



BOARD OF DIRECTORS 2023

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MICHELLE BOUCHARD
EXECUTIVE DIRECTOR

AGENDA

PENINSULA CORRIDOR JOINT POWERS BOARD

Board of Directors Meeting

October 05, 2023, 9:00 am

Bacciocco Auditorium, 2nd Floor
1250 San Carlos Ave., San Carlos, CA

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:

Visitors who have been exposed to the COVID-19 virus, who have received a positive COVID-19 test results, or who are experiencing any of the following COVID-19 related symptoms should refrain from participating in person:

- Cough
- Fatigue
- Sore Throat
- Headache
- Shortness of Breath
- Nausea or vomiting
- Muscle or body aches
- Diarrhea
- Fever or Chills
- Loss of taste or smell
- Congestion or runny nose

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.

October 05, 2023 - Thursday

9:00 am

*All items to which [Government Code section 84308](#) applies have been marked with an asterisk
A double asterisk indicates that one or more Directors of the JPB serve on the governing board of a public agency with which the JPB proposes to contract. Under Government code section 1091(a)(9), this relationship is considered to be a noninterest but it must be disclosed.*

1. Call to Order / Pledge of Allegiance
2. Roll Call
3. Consideration of requests, if any, of Directors to participate remotely due to Emergency Circumstances
4. Public Comment for Items Not on the Agenda
Comments by each individual speaker shall be limited to two (2) minutes. Items raised that require a response will be deferred for staff reply.
5. Report of the Executive Director Informational
6. Consent Calendar
Members of the Board may request that an item under the Consent Calendar be considered separately.
 - 6.a. Meeting Minutes of September 7, 2023 Motion
 - 6.b. Renew Findings of an Emergency Regarding the North Channel Embankment of the San Francisquito Creek Bridge Due to Erosion Pursuant to Public Contract Code §22050* Resolution
 - 6.c. Accept Unaudited Statement of Revenues and Expenses for the Period Ending June 30, 2023 Motion

- | | |
|---|--------|
| 6.d. Accept Statement of Revenues and Expenses for the Period
Ending August 31, 2023 | Motion |
|---|--------|

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

- | | |
|---|------------|
| 6.e. Authorize Executive Director to Execute an Agreement with
Caltrans to Receive Sustainable Transportation Planning Grant
Program Funds* | Resolution |
|---|------------|

Approved by the Advocacy and Major Projects (AMP) Committee

- | | |
|--|---------------|
| 6.f. Amendment to the Memorandum of Agreement with Transbay
Joint Powers Authority for 4th and King Yard Preparation in
Support of the Downtown Rail Extension* ** | Resolution |
| 6.g. Approve BayPass Participation Agreement* ** | Resolution |
| 7. Proclaiming the Month of October as Cybersecurity Awareness Month | Resolution |
| 8. Resolution Honoring Filipino American History Month | Resolution |
| 9. Proposed Electrified Service Plan for Fall 2024 | Informational |
| 10. Peninsula Corridor Electrification Project (PCEP) Monthly Progress
Report | Informational |
| 11. Reports | |
| 11.a. Report of the Citizens Advisory Committee | Informational |
| 11.b. Report of the Chair | Informational |
| 11.c. Report of the Local Policy Maker Group (LPMG) | Informational |
| 11.d. Report of the Transbay Joint Powers Authority (TJPA) | Informational |

12. Correspondence

13. Board Member Requests

14. Date/Time of Next Regular Meeting: Thursday, November 2, 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.

15. Adjourn

Information for the Public

All items appearing on the agenda are subject to action by the Board. Staff recommendations are subject to change by the Board. If you have questions on the agenda, please contact the JPB Secretary at 650.508.6242. Agendas are available on the Caltrain website at www.caltrain.com. Communications to the Board of Directors can be e-mailed to board@caltrain.com.

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

Date and Time of Board and Committee Meetings

JPB Board: First Thursday of the month, 9:00 am; JPB 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 two minutes or less. The Board Chair shall have the discretion to manage the Public Comment process in a manner that achieves the purpose of public communication and assures the orderly conduct of the meeting.

Accessible Public Meetings/Translation

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

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: September 2023

Executive Director Michelle Bouchard

Report prepared for October Board meeting; data current through August 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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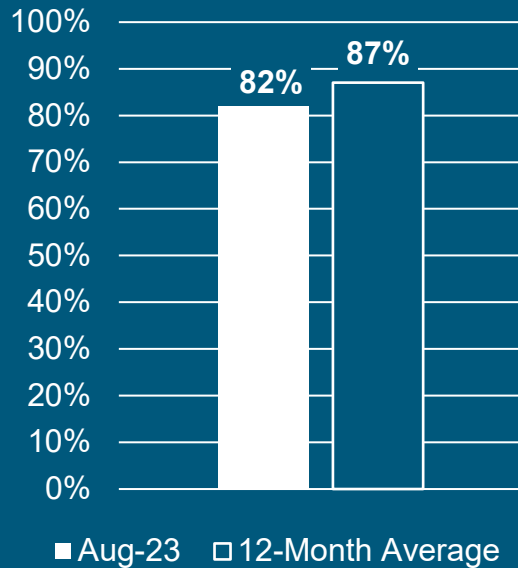




Performance at a Glance

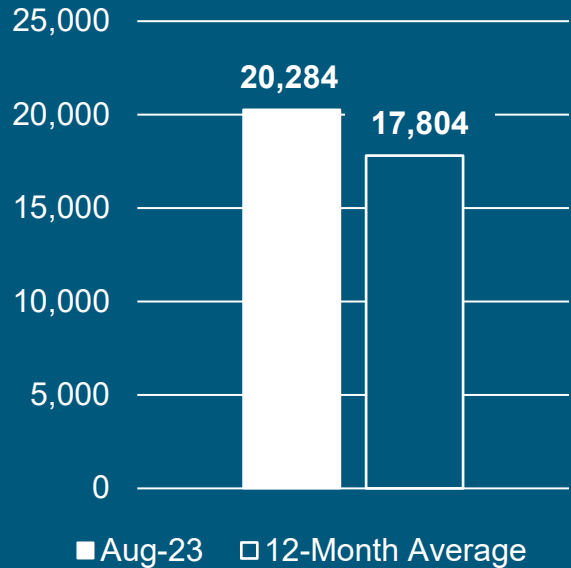
On-Time Performance

Percentage of trains arriving within six minutes of the scheduled time



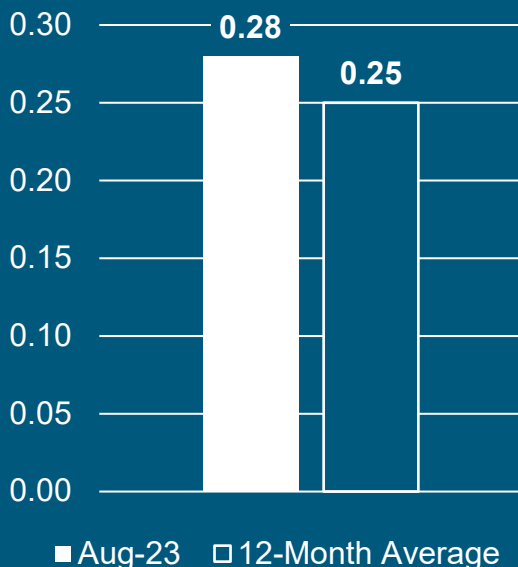
Average Daily Ridership

Average estimated weekday ridership



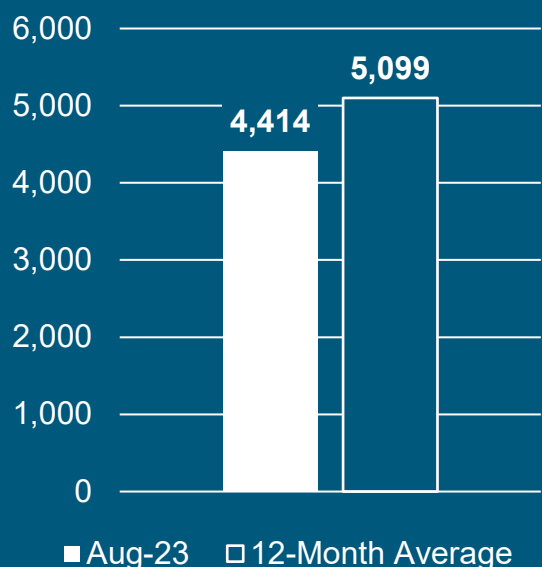
Farebox Recovery Ratio

Ratio of fare revenue to operating costs



Mean Distance Between Failures

Average miles travelled by locomotives before maintenance/repair is required

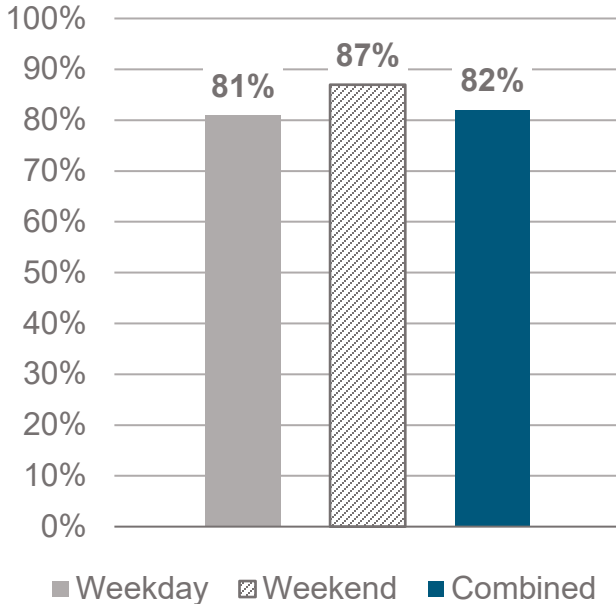


Note: Recent financials are not yet available due to ongoing year end close out activities for FY 2023.



On-Time Performance

Performance This Month (Aug-23)

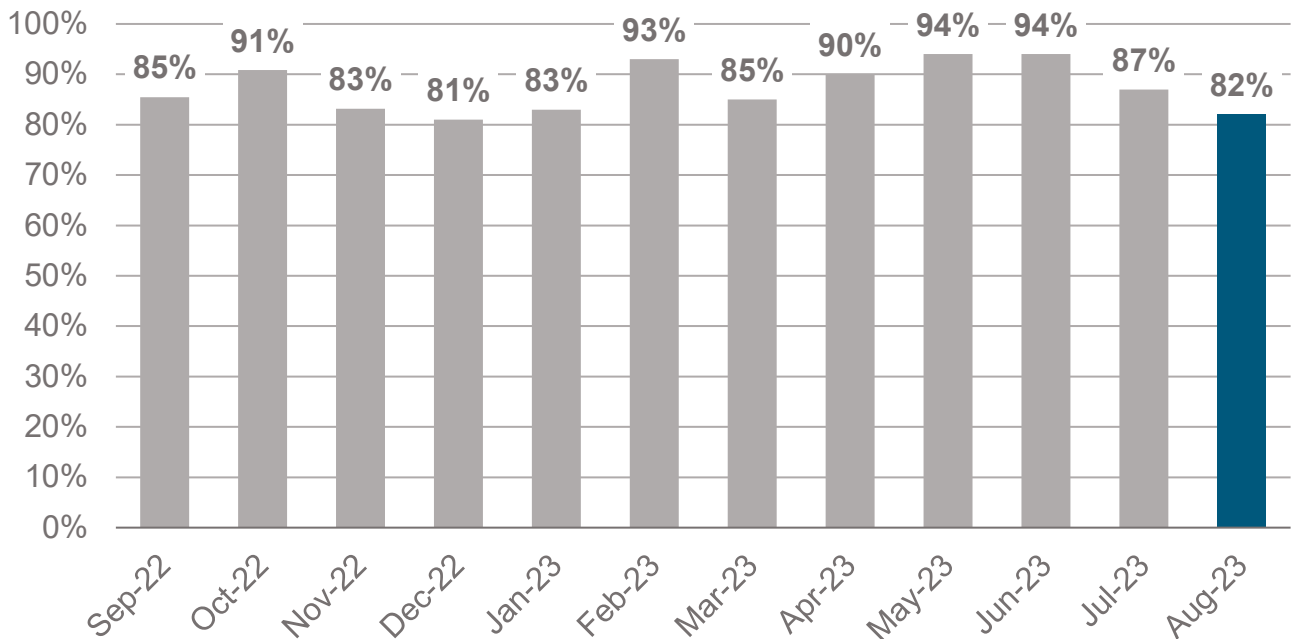


Trains are considered on-time if they arrive within six minutes of the scheduled arrival time at end-line locations (i.e. San Francisco, San Jose Diridon, Tamien, and Gilroy).

The on-time performance (OTP) goal for Caltrain is 95 percent. Combined OTP for the month of August was 82%.

Note that weekend OTP includes holidays.

Monthly On-Time Performance in the Past Year



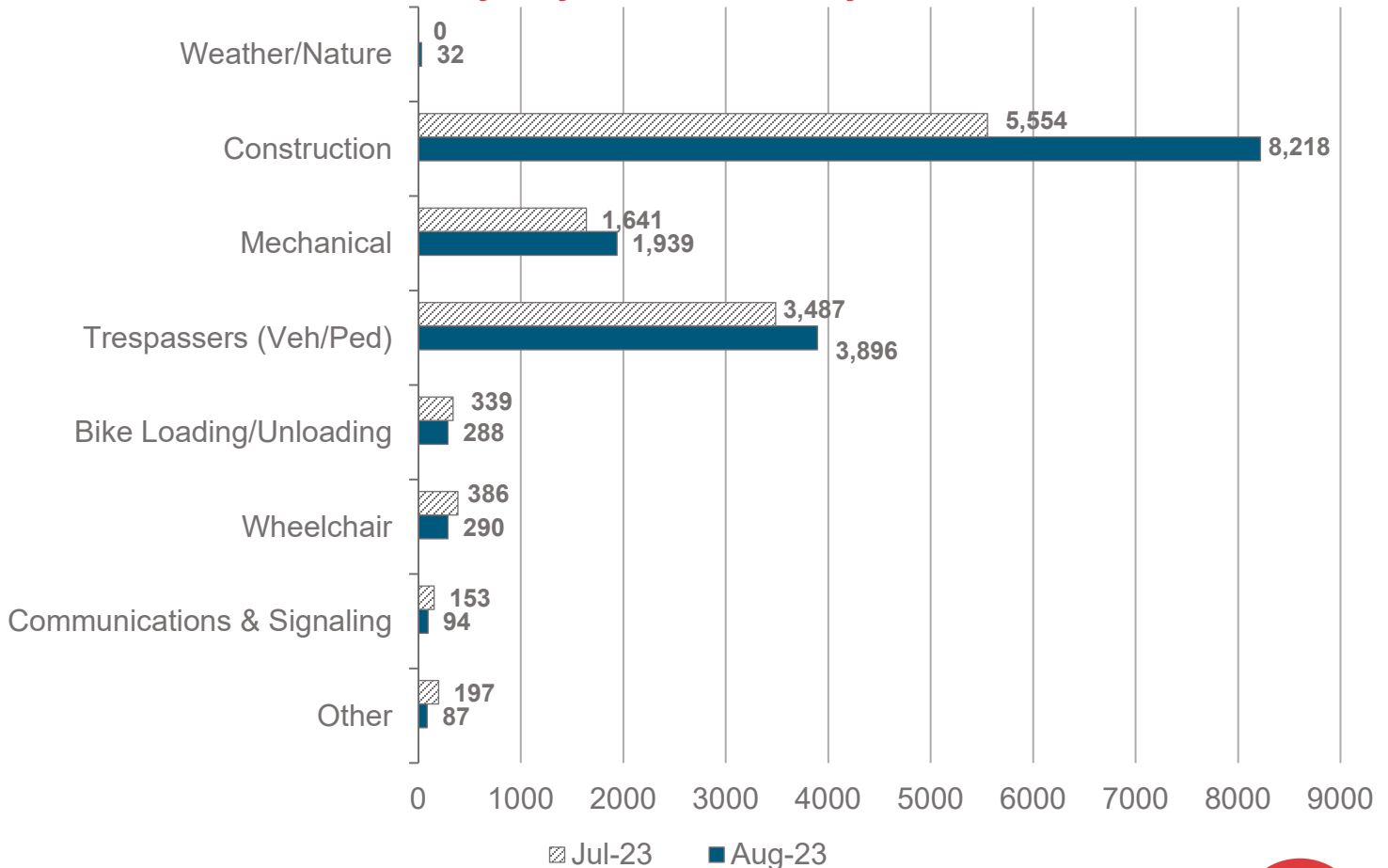


Delays and Cancellations

	<u>Jun-23</u>	<u>Jul-23</u>	<u>Aug-23</u>
Number of Late Trains	162	342	438
Average Minutes Late for Late Trains	14	18	19
Number of Cancelled Trains	12	19	30

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



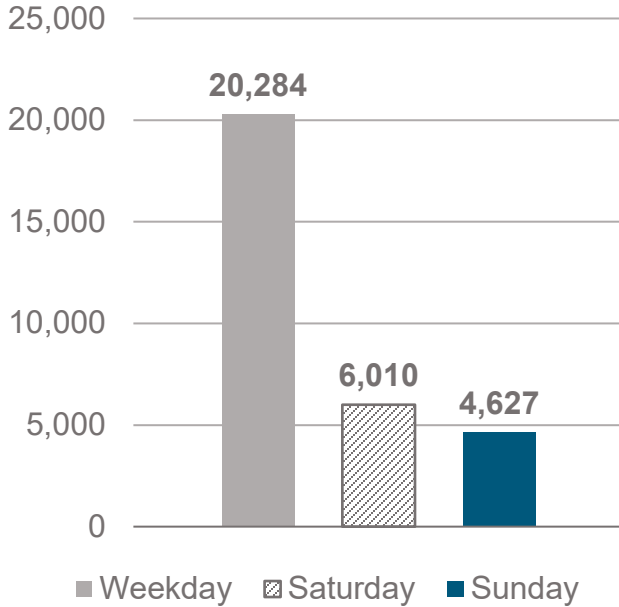
Note: "Other" includes special events and track defects.





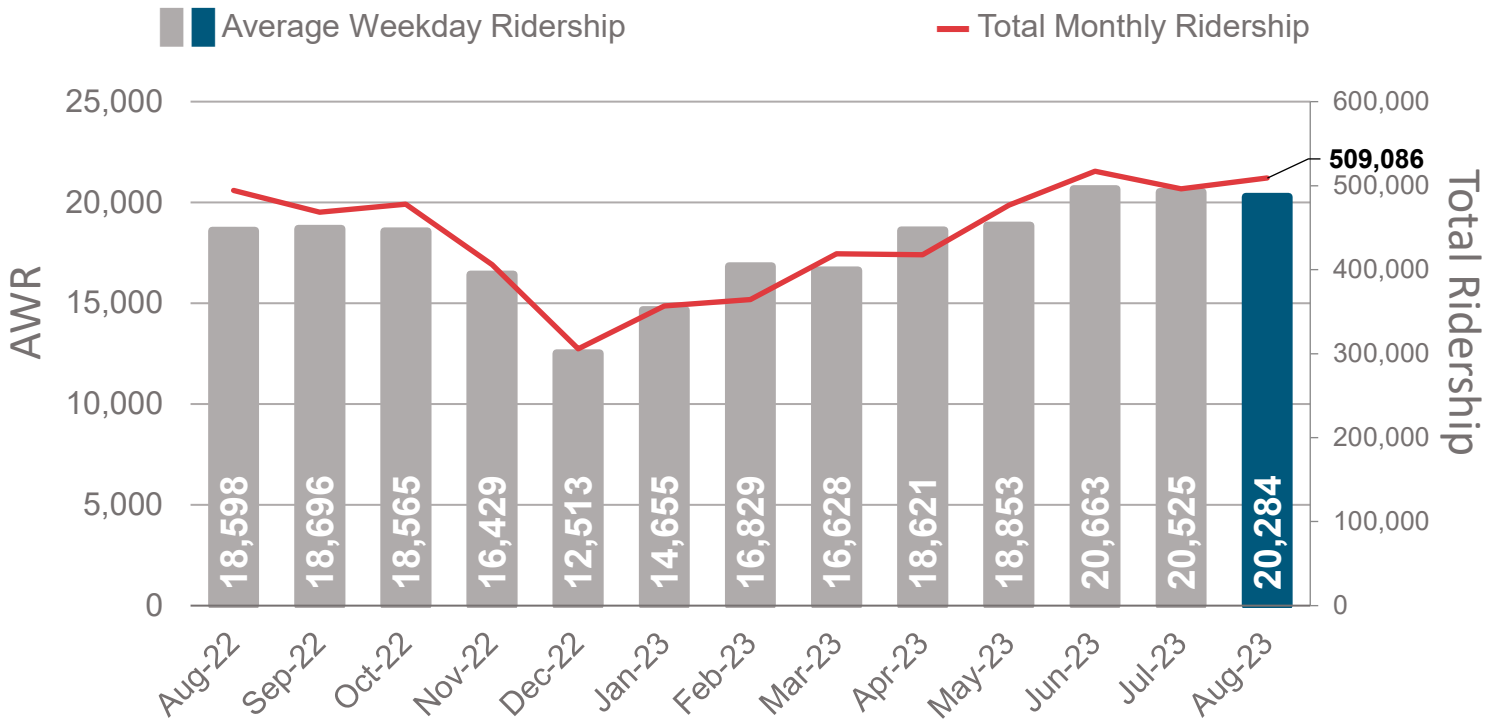
Ridership and Revenue

Average Daily Ridership (Aug-23)



Average weekday ridership (AWR) increased by approximately 9 percent compared to the same month in the prior year as riders continue to return to the Caltrain system for increased work and leisure travel.

