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EXECUTIVE DIRECTOR

# AGENDA

## PENINSULA CORRIDOR JOINT POWERS BOARD

### Technology, Operations, Planning, and Safety (TOPS) Committee Meeting

October 25, 2023, 1:30 pm

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

Committee Members: Rico E. Medina (Chair), Pat Burt, Shamann Walton

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/81186731470?pwd=OUE3b0ZiY3ZoYzRCN280UG5Gb9Wz09> or by entering Webinar ID: **811 8673 1470**, Passcode: **274739**, in the Zoom app for audio/visual capability or by calling 1-669-219-2599 (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
- Congestion or runny nose
- Nausea or vomiting
- Muscle or body aches
- Diarrhea
- Fever or Chills
- Loss of taste or smell
- Shortness of Breath

Public Comments: Public comments may be submitted to [publiccomment@caltrain.com](mailto: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 25, 2023 - Wednesday**

**1:30 pm**

*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. Public Comment on 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 to reply.
4. Meeting Minutes of September 27, 2023 Motion
5. Authorize Use of Construction Manager General Contractor (CMGC) Project  
Delivery Method Pursuant to Public Utilities Code Section 103394 for the Middle  
Avenue Pedestrian and Bicycle Undercrossing Project Motion
6. Receive Update on Organizational Readiness for Rail Activation Informational
7. Receive Update on Caltrain Safety Performance Informational
8. Committee Member Requests
9. Date/Time of Next Regular TOPS Committee Meeting: Wednesday, November 29, 2023 at 1:30 pm.  
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 94070.
10. 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](http://www.caltrain.com). Communications to the Board of Directors can be e-mailed to [board@caltrain.com](mailto: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 Technology, Operations, Planning, and Safety (TOPS) Committee: Two Wednesdays before the Board meeting, 1:30pm. 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](mailto: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](mailto: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.

**Peninsula Corridor Joint Powers Board  
Technology, Operations, Planning, and Safety (TOPS) Committee  
1250 San Carlos Avenue, San Carlos, CA 94070**

**Minutes of September 27, 2023**

**Members Present:** Shamann Walton, Rico E. Medina (Chair)  
**Members Absent:** Pat Burt  
**Staff Present:** M. Bouchard, T. Burgwyn, J. Harrison, M. Jones, D. Seamans, A. Timbers,  
M. Tseng

**1. Call to Order/Pledge of Allegiance**

Chair Medina called the meeting to order at 1:30 pm and led the Pledge of Allegiance.

**2. Roll Call**

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

**3. Public Comment on Items not on the Agenda - There were none.**

**4. Meeting Minutes of August 30, 2023**

Motion/Second: Medina/Walton

Ayes: Walton, Medina

Noes: None

Absent: Burt

**5. Authorize Executive Director to Enter into a Contract with Caltrans to Receive Sustainable Transportation Planning Grant Program Funds**

Amelia Timbers, Manager of Environmental Compliance, provided the presentation which included the following:

- Focused on climate adaptation for climate change vulnerability and planning adaptation
- Scope Part 1 - analyzing aspects of operations, including passengers, right-of-way, the catenary system infrastructure assets, and service
- Scope Part 2 – engaging disadvantaged communities and a broad set of stakeholders to go beyond empirical data and seek their lived experiences accessing Caltrain services
- Fiscal year 2025 budget amendment to add the remaining needed local matching funds
- Procurement expected in early 2024 and the work has to be completed by April 2026

Motion/Second: Walton/Medina

Ayes: Walton, Medina

Noes: None

Absent: Burt

**6. Proposed Electrified Service Plan for Fall 2024**

Melissa Jones, Deputy Director of Policy Development, provided the presentation which included the following:

- Continue diesel service between Tamien and Gilroy and starting to test new trains
- Service to start in Fall 2024 with the new schedule and service plan
- Once the Peninsula Corridor Electrification Project (PCEP) project is completed, the Federal Transit Administration (FTA) grant calls for expanded service up to 114 trains
- A waiver was requested to delay service expansion until ridership returns

Theodore Burgwyn, Director, Rail Network and Operations Planning, provided the presentation which included the following:

- Introduced a South County connector train to serve stations on the non-electrified Gilroy segment; transferring from a diesel train to a North bound electric express train allows for a shorter connection time when riders switch trains at the San Jose station
- 30-minute headways all day and reduced 20 stopping patterns down to four
- Bi-hourly local service pattern will make all stops; peak hours overlaid with Express A and Express B options
- Most feedback received was on increasing weekend service – need to look at financial impact
- Running the same number of trains as today's schedule, the new electrified service plan will increase frequency at stations for a total 20 percent increase in station stops

Public comments

Jordan Moldow, San Jose, commented on running more frequent service than every 30 minutes, 15 minutes is the minimum for good service, and increased costs will be recovered by increased ridership.

