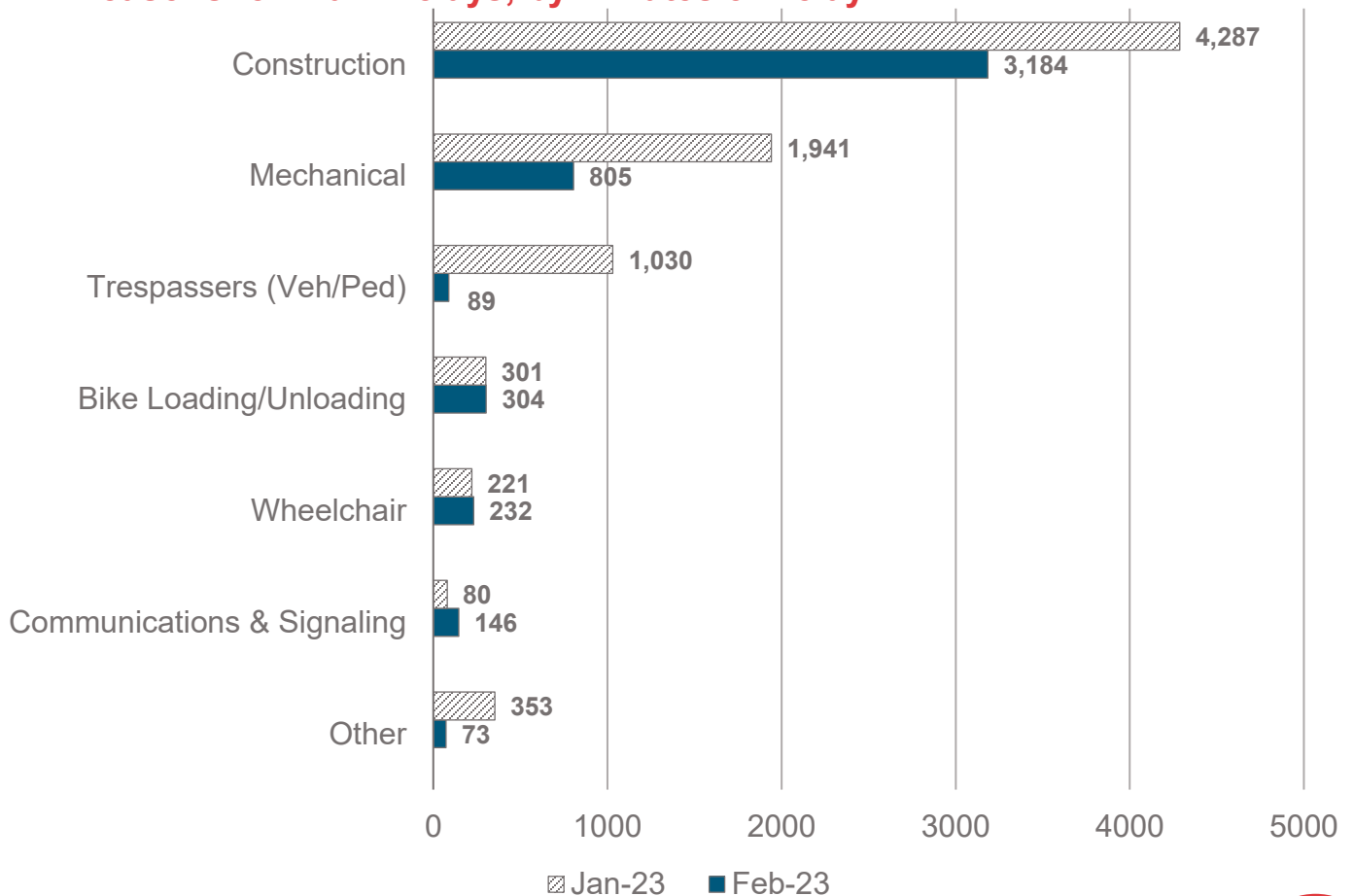


Delays and Cancellations

	<u>Dec-22</u>	<u>Jan-23</u>	<u>Feb-23</u>
Number of Late Trains	438	414	157
Average Minutes Late for Late Trains	19	24	14
Number of Cancelled Trains	13	56	2

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.

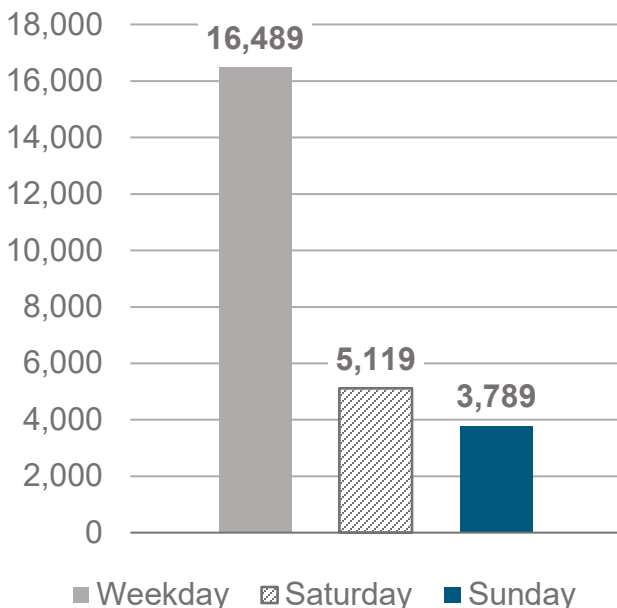
Reasons for Train Delays, by Minutes of Delay





Ridership and Revenue

Average Daily Ridership (Feb-23)

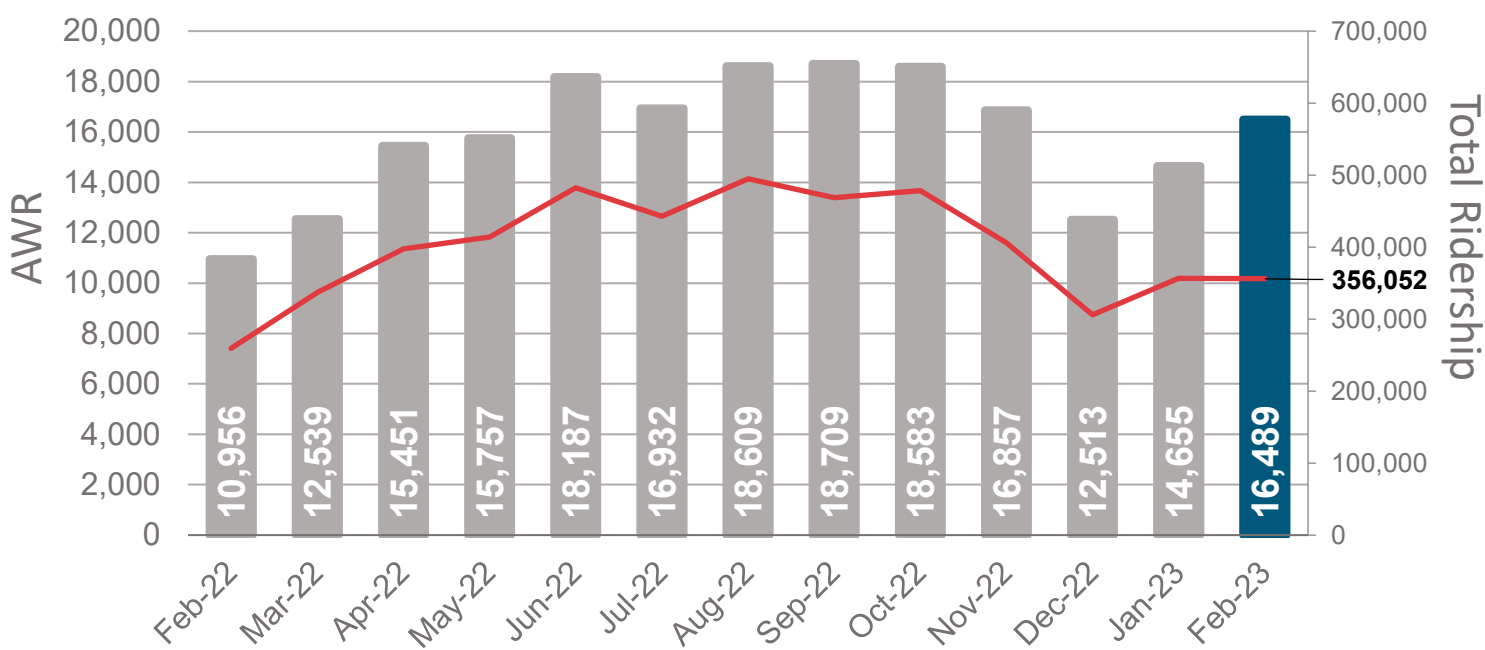


Both total and average weekday ridership (AWR) increased significantly from the same month in the prior year due to the receding impacts of the COVID-19 pandemic, including gradual introduction of return-to-office policies and increased leisure activities such as special events at Oracle Park and Chase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

Sharks

- Six regular season home games in February.
- Total additional ridership boarding at San Jose Diridon station was 486.
- Year-to-date additional ridership is 1,949, a 20% decrease compared to 2021 (2,437) and a 72% decrease compared to 2019 (7,082).
- *Please note, a bus bridge was in effect for the 2/25 game.*

Warriors

- Seven regular home season games in January.
- Total additional post-game ridership boarding at San Francisco station was 876
- Year-to-date additional ridership is 6,893, a 39% decrease compared to 2021 (11,333) and a 54% decrease compared to 2019 (14,969).
- *Please note, a bus bridge was in effect for the 2/11 and 2/26 games.*

Other Special Events

- Giants Fan Fest: Total additional ridership was 753, a 3% decrease compared to 2020 (774).



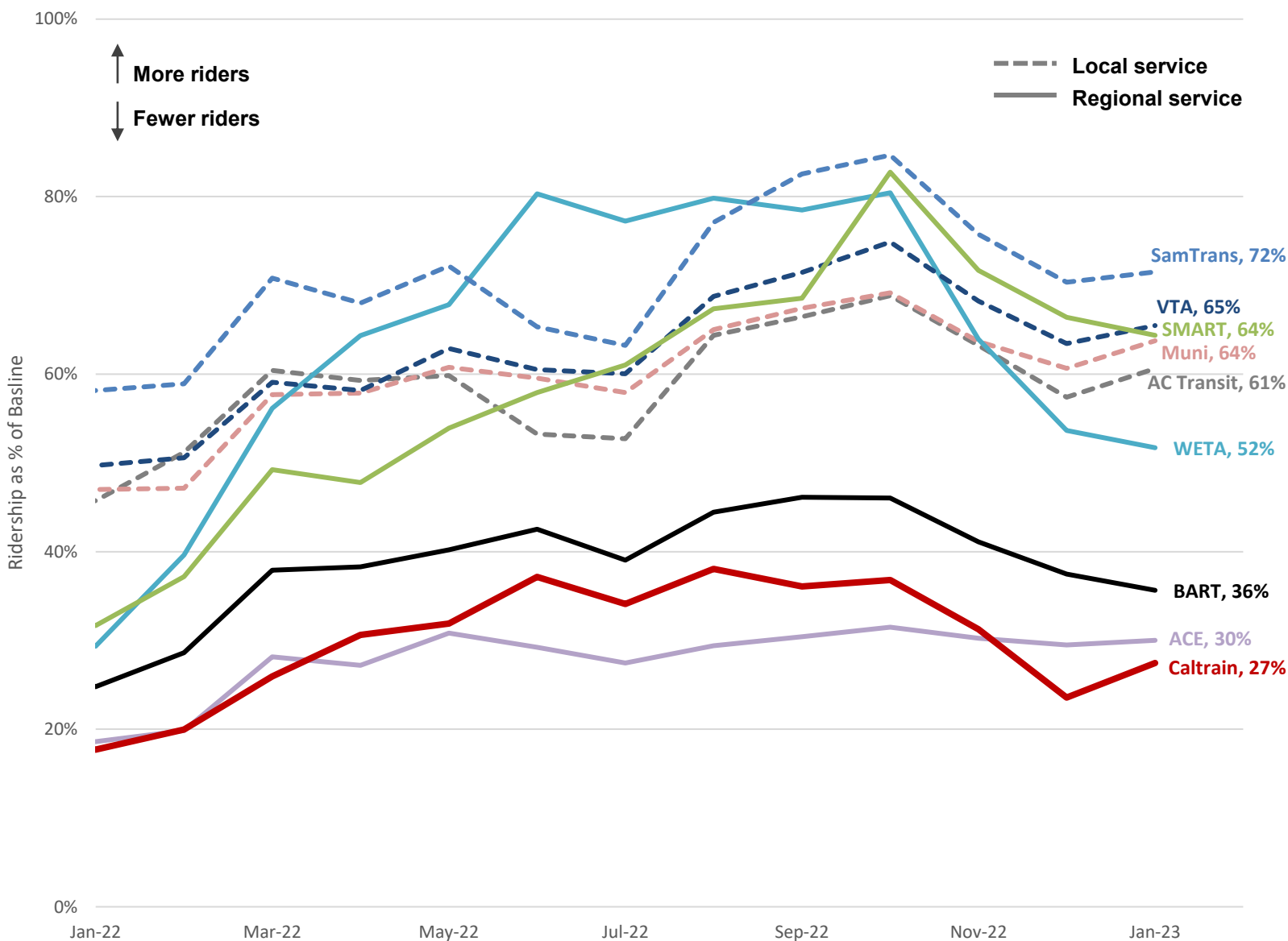


Ridership and Revenue

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



Sources:

