



# AGENDA

## PENINSULA CORRIDOR JOINT POWERS BOARD

**Due to COVID-19, this meeting will be conducted via teleconference only (no physical location) pursuant to the [Governor’s Executive Orders N-25-20 and N-29-20](#).**

**Directors, staff and the public may participate remotely via Zoom at**

**<https://zoom.us/j/91412776292?pwd=cVdKa01PK2FKdm1CSUwwZXR3RmlkUT09>**

for audio/visual capability or by calling 1-669-900-6833, Webinar ID: #914 1277 6292, for audio only. The video live stream will be available during or after the meeting

at <http://www.caltrain.com/about/bod/video.html>

**Public Comments: Members of the public are encouraged to participate remotely.** 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 [http://www.caltrain.com/about/bod/Board\\_of\\_Directors\\_Meeting\\_Calendar.html](http://www.caltrain.com/about/bod/Board_of_Directors_Meeting_Calendar.html).

Oral public comments will also be accepted during the meeting through \*Zoom or via the teleconference number listed above. Public comments on individual agenda items are limited to one per person PER AGENDA ITEM. Use the Raise Hand feature to request to speak. for public 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 the Hand feature for public comment and press \*6 to accept being unmuted when recognized to speak for two minutes or less. 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.

### October 1, 2020 – Thursday

9:00 am

1. Call to Order / Pledge of Allegiance
2. Roll Call
3. 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.

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

#### 4. Consent Calendar

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

- |  |        |
|--|--------|
| a. Approve Regular Meeting Minutes of September 3, 2020      | MOTION |
| b. Receive Key Caltrain Performance Statistics – August 2020 | MOTION |
| c. Approve 2021 Board Meeting Calendar                       | MOTION |

- |  |               |
|--|---------------|
| d. Receive State and Federal Legislative Update  | INFORMATIONAL |
| <b>Approved by the Finance Committee</b>   |               |
| e. Accept Statement of Revenues and Expenses for the Period Ended June 30, 2020  | MOTION        |
| f. Accept Statement of Revenues and Expenses for the Period Ended August 31, 2020  | MOTION        |
| g. Award of Contract for Delaware Street Storm Drain Relocation Project Construction   | RESOLUTION    |
| 5. Adoption of Fiscal Year 2021 Second Quarter Operating Budget and Amendment of the Fiscal Year 2021 Capital Budget   | RESOLUTION    |
| 6. Report of the Chair   | INFORMATIONAL |
| a. Local Policy Maker Group (LPMG)   | INFORMATIONAL |
| 7. Report of the Executive Director  |               |
| a. Peninsula Corridor Electrification Project (PCEP) Monthly Progress Report   | INFORMATIONAL |
| b. Electric Train Virtual Reality Experience   | INFORMATIONAL |
| c. Caltrain Positive Train Control (PTC) Project Update – September 2020   | INFORMATIONAL |
| 8. Report of the Citizens Advisory Committee   | INFORMATIONAL |
| 9. COVID Recovery Planning Update - Equity & Service Planning  | INFORMATIONAL |
| 10. Correspondence   |               |
| 11. Board Member Requests  |               |
| 12. General Counsel Report   |               |
| a. Closed Session: Conference with Legal Counsel – Anticipated Litigation Initiation of litigation pursuant to Government Code Section 54956.9(d)(4): One potential case   |               |
| b. Closed Session pursuant to Government Code Section 54956.8: Conference with Real Property Negotiators<br>Property: 201 Gateway Blvd., South San Francisco, CA 94080 (APN 015-024-240)<br>Agency Negotiators: Joan L. Cassman, General Counsel, Brian Fitzpatrick, Director of Real Estate, and Gary Cardona, Manager, Capital Project Support & Property Management<br>Negotiating Parties: Britannia Gateway II Limited Partnership, a Delaware Limited Partnership<br>Under negotiation: Price and terms of contract. |               |
| 13. Date/Time of Next Regular Meeting: Thursday, November 5, 2020 at 9:00 am via Zoom  |               |

## **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 Finance Committee: Fourth Monday of the month, 1:30 pm. 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**

**Due to COVID-19, the meeting will only be via teleconference as per the information provided at the top of the agenda. the Public may not attend this meeting in person.** \*Should Zoom not be operational, please check online at [http://www.caltrain.com/about/bod/Board\\_of\\_Directors\\_Meeting\\_Calendar.html](http://www.caltrain.com/about/bod/Board_of_Directors_Meeting_Calendar.html) for any updates or further instruction.

### **Public Comment\***

Members of the public are encouraged to participate remotely. 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 [http://www.caltrain.com/about/bod/Board\\_of\\_Directors\\_Meeting\\_Calendar.html](http://www.caltrain.com/about/bod/Board_of_Directors_Meeting_Calendar.html). Oral public comments will also be accepted during the meeting through Zoom or the teleconference number listed above. Public comments on individual agenda items are limited to one per person PER AGENDA ITEM and 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 for 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 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 are distributed to a majority of the legislative body will be available for public inspection at 1250 San Carlos Avenue, San Carlos, CA 94070-1306, at the same time that the public records are distributed or made available to the legislative body.

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

**MINUTES OF SEPTEMBER 3, 2020**

**MEMBERS PRESENT:** D. Pine (Chair), C. Chavez, D. Davis, J. Bruins, R. Collins, S. Heminger, C. Stone, S. Walton, M. Zmuda

**MEMBERS ABSENT:** None

**STAFF PRESENT:** J. Hartnett, C. Mau, J. Cassman, S. Van Hoften, M. Bouchard, J. Funghi, C. Gayotin, D. Hansel, C. Fromson, S. Murphy, B. Shaw, D. Pape, T. Bartholomew, S. Petty, D. Seamans, S. Wong

**1. CALL TO ORDER / PLEDGE OF ALLEGIANCE**

Chair Dave Pine called the meeting to order at 8:30 am and led the pledge of allegiance.

**2. ROLL CALL**

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

**3. GENERAL COUNSEL REPORT**

Joan Cassman, General Counsel, announced a closed session for the Board to discuss one matter of anticipated litigation.

There was no public comment.

Dora Seamans, District Secretary, provided instructions for Board members and the public to remain in the meeting.

*The Board convened into closed session at 9:41 a.m.*

- a. Closed Session: Conference with Legal Counsel – Anticipated Litigation. Initiation of litigation pursuant to Government Code Section 54956.9(d)(4): One potential case

*The Board reconvened into open session at 11:11a.m.*

Ms. Cassman reported that there was no reportable actions.

**4. PUBLIC HEARING FOR POTENTIAL CLOSURE OF ATHERTON**

Sebastian Petty, Deputy Chief of Planning, introduced the item. He stated that they were in conversation with the Town of Atherton throughout the Spring. They previously stopped regular weekday service to the Atherton Station in 2005, and after a conversation with the Town, they decided to close the station and end services. Mr. Petty stated that this would allow Caltrain to reallocate service to the adjacent stations at Menlo Park and Redwood City. He explained that the Board is not being asked to

approve of the station closure today and that this is part of a process that would conclude after reaching a memorandum of understanding (MOU) with the Town.

David Pape, Principal Planner, provided an overview of the proposed closure of the Atherton Station, which included ridership, bottlenecks history, and Atherton City Council endorsement of the station closure subject to a MOU. He stated that the station had significantly less riders than nearby stations. Mr. Pape summed up station closure benefits (reallocating service to denser stations, financial savings, and noise reduction) and potential elements of a MOU (installation of a right-of-way fence, removal of center boarding platform, installation of quad gates, the maintenance agreement, and additional improvement implementation as proposed by the Town). Mr. Pape stated that the next steps included completion of the following: the Title VI analysis (which determines any disparate impacts on communities of color and low income), an environmental analysis, agreement of MOU terms, execution of the maintenance agreement, and setting a date for station closure.

#### Public Comment

Rick DeGolia, Atherton Mayor, commented on the presentation summary, stated that this was a complex issue because the station is an important asset, listed the three most important benefits to Caltrain (\$30 million in savings, efficiency improvements, and freedom from maintenance) and benefits to Atherton (safety and use of property for parking). He commented on the minimal landscape screening included in MOU.

Roland LeBrun, San Jose, commented on excessive distance at Fair Oak Lanes, increasing gates downtime for people with disabilities, and requested a Dumbarton Railroad solution connecting the Peninsula to the East Bay.

Alex Kaya, Atherton, expressed support for the closure with MOU conditions.

Narissa Dexter, Atherton, expressed support for Atherton station closure and improving nearby high growth stations. She commented on safety issues with the station.

Aleta Dupree, Oakland, expressed support for Atherton station closure, commented on the hold-out rule, productivity, station distance and building new things going forward.

Ben Narasin, Atherton, suggested a walkway and bicycle path between Atherton and Menlo Park be included in the MOU due to the significant risks of walking down El Camino.