Adina Levin, Friends of Caltrain and Seamless Bay Area, appreciated getting electric service close to customer delivery, a schedule that takes advantage of electric trains providing faster service, and having an overall simpler schedule.

Andrew Yang, San Francisco resident, appreciated the efforts for better and more frequent service, supported continued investment, more frequent service, and timing scheduled transfers between services (Bart and Muni), and having more frequent weekend services.

**7. Committee Member Requests** – There were none

**8. Date/Time of Next Regular TOPS Committee Meeting: Wednesday, October 25, 2023 at 1:30 pm.**

**9. Adjourn** - Meeting adjourned at 2:04 pm

**Peninsula Corridor Joint Powers Board  
Staff Report**

To: Technology, Operations, Planning, and Safety Committee  
Through: Michelle Bouchard, Executive Director  
From: Robert Barnard, Deputy Chief, Rail Development  
Subject: **Authorize Use of Construction Manager General Contractor (CMGC) Project Delivery Method Pursuant to Public Utilities Code Section 103395 for the Middle Avenue Pedestrian and Bicycle Undercrossing Project**

<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 (the “Board”) of the Peninsula Corridor Joint Powers Board (“JPB”):

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

**Discussion**

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

Pursuant to Public Utilities Code Section 103395, et seq., the JPB may enter into a CMGC project delivery method contract only after taking the following steps. First, JPB must evaluate the traditional Design-Bid-Build (DBB) and CMGC method of project delivery in a public meeting. Second, the JPB must then make written findings that the use of the CMGC project delivery method on a specific project under consideration will accomplish one or more of the following objectives:

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

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

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

The objectives of the Middle Avenue Undercrossing Project are to:

- Improve safety for pedestrian and bicyclists, who would otherwise have to travel to adjoining grade crossings to cross over the tracks
- Provide a more direct and safer connection to schools, communities and commercial centers on either side of the Caltrain tracks

After assessment of the respective merits of both the DBB, Progressive Design Build (PDB) and CMGC project delivery methods and how these different project delivery methods would best address the unique features and complexities of the Project, Staff have determined that the use of the CMGC project delivery method will provide features that are not achievable through the DBB process. The CMGC project delivery method will allow contractor collaboration with the designer, providing opportunities to improve the project with innovative solutions. CMGC project delivery is also anticipated to result in reduced project costs and expedited project completion. Proof of the cost and schedule benefits resulting from CMGC project delivery are documented in many industry documents and reports. A listing of some of the available industry documents and reports related to CMGC project delivery cost and schedule benefits are included in the *References* section of the *Alternative Project Delivery Decision Report* dated October 2023, documenting the methods and results of the September 2023 Project Delivery Assessment Workshop. The *Alternative Project Delivery Decision Report* is available upon request.

Staff recommends that the Board make these findings and authorize the use of the CMGC method for the Project. In the future, Staff will seek authorization from the Board to (1) enter

into agreements with City of Menlo Park to add to the budget to the Final Design and Pre-Construction phase; (2) amend the FY23 capital budget to include new funds; and (3) amend the Project budget authority.

**Budget Impact**

There is no immediate budget impact as the result of Board action to authorize use of the CMGC contracting approach over the traditional DBB contracting process for the Middle Avenue Pedestrian and Bicycle Undercrossing Project.

Separate from this Board action, project cost updates and project delivery contract negotiations affecting the Middle Avenue Pedestrian and Bicycle Undercrossing Project budget will be discussed and reflected in future JPB budgets.

**Background**

The Middle Avenue Undercrossing project has been a priority project for the City of Menlo Park to improve bicycle and pedestrian safety and connectivity across the Caltrain railroad tracks. In 2016, the City received a grant from SMCTA to fund planning and preliminary design of the proposed undercrossing. After extensive community outreach, the City selected a preferred design in 2019 with further revisions adopted in 2023 to address Caltrain construction and right of way requirements.

**Assessment of Project Delivery Method**

In September 2023, in order to select the most appropriate project delivery method for the Project, six representatives of the local government bodies involved in the project (three from Caltrain, two from the City of Menlo Park, and one from SMCTA) met and conducted a facilitated Project Delivery Assessment Workshop. The objective of the Workshop was to allow the evaluators to compare and score DBB, PDB, and CMGC project delivery methods.