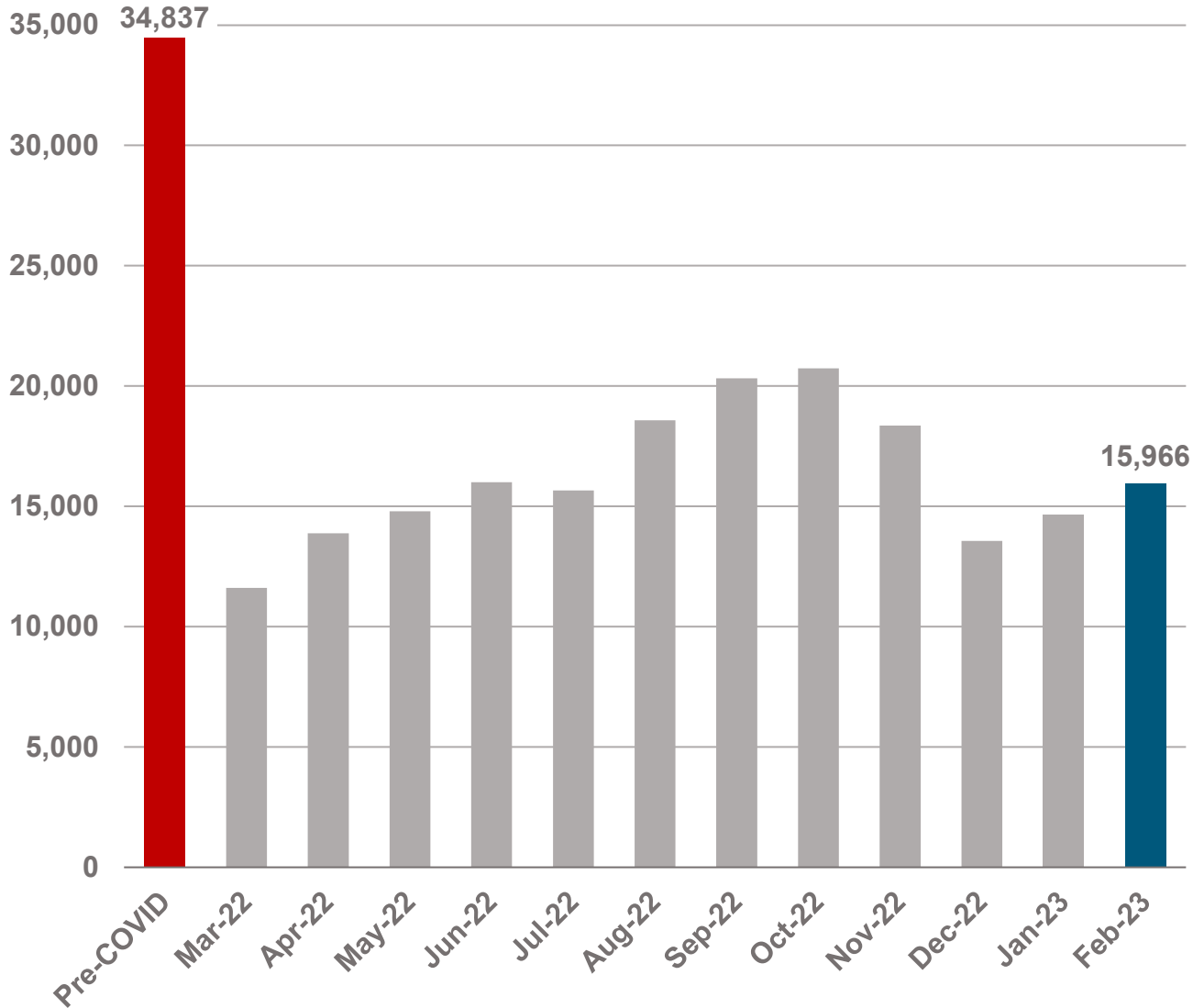
- Caltrain ridership estimates based on conductor counts & Clipper data
- Ridership data for all other agencies retrieved from the National Transit Database





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.

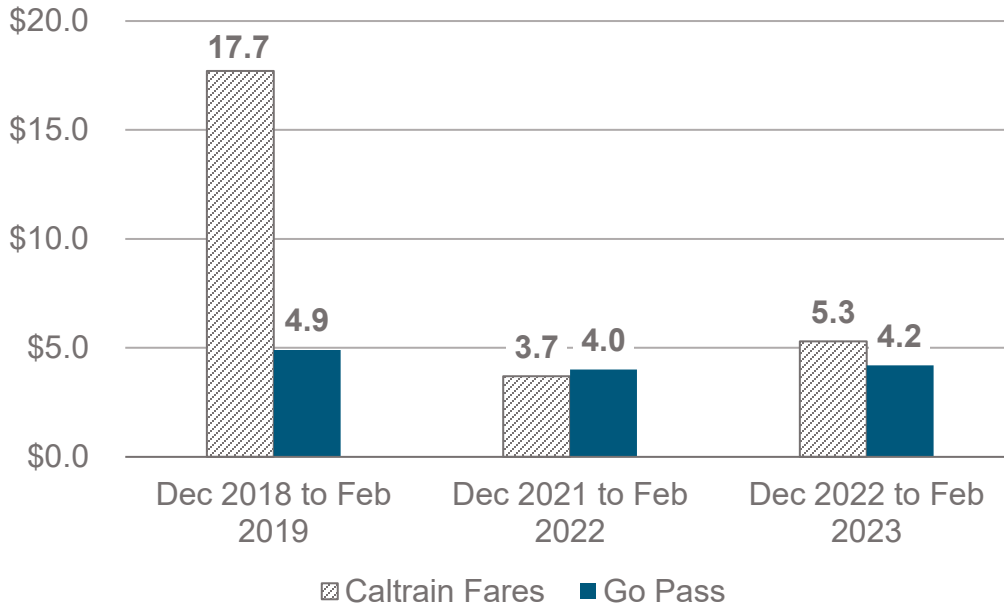
Pre-COVID data is provided for comparison purposes and represents average monthly transfers during the one-year period from March 2019 to February 2020.





Ridership and Revenue

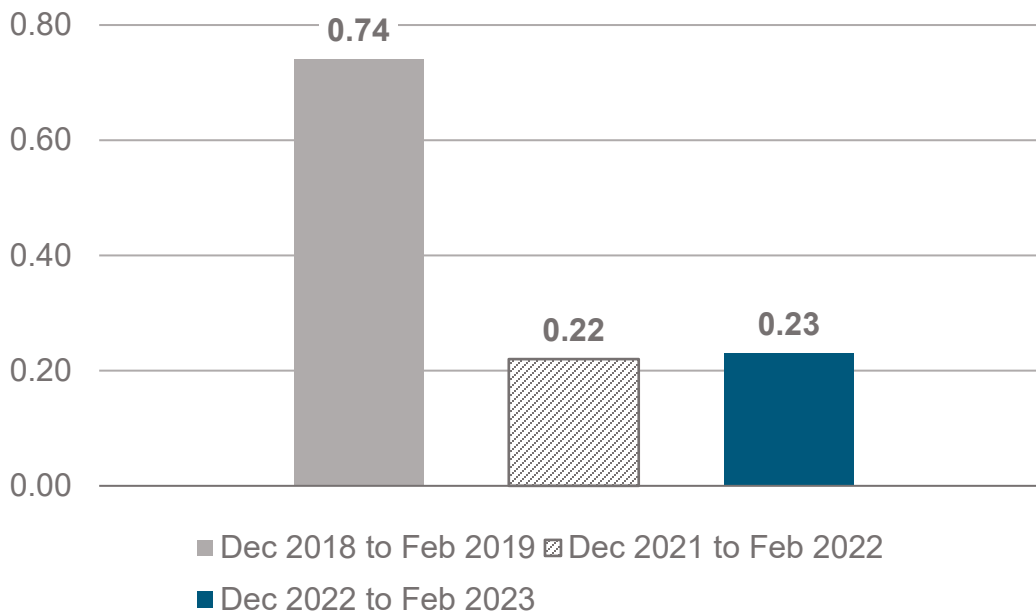
Total Fare Revenues (\$M) - Past 3 Months Comparison



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)



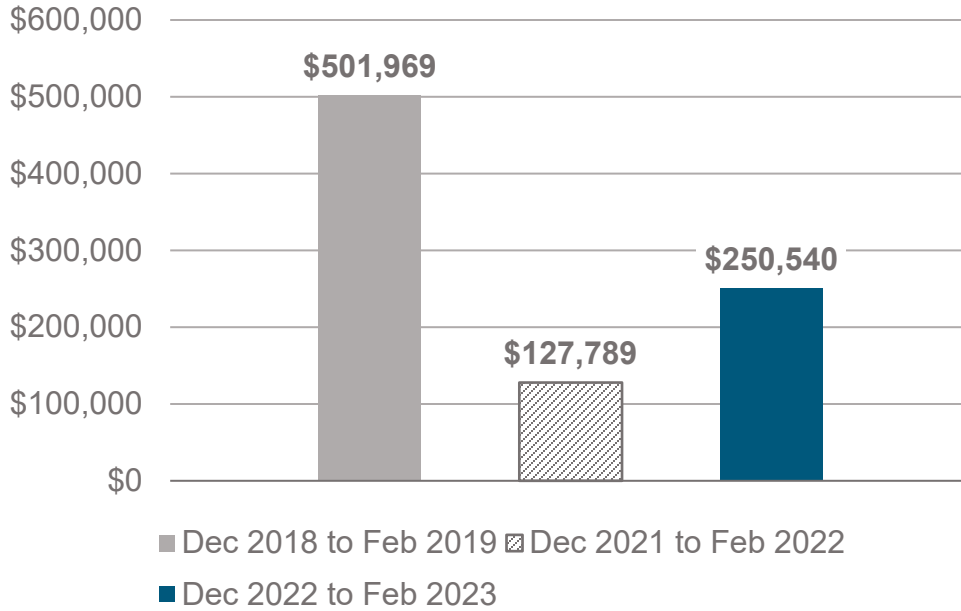
Farebox Recovery Ratio represents how much of the cost of providing service is covered by customer fares. A higher ratio indicates that a greater share of costs are covered by riders.





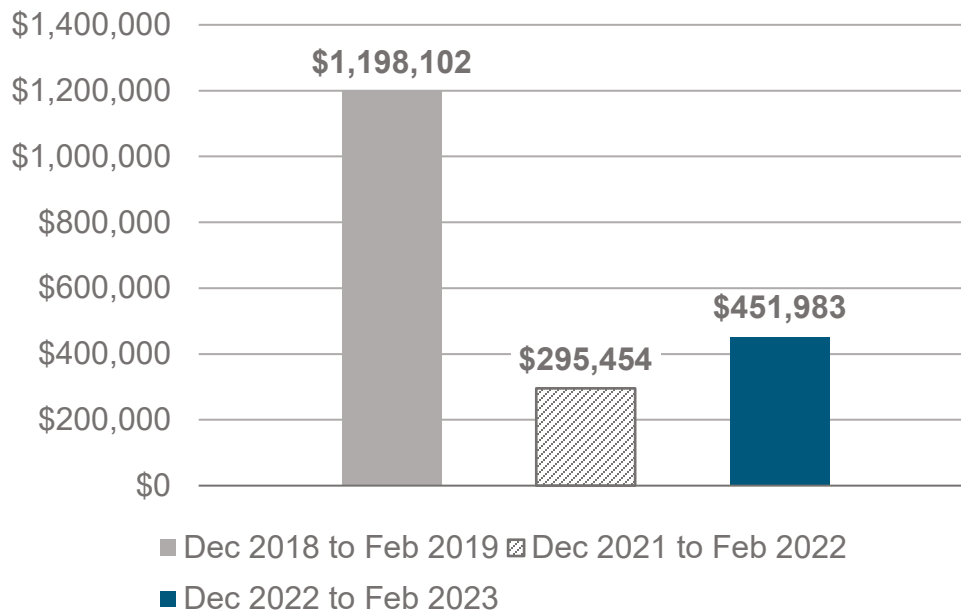
Ridership and Revenue

Advertising Revenue (3-Month Rolling Average)



Advertising Revenue declined substantially for transit agencies throughout the country with the onset of the COVID-19 pandemic. The most recent 3-month period represents half of the advertising revenue received for the same 3-month period in 2019.

Parking Revenue (3-Month Rolling Average)



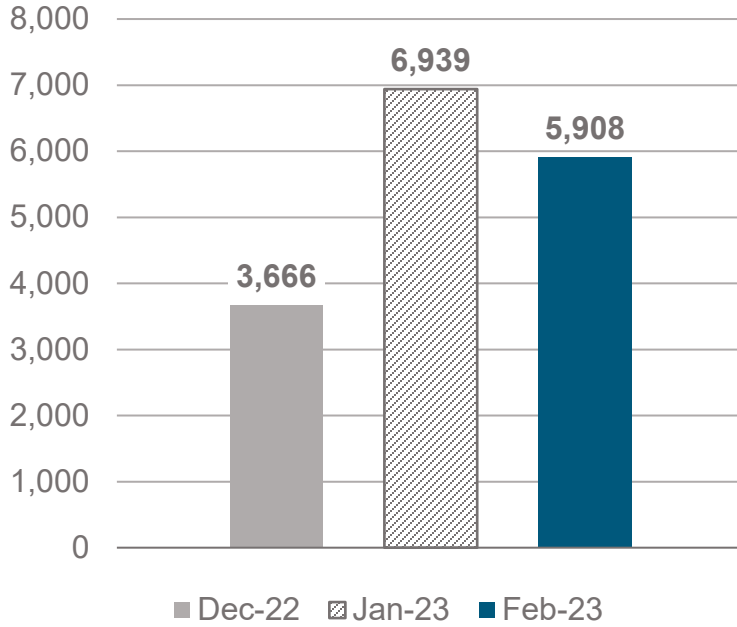
Parking Revenue is generated by purchases of daily and monthly parking permits for parking at Caltrain-owned lots.





Maintenance Performance

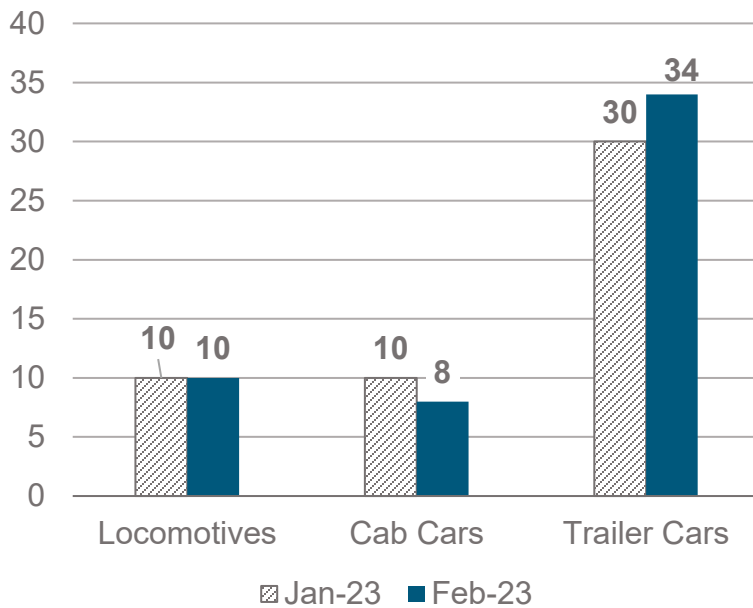
Mean Distance Between Failure (Locomotives)



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



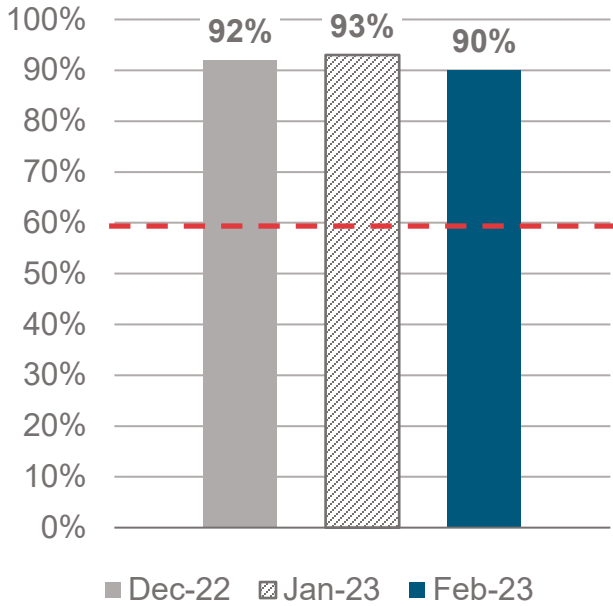
Equipment in Maintenance/Repair represents the number of locomotives and cars that are out of service on an average day each month due to routine and preventative maintenance or other repairs.