Jeff Carter, Millbrae, expressed support for the station closure and commented on exploring opening a station in Redwood City.

Catherine Kircos, Atherton, said Atherton station would be her preferred commute station as riding a bicycle two miles to get to Redwood City station is not practical for her.

Matt Chen, Atherton, expressed support for closing the station as other stations have baby bullets and expressed support for a bike or walking path.

Cary Wiest, Atherton Council Member, thanked the JPB for considering the MOU, expressed support for closure, and reiterated benefits of the service component.

Malcolm Dudley, former mayor of Atherton and former chair of the SMCTA, was called on multiple times to speak but due to technical difficulties, he was not heard at the meeting. Mr. Dudley's email comments received later were sent and posted online as part of the Board's correspondence as of 09-11-2020.

#### Board Member Questions & Comments

Chair Pine asked about the MOU prior to closure of the station. Mr. Petty replied that this would come back to the Board in November.

### **5. PUBLIC COMMENT FOR ITEMS NOT ON THE AGENDA**

Roland LeBrun, San Jose, commented on an article regarding Caltrain saving money by eliminating the baby bullet and expressed concern regarding the usage of the \$11 million noted in the capital budget.

Vaughn Wolffe, Pleasanton, commented on having mega-region governance to accommodate trains from other regions.

Aleta Dupree, Oakland, commented on the Clipper START link on the front of the web page, conversion of ticket vending machines, and new governance being receptive to public concerns.

### **6. CONSENT CALENDAR**

- a. Approved Meeting Minutes of August 6, 2020**
- b. Received Key Caltrain Performance Statistics – July 2020**
- c. Received Capital Projects Quarterly Report – 4<sup>th</sup> Quarter Fiscal Year 2020**
- d. Appointment/Reappointment of the Citizen's Advisory Committee (CAC) Representatives**
- e. Approval of Caltrain's Project Submission to the Metropolitan Transportation Commission (MTC) for Plan Bay Area 2050**
- f. Accepted Statement of Revenues and Expenses for the Period Ended July 31, 2020**
- g. Awarded Contract for Maintenance and Support of I-ETMS Positive Train Control System**
- h. Awarded of Contract for Electronic Bike Lockers for Caltrain**
- i. Authorization to Enter into a Funding Agreement with the Federal Railroad Administration for the Caltrain Right-of-Way Trespassing Project**
- j. Received State and Federal Legislative Update**
- k. Resolution Endorsing the Riding Together: Bay Area Healthy Transit Plan**

Motion/Second: Davis/Bruins moved to approve the Consent Calendar

Ayes: Bruins, Chavez, Collins, Heminger, Stone, Walton, Zmuda, Davis, Pine

Noes: None

Absent: None

## **7. ADOPTION OF FISCAL YEAR 2021 OPERATING BUDGET AND AMENDMENT OF THE FISCAL YEAR 2021 CAPITAL BUDGET AND THE SUSPENSION OF THE PREVIOUSLY ADOPTED FARE INCREASES**

Jim Hartnett, Executive Director, introduced the item and thanked the finance team for their work. He stated that the budget projects an \$18.5 million shortfall for this fiscal year, and it could be higher if riders do not return. Mr. Hartnett noted that if Measure RR (for dedicated funding) succeeds, the funds would not become available until after July 2021 and they may be able to borrow against these future funds to take care of deficits in this fiscal year. He noted concerns and uncertainty on if the measure does not succeed, if ridership increases as projected (or decreases), if there will be any further federal funding for public transit, and the effects of the pandemic.

Derek Hansel provided a presentation on suspending fare increases, cost mitigation measures, Fiscal Year (FY) 2021 proposed budget outlook, revenue assumptions, expense assumptions, positive train control (PTC), staff allocation for Caltrain, application of CARES Act, sensitivity of revenue to ridership, cost to operate Caltrain, FY21 capital budget, FY21 proposed funding sources, and next steps.

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

- The legality of approving an unbalanced budget
- Including federal funding the budget
- Whether maintenance and shuttle service costs are reflected in the budget
- Whether there were competing legal structures for county and city level budgets
- Stripping the current resolution of the budget and approving fare suspension
- Transferring operating to capital expenditures
- Caltrain's legal authority to spend

### Public Comment

Andy Chow, Redwood City, commented on the Muni shutdown, maintenance issues, and pandemic budgets.

Jeff Carter, Millbrae, commented on keeping Caltrain running, shutting down not being an option, Clipper START, and requested an itemized breakdown by fare product.

Adina Levin, Friends of Caltrain, recommended strongly against a shutdown. She said the shutdown process would be 2.5 years for rehiring and retraining, be a severe cost for the region, include businesses changing locations, have cascading negative impacts, and suggested weekend shutdown to accelerate the electrification project.

Roland Lebrun, San Jose, commented on the CARES Act line, transferring capital to operations, \$11 million line in the budget, requested revenue projections. He commented on restoring public confidence in riding baby bullets during a pandemic, ridership return to 10 percent (pre-COVID levels), and changing the executive director.

Aleta Dupree, Oakland, commented on passing a balanced budget and suspending fare increases.

Motion/Second: Davis/Stone moved to approve suspension of fare increase and review the Second Quarter Budget at the next Finance Committee meeting and then at the next Board meeting (with the staff report to include information on what may be legally required and needed for a balanced budget.

Ayes: Bruins, Chavez, Collins, Heminger, Stone, Walton, Zmuda, Davis, Pine

Noes: None

Absent: None

## 8. REPORT OF THE CHAIR

Chair Pine provided an update on Measure RR on the ballot: the campaign is running with the ballot arguments submitted, and early voting beginning in October. Chair Pine explained that the Governance Process Ad hoc committee makes recommendations to the Board on how to organize work around governance. This would include addressing what information will be needed, what outside experts should be retained, and the stakeholders involved. There will be report back at the October Board meeting. He announced that San Francisco Bay Area Planning and Urban Research Association (SPUR) is examining governance models nation-wide Thursday September 10<sup>th</sup>.

Jeannie Bruins reported on the LPMG (Local Policymakers Group) Aug 27<sup>th</sup> meeting, 13 of 19 representatives were present and the primary topic was high speed rail. She said topics discussed were the draft Environmental Impact Statement (EIS) and Environmental Impact Report (EIR) regarding the San Francisco to San Jose section, placement of passing tracks, grade separations, emergency response, and noise impacts. Director Bruins reported public comments regarding compatibility with Caltrain service vision, going to clock face schedule, and high-speed rail need passing tracks.

In response to Director Heminger's request for a copy of the comments sent to the High Speed Rail Authority, Mr. Petty responded that they were currently finalizing the letter and would make it available to the Board.

### Public Comment

Roland Lebrun, San Jose, commented that the ad hoc committees are subject to the Brown Act. He commented that the time between San Jose and San Francisco should be 30 minutes with high-speed rail in regards to Prop. 1A and electrification in regards to Balfour Beatty.

On behalf of the Board, Chair Pine dedicated the meeting in memory of Ms. Bouchard's father Ron Bouchard.

## 7. REPORT OF THE EXECUTIVE DIRECTOR

Jim Hartnett, Executive Director, expressed appreciation for the Board's time and robust discussion on the budget. He noted that his written report was in the packet.

*Item 7a was heard out of order after Item 7b.*

### **a. Caltrain Positive Train Control (PTC) Project Update – JULY 2020**



Michelle Bouchard, Chief Operating Officer, thanked the WPLP & Finance Committee members for the contact in place for maintenance of the system. She reported that they would continue the project through to certification in December.

*Item 7b was heard out of order before Item 7a.*

**b. Peninsula Corridor Electrification Project (PCEP) Monthly Progress report -**

John Funghi, CalMod Chief Officer, provided an update on how they are focusing on the signal system duct bank work. Mr. Funghi reported that Balfour is currently complying with all of the social distancing requirements and wearing a required facial coverings but some crew had COVID. He noted that that foundation production decreased in the last three months due to unknown underground conditions they encountered and that they were unable to resolve in a timely manner for the foundation work. Production also suffered from underpowered drill equipment in rock areas and that 67 foundations are left to be completed in critical segments; work is scheduled to resume in mid September and project completion is expected in mid October. He stated that Balfour changed switchgear providers and now delivery dates have changed. Mr. Funghi stated that the first vehicles are going through initial testing and the dynamic testing will begin November 2020. He stated that there is \$168 million in contingency, which is a slight surplus from \$167 million.

**c. Proclamation Declaring September Railroad Safety and Suicide Prevention Month**

Tasha Bartholomew, Communications Manager, provided an overview. She stated the proclamation reaffirms Caltrain's commitment to provide safe and efficient train service between San Francisco and Gilroy. Ms. Bartholomew noted this is an opportunity to highlight the promotion and advancement on the right-of-way through enhanced safety measures and increased public awareness. She spoke on Federal Railroad Administration (FRA) grants to reduce trespassing, suicide statistics, and promoting safety videos on social media.