The Workshop participants then completed the Transportation Cooperative Research Program (TCRP) Report 131-based analytical project delivery method assessment and the issue rankings were noted. This analytical project delivery assessment was conducted as a facilitated group discussion with the issue ranking completed using a consensus approach. Following the TCRP Report 131-based project delivery method assessment, the participants individually and without discussion completed the Modified Caltrans Quantitative Project Delivery Assessment Worksheets. The participants’ issues ranking and worksheet scores were recorded by the facilitator. The ranking summary is as follows:

Ranking or Scoring Method	DBB	CMGC	PDB
TCRP Report 131 Analytical Method	51	60	35
Modified Caltrans Quantitative Method	77	99	88



Based on the results of the three project delivery method assessment analyses, the CMGC project delivery method will achieve the Project schedule objectives and reduce Project costs, providing the dominant and obvious choice for delivering the Middle Avenue Pedestrian and Bicycle Undercrossing Project. The conclusion reached by the evaluation team is that the CMGC project delivery method offers several advantages over the traditional Design-Bid-Build method and the alternative Progressive Design-Build method, including potential time and cost savings and providing opportunities for project innovation.

### **Conclusions of the Assessment**

As noted in the Assessment of Project Delivery Method section, the project delivery evaluation team conducted two detailed analyses of potential project delivery methods in a facilitated Workshop. The results of these analyses presented in the previous section demonstrate the CMGC project delivery method is superior to the traditional DBB and alternative PDB project delivery methods. The Workshop methods and analysis results are documented in the *Alternative Project Delivery Decision Report* dated October 2023.

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

Specific findings which substantiate these conclusions for the Project are as follows:

**Findings:** The CMGC project delivery method will result in substantial savings and reduced financial risk to the JPB. Reduced risk provides a significant value and potential savings.

- a. **Reduced Financial Risk:** The Project will occur during challenging economic conditions within the construction industry. It would be very costly and disruptive if these economic conditions created undue risk and potentially negative financial impacts on the JPB's projects. Using the CMGC project delivery method will allow the JPB to look deeply into the contractor's financial strength and expertise and eliminate participation by those companies who do not have the financial strength or qualifications to successfully complete the project.
- b. **Total Contract Price (TCP) establishes a total contract price prior to starting construction:** The contractor will be able to obtain a complete understanding of the JPB's needs, the Owner's design intent, the scope of the project, the condition of the existing facilities, and the operational needs of the JPB by participating in the development of the design documents. By participating in this pre-construction phase of the Project, the contractor will be able to offer value engineering (VE) suggestions for cost and schedule savings, improvements to the design, and focus the design on the contractor's preferred construction means and methods. With the benefit of this

knowledge, the contractor will be able to negotiate a TCP paid by the JPB for the Project, before JPB executes the construction contract.

- c. **Fewer Change Orders:** When the contractor participates in the pre-construction design process, fewer change orders will occur during the construction process. This is due to the contractor's better understanding of the owner's needs and the designer's intent, and a project design tailored to meet the contractor's proposed means and methods and construction phasing. As a result, the Project is more likely to be completed on time and on budget. In addition, fewer change orders reduce project management costs for both the JPB and the contractor.
- d. **TCP Change Orders are Reduced:** The traditional DBB project delivery method requires the designer to anticipate the low-bid contractor's preferred means and methods and construction phasing and to develop construction plans to accommodate a range of potential construction means and methods. With the contractor's participation in the pre-construction design phase, the designer will focus its design solutions to accommodate the contractor's preferred means and methods and construction phasing, reducing design effort and optimizing construction cost. Industry experience shows contractor participation during the pre-construction design phase avoids and in some cases eliminates contractor Value Engineering proposals and constructability claims during construction. Industry experience shows these benefits are achievable regardless of when contractor participation begins during the pre-construction design phase.
- e. **TCP Change Orders Cost Less:** The traditional Design-Bid-Build project delivery method typically results in contractors charging up to 20% mark-up on construction contract change orders. The CMGC project delivery method applies predetermined mark-ups less than this value. If construction change orders are encountered, the industry experience has been to establish the allowable contractor fixed fee mark-up in the range of 5% to 10%.
- f. **Contractor Construction Fee is Less:** Contracts with the contractor are designed to create a better working relationship between all parties resulting in better risk identification and allocation and reduced risk to the contractor. As a consequence, the contractor's overhead and profit fee is generally in the 3% to 5% range which is lower than the mark-up usually applied to traditional design-bid-build projects.
- g. **The JPB has an Off-Ramp:** In the event the JPB and the contractor cannot reach agreement on the TCP for the construction phase work, the JPB will not execute the contractor's construction phase contract and will advertise and award a contract for the Project using any other method of project delivery permitted by law.