Maintenance Performance

Equipment Availability (Locomotives)

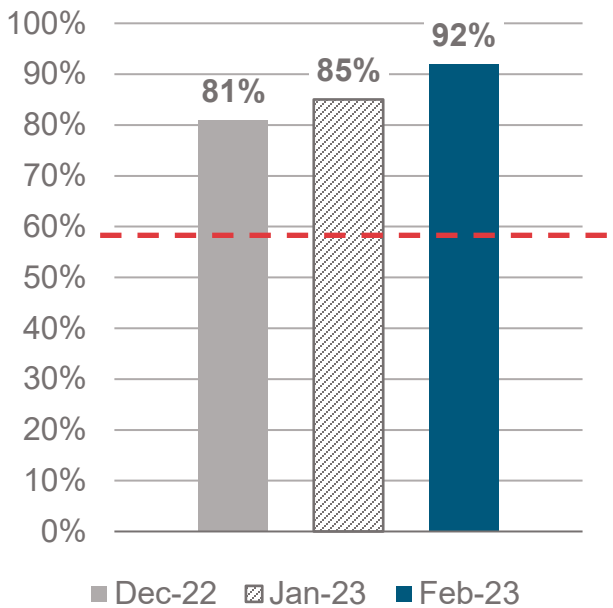


Equipment Availability is the number of cars or locomotives available for service on an average day each month as a percentage of the daily equipment required to run base service.

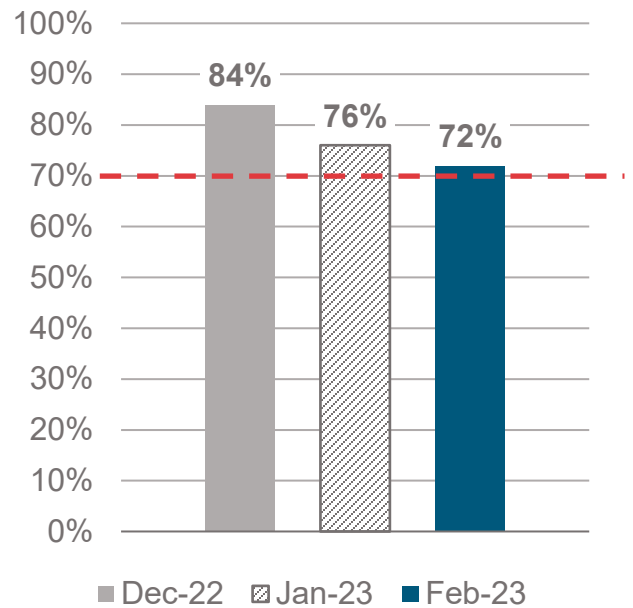
Caltrain currently owns 29 passenger locomotives, with 18 required daily; 36 cab cars, with 21 required daily; and 98 trailer cars, with 69 required daily.

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

Temporary Weekend Service Reductions for Electrification Construction

Caltrain Electrification, which will provide passengers with greener, faster and more frequent service, is nearing its final phase as we anticipate electrified service to begin in 2024. However, in 2023, we need to do intensive work along the corridor to complete critical construction and testing activities. To minimize the impact on weekday service and to ensure the project is completed safely and on time, **Caltrain will be suspending rail service in select areas on weekends throughout the year.**

On the weekends of **March 25-26** and **April 1-2**, Caltrain will be suspending rail service between Millbrae and Hillsdale Stations to accommodate Caltrain Electrification construction and testing. Local weekend Caltrain service will be replaced with limited bus service, known as a bus bridge, for riders traveling to or from the affected area. The weekend bus bridge will serve all stops between Millbrae and Hillsdale stations.

Special Board Workshop on Caltrain Finances

On Thursday, April 6 at 9:00am, Caltrain will hold a special Board workshop on the agency's business outlook, including near-term financial projections along with options and strategies to address future anticipated budget deficits. No Board action will be required at the workshop, but it will be an opportunity to discuss priorities and goals before a May presentation on the preliminary budget for Fiscal Years 2024 and 2025.





Communications and Marketing Update

Caltrain Communications and Marketing Campaigns for February 2023

- Press Releases:
 - "Caltrain Temporarily Reduces Weekend Service to Expedite Electrification Construction"
 - "Caltrain Runs Special Service to Giants Fan Fest"
 - "Caltrain Board Gains New Members, Chair and Vice Chair"
 - "Caltrain Seeks Community Organizations Needing Donated Go Passes"
 - "Caltrain to Run Modified Schedule for Presidents' Day"
 - "Caltrain to Present at Meeting on San Jose Diridon Plaza Transit-Oriented Development"
- Weekend Service Change
- Clipper Mobile (ongoing)
- 20% Off Caltrain Monthly Pass (ongoing)
- Clipper Start (ongoing)

Digital Communications Report

During the month of February, Caltrain encountered a substantial volume of communication due to the announcement of weekend closures. The first press release was issued on February 1st, with the first weekend closure scheduled for February 11th. This service change impacted every aspect of communication, including social media, web, mobile, and more.

Caltrain's appreciation continued following the acquisition of \$367 million in state funding to complete the electrification project. New Board members were announced for Caltrain during the same month.

February Digital Marketing Highlights

- Black History Month
- Digital Communications team continued a weekly video series highlighting Electrification
- People and Culture Hiring Video
- Valentine's Day Vertical content
- State Funding announcement – across all platforms
- Save Transit Regional Campaign
- Caltrain Corridor Crossings Strategy Website launched





Capital Projects Update

Project: Guadalupe River Bridge Replacement

Project Description				Status Summary			
				Safety	Schedule	Budget	Funding
<p>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.</p>							
Project Phase: 6 – Procurement/Construction/Implementation							
Project Costs (in thousands of dollars)						Estimated Completion	
	Current Budget	Committed to Date	Expended + Accruals				
Totals	63,699	14,809	10,430			02/16/25	
Percentages	100.00%	23.2%	16.4%				
Project Highlights – Recent and Upcoming Work							
<p>On 2/8/2023, JPB's PCEP team completed the MT2 OCS removal. On 2/10/2023, Walsh Construction completed the removal of trees and the construction of site entrances. On 2/28/2023, Walsh Construction completed the removal of MT2 track and ties.</p> <p>In March 2023, JPB anticipates the removal of MT2 ballast, the partial removal of MT2 bridge structural elements, the mobilization of a field office trailer at the project site, and the formal issuance of an Encroachment Permit by Valley Water.</p> <p>Funding status light yellow until planned FY25 funding appropriated by the 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 February 28, 2023, and is subject to change prior to the April 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	2,713	2,091	09/30/23
Percentages	100.00%	69.7%	53.7%	
Project Highlights – Recent and Upcoming Work				
<p>The vendor continued to work on the issue with the display module and continued testing.</p> <p>Begin Phase 4 to upgrade 27 TVMs in early March 2023 starting in San Francisco and working south.</p>				

Note: The Capital Projects information is current as of February 28, 2023, and is subject to change prior to the April 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

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.

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.

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.

Note: The Capital Projects information is current as of February 28, 2023, and is subject to change prior to the April 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: 7 - Start-up/Turnover				
Project Costs (in thousands of dollars)				Estimated Completion
	Current Budget	Committed to Date	Expended + Accruals	
Totals	2,520	2,340	2,153	02/23/23
Percentages	100.00%	93%	85%	
Project Highlights – Recent and Upcoming Work				
<p>Received approval from Management Committee for Substantial Completion and Turn Over to Rail Ops for the Next Generation Clipper Validators.</p> <p>Begin to close out the project.</p>				

Note: The Capital Projects information is current as of February 28, 2023, and is subject to change prior to the April 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: 6 – Procurement/Construction/Implementation				
Project Costs (in thousands of dollars)				Estimated Completion
	Current Budget	Committed to Date	Expended + Accruals	
Totals	28,820	7,794	6,483	9/30/24
Percentages	100.00%	27%	22.5%	
Project Highlights – Recent and Upcoming Work				
<p>Held bi-weekly meetings with the contractor Nomad Digital. The contractor submitted several Request For Information that JPB is responding to. The contractor submitted their Site Specific Work Plans for the trackside site survey in March. The contractor had an initial site visit to the EMU to plan out their detailed EMU survey.</p> <p>Perform the trackside site surveys and the EMU surveys.</p>				

Note: The Capital Projects information is current as of February 28, 2023, and is subject to change prior to the April 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	13,173	5,797	
Percentages	100%	88.8%	39.1%	05/31/24
Project Highlights – Recent and Upcoming Work				
<p>Unit 927 completed emissions testing and is back in service. Unit 924 is at Caltrain, TASI found a few issues which have since been repaired. Unit needs static testing with cars and then can go in service. Unit 925 is still in overhaul due to ship in March 2023. 926 is at Alstom being stripped down.</p> <p>Unit 924 to complete dynamic testing on Caltrain an 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 February 28, 2023, and is subject to change prior to the April 2023 Board meeting.

Statuses: ● – Green ● – Yellow ● – Red



Acknowledgments

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

John Hogan, 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 March 2, 2023

Members Present: P. Burt, C. Chavez, D. Davis (Vice Chair), R. Mueller, R. Medina, J. Gee (Chair), S. Heminger, S. Walton
Members Absent: M. Zmuda
Staff Present: M. Bouchard, J. Harrison, A. Myles-Primakoff, S. Sargent, T. Bartholomew, C. Fromson, P. Shrestha, D. Seamans, K. Scribner, M. Tseng

1. Call to Order / Pledge of Allegiance

Chair Jeff Gee called the meeting to order at 9:01 am and Director Chavez led the pledge of allegiance.

2. Roll Call

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

3. Consideration of requests, if any, of Directors to participate remotely due to Emergency Circumstances – There were no requests made.

4. Public Comment for Items Not on the Agenda

Aleta Dupree commented on wanting to experience the new Caltrain soon and the importance of continuing work with Clipper.

5. Report of the Executive Director

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

- Partial weekend shutdowns held in February and March to accommodate targeted construction activities between San Francisco and Millbrae. Ms. Bouchard thanked staff station ambassadors for volunteering to help customers understand the changes and navigate the bus bridge service.
- Special Board Workshop on Caltrain's financial outlook on March 29th - the railroad continues to face serious fiscal challenges despite closing the PCEP (Peninsula Corridor Electrification Project) funding gap. This will allow Board Members to weigh in on priorities regarding service scenarios, state of good repair needs, member contributions, and Measure RR funding.
- March 15th Appreciation Event with Representatives Kevin Mullin, Anna Eshoo, and other key supporters who have championed the importance of finding additional funding for the Electrification Program, culminating in last month's announcement of the \$367 million TIRCP (Transit and Intercity Rail Capital Program) award.
- Go Pass Donation Program - continue to encourage organizations serving low-income and marginalized communities to apply to the Go Pass Donation Program and help drive ridership growth. Recipients of donated Go Passes completed over 20,000 rides on Caltrain in 2022 alone and half of these riders were also new to the Caltrain system.

- Diridon Plaza TOD (Transit-Oriented Development) Community Meeting – was held earlier this week and Caltrain staff participated in a virtual community meeting hosted by the City of San Jose on the Diridon Plaza Transit Oriented Development project.
- New draft of the CARB (California Air Resources Board) In-Use regulation was released and under staff review and staff will submit comments during the comment period. A notable change in the draft was the inclusion of the alternative fleet milestone option, as a better compliance path for Caltrain, as the railroad transitions to a fully zero emissions fleet. Ms. Bouchard thanked CARB director, Davina Hert, and other CARB Board members and staff for their continued advocacy.

Public Comment

Jeff Carter, Millbrae, complimented staff on the bus bridge this past weekend and inquired whether there will be any open houses with the EMU (electric multiple unit).

Adina Levin, Friends of Caltrain, commented on the finance workshop and the need to include the two-year budget cycle and long-term diversification of the rider base on the agenda.

Adrian Brandt commented on the proof of payment fare collection model that is being used and voiced his concerns with how it is being administered.

Aleta Dupree commented that funding is essential for finishing the electrification project.

6. Consent Calendar

- 6.a. Approve Regular Meeting Minutes of February 2, 2023 and Work-Program-Legislative-Planning (WPLP) Minutes of January 26, 2023**
- 6.b. Chief Financial Officer Update on Revenues and Expenses for the Period Ending January 31, 2023**
- 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** *Approved by Resolution 2023-14*
- 6.d. Authorize Memorandum of Understanding (MOU) with the Transportation Agency for Monterey County (TAMC) for Salinas Extension** *Approved by Resolution 2023-15*
- 6.e. Authorize Use of Construction Manager/General Contractor (CMGC) Project Delivery Method for the Broadway Grade Separation Project** *Approved by Resolution 2023-16*
- 6.f. Capital Projects Quarterly Status Report - 2nd Quarter Fiscal Year 2023**
- 6.g. State and Federal Legislative Update and Approval of Legislative Proposal: Support ACA 1 (Aguiar-Curry)**
- 6.h. Link21 Update**
- 6.i. San Francisco Downtown Rail Extension (DTX) Project Update**
- 6.j. Metropolitan Transportation Commission (MTC)/Regional Update**

Director Chavez pulled Item 6.d for further comment and discussion. The Board had a robust discussion on TAMC service and adding another train, which included the following:

- Ms. Bouchard thanked Sam Sergeant and VTA (Santa Clara Valley Transportation Authority) staff for engaging on all issues, acknowledged a concrete plan for a fourth train to Gilroy in fiscal year 2025, and reaffirmed a commitment to South County for the extension. An extension to Gilroy would build more demand and provide ridership to Gilroy line up into the main corridor.
- Director Chavez expressed concern a loss of opportunities for current partners as we reach out to future partners and received clarification and confirmation from staff on the intent, taking action today, and future processes to reinforce prioritization of the expanded level of service. The intended purpose is to continue the possible partnership with Monterey County and assure people of Gilroy and Morgan Hill of their needs and requests.
- Sam Sergeant, Director of Policy and Strategy, responded to and will provide more details to Director Burt's inquiry about insights on ridership estimates from TAMC extension and stops planned for population centers between Salinas and Gilroy.

Public Comment

Gilroy Mayor Marie Blankley spoke on language regarding Salinas extension feasibility study from 2020 and how it is not enough without reference to the promised expanded service to Gilroy. She asked for equitable service to Gilroy and Morgan Hill before expanding service elsewhere.

Todd Muck, TAMC Executive Director commented on supporting increased service to Gilroy. He expressed disappointment in making it a condition to provide service to Salinas and said tying service to Gilroy will add another layer of complication that is not necessary or helpful.

Adrian Brandt commented that serving Salinas and intermediate stations will increase demand even on the existing stations as well as concerns on ridership and frequency.

Motion/Second: Chavez/Davis moved approval with an amendment to add a fourth train for more service in advance of expansion further South and any change would return to the Board for approval.