Ridership in the Past Year



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





Ridership and Revenue

Special Service Ridership Report

49ers

- Two preseason home games in August.
- Total additional ridership was 1,048.
- Average ridership per game was 524, a 10% decrease compared to the 2022 pre-season game (585) and a 19% decrease compared to the 2019 pre-season average (650).
- Special trains:
 - No special trains provided.
- ***Please note, a bus bridge was in effect for the 8/19 game.***

Giants

- Fifteen regular season home games in August.
- Total additional ridership boarding and alighting at San Francisco station was 41,424.
- Year-to-date additional ridership is 245,276, a 9% decrease compared to 2022 (268,469) and a 6% decrease compared to 2019 (261,706).
- Special trains:
 - One post-game special train for eight games.
- ***Please note, a bus bridge was in effect for the 8/12, 8/13, 8/26, & 8/27 games.***

Other Special Events

- Beyonce Renaissance Tour at Levi’s Stadium
 - Total additional ridership was 2,076.
 - Special trains:
 - One post-event special train.
- Blackpink World Tour at Oracle Park
 - Total additional ridership was 3,765.
 - Special trains:
 - One post-event special train.
- LaLiga Summer Tour at Oracle Park
 - Total additional ridership was 3,416.
 - Special trains:
 - One post-event special train.

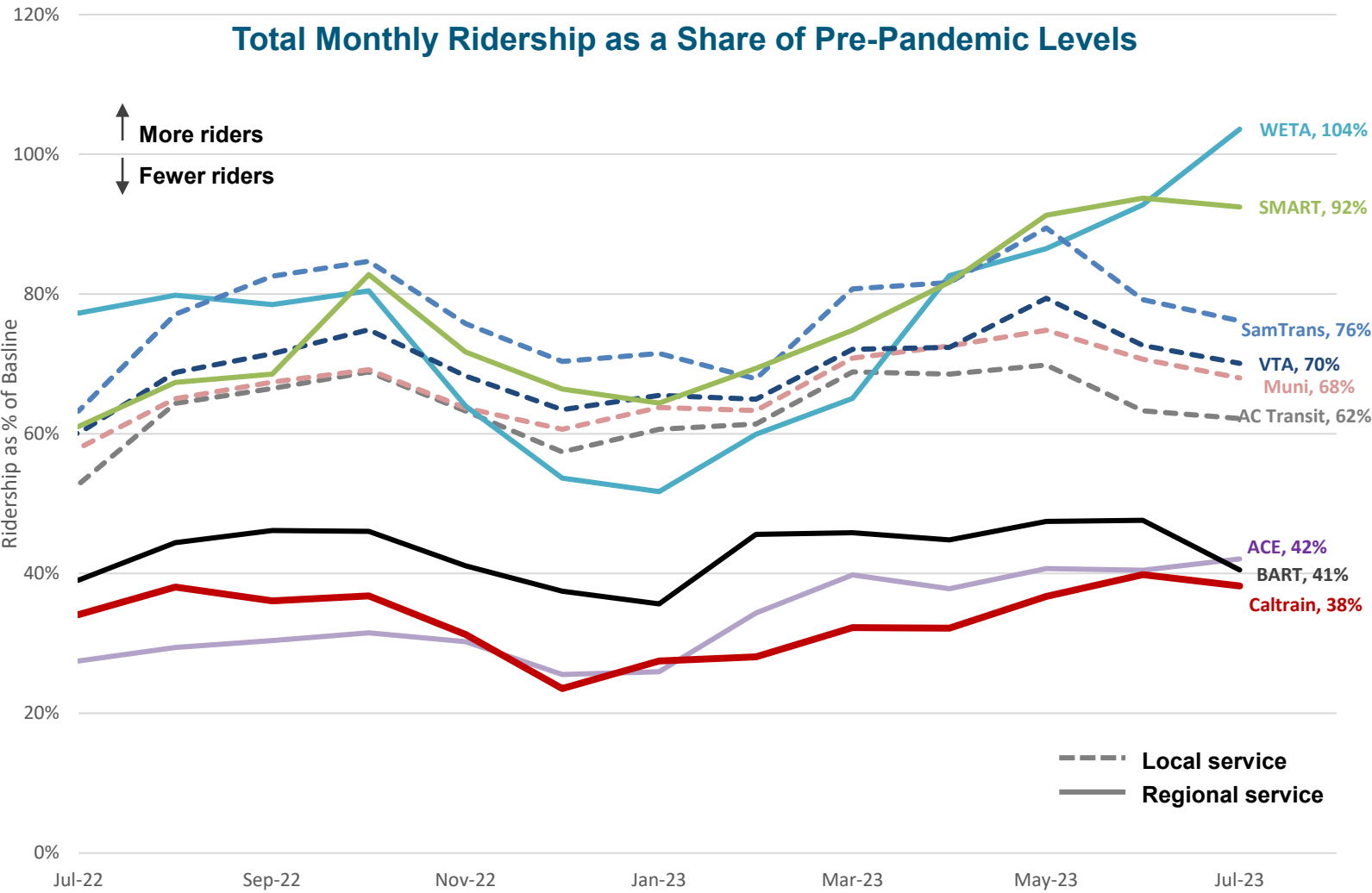




Public Transit Ridership Recovery in the Bay Area

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
- July 2023 ridership for BART, VTA, and WETA taken directly from respective websites since numbers not yet available from NTD

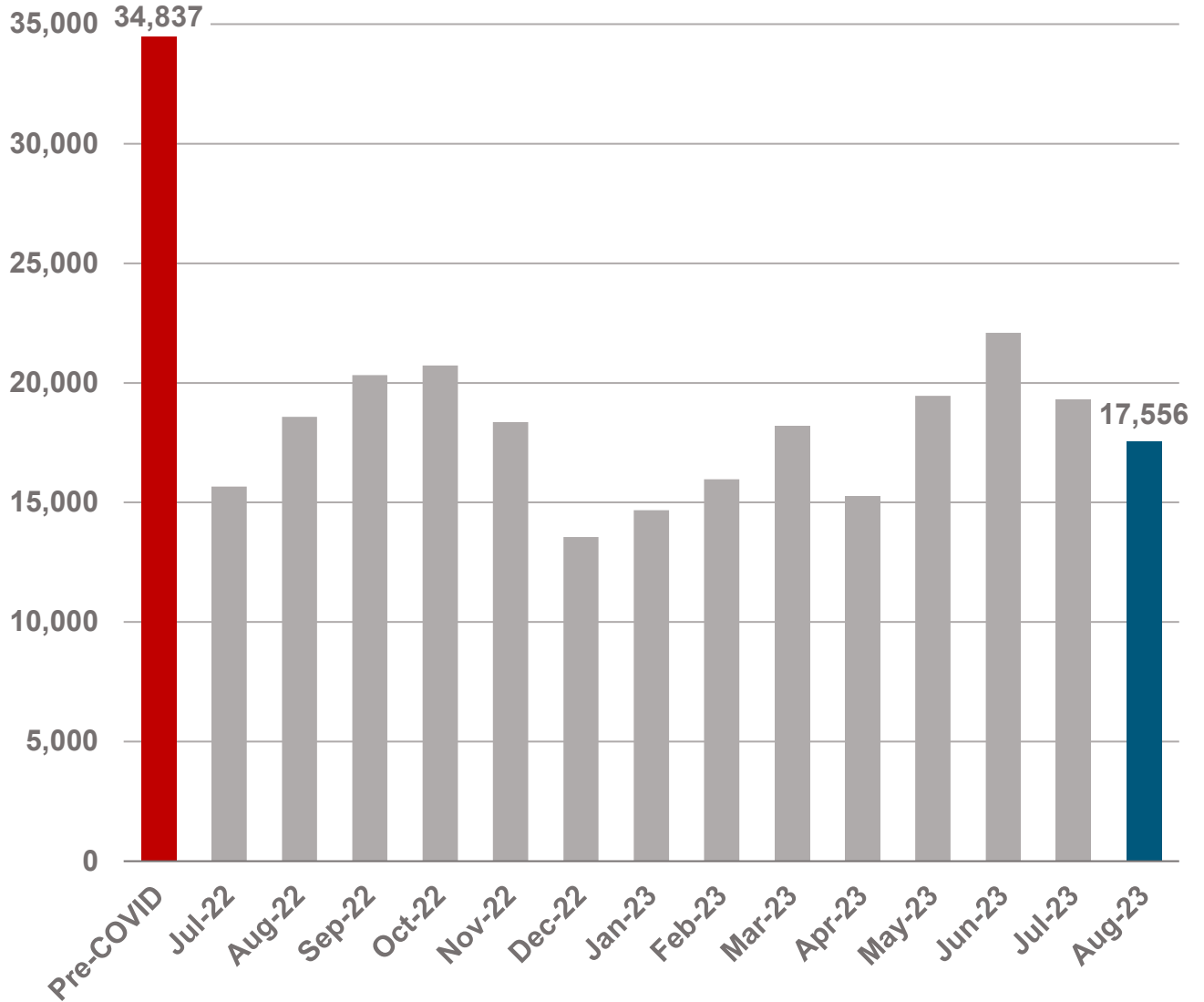
Total Monthly Ridership Estimates (in thousands)

Transit Operator	Jul-22	Aug-22	Sep-22	Oct-22	Nov-22	Dec-22	Jan-23	Feb-23	Mar-23	Apr-23	May-23	Jun-23	Jul-23
Muni	9,537	10,706	11,099	11,386	10,483	9,988	10,500	10,430	11,659	11,951	12,320	11,637	11,192
BART	3,810	4,334	4,501	4,492	4,010	3,656	3,479	4,449	4,470	4,370	4,628	4,645	3,952
AC Transit	2,424	2,958	3,055	3,164	2,907	2,638	2,786	2,822	3,164	3,150	3,209	2,909	2,858
VTA	1,717	1,966	2,043	2,142	1,952	1,814	1,872	1,857	2,061	2,069	2,270	2,077	2,003
SamTrans	599	731	783	803	718	667	678	643	765	774	848	751	722
Caltrain	443	494	469	478	406	306	357	365	419	418	477	517	496
WETA	179	185	182	186	148	124	120	139	151	191	200	215	240
SMART	44	48	49	59	51	48	46	50	54	59	65	67	66
ACE	32	34	35	36	35	29	30	40	46	43	47	47	48



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.

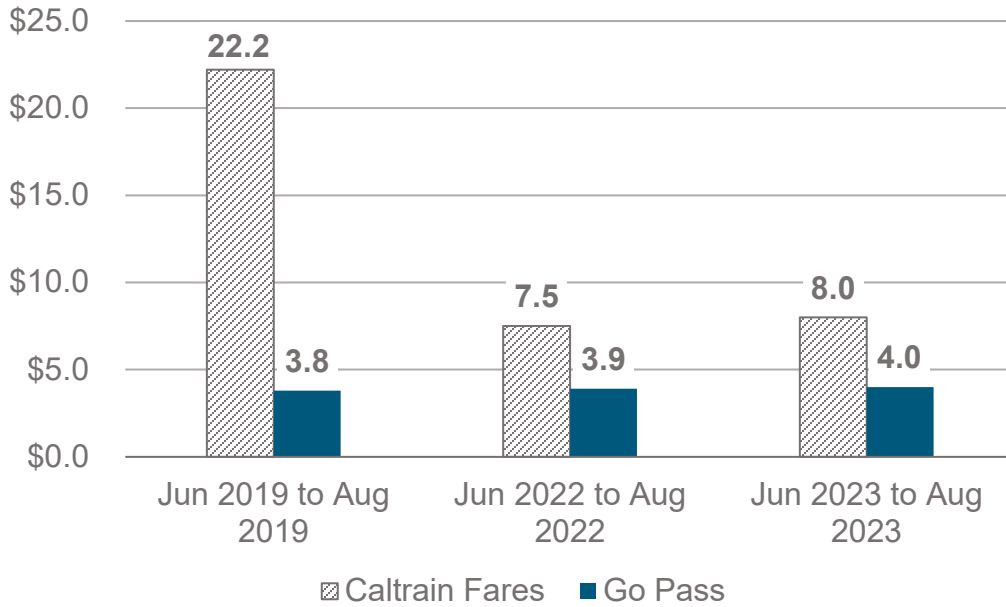
Pre-COVID data is provided for comparison purposes and represents average monthly transfers during the one-year period from March 2019 to February 2020.





Ridership and Revenue

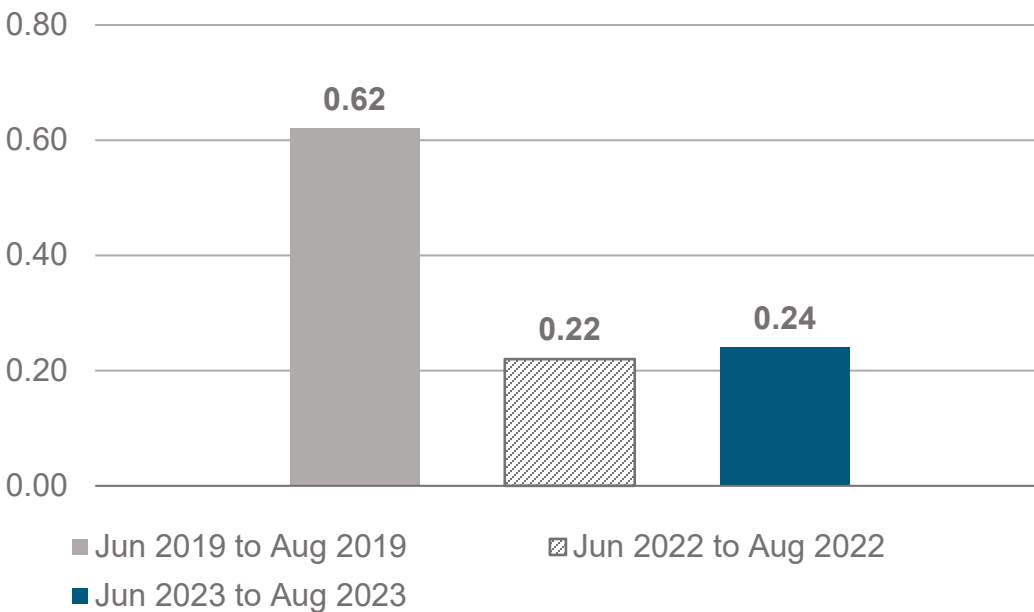
Total Fare Revenues (\$M) - Past 3 Months Comparison



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)



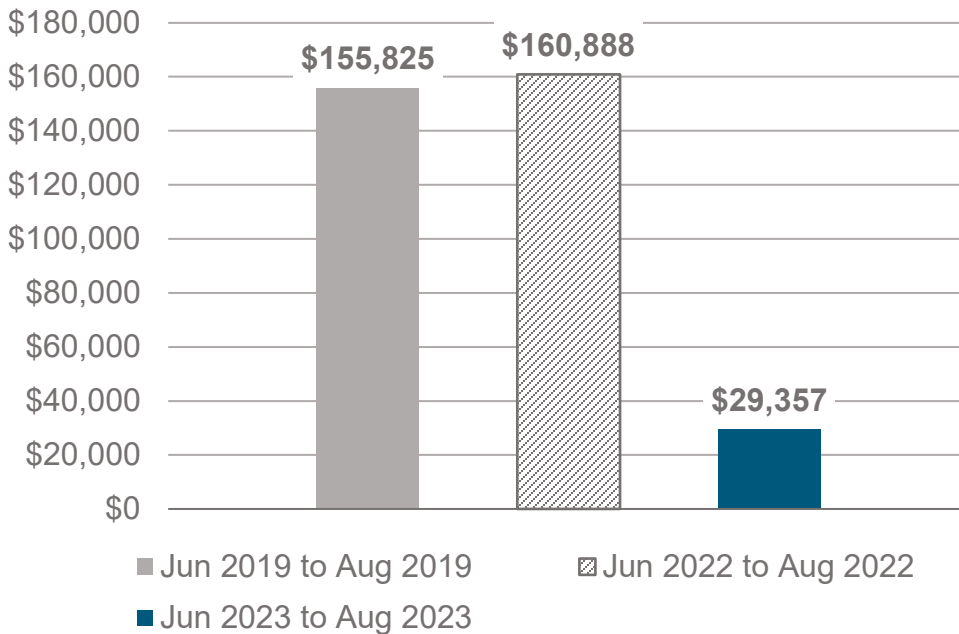
Farebox Recovery Ratio represents how much of the cost of providing service is covered by customer fares. A higher ratio indicates that a greater share of costs are covered by riders.





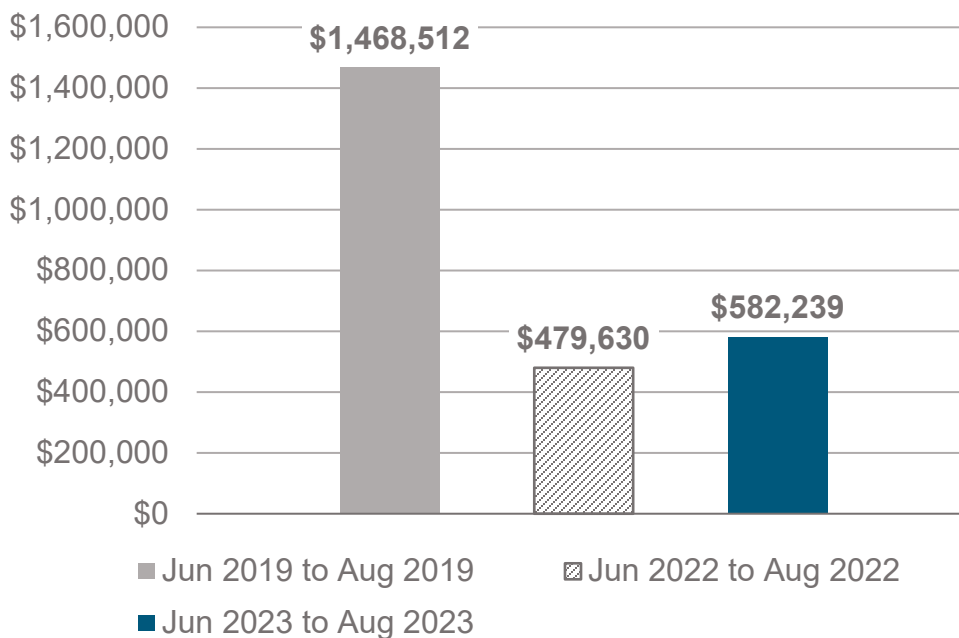
Ridership and Revenue

Advertising Revenue (3-Month Rolling Average)



Advertising Revenue declined substantially for transit agencies throughout the country with the onset of the COVID-19 pandemic.

Parking Revenue (3-Month Rolling Average)



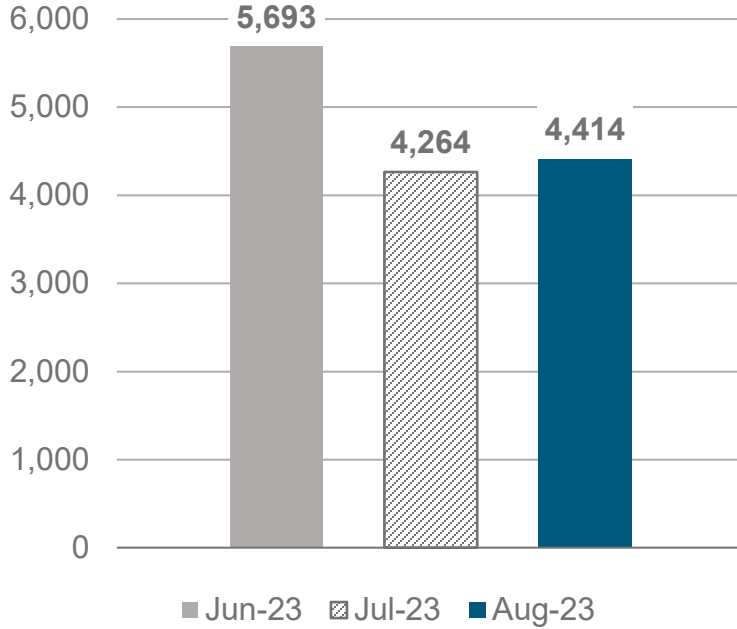
Parking Revenue is generated by purchases of daily and monthly parking permits for parking at Caltrain-owned lots.