Director Stone commended Ms. Bartholomew and the communications team for their work.

Public Comment

Roland Lebrun, San Jose, commented on duct-bank work funding, inquired about the solution for the pole installation on the Guadalupe and highway 87 bridges, and inquired about the difference between Stadler and Alston in terms of train manufacturing.

Aleta Dupree, Oakland, expressed concern regarding low production of foundations on the corridor.

Motion/Second: Bruins/Stone moved to approve the proclamation declaring September railroad safety and suicide prevention month

Ayes: Bruins, Chavez, Collins, Heminger, Stone, Walton, Zmuda, Davis, Pine

Noes: None

Absent: None

## **10. Report of the Citizens Advisory Committee (CAC)**

Brian Shaw, Citizens Advisory Committee Chair, provided a report for August 2020. He stated that the new member David Tuzman, San Mateo County, attended. Mr. Shaw noted with thanks that with his and Patricia Leung's reappointments today, the CAC membership is now full. He stated that public comment included Clipper START outreach, moving away from paper tickets, different Caltrain auditors. Mr. Shaw said member comments included being mindful equitable enforcement, and providing information on Caltrain ventilation on the web page. He stated that they heard a report on COVID-19 productivity and commented on rail defects detection. Mr. Shaw said the next meeting was scheduled for September 16.

### Public Comment

Roland Lebrun, San Jose, commented on using track geometry and monitoring continuously to detect if the rail was flexing.

## **11. Equity, Connectivity, Recovery & Growth Framework**

Ms. Bouchard acknowledged staff efforts in the past few months for this important policy framework.

Mr. Petty provided a presentation and highlights included the following: ongoing recovery planning efforts, equity in the Caltrain context, building on the business plan, learning from the community, connectivity, and growth & recovery.

Casey Fromson, Director of Community Affairs, spoke on engagement methods, including the policy framework outreach timeline (stakeholder meetings, media and press), expanding outreach platforms (including Instagram Live and the public Google spreadsheet), contacting 500+ community-based organization (CBO), and how non-English language (Chinese and Spanish) outreach boosted posts. She noted the involvement of our partners who helped promote the equity framework and explained how they measured outreach and included comments from new groups of people.

Mr. Petty stated there was an overall positive reception with constructive feedback, noted key themes for feedback on land use, corridor impacts, and accountability. He provided information on both initial and long-term the next steps.

### Public Comment

Adina Levin, Friends of Caltrain, expressed support for equity and connectivity. She commented on diversity in the Citizen's Advisory Committee.

Aleta Dupree, Oakland, expressed support for the clock face schedule and increasing accessibility (particularly at the 22<sup>nd</sup> Street San Francisco station).

Jeff Carter, Millbrae, commented on equity through fare programs, eliminating zones, and the detriments of clock face schedules.

Roland LeBrun, San Jose, said clock face only works with dedicated lines (suburban stopping patterns, but Caltrain is working with mixed traffic on lines), and he expressed support for a non-clock face schedule repeating every 30 minutes.

### Board Questions & Comments

Director Walton expressed his thanks to staff on their work to engage the community and how there is a need to continue engaging the community and taking feedback as we try to move forward.

Director Cindy Chavez thanked everyone on the great outreach and appreciation in seeing how those who responded were not the usual people. She requested the opportunity for Government Alliance on Race and Equity (GARE) membership involvement with staff. Director Chavez requested a monthly equity report out to the Board. She commented on needing dedicated staff for this body of work especially for the constraints Caltrain is under.

Director Dev Davis noted that the City of San Jose has been participating in GARE for a couple of years now. She stated that improving equity, station access, and clock face schedules were good for everyone.

Director Charles Stone thanked everyone for exceptional outreach and pre-loaded messaging.

Motion/Second: Davis/Bruins moved approval with an amendment to include a monthly report, a work plan and timeline, and report out for tools used to engage staff with GARE

Ayes: Bruins, Chavez, Collins, Heminger, Stone, Walton, Zmuda, Davis, Pine

Noes: None

Absent: None

## **12. CORRESPONDENCE**

Correspondence was available online.

## **13. BOARD MEMBER REQUESTS**

Director Chavez requested a report on competing legal mechanisms surrounding an unbalanced budget

Director Bruins requested the October budget include a CARES Act line item.

Director Heminger requested comments sent to the High Speed Rail Authority.

Director Chavez requested a monthly equity report out to the board.

Director Chavez requested dedicated GARE staff.

There were no requests.

## **14. GENERAL COUNSEL REPORT**

Ms. Cassman noted there was nothing to report.

**15. DATE/TIME OF NEXT REGULAR MEETING:** Thursday, October 1, 2020 at 9:00 am via Zoom

**16. ADJOURN**

The meeting adjourned at 1:09 pm. in memory of Ron Bouchard.

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

DRAFT

**PENINSULA CORRIDOR JOINT POWERS BOARD  
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett  
Executive Director

FROM: Michelle Bouchard  
Chief Operating Officer, Rail

SUBJECT: **KEY CALTRAIN PERFORMANCE STATISTICS – AUGUST 2020**

**ACTION**

Staff Coordinating Council recommends that the Board receive the Performance Statistics Report for August 2020.

**SIGNIFICANCE**

Staff will provide monthly updates to Key Caltrain Performance Statistics, Caltrain Shuttle Ridership, Caltrain Promotions, Digital Metrics and Social Media Analytics. It should be noted that this report reflects impacts from the COVID-19 pandemic.

**BUDGET IMPACT**

There is no budget impact.

**MONTHLY UPDATE**

The coronavirus (COVID-19) pandemic continues to have drastic impacts on Caltrain ridership and revenue. Ridership estimates are developed using daily conductor counts at 14 key stations and Clipper tag-ons at these 14 key stations. This methodology has been in use since April 2020.

In August 2020, Caltrain's Average Weekday Ridership (AWR) decreased by 95.1 percent to 3,526 from August 2019 AWR of 71,557. The total number of passengers who rode Caltrain in August 2020 decreased by 94.7 percent to 90,737 from 1,703,334 August 2019 ridership.

Caltrain has put in place measures and procedures to ensure safe transportation, including extra cleaning and sanitization of the passenger cars and high-touch areas on board and at stations.

This month ticket sales decreased from August 2019 for:

- One Way tickets: 92.9 percent
- ED One Way tickets: 86.8 percent
- Day Passes: 94.9 percent
- ED Day Passes: 91.7 percent

- Monthly Passes: 95.8 percent
- ED Monthly Passes: 86.4 percent

Other ticket sales and farebox revenue statistics trended as follows:

- Caltrain Mobile Ticketing accounted for 8.4 percent (7,647 rides) of the monthly ridership and 1.6 percent (\$47,766) of the monthly ticket sales revenue.
- Number of Eligible Go Pass Employees increased to 87,242 from 86,807 from August 2019.
- Number of the participating Go Pass Companies decreased to 120 in August 2020 from 131 in August 2019.
- Total Farebox Revenue decreased by 66.7 percent to \$3,002,780 from August 2019.

The decrease in farebox revenue was primarily due to the shelter-in-place orders in three counties within Caltrain service areas associated with the COVID-19 pandemic.

On-time performance (OTP) for August 2020 was 95.7 percent compared to 93.8 percent OTP for August 2019. In August 2020, there were 639 minutes of delay due to mechanical issues compared to 719 minutes in August 2019.

Looking at customer service statistics, the number of complaints per 100,000 passengers in August 2020 is not provided since numbers are skewed with the significant decrease in ridership due to COVID-19 pandemic.