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

Noes: None

Absent: Zmuda

7. Women's History Month Resolution

Tasha Bartholomew, Communications Manager, provided highlights on the resolution and shared information on hosting a Women's leadership brown bag reception that will feature Michelle Bouchard along with other female leaders in the agency.

Public Comment

Aleta Dupree expressed appreciation for educational component and supported resolution.

Motion/Second: Davis/Chavez moved to approve with amendment to 6d

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

Noes: None

Absent: Zmuda

8. Reports

8.a. Report of the Citizens Advisory Committee

David Tuzman, Vice Chair, provided an update on CAC discussions regarding:

- Members of the public shared concerns on the following: lack of weekend shutdown directional signage at Millbrae, getting better search engine results for timely information on the weekend shutdowns and asked for a new approach to track ridership with fare structures, such as distanced based and other equitable strategies.
- Presentation of roles, responsibilities, and timeline of the CAC body and review of the Measure RR audit, and a suggestion to post information on the CAC webpage.
- Presentation of TAMC JPB MOU regarding extension of Caltrain service from Gilroy to Salinas. Staff clarified that the mainline schedule will not be adjusted to accommodate additional service.
- A Member indicated fare evasion statistics seemed very low. Staff stated the number of citations does not equal to number of passengers found without proof of payment. 800 passengers were told to leave train without citation. CAC members stated this is not best practice and to rethink policy.
- A Member requested vehicle on the tracks data also include time of day in order to help formulate a suitable treatment around those crossings that are problematic.
- Chair Gee requested clarification on the fare evasion component. Ms. Bouchard will review the fare policy for areas where correction is needed in the field and follow up at next meeting.

8.b. Report of the Chair

Chair Gee expressed gratitude to Directors and staff with the launch of the new committee structure and how it will allow detailed conversations.

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

Chair Burt provided an update on LPMG discussions regarding the following:

- The focus of the group this year is the grade separation initiative, supporting it, being informed, and working with staff on upgraded technical standards and driving down costs in the corridor. The role of cities in working with Caltrain to have a comprehensive funding approach.
- Consider the future leadership role for Caltrain on the corridor-wide grade separation and funding for this mega project.
- Couple of alternatives in what Caltrain's future role will be in the corridor-wide grade separation and the prospect of Caltrain moving into the leadership role in a mega project type of funding for the grade separations.

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

Chair Gee reported on the February meeting, the Board authorized the executive director to request industry engineering and to take all necessary steps to do that. He noted that this will be a regular agenda item for Caltrain Advocacy and Major Projects (AMP) Committee Meetings.

Public Comment

Aleta Dupree commented on seeing the value in de-escalation for fare evasion.

Adrian Brandt commented on the fare evasion topic and said the critical point to remember is proof of payment and risk for fine. For LPMG, he expressed concern that transit funds are not used for grade separations.

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

Pranaya Shrestha, CalMod Chief Officer and Casey Fromson, Chief Communications Officer, provided the presentation, which included the following information:

- Service date reconfirmed for Fall 2024, budget remains at \$2.44 billion, and they successfully completed signal install and testing.
- First two weekend shutdowns completed in February and three more in March are scheduled.
- Next two electric trainsets expected to arrive in April 2023.
- The short circuit testing for the electric trains from Santa Clara to San Jose failed and both Balfour Beatty and Caltrain have independent audits underway before new test dates will be determined.
- Balfour Beatty configuration management issues identified and are being currently addressed.
- No payments to Balfour Beatty since December and continuing to withhold payments until they meet full contract requirements and have a clear workplan and schedule.
- Phase 1 of shutdowns were coordinated with BART for closures from San Francisco to Millbrae.
- Phase 2 shutdowns are from Millbrae to Hillsdale. Bus bridge being provided to those who absolutely need it and strongly encouraging alternate transportation.
- The Board had a robust discussion with clarifying questions and feedback to staff on the need for a successful project to be completed with revenue service by September 2024.

Public Comment

Aleta Dupree commented on seeing a typo for linear miles but should be linear feet and expressed concern on the failed electrical tests.

Jeff Carter spoke in support of Board Member comments and expressed interest in hearing more about the short circuit test failures.

Jay Adams said he viewed the videos of the new electric trains and noticed that there is one restroom on trains, and he said there should be two or one restroom on each car. He also requested information on the number of cars on electric trains and the frequency.

Adrian Brandt spoke in support of the Board comments.

Doug DeLong expressed concerns with Balfour Beatty's management, bandwidth, and management experience.

Adina Levin commented on the importance of documentation and noted that inaccurate earlier documentation on things that happened earlier has impacted electrification, and the responsibility to ensure accurate documentation is maintained for future generations.

10. Correspondence

Chair Gee noted the correspondence was available online.

11. Board Member Requests

There were no 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

Meeting adjourned at 11:23 am

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.

DRAFT

**Peninsula Corridor Joint Powers Board
Staff Report**

To: Board of Directors
Through: Michelle Bouchard, Executive Director
From: Kathleen Kelly, Interim Chief Financial Officer
Subject: **Accept Statement of Revenues and Expenses for the Period Ending February 28, 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 proposes that the Board of Directors (Board) of the Peninsula Corridor Joint Powers Board (JPB) accept and enter into the record the Statement of Revenues and Expenses for the Period Ending February 28, 2023.

This staff report provides a brief discussion of significant items and trends on the attached Statement of Revenues and Expenses through February 28, 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 February 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 FY 2023, compared to a \$2.6 million deficit projected in the Approved FY 2023 Budget (the Approved Budget assumed a draw of \$2.6 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 FY 2023 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 February's year-to-date actual, the Grand Total Revenue (page 1, line 16) is \$6.7 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 February's year-to-date actual, the Grand Total Expense (page 2, line 50) is \$7.0 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 February 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									
February 2023									
							% OF YEAR ELAPSED	66.7%	
		JULY TO FEBRUARY				ANNUAL			
		CURRENT	ADOPTED	\$	%	APPROVED			
		ACTUAL	BUDGET	VARIANCE	VARIANCE	BUDGET	FORECAST	\$	
				VARIANCE	VARIANCE			VARIANCE	
REVENUE									
OPERATIONS:									
1	Caltrain Fares	17,373,018	19,482,000	(2,108,982)	(10.8%)	30,151,000	27,000,000	(3,151,000)	1
2	Go Pass	11,363,162	10,840,000	523,162	4.8%	16,260,000	17,000,000	740,000	2
3	Parking Revenue	1,195,333	1,264,000	(68,667)	(5.4%)	1,896,000	1,797,505	(98,495)	3
4	Rental Income	844,856	623,576	221,280	35.5%	935,357	1,235,357	300,000	4
5	Other Income	3,596,212	1,162,880	2,433,332	209.3%	1,744,319	4,044,319	2,300,000	5
6								-	6
7	TOTAL OPERATING REVENUE	34,372,581	33,372,456	1,000,125	233.3%	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	7,630,500	7,525,440	105,060	1.4%	11,288,161	11,288,161	-	11
12	Measure RR	78,480,737	72,859,336	5,621,401	7.7%	114,300,000	119,292,000	4,992,000	12
13									13
14	TOTAL CONTRIBUTED REVENUE	86,151,237	80,424,776	5,726,461	7.1%	125,628,161	130,620,161	4,992,000	14
15									15
16	GRAND TOTAL REVENUE	120,523,818	113,797,232	6,726,586	5.9%	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									
February 2023									
% OF YEAR ELAPSED							66.7%		
	JULY TO FEBRUARY				ANNUAL				
	CURRENT ACTUAL	ADOPTED BUDGET	\$ VARIANCE	% VARIANCE	APPROVED BUDGET	FORECAST	\$ VARIANCE		
18	EXPENSE							18	
19								19	
20	DIRECT EXPENSE:							20	
21	Rail Operator Service	63,694,626	64,781,848	(1,087,222)	(1.7%)	98,257,758	98,257,758	-	21
22	Security Services	4,649,819	5,306,916	(657,097)	(12.4%)	7,935,381	8,028,807	93,426	22
23	Shuttle Services	62,236	94,320	(32,084)	(34.0%)	121,600	121,600	-	23
24	Fuel and Lubricants*	10,585,900	11,692,816	(1,106,916)	(9.5%)	17,539,232	17,539,232	-	24
25	Timetables and Tickets	12,842	90,232	(77,390)	(85.8%)	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	1,537,251	880,000	657,251	74.7%	1,320,000	1,336,926	16,926	27
28	Facilities and Equipment Maintenance	4,504,644	4,871,459	(366,815)	(7.5%)	7,258,788	7,107,788	(151,000)	28
29	Utilities	1,738,209	1,745,064	(6,855)	(.4%)	2,617,600	2,617,600	-	29
30	Maint & Services-Bldg & Other	711,112	978,244	(267,132)	(27.3%)	1,754,100	1,754,100	-	30
31								31	
32	TOTAL DIRECT EXPENSE	95,856,983	98,844,379	(2,987,396)	(3.0%)	146,239,539	146,198,891	(40,648)	32
33								33	
34	ADMINISTRATIVE EXPENSE							34	
35	Wages and Benefits	8,752,535	9,800,397	(1,047,862)	(10.7%)	13,909,330	13,532,312	(377,018)	35
36	Managing Agency Admin OH Cost	2,403,243	2,378,228	25,015	1.1%	3,565,453	3,565,453	-	36
37	Board of Directors	10,139	15,465	(5,326)	(34.4%)	57,275	57,275	-	37
38	Professional Services	4,186,657	6,168,576	(1,981,919)	(32.1%)	9,322,755	9,305,755	(17,000)	38
39	Communications and Marketing	175,565	269,152	(93,588)	(34.8%)	403,730	403,730	-	39
40	Other Office Expenses and Services	1,143,540	1,841,771	(698,231)	(37.9%)	2,762,496	2,956,896	194,400	40
41								41	
42	TOTAL ADMINISTRATIVE EXPENSE	16,671,678	20,473,589	(3,801,911)	(18.6%)	30,021,039	29,821,421	(199,618)	42
43								43	
44	TOTAL OPERATING EXPENSE	112,528,661	119,317,968	(6,789,307)	(3.2%)	176,260,578	176,020,312	(240,266)	44
45								45	
46	Governance	240,237	233,336	6,901	3.0%	350,000	350,000	-	46
47								47	
48	Debt Service Expense	1,543,729	1,721,168	(177,439)	(10.3%)	2,581,752	3,711,375	1,129,623	48
49								49	
50	GRAND TOTAL EXPENSE	114,312,627	121,272,472	(6,959,845)	(5.7%)	179,192,330	180,081,687	889,357	50
51								51	
52	NET SURPLUS / (DEFICIT)	6,211,191	(7,475,240)	13,686,431	(183.1%)	(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)	6,211,191	-	-	-	-	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 \$1,384,979 from the fuel hedge program.								61



BOARD OF DIRECTORS 2023

JEFF GEE, CHAIR
DEVORA "DEV" DAVIS, VICE
CHAIR
PAT BURT
CINDY CHAVEZ
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RICO E. MEDINA
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PENINSULA CORRIDOR JOINT POWERS BOARD

INVESTMENT PORTFOLIO

AS OF FEBRUARY 28, 2023

MICHELLE BOUCHARD
EXECUTIVE DIRECTOR

TYPE OF SECURITY	MATURITY DATE	INTEREST RATE	PURCHASE PRICE	MARKET RATE
Local Agency Investment Fund (Unrestricted) *	Liquid Cash	2.624%	10,173,414	10,173,414
County Pool (Unrestricted)	Liquid Cash	2.348%	565,032	565,032
Other (Unrestricted)	Liquid Cash	4.038%	48,125,978	48,125,978
Other (Restricted) **	Liquid Cash	1.000%	44,275,216	44,275,216
			\$ 103,139,640	\$ 103,139,640

Interest Earnings for February 2023 \$ 261,235.38
Cumulative Earnings FY2023 \$ 2,545,538.45

* 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	Feb-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	396,762	4,239,282
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	1,215,740	10,373,137
401420 (Central)	64,908	20,799	309,748	39,911	5,139	945	9,901	11,080	2,767	826	2,263	1,602	34,522
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	219,197	2,259,653
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	53,752	466,424
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	1,332,005	11,363,162
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	3,219,058	28,736,180
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	1,332,005	11,363,162
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	1,887,054	17,373,018
Tickets Sold					Jul-22	Aug-22	Sep-22	Oct-22	Nov-22	Dec-22	Jan-23	Feb-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	47,418	541,995
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	144,461	1,264,230
Central	9,167	5,044	-	4,032	319	145	770	879	477	50	275	233	3,148
Mobile	543,920	661,515	111,394	381,441	42,175	43,696	41,411	39,967	33,608	25,094	28,997	28,154	283,102
# 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	220,266	2,092,475
AVG Revenue Per Ticket					Jul-22	Aug-22	Sep-22	Oct-22	Nov-22	Dec-22	Jan-23	Feb-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	\$ 8.37	\$ 7.82
Clipper	\$ 15.51	\$ 6.32	\$ 8.61	\$ 6.32	\$ 7.19	\$ 8.96	\$ 7.75	\$ 8.24	\$ 8.56	\$ 9.10	\$ 7.54	\$ 8.42	\$ 8.21
Central	\$ 7.08	\$ 9.90	\$ -	\$ 9.90	\$ 16.11	\$ 6.52	\$ 12.86	\$ 12.60	\$ 5.80	\$ 16.53	\$ 8.23	\$ 6.88	\$ 10.97
Mobile	\$ 8.67	\$ 7.36	\$ 7.45	\$ 7.36	\$ 8.22	\$ 8.11	\$ 8.27	\$ 8.07	\$ 8.15	\$ 7.65	\$ 7.19	\$ 7.79	\$ 7.98
Total	\$ 12.40	\$ 11.86	\$ 8.74	\$ 7.56	\$ 7.51	\$ 9.05	\$ 8.40	\$ 8.13	\$ 8.49	\$ 8.82	\$ 7.46	\$ 8.57	\$ 8.30

Farebox Revenues by Ticket Type	PENINSULA CORRIDOR JOINT POWERS BOARD						
	July 2022 to February 2023					Annual Budget	
	FY2019	FY2020	FY2021	FY2022	FY2023	FY2023	% of Budget
REVENUE							
401400 (TVM)	12,274,497	10,224,191	1,227,138	4,082,197	4,239,282		
401410 (Clipper)	36,115,004	36,290,980	1,699,762	4,369,406	10,373,137		
401420 (Central)	35,878	42,121	-	27,937	34,522		
401430 (Mobile App)	2,646,875	5,386,754	391,046	1,599,120	2,259,653		
401500 (Gilroy)	1,292,730	1,388,579	108,864	256,564	466,424		
401700 (Go-Pass)	13,965,169	17,162,090	20,264,860	10,117,986	11,363,162		
total Farebox Revenue	66,330,153	70,494,713	23,691,669	20,453,212	28,736,180	46,411,000	62%
Less: Go-Pass							
401700 (Go-Pass)	13,965,169	17,162,090	20,264,860	10,117,986	11,363,162	16,260,000	70%
Revenues without Go-Pass	52,364,984	53,332,624	3,426,809	10,335,226	17,373,018	30,151,000	58%
Tickets Sold							
TVM	1,596,233	1,374,080	175,704	444,650	541,995		
Clipper	2,298,237	2,478,299	172,186	677,791	1,264,230		
Central	4,448	4,920	-	2,757	3,148		
Mobile	296,398	624,895	56,521	214,448	283,102		
# of tickets sold (without go-pass)	4,195,316	4,482,194	404,411	1,339,646	2,092,475		
AVG Revenue Per Ticket							
TVM	\$ 7.69	\$ 7.44	\$ 6.98	\$ 9.18	\$ 7.82		
Clipper	\$ 15.71	\$ 14.64	\$ 9.87	\$ 6.45	\$ 8.21		
Central	\$ 8.07	\$ 8.56	\$ -	\$ 10.13	\$ 10.97		
Mobile	\$ 8.93	\$ 8.62	\$ 6.92	\$ 7.46	\$ 7.98		
Total	\$ 12.48	\$ 11.90	\$ 8.47	\$ 7.71	\$ 8.30		

**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 an Amendment to the Letter of Agreement with Transbay Joint Powers Authority (TJPA) For Activities Undertaken in Support of the Downtown Rail Extension (DTX)**

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 an amendment to the Letter of Agreement (LOA) Regarding Reimbursement for Activities Undertaken in Support of the Downtown Rail Extension (DTX) dated July 14, 2022, with the Transbay Joint Powers Authority (TJPA) for an additional \$200,000 of reimbursable Caltrain expenses; and
- 2) Amend the Caltrain Fiscal Year 2023 Capital Budget from \$127,004,412 to \$127,204,412, to include the \$200,000 reimbursable expenses in the LOA.