Maintenance Performance

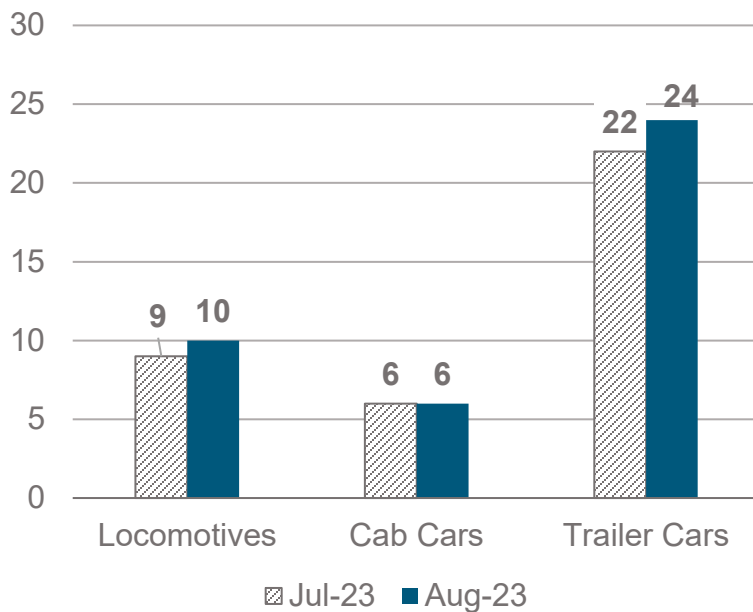
Mean Distance Between Failure (Locomotives)



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

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

Equipment in Maintenance/Repair



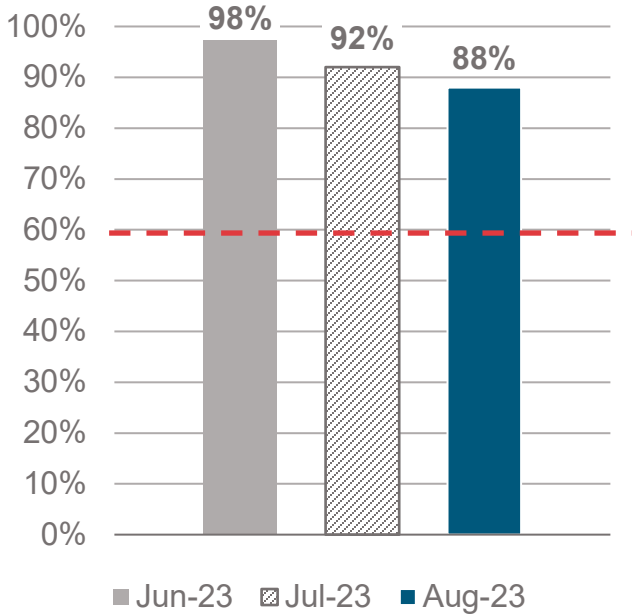
Equipment in Maintenance/Repair represents the number of locomotives and cars that are out of service on an average day each month due to routine and preventative maintenance or other repairs.





Maintenance Performance

Equipment Availability (Locomotives)

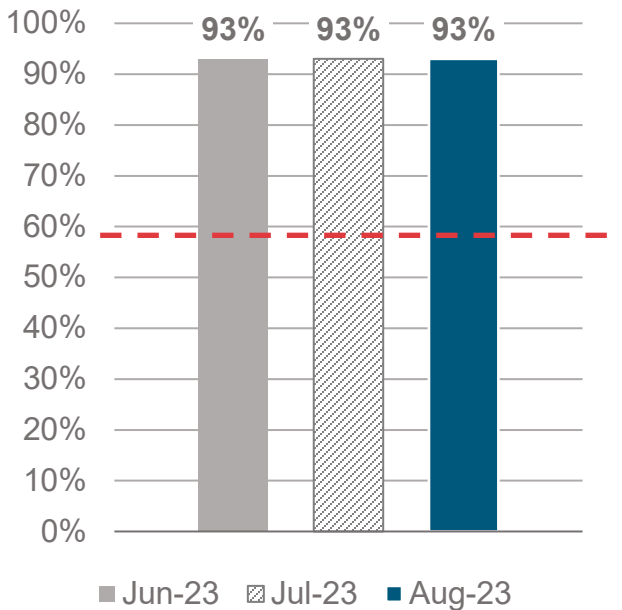


Equipment Availability is the number of cars or locomotives available for service on an average day each month as a percentage of the daily equipment required to run base service.

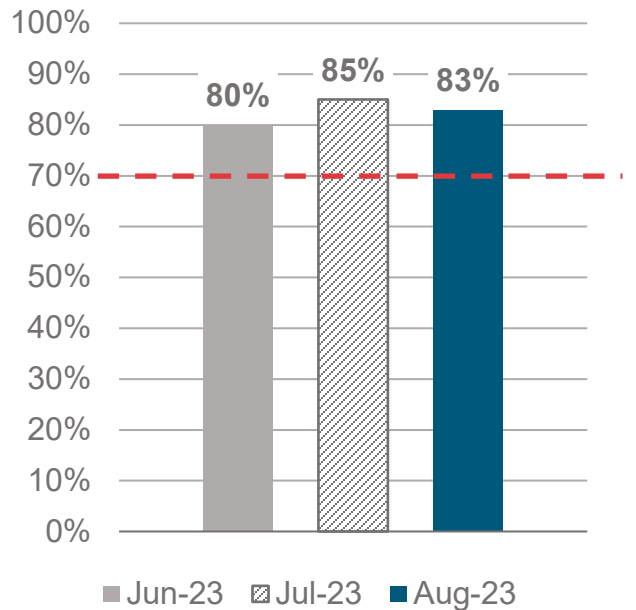
Caltrain currently owns 29 passenger locomotives, with 18 required daily; 36 cab cars, with 21 required daily; and 98 trailer cars, with 69 required daily.

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

Equipment Availability (Cab Cars)



Equipment Availability (Trailer Cars)



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





Service and Program Updates

Caltrain Successfully Completes Three Major Milestones Towards Completion of Electrification Project

Caltrain recently completed the installation of every pole for the Overhead Contact System (OCS), which provides power to the electric trains, upgraded the signal system that allow electric trains to operate along the Caltrain corridor, and successfully tested the new electric trains at maximum track speed of 79 mph. These three major milestones bring the Caltrain Electrification Project closer to passenger service in fall 2024.

The 25KV OCS system will be the first of its kind on the west coast and, alongside the new state-of-the-art-electric trains, will help Caltrain lead the way for the future of sustainable transit in the nation.

Caltrain Operating New Weekday Schedule

On September 25, Caltrain began operating a new weekday schedule that will align better with the new BART schedule at Millbrae, provide faster local trains in the evening, increase Gilroy service, and temporarily adjust service to/from Tamien Station to accommodate midday work on the Guadalupe Bridge Rehabilitation Project.

This new weekday schedule is necessary to ensure Caltrain/BART transfers at Millbrae continue to run smoothly after the changes to BART's schedule effective September 11, 2023.





Communications and Marketing Update

Caltrain Communications and Marketing Campaigns for August 2023

- Press Release: "Caltrain, Balfour Beatty and PG&E Celebrate Major Milestone of Electrification Project with Energization of Second Traction Power Substation"
- Press Release: "Caltrain to Operate Weekend Schedule for Labor Day"
- Press Release: "Caltrain will "Be With You" to Beyonce's concert at Levi's Stadium"
- Press Release: "Caltrain Introduces New Fare Product Promotions"
- Press Release: "Caltrain Delivers Fans to Blackpink at Oracle"
- Press Release: "Caltrain to Pilot First-in-the-Nation Bi-Level Dual Electric and Battery Powered Train to Expand Zero-Emission Service"
- Press Release: "Caltrain to Hold Public Meeting on Fare Structure Changes"
- Press Release: "Caltrain Suspends Train Service Between San Francisco and Millbrae on Weekends to Expedite Electrification Project"
- New Fall Fare Promotions
- Weekend Service Change
- Clipper Mobile (ongoing)
- 20% Off Caltrain Monthly Pass (ongoing)
- Clipper Start (ongoing)

Digital Communications Report

In August, our messaging primarily centered on informing our customers about both weekend and weekday closures. Weekday closures were scheduled from August 7th through August 25th to accommodate Electrification work. Weekend shutdowns continued between San Francisco and Millbrae. This service adjustment affected various communication channels, including social media, our website, and mobile platforms. Despite these closures, we continued to provide additional service for special events in the Peninsula, such as the Blackpink and Beyonce concerts.

The Summer of Caltrain Campaign came to a close after hosting a series of events throughout the summer, which included both in-person and virtual gatherings. The campaign concluded with a Trivia Night event in San Francisco, hosted at Spark Social SF. The Summer of Caltrain received overwhelmingly positive feedback from our riders.

We announced the second public electric train event for September 23rd. Following this announcement, Caltrain secured funding to pilot the nation's first bi-level dual electric and battery-powered train, further expanding our Zero-Emission Service initiative.





Communications and Marketing Update

Caltrain introduced four new temporary fare products designed to offer riders more choices while making it easier to save money. These promotional fares were implemented on September 1st, providing our customers with greater flexibility in their travel options.

August Digital Marketing Highlights

- Summer of Caltrain Campaign Concluded
- Rep. Jimmy Panetta visited Caltrain to tour the new EMUs.
- Burlingame Paint Party
- Mr. Softee at San Jose Diridon
- Caltrain Social Media Giveaway
- Weekend Closures
- Beyonce at Levis Stadium – Extra Service
- Second Public Train Announcement
- Caltrain Reduced Weekday Service in effect all of August
- Caltrain Trivia Night x Spark Social SF
- Announced New Fare Promotions





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 - Construction/Implementation				
Project Costs (in thousands of dollars)				Estimated Completion
	Current Budget	Committed to Date	Expended + Accruals	
Totals	3,892	3,236	3,186	12/30/23
Percentages	100.00%	83.1%	81.9%	
Project Highlights – Recent and Upcoming Work				
The vendor Ventek received the retrofitted TVM doors from the metal shop. The upgrade has been scheduled to begin on September 13, 2023.				

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

Statuses: ● – Green ● – Yellow ● – Red





Capital Projects Update

Project: Guadalupe River Bridge Replacement

Project Description	Status Summary			
	Safety	Schedule	Budget	Funding
JPB will replace the MT-1 railroad bridge and extend and seismically retrofit the MT-2 railroad bridge over the Guadalupe River in the City of San Jose, Santa Clara County, California. The project is located just north of Willow Street and east of State Route (SR) 87 between the Tamien and San Jose Diridon stations.	●	●	●	●
Project Phase: 6 – Construction/Implementation				
Project Costs (in thousands of dollars)				Estimated Completion
	Current Budget	Committed to Date	Expended + Accruals	
Totals	63,699	22,240	19,422	02/16/25
Percentages	100.00%	34.9%	34.9%	
Project Highlights – Recent and Upcoming Work				
<p>Construction activities in the month of August 2023 included the driving of 2-foot diameter cast-in-steel-shell (CISS) pile foundations for pier 4; the successful construction of 2-foot diameter CISS piles, pile cap, and pier wall for pier 5; and the successful construction of two 7-foot diameter cast-in-drilled-hole (CIDH) piles for abutment 6.</p> <p>In September 2023, the JPB anticipates the completion of CISS piles and pile cap for pier 4, the construction of a pier cap for pier 5, the construction of a pile cap for pier 6, the setting of precast girders, and the construction of the structural deck for bridge MT2.</p> <p>Funding status light will remain yellow until FY25 funding appropriated by the Board in May 2024 is activated. Schedule status light is yellow from mutual agreement with Contractor to delay NTP seven days plus recent challenges with bridge demolition, drilling, and installation of temporary river diversion system.</p>				

Note: The Capital Projects information is current as of August 31, 2023, and is subject to change prior to the October 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 – Construction/Implementation				
Project Costs (in thousands of dollars)				Estimated Completion
	Current Budget	Committed to Date	Expended + Accruals	
Totals	32,775	12,492	9,122	9/30/24
Percentages	100.00%	42.8%	28.5%	
Project Highlights – Recent and Upcoming Work				
<p>Held weekly meetings with the contractor Nomad Digital. Negotiated with Stadler on the proposal for the installation of the Wi-Fi equipment in the EMU. The final design package for the EMU, Control Center and Segment 4 was received and forwarded to the team for view. Went to the Management Committee and received approval to rebaseline the budget and schedule.</p> <p>Approve the final design package and begin construction in Segment 4.</p>				

Note: The Capital Projects information is current as of August 31, 2023, and is subject to change prior to the October 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 – Construction/Implementation				
Project Costs (in thousands of dollars)				Estimated Completion
	Current Budget	Committed to Date	Expended + Accruals	
Totals	14,833	12,699	7,564	
Percentages	100%	85.6%	51.0%	10/30/24
Project Highlights – Recent and Upcoming Work				
<p>Unit 924 has run reliably after finding effective repair to engine harness. Repair of Auxiliary Generator has proven effective. Unit 925 is at Mare Island. Accident repairs are completed Traction motors and air compressor are installed. Unit 925 is schedule to ship at end of month. Unit 926 is 75% complete and progressing.</p> <p>Authorize 925 for shipment. Perform testing of unit 926.</p>				

Note: The Capital Projects information is current as of August 31, 2023, and is subject to change prior to the October 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 need 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 – Construction/Implementation

Project Costs (in thousands of dollars)				Estimated Completion
	Current Budget	Committed to Date	Expended + Accruals	
Totals	6,870	5,916	5,059	09/30/23
Percentages	100.00%	86.1%	73.6%	

Project Highlights – Recent and Upcoming Work

Towers opened for public use August 7, 2023. Construction Management team and Contractor Top Line Engineers conducting pre-substantial completion inspections at the both the East and West Towers. Project is approaching the substantial completion phase. Working to demobilize from east and west easement areas by end of September 2023.

Team proceeding with final inspections and acceptance for the month of October 2023. Continue to work with Construction Management team on necessary administrative work to close out contract and project.

Worker fell on his back during site inspection. Worker is ok and crews conducted safety briefings to identify lessons learned and mitigate.

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

Statuses: ● – Green ● – Yellow ● – Red





Capital Projects Update

Project: Watkins Ave Grade Crossing Safety Improvements

Project Description	Status Summary			
	Safety	Schedule	Budget	Funding
<p>The scope intended for this Project would include safety improvements at Watkins Ave include the following:</p> <ol style="list-style-type: none"> 1. Installation of quad or exit gates 2. Installation of new pedestrian gates 3. Pavement markers and markings 4. Sidewalk improvements including guard railing and fencing 5. Installation of new sidewalk lighting 6. Contribute to the Atherton station site improvements done by the Town of Atherton. 	●	●	●	●
Project Phase: 6 – Construction/Implementation				
Project Costs (in thousands of dollars)				Estimated Completion
	Current Budget	Committed to Date	Expended + Accruals	
Totals	4,161	2,490	1,841	01/31/2024
Percentages	100.00%	59.8%	44.2%	
Project Highlights – Recent and Upcoming Work				
<p>Held weekly construction meeting with the Contractor Granite Rock. The contractor completed the trenching and installing conduits across the road on Watkins for the new light poles. TASI installed the new exit gates and pedestrian gates.</p> <p>Finish construction and obtain substantial completion.</p>				

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

Statuses: ● – Green ● – Yellow ● – Red



Acknowledgements

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

Caltrain Planning

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

Communications Division

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

Finance Administration

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

Rail Administration / Rail Operations & Maintenance

John Hogan, 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
Vivek Nawani, Intern

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 September 7, 2023

Members Present: P. Burt, C. Chavez (arrived at 9:16 am), S. Heminger, R. E. Medina, R. Mueller (arrived at 9:10 am), S. Walton, M. Zmuda (arrived at 9:10 am), D. Davis (Vice Chair), J. Gee (Chair)

Members Absent: None

Staff Present: T. Bartholomew, M. Bouchard, D. Chazan, C. Fromson, J. Harrison, M. Louie, K. McCoy (Balfour Beatty), D. Ryan, D. Seamans, B. Shaw, P. Shrestha, B. Thompson, M. Tseng

- 1. Call to Order/ Pledge of Allegiance** - Chair Jeff Gee called the meeting to order at 9:00 am and Director Heminger led the pledge of allegiance.
- 2. Roll Call** - District Secretary Dora Seamans called the roll and confirmed a Board quorum was present.
- 3. Consideration of requests, if any, of Directors to participate remotely due to Emergency Circumstances.** - There were no requests made.
- 4. Closed Session: Conference with Legal Counsel – Pending Litigation (Gov. Code § 54956.9(d)(1)) [Abel Cuevas v. Peninsula Corridor Joint Powers Board, Santa Clara County Superior Court, Case No.: 21CV385375].**

The Board went into closed session at 9:01 am and reconvened into regular session at 9:32 am

- 5. General Counsel Report** – James Harrison, General Counsel, stated there were no reportable actions.
- 6. Public Comments for Items Not on the Agenda**
Jeff Carter commented on a big rig stuck on tracks resulting in trains being annulled, trains were annulled again days later, and hoped to avoid potential delays as much as possible.
- 7. Report of the Executive Director** - Executive Director Michelle Bouchard's report included the following:
 - September is both Rail Safety and Suicide Prevention month and Transit Month
 - Hosting an electric train event in San Francisco on September 23rd
 - Socialize an electric train schedule to operate commencing with revenue service; held a series of public meetings, that included all committees, to outline terms of initial service
 - Commencing service of the fourth train to Gilroy on September 25th
 - Aligning the schedule Bay Area Rapid Transit District (BART) trains at Millbrae station

- Temporary weekend shutdowns for the rest of the year for the electrification program
- New fare promotions: 3-Day Pass geared toward the 3-day per week worker, Family Day Pass, and a Group Day Pass; one dollar one-way Youth fare to build future markets; all can be purchased on the mobile app or ticket vending machines beginning September 1st and 50 percent parking fee discount at all stations promotion to help promote ridership
- Working closely with Metropolitan Transportation Commission (MTC) on the BayPass (regional institutional pass) to grow ridership and outlined of second phase of the pilot
- Received \$80 million from the State of California to pilot BEMU (battery electric multiple unit) to replace the diesel fleet and become zero emissions

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

- Concerned with low ridership with current service profile of over a hundred trains a day
- Strategic Financial Plan shows balanced budget at 104 trains for next two years; need more time and train service data to better understand ridership
- Regional work on the possibility of securing a regional measure in FY (fiscal year) 2026
- Use the charts from the reports for feedback and future performance; report total numbers for ridership changes and quantify costs associated with weekend shutdowns

Casey Fromson, Chief Communications Officer, reported the following:

- Overall service change on September 25th adjusting service to meet up with systems such as BART as well as adjusting South County service in Santa Clara County
- Feedback from over 1,500 residents on where train slots should be located for the September 25th event in Gilroy; variety of promotions included digital, geo targeting, and working with the cities to help spread through their networks

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

- Fourth train added to help increase ridership
- Need more State and Federal Government funding for regional transportation operations

Public comments

Jeff Carter supported State and Federal funding, talked about taking a special train to San Jose that was a little crowded, and hoping for a successful event in San Francisco.

Director Burt expressed concerns with the on-time performance at 87 percent and late trains more than doubled. Ms. Bouchard indicated she would follow up.

8. Consent Calendar

8.a. Meeting Minutes of August 3, 2023

- 8.b. Renew Findings of an Emergency Regarding the North Channel Embankment of the San Francisquito Creek Bridge Due to Erosion Pursuant to Public Contract Code §22050*
- 8.c. Accept Statement of Revenues and Expenses for the Period Ending July 31, 2023
- 8.d. Authorize Rejection of Proposal for On-Call Soil and Hazardous Waste Environmental Compliance Planning and Support Services and Re-Solicit of RFP (Request for Proposal)*
- 8.e. Amendment 1 to Contract with Bell Burnett & Associates to Provide Additional Scope and Capacity for Financial Strategy Planning Consulting Services*
- 8.f. Amend and Increase the Fiscal Year 2024 Caltrain Capital Budget by \$5,292,413 from \$510,153,014 to \$515,445,427 and Delegate Authority to Amend Capital Budget Under Specified Circumstances
- 8.g. Adopt Declaration of Official Intent to Reimburse Prior Expenditures

Director Chavez commented wanting contracts to be embedded in any documents requiring a vote. James Harrison, General Counsel, confirmed the policy to include contracts to the extent the negotiations have concluded or drafts of contracts when negotiations are still underway in the reading file. In addition, contracts not included will be noted.

Motion/Second: Heminger/Walton

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

Noes: None

Absent: None

9. Adoption of the Fiscal Year 2024-2028 Caltrain Fare Structure and Approval of Associated Title VI Equity Analysis

Bruce Thompson, Manager of Fare Program Operations, provided the presentation which includes the following:

- Base fare will increase in FY28 but will not impact eligible discounts. Recommended fare structure changes to be instituted incrementally with lower prices and hope for increased ridership
- Focused on whether changes will have a disparate impact and disproportional impact - impact is very small over the three years of the recommended changes
- 39 participants, including many are large companies, currently use GO Pass versus the 135 participants in 2019, which was a significant drop

Chair Gee noted this item was also presented at the last Finance Committee meeting and he asked Director Zmuda to report out. Director Zmuda noted the following:

- There was a public hearing and the majority was in favor of the recommended changes
- Board members and Finance Committee members will continue to work with MTC on the Clipper Start program to help ensure transit agencies have an understandable fare structure

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

- Interest in data on how Go Pass purchases drive ridership. Concerns with revenue being down 50 percent and hesitance to subsidize with discounts but cities may help providers subsidize passes for housing providers
- Possible one-time deal to buy a Go Pass for the electrified service coming soon
- Concerns with BayPass surpassing or possibly consolidating with Go Pass
- Regionally \$1 million was set aside for BayPass administrative costs and a portion of riders are Clipper card users and more robust ridership data can be collected through Clipper
- Communities and housing programs would be interested in amplifying the Go Pass discount for affordable housing and lower-income levels

Public Comments

Jeff Carter expressed concern with distance base fares and opined that they should be considered to help generate short-distanced ridership. He recommended keeping the monthly pass discounted at \$24 and looking into a weekly seven-day pass.

Adrian Brandt supported broadening availability and pricing and suggested reaching out to the student populations, affordable housing developers, and cities.

Adina Levin, Friends of Caltrain and Seamless Bay Area, supported the proposal on Go Pass, proof of fares, and experimentation in data to regrow transit ridership, as well as the additional markets for more entertainment uses once electrification is completed, and commented on more opportunities when electrification is done.