Shuttle ridership for August 2020 decreased 89.4 percent from August 2019. When the Marguerite shuttle ridership is removed, the impact to ridership was decrease of 93.9 percent. For station shuttles:

- Millbrae-Broadway shuttle: 21 average daily riders
- Weekend Tamien-San Jose shuttle: 8 average daily riders

#### **SHUTTLE CANCELLATIONS – JPB CONTRACTED**

- Bowers/Walsh (Lawrence Stn) – Loss of partner (7/1/2020)
- Duane Ave (Mtn View Stn) – Loss of partner (7/1/2020)
- Embarcadero (Palo Alto Stn) – Loss of partner (7/1/2020)
- Twin Dolphin (San Carlos Stn) – Loss of partner (7/1/2020)

#### **OTHER SHUTTLE PROGRAM CHANGES – JPB EMPLOYER CONTRACTED**

- Oracle (Hillsdale/San Carlos Stn) – Removed from program due to grant loss 7/1/2020
- Sierra Point (Millbrae) – Removed from program due to grant loss 7/1/2020

**Table A**

**August 2020**

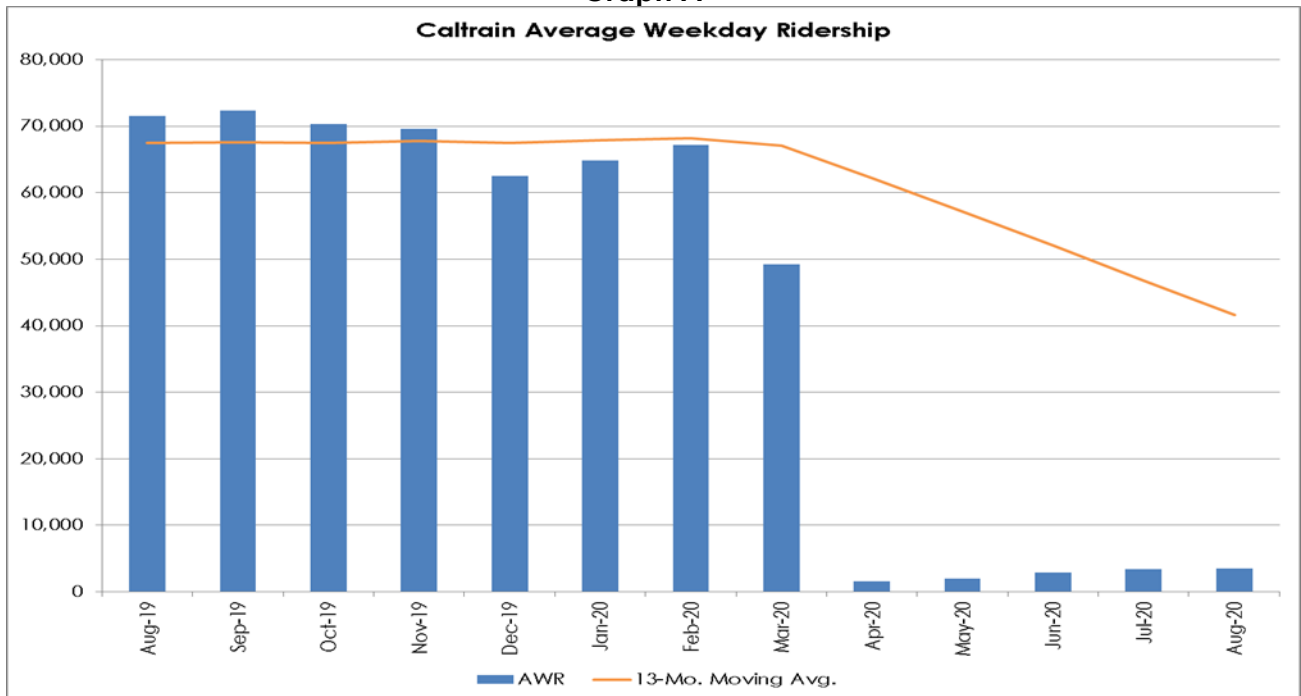
	<b>FY2020</b>	<b>FY2021</b>	<b>% Change</b>
Total Ridership	1,703,334	90,737	-94.7%
Average Weekday Ridership	71,557	3,526	-95.1%
Total Farebox Revenue	\$ 9,004,368	\$ 3,002,780	-66.7%
On-time Performance	93.8%	95.7%	2.0%
Average Weekday Caltrain Shuttle Ridership	8,637	916	-89.4%

**Fiscal Year to Date**

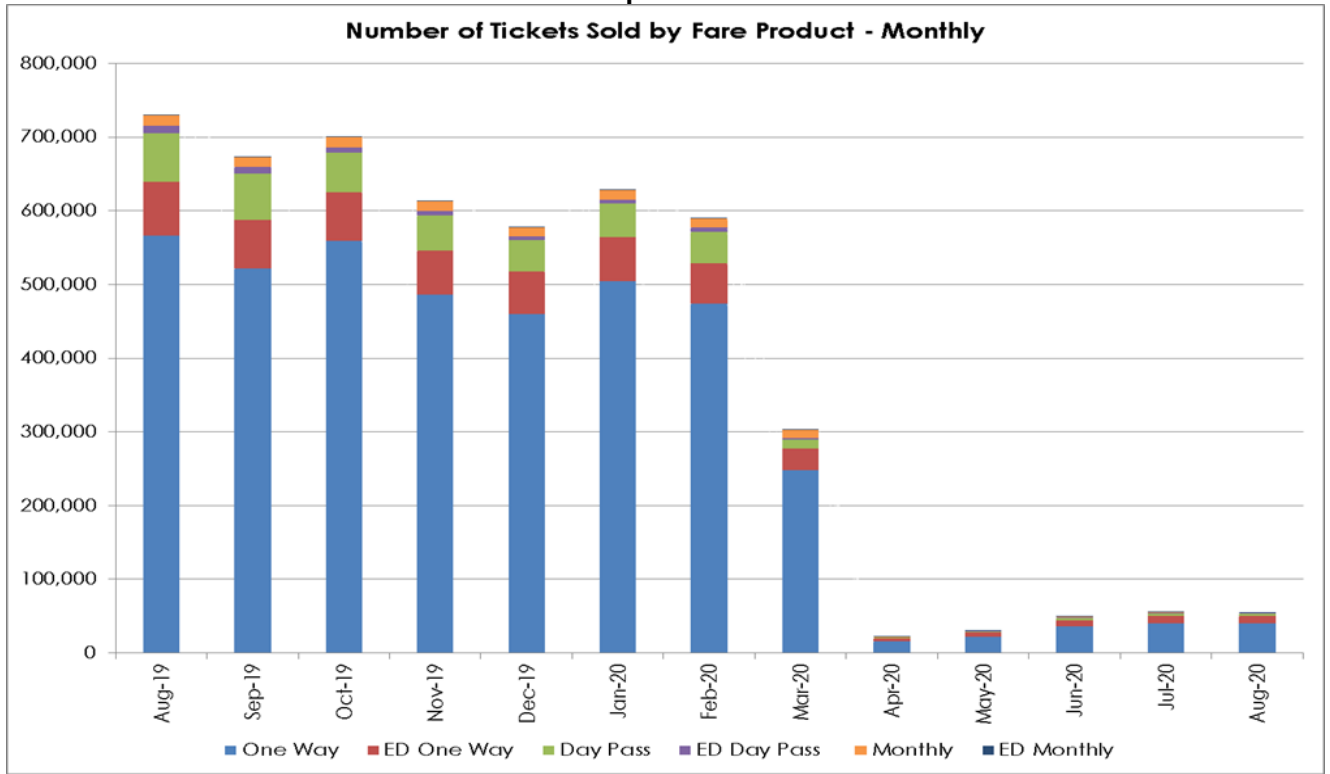
	<b>FY2020</b>	<b>FY2021</b>	<b>% Change</b>
Total Ridership	3,376,007	182,587	-94.6%
Average Weekday Ridership	71,025	3,474	-95.1%
Total Farebox Revenue	\$ 18,141,284	\$ 5,956,189	-67.2%
On-time Performance	93.8%	96.1%	2.4%
Average Weekday Caltrain Shuttle Ridership	8,717	998	-88.6%