Significance

In 2022, Caltrain and TJPA negotiated and executed a LOA describing the parties' cooperation to complete all work needed to meet critical milestones in the DTX Accelerated Work Plan and Federal Transit Administration (FTA) Capital Investment Grant (CIG) program documentation, and authorizing reimbursement from TJPA to Caltrain for such efforts. The LOA is an interim agreement while the parties negotiate a longer-term Master Cooperative Agreement (MCA) to be included in the TJPA's August 2023 application to the FTA CIG New Starts Program. While the LOA is in place, the parties will negotiate the terms of the MCA with the goal of executing the MCA in August 2023.

This amendment adds \$200,000 to the LOA to cover Caltrain costs for oversight of design and other work associated with the DTX enabling work planned within the Caltrain right-of-way. The full extent of this work was not included when the parties negotiated the LOA in 2022. Staff will return to the Board for authorization before proceeding with any procurement and construction activities for the enabling work.

Budget Impact

The amendment to the LOA will have a positive impact on the budget. The LOA generally allows for Caltrain costs directly attributable to this project to be covered by this project, avoiding pressure on other Caltrain capital and operating budgets. This is the same arrangement in place between Caltrain and jurisdictions across the corridor, such as Menlo Park and Sunnyvale, for capital project planning and delivery.

In FY2022, a budget of \$311,329 was established for the DTX Project. During 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, resulting in a total project budget of \$4,130,874. Pursuant to the Memorandum of Agreement executed by the parties in March 2023, the budget increased by \$595,000, resulting in a total budget of \$4,725,874.

The execution of the amendment with TJPA for an additional \$200,000 will increase the project budget to \$4,925,874.

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 is expected to have an impact on Caltrain ridership by expanding service into downtown San Francisco and providing intermodal connections to Muni, AC Transit, and more.

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. FTA accepted the project into the FTA's initial Project Development Phase in December 2021 and TJPA requested entry into the Engineering Phase in February 2023. The February submittal included 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 LOA executed by the parties is meant to cover Caltrain's costs to prepare to enter into the MCA and to support the application for funding in August 2023.

Resolution No. 2023 –

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

* * *

**Authorize the Executive Director to Execute an Amendment to the Letter of Agreement with
Transbay Joint Powers Authority for Activities Undertaken in Support of the Downtown Rail
Extension**

Whereas, in 2022, the Peninsula Corridor Joint Powers Board (JPB or Caltrain) and Transbay Joint Powers Authority (TJPA) negotiated and executed a Letter of Agreement (LOA) describing the parties' cooperation to complete all work needed to meet critical milestones in the Downtown Rail Extension (DTX) Accelerated Work Plan and Federal Transit Administration (FTA) Capital Investment Grant (CIG) program documentation, and authorizing reimbursement from TJPA to Caltrain for such efforts; and

Whereas, the LOA is an interim agreement while the parties negotiate a longer-term Master Cooperative Agreement (MCA) for inclusion in the TJPA's August 2023 application to the FTA CIG New Starts Program. While the LOA is in place, the parties will negotiate the terms of the MCA with the goal of executing the MCA in August 2023; and

Whereas, this amendment adds \$200,000 to the LOA to cover Caltrain costs for oversight of design and other work associated with the DTX enabling work planned within the Caltrain right-of-way. The full extent of this work was not included when the parties negotiated the LOA in 2022 and staff will return to the Board for authorization before proceeding with any procurement and construction activities for the enabling work; and

Whereas, the execution of the LOA between Caltrain and TJPA will provide additional funding that will increase the project budget by \$200,000, from \$4,725,874 to \$4,925,874, increasing the Caltrain FY2023 Capital Budget from \$127,004,412 to \$129,004,412.

Now, Therefore, Be It Resolved that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby authorizes the Executive Director, or designee, to execute an amendment to the Letter of Agreement (LOA) Regarding Reimbursement for Activities

Undertaken in Support of the Downtown Rail Extension (DTX), dated July 14, 2022, with the Transbay Joint Powers Authority (TJPA) for an additional \$200,000 of reimbursable Caltrain expenses; and

Be It Further Resolved that the Board of Directors authorizes the amendment of the Caltrain Fiscal Year 2023 Capital Budget from \$127,004,412 to \$127,204,412, to include the \$200,000 reimbursable expenses in the LOA.

Regularly passed and adopted this 29th 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 4
April 2023

Item #	PROJECT NAME	FY2023 ADOPTED CAPITAL BUDGET	Amendment 4	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. SOGR																
Bridges																
1	Guadalupe Bridges Replacement ¹	10,959,443		10,959,443	6,353,943	-	-						4,605,500	-	4,605,500	10,959,443
	Total Project Budget (Post-Amendment): \$27,312,250															
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		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	14,820,241		14,820,241			5,193,586						9,626,655		9,626,655	14,820,241
	Total Project Budget (Post-Amendment): \$28,820,241															
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	18,500,000		18,500,000									18,500,000		18,500,000	18,500,000
	Total Project Budget (Post-Amendment): \$22,000,000															
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	3,471,550		3,471,550									3,471,550		3,471,550	3,471,550
	Total Project Budget (Post-Amendment): \$5,471,550															
42	Mountain View Transit Grade Separation ²	7,000,000		7,000,000									7,000,000		7,000,000	7,000,000
	Total Project Budget (Post-Amendment): \$18,200,000															
	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	4,414,545	200,000	4,614,545			500,000						4,114,545		4,114,545	4,614,545
	Total Project Budget (Post-Amendment): \$4,925,874															



Item #	PROJECT NAME	FY2023 ADOPTED CAPITAL BUDGET	Amendment 4	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	
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	3,000,000		3,000,000	-		-						3,000,000	-	-	3,000,000	3,000,000
	Total Project Budget (Post-Amendment): \$5,223,935																
Total		10,564,545	200,000	10,764,545	-	-	2,075,000	250,000	975,000	-	350,000	1,575,000	7,114,545	-	7,114,545	-	10,764,545
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		127,004,412	200,000	127,204,412	16,870,183	1,536,744	21,791,235	2,300,000	2,300,000	1,850,000	450,000	6,900,000	28,346,700	51,759,550	80,106,250	-	127,204,412

* 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 \$3,519,545 is funded by Transbay Joint Powers Authority (TJPA) through a Letter of Agreement (LOA) between JPB and TJPA; \$595,000 is funded by TJPA through a Memorandum of Agreement (MOA) 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: Robert Barnard, Deputy Chief, Caltrain Rail Development
Subject: **Declare an Emergency Regarding the North Channel Embankment of the San Francisquito Creek Bridge Due to Erosion and Authorize the Executive Director to Enter into Construction Agreement with Walsh Construction for Emergency Repair Work at San Francisquito Creek Bridge**

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):

1. Declare that an emergency exists at the north channel embankment of the San Francisquito Creek Bridge, due to erosion and scouring caused by recent winter storms;
2. Find that this emergency does not permit a delay resulting from a formal solicitation for bids, and that immediate action is necessary to respond to the emergency;
3. Authorize emergency repairs of the North channel embankment of the San Francisquito Creek Bridge;
4. Delegate to the Executive Director, or designee, the authority to approve all plans and/or designs with regard to the emergency repairs; and
5. Authorize the Executive Director, or designee, to enter into a contract with Walsh Construction Company II, LLC for the emergency repairs of the North channel embankment of the San Francisquito Creek Bridge; and
6. Authorize the Executive Director, or designee, to take all other actions required to respond to said emergency, provided that the Executive Director reports such actions to the Board at each monthly Board meeting until the emergency situation is resolved, with a final report to be made at the first Board meeting after the emergency is resolved.

Significance

The JPB has the authority to undertake emergency repairs pursuant to California Public Contract Code section 22050, which requires that the Board, by a four-fifths vote, make findings based on substantial evidence that the emergency will not permit delay resulting from a competitive solicitation of bids, and that action is necessary to respond to the emergency. Public Contract Code section 1102 defines an emergency as “sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to prevent or mitigate the loss or impairment of life, health, property, or essential public services.”

As a result of recent winter storms, the north channel embankment of the San Francisquito Creek Bridge has experienced significant erosion and scouring, and additional storms could threaten the integrity of the embankment, which supports the track structure above. Although the bridge is not in imminent danger, emergency repair of the north embankment at the San Francisquito Creek Bridge is necessary to prevent additional erosion, which could undermine the track structure supporting MT-1 and MT-2.

Budget Impact

Staff intend to use contingency funds to support the emergency repairs.

Background

JPB owns and maintains the San Francisquito Creek Bridge, which is located in Palo Alto between Control Points Alma (29.98) and Mayfield (33.50). It was built in 1902 as a two-track, steel truss structure over San Francisquito Creek. It is located approximately 330 feet north of the Palo Alto Avenue grade crossing, which the City of Palo Alto intends to grade-separate. Both the Bridge and adjacent El Palo Alto tree are eligible for the National Registrar of Historic Places.

In early January 2023, after a week of heavy rain, Caltrain Engineering staff inspected the Bridge and discovered that the storms had eroded the soil on the embankment supporting the track just north of the MT-1 Bridge. Further investigation showed that additional erosion resulting from future storms could undermine the MT-1 track above the embankment.

Prior to declaring the emergency, the project team has conducted the following actions:

1. Prepared and issued a work directive proposal request (WDPR) package to retain an on-call bench environmental consultant, WSP, to assist the JPB in obtaining the required environmental permits to perform needed restoration activities.
2. Prepared and issued a WDPR package to retain an on-call bench consultant, AECOM to design the repair (AECOM is one of two on-call design firms).
3. Prepare and issued a WDPR package to retain an on-call bench consultant, Jacobs, to provide a rough order magnitude cost for the proposed north embankment restoration work.
4. Prepared and issued a WDPR package to retain an on-call consultant, TRC, to provide construction management support during the construction phase.

5. Increased frequency of visual inspections of the Bridge and conducted immediate inspections during/after a storm.
6. Engaged with Walsh Construction II, LLC, to determine Walsh's capacity to execute the North Channel embankment repair given that Walsh is currently under Contract to replace the Guadalupe River Project on Contract No. 22-J-C-032.

Caltrain's environmental team notified the U.S. Army Corps of Engineers (USACE), the Regional Water Quality Control Board, and the California Department of Fish and Wildlife regarding Caltrain's need to undertake emergency restoration activities and discussed required permit applications.

Staff selected Walsh Construction Company II, LLC to perform the repairs because it has a crew onsite that specializes in emergency work and because of Walsh's experience on JPB construction projects, such as the Guadalupe River Bridge Replacement Project. Staff is awaiting Walsh's cost estimate and will engage in due diligence to determine whether it is a fair and reasonable price. By awarding this contract through an emergency procurement, instead of through a standard competitively bid process, the JPB will be able to complete the work on a timely basis in order protect public health and safety. Staff anticipate that the work will be complete by October 15, 2023, and will report regularly to the Board regarding the status of contract negotiations and the repair work.

Prepared By:	Robert Barnard	Deputy Chief Rail Development	650.508.7783
	Alvin Piano	Project Manager	650.453.8099
	Mike Boomsma	Project Manager	808.208.2355

Resolution No. 2023 –

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

* * *

Declare an Emergency Regarding the North Channel Embankment of the San Francisquito Creek Bridge Due to Erosion and Authorize the Executive Director to Enter into Construction Agreement with Walsh Construction for Emergency Repair Work at San Francisquito Creek Bridge

Whereas, following months of heavy rain in January 2023, assessments of the condition of the north embankment supporting the San Francisquito Creek Bridge Main Track 1 (MT-1) and Main Track (MT-2) by the Peninsula Corridor Joint Powers Board (JPB) revealed significant erosion on the slope of the embankment, threatening the integrity of the north approaching track structure; and

Whereas, meteorologists predict that the Bay Area will experience additional winter storms before the season ends, which could cause further erosion of the embankment and undermine its integrity; and

Whereas, the JPB consulted with the U.S. Army Corps of Engineers (USACE), the regional Water Quality Control Board, and the California Department of Fish and Wildlife concerning environmental permits for restoration activities to preserve the integrity of MT-1 and MT-2 tracks in light of the significant erosion of the northern embankment which occurred as the result of the 2022-2023 winter storms; and

Whereas, California Public Contract Code Section 1102 defines an emergency as “sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate

action to prevent or mitigate the loss or impairment of life, health, property, or essential public services”; and

Whereas, California Public Contract Code 22050 authorizes the JPB to repair and take other immediate actions required to address an emergency, and requires that findings based on substantial evidence must be made that the emergency will not permit delay resulting from a competitive solicitation of bids, and that the action is necessary to respond to the emergency, by a four-fifths vote of the Board; and

Whereas, JPB staff have engaged Walsh Construction, which is currently working on the Guadalupe River Bridge project, about Walsh’s capacity to undertake emergency repair work; and

Whereas, Walsh has a crew onsite that specializes in emergency work and has capacity to undertake the repair work, in addition to the Guadalupe River Bridge project, and is currently preparing a cost estimate; and

Whereas, JPB staff will conduct an independent assessment of Walsh’s cost estimate once received to ensure that it is a fair and reasonable price.