Motion/Second: Davis/ Medina

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

Noes: None

Absent: None

10. State and Federal Legislative Update and Approval of Legislative Proposal: Support SB 410 (Becker)

Casey Fromson, Chief Communication Officer provided the presentation, which included the following:

- SB 410 was introduced by Senator Becker to hold utilities accountable for timelines for energization and prepare the grid to be decarbonized for a more electrified system; passed through the Senate and moving through the Assembly
- The bill lowered the threshold for local sales tax in the State level and needs only 55 percent of the vote

Director Chavez inquired whether the bill applies to mostly special districts. Devon Ryan, Government Affairs Officer, stated that it is very broad and there may be local entities that will benefit, and staff will review. Director Chavez requested updates as the bill continues to move forward. Ms. Ryan later followed up in response to Director Chavez's inquiry about

whether the bill applies to mostly special districts and clarified that it applies to County, City, or a special district and towards capital.

Public Comments

Adina Levin commented on working with other transit agencies and MTC on the regional measure and encouraged having robust support for operating funding in order to maintain and improve the level of service which is needed to regrow transit ridership.

Motion/ Second Chavez/Davis to include follow up with bill's author on CCAs (Community Choice Aggregation)

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

Noes: None

Absent: None

11. Hispanic Heritage Month

Tasha Bartholomew, Media Relations Manager spoke in recognition of Hispanic Heritage month and noted that 17 percent of riders are Hispanic.

Motion/Second: Medina/Chavez

Ayes: Burt, Chavez, Heminger, Medina, Muller, Walton, Zmuda, Davis, Gee

Noes: None

Absent: None

12. Proclamation Declaring September Railroad Safety and Suicide Prevention Month

Tasha Bartholomew, Media Relations Manager, provided the report which included the following:

- Promotion of safety and prevention through enhanced safety measures and increased the foul zone from four to ten feet
- 70 percent of deaths from suicide that occurred on the corridor
- Rail safety blitz with the partnership of Lifesaver and staff lunch and learn webinars

Director Gee inquired on resources for those in need. Ms. Bartholomew noted the 1-877-SAF RAIL phone number leads to Transit Police and signs posted with 1-800 number may change to 988 to make it a lot easier for people to seek help.

Public Comments:

Jeff Carter appreciated the work towards suicide prevention.

Adrian Brandt spoke in support of changing the number to 988 and encouraged to switching the number throughout corridor.

Motion/Second: Chavez/Medina

Ayes: Burt, Chavez, Heminger, Medina, Muller, Walton, Zmuda, Davis, Gee

Noes: None

Absent: None

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

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

- Low bank testing and major milestones planned to be reached by the end of this month
- Impedance bond cable theft is a major risk and testing cannot be conducted without them in place
- Testing with 5 miles per hour (mph) and increasing slowly to 79 mph to limit damage
- Train tests will run after getting segment three, four, and CEMOF (Central Equipment & Maintenance Facility) approved; tests to be conducted late nights and weekends to mitigate operations and maintenance interruptions

Casey Fromson, Chief Communication Officer, continued the presentation which included the following:

- Phase 9, Millbrae to Menlo Park, was the largest phase completed to date
- Have an event booth at the September 23rd electric train tour in San Francisco; another event will be planned in San Mateo; the event in San Jose had over 4,000 attendees

Pranaya Shrestha continued the presentation which including the following:

- Increase to contract authority which is already budgeted at November Board meeting

Keith McCoy, Project Director for Balfour Beatty Infrastructure, Incorporated, provided a presentation which included the following:

- Rebounded from the month of July to get back on track
- TPS (Traction Power Substation) load bank scheduled September 14 and 15
- Punch list execution is at 67 percent; plan to have overhead catenary system (OCS) production above 100 percent; feeders and static wires will be done in two weeks; three more weeks of pulling wire and 10,000 feet planned in October at Guadalupe Bridge

Chair Gee emphasized the importance of public safety while live testing.

Public Comments

Adrian Brandt commented on dual speed check having high false activation and should be checked. He also expressed concerns with theft of impedance bonds cables.

Doug DeLong expressed concerns with other facilities not connected to the 25 kilovolt (kV) system, the seven paralleling station, and the Redwood City switching station and when those facilities are going to be brought online and integrated into the power system.

Director Heminger commented on briefly assessing the state of readiness to operate these trains since construction is nearly finished. Ms. Bouchard noted that Mr. Hogan is spearheading transition to operations and Mr. Hogan acknowledged the state of readiness, having the operators recruited, risks with the transition period and shuffling the trains, and adhering to

steady train maintenance (which requires more attention than the diesel to keep them running).

Director Walton left the meeting at 11:22 am

14. San Francisco Downtown Rail Extension (DTX): Relation to Other San Francisco Rail Projects

Daila Chazan, Deputy Chief of Planning, provided the presentation which included the following:

- Real Estate issues related to the Fourth and King rail yards (4KY) which belongs to Prologis
- San Francisco Project and DTX project are spatially related; DTX would extend from Fourth and Townsend into Salesforce Transit Center on the same train box as Link21
- Link21 program considering a tunnel across the bay to connect to the east end of the train box, which would connect to the Caltrain or BART tracks
- The PAX (Pennsylvania extension) Project is about grade separating Mission Bay and Sixteenth Street; PAX is a tunnel through Pennsylvania Avenue and the existing Pennsylvania alignment connected to the rail yard
- California High Speed Rail is environmentally cleared to San Francisco; it needs a few modifications and needs to use rail yard prior to the DTX Project
- Significant work needs to be done to connect to the underground station and Salesforce Transit Center; PAX and 4KY would require a lay down area in the same vicinity

Director Gee noted deferring Item 15 to the next meeting to allow for more time for the presentation and Board discussion.

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

- Concerns with what ridership assumptions were used as a basis for capital projects
- Defining which projects are essentially part of one project
- Follow up presentation on Link21 to get a clear understanding of the project
- Pipe installed from Fourth and King to San Jose has three conduits; one active for existing safety systems and communication systems, which is railroad based; one with fiber; and one that is empty and looking for an inhabitant

Public comments

Jeff Carter was pleased that operations will not be impacted by projects and supported keeping the 22nd Street station where it is.

Adrian Brandt commented that moving San Francisco to underneath Townsend would increase the distance between Muni Metro and Caltrain and think about maintaining smooth transfers as much as possible.

Director Mueller left the meeting at 12:07 pm

Director Gee noted again the deferment of Item 15 to the next meeting to allow for more time for the presentation and Board discussion.

15. Diridon Station Business Case Update – deferred to next Board meeting

16. Reports

16.a Reports of Citizen Advisory Committee (CAC) - Brian Shaw, Chair, provided the following updates on CAC discussions:

- Long downed gate times since crossing circuits were installed at Whipple Avenue
- Trespasser strike in tunnel 4 and passengers stuck on train for four hours
- Millbrae station signs need to be replaced with correct weekend shutdown information
- A CAC member spoke on experience riding train 505 from San Jose being overcrowded and suggested air conditioning be a part of emergency maintenance
- San Mateo visual signs malfunctioning, weekend shutdown signs need to be replaced
- Report on Fall 2023 schedule change
- Asked about Union Pacific service and long term plans involving electrification
- New schedule to Gilroy has no trains in the middle of the day, possibly limiting ridership
- Burlingame Broadway grade separation project should be furnished with standard and shaded shelters; plan for use of station and lighting on platforms
- Report on whistle mics included how cross activation is used to track trains through crossings and need more information about interim solution on activation

16.b. Report of the Chair - Chair Gee announced the San Francisco event on September 23, 2023 and Gilroy event on September 25, 2023 at 7:00 am.

16.c. Report of the Local Policy Maker Group (LPMG) - Director Burt reported on a corridor-wide grade separation strategies presentation, that included a series of design scenarios, context, funding sources, and how there was a lot of engagement with alternatives.

16.d. Report of the Transbay Joint Powers Authority (TJPA) -Chair Gee reported on the acquisition moving forward for new alignment at the Salesforce Transit Center (STC) and noted that both Boards approved the interim agreement between Caltrain and Transbay Joint Powers Authority.

17. Correspondence – Available online

18. Board Member Requests - There were none.

19. Date/Time of Next Regular Meeting: Thursday, October 5, 2023, at 9:00 am.

20. Adjourn - Meeting adjourned at 12:14 pm.

**Peninsula Corridor Joint Powers Board
Staff Report**

To: Finance Committee Name
Through: Michelle Bouchard, Executive Director
From: Robert Barnard, Deputy Chief, Caltrain Design and Construction
Subject: **Renew Findings of an Emergency Regarding the North Channel Embankment of the San Francisquito Creek Bridge Due to Erosion Pursuant to Public Contract Code §22050**

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

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

1. Renew findings previously adopted by the Board pursuant to California Public Contract Code section 22050(c)(2) (Resolution No. 2023-19) on March 29, 2023, and renewed at its subsequent meetings on May 4, 2023 (Resolution 2023-23), June 1, 2023 (Resolution 2023-38), August 3, 2023 (Resolution 2023-46), and September 7, 2023 (Resolution 2023-56) 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; 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; and
2. Continue to authorize emergency repairs of the north channel embankment of the San Francisquito Creek Bridge;
3. Delegate authority to approve all plans and/or designs with regard to the emergency repairs to the Executive Director, or designee; and
4. Authorize the Executive Director, or designee, to take all other actions required to respond to said emergency.

Discussion

Background: The JPB owns and maintains the San Francisquito Creek Bridge, which is located in Menlo Park and Palo Alto between Control Points Alma (MP 29.98) and Mayfield (MP 33.50). In early January 2023, after a week of heavy rain, Caltrain Engineering staff inspected the Bridge and discovered that storms had eroded the soil on the creek bank supporting the northern abutment of the Bridge. Further investigation showed that additional erosion resulting from future storms could undermine the abutment, bridge, and tracks.

Conditions Warranting an Emergency Declaration: The time required to obtain competitive bids would unduly delay the JPB's ability to make emergency repairs to these essential facilities, and given the erosion, the need for emergency actions cannot be delayed. The schedule for (1) preparing a design, (2) issuing an invitation for bids, (3) receiving proposals, (4) evaluating proposals, (5) awarding and executing a contract, and (6) mobilizing a contractor does not allow for construction to occur during the creek window ending October 15, 2023. The JPB must therefore continue to act as expeditiously as possible to repair necessary facilities to prevent or mitigate loss or damage to life, health, property, or essential public services.

Legal Basis for Emergency Declaration: 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." The Board made these findings at its March 29, 2023, meeting (Resolution 2023-19) and renewed these findings at its subsequent meetings on May 4, 2023 (Resolution 2023-23), June 1, 2023 (Resolution 2023-38), August 3, 2023 (Resolution 2023-46), and September 7, 2023 (Resolution 2023-56). Section 22050(c) requires the Board to review the emergency action at its next regularly scheduled meeting and at every subsequent regularly scheduled meeting until the action is terminated to determine that there is a need to continue the action by a four-fifths vote.

Actions Taken

To date, JPB staff has:

1. Increased frequency of visual inspections of the Bridge and conducted immediate inspections during and/or after storms.
2. Retained on-call bench consultants (WSP, AECOM, Jacobs, and TRC), to assist the JPB in obtaining the required environmental permits, designing the bank stabilization, estimating the cost of the proposed work, and providing construction management services, respectively.
3. Engaged the U.S. Army Corps of Engineers, the Regional Water Quality Control Board, and the California Department of Fish and Wildlife and submitted all necessary applications for regulatory permits and approvals.
4. Met regularly with the City of Menlo Park, the City of Palo Alto, the San Francisquito Creek Joint Powers Authority, and Stanford University to coordinate the scope of the project and jointly review iterative design updates.
5. Jointly developed 15%, 35%, 65%, and 100% designs for the bank stabilization with input from the City of Menlo Park, City of Palo Alto, and regulatory agencies.
6. Jointly prepared and executed a trilateral project agreement by and between the JPB, the City of Menlo Park, and the City of Palo Alto to memorialize cost sharing arrangements and other responsibilities.

7. Obtained iterative and independent cost estimates from consultants and Walsh Construction to establish clear cost expectations and determine a fair and reasonable not-to-exceed construction budget.
8. Updated the overall project cost to \$6.5 million based on recent construction cost estimates and actual costs incurred for design, permitting, and other professional services.
9. Updated the overall project funding plan to align with recent discussions between JPB staff, the City of Menlo Park, and City of Palo Alto regarding cost sharing proportions for the joint project.
10. Identified the necessary funding sources from other project underruns and contingency for the JPB share of costs and obtained approval from Caltrain's Management Committee to apply those funds.
11. Awarded a construction contract to Walsh Construction to implement the bank stabilization because Walsh has a crew onsite that specializes in emergency work and because of Walsh's experience on JPB in-water construction projects, such as the Guadalupe River Bridge Replacement Project.
12. Obtained timely construction permits from the City of Menlo Park, City of Palo Alto, Regional Water Quality Control Board, and California Department of Fish and Wildlife.

Current Status

As of the date of this staff report:

1. An executed trilateral project agreement is in place between the JPB, the City of Menlo Park, and the City of Palo Alto.
2. JPB has 100% final construction drawings and specifications for the permanent bank stabilization design, which has been reviewed by all relevant stakeholders.
3. JPB has a construction contractor, Walsh Construction, under contract to implement the bank stabilization. The contract is based on a time-and-materials approach to compensation and therefore allows flexibility to adapt to changes in scope and schedule.
4. Walsh Construction stands ready to begin construction immediately upon receipt of all necessary permits.
5. JPB staff has obtained the following permits:
 - a. California Department of Fish and Wildlife Streambed Alteration Agreement
 - b. Regional Water Quality Control Board Section 401 Water Quality Certification Permit¹
 - c. City of Palo Alto Encroachment Permit
 - d. City of Menlo Park Encroachment Permit
 - e. City of Palo Alto Noise Exception Permit
 - f. City of Menlo Park Heritage Tree Permit

JPB staff submitted a timely application for a Section 404 permit to the U.S. Army Corps of Engineers. As part of their ongoing review, the U.S. Army Corps of Engineers has

¹ Pending final signatures.

determined it is necessary to seek the review of relevant historic preservation issues and approval from the State Historic Preservation Officer prior to issuing the permit. Due to the time needed for this process to be completed, it appears to be unlikely that JPB staff will receive the essential Section 404 permit in time to construct the project during the 2023 dry season ending October 15, 2023.

6. JPB staff remains concerned about the eroding condition of the San Francisquito Creek bank and the future stability of the Caltrain rail bridge.

Ongoing and Future Activities

In the months ahead:

1. JPB staff will continue to coordinate closely with the U.S. Army Corps of Engineers to facilitate the issuance of the Section 404 permit for construction of the permanent bank stabilization during the 2024 dry season.
2. JPB staff will continue to monitor conditions around the foundations of the Caltrain rail bridge. If conditions require, JPB staff will implement a temporary bank stabilization system.
3. JPB staff will report regularly to the Board regarding the status of the project.

Budget Impact

The San Francisquito Creek Emergency Bank Stabilization Project has an approved budget of \$5,300,001 funded by Capital Contingency Funds, the San Francisco County Transportation Authority (SFCTA), and the Cities of Palo Alto and Menlo Park. Since budget adoption, cost projections have increased resulting in a higher project budget of \$6,471,067, an increment of \$1,171,066 that will be funded by project savings from recently completed projects, Capital Contingency Funds, and a transfer of budget from the San Francisquito Creek Bridge Acoustic Monitoring System Project funded by San Mateo County Transportation Authority (SMCTA).

Funding Source	Existing Project Budget	New Project Budget
Capital Contingency Fund	1,305,352	1,626,502
San Francisco County Transportation Authority (SFCTA)	461,316	461,316
City of Palo Alto and Menlo Park	3,533,333	1,671,424
San Mateo County Transportation Authority (SMCTA)	-	2,028,704
Project Savings	-	683,121
Total	5,300,001	6,471,067

Prepared By:	Robert Barnard	Deputy Chief, Design and Construction	650.508.7783
	Mike Boomsma	Project Manager	808.208.2355

(00495675)

Resolution No. 2023-

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

* * *

**Renewing Findings of an Emergency Regarding the North Channel
Embankment of the San Francisquito Creek Bridge Due to Erosion Pursuant to
Public Contract Code §22050**

Whereas, the Board of Directors (Board) of the Peninsula Corridor Joint Powers Board (JPB) previously authorized repair pursuant to California Public Contract Code section 22050 by a four-fifths vote of the Board on March 29, 2023 (Resolution 2023-19), making findings that: there was an emergency to repair the north channel embankment of the San Francisquito Creek Bridge due to erosion that threatens the integrity of the structure supporting the JPB's tracks; 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; and

Whereas, Resolution 2023-19 also authorized emergency repairs of the north channel embankment of the San Francisquito Creek Bridge without adopting plans and specifications or giving notice to potential bidders; 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 section 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, Resolution 2023-19 delegated to the Executive Director, or designee the authority: to approve all plans and/or designs; 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 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; and

Whereas, pursuant to Public Contract Code section 22050(c), the Board must review the emergency action at its next regularly scheduled meeting and affirm by the passage of a four-fifths vote that at every subsequent regularly scheduled meeting until the action is terminated to determine that there is a need to continue the action; and

Whereas, the Board most recently renewed its findings via Resolution 2023-56 at its September 7, 2023, Board meeting; and

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, 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, there is a continued and ongoing emergency to repair the north channel embankment of the San Francisquito Creek Bridge due to erosion that threatens the integrity of the structure supporting the JPB's tracks; and

Whereas, action is necessary to respond to this continued and ongoing emergency to prevent or mitigate loss or damage to life, health, property or essential public services; and

Whereas, the time required to obtain competitive bids will unduly delay the JPB's ability to make emergency repairs to these essential facilities, and substantial evidence supports the conclusions that the need for emergency actions cannot be delayed, and that the JPB has and must continue to act as expeditiously as possible to repair necessary facilities; 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

Whereas, iterative comparison of independent cost estimates from consultants and Walsh Construction has provided clear cost expectations to assure fair and reasonable pricing.

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

1. Renews findings from September 7, 2023, 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 that threatens the integrity of the structure supporting the JPB's tracks; and

2. Renews findings, based on the substantial evidence presented by staff, that the emergency does not permit a delay resulting from a formal solicitation for bids because the time required to obtain competitive bids would unduly delay the JPB's ability to make emergency repairs to these essential facilities, that action is necessary to respond to the ongoing emergency to prevent or mitigate loss or damage to life, health, property or essential public services, that the need for emergency actions cannot be delayed, and that the JPB has and must continue to act as expeditiously as possible to repair necessary facilities; and
3. Continues to authorize emergency repairs of the north channel embankment at the San Francisquito Creek Bridge without adopting plans and specifications or giving notice to potential bidders; and
4. Continues to delegate to the Executive Director, or designee, the authority: to approve all plans and/or designs; to execute a contract with Walsh Construction, 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 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.

Be It Further Resolved that the Board of Directors has reviewed the emergency action taken on March 29, 2023, on May 4, 2023, on June 1, 2023, on August 3, 2023, and on September 7, 2023, to remediate emergency conditions at the embankment of the San Francisquito Bridge, and will continue to conduct such a review at every subsequent regularly scheduled meeting until the action is terminated to determine that there is a need to continue the action by a four-fifths vote pursuant to Public Contract Code section 22050(c).

Regularly passed and adopted this 5th day of October, 2023 by the following vote:

Ayes:

Noes:

Absent:

Chair, Peninsula Corridor Joint Powers Board

Attest:

JPB Secretary
(00495673)

**Peninsula Corridor Joint Powers Board
Staff Report**

To: Joint Powers Board
Through: Michelle Bouchard, Executive Director
From: Kate Jordan Steiner, Chief Financial Officer
Subject: **Accept Unaudited Statement of Revenues and Expenses for the Period Ending June 30, 2023**

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

Purpose and Recommended 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 June 30, 2023.

This staff report provides a brief discussion of significant items and trends on the attached Statement of Revenues and Expenses through June 30, 2023. 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.

Discussion

Year-to-Date Revenues: As of June year-to-date actual, the Grand Total Revenue (page 1, line 16) is \$8 million higher than the adopted budget. This is primarily driven by the increases in Other Income (page 1, line 5) and Measure RR proceeds (page 1, line 12) which were partially offset by Caltrain Fares (page 1, line 1).

Year-to-Date Expenses: As of June year-to-date actual, the Grand Total Expense (page 2, line 50) is \$3.0 million lower than the adopted budget. This is primarily due to decreases in Security Services (page 2, line 22), Fuel and Lubricants (page 2, line 24), Insurance (page 2, line 26), Wages and Benefits (page 2, line 35), Professional Services (page 2, line 38), and Other Office Expenses and Services (page 2, line 40). The decreases are partially offset by an increase in Claims, Payments, and Reserves (page 2, line 27), Managing Agency Admin OH Cost (page 2, line 36) and Debt Service Expense (page 2, line 48).

Budget Impact

There are no budget impacts for June 2023.