\* = Items revised due to calibration to the ridership model

**Graph A**

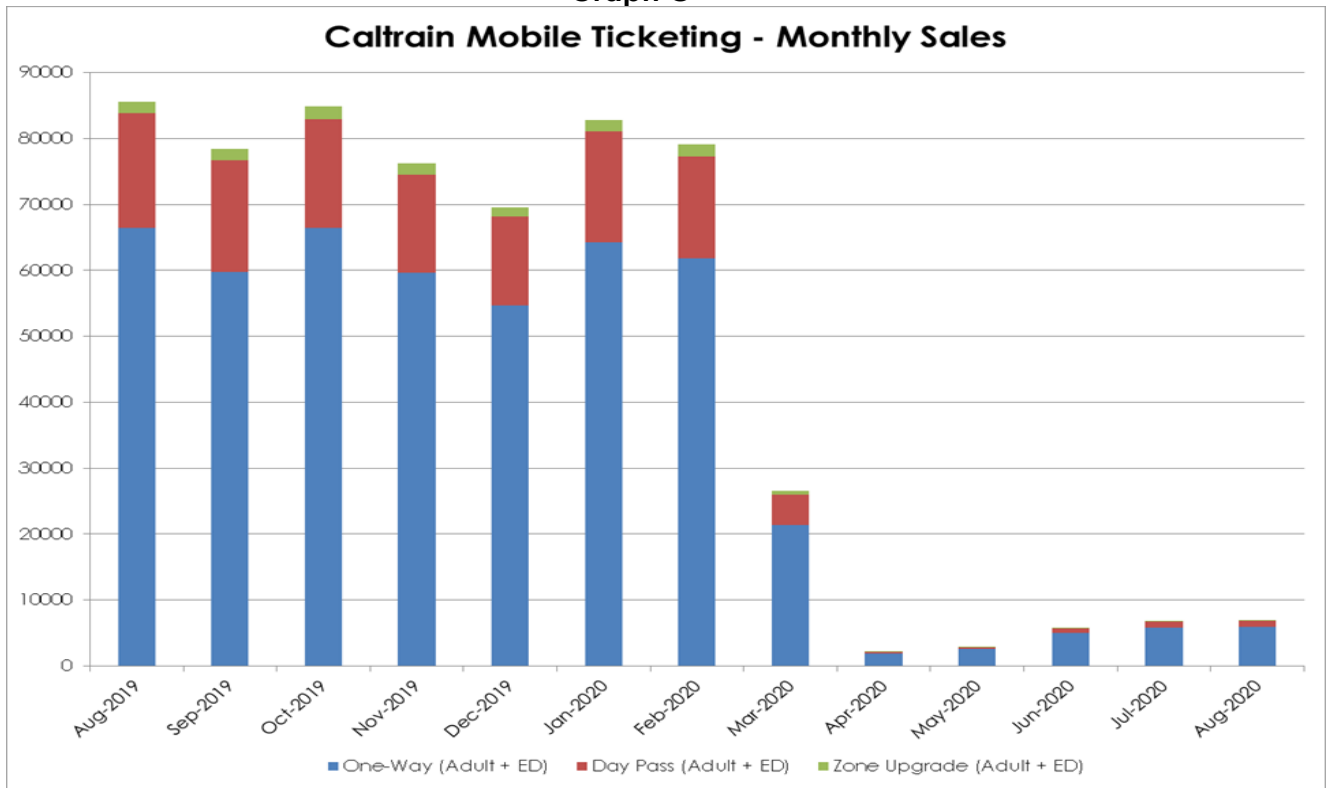


**Graph B**



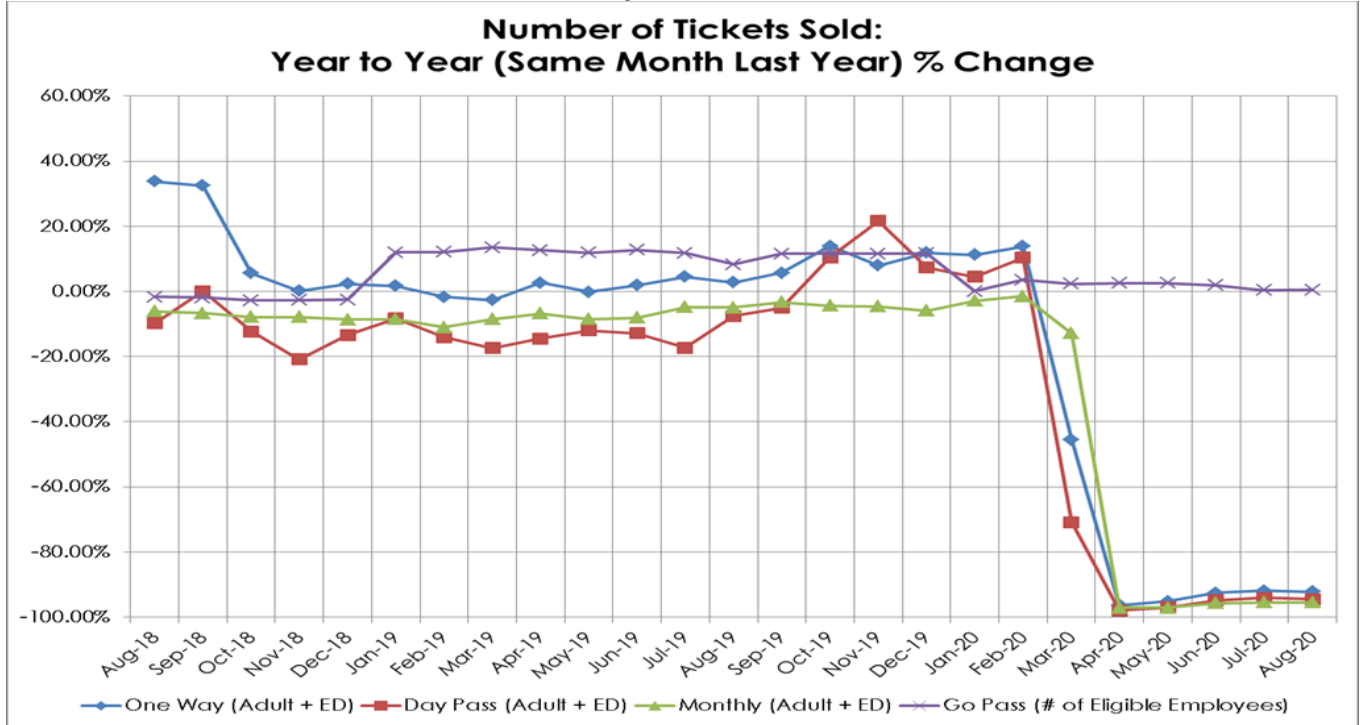
*\*Go Passes tracked by Monthly Number of Eligible Employees (not by Sales)*

**Graph C**

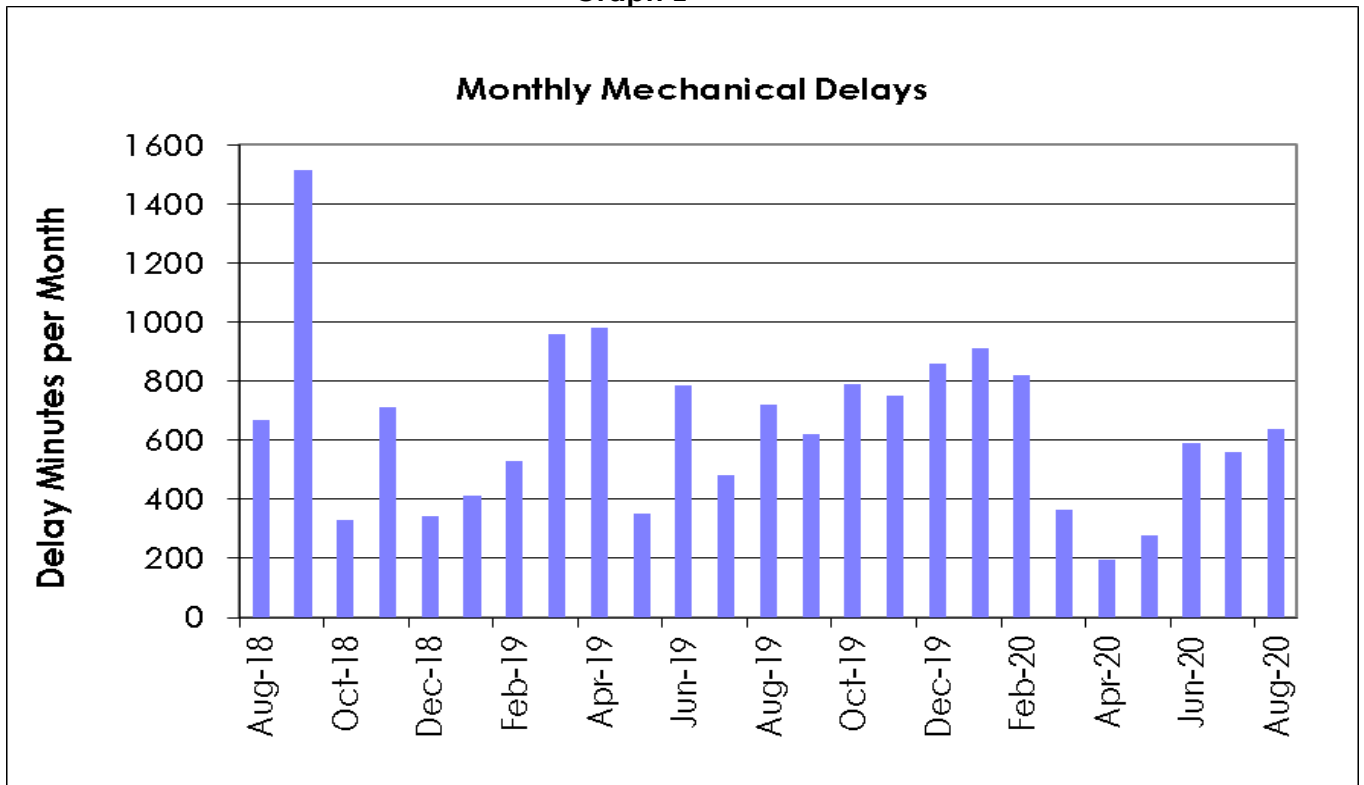




Graph D



Graph E



## Caltrain Promotions – August 2020

**Caltrain Equity Framework Campaign** – Caltrain is developing a policy to advance equity within the system and adjacent communities. This policy will help address systemic inequality by taking steps to ensure that Caltrain is more accessible for all. The policy also advances efforts to improve Caltrain connections to regional transit and provide direction on service priorities in light of the coronavirus (COVID-19) pandemic. While this policy is a crucial starting point, there is still more work that Caltrain will need to do as it navigates a rapidly changing transportation landscape. Due to lower than expected comments collected through organic communication efforts, the comment deadline was extended to August 21. A paid campaign was developed that geo-targeted San Mateo, Santa Clara and San Francisco Counties. Digital ads and organic messaging went out August 10 – 21. The campaign included e-mail blasts to the *News for Chinese* subscription database of 15K followers, print ads in *El Observador* (Spanish publication) and targeted sponsored social media ads. The web traffic to the landing page saw a constant increase throughout the campaign, which garnered over 150 public comments.