Prepared By:	Arul Edwin	Senior Project Manager	650 339 8845
	Robert Barnard	Deputy Chief, Rail Design and Construction	650.508.7783

**Resolution No. 2023 –**

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

\* \* \*

**Authorize Use of Construction Manager General Contractor (CMGC) Project Delivery  
Method Pursuant To Public Utilities Code Section 103395 for the Middle Avenue  
Pedestrian and Bicycle Undercrossing Project**

**Whereas**, the City of Menlo Park (City) desires to implement a Middle Avenue pedestrian and bicycle undercrossing across the Caltrain tracks to improve safety and connect the communities; and

**Whereas**, the Middle Avenue Pedestrian and Bicycle Undercrossing Project (Project) objectives are to: improve pedestrian and bicycle connectivity and safety; and support activity centers such as schools and commercial centers; and

**Whereas**, the Legislature enacted Assembly Bill 797 in 2013 to authorize the San Mateo County Transit District to use the Construction Manager General Contractor (CMGC) project delivery approach for public transit projects within its jurisdiction. This authorization extends to the Peninsula Corridor Joint Powers Board (JPB) pursuant to the Joint Powers Agreement, which established the JPB; and

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

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

**Whereas**, agency staff representatives of the Peninsula Corridor JPB, City of Menlo Park, and SMCTA have investigated different project delivery methods and have evaluated the respective merits of delivering the Project through the CMGC project delivery method versus the DBB method and the Progressive Design Build (PDB) method; and

**Whereas**, Staff have determined that use of the CMGC project delivery method will benefit the JPB by providing project features not achievable through the DBB project delivery method, such as opportunities for project innovation, and will likely also result in the reduction of project costs and promote the expeditious completion of the project; and

**Whereas**, Staff recommends that the Board make findings that the use of the CMGC project delivery method is in the best interest of the JPB and authorize the use of the CMGC project delivery method to complete the Project; and

**Now, Therefore, Be It Resolved** that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby finds that utilizing the CMGC project delivery method pursuant to Public Utilities Code Section 103395, et seq. for the Project will be in the best interest of the JPB as it will accomplish the objectives of providing project features not achievable through the traditional DBB project delivery method and will likely also reduce project costs and expedite completion; and

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

**Be It Further Resolved** that the Board authorizes the Executive Director, or designee, to file any other required documentation and to take such additional actions as may be necessary to give effect to this resolution.

Regularly passed and adopted this 2<sup>nd</sup> day of November 2023 by the following vote:

Ayes:

Noes:

Absent:

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Chair, Peninsula Corridor Joint Powers Board

Attest:

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JPB Secretary  
(00497601)

**Peninsula Corridor Joint Powers Board  
Staff Report**

To: Technology, Operations, Planning, and Safety Committee  
Through: Michelle Bouchard, Executive Director  
From: John Hogan, Chief Operating Officer  
Subject: **Receive Update on Organizational Readiness for Rail Activation**

Finance Committee  
Recommendation

Technology, Operations, Planning,  
and Safety Committee  
Recommendation

Advocacy and Major Projects  
Committee Recommendation

**Purpose and Recommended Action**

This report is an informational item that provides an update on Caltrain’s Rail Activation Program, which is an ongoing effort to manage all revenue start-up activities for the transition from electrification construction to electrified operations. It requires no action by the Board of Directors (“Board”) of the Peninsula Corridor Joint Powers Board (“JPB” or “Caltrain”).

**Discussion**

*1. Rail Activation Background and Scope:*

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, 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).

A Rail Activation Committee (RAC) has been established to manage the successful launch of electrified revenue service following PCEP substantial completion by developing a guiding program for commissioning, systems integration, safety certification, testing, training, and overall resource planning. The RAC meets on a weekly basis, and its purpose is to:

- establish clear goals, roles and responsibilities to ensure readiness for electrified passenger service;
- develop a comprehensive understanding of all necessary start-up activities for revenue service; and
- ensure buy-in from full organization for the transition from construction to operations and maintenance.

Key focus areas of the Rail Activation Program include, but are not limited to:

- Safety and Security
  - System safety certification
  - Vehicle storage plan
  - Emergency preparedness
  - First responder training
  - Isolation protection services
- Revenue Service Readiness
  - Training, certification, and hiring
  - Operations & Maintenance plans
  - Legacy fleet retirement
  - Electrified service plan
- Community Outreach
  - Public tours
  - Safety campaigns
  - Marketing
- Financial Plan
  - Start-up costs
  - Energy procurement strategy

## 2. *Rail Activation Roles:*

The RAC is led by a Director of Rail Activation and Transition with dedicated engineering and project management support.