Prepared By:	Thwe Han	Financial Reporting Accountant	650.508.7912
	Danny Susantin	Grants and Capital Accounting, Manager	650.622.8073

PENINSULA CORRIDOR JOINT POWERS BOARD								
STATEMENT OF REVENUE AND EXPENSE								
Fiscal Year 2023								
JUNE 2023								
PRELIMINARY								
				% OF YEAR ELAPSED		100.0%		
JULY TO JUNE				ANNUAL				
	CURRENT	ADOPTED	\$	%	APPROVED	\$		
	ACTUAL	BUDGET	VARIANCE	VARIANCE	BUDGET	FORECAST	VARIANCE	
REVENUE								
OPERATIONS:								
1 Caltrain Fares	26,573,014	30,151,000	(3,577,986)	(11.9%)	30,151,000	27,000,000	(3,151,000)	1
2 Go Pass	16,728,021	16,260,000	468,021	2.9%	16,260,000	17,000,000	740,000	2
3 Parking Revenue	1,978,109	1,896,000	82,109	4.3%	1,896,000	1,797,505	(98,495)	3
4 Rental Income	1,292,381	935,357	357,024	38.2%	935,357	1,235,357	300,000	4
5 Other Income	4,840,378	1,744,319	3,096,059	177.5%	1,744,319	4,044,319	2,300,000	5
6							-	6
7 TOTAL OPERATING REVENUE	51,411,904	50,986,676	425,228	0.8%	50,986,676	51,077,181	90,505	7
8								8
CONTRIBUTIONS:								
9								9
10 AB434 Peninsula & TA Shuttle Funding	40,000	40,000	-	0.0%	40,000	40,000	-	10
11 Operating Grants	11,604,296	11,288,161	316,135	2.8%	11,288,161	11,288,161	-	11
12 Measure RR	121,645,143	114,300,000	7,345,143	6.4%	114,300,000	119,292,000	4,992,000	12
13								13
14 TOTAL CONTRIBUTED REVENUE	133,289,439	125,628,161	7,661,278	6.1%	125,628,161	130,620,161	4,992,000	14
15								15
16 GRAND TOTAL REVENUE	184,701,342	176,614,837	8,086,505	4.6%	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									
JUNE 2023									
PRELIMINARY									
				% OF YEAR ELAPSED		100.0%			
JULY TO JUNE				ANNUAL					
	CURRENT	ADOPTED	\$	%	APPROVED		\$		
	ACTUAL	BUDGET	VARIANCE	VARIANCE	BUDGET	FORECAST	VARIANCE		
18	EXPENSE							18	
19								19	
20	DIRECT EXPENSE:							20	
21	Rail Operator Service	98,138,865	98,257,758	(118,893)	(0.1%)	98,257,758	98,257,758	-	21
22	Security Services	7,197,832	7,935,381	(737,549)	(9.3%)	7,935,381	8,028,807	93,426	22
23	Shuttle Services	113,734	121,600	(7,866)	(6.5%)	121,600	121,600	-	23
24	Fuel and Lubricants*	15,994,650	17,539,232	(1,544,582)	(8.8%)	17,539,232	17,539,232	-	24
25	Timetables and Tickets	20,092	135,350	(115,258)	(85.2%)	135,350	135,350	-	25
26	Insurance	8,376,067	9,299,730	(923,663)	(9.9%)	9,299,730	9,299,730	-	26
27	Claims, Payments, and Reserves	3,479,531	1,320,000	2,159,531	163.6%	1,320,000	1,336,926	16,926	27
28	Facilities and Equipment Maintenance	7,203,463	7,258,788	(55,325)	(0.8%)	7,258,788	7,107,788	(151,000)	28
29	Utilities	2,744,323	2,617,600	126,723	4.8%	2,617,600	2,617,600	-	29
30	Maint & Services-Bldg & Other	1,478,376	1,754,100	(275,724)	(15.7%)	1,754,100	1,754,100	-	30
31								31	
32	TOTAL DIRECT EXPENSE	144,746,933	146,239,539	(1,492,606)	(1.0%)	146,239,539	146,198,891	(40,648)	32
33								33	
34	ADMINISTRATIVE EXPENSE							34	
35	Wages and Benefits	12,778,636	13,809,330	(1,030,694)	(7.5%)	13,809,330	13,532,312	(277,018)	35
36	Managing Agency Admin OH Cost	4,591,229	3,565,453	1,025,776	28.8%	3,565,453	3,565,453	-	36
37	Board of Directors	16,941	57,275	(40,334)	(70.4%)	57,275	57,275	-	37
38	Professional Services	7,884,985	9,422,755	(1,537,770)	(16.3%)	9,422,755	9,305,755	(117,000)	38
39	Communications and Marketing	239,850	403,730	(163,880)	(40.6%)	403,730	403,730	-	39
40	Other Office Expenses and Services	2,252,616	2,762,496	(509,880)	(18.5%)	2,762,496	2,956,896	194,400	40
41								41	
42	TOTAL ADMINISTRATIVE EXPENSE	27,764,257	30,021,039	(2,256,782)	(7.5%)	30,021,039	29,821,421	(199,618)	42
43								43	
44	TOTAL OPERATING EXPENSE	172,511,190	176,260,578	(3,749,388)	(2.1%)	176,260,578	176,020,312	(240,266)	44
45								45	
46	Governance	196,057	350,000	(153,943)	(44.0%)	350,000	350,000	-	46
47								47	
48	Debt Service Expense	3,488,986	2,581,752	907,234	35.1%	2,581,752	3,711,375	1,129,623	48
49								49	
50	GRAND TOTAL EXPENSE	176,196,233	179,192,330	(2,996,097)	(1.7%)	179,192,330	180,081,687	889,357	50
51								51	
52	NET SURPLUS / (DEFICIT)	8,505,110	(2,577,493)	11,082,603	(430.0%)	(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)	8,505,110				-	1,615,655		55
56								56	
57	Reserve, Beginning Balance	16,115,624				16,115,624			57
58	FY23 Set aside	8,505,110				10,763,226			58
59	Draw from prior year surplus	2,258,116				-			59
60	Reserve, Ending Balance	26,878,850				26,878,850			60
61	* Fuel and Lubricants costs were decreased by a realized gain of \$478,506 from the fuel hedge program.							61	



BOARD OF DIRECTORS 2023

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

MICHELLE BOUCHARD
EXECUTIVE DIRECTOR

PENINSULA CORRIDOR JOINT POWERS BOARD

INVESTMENT PORTFOLIO

AS OF JUNE 30, 2023

TYPE OF SECURITY	MATURITY DATE	INTEREST RATE	PURCHASE PRICE	MARKET RATE
Local Agency Investment Fund (Unrestricted) *	Liquid Cash	3.167%	341,982	341,982
County Pool (Unrestricted)	Liquid Cash	2.922%	570,934	570,934
Other (Unrestricted)	Liquid Cash	4.648%	21,123,978	21,123,978
Other (Restricted) **	Liquid Cash	1.000%	34,235,370	34,235,370
			\$ 56,272,264	\$ 56,272,264

Interest Earnings for June 2023 \$ 167,129.22
Cumulative Earnings FY2023 3,381,206.21

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

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

Farebox Revenues by Ticket Type	PENINSULA CORRIDOR JOINT POWERS BOARD																
	Previous Years				FY2023												
REVENUE	FY2019	FY2020	FY2021	FY2022	Jul-22	Aug-22	Sep-22	Oct-22	Nov-22	Dec-22	Jan-23	Feb-23	Mar-23	Apr-23	May-23	Jun-23	FY2023 Total YTD
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	485,901	528,351	506,616	1,078,167	6,838,317
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	1,276,841	1,303,858	1,582,029	957,373	15,493,238
401420 (Central)	64,908	20,799	309,748	39,911	5,139	945	9,901	11,080	2,767	826	2,263	1,602	5,563	4,667	10,273	3,242	58,267
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	265,221	241,414	336,450	374,250	3,476,988
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	54,013	58,449	59,603	67,715	706,203
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	1,478,585	1,302,597	1,333,826	1,249,850	16,728,021
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	3,566,123	3,439,337	3,828,797	3,730,598	43,301,036
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	1,478,585	1,302,597	1,333,826	1,249,850	16,728,021
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	2,087,539	2,136,740	2,494,971	2,480,748	26,573,014
Tickets Sold					Jul-22	Aug-22	Sep-22	Oct-22	Nov-22	Dec-22	Jan-23	Feb-23	Mar-23	Apr-23	May-23	Jun-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	52,063	47,432	53,222	60,497	70,309	76,094	802,158
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	148,634	164,277	154,163	189,838	198,525	1,975,206
Central	9,167	5,044	-	4,032	319	145	770	879	477	50	275	233	731	794	1,528	239	6,440
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	31,164	32,484	39,703	42,288	428,741
# 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	226,228	224,453	249,394	247,938	301,378	317,146	3,212,545
AVG Revenue Per Ticket					Jul-22	Aug-22	Sep-22	Oct-22	Nov-22	Dec-22	Jan-23	Feb-23	Mar-23	Apr-23	May-23	Jun-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	\$ 8.36	\$ 9.13	\$ 8.73	\$ 7.21	\$ 14.17	\$ 8.52
Clipper	\$ 15.51	\$ 6.32	\$ 8.61	\$ 6.32	\$ 7.19	\$ 8.96	\$ 7.75	\$ 8.24	\$ 8.56	\$ 9.10	\$ 7.54	\$ 8.18	\$ 7.77	\$ 8.46	\$ 8.33	\$ 4.82	\$ 7.84
Central	\$ 7.08	\$ 9.90	\$ -	\$ 9.90	\$ 16.11	\$ 6.52	\$ 12.86	\$ 12.60	\$ 5.80	\$ 16.53	\$ 8.23	\$ 6.88	\$ 7.61	\$ 5.88	\$ 6.72	\$ 13.57	\$ 9.05
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	\$ 8.51	\$ 7.43	\$ 8.47	\$ 8.85	\$ 8.11
Total	\$ 12.40	\$ 11.86	\$ 8.74	\$ 7.56	\$ 7.51	\$ 9.05	\$ 8.40	\$ 8.13	\$ 8.49	\$ 8.82	\$ 7.46	\$ 8.41	\$ 8.37	\$ 8.62	\$ 8.28	\$ 7.82	\$ 8.27

Farebox Revenues by Ticket Type	PENINSULA CORRIDOR JOINT POWERS BOARD						
	July 2022 to June 2023					Annual Budget	
	FY2019	FY2020	FY2021	FY2022	FY2023	FY2023	% of Budget
REVENUE							
401400 (TVM)	18,431,265	11,165,620	2,458,837	6,836,440	6,838,317		
401410 (Clipper)	54,621,910	37,970,696	2,924,987	7,764,755	15,493,238		
401420 (Central)	64,908	20,799	309,748	39,911	58,267		
401430 (Mobile App)	4,716,955	5,689,776	830,051	2,808,795	3,476,988		
401500 (Gilroy)	1,903,941	1,542,171	178,759	449,281	706,203		
401700 (Go-Pass)	22,929,136	19,705,372	25,737,533	15,337,175	16,728,021		
total Farebox Revenue	102,668,114	76,094,433	32,439,915	33,236,357	43,301,036	46,411,000	93%
Less: Go-Pass							
401700 (Go-Pass)	22,929,136	19,705,372	25,737,533	15,673,613	16,728,021	16,260,000	103%
Revenues without Go-Pass	79,738,978	56,389,061	6,702,382	17,562,744	26,573,014	30,151,000	88%
Tickets Sold							
TVM	2,354,393	1,465,876	315,378	755,674	802,158		
Clipper	3,521,066	2,620,816	339,753	1,227,757	1,975,206		
Central	9,167	5,044	-	4,032	6,440		
Mobile	543,920	661,515	111,394	381,441	428,741		
# of tickets sold (without go-pass)	6,428,546	4,753,251	766,525	2,368,904	3,212,545		
AVG Revenue Per Ticket							
TVM	\$ 7.83	\$ 7.62	\$ 7.80	\$ 9.05	\$ 8.52		
Clipper	\$ 15.51	\$ 14.49	\$ 8.61	\$ 6.32	\$ 7.84		
Central	\$ 7.08	\$ 4.12	\$ -	\$ 9.90	\$ 9.05		
Mobile	\$ 8.67	\$ 8.60	\$ 7.45	\$ 7.36	\$ 8.11		
Total	\$ 12.40	\$ 11.86	\$ 8.74	\$ 7.41	\$ 8.27		

**Peninsula Corridor Joint Powers Board
Staff Report**

To: Joint Powers Board
Through: Michelle Bouchard, Executive Director
From: Kate Jordan Steiner, Chief Financial Officer
Subject: **Accept Statement of Revenues and Expenses for the Period Ending August 31, 2023**

Staff Coordinating Council Reviewed Finance Committee Recommendation Technology, Operations, Planning, and Safety Committee Recommendation Advocacy and Major Projects Committee Recommendation

Purpose and Recommended 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 August 31, 2023.

This staff report provides a brief discussion of significant items and trends on the attached Statement of Revenues and Expenses through August 31, 2023. 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.

Discussion

Annual Forecast: The annual forecast is currently the same as the budget and will be reviewed in a few months.

Year-to-Date Revenues: As of August year-to-date actual, the Grand Total Revenue (page 1, line 17) is \$0.1 million lower than the adopted budget. This is primarily driven by the decrease in Other Income (page 1, line 5) which is partially offset by the increase in Rental Income (page 1, line 4).

Year-to-Date Expenses: As of August year-to-date actual, the Grand Total Expense (page 2, line 51) is \$2 million lower than the adopted budget. This is primarily driven by the decreases in Fuel and Lubricants (page 2, line 25) and Professional Services (page 2, line 39) which is partially offset by the increase in Claims, Payments, and Reserves (page 2, line 28).

Budget Impact

There are no budget impacts for August 2023.

Prepared By:	Thwe Han	Financial Reporting Accountant	650.508.7912
	Danny Susantin	Grants and Capital Accounting, Manager	650.622.8073

PENINSULA CORRIDOR JOINT POWERS BOARD											
STATEMENT OF REVENUE AND EXPENSE											
Fiscal Year 2024											
AUGUST 2023											
							% OF YEAR ELAPSED	16.7%			
				JULY TO AUGUST					ANNUAL		
		CURRENT	ADOPTED	\$	%	APPROVED		\$			
		ACTUAL	BUDGET	VARIANCE	VARIANCE	BUDGET	FORECAST	VARIANCE			
REVENUE											
OPERATIONS:											
1	Caltrain Fares	5,471,375	5,385,323	86,052	1.6%	29,936,000	29,936,000	-		1	
2	Go Pass	2,700,246	2,794,000	(93,754)	(3.4%)	16,764,000	16,764,000	-		2	
3	Parking Revenue	383,498	317,502	65,996	20.8%	1,905,015	1,905,015	-		3	
4	Rental Income	329,188	171,082	158,106	92.4%	1,026,489	1,026,489	-		4	
5	Other Income	744,755	1,090,210	(345,455)	(31.7%)	6,541,260	6,541,260	-		5	
6								-		6	
7	TOTAL OPERATING REVENUE	9,629,063	9,758,117	(129,054)	(1.3%)	56,172,764	56,172,764	-		7	
8								-		8	
9	CONTRIBUTIONS:										
10	Operating Grants	2,156,385	2,133,490	22,895	1.1%	12,800,936	12,800,936	-		10	
11	Measure RR	16,948,000	16,948,000	-	0.0%	118,400,000	118,400,000	-		11	
12	Member Agency (VTA - Gilroy)	78,333	78,334	(1)	(0.0%)	470,000	470,000	-		12	
13	LCTOP/SRA	1,151,451	1,151,416	35	0.0%	6,908,503	6,908,503	-		13	
14								-		14	
15	TOTAL CONTRIBUTED REVENUE	20,334,169	20,311,240	16,262	0.1%	138,579,439	138,579,439	-		15	
16								-		16	
17	GRAND TOTAL REVENUE	29,963,232	30,069,357	(112,792)	(0.4%)	194,752,203	194,752,203	-		17	
18								-		18	

PENINSULA CORRIDOR JOINT POWERS BOARD									
STATEMENT OF REVENUE AND EXPENSE									
Fiscal Year 2024									
AUGUST 2023									
						% OF YEAR ELAPSED	16.7%		
				JULY TO AUGUST					
				ANNUAL					
	CURRENT ACTUAL	ADOPTED BUDGET	\$ VARIANCE	% VARIANCE	APPROVED BUDGET	FORECAST	\$ VARIANCE		
19	EXPENSE							19	
20								20	
21	DIRECT EXPENSE:							21	
22	Rail Operator Service	17,382,531	17,382,531	-	0.0%	104,889,704	104,889,704	-	22
23	Security Services	1,337,456	1,396,672	(59,216)	(4.2%)	8,286,045	8,286,045	-	23
24	Shuttle Services	11,570	13,334	(1,764)	(13.2%)	80,000	80,000	-	24
25	Fuel and Lubricants*	1,979,658	2,535,218	(555,560)	(21.9%)	15,211,316	15,211,316	-	25
26	Timetables and Tickets	2,586	15,832	(13,246)	(83.7%)	95,000	95,000	-	26
27	Insurance	1,685,312	1,704,950	(19,638)	(1.2%)	10,229,703	10,229,703	-	27
28	Claims, Payments, and Reserves	587,194	220,000	367,194	166.9%	1,320,000	1,320,000	-	28
29	Facilities and Equipment Maintenance	1,118,232	1,357,594	(239,362)	(17.6%)	8,171,766	8,171,766	-	29
30	Utilities	403,820	451,484	(47,664)	(10.6%)	2,708,900	2,708,900	-	30
31	Maint & Services-Bldg & Other	260,359	297,434	(37,075)	(12.5%)	1,784,600	1,784,600	-	31
32								32	
33	TOTAL DIRECT EXPENSE	24,768,720	25,375,049	(606,329)	(2.4%)	152,777,034	152,777,034	-	33
34								34	
35	ADMINISTRATIVE EXPENSE							35	
36	Wages and Benefits	3,659,729	3,892,209	(232,480)	(6.0%)	18,469,241	18,469,241	-	36
37	Managing Agency Admin OH Cost	849,049	594,244	254,805	42.9%	3,565,453	3,565,453	-	37
38	Board of Directors	1,006	10,478	(9,472)	(90.4%)	62,875	62,875	-	38
39	Professional Services	976,190	1,870,092	(893,902)	(47.8%)	9,484,775	9,484,775	-	39
40	Communications and Marketing	40,752	73,788	(33,036)	(44.8%)	442,730	442,730	-	40
41	Other Office Expenses and Services	499,526	737,442	(237,916)	(32.3%)	4,224,422	4,224,422	-	41
42								42	
43	TOTAL ADMINISTRATIVE EXPENSE	6,026,252	7,178,253	(1,152,001)	(16.0%)	36,249,496	36,249,496	-	43
44								44	
45	TOTAL OPERATING EXPENSE	30,794,972	32,553,302	(1,758,330)	(5.4%)	189,026,530	189,026,530	-	45
46								46	
47	Governance	5,142	37,500	(32,359)	(86.3%)	225,000	225,000	-	47
48								48	
49	Debt Service Expense	377,833	578,520	(200,687)	(34.7%)	3,471,125	3,471,125	-	49
50								50	
51	GRAND TOTAL EXPENSE	31,177,947	33,169,322	(1,991,375)	(6.0%)	192,722,655	192,722,655	-	51
52								52	
53	Projected Contribution to Reserve					2,029,548	2,029,548	-	53
54								54	
55	NET SURPLUS / (DEFICIT)	(1,214,715)	(3,099,965)	1,878,583	(60.6%)	-	-	-	55
56								56	
57	Reserve, Beginning Balance	26,878,850				26,878,850			57
58	Projected Contribution to Reserve	-				2,029,548			58
59	Reserve, Ending Balance	<u>26,878,850</u>				<u>28,908,398</u>			59
60								60	
61	* Fuel and Lubricants costs were decreased by a realized gain of \$170,793 from the fuel hedge program.							61	
62								62	



BOARD OF DIRECTORS 2023

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

PENINSULA CORRIDOR JOINT POWERS BOARD

INVESTMENT PORTFOLIO

AS OF AUGUST 31, 2023

MICHELLE BOUCHARD
EXECUTIVE DIRECTOR

TYPE OF SECURITY	Maturity DATE	INTEREST RATE	PURCHASE PRICE	MARKET RATE
Local Agency Investment Fund (Unrestricted) *	Liquid Cash	3.434%	368,756	368,756
County Pool (Unrestricted)	Liquid Cash	3.111%	575,346	575,346
Other (Unrestricted)	Liquid Cash	4.821%	12,040,715	12,040,715
Other (Restricted)	** Liquid Cash	4.790%	35,915,050	35,915,050
			\$ 48,899,867	\$ 48,899,867

Interest Earnings for August 2023 \$ 189,706.97
Cumulative Earnings FY2024 385,531.18

* 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					FY2024		
REVENUE	FY2019	FY2020	FY2021	FY2022	FY2023	Jul-23	Aug-23	FY2024 Total YTD
OPERATIONS:								
401400 (TVM)	18,431,265	11,165,620	2,458,837	6,836,440	6,838,317	701,507	580,909	1,282,415
401410 (Clipper)	54,621,910	37,970,696	2,924,987	7,764,755	15,493,238	1,584,242	1,688,849	3,273,092
401420 (Central)	64,908	20,799	309,748	39,911	58,267	1,068	153,278	154,346
401430 (Mobile App)	4,716,955	5,689,776	830,051	2,808,795	3,501,791	289,934	353,887	643,821
401500 (Gilroy)	1,903,941	1,542,171	178,759	449,281	706,203	58,850	58,850	117,701
401700 (Go-Pass)	22,929,136	19,705,372	25,737,533	15,337,175	16,728,021	1,362,537	1,337,709	2,700,246
total Farebox Revenue	102,668,114	76,094,433	32,439,915	33,236,357	43,325,839	3,998,139	4,173,482	8,171,621
Less: Go-Pass								
401700 (Go-Pass)	22,929,136	19,705,372	25,737,533	15,337,175	16,728,021	1,362,537	1,337,709	2,700,246
Revenues without Go-Pass	79,738,978	56,389,061	6,702,382	17,899,182	26,597,817	2,635,602	2,835,774	5,471,375
Tickets Sold						Jul-23	Aug-23	Total
TVM	2,354,393	1,465,876	315,378	755,674	802,158	78,363	74,658	153,021
Clipper	3,521,066	2,620,816	339,753	1,227,757	1,975,206	194,039	214,420	408,459
Central	9,167	5,044	-	4,032	6,440	-	-	-
Mobile	543,920	661,515	111,394	381,441	428,741	40,439	41,527	81,966
# of tickets sold (without go-pass)	6,428,546	4,753,251	766,525	2,368,904	3,212,545	312,841	330,605	643,446
AVG Revenue Per Ticket						Jul-23	Aug-23	Total
TVM	\$ 7.83	\$ 9.05	\$ 7.80	\$ 9.05	\$ 8.52	\$ 8.95	\$ 7.78	\$ 8.38
Clipper	\$ 15.51	\$ 6.32	\$ 8.61	\$ 6.32	\$ 7.84	\$ 8.16	\$ 7.88	\$ 8.01
Central	\$ 7.08	\$ 9.90	\$ -	\$ 9.90	\$ 9.05	\$ -	\$ -	\$ -
Mobile	\$ 8.67	\$ 7.36	\$ 7.45	\$ 7.36	\$ 8.17	\$ 7.17	\$ 8.52	\$ 7.85
Total	\$ 12.40	\$ 11.86	\$ 8.74	\$ 7.56	\$ 8.28	\$ 8.42	\$ 8.58	\$ 8.50