## Caltrain Digital Metrics - August 2020



### *New Followers*

**-135**

Aug 20 - 179,291

Jul 20 - 179,426

Aug 19 - 179,858

### *Top Tagged Issues*

1. **Public Funding** (20)

2. **Idling** (8)

3. **COVID** (5)

4. **HVAC** (5)

5. **Caltrain Compliment** (4)

### *Caltrain.com Sessions*

Aug 20 - 127,492

Jul 20 - 137,886

Aug 19 - 980,432

### *Social Engagement*

#### **Video Views**

15,785 (July - 30K)

#### **Content Impressions**

1,634,868 (July - 3.1M)

#### **Interactions**

20,535 (July- 228K)

### *Monthly Yelp & FB Rating*

**(5.0 out of 5)**

( 1 Aug review)



@caltrain, @gocaltrain



@gocaltrain



@caltrain

# Twitter Impression Spikes

## August, 2020

Your Tweets earned 1.2M impressions over this 31 day period



### August 5

226 Mechanical  
 32 Incident delay mins  
 62 M o E mins  
 205 Total Delay Mins

- Impressions of Tweets
- Paid Impressions
- Tweets Sent

Impressions sometimes appear the day after an incident as Twitter users view the post the next day.

Prepared by:	Patrice Givens, Administrative Analyst II James Namba, Marketing Specialist Jeremy Lipps, Social Media Officer	650.508.6347 650.508.7924 650.622.7845
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**PENINSULA CORRIDOR JOINT POWERS BOARD  
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett  
Executive Director

FROM: Dora Seamans  
Executive Officer,  
District Secretary/Executive Administration

SUBJECT: **2021 BOARD OF DIRECTORS MEETING CALENDAR**

**ACTION**

Staff Coordinating Council recommends the Board approve the attached meeting calendar for 2021.

**SIGNIFICANCE**

The Board of Directors' regular monthly meetings are scheduled for the first Thursday of each month at 10:00 am.

**BUDGET IMPACT**

There is no impact on the budget.



## Peninsula Corridor Joint Powers Board 2021 Meeting Calendar

Thursday – 9:00 AM
January 7
February 4
March 4
April 1
May 6
June 3
July 1
August 5
September 2
October 7
November 4
December 2

The Board meets the first Thursday of the month unless otherwise noted.

All meetings are held via Zoom or at 1250 San Carlos Avenue, San Carlos, CA 94070, unless scheduled or stated otherwise at

[https://www.caltrain.com/about/bod/Board\\_of\\_Directors\\_Meeting\\_Calendar.html](https://www.caltrain.com/about/bod/Board_of_Directors_Meeting_Calendar.html)

**PENINSULA CORRIDOR JOINT POWERS BOARD**  
**STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett  
Executive Director

FROM: Seamus Murphy  
Chief Communications Officer

SUBJECT: **STATE AND FEDERAL LEGISLATIVE UPDATE**

**ACTION**

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

**SIGNIFICANCE**

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

Prepared By: Casey Fromson, Government and  
Community Affairs Director

650-508-6493

September 11, 2020

TO: Peninsula Corridor Joint Powers Board Members

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

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

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### **General Update**

On Monday August 31, the Legislature adjourned for final recess, marking the end of the 2019-2020 legislative session. The 2020 legislative year has been the strangest in modern times. The COVID-19 pandemic has forced legislators out of the Capitol twice this year, both in the beginning of the stay-at-home order and in July as two Assemblymembers contracted the virus.

On August 26th, a Republican Senator tested positive for COVID-19, throwing yet another curveball as the Legislature approached the end of session. Because the Republicans had continued to caucus in person and even held an in-person dinner, Senate Leadership prevented members who were exposed to the Senator at these events from attending floor session in person. Instead, members of the Republican caucus, with the exception of one Senator who did not attend these gatherings, were forced to stay home and vote remotely through Zoom.

Since the beginning of the pandemic, both houses have set procedures for remote voting in anticipation for a scenario like this one. While it has been used in select circumstances, the legality of remote voting has been questioned. It remains to be seen if there will be legal challenges regarding this decision.

Given the decision to quarantine nearly the entire Senate Republican caucus, tensions in the final days of session were high. The last hours of floor session were characterized by unprecedented conflict between Senate Republicans and Democrats, centered primarily around the fact that Republicans, being quarantined as they were, felt restricted in their ability to participate in the proceedings on the Senate floor.

As leadership worked to settle these disagreements, business on the Senate floor was delayed, leaving the house in a time crunch to take up the remaining bills on their agenda before midnight. The impacts of this time delay were also felt in the Assembly, whose members must wait for many bills to be sent over from the Senate for final

passage. At the same time, both houses were holding bills hostage and Senate Republicans were accused of stalling to run out the clock.

In the end, the clock struck midnight before many bills were heard on the floor on both houses. The bills that did pass out of both houses will be sent to the Governor who will have 30 days to consider the bills for his signature.

### **Legislation of Interest**

**SB 288 (Wiener) – CEQA Exemptions for Transportation.** This bill would provide additional CEQA exemptions for certain projects, including rail projects. Specifically, the bill provides an exemption for projects that increase passenger or commuter service on rail rights-of-way already in use, including modernization of existing stations and parking facilities. **Caltrain supported this bill.**

This bill passed the Legislature and is awaiting action by the Governor.

**SB 757 (Allen) – CEQA Judicial Streamlining for Rail Projects.** This bill, which would put a “shot clock” on the courts for dispensing with CEQA litigation for certain types of mass transit projects, passed the Legislature overwhelmingly, with bi-partisan support. However, because this bill is joined to SB 995 (Atkins) – meaning SB 995 must also pass the Legislature for SB 757 to take effect – it cannot be implemented. Another similar effort is expected for next legislative session.

**SB 995 (Atkins) CEQA Judicial Streamlining Housing** – This bill would have extended the Jobs and Economic Improvement Through Environmental Leadership Act, which sunsets at the end of 2020, and added affordable housing projects to the eligibility list.

However, this bill failed to pass the Senate Floor on concurrence before the midnight deadline. Because this bill failed to make it to the Governor, SB 757 (Allen) cannot take effect.

**SB 1351 (Beall) – Transportation Improvement Fee (TIF).** This bill creates the Transportation Improvement Fee Finance Committee that would authorize revenue bonds to be issued to Caltrans to expedite transportation projects. Transit agencies raised concerns with this bill due to its potential to adversely impact transit operators within the Local Partnership Program.

The bill passed out of the Legislature and is on the Governor’s desk.

**SB 1159 (Hill) – Workers’ Compensation.** The issue of workers’ compensation was a dominant issue throughout the 2020 legislative year. Early in the pandemic the Governor issued an Executive Order applicable to essential workers saying that a COVID-19 infection will have been presumed to have occurred at work, with treatment and expenses covered by the employer’s workers’ compensation policy, unless it could be proved that the infection occurred otherwise. This “rebuttable presumption” served



as the basis for Senator Jerry Hill and Assemblyman Tom Daly to introduce **SB 1159** to provide a rebuttable presumption for workers' compensation for all employers, both public and private, including those that were previously covered by the Governor's Executive Order which expired July 5.

Organized labor countered with two bills to provide a non-rebuttable, "conclusive presumption" that a COVID-19 infection occurred at work. **AB 664** by Assemblyman Cooper would have been applicable to police, fire, and healthcare workers, while **AB 196** by Assemblymember Gonzalez would have been applicable to all other employers.

As the legislative session progressed, all three bills moved through the legislative process while negotiations between business, insurers, public agency employers, legislators and the Governor's office took place.

As happens with most workers' compensation deals in the Legislature, no stakeholder walked away completely satisfied. Labor did not get a "conclusive presumption" but did get enough definitions on who and how one qualifies for a rebuttable presumption that caused many business associations, public school employers, and insurers to oppose the eventual "deal" which was amended into **SB 1159**.

**SB 1159** barely made the 72-hour constitutional deadline for being in print and did so only by being placed online just hours before the Friday at midnight deadline. The amendments were officially adopted on Sunday afternoon and the bill passed both houses just hours before adjournment on Monday with bipartisan votes.