Now, Therefore, Be It Resolved that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby:

1. Declares that an emergency, as defined by Section 1102 of the California Public Contract Code, exists at the north channel embankment at the San Francisquito Creek Bridge, due to erosion, which threatens the integrity of the structure supporting the JPB’s tracks;
2. Finds, based on the evidence presented by staff, that the emergency does not permit a delay resulting from a formal solicitation for bids, and that action is necessary to respond to the emergency;

3. Authorizes emergency repairs of the North channel embankment at San Francisquito Creek Bridge without adopting plans and specifications or giving notice to potential bidders;
4. Delegates to the Executive Director, or designee, the authority to approve all plans and/or designs with regard to the emergency repairs;
5. Authorizes the Executive Director, or designee, to execute a contract with Walsh Construction II, LLC, to undertake emergency repairs of the north channel embankment at the San Francisquito Creek Bridge at a price that staff has determined is fair and reasonable; and
6. Authorizes the Executive Director, or his designee, to take all other actions required to respond to said emergency, provided that the Executive Director reports such actions to the Board at each monthly Board meeting until the emergency situation is resolved, with a final report to be made at the first Board meeting after the emergency is resolved.

Regularly passed and adopted this 29th 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: Kathleen Kelly, Interim Chief Financial Officer
Subject: **Authorize Rejection of Bid for Churchill Avenue Grade Crossing Improvements Project and Re-Advertisement of the Solicitation**

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) adopt a motion:

1. Rejecting the non-responsive bid from VNH Builders of Burlingame, California (VNH) received by the JPB in response to the solicitation for the Churchill Avenue Grade Crossing Improvements Project (Project) because VHN did not deliver the original executed bidder's bond to the JPB within two business days after the bid opening date and the bid did not include a Construction Project Manager with five years' experience managing similar projects, as required by the solicitation.
2. Authorizing the Executive Director or designee to re-advertise the Project and return to the Board with a recommendation for award of the contract upon completion of the re-solicitation process.

Significance

This Project involves the installation of concrete track panels to widen the pedestrian path across the railroad at the northern crossing, installation of extended pedestrian crossing gate arms, relocation of pedestrian emergency swing gates, and modifications to the existing pavement markings. In coordination with the JPB, the City of Palo Alto, as part of the Project scope, will perform work at the intersection of Churchill and Alma for installation of new traffic signals and luminaires, modification of the curb ramps at the corners of the intersection, and modifications to pavement markings leading up to the intersection.

This Project benefits the public by: improving signal pre-emption at the intersection to allow motorists to more efficiently clear the tracks when a train approaches; providing a wider pedestrian crossing area at the railroad tracks to handle the large volume of pedestrians

walking to and from the adjacent school; adding more lighting at the intersection to increase visibility for all users, and modifying pavement markings to better guide and protect the movements of pedestrians and bicyclists.

The City of Palo Alto applied and received funds from the California Public Utilities Commission through the Section 130 Program to make railroad grade crossings safer. The Project funds are administered and managed by the Caltrans Division of Local Assistance.

Budget Impact

Rejection of the bid will have no budget impact.

Background

The JPB issued Invitation for Bids (IFB) 22-J-C-041 on December 8, 2022. It was advertised in a newspaper of general circulation and on the JPB’s e-procurement website. The JPB has established a Disadvantaged Business Enterprise (DBE) goal of twenty-six percent (26%) for this contract. Prior to releasing the IFB, extensive outreach to DBEs was conducted using the State of California’s Disadvantaged Business Enterprises database. Seventy-one vendors downloaded the solicitation documents and five potential bidders attended the pre-bid meeting. The JPB received a single bid as follows:

Company	Grand Total Bid Price
Engineer’s Estimate	\$ 240,230.00
VNH Builders	\$255,033.07

Staff, in consultation with legal counsel, has found the single bid received from VNH to be non-responsive for a number of reasons. VNH failed to submit the original executed bidder’s bond to the JPB within two business days after the bid opening date, as required by the IFB. Additionally, it was apparent on the face of the bid that VNH's proposed Construction Project Manager did not have at least five years' experience as a project manager managing similar projects, as required by the IFB. Specifically, the bid showed that the similar projects provided by VNH did not require the installation of track panels and concrete ties, which is a critical aspect of the Project.

In response to only receiving one bid, staff contacted seventeen other potential bidders to ascertain why they did not submit a bid. Staff received various reasons, including large job backlogs and busy work schedules with other projects. It is in the JPB's best interest to reject the sole non-responsive bid, and conduct additional outreach to potential bidders to obtain more competition.

Under the JPB's procurement rules, the JPB may reject bids submitted in response to a formal IFB if it is in the best interest of the JPB to do so. For the reasons discussed above, staff has determined that it is in the JPB's best interest to reject the bid and to resolicit the Project.

Prepared By:	Patrick Ng	Procurement Administrator II	650.622.8018
	Angie Myrechuck	Senior Project Manager	650.508.7962

**Peninsula Corridor Joint Powers Board
Staff Report**

To: Board of Directors
Through: Michelle Bouchard, Executive Director
From: Pranaya Shrestha, Chief Officer, CalMod
Subject: **Authorize Execution of Agreement with VTA for Bus Bridge Services for the Caltrain Peninsula Corridor Electrification Project (PCEP) Signal Cutovers and OCS Testing**

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

1. Award a contract to Santa Clara Valley Transportation Authority (VTA) to provide Bus Bridge services for the Caltrain Peninsula Corridor Electrification Project (PCEP) to support construction activities during weekend shutdowns in April and May 2023 for a total not-to-exceed amount of \$286,416; and
2. Authorize the Executive Director, or designee, to execute the agreement in a form approved by legal counsel and to take any other actions necessary to give effect to the resolution.

Significance

PCEP has reached the final phase of construction, which includes completing the remaining overhead catenary system (OCS) installation and segments 1 and 3 signal cutovers and OCS testing. These activities are impeding access to portions of Caltrain’s San Francisco Peninsula Network on Main Tracks MT-1 through MT-4 between Menlo Park and Santa Clara. To support PCEP completion, there will be weekend service disruptions within Santa Clara County in April and May of 2023, due to area closures.

The weekend shutdowns are necessary to: (1) ensure a Fall 2024 delivery of electrified service; (2) enhance safety by isolating construction work from passenger service; (3) mitigate risk of OCS construction delays; (4) reduce field resources required to support the project; and (5) minimize impacts to weekday passenger service by reducing weekday construction needs.

To ensure continuous service to Caltrain passengers between Menlo Park and Santa Clara Stations during this final phase of construction, staff contacted VTA to deploy bus and bus operators to implement necessary bus bridges for 4 consecutive weekends starting April 22nd. Staff has worked with VTA to provide high-capacity bus bridges during weekend closures for a

not-to-exceed total cost of \$286,416. Therefore, staff recommends the award and approval of an agreement with VTA for a not-to-exceed amount of \$286,416 to ensure bus bridge services are established for Segment 3 signal cutovers and OCS testing in April and May 2023.

Budget Impact

The VTA bus bridge service cost will be for a not-to-exceed amount of \$286,416. The funds for the services are within the Board-approved PCEP budget of \$2.44 billion.

Background

PCEP will replace the 30-year-old diesel trains currently used by Caltrain with state-of-the-art electric trains and install electrification infrastructure; this requires significant construction along the corridor. The remaining electrification construction includes OCS installation in Segments 1 and 2, signal cutover work in segments 1 and 3, systems integration testing, and EMU testing, which will require area shutdowns affecting Caltrain's weekend service. The weekend shutdowns are scheduled for up to a total of 31 weekends in 2023, beginning the weekend of February 10th, 2023. These weekend area shutdowns will allow the safe and timely completion of PCEP construction and testing, and minimize potential delays to the project, while continuing transit services along the Peninsula corridor to passengers.

On the weekends of April 22 and 23, April 29 and 30, 2023, May 6 and 7, and May 13 and 14, Caltrain will rely upon VTA to provide bus service between Menlo Park and Santa Clara Stations, which will serve passengers at the Palo Alto, California, San Antonio, Mountain View, Sunnyvale, and Lawrence Stations. These weekend area shutdowns will allow the work to be completed safely and quickly, avoiding any potential delays to the project, while continuing to provide service to passengers.

Staff has evaluated VTA's proposal and concluded that VTA's price proposal is reasonable. Staff recommends the execution of Bus Bridge Services agreement with VTA for a total not-to-exceed amount of \$286,416.

Prepared By: Sherry Bullock

CalMod Program Director

(650) 622-7866

Resolution No. 2023-

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

* * *

**Authorizing Execution of Agreement with Santa Clara Valley Transportation Authority (VTA) for
Bus Bridge Services for the Caltrain Peninsula Corridor Electrification Project (PCEP) Signal
Cutovers and OCS Testing**

Whereas, the Peninsula Corridor Joint Powers Board's (JPB or Caltrain) Peninsula Corridor Electrification Project (PCEP) will replace the 30-year-old diesel trains currently used by Caltrain with state-of-the-art electric trains and install electrification infrastructure, requiring significant construction along the corridor; and

Whereas, PCEP has reached the final phase of construction, which includes completing the remaining overhead catenary system (OCS) installation and segments 1 and 3 signal cutovers and OCS testing; and

Whereas, these activities are impeding access to portions of Caltrain's San Francisco Peninsula Network on Main Tracks MT-1 through MT-4 between Menlo Park and Santa Clara; and

Whereas, to support PCEP completion, there will be weekend service disruptions within Santa Clara County in April and May of 2023, due to area closures; and

Whereas, the weekend shutdowns are scheduled for up to a total of 31 weekends in 2023, beginning the weekend of February 10, 2023. These weekend area shutdowns will allow the safe and timely completion of PCEP construction and testing, and minimize potential delays to the project while continuing transit services along the Peninsula corridor to passengers; and

Whereas, the weekend shutdowns are necessary to: (1) ensure a Fall 2024 delivery of electrified service; (2) enhance safety by isolating construction work from passenger service; (3)

mitigate risk of OCS construction delays; (4) reduce field resources required to support the project; and (5) minimize impacts to weekday passenger service by reducing weekday construction needs; and

Whereas, to ensure continuous service to Caltrain passengers between Menlo Park and Santa Clara Stations during this final phase of construction, staff contacted the Santa Clara Valley Transportation Authority (VTA) to deploy bus and bus operators to implement necessary bus bridges for 4 consecutive weekends starting on April 22, 2023; and

Whereas, on the weekends of April 22 and 23, April 29 and 30, May 6 and 7, and May 13 and 14, 2023, Caltrain will rely upon VTA to provide bus service between Menlo Park and Santa Clara Stations, which will serve passengers at the Palo Alto, California, San Antonio, Mountain View, Sunnyvale, and Lawrence Stations; and

Whereas, staff has worked with VTA to provide high-capacity bus bridges during weekend closures for a not-to-exceed total cost of \$286,416. Therefore, staff recommends the Board of Directors (Board) of the Peninsula Corridor Joint Powers Board award and approve of an agreement with VTA for a not-to-exceed amount of \$286,416 to ensure bus bridge services are established for Segment 3 signal cutovers and OCS testing in April and May 2023; and

Whereas, the funds for the services are within the Board-approved PCEP budget of \$2.44 billion; and

Whereas, staff has evaluated VTA's proposal and concluded that VTA's price proposal is reasonable; and

Whereas, staff further recommends the Board authorize the Executive Director, or designee, to execute the agreement in a form approved by legal counsel and to take any other actions necessary to give effect to the resolution.

Now, Therefore, Be It Resolved that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby awards a contract to VTA to provide Bus Bridge services for the Caltrain PCEP project to support construction activities during weekend shutdowns in April and May 2023 for total not-to-exceed amount of \$286,416; and

Be It Further Resolved that the Executive Director, or designee, is authorized to execute the above agreement in a form approved by legal counsel and to take any other actions necessary to give effect to the resolution.

Regularly passed and adopted this 29th day of March 2023 by the following vote:

Ayes:

Noes:

Absent:

Chair, Peninsula Corridor Joint Powers Board

Attest:

JPB Secretary

Resolution No. 2023-

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

Recognizing Arab-American Heritage Month

Whereas, from April 1, 2023, through April 30, 2023, the United States celebrates Arab-American Heritage Month; and

Whereas, for over a century, Arab-Americans have been making valuable contributions in every aspect of American society – medicine, law, business, technology, civic government, and culture; and

Whereas, since coming to America, people of Arab descent have shared their rich culture and traditions with neighbors and friends, setting fine examples of model citizens and civil servants; and

Whereas, Arab-Americans brought with them traditions of resilient family values, a strong work ethic, dedication to education and diversity in faith and creed that have added strength to our democracy; and

Whereas, according to Census Bureau data, Arabic is one of the fastest growing languages in the United States; and

Whereas, there is a need for public education, awareness, and policies that are culturally competent when describing, discussing, or addressing the impacts of being Arab-American in all aspects of American society, including discourse and policy; and

Whereas, the incredible contributions of Arab-Americans have helped us build a better nation; and

Whereas, the Peninsula Corridor Joint Powers Board (Caltrain) remains committed to the mission of promoting diversity, access, equity and inclusion in its policies, programs, and practices; and

Now, Therefore, Be It Resolved that the Peninsula Corridor Joint Powers Board (Caltrain) does hereby recognize April as Arab-American Heritage Month and celebrates the immense contributions of Arab-Americans in the United States.

Regularly passed and adopted this 29th 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**

Item #9.a.
3/29/2023

DRAFT MINUTES OF MARCH 15, 2023

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

MEMBERS ABSENT: P. Joshi (Alternate), R. Jaques (Alternate), M. Page (Alternate)

STAFF PRESENT: K. Kelly, J. Ye, D. Santoro, J. Hogan, M. Tseng

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

Chair Brian Shaw called the meeting to order at 5:42 p.m. and led the Pledge of Allegiance.

CONSIDERATION OF REQUESTS, IF ANY, OF MEMBERS TO PARTICIPATE REMOTELY DUE TO EMERGENCY CIRCUMSTANCES

There were none.

APPROVAL OF MINUTES OF FEBRUARY 15, 2023

Motion/Second: Klein/Torres

Ayes: Brandt, Klein, Kutler, Leung, Shaw, Torres, Tuzman, Seebart

Abstain: None

Absent: None

PUBLIC COMMENT FOR ITEMS NOT ON THE AGENDA

Jeff Carter, Millbrae, commented on not having a video visual.

CHAIRPERSON'S REPORT

Chair Brian Shaw walked members and the public through the agenda for tonight.

PUBLIC HEARING ON THE ANNUAL AUDIT OF MEASURE RR TAX REVENUE AND EXPENDITURES FOR FISCAL YEAR ENDED JUNE 30, 2022

Chair Shaw opened the public hearing.

Kathleen Kelly, Interim CFO, introduced Ryan Nielsen, Audit Partner with Brown Armstrong CPA.

Ryan Nielsen, Brown Armstrong Audit Partner, stated there would be an annual audit of Measure RR funds. He provided a presentation that included the following:

- Report of Measure RR fund financial statements
- Brown Armstrong audit opinion
- Management’s responsibilities
- Auditor’s responsibilities
- Significant accounts
- No difficulties or disagreements were encountered in the performance of the audit

Public Comment

There were none

Chair Shaw closed the public hearing.