Caltrain's Operations and Maintenance (O&M) department along with the JPB's rail service contractor, TransitAmerica Services, Inc. (TASI), are also heavily involved in the start-up efforts to ensure that the Electrification Program, once in revenue service, meets all Caltrain's benchmarks for safe, reliable, and efficient operations. To that end, Caltrain O&M staff participate in the RAC and work closely with the PCEP project team and contractors on development of the Overhead Contact System (OCS)/Traction Power System (TPS) maintenance program, training, and pre-revenue service planning.

Rail Activation is a collective effort that includes support from nearly every department and shared service function throughout the organization. These include Caltrain Planning, Design and Construction, Safety and Security, Human Resources, Finance, Budgets, Contracts and Procurement, Communications, Government and External Affairs, Information Technology, and Real Estate and Grants. Additional coordination is taking place with SamTrans support departments, especially Communications, Finance, Contracts & Procurement, Information Technology, and People and Culture.



3. *Next Steps:*

The JPB has requested a peer review of Caltrain’s operational readiness for electrified revenue service, which is being facilitated by the American Public Transportation Association (APTA). The five focus areas of that review are:

- Proposed organization for Caltrain to manage the unique responsibilities of an electrified, shared rail corridor.
- Identification of key staff resources required to complete the transition to an electrified commuter railroad and management of a large capital program.
- Strategies for attracting and retaining capable staff resources.
- Assessing the relationship of Caltrain to other organizations for fiscal and administrative support.
- Role of the Caltrain Board to provide policy guidance related to the transition to electrified operations.

The APTA peer review kicked off in July 2023, and the Board will receive a presentation on key findings and recommendations in November.

Upcoming activities for the Rail Activation Program include:

- Conduct follow-up department interviews to verify ownership of and deadlines for key organizational readiness activities.
- Host a workshop to review the Rail Activation risk register and develop appropriate mitigations.
- Identify comprehensive list of “start-up” costs needed to procure additional equipment, materials, and facilities as well as implement necessary modifications and mitigations for a successful transition from construction to operation.

**Budget Impact**

Funds to support OCS and TPS maintenance and additional personnel hiring are included in JPB’s Fiscal Year 2024 and 2025 adopted operating budgets. However, as with any major construction project, there is the possibility of experiencing unexpected costs and requirements during the commissioning period and transition to operations. The RAC is currently identifying potential start-up costs and funding sources for necessary Rail Activation activities that extend beyond the PCEP scope.

Prepared By:	Mark Clendennen	Director, Rail Activation & Transition	650.632.6825
	Graham Rogers	Business Operations Project Manager	650.551.6169

**Peninsula Corridor Joint Powers Board  
Staff Report**

To: Technology, Operations, Planning, and Safety Committee  
Through: Michelle Bouchard, Executive Director  
From: Mike Meader, Caltrain Safety  
Subject: **Receive Update on Caltrain Safety Performance**

Finance Committee Recommendation       Technology, Operations, Planning, and Safety Committee Recommendation       Advocacy and Major Projects Committee Recommendation

**Purpose and Recommended Action**

This item is for informational purposes only.

**Discussion**

This report and accompanying presentation are submitted to keep the Board advised as to the Safety Performance of Caltrain based upon measurement of Key Performance Indicators (KPIs or metrics). Caltrain is committed to providing a safe work environment for our employees and contractors, and safe and efficient train service for our customers. Caltrain is also committed to continuous improvement through the capture and analysis of KPIs. Regularly reviewing these metrics will enable staff to identify areas needing improvement and focus our activities to achieve improved safety performance.

Caltrain will provide quarterly safety reports to the board and will be sharing this same information with employees as we work to build a stronger Safety Culture consistent with our #1 Core Value – Safety – First and Always and our System Safety Program Plan (SSPP). These reports will include both lagging safety performance indicators reported to the Federal Railroad Administration (FRA) and leading safety performance indicators. While lagging indicators can alert you to a failure in your safety program or to the existence of a hazard, leading indicators allow an organization to take preventive action to address that failure or hazard before it turns into an incident.

**Budget Impact**

There is no impact on the budget associated with receiving this informational update. Caltrain’s ability to further enhance its safety program is contingent on the availability of funding dedicated to that purpose.

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