Farebox Revenues by Ticket Type	PENINSULA CORRIDOR JOINT POWERS BOARD							
	July to August						Annual Budget	
	FY2019	FY2020	FY2021	FY2022	FY2023	FY2024	FY2024	% of Budget
REVENUE								
401400 (TVM)	4,216,906	3,276,265	313,094	1,303,708	1,397,170	1,282,415		
401410 (Clipper)	9,619,383	9,901,512	395,487	974,183	2,740,385	3,273,092		
401420 (Central)	7,297	6,757	-	545	6,084	154,346		
401430 (Mobile App)	653,753	1,381,002	95,027	420,400	700,935	643,821		
401500 (Gilroy)	334,289	312,805	28,581	50,107	103,550	117,701		
401700 (Go-Pass)	3,192,508	3,262,943	5,123,822	2,357,341	2,832,954	2,700,246		
total Farebox Revenue	18,024,136	18,141,284	5,956,011	5,106,283	7,781,077	8,171,621	46,700,000	17%
Less: Go-Pass								
401700 (Go-Pass)	3,192,508	3,262,943	5,123,822	2,357,341	2,832,954	2,700,246	16,764,000	17%
Revenues without Go-Pass	14,831,628	14,878,341	832,189	2,748,941	4,948,124	5,471,375	29,936,000	17%
Tickets Sold								
TVM	525,994	421,132	45,878	124,025	172,231	153,021		
Clipper	625,154	660,492	41,771	152,204	336,741	408,459		
Central	812	876	-	33	464	-		
Mobile	72,497	163,794	13,511	52,670	85,871	81,966		
# of tickets sold (without go-pass)	1,224,457	1,246,294	101,160	328,932	595,307	643,446		
AVG Revenue Per Ticket								
TVM	\$ 8.02	\$ 7.78	\$ 6.82	\$ 10.51	\$ 8.11	\$ 8.38		
Clipper	\$ 15.39	\$ 14.99	\$ 9.47	\$ 6.40	\$ 8.14	\$ 8.01		
Central	\$ 8.99	\$ 7.71	\$ -	\$ 16.50	\$ 13.11	\$ -		
Mobile	\$ 9.02	\$ 8.43	\$ 7.03	\$ 7.98	\$ 8.16	\$ 7.85		
Total	\$ 12.11	\$ 11.94	\$ 8.23	\$ 8.36	\$ 8.31	\$ 8.50		

**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 Executive Director to Execute an Agreement with Caltrans to Receive Sustainable Transportation Planning Grant Program Funds**

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

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

1. Authorize the Executive Director to execute an agreement with the California Department of Transportation (Caltrans) to receive \$474,000 in Sustainable Communities Program Grant funds from the California Department of Transportation (Caltrans); and
2. Authorize the Executive Director to take such actions as may be necessary to give effect to this resolution for the JPB to apply for and receive Caltrans Sustainable Transportation Planning Grant Program funds.

Significance

On August 31, 2023, Caltrain received notice of a grant in the amount of \$474,000 from Caltrans' Sustainable Transportation Planning Grant Program to analyze the climate change vulnerability of Caltrain's corridor.

Background

As the climate grows ever more unpredictable, Caltrain continues to grapple with significant, year-round climate impacts. The winter storms in December 2022 and January 2023 reemphasized this with a variety of impacts: flooded track and facilities, new electrification infrastructure damaged, and service disrupted. In the summer and fall of 2022, high heat forced reductions in service. Seasonal fires impact our air quality, affecting all passengers but especially our most vulnerable riders.

The Climate Change Vulnerability Study will gather broad community and stakeholder feedback and will combine it with a quantitative climate vulnerability analysis. The Project will analyze the vulnerability of Caltrain service, infrastructure, right-of-way, operations, and passengers to climate impacts such as high heat, wildfire and smoke, storm damage, sea level rise and inundation, among others.

The resulting study will produce findings that will provide Caltrain with the information it needs to develop adaptation strategies, which will be the next phase of the project. Caltrain will also work to incorporate findings into capital planning and risk management processes.

Budget Impact

Staff will include the grant revenue and corresponding expense of \$474,000, as well as the additional required local match of \$21,412, in a future operating budget amendment. A portion of the local match for this grant, \$40,000 of the \$61,412 required local match, is included in the FY24 Adopted Operating Budget.

Prepared By: Amelia Timbers Manager, Environmental and (650) 508-7713
Sustainability Planning

RESOLUTION NO. 2023-

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

* * *

**Resolution of the Board Of Directors of the Peninsula Corridor Joint Powers Board Authorizing
the Executive Director to Execute Agreements with the California Department of
Transportation for the Caltrain Climate Change Vulnerability Study**

Whereas, as the climate grows ever more unpredictable, the Peninsula Corridor Joint Powers Board (JPB) continues to grapple with significant, year-round climate impacts. The winter storms in December 2022 and January 2023 reemphasized this with a variety of impacts, including flooded track and facilities, damage to new electrification infrastructure, and disruptions to service. In the summer and fall of 2022, high heat forced reductions in service. Seasonal fires impact our air quality, affecting all passengers but especially our most vulnerable riders; and

Whereas, the Board of Directors (Board) of the Peninsula Corridor Joint Powers Board is eligible to receive Federal and/or State funding for certain transportation planning related plans, through the California Department of Transportation; and

Whereas, the JPB wishes to use this funding to conduct the Caltrain Climate Change Vulnerability Study; and

Whereas, a Restricted Grant Agreement must be executed with the California Department of Transportation before such funds can be reimbursed through the Caltrans Sustainable Transportation Planning Grant Program for the Caltrain Climate Change Vulnerability Study; and

Whereas, staff recommends that the Board delegate authority to the Executive Director to execute agreements with the California Department of Transportation to receive funds for the Caltrain Climate Change Vulnerability Study, and any amendments thereto.

Now, therefore, be it resolved, by the Board of Directors of the Peninsula Corridor Joint Powers Board, authorize the Executive Director, or designee, to execute all Restricted Grant Agreements and any amendments thereto with the California Department of Transportation and to take any further action for the JPB to apply for and Caltrans Sustainable Transportation Planning Grant Program funds.

Regularly passed and adopted this 5th day of October, 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: Dahlia Chazan, Deputy Chief, Caltrain Planning
Subject: **Amendment to the Memorandum of Agreement with Transbay Joint Powers Authority for 4th and King Yard Preparation in Support of the Downtown Rail Extension**

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

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

- 1) Authorize the Executive Director to execute an amendment to the Memorandum of Agreement (“MOA”) dated March 2, 2023, with the Transbay Joint Powers Authority (“TJPA”) for an additional \$460,000 of reimbursable Caltrain expenses; and
- 2) Amend the Project budget from \$595,000 to \$1,055,000, to include additional \$460,000 reimbursable expenses from the MOA, increasing the Caltrain FY2024 Capital Budget from \$515,445,427 to \$515,905,427.

In March 2023, the Caltrain Board approved the MOA for an initial not-to-exceed amount of \$595,000 and a term expiring no later than March 31, 2024. The MOA authorizes reimbursement from TJPA to Caltrain for oversight of the design of the 4th and King Yard Preparation for the San Francisco Downtown Rail Extension (“DTX” or the “Portal”). The amendment will add \$460,000 to the MOA to support additional review and design support to complete the 30% design plan in early 2024.

Discussion

The DTX project will connect Caltrain’s regional rail system and the future California High-Speed Rail Authority’s statewide system to the Salesforce Transit Center in downtown San Francisco. The TJPA is seeking funding for DTX through the Federal Transit Administration (“FTA”) Capital Investment Grants Program New Starts program. The project is implementing an accelerated

master work plan to support potential Full Funding Grant Agreement approval in 2025. Caltrain is committed to supporting the TJPA in the implementation of the accelerated work plan. TJPA's latest schedule shows the project opening for service in 2032.

The DTX project has identified the need for substantial work to occur in Caltrain's right-of-way at the 4th and King railyard prior to and during the project's main civil construction. It is required to connect the above-grade Caltrain mainline to the new tunnel serving a new, underground 4th and Townsend station and the remainder of the DTX. This work is referred to as "4th and King Yard Preparation", formerly known as Mainline and Terminal Work, and includes track realignment, utility relocation, building relocation, and other site work at the railyard. TJPA anticipates reaching a 30 percent design level for this work by January 2024, which will provide a more comprehensive understanding of the operational and cost implications. The design is incorporating a multi-stage construction program to allow Caltrain to maintain continuous operations during the construction period.

In March 2023, the Caltrain Board approved the MOA, which authorized reimbursement from TJPA to Caltrain for oversight of the design of 4th and King Yard Preparation. As a result of the MOA, Caltrain has retained consultant services to bring the conceptual planning up to a 30 percent design level.

The MOA amendment will add \$460,000 to account for the expanded timeline for completion of the 30 percent design plan, to support the development of the 4th and King Yard Preparation agreement, and to provide additional review and analysis for procurement. These items are described in more detail below.

1. Updated Timeline: The MOA originally planned for completion of 30% design by September 2023, however, this has been pushed back to early 2024, requiring additional oversight and design support.
2. 4th and King Yard Preparation Agreement: Staff plan to develop and present a new agreement focused on the 4th and King Yard Preparation to both the TJPA Board of Directors and Caltrain Board for consideration in early 2024, as described in the Interim Agreement recently approved by both boards. It is anticipated that this agreement will supersede the MOA. The new agreement will include a project delivery plan to define the approach for advancing the project after the 30% milestone. Additional support is necessary to confirm items for the agreement such as: delivery method(s), packaging, organization, roles and responsibilities, staffing plan and support budgets, milestone schedule, decision-making and stage gates, change management, cost reimbursement, among other items necessary to advance the project.
3. Procurement Support: Additional support is needed to develop the request for proposals and initiate the procurement of the design and construction contractors for the 4th and King Yard Preparation work.

Budget Impact

In FY2023, a budget of \$595,000 was approved by the Board for the “4th and King Yard Preparation” (DTX Enabling Works Project) funded by TJPA through a MOA between TJPA and JPB. The execution of the Amended MOA will provide additional funding of \$460,000 in reimbursable expenses that will increase the total project budget from \$595,000 to \$1,055,000, increasing the Caltrain FY2024 Capital Budget from \$515,445,427 to \$515,905,427.

Prepared By: Gwen Buckley

Principal Planner

650-722-6827

Resolution No. 2023 –

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

* * *

Authorizing Amendment of the Memorandum of Agreement with Transbay Joint Powers Authority for 4th and King Yard Preparation in Support of the Downtown Rail Extension

WHEREAS, the San Francisco Downtown Rail Extension (“DTX” or “The Portal”) Project will connect the Peninsula Corridor Joint Powers Board’s (“Caltrain” or “JPB”) regional rail system and the future California High-Speed Rail Authority’s statewide system to the Salesforce Transit Center in downtown San Francisco; and

WHEREAS, the DTX project has identified the need for substantial work to occur in Caltrain’s right-of-way at the 4th and King railyard prior to and during the project’s main civil construction; and

WHEREAS, it is required to connect the above-grade Caltrain mainline to the new tunnel serving a new, underground 4th and Townsend station and the remainder of the DTX; and

WHEREAS, this work is referred to as “4th and King Yard Preparation”, formerly known as Mainline and Terminal Work, and includes track realignment, utility relocation, building relocation, and other site work at the railyard; and

WHEREAS, in March 2023, the Peninsula Corridor Joint Powers Board of Directors (“Board”) approved the Memorandum of Agreement (“MOA”) which authorized reimbursement from the Transbay Joint Powers Authority (“TJPA”) to Caltrain for oversight of the design of 4th and King Yard Preparation; and

WHEREAS, as a result of the MOA, Caltrain has retained consultant services to bring the conceptual planning up to a 30 percent design level and inform the recommended delivery method accounting for risk, operations, and TJPA schedule requirements; and

WHEREAS, the amendment will add \$460,000 to the MOA to account for the expanded timeline for completion of the 30 percent design plan, to support the development of the 4th

and King Yard Preparation agreement, and to provide additional review and analysis for procurement; and

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the Peninsula Corridor Joint Powers Board authorize the Executive Director, or designee, to execute an amendment to the MOA between TJPA and Caltrain; and

BE IT FURTHER RESOLVED that the Board of Directors approves the amendment of the “4th and King Yard Preparation” (DTX Enabling Works) project budget from \$595,000 to \$1,055,000, and the Caltrain FY2024 Capital Budget from \$515,445,427 to \$515,905,427.

Regularly passed and adopted this 5th day of October 2023 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary



FY2024 ADOPTED CAPITAL BUDGET

Attachment B
Amendment 2
October 2023

Item #	PROJECT NAME	FY2024 AMENDED CAPITAL BUDGET	Amendment 2	FY2024 AMENDED CAPITAL BUDGET	Federal Funds	STA SOGR				Member Agency Funds	Others	Externally Funded / Stadler Cars	FY2024 ADOPTED CAPITAL BUDGET
							Santa Clara (Measure B)	San Francisco (SFCTA)	San Mateo (SMCTA)				
i. SOGR													
Bridges													
1	Guadalupe Bridges Replacement	17,364,622		17,364,622	12,138,098	892,549	2,192,000			2,192,000	2,141,975	-	17,364,622
2	San Francisquito Creek Bridge Emergency North Channel Restoration ³	5,165,715		5,165,715				461,316		2,028,704	2,490,020	2,675,695	5,165,715
3	San Francisquito Bridge Acoustic Monitoring System	857,638		857,638								857,638	857,638
4	SOGR Structures	1,560,000		1,560,000	1,248,000		312,000						1,560,000
	Total Bridges	24,947,975	-	24,947,975	13,386,098	1,204,549	2,192,000	461,316	2,028,704	4,682,020	5,675,308	-	24,947,975
Right of Way													
5	SOGR MOW Track	4,100,543		4,100,543	2,957,273						1,143,270		4,100,543
6	SOGR MOW Track - Track Equipment	2,556,828		2,556,828		264,318		2,112,165		180,345	2,292,510		2,556,828
7	ROW Fencing	1,835,951		1,835,951					1,191,951	1,191,951	644,000		1,835,951
	Total Right of Way	8,493,322	-	8,493,322	2,957,273	264,318	-	2,112,165	1,372,296	3,484,461	1,787,270	-	8,493,322
Signal & Communications													
8	Signal SOGR FY24 and FY25	632,000		632,000	505,600	126,400							632,000
	Total Signal & Communications	632,000	-	632,000	505,600	126,400	-	-	-	-	-	-	632,000
Station & Intermodal Access													
9	Station SOGR Project	1,226,519		1,226,519				1,226,519		1,226,519			1,226,519
	Total Station & Intermodal Access	1,226,519	-	1,226,519	-	-	-	1,226,519	-	1,226,519	-	-	1,226,519
	Total SOGR	35,299,816	-	35,299,816	16,848,971	1,595,267	2,192,000	3,800,000	3,401,000	9,393,000	7,462,578	-	35,299,816
ii. LEGAL MANDATE													
10	MS4 Trash Management	200,000		200,000						200,000	200,000		200,000
	Total	200,000	-	200,000	-	-	-	-	-	200,000	200,000	-	200,000
iii. OPERATIONAL IMPROVEMENTS/ENHANCEMENTS													
11	Mini-High Platforms	460,000		460,000							460,000		460,000
12	Next Generation Visual Messaging Sign (VMS)	1,200,000		1,200,000				1,200,000		1,200,000			1,200,000
13	22nd Street ADA Access Improvements	447,198		447,198							447,198		447,198
14	San Mateo Replacement Parking Track	3,773,000		3,773,000							3,773,000		3,773,000
15	Support for Property Mapping	520,000		520,000					520,000	520,000			520,000
	Total	6,400,198	-	6,400,198	-	-	-	1,200,000	520,000	1,720,000	4,680,198	-	6,400,198
iv. PLANNING/STUDIES													
16	Capital Planning (CIP)	359,000		359,000					359,000	359,000			359,000
17	San Francisco Railyards TOD	806,000		806,000							806,000		806,000
18	Level Boarding Roadmap	520,000		520,000					520,000	520,000			520,000
19	Battery EMU R/D	1,352,000		1,352,000							1,352,000		1,352,000
20	DISC/Diridon Business Case	1,560,000		1,560,000		1,560,000				1,560,000			1,560,000
21	Rail Network and Operations Planning	1,248,000		1,248,000		1,248,000				1,248,000			1,248,000
22	DTX Funding	250,000		250,000							250,000		250,000
26	DTX Support Project ¹ Total Project Budget (Post-Amendment): \$9,349,113	5,018,239		5,018,239							5,018,239		5,018,239
27	SF Railyards Preliminary Business Case ² Total Project Budget (Post-Amendment): \$4,676,623	274,174		274,174							274,174		274,174
28	DTX Enabling Works ⁴ Total Project Budget (Post-Amendment): \$1,055,000	-	460,000	460,000							460,000		460,000
	Total	11,387,413	460,000	11,847,413	-	-	2,808,000	-	879,000	3,687,000	8,160,413	-	11,847,413
v. STADLER CARS													
23	Stadler Cars	355,000,000		355,000,000								355,000,000	355,000,000
	Total	355,000,000	-	355,000,000	-	-	-	-	-	-	-	355,000,000	355,000,000



FY2024 ADOPTED CAPITAL BUDGET

Attachment B
Amendment 2
October 2023

Item #	PROJECT NAME	FY2024 AMENDED CAPITAL BUDGET	Amendment 2	FY2024 AMENDED CAPITAL BUDGET	Federal Funds	STA SOGR				Member Agency Funds	Others	Externally Funded / Stadler Cars	FY2024 ADOPTED CAPITAL BUDGET
							Santa Clara (Measure B)	San Francisco (SFCTA)	San Mateo (SMCTA)				
vi. EXTERNALLY-FUNDED GRADE SEPARATION PROJECTS													
24	Mountain View Transit Center Grade Separation	107,000,000		107,000,000						-	-	107,000,000	107,000,000
25	San Mateo Grade Separation	158,000		158,000						-	-	158,000	158,000
	Total	107,158,000	-	107,158,000	-	-	-	-	-	-	-	107,158,000	107,158,000
	Total	515,445,427	460,000	515,905,427	16,848,971	1,595,267	5,000,000	5,000,000	5,000,000	15,000,000	20,303,189	462,158,000	515,905,427

¹ \$5,018,239 is funded by Transbay Joint Powers Authority (TJPA) through an Interim Agreement between JPB and TJPA

² \$274,174 is funded by Prologis through an Amended Memorandum of Understanding (MOU) between JPB and Prologis

³ The additional project budget of \$1,171,066 and the change in cost sharing commitment from the cities of Palo Alto and Menlo Park of \$1,861,909 are funded by: SMCTA from San Francisquito Acoustic Monitoring System Project \$2,028,704; Project Savings from existing/closed projects \$683,121; and Capital Contingency Funds \$321,150

⁴ \$460,000 is funded by Transbay Joint Powers Authority (TJPA) through an Amended Memorandum of Agreement between JPB and TJPA

**Peninsula Corridor Joint Powers Board
Staff Report**

To: Board of Directors
Through: Michelle Bouchard, Executive Director
From: Sam Sargent, Director, Strategy and Policy
Subject: **Approve BayPass Participation Agreement**

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

Clipper BayPass is an all-transit agency institutional pass pilot created in 2022 under the direction of the Metropolitan Transportation Commission (“MTC”) Fare Integration Task Force. The BayPass Phase 1 pilot launched in 2022 with five participating educational institutions and affordable housing properties. The BayPass Phase 2 pilot is scheduled for launch in late 2023 or early 2024 with ten participating employers.

Staff recommend that the Board of Directors authorize the Executive Director, or designee, to execute a Participation Agreement between the Peninsula Corridor Joint Powers Board (JPB) and MTC to support advancement of the BayPass Phase 2 pilot.

Discussion

Clipper BayPass Phase 1 pilot launched in 2022 with five participating educational institutions and affordable housing properties, including San Jose State University and MidPen Housing in the Caltrain service area. Phase 1 was fully funded by MTC, with reimbursements made to operators on a per trip basis. Approximately 20,000 of the 2 million Phase 1 trips have been on Caltrain, less than 1-percent of total regional trips. The MTC anticipates that the Clipper BayPass Phase 1 pilot will continue until the end of 2024.