BOARD DISCUSSION

Member David Tuzman inquired about making the report itself available, it was clarified that it was included in the packet.

Member Steve Seebart inquired about page 9 regarding the statement that “material weaknesses or significant deficiencies in controls may exist that were not identified.” Mr. Nielsen replied that it refers to not auditing every single transaction in the audit with no opinion specifically on internal controls.

Member Steve Seebart inquired about the 5 priorities for spending (e.g. supporting Caltrain services, increasing service, providing access for those with limited means, etc.) given that the report did not clarify money spent on priorities. Mr. Nielsen replied that they evaluated expenditures on a project by project basis and those projects were approved.

Member Adrian Brandt commented on page 5, summary of the dollars Measure RR brought in \$112.6 million and of that \$110 million was not spent. Accounting Director Jennifer Ye verified that was correct.

Member Adrian Brandt requested figures for future reports on what funds were encumbered or not to understand the cash position better.

Chair Shaw clarified that a report with budgetary planning (how Caltrain plans to use these funds) would help keep track of whether these funds were used as expected.

Member Rosalind Kutler commented on transparency and confidence from taxpayers regarding money spent on electrification.

Member Patricia Leung commented on specific funds for specific projects on a report for visibility for the public.

Member Larry Klein commented on having a breakdown of operations maintenance versus capital needs and timing for earmarking it for multiple projects; timing of this audit versus the fiscal year of Caltrain for decisions made from Caltrain throughout the year. Kathleen Kelly said going forward the budget would be a 2 year budget, and the audit would look at spending from prior years; in the future, staff can provide more context around that, what funds were obligated, what happened, and what was spent in a staff report (to accompany the audit report when a draft for the committee occurs).

Member Larry Klein asked whether the monies were collected quarterly and transferred to Caltrain; Ms. Ye stated it was collected every month.

Member Larry Klein inquired about the audit occurring later March instead of December.

Member Jean-Paul Torres commented on having a fact sheet for how Caltrain is taking on Measure RR.

Member Steve Seebart commented on money set aside for projects and not for increasing service.

Member David Tuzman commented on money spent on electrification is money spent on service.

Member Adrian Brandt commented on the public getting news on what their funds are being spent on.

Member Rosalind Kutler commented on having a fact sheet, social media, or web page on the spending.

Member Patricia Leung commented on the amount not spent; spending it up front to get over electrification.

Member Larry Klein commented on the interest income being only \$22,000 and having a higher return on investment.

Chair Shaw requested the report closer to January than March next year.

Kathleen Kelly, Interim CFO, stated the next step would be to bring the staff report with committee comments back to this committee for approval in two month

COMMITTEE COMMENTS

Member Torres commented on social media alerts regarding high winds, delayed trains, and solutions. Shared story regarding visually impaired rider who shared their experience navigating the system.

Member Tuzman shared his experience at the Sunnyvale station regarding a shelter that was blown over with caution tape and feedback from former Oracle worker who used Caltrain and requested connection services to employers -shuttles especially (www.commute.org).

Member Kutler commented on having a strong regional approach.

Member Klein asking whether the wind damage would delay electrification.

Chair Shaw announced membership with the Transbay Authority CAC, their meetings on Tuesdays starting in May; trip to Spain indicated trains underground with no issues with trees falling on their tracks.

Public Comments

Jeff Carter, Millbrae, commented on grade crossing funds coming from road funds and car dominance in the United States and providing data online in reference to ridership.

CORRIDOR CROSSING STRATEGY

Jill Gibson, Transportation Planner, Kimley-Horn, provided a presentation that included the following:

- Current at-grade crossings
- 15 active grade separation, closure, and undercrossing projects
- Purpose, outlines, and timeline,
- Case studies
- Approach spectrum
- Developing a shared strategy
- Technical exploration topics
- Program strategy goals
- 2023 engagement schedule

Committee Comments

Member Patricia Leung asked about projects slated for grade separation; Ms. Gibson stated there were no projects on the Union Pacific Railroad (UPRR) currently.

Member Leung asked about preferred methodology as we're starting this process; Ms. Gibson stated there were currently none as they were staying open at the beginning to see how they play out.

Member Leung asked about extra funds used to support grade separations.

Member Kutler commented on the models advocating different kinds of initiation process; Ms. Gibson stated there was a different initiation process for each project.

Member Kutler asked if they have a value then for the champion model mentioned, how is it initiated; Ms. Gibson stated that some projects are funded by the state, and then grouped by priority, by movement, safety, place, and delivery efficiency, she stated they would eventually public a program strategy introduction for these case studies.

Member Kutler inquired about potential housing as a consideration.

Member Brandt commented on priorities especially with competition amongst cities, the best political advocacy initiates projects; if there were objective policies and scoring for prioritization and funding, the most rational would be prioritized; Caltrain owns its right of way but limited in its grade separation design due to Union Pacific freight; the 1% grade separation limits design.

Member Seebart inquired about working with Caltrain's Director of Strategy and Policy, Ms. Gibson confirmed they were working with him. He asked about finishing goals and perspective, and filtering out goals; Ms. Gibson stated the 5 strategy goals will be used to evaluate approaches during the Fall.

Member Tuzman commented on the number of program strategy goals and improve bullet points to "improve access and circulation for all modes" of transportation.

Member Brandt commented on flooding with dipped underpasses being hostile to pedestrian crossings; must have permanent pumping facilities.

Member Torres commented on having climate considerations, access for all modes, prioritizing modes that are not cars.

Member Klein commented on Sunnyvale adding a bicycle-pedestrian lane.

Public Comments

Jeff Carter, Millbrae, commented on climate change and having 22nd street station remain as it is.

Drew commented on ordering the under crossings on the powerpoint, corridor crossing interactive map, Broadway Grade separation needing to indication the pedestrian crossing, adding the ped-bike on the interactive map, and listing the San Mateo environmental design.

STAFF REPORT UPDATE

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

On-time Performance (OTP) –

- **February:** The February 2023 OTP was 93.1% compared to 91.6% for January 2022.

- **Vehicle on Tracks** – There were 2 vehicle on the tracks, which caused train delays. The train delays were on February 14th (San Mateo) and February 20th (Broadway and Borough).
- **Mechanical Delays** – In February there were 6 delays due to vehicles on tracks.
- **Trespasser Strike** – There were no trespasser strikes in February.

Mr. Santoro reminded the committee and the public that the next bus bridge would be between Millbrae and Hillsdale beginning March 25th, and that the latest updates would be at <https://www.caltrain.com/february-2023-service-change> . Lastly, he stated this would be his last meeting and John Hogan would be replacing him. John Hogan introduced himself and provided his experience background. Chair Shaw thanked Mr. Santoro for his time and welcomed Mr. Hogan.

Committee Comments

Member Brandt noted that the vehicles on track were after dark and suggested lighting to prevent further incidents. He requested the ridership statistics be a searchable PDF instead of an image so the committee could easily compare ridership numbers.

Chair Shaw encouraged in person attendance if members were not out sick.

DATE, TIME, AND LOCATION OF NEXT REGULAR MEETING:

The next meeting will be April 19, 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 7:59 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**

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 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.

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Modernization Program



Caltrain Modernization Program Peninsula Corridor Electrification Project (PCEP)



Executive Monthly Progress Report

February 28, 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 February 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 February 2023, a total of \$4.65M has been drawn down from the Shared Risk Pool of \$50 million. In February 2023, \$1.21M was drawn from the Shared Risk Pool.
- As of February 2023, a total of \$3.52M has been drawn from the project contingency of \$40 million. In February 2023, there was no draw from project contingency.
- As of February 2023, no new awards have been made from the Project incentive pool of \$18.5 million.
- As of February 2023, no incentive was issued from the milestone incentive pool of \$15 million.

1.3 Program Progress and Schedule

As of February 28, 2023, the overall project completion is 81.42%. The current program schedule is projecting a PCEP substantial completion date of April 2024 and Revenue Service by September 2024. Staff is implementing a 2023 path to completion with 31 weekend bus bridges to maximize track access to allow system integration testing, signal cutovers, and proactive OCS construction productivity mitigations for the remaining PCEP work. The first weekend closure commenced on February 11, 2023 from Millbrae to San Francisco 4th and King.

1.4 Change Management Board (CMB)

In February 2023, the following Shared Risk items were brought to CMB for approval:

- Incorporation of As-Built Additional Ped Gate Mechanisms
- Right-of-Way Site Security

1.5 This Month's Accomplishments

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

- Caltrain has received \$43 million in federal funding and \$367 million State TIRCP grant and PCEP is now fully funded.
- Received JPB approval for Compass bus bridge service.
- Continued project schedule reforecast that reflects the path to completion and weekend area closures for the remaining PCEP work.
- Continued to coordinate with PG&E on TPS 2 short circuit testing, low voltage power drop applications, and distribution line de-energization work.
- Performed train operator EMU daily inspection training.
- Completed Segment 3 Menlo Park cutover in February.
- Performed readiness reviews for weekend bus bridges for OCS construction starting in February 2023.
- Completed Rail Service Plan for weekend partial area closure from Millbrae to San Francisco to support Segment 1 OCS construction.
- Developed OCS quantity tracker and monitored weekly planned quantities vs. actual.
- Continued negotiation on railroad isolation and protection change order.
- 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.
- Developed TPS 2 correction action plan to address root causes for failed short circuit testing.
- Continued to address TPS 2 findings and complete documentation required to perform short circuit retest.
- Met with Design-Build Contractor Executives to address OCS productivities and TPS findings.

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 2 OCS construction, and Segment 3 last cutover.
- Continue focused area limited weekend shutdown work in March and April 2023 from Millbrae to Hillsdale and Belmont to Menlo Park.
- Continue to coordinate with PG&E on TPS 2 short circuit testing, low

voltage power drop applications, and distribution line de-energization work.

- Commence EMU maintenance training.
- Develop detail corrective actions for short circuit re-test.
- Complete TPS documentation audit and field validation.
- Hold in person Executive workshop to discuss actions required to complete remaining work on schedule.
- Plan for Segment 4 Drill Track and Segment 4 Live runs and full energization.
- Energize CEMOF for EMU commissioning.
- Complete Segment 3 construction and ready for Sectionalization Testing.
- Hold Monthly CMB meeting for program status and change order approval.
- Complete Segment 3 signal cutovers in April 2023.
- Execute Railroad isolation and protection change order.
- Complete EMU Storage Plan.

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

1.7 Critical Items

As of February 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 started on February 11, 2023. • OCS storm repair work for Segment 2 is planned for September 2023 due to rainstorm and long lead time for materials. • Bring on more regulating crews in May 2023. • Procure more equipment parts and to ensure all equipment are performing well for construction.
<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.

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

2.0 SAFETY

There were no reportable injuries in February 2023. The Reportable Injury Rate (RIR) for the entire year (2022) was 2.82. Overall, since the project’s inception, the RIR is at 1.85, which is below the national average.

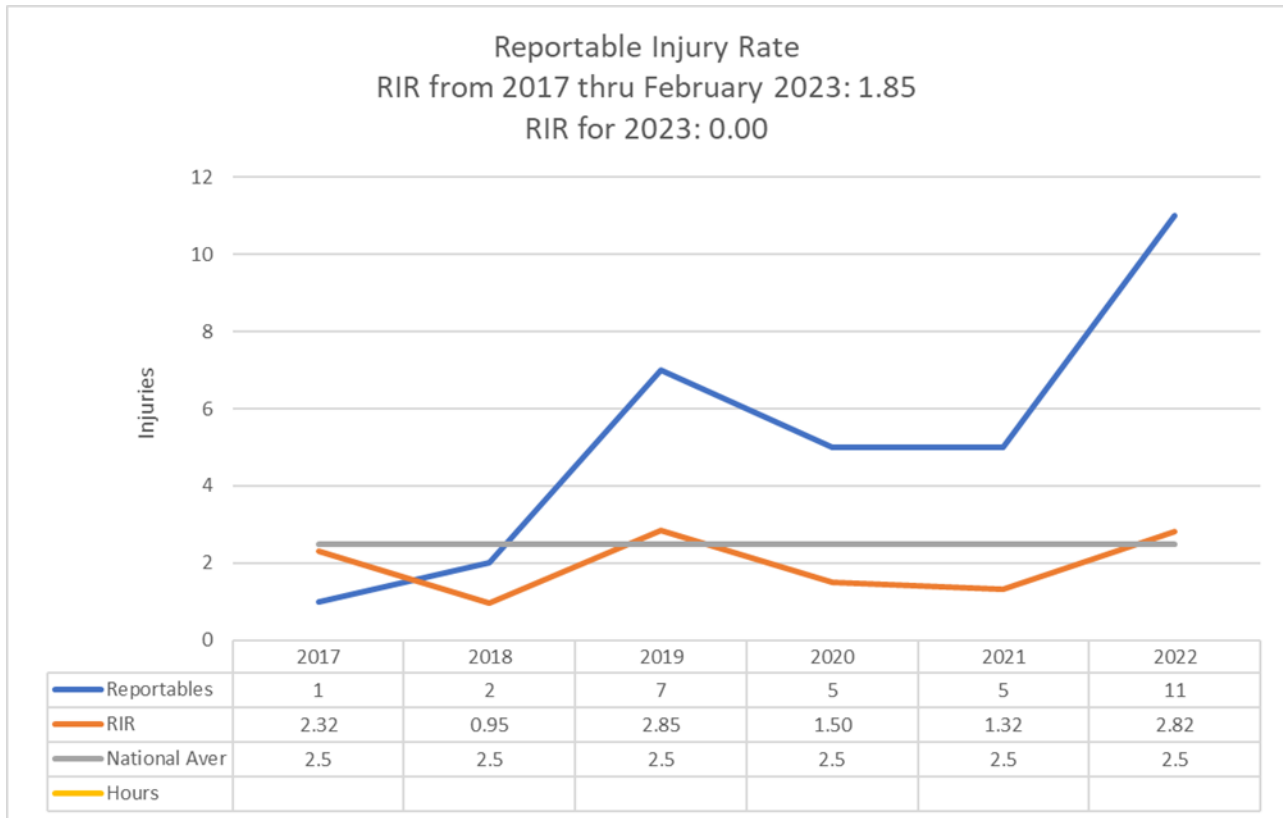


Figure 2-1. Project Reportable Injury Rate (RIR) by Year

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 was delivered to 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 scheduled for Palo Alto on March 27, 29, and April 6.

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 Version C of BBII’s reforecast schedule as well as the current update of the Stadler EMU Progress schedule. The final reforecast schedule information will be available in the March 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.

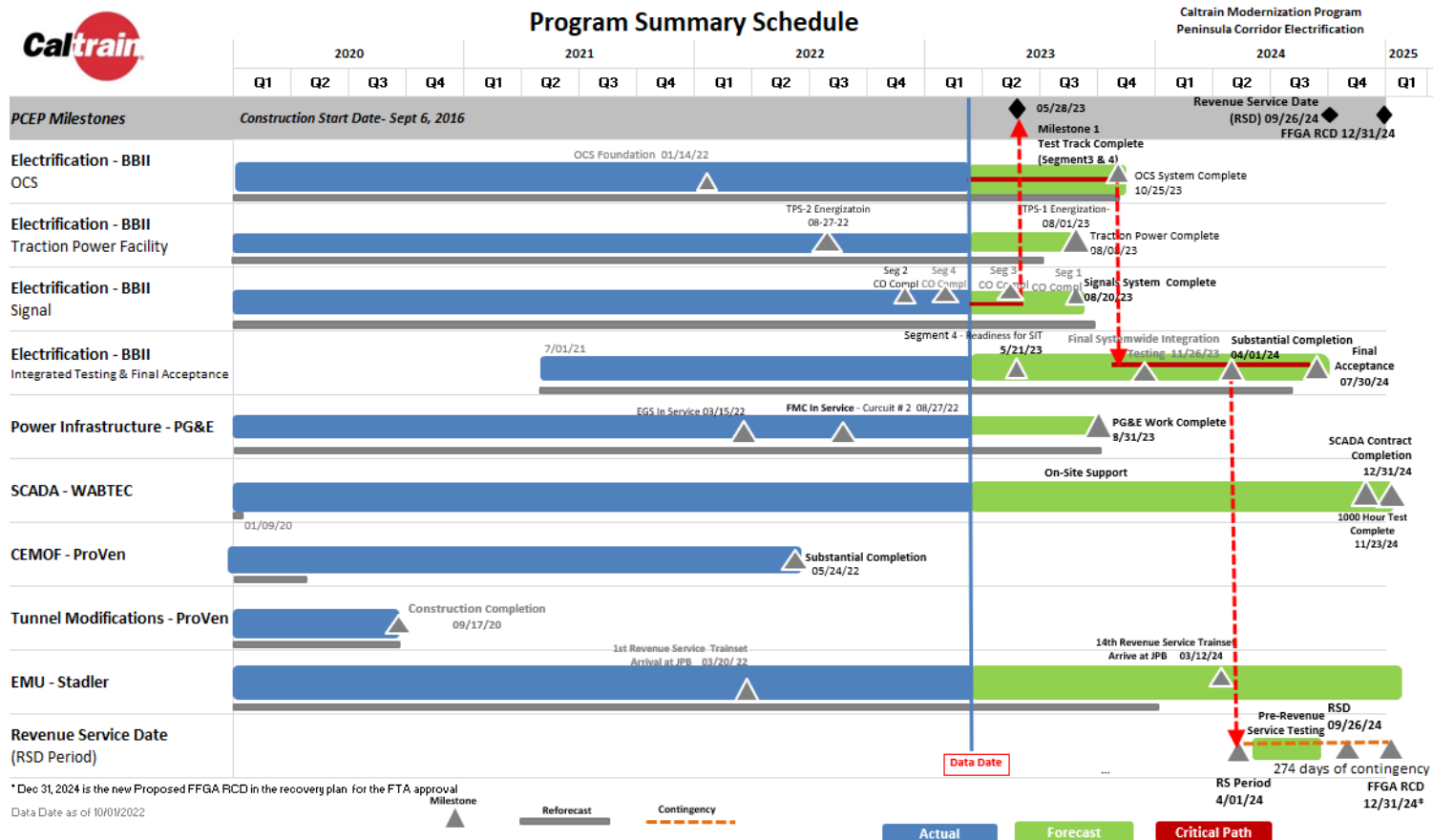


Figure 3-1. Master Program Summary Schedule

3.2 Critical Path Analysis

The current critical path for PCEP starts with BBII waiting past the required period on PG&E for the power drop designs in Segment 1. After reapplying to PG&E for additional designs, the critical path schedule shows BBII waiting another 250 days to receive these designs before preparing for the installation of the meter and for the permanent power drop in Segment 1. The critical path then continues with the completion of the permanent low voltage power to all the segments, Project Schedule Contingency, Substantial Completion, and Final Acceptance.

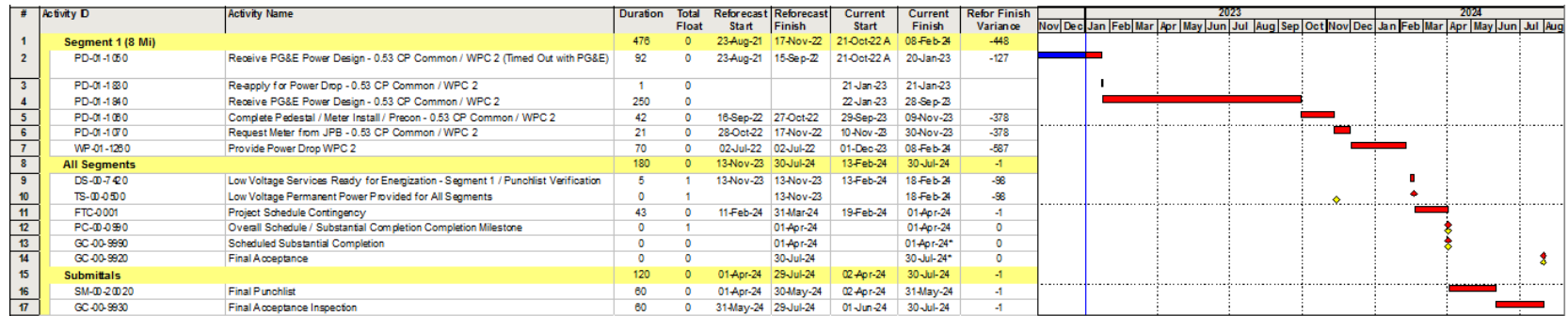


Figure 3-2. Critical Path Schedule

3.3 Schedule Contract Milestone Analysis

Milestone No. 1: This Milestone has been redefined to include Segment 3 and 4 for more electrified mileage to test the Trainsets. Overall, Milestone No. 1 is currently showing an anticipated completion of May 28, 2023, which is now 28 days later than June 2022 Reforecast date of April 30, 2023, due to the completion of Segment 3 cutover which is scheduled in late April 2023. However, the failed short circuit testing will impact Segment 4 and Segment 3 full energization live runs. The current forecast date for full alignment Substantial Completion is now April 1, 2024, with Scheduled Final Acceptance forecasted for July 30, 2024. BBII is currently working on solutions with JPB and their Signal Installation Subcontractor (MRS) to recover the lost time through additional bus bridges and extended weekend closures.

Contractor	Milestones	Reforecast (June 2022) Dates	Current (January 2023) Forecast	Milestone Finish Date Variance	Remarks
BBII	Segment 4 Completion	15-Nov-22	21-May-23	-187	Delayed by the failed short circuit testing which has delayed the EMU live runs within Segment 4.
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	12-Mar-24	-68	Stadler improved delivery date of Trainsets 13 and 14 to the JPB Site by 10 days.
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	

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 February 28, 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	\$1,749,139,439	\$20,342,571	\$1,510,843,629	\$238,295,810	\$1,749,139,439	\$0
EMU	\$693,551,258	(\$1,431,814)	\$505,427,283	\$188,123,975	\$693,551,258	\$0
PCEP TOTAL	\$2,442,690,697	\$18,910,757	\$2,016,270,911	\$426,419,785	\$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	\$13,917,498	\$904,142,494	\$192,891,387	\$1,097,033,881
EMU Procurement	\$556,072,601	\$556,248,486	-\$2,112,640	\$419,077,518	\$137,560,968	\$556,638,486
Minor Construction Contracts (Tunnel, CEMOF, SCADA, Non-BBI OCS)	\$67,055,072	\$68,091,194	\$74,957	\$64,677,734	\$3,413,459	\$68,091,194
Real Estate Acquisition & Support	\$34,914,177	\$34,914,177	-\$342	\$23,977,873	\$10,936,304	\$34,914,177
PG&E, Utilities	\$132,088,994	\$132,088,994	\$1,624,573	\$204,966,083	-\$72,877,088	\$132,088,994
Management Oversight & Support	\$312,699,697	\$315,007,767	\$3,160,915	\$263,443,692	\$51,564,075	\$315,007,767
TASI Support	\$114,488,767	\$114,488,767	\$1,540,970	\$93,793,271	\$20,695,496	\$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	\$255,955	\$3,635,970	\$7,048,206	\$10,684,176
Environmental Mitigation	\$14,438,866	\$13,038,866	\$0	\$1,242,229	\$11,596,637	\$12,838,866
Caltrain Capital Overhead (ICAP)	\$48,217,887	\$48,217,887	\$448,871	\$23,112,317	\$25,105,570	\$48,217,887
Contingency	\$40,000,089	\$36,480,012	\$0	\$0	\$36,206,012	\$36,206,012
Total	\$2,442,690,697	\$2,442,690,697	\$18,910,757	\$2,016,270,911	\$426,419,785	\$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 February 2023

Risk ID	Risk Description	Risk Amount	Current Month	Executed to Date	Remaining Balance
1	Permanent Power Availability	\$268,572	\$17,449	\$178,365	\$90,207
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	\$0	\$391,881	\$2,408,119
4	Condition of existing Fiber backbone infrastructure	\$3,150,000	\$0	\$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	\$71,920	\$71,920	\$1,328,080
17	Third party Approval	\$150,000	\$0	\$13,140	\$136,860
18	Impact from Caltrain other capital or third-party projects	\$2,166,683	\$0	\$148,103	\$2,018,580
19	Track access delay for BBII Construction	\$1,800,000	\$51,784	\$180,770	\$1,619,231
20	Additional light Maintenance and Protection Needs	\$280,000	\$20,031	\$164,531	\$115,469
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	\$1,050,547	\$2,003,026	\$9,996,974
NA	Unidentified	\$54,179	\$0	\$0	\$54,179
	BBII Risk Pool Total	\$50,000,000	\$1,211,731	\$4,650,401	\$45,349,600

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	\$36,480,012	\$36,596,012
STA-056-042	Passenger Convenience Outlet Current Limit	\$0	(\$390,000)
	PROJECT CONTINGENCY REMAINING BALANCE	\$36,480,012	\$36,206,012

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.

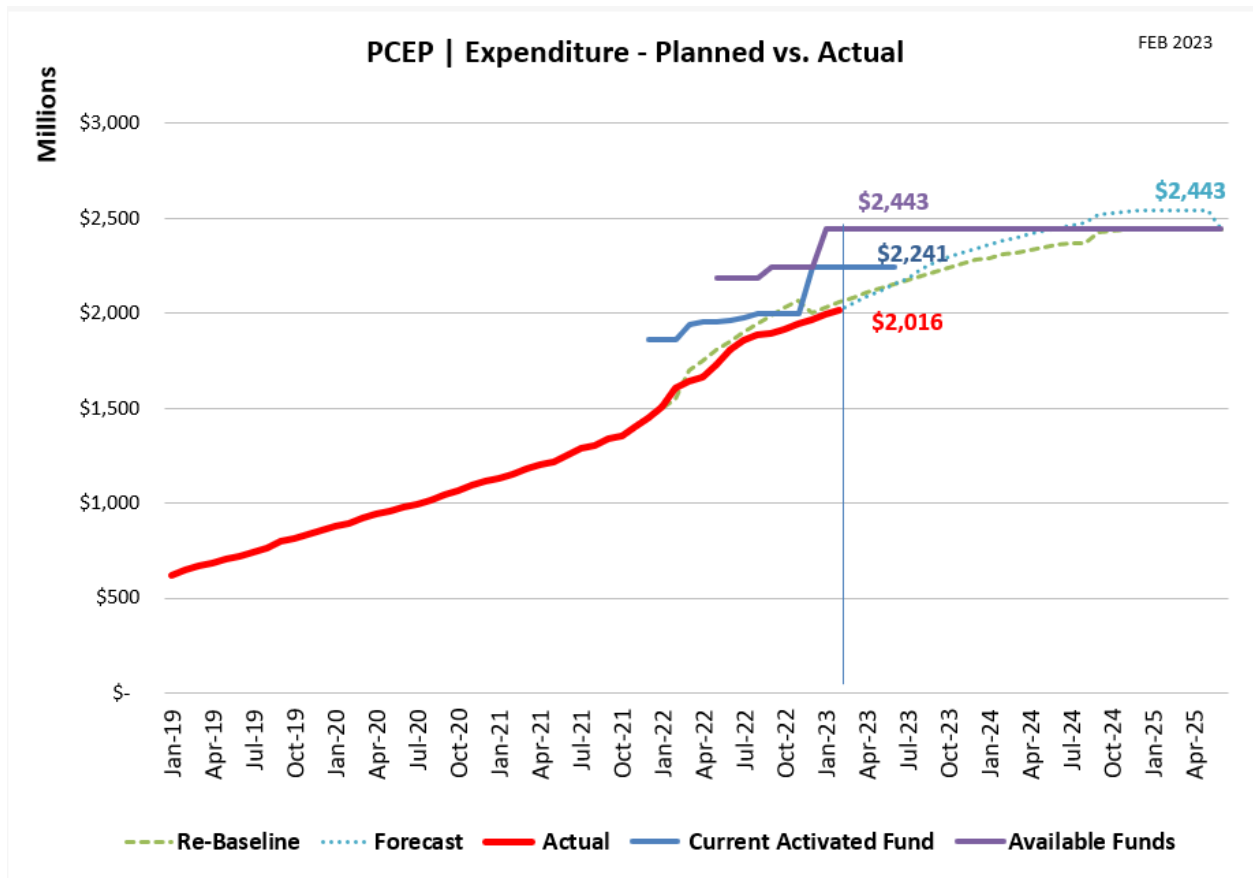


Figure 4.1 Expenditure – Funding Cash Flow

4.6 Issues

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

Issues	Actions
Late receiving of PG&E \$99 million reimbursement	<ul style="list-style-type: none"> • Work with PG&E to project reimbursement date. • May need to hold \$100 million bond until PG&E reimbursement is made to support project cash flow needs for FY25.

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 February 2023:

- Track Access Delays for April 2022 was executed on February 28, 2023 for \$25,565.
- Track Access Delays for May 2022 was executed on February 28, 2023 for \$26,219.
- BBII ROW Security (August 1, 2022 to December 9, 2022) was executed on February 16, 2023 for \$1,050,547.
- TPS-1 Standalone Report for Single Phase Study was executed on February 28, 2023 for \$71,920.
- Contaminated Splice Closure at MP 25.00 was executed on February 8, 2023 for \$11,818.
- Additional Fence Repair in RWC adjacent to Woodside Road was executed on February 17, 2023 for \$20,031.
- CHSR and STATCOMs Analysis at TPS-1 was executed on February 28, 2023 for \$17,449.

5.2.2 CMB Approved Shared Risk Items

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

5.2.3 Upcoming Change Orders/Shared Risk Items

- Relocation of Aerial Utilities at Stanford Station (MP 30.5) Design Only for \$17,392.
- UPRR Reed Street Median Design Civil Improvements (Sunken Costs) for \$45,089.
- Final Tie in and Additional Conduit at CP Tunnel MP 4.78 for \$26,526.
- Isolation and Protection for Railroad Change Order
- VTA Bus Bridge Service

5.3 Issues

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