**AB 107 (Committee on Budget) – Transit Funding Flexibility in the SB 1 SOGR Program (Section 20)**. This budget trailer bill contains numerous items related to state governance, including the funding flexibility sought by the California Transit Association within the \$100 million SB 1 Transit State of Good Repair Program.

This bill passed out of the Legislature and is on the Governor's desk for his consideration.

### **Statewide Competitive Grant Programs**

Below is a list of major competitive grant programs administered by the State from which transit and rail projects are eligible/can be funded.

#### **Transit and Intercity Rail Capital Program (TIRCP)**

The TIRCP was created to fund capital improvements to modernize California's intercity rail, bus, ferry, and rail transit systems to reduce emissions, expand and improve transit service and ridership, integrate rail services and improve transit safety. Funds available are estimated at \$450-500 million for Cycle 4 but could change on auction proceeds and changing cash flow requirements of already awarded projects.

Important Dates:

January 2020 – Applications Due

April 2020 – CalSTA Award Announcement

### **Solutions for Congested Corridors Program (SCCP)**

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

#### Important Dates:

October 2019 – Guidelines Adopted

January 2020 – Applications Due

June 2020 – Program Adoption

### **Local Partnership Program (LPP)**

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

#### Important Dates:

October 2019 – Guidelines Adopted

January 2020 – Applications Due

June 2020 – Program Adoption

### **Trade Corridor Enhancement Program (TCEP)**

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

#### Important Dates:

January 2020 – Guidelines Adopted

March 2020 – Applications Due

June 2020 – Program Adoption

### **Grade Separation Funding**

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

**PUC Section 190 Grade Separation Program** – The Program is a [state funding program](#) to grade separate crossings between roadways and railroad tracks and

provides approximately \$15 million annually, transferred from Caltrans. Agencies apply to the PUC for project funding.

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

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

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

# Caltrain

## State Legislative Matrix 9/11/2020

Active Bills			
Bill Number (Author)	Summary	Location	Position
<a href="#">SB 146</a> ( <a href="#">Beall D</a> )  Regional transportation plans: sustainable communities strategies: procedural requirements.	Existing law requires certain transportation planning agencies to prepare and adopt a regional transportation plan directed at achieving a coordinated and balanced regional transportation system. Certain of these agencies are designated under federal law as metropolitan planning organizations. As part of a regional transportation plan, existing law requires a metropolitan planning organization to adopt a sustainable communities strategy or alternative planning strategy, which is designed to achieve certain targets for 2020 and 2035 established by the State Air Resources Board for the reduction of greenhouse gas emissions from automobiles and light trucks in the region. Before the adoption of a sustainable communities strategy or an alternative planning strategy, existing law requires a metropolitan planning organization to complete certain procedural requirements, including a requirement to conduct informational meetings, as specified, and a requirement to adopt a public participation plan that includes, among other things, workshops throughout the region and public hearings on the draft sustainable communities strategy or alternative planning strategy, as specified. This bill, until January 1, 2023, would recharacterize the workshops as public engagement gatherings and would authorize these informational meetings, public engagement gatherings, and public hearings to be conducted by electronic means if a call-in telephonic option is also provided and the meeting is not required to be conducted pursuant to the Ralph M. Brown Act. The bill, until January 1, 2023, would make other related changes. This bill contains other existing laws.  Enrollment: 9/9/2020	On the Governor's Desk.	Watch

## Active Bills

<p><a href="#">SB 288</a> (<a href="#">Wiener D</a>)</p> <p>California Environmental Quality Act: exemptions: transportation-related projects.</p>	<p>(1)The California Environmental Quality Act (CEQA) requires a lead agency, as defined, to prepare, or cause to be prepared, and certify the completion of an environmental impact report on a project that it proposes to carry out or approve that may have a significant effect on the environment or to adopt a negative declaration if it finds that the project will not have that effect. CEQA also requires a lead agency to prepare a mitigated negative declaration for a project that may have a significant effect on the environment if revisions in the project would avoid or mitigate that effect and there is no substantial evidence that the project, as revised, would have a significant effect on the environment. This bill would further exempt from the requirements of CEQA certain projects, including projects for the institution or increase of new bus rapid transit, bus, or light rail services on public rail or highway rights-of-way, as specified, whether or not the right-of-way is in use for public mass transit, as specified, and projects for the designation and conversion of general purpose lanes, high-occupancy toll lanes, high-occupancy vehicle lanes, or highway shoulders, as specified. The bill would additionally exempt transit prioritization projects, projects that improve customer information and wayfinding for transit riders, bicyclists, or pedestrians, projects by a public transit agency to construct or maintain infrastructure to charge or refuel zero-emission transit buses, projects carried out by a city or county to reduce minimum parking requirements, and projects for pedestrian and bicycle facilities. The bill would, except as provided, require those exempt projects to meet additional specified criteria, including that a public agency is carrying out the project and is the lead agency for the project. The bill would, except as provided, require the lead agency to certify that those projects will be carried out by a skilled and trained workforce, except as provided. For those exempted projects exceeding \$100,000,000 in 2020 United States dollars, the bill, except as provided, would require the lead agency to complete and consider the results of a project business case and a racial equity analysis, as prescribed, would require the lead agency, before exempting a project from CEQA, to hold at least 3 noticed public meetings in the project area to hear and respond to public comments, would require the lead agency, in at least one of those public meetings, to review the project business case and the racial equity analysis, and would require the lead agency to conduct at least 2 noticed public meetings annually during project construction for the public to provide comments. If the lead agency determines to carry out a project exempt under the above provisions, the bill would require the lead agency to file a notice of exemption with the Office of Planning and Research and the county clerk of the county in which the project is located. The bill would repeal the above-described exemptions on January 1, 2023.This bill contains other related provisions and other existing laws.</p> <p>Enrollment: 9/10/2020</p>	<p>On the Governor's Desk.</p>	<p>Supported August 2020</p>
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### Active Bills

<p><a href="#"><u>SB 1159</u></a> (<a href="#"><u>Hill D</u></a>)</p> <p>Workers' compensation: COVID-19: critical workers.</p>	<p>Existing law establishes a workers' compensation system, administered by the Administrative Director of the Division of Workers' Compensation, to compensate an employee, as defined, for injuries sustained in the course of employment. Existing law creates a disputable presumption that specified injuries sustained in the course of employment of a specified member of law enforcement or a specified first responder arose out of and in the course of the employment. Existing law governs the procedures for filing a claim for workers' compensation, including filing a claim form, and provides that an injury is presumed compensable if liability is not rejected within 90 days after the claim form is filed, as specified. Existing case law provides for how certain presumptions may be rebutted. This bill would define "injury" for an employee to include illness or death resulting from the 2019 novel coronavirus disease (COVID-19) under specified circumstances, until January 1, 2023. The bill would create a disputable presumption, as specified, that the injury arose out of and in the course of the employment and is compensable, for specified dates of injury. The bill would limit the applicability of the presumption under certain circumstances. The bill would require an employee to exhaust their paid sick leave benefits and meet specified certification requirements before receiving any temporary disability benefits or, for police officers, firefighters, and other specified employees, a leave of absence. The bill would also make a claim relating to a COVID-19 illness presumptively compensable, as described above, after 30 days or 45 days, rather than 90 days. Until January 1, 2023, the bill would allow for a presumption of injury for all employees whose fellow employees at their place of employment experience specified levels of positive testing, and whose employer has 5 or more employees. This bill contains other related provisions.</p> <p>Enrollment: 9/8/2020</p>	<p>On the Governor's Desk.</p>	<p>Watch</p>
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### Inactive Bills

<p><a href="#"><u>AB 90</u></a> (<a href="#"><u>Committee on Budget</u></a>)</p> <p>Transportation.</p>	<p>(1) Under the Mills-Alquist-Deddeh Act, also known as the Transportation Development Act, revenues from a 1 / 4 % sales tax in each county are transferred to the county's local transportation fund and available, among other things, for allocation by a transportation planning agency to transit operators, subject to certain financial requirements for an operator to meet in order to be eligible to receive funds. Existing law sets forth alternative ways for an operator to qualify for funding, including a standard under which the allocated funds do not exceed 50% of the operator's total operating costs, as specified, or the maintenance by the operator of a specified ratio of fare revenues to operating cost. If an operator was allocated funds from a local transportation fund during a fiscal year in which it did not maintain the required ratio of fare revenues to operating cost, existing law requires the operator's eligibility to receive these moneys and specified allocations under the State Transit Assistance Program to be reduced during a subsequent penalty year by the amount of the difference between the required fare revenues and the actual fare revenues collected for the fiscal year that the required ratio was not maintained. This bill would prohibit the imposition of this penalty on an operator that does not maintain the required ratio of fare revenues to operating cost during the 2019–20 or 2020–21 fiscal year. This bill contains other related provisions and other existing laws.</p> <p>Chaptered: 6/29/2020</p>	<p>Signed by Governor Newsom</p>	<p>Watch</p>
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**Inactive Bills**

<p><a href="#">AB 145</a> (<a href="#">Frazier D</a>)</p> <p>High-Speed Rail Authority: Senate confirmation.</p>	<p>Existing law creates the High-Speed Rail Authority with specified powers and duties relative to development and implementation of a high-speed train system. The authority is composed of 11 members, including 5 voting members appointed by the Governor, 4 voting members appointed by the Legislature, and 2 nonvoting legislative members. This bill would provide that the members of the authority appointed by the Governor are subject to appointment with the advice and consent of the Senate.</p> <p>Introduced: 12/13/2018</p>	<p>Failed passage in the Senate Transportation Committee.</p>	<p>Watch</p>
<p><a href="#">AB 196</a> (<a href="#">Gonzalez D</a>)</p> <p>Workers' compensation: COVID-19: essential occupations and industries.</p>	<p>Existing law establishes a workers' compensation system, administered by the Administrative Director of the Division of Workers' Compensation, to compensate an employee for injuries sustained in the course of employment. Existing law creates a disputable presumption that specified injuries sustained in the course of employment of a specified member of law enforcement or a specified first responder arose out of and in the course of employment. Existing law establishes procedures for filing a workers' compensation claim, including a 90-day investigatory period prior to acceptance or denial. Existing law presumes a claim is accepted if it is not denied within the first 90 days after filing. This bill would define "injury," for certain employees who are employed in an occupation or industry deemed essential in the Governor's Executive Order of March 19, 2020 (Executive Order N-33-20), except as specified, or who are subsequently deemed essential, to include coronavirus disease 2019 (COVID-19) that develops or manifests itself during a period of employment of those persons in the essential occupation or industry. The bill would apply to injuries occurring on or after March 1, 2020, would create a disputable presumption, as specified, that the injury arose out of and in the course of the employment, and would extend that presumption following termination of service for a period of 90 days, commencing with the last date actually worked. The bill would shorten the investigatory timeframe for denial or presumed acceptance of a claim to 30 days, rather than 90 days.</p> <p>Amended: 8/25/2020</p>	<p>Failed passage on the Senate Floor.</p>	<p>Watch</p>
<p><a href="#">AB 1112</a> (<a href="#">Friedman D</a>)</p> <p>Micromobility devices: relocation.</p>	<p>Existing law authorizes a peace officer to order the removal and storage of a vehicle under various circumstances, including when the vehicle is parked in a manner obstructing traffic or blocking access to a fire hydrant. Existing law generally regulates the operation of bicycles, electric bicycles, and motorized scooters. Under existing law, a violation of the Vehicle Code is a crime. This bill would prohibit an unauthorized person from removing an unattended micromobility device from a highway to a storage facility, garage, or other place. The bill would authorize a person to relocate an illegally parked micromobility device a short distance in order to clear a highway, sidewalk, doorway, or public bicycle path or trail for vehicle or pedestrian traffic. The bill would allow a peace officer to relocate an illegally parked micromobility device to a properly parked location. If relocation is impracticable, the bill would allow a peace officer to remove a micromobility device in the same manner as a vehicle. Because a violation of these provisions would be a crime, this bill would impose a state-mandated local program. This bill contains other existing laws.</p> <p>Amended: 7/22/2020</p>	<p>Failed passage in the Senate Transportation Committee.</p>	<p>Watch</p>

**Inactive Bills**

<p><a href="#"><u>AB 1991</u></a> (<a href="#"><u>Friedman D</u></a>)</p> <p>Transit and Intercity Rail Capital Program: passenger tramways.</p>	<p>Existing law establishes the Transit and Intercity Rail Capital Program, which is funded in part by a continuously appropriated allocation of 10% of the annual proceeds of the Greenhouse Gas Reduction Fund, to fund transformative capital improvements that will modernize California’s intercity, commuter, and urban rail systems and bus and ferry transit systems to achieve certain policy objectives. Existing law requires the Transportation Agency to evaluate applications for funding under the program and to approve a multiyear program of projects, as specified, and requires the California Transportation Commission to allocate funding to applicants pursuant to the program of projects approved by the agency. This bill would expand the purpose of the program to authorize funding for passenger tramway transit systems. By expanding the purposes for which continuously appropriated moneys may be used, the bill would make an appropriation.</p> <p>Introduced: 1/27/2020</p>	<p>Failed passage in the Assembly Transportation Committee*</p>	<p>Watch</p>
<p><a href="#"><u>AB 1992</u></a> (<a href="#"><u>Friedman D</u></a>)</p> <p>Transportation: transportation infrastructure: climate change.</p>	<p>Existing law vests the Department of Transportation with full possession and control of the state highway system. Existing law requires the department, in consultation with the California Transportation Commission, to prepare a robust asset management plan that assesses the health and condition of the state highway system and with which the department is able to determine the most effective way to apply the state’s limited resources. This bill would state the intent of the Legislature to enact legislation that would establish a new program to fund climate change adaptation planning for transportation impacts, data collection, modeling, and training. The bill would require the department, in consultation with the commission, to update the asset management plan on or before December 31, 2022, and every 4 years thereafter, and for the updates to take into account the forecasted impacts of climate change on transportation infrastructure. The bill would require the updates to the California Transportation Plan and the Strategic Growth Council’s report to include a forecast of the impacts of climate change on transportation infrastructure and measures to address those impacts. The bill would require the commission’s revisions to the guidelines for the preparation of regional transportation plans to include a requirement that designated transportation planning agencies take into account the forecasted transportation infrastructure impacts of climate change. By requiring regional transportation plans to take into account this additional factor, the bill would impose a state-mandated local program. This bill contains other existing laws.</p> <p>Amended: 3/11/2020</p>	<p>Failed passage in the Assembly Transportation Committee*</p>	<p>Watch</p>
<p><a href="#"><u>AB 2012</u></a> (<a href="#"><u>Chu D</u></a>)</p> <p>Free senior transit passes: eligibility for state funding.</p>	<p>Existing law declares that the fostering, continuance, and development of public transportation systems are a matter of state concern. Existing law authorizes the Department of Transportation to administer various programs and allocates moneys for various public transportation purposes. This bill would require transit agencies to offer free senior transit passes to persons over 65 years of age in order to be eligible for state funding under the Mills-Deddeh Transit Development Act, the State Transit Assistance Program, and the Low Carbon Transit Operations Program. The bill would require those free senior transit passes to count as full price fares for purposes of calculating the ratio of fare revenues to operating costs.</p> <p>Introduced: 1/28/2020</p>	<p>Failed passage in the Assembly Transportation Committee*</p>	<p>Watch</p>



**Inactive Bills**

<p><a href="#">AB 2057</a> (Chiu D) San Francisco Bay area: public transportation.</p>	<p>(1)Existing law creates the Metropolitan Transportation Commission as a local area planning agency for the 9-county San Francisco Bay area with comprehensive regional transportation planning and other related responsibilities. Existing law creates various transit districts located in the San Francisco Bay area, with specified powers and duties relative to providing public transit services. Existing law establishes the Transportation Agency consisting of various state agencies under the supervision of an executive officer known as the Secretary of Transportation, who is required to develop and report to the Governor on legislative, budgetary, and administrative programs to accomplish comprehensive, long-range, and coordinated planning and policy formulation in the matters of public interest related to the agency.This bill would declare the intent of the Legislature to enact subsequent legislation that would create a transportation network manager for the 9-county San Francisco Bay area to, among other things, integrate all aspects of public transit within the 9-county San Francisco Bay area and provide leadership and accountability in planning, coordinating, and financing the transportation network. The bill would establish a 19-member Bay Area Seamless Transit Task Force to recommend to the Legislature the structure, governance, and funding of the transportation network manager and the organizational structure, governance, and funding for San Francisco Bay area transportation agencies, and other reforms to the San Francisco Bay area’s local, regional, and state public agencies, that should be enacted in future legislation to maximize the effectiveness of the public transit system in the San Francisco Bay area. The bill would require the Secretary of Transportation to convene the task force by April 1, 2021. The bill would require the Metropolitan Transportation Commission to provide staffing to the task force to aid it in the performance of its duties, and would require the Legislative Analyst’s Office to advise the task force in the performance of its duties. The bill would require the task force to submit a report to the Legislature on or before January 1, 2023, of its findings and recommendations and a summary of its activities. The bill would repeal these provisions on January 1, 2027.This bill would require the commission, in consultation with transit agencies, on or before January 1, 2022, (A) to create standardized discount categories and eligibility requirements for fare discount programs for seniors, students, youth, and other rider categories, and