The Phase 2 pilot will involve 20,000 all-agency passes divided between 10 participating employers, who will purchase Bay Passes on an annual basis for two years. In September 2023, the MTC will program \$5 million to cover pilot overhead and potential losses, should employer participant revenue not cover expenses. Two employers will be selected from Santa Clara

County, two from San Mateo County (including the City of Menlo Park), and three from San Francisco.

Since early 2023, Caltrain staff have been working closely with the joint MTC-BART project management team (“PM Team”) to ensure that Caltrain and the Go Pass institutional pass program are protected from any risks created by the BayPass Phase 2 pilot. Go Pass currently makes up one-third of Caltrain’s total fare revenue (\$17 million in FY2023). In the FY2024 - 2025 Caltrain budget, Go Pass is expected to be over 35-percent of total fare revenue. Caltrain is actively engaged in a Go Pass expansion effort to increase revenue and participants.

Caltrain has a projected fiscal cliff of as much as \$550 million over the next 10 years. Go Pass revenues are projected to generate as much as \$220 million over the same period. Loss of any portion of this revenue would increase the railroad’s fiscal cliff on a dollar-for-dollar basis. Accordingly, Caltrain staff have negotiated to include language in the BayPass Phase II pilot Participation Agreement that protects current Go Pass revenue and relationships with existing Go Pass participants:

- **Santa Clara County:** only existing Go Pass customers within three miles of the Caltrain corridor will participate in the Phase 2 pilot. Only employers currently participating in VTA’s institutional pass program (SmartPass) that are outside of the three-mile Caltrain corridor buffer will participate in the pilot. These pilot participants will maintain their existing relationships with Caltrain and VTA, respectively, and purchase the regional all-transit agency pass through MTC as an add-on.
- **San Mateo County:** only an existing Go Pass customer (City of Menlo Park) will participate within 3-miles of the Caltrain corridor.
- **San Francisco:** Caltrain will be reimbursed on a per-trip basis for trips taken by Phase 2 pilot participants within the city.

In September and October, regional transit operators will bring a common Participation Agreement with MTC to their policy boards for action. The PM Team anticipates a BayPass Phase 2 pilot launch no later than January 2024, with participating employers entering into one-year contracts with one-year extensions. Phase 2 is expected to close in late 2025, followed by evaluation of pilot data and regional discussions on next steps.

Budget Impact: Executing the Participation Agreement to participate in the Phase 2 pilot program will not impact the budget.

Prepared By: Sam Sargent Director, Strategy and Policy, Caltrain 650-730-6223

Resolution No. 2023 –

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

Authorizing Execution of a Clipper BayPass Pilot Program Participation Agreement

WHEREAS, Clipper BayPass is an all-transit agency institutional pass pilot created in 2022 under the direction of the Metropolitan Transportation Commission (“MTC”) Fare Integration Task Force; and

WHEREAS, BayPass Phase 1 pilot launched in 2022 with five participating institutions and Phase 2 is scheduled for launch in late 2023 or early 2024 with ten participating institutions in the nine-county region, including institutions in San Francisco, San Mateo County, and Santa Clara County; and

WHEREAS, the BayPass Phase 2 launch requires all Clipper participating transit agencies to execute a standard Participation Agreement prior to launch; and

WHEREAS, the Participation Agreement includes operator and MTC responsibilities within the BayPass Phase 2 pilot, and an approach to program revenue distribution; and

WHEREAS, the Peninsula Corridor Joint Powers Board (“Caltrain”) staff and MTC project management team negotiated language in the Participation Agreement to ensure that Caltrain and the existing Go Pass institutional pass program are protected from financial risks created by the BayPass Phase 2 pilot; and

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the Peninsula Corridor Joint Powers Board authorize the Executive Director, or designee, to execute a Participation Agreement to support advancement of the BayPass Phase 2 pilot in a form approved by legal counsel and to take other actions necessary to implement the Agreement.

Regularly passed and adopted this 5th day of October 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: Mehul Kumar, Chief Information and Technology Officer
SUBJECT: **Proclaiming the Month of October as Cybersecurity Awareness Month**

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

Staff Coordinating Council (SCC) recommends the Board of Directors (Board) of the Peninsula Corridor Joint Powers Board (JPB) adopt the proclamation designating October as “Cybersecurity Awareness Month.”

Discussion

The proclamation for “Cybersecurity Awareness Month” reaffirms the JPB’s commitment to promoting secure computing and preventing the propagation of cyber-crime, including identity theft, phishing attacks, ransomware attacks, and other computer-based crimes. The Information Technology department that supports the JPB is actively engaged in identifying and neutralizing threats to Caltrain’s systems and its staff. The Information Technology department will be coordinating a broad communication and education campaign with the goal of increasing awareness and equipping staff members with the tools to identify, report and eliminate cyber-security threats.

Background

In October of 2004, the National Cyber Security Alliance & the U.S. Department of Homeland Security launched Cybersecurity Awareness Month. Since then, thousands of organizations have recognized every October as Cybersecurity Awareness Month. Public organizations include the federal government, the Multi-State Information Sharing and Analysis Center, the National Association of State Chief Information Officers and several cities and counties across the country.

More than ever before, technology plays a part in almost everything we do. Connected devices have been woven into society as an integral part of how people communicate and access services essential to their well-being. Despite these great advances in technology and the conveniences this provides, recent events have shown us how quickly our lives and businesses can be disrupted when cyber criminals and adversaries use technology to do harm. Cybersecurity Awareness Month aims to shed light on these security vulnerabilities, while offering actionable guidance surrounding behaviors anyone can take to protect themselves and their organizations. Everyone has a responsibility to do their part in securing our interconnected world.

The Information Technology department is committed to implementing the best practices and technologies to defend against cyber-crime. The observation of Cybersecurity Awareness Month will serve as an annual kickoff of the JPB's efforts to further educate and prepare our employees regarding potential cyber threats.

Budget Impact

There is no impact on the budget, as these activities are covered by funds earmarked in the FY 24 Operating Budget.

Prepared By: Mehul Kumar Chief Information and Technology 650.508.6206
Officer

Resolution No. 2023 -

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

* * *

Proclaiming the Month of October as Cybersecurity Awareness Month

Whereas, Cybersecurity Awareness Month was launched by the National Cyber Security Alliance and the U.S. Department of Homeland Security in October 2004 and is now recognized by thousands of organizations including the Federal Government, the Multi-State Information Sharing and Analysis Center, and the National Association of State Chief Information Officers; and

Whereas, individuals, businesses, nonprofits, government organizations, academic institutions, and the local economy have become increasingly reliant on information systems and technology to conduct business, engage in commerce, access information, communicate, and provide essential services; and

Whereas, cyber threats continue to increase and the impact of cyberattacks has been debilitating to individuals and organizations; and

Whereas, cybersecurity education and awareness are crucial for any individual or organization, and that cybersecurity is essential to digital inclusion; and

Whereas, maintaining the security of cyberspace is a shared responsibility in which we all have a critical role to play by making ourselves aware of cyber threats and cybersecurity essentials and adopt industry best practices that will improve the security of the Peninsula Corridor Joint Powers Board; and

Whereas, the Peninsula Corridor Joint Powers Board recognizes it has a vital role in identifying and responding to cyber threats that may have a significant impact on our collective security and privacy; and

Whereas, the Peninsula Corridor Joint Powers Board has developed an effort to promote good cyber practices through guidance and resources for Caltrain; and

Whereas, the Peninsula Corridor Joint Powers Board will promote innovation, strengthen cybersecurity investment, and enhance resilience across all sectors.

Now, Therefore, Be It Resolved that the Board of Directors the Peninsula Corridor Joint Powers Board, recognizes October 2023 as "Cybersecurity Awareness Month" and officially supports National Cybersecurity Awareness Month.

Be It Further Resolved that the Board of Directors calls upon all employees and patrons of the Peninsula Corridor Joint Powers Board to become educated about cybersecurity and put that knowledge into practice to keep our connected community safe from cyber threats.

Regularly passed and adopted this 5th day of October 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**

* * *

Honoring Filipino American History Month

WHEREAS, the Peninsula Corridor Joint Powers Board (Caltrain) pays tribute to the many contributions of Filipino Americans who make up one of the largest Asian American ethnic groups in the United States today; and

WHEREAS, in 2009, Congress recognized October as Filipino American History Month to commemorate the arrival of the first Filipinos in the continental United States on October 18, 1587 in the area now known as Morro Bay, California; and

WHEREAS, the month of October is an appropriate time to reflect on Filipino-American history and culture to provide all Americans with the opportunity to hear about and appreciate the many contributions of Filipino Americans; and

WHEREAS, during World War II, more than 260,000 Filipino and Filipino American soldiers answered the call to action and bravely served under the American flag; and

WHEREAS, the Filipino Veterans of World War II Congressional Gold Medal Act unanimously passed through Congress and was signed into law in December 2016; and

WHEREAS, a rider survey showed that Filipinos and Filipino Americans make up 26 percent of Caltrain's AAPI ridership; and

WHEREAS, Caltrain believes every person has the freedom to feel valued and respected, and condemns racism in rhetoric or action; and

NOW, THEREFORE, BE IT RESOLVED that the Peninsula Corridor Joint Powers Board (Caltrain) does hereby recognize October as Filipino American History Month and celebrate the countless contributions that Filipino Americans have made in the United States.

Regularly passed and adopted this 5th day of October, 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: Dahlia Chazan, Deputy Chief Caltrain Planning
Subject: **Proposed Electrified Service Plan for Fall 2024**

Staff Coordinating Council Reviewed Finance Committee Recommendation Technology, Operations, Planning, and Safety Committee Recommendation Advocacy and Major Projects Committee Recommendation

Purpose and Recommended Action

Staff recommends the Board of Directors (Board) of the Peninsula Corridor Joint Powers Board (JPB) receive the attached presentation on the Proposed Electrified Service Plan for Fall 2024.

This item is informational only.

Discussion

Caltrain has been working diligently with its partners and the local communities to complete the Electrification Project which will electrify 51 miles of the Caltrain corridor from San Francisco Station to Tamien Station in San Jose. In preparation for the Fall 2024 launch of electrified service, Caltrain initiated a service planning process in early 2023 that builds upon recent and ongoing engagement, policy, and planning efforts. The purpose of this effort is to develop an electrified service plan and new schedule with the intended outcome of enhancing the Caltrain customer experience by providing more station stops, competitive travel times, enhanced off-peak service, coordinated transfers, and a user-friendly schedule.

To date, the project team has developed a draft electrified service plan based on feedback from stakeholders, the results of a travel market and equity analysis, and operational considerations. Between San Francisco and San Jose, the proposed electrified service plan will provide faster service and more station stops with all-electric trains, while providing the same total number of trains per weekday (104 trains) as today. Between San Jose and Gilroy, four roundtrips per day

will be provided via a South County connector service, with schedules tailored to feedback received from South County residents in June 2023.

Staff will present an overview of the service planning process, share the proposed service plan, and discuss next steps leading up to a final service plan being shared in late 2023.

Budget Impact

Projected operating costs for electrified service are included in the Board approved budget for Fiscal Years 2024 and 2025. Given that electrified service is a new technology and operating model for FY25, efforts to refine related costs shall be performed as testing starts in FY24 and the first trains begin running.

Prepared By:	Melissa Jones	Deputy Director, Caltrain Policy Development	650-339-1908
	David Pape	Caltrain Policy and Program Manager	650-418-6025

**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 Monthly Progress Report**

Staff Coordinating Council Reviewed Finance Committee Recommendation Technology, Operations, Planning, and Safety Committee Recommendation Advocacy and Major Projects Committee Recommendation

Purpose and Recommended Action

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

No action required.

Discussion

Staff prepares and submits a report covering the PCEP monthly.

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.

Budget Impact

There is no impact on the budget.

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



Caltrain Modernization Program Peninsula Corridor Electrification Project (PCEP)



Executive Monthly Progress Report

August 31, 2023

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1.0 EXECUTIVE SUMMARY

1.1 Introduction

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

Caltrain completed a thorough assessment of all aspects of the program including cost, schedule, risks, and organization after the global settlement in 2021. Caltrain re-baselined the program budget and schedule in December of 2021. Caltrain finished a schedule reforecast in March 2023 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 August 2023, the project is on budget:

- The current project total cost at completion (EAC) is the same as the Board adopted budget of \$2.44 billion.
- As of August 2023, a total of \$10.8M has been drawn down from the Shared Risk Pool of \$50 million. In August 2023, \$939,586.00 was drawn from the Shared Risk Pool.
- As of August 2023, a total of \$12.2M has been drawn from the project contingency of \$40 million. In August 2023, there was no draw from project contingency.
- As of August 2023, no new awards have been made from the Project incentive pool of \$18.5 million.
- As of August 2023, no incentive was issued from the milestone incentive pool of \$15 million.

1.3 Program Progress and Schedule

As of August 31, 2023, the overall project completion is 85.58%. 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 area focused bus bridges to maximize track access to allow system integration testing, signal cutovers, and proactive OCS construction productivity mitigations for the remaining PCEP work.

1.4 Change Management Board (CMB)

In August 2023, no items were brought to the CMB for approval:

1.5 This Month’s Accomplishments

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

- Successfully energized Traction Power Station 1 both lines.
- Completed Segment 1 Signal and crossing cutovers which concludes all 2SC cutover for all Segments.
- Continued to monitor monthly project schedule against the reforecast that reflects the path to completion with 31 focused area weekend closures. The reforecast schedule does not change the Project completion date. Interim milestones have been developed and measured against the reforecast schedule.
- Continued to coordinate low voltage power drop applications with PG&E and utilizing generators to support project testing and cutovers.
- Continued bi-weekly project completion road map meeting with Design-Build Contractor Executives to monitor OCS productivities and addressed TPS findings. Additional third-party crews have been working on regulations since June 2023.
- Completed operations planning, ambassador, and rail service planning effort for Segments 1 and 2 OCS construction weekend area closures for August.
- Drill track has been energized and used for Operator refresh training.
- Energized CEMOF
- Completed Segment 4 Live run testing.
- Held FTA Quarterly progress meeting.
- Continued Operator's refresher training at the Drill Track.
- Held Monthly CMB meeting for program status and change order approval.
- Continued to work with FRA on Submitted Programmatic Agreement (PA) amendment review and approval.
- 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 taking on isolation and protection service post completion of Milestone 1.
- Received FRA Test request conditional approval and prepared for EMU PTC testing on mainline.
- Finalized short circuit test sequence and test dates with PG&E support.
- Finalized Segment 4 punch list items

1.6 Upcoming work

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

- Host FTA Administrator tour of PCEP project
- Hold EMU Public event at San Francisco 4th and King
- Complete all OCS Wire and Regulation
- Complete Guadalupe OCS installation and test once Guadalupe project hands off MT2 in October of 2023
- Continue to coordinate with Broadband Project, work with vehicle

- manufacturer and revise EMU production schedule that includes broadband equipment installation.
- Continue bi-weekly project completion road map meeting with Design-Build Contractor Executives to address path to substantial completion.
- Complete service plan and special train schedule for October Segment 1 and 2 OCS remaining weekend area closure.
- Continue operations planning, ambassador, and rail service planning minor issues efforts for Segment 1 and 2 live runs by the end of December 2023.
- Continue to coordinate with PG&E on low voltage power drop applications, and distribution line de-energization work.
- Complete Live run tests for Milestone 1 limits (Diridon to San Antonio)
- Complete EMU PTC Field integrated testing include 79 mph track speed runs.
- Complete 3 joint punch list walks.
- Hold Monthly CMB meeting for program status and change order approval.
- Complete certification of compliance for Milestone 1 limits which will provide 14 miles electrified line for EMU burn-in September 2023.
- Complete EMU EMI Testing
- Complete EMU revenue service maintenance program, EMU storage plan, diesel fleet exit plan, and fleet management plan.
- Continue work with FTA and complete Programmatic Agreement (PA) amendment and finalize burial agreement and treatment plan.
- Perform PTS1 load bank test.
- Start EMU acceptance testing (burn in)

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

1.7 Critical Items

As of August 2023, PCEP has energized traction power substations, completed All Segment signal cutover, fulfilled the \$410M funding gap, and has 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
Overhead Contact System (OCS) installation delay due to low productivity Note: The project OCS work was on hold from March 10, 2022, to March 28, 2022, during the safety stand down. Segment 2 OCS was damaged during high wind and heavy rainstorms in late December 2022 and early January 2023	<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.

Critical Issues	Actions
	<ul style="list-style-type: none"> • 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 August/September 2023 due to rainstorm and long lead time for materials. • Bring on more regulating crews in May 2023. Mass will start regulating work in the first week of June 2023 – Completed. • Procure more equipment parts and ensure all equipment is performing well for construction – Completed. • Bring on equipment fitters and warehouse material manager on site – Completed.
<p>Complete TPS Short Circuit Tests</p> <ul style="list-style-type: none"> • TPS 2 short circuit test delays drill track and Segment 4 mainline energization. TPS 2 Short circuit test was performed in May 2023 with some follow up actions. • TPS 1 Short Circuit Test is scheduled for October 21st. 	<ul style="list-style-type: none"> • Perform comprehensive root cause analysis and develop corrective action plan – Completed. • 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 – On-going. • Perform technical working groups including all vendors and EOR – On-going. • Weekly management team briefing on corrective action status – On-going. • Perform independent assessment of the TPS – Completed. • Develop SSWP for all work performed at TPS for Caltrain review and approval – On-going. • Perform field verification and pre-testing before short circuit re-test – Completed. • Perform load bank testing prior to short circuit re-test. – Completed. • Developed remaining short circuit tests required for system completion – on going.
<p>Theft of impedance bond or grounding cables may delay segment live run testing because the system (or portions of the system) cannot be energized without impedance bonds</p>	<ul style="list-style-type: none"> • Monitor hot spot areas in segments 1, 3 and 4. Perform just in time replacement right before the testing. • Report Theft incidents with Transit PD • Enhance security with cameras and other monitoring systems. • Work with Communications on high voltage safety messages • Distribute high voltage safety fliers to the homeless encampments. • Implement asphalt cover for impedance bonds that have been repeatedly stolen.

2.0 SAFETY

There was 1 reportable injury in August 2023 bringing the total reportable injuries to 5 for the year. The Reportable Injury Rate (RIR) for 2023 YTD is currently 1.48. Overall, since the project’s construction started in 2017, the RIR is at 1.58, which remains below the national average of 2.5.

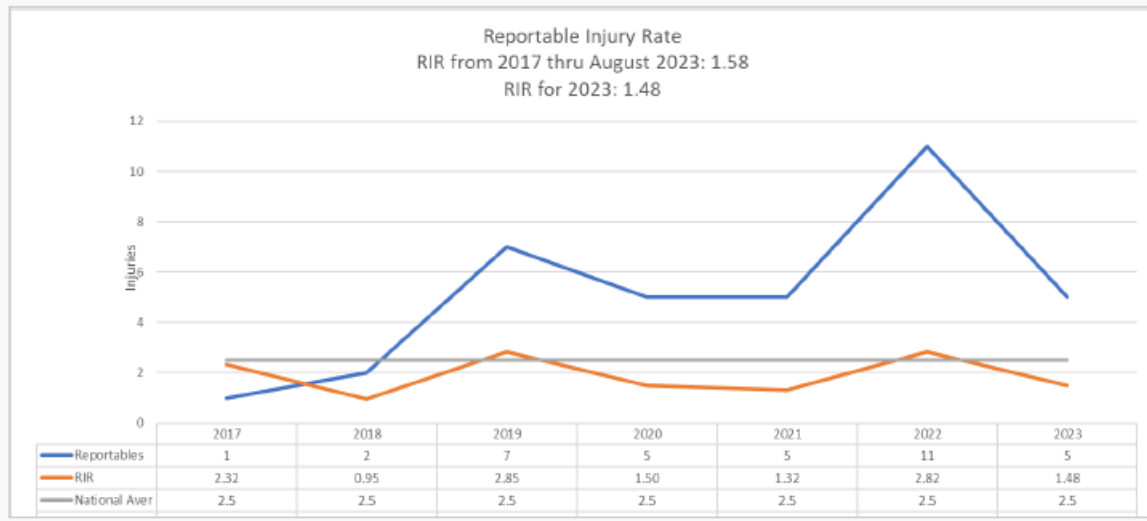


Figure 2-1. Project Reportable Injury Rate (RIR) by Year

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. Caltrain initiated the 10’/10’ rule: 10’ from track and 10’ from overhead wires.

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 and EMU First Responder training has been scheduled for San Francisco, Redwood City, San Carlos, and Belmont for September and October. All First Responder training is scheduled to be completed by the 3rd week of October.

Police Departments along the corridor are also currently being scheduled by the Transit Police to receive this training.

To date there have been 520 Emergency Responders trained and over 225 3rd party contractors and tenant railroad employees.

3.0 IMS PROGRAM SCHEDULE

3.1 Introduction

The Integrated Master Schedule (IMS) Program Summary Schedule depicted in

Figure 3-1. Master Program Summary Schedule shows the schedule status of the major PCEP projects. The current schedule dates for this program schedule were based on BBII’s August 2023 Progress Schedule as well as the Stadler August 2023 EMU Progress Schedule. The Revenue Service Date (RSD) remains as September 26, 2024, and Full Funding Grant Agreement (FFGA) Revenue Completion Date (RCD) is still shown as December 31, 2024.

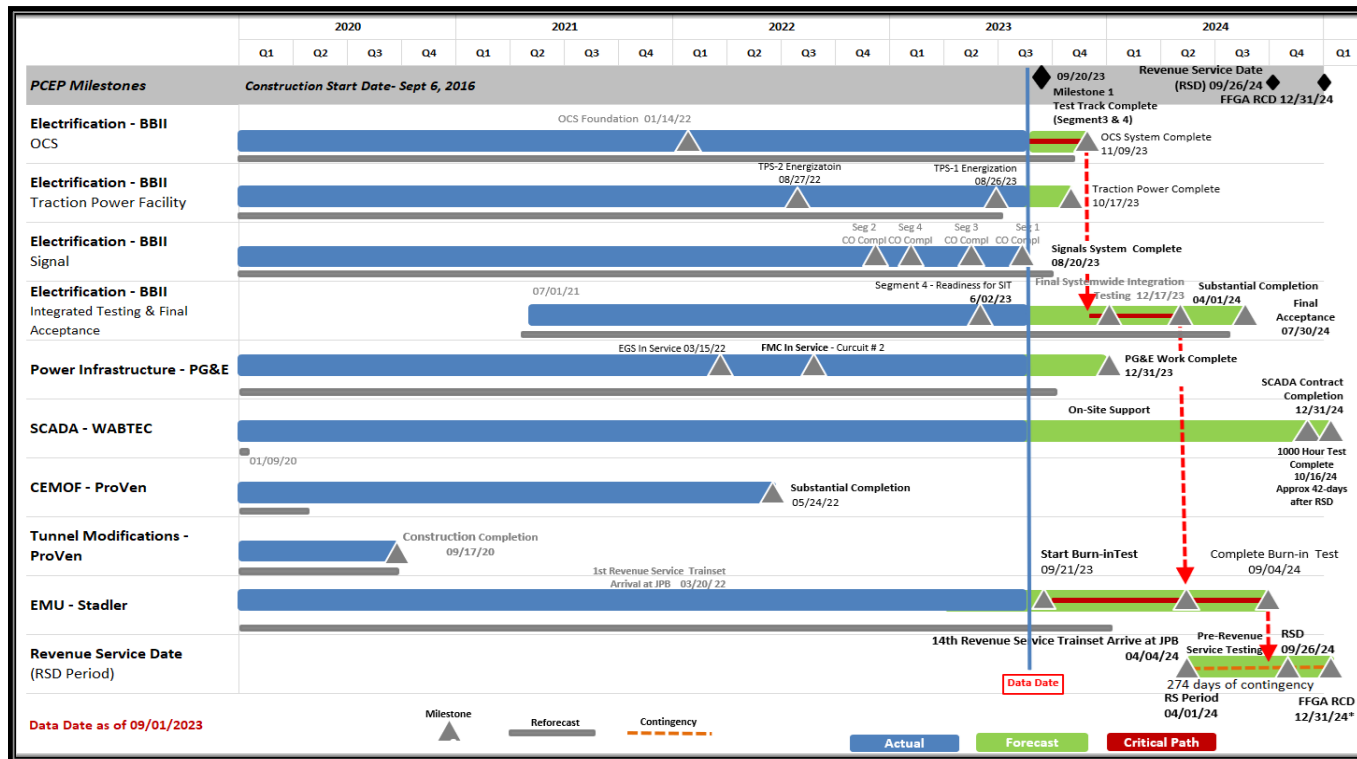


Figure 3-1. Master Program Summary Schedule

3.2 Critical Path Analysis

The current critical path has changed this month to Resolve Grounding of Foundations, Schedule Track Access for Grounding of Foundations, Install Grounding of Foundations, Finish Bonding & Grounding Segment 2, followed by the 76-day Project Schedule Contingency, Substantial Completion, and Final Acceptance. The calculated Total Float of the Longest Path equaled 1-day (as shown below).

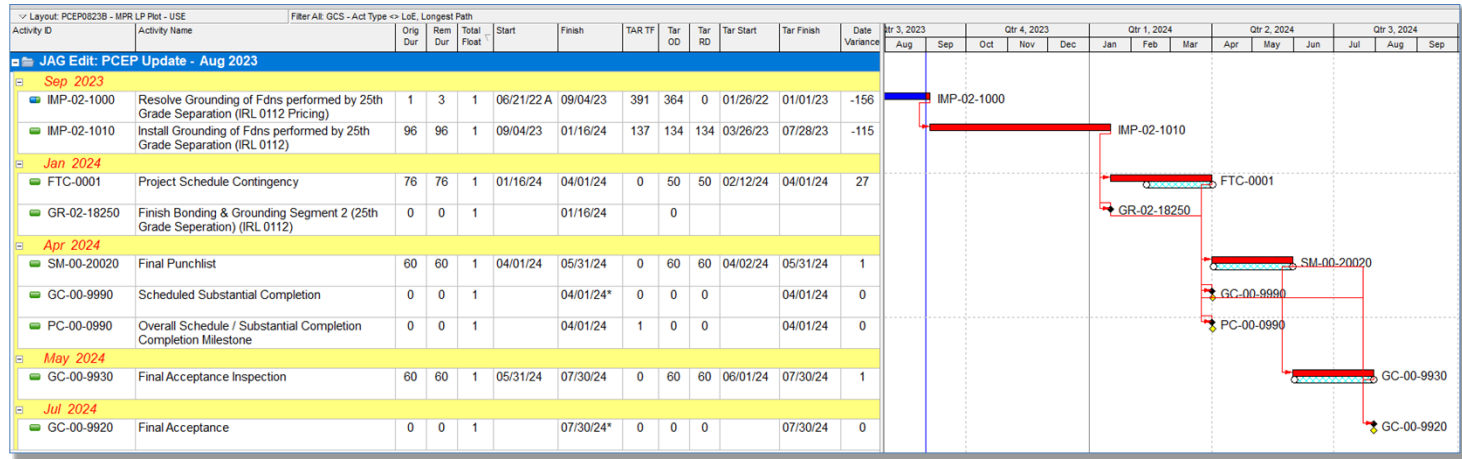


Figure 3-2. Critical Path Schedule

3.3 Schedule Contract Milestone Analysis

Contractor	Milestones	Reforecast Dates (Dec 2022)	Current Dates (Aug 2023)	Milestone Finish Date Variance	Total Float	Remarks
BBII	Segment 4 Completion (Final Short Circuit Test Report Delivered to JPB)	2/5/2023	5/31/2023	-114	N/A	Delayed by the failed short circuit testing which has delayed the EMU live runs within Segment 4. Note: This finish date does not include the Guadalupe Bridge scope of work.
BBII	System Integration Testing Start (Segment 4)	4/10/2023	6/5/2023	-55	N/A	JPB Continues to perform SIT testing in Segment 3 and 4.
BBII	Signal Cutovers and Systems Completion	8/20/2023	8/20/2023	1	0	
BBII	Traction Power Substation #1 Energization	9/12/2023	8/26/2023	18	0	
BBII	Completion of Milestone 1 (Segments 3 and 4)	5/28/2023	9/20/2023	-114	-114	Delayed by the failures in the Segment 3 and 4 integrated testing and delays in issuing the certificate of compliance for Milestone 1. This milestone signifies that all of the structural and short circuit testing is complete, and this segment is ready for live run testing.
BBII	OCS Construction Completion	10/25/2023	11/9/2023	-15	51	Delayed by Segment 2 High Pot Testing (MP 26 Dumbarton to MP 29 Alma) and Punch List work.
BBII	System Integration Testing Completion	11/18/2023	12/17/2023	-29	5	Delayed by SC Test 4 – TPS 2 Short Circuit Test and Segments 1 and 2 Live Run Testing
Stadler	14th Trainset Arrival at JPB Site	10/12/2023	4/4/2024	-175	-9	Delayed by Stadler experiencing multiple problems obtaining parts and subassemblies from their Suppliers. The date committed to deliver the first 14 Trainsets by 22-Mar-24 slipped by 13 days to 04-Apr-2023 from previous update (Stadler-056_NC_0723A).
BBII	Scheduled Substantial Completion	4/1/2024	4/1/2024	0	0	
BBII	Scheduled Final Acceptance	7/30/2024	7/30/2024	0	0	
JPB	Revenue Service Date (RSD)	9/26/2024	9/26/2024	0	N/A	
JPB	FFGA Revenue Completion Date (RCD)	12/31/2024	12/31/2024	0	N/A	

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 August 31, 2023.

4.2 Program Budget and Cost

Table 4-1. Budget Summary by Project

Description of Work	Current Budget (A) ¹	Cost This Month (B) ²	Cost To Date (C) ³	Estimate To Complete (D)	Estimate At Completion (E) = (C) + (D)	Variance at Completion (F) = (A) – (E)
Electrification	\$1,749,139,439	\$22,665,314	\$1,623,608,034	\$131,065,588	\$1,754,673,622	(\$5,534,183) ⁴
EMU	\$693,551,258	\$1,633,936	\$525,588,411	\$162,428,664	\$688,017,075	\$5,534,183
PCEP TOTAL	\$2,442,690,697	\$24,299,250	\$2,149,196,445	\$293,494,251	\$2,442,690,697	\$0

- Column A "Current Budget" includes re-baseline and executed change orders and awarded contracts.
- Column B "Cost This Month" represents the cost of work performed this month.
- Column C "Cost to Date" includes actuals (amount paid) and accruals (amount of work performed) to date.
- Column F "Variance at Completion" includes forecasted transfer of contingency from EMU to Electrification project.

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	\$1,096,992,463	\$15,850,326	\$982,293,223	\$114,583,240	\$1,096,876,463
EMU Procurement	\$556,072,601	\$564,269,610	\$716,661	\$433,756,668	\$131,229,603	\$564,986,271
Minor Construction Contracts (Tunnel, CEMOF, SCADA, Non-BBI OCS)	\$67,055,072	\$68,248,611	\$46,972	\$64,943,792	\$2,382,275	\$67,326,067
Real Estate Acquisition & Support	\$34,914,177	\$34,914,177	\$91,040	\$24,532,918	\$10,381,259	\$34,914,177
PG&E, Utilities	\$132,088,994	\$132,088,994	\$1,356,986	\$206,992,015	-\$78,732,620	\$128,259,394
Management Oversight & Support	\$312,699,697	\$315,007,767	\$2,997,769	\$281,702,098	\$33,305,669	\$315,007,767
TASI Support	\$114,488,767	\$114,488,767	\$1,746,623	\$104,827,750	\$31,700,719	\$136,528,469
Finance Charges	\$9,898,638	\$9,898,638	\$286,488	\$9,740,871	\$157,767	\$9,898,638
Insurance	\$6,581,851	\$6,581,851	\$0	\$6,291,001	\$290,850	\$6,581,851
Other Required Projects & Services	\$9,084,176	\$10,484,176	\$335,501	\$5,555,762	\$5,128,414	\$10,684,176
Environmental Mitigation	\$14,438,866	\$13,038,866	\$44,530	\$1,294,369	\$11,544,497	\$12,838,866
Caltrain Capital Overhead (ICAP)	\$48,217,887	\$48,217,887	\$826,354	\$27,265,978	\$20,951,909	\$48,217,887
Contingency	\$40,000,089	\$28,458,888	\$0	\$0	\$10,570,669	\$10,570,669
Total	\$2,442,690,697	\$2,442,690,697	\$24,299,250	\$2,149,196,445	\$293,494,251	\$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 August 2023

Risk ID	Risk Description	Risk Amount	Current Month	Executed to Date	Remaining Balance
1	Permanent Power Availability	\$268,572	\$0	\$178,365	\$90,207
2	Different Site Condition for OCS Foundation	\$3,500,000	\$36,039	\$1,253,451	\$2,246,549
3	Different Site Condition for Duct bank	\$2,800,000	\$0	\$435,798	\$2,364,202
4	Condition of existing Fiber backbone infrastructure	\$3,150,000	\$0	\$402,275	\$2,747,725
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	\$507,167	\$31,405
8	EMI Nonconformance by EMU Vendor	\$750,000	\$0	\$13,184	\$736,817
9	Reed Street Cutover	\$90,000	\$0	\$0	\$90,000
10	Availability of low voltage power for cutover testing	\$1,120,000	\$636,985	\$2,381,123	-\$1,261,123
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	\$157,418	\$157,418	\$10,083
14	Supply chain issue due to COVID 19	\$300,000	\$0	\$28,923	\$271,077
15	End to end Systems integration commissioning	\$2,100,000	\$0	\$0	\$2,100,000
16	Existing Caltrain Operating systems interface and integration	\$1,400,000	\$0	\$71,920	\$1,328,080
17	Third party Approval	\$150,000	\$0	\$353,277	-\$203,277
18	Impact from Caltrain other capital or third-party projects	\$2,166,683	\$0	\$888,836	\$1,277,846
19	Track access delay for BBII Construction	\$1,800,000	\$79,089	\$750,441	\$1,049,559
20	Additional light Maintenance and Protection Needs	\$280,000	\$0	\$164,531	\$115,469
21	Crossing Protection	\$220,000	\$0	\$102,334	\$117,666
22	Power facilities	\$500,000	\$0	\$845,576	-\$345,576
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	\$30,055	\$2,118,794	\$9,881,207
NA	Unidentified	\$54,179	\$0	\$0	\$54,179
	BBII Risk Pool Total	\$50,000,000	\$939,586	\$10,760,959	\$39,239,041

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 as well as transfers from contingency forecasted to be needed.

Table 4-4. Program Contingency Drawdown Balance

Change Order ID	Description	Contingency
PCEP Contingency Budget		\$40,000,088
STA-056-CCO-038	Allowance for Electric Power Cost at TTCI	(\$132,365)
STA-056-CCO-041	Manual Phase Break	(\$43,520)
STA-056-CCO-042	Stadler Project Time Extension	(\$8,021,124)
ARINC-061-CCO-005	Traction Power Facility SCADA Database Changes	(\$1,036,122)
PROV-070-CCO-056	Proven Tunnels Final Settlement	\$1,000,000
PROV-071-CCO-069	Proven CEMOF Final Settlement	(\$1,000,000)
BT-027D	Legal Support FY23 - PG&E Counsel	(\$200,000)
BT-029D	GFI Electrification FY23-24 Additional Staff	(\$2,108,070)
STA-056-CCO-053	Stadler – Passenger Convenience Outlets	(\$716,661)
Remaining Contingency		\$27,742,227
BT-049	CNPA – Mary Ave Pre-emption (Non-PCEP)	\$116,000
PG&E-042-BT-5	PG&E – Supplemental Agreement 4 – EAC Update	\$3,829,600
BT-035C	TASI Support – Electrification (2023-2024) rev1	(\$22,039,703)
PROV-070-CLOSE	Proven Tunnels – Close out of Final Actuals	\$184,910
PROV-071-CLOSE	Proven CEMOF – Close out of Final Actuals	\$580,217
Forecasted Remaining Contingency		\$10,413,251

The total Program Contingency as of the December 2021 Re-Baseline Budget totaled \$90M including Allocated and Unallocated Contingency, and BBII Risk Pool. Table 4-5 summarizes the current remaining and forecasted contingency balance as of the monthly update.

Table 4-5. Overall Program Contingency

	Total E = (A+D)	Shared Risk Pool with BBII	Program Contingency		
		BBII Risk Pool (A)	Allocated (B)	Unallocated (C)	Subtotal D = (B+C)
PCEP Contingency	\$90,000,088	\$50,000,000	\$24,115,581	\$15,884,507	\$40,000,088
Drawn Contingency	(\$23,018,820)	(\$10,760,959)	(\$8,521,124)	(\$3,736,738)	(\$12,257,862)
Remaining Contingency	\$66,981,268	\$39,239,041	\$15,594,457	\$12,147,769	\$27,742,227
Forecasted Contingency	(\$17,328,976)	\$0	(\$13,432,281)	(\$3,896,694)	(\$17,328,976)
Forecasted Remaining Contingency	\$49,652,292	\$39,239,041	\$2,162,176	\$8,251,075	\$10,413,251

4.4 Electrification Design Builder Contract Incentives

The Global Settlement with BBII also includes incentives based on Milestone completions and remaining contract incentives. Table 4-5 provides a status of Design-Build Contractor incentives Budgeted, Awarded, and remaining Balance.

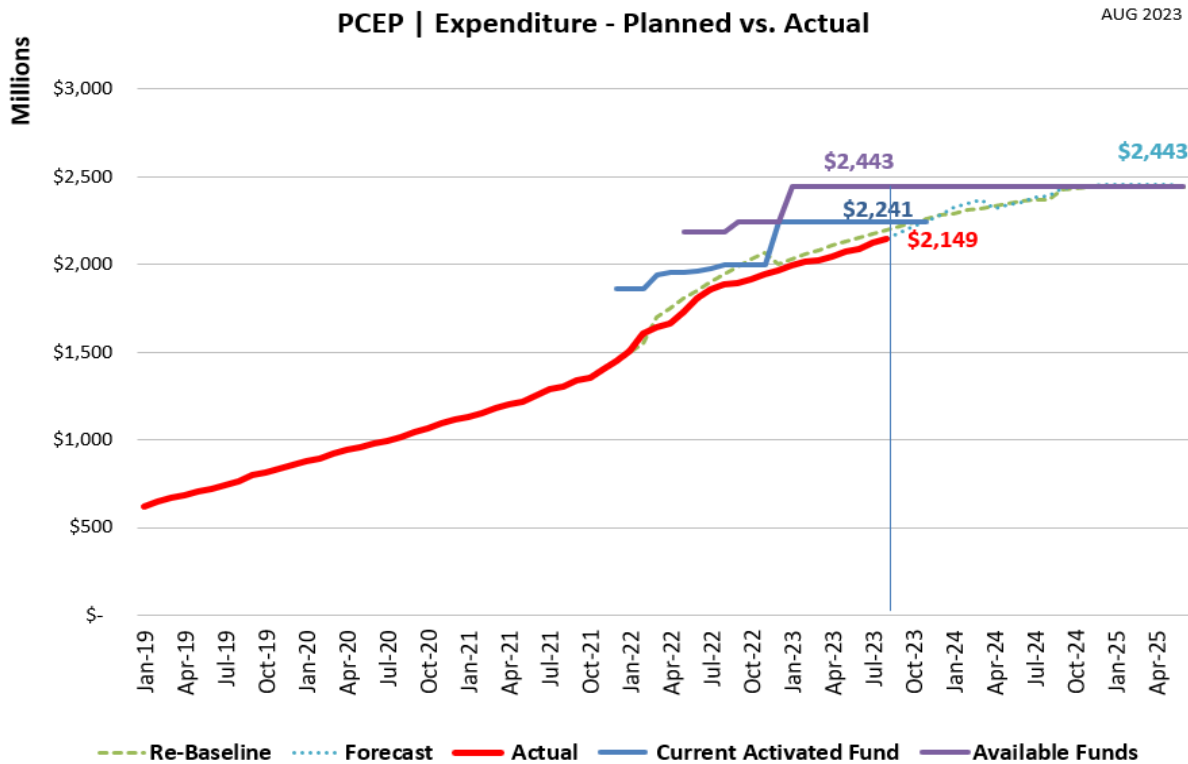
Table 4-6. BBII Incentives

Incentives	Budgeted	Awarded	Balance
Contract Incentive:			
Quality	\$1,250,000	\$1,000,000	\$250,000
Safety	\$2,500,000	\$1,000,000	\$1,500,000
Community Outreach	\$2,500,000	\$2,000,000	\$500,000
DBE	\$900,000	\$0	\$900,000
Total Contract Incentive	\$7,150,000	\$4,000,000	\$3,150,000
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	\$0	\$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 4-7. Cost and Funding Issues Identified, and Actions Taken for August 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.

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/CCO

The following Shared Risk items were executed in August 2023:

- Track Access Delays April 2023 was executed on August 14, 2023, for \$32,845.
- Track Access Delays for May 2023 was executed on August 14, 2023, for \$46,244.
- S2 Low Voltage Power Connection is not Available to Support Cutover April 2023 was executed on 8/3/23 for \$217,404.
- S2 Low Voltage Power Connection is not Available to Support Cutover May 2023 was executed on 8/3/23 for \$224,697.
- S2 Low Voltage Power Connection is not Available to Support Cutover June 2023 was executed on 8/3/23 for \$194,884.
- MP49.1-01 Foundation Issue was executed on August 23, 2023, for \$5,230.
- S1A and S1B Tunnel Portal Surge Arrestors was executed on August 14, 2023, for \$152,418
- Environmental Support from Dudek for Programmatic Agreement was executed on August 10, 2023, for \$30,055.
- CCO-044 EMU Convenience Outlet Current Limit was executed on August 16, 2023, for \$955,548.
- CCO-045 Option 2 EMU Trainsets was executed on August 14, 2023, for \$183,218.
- CCO-046 Option 2 BEMU Trainsets was executed on August 14, 2023, for \$60,976,504.

5.2.2 CMB Approved Items

- No items to report for this period.

5.2.3 Upcoming Change Orders/Shared Risk Items

- EMU Convenience Outlet Modification
- Debris Pile Removal at FDN 46.1-19
- Tap Settings Change (to 26.5kv)
- Pole Recoloring at 4th & King Station
- 4th & King Flagpole Removal

5.3 Issues

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

Issues	Actions
<p>Segment 4 Maintenance Option in the existing BBII Contract was never exercised. Maintenance of OCS/TPS for Milestone 1 limits (Diridon to San Antonio) will be needed once Milestone 1 is complete and once Caltrain is using it for EMU burn in under 25kV.</p>	<ul style="list-style-type: none"> • Define EMU testing and burn in work schedule - Completed. • BBII provides isolation and protection once Segment 4 is powered up. • Prepare Request for Proposal for OCS/TPS SOW – Completed. • Maintenance Service for public procurement strategy has changed to implementing amendment to railroad operator and maintainer TASI for OCS/TPS maintenance work. • Develop evaluation criteria for TASI Maintenance Service proposals. • Recommend for award and obtain JPB board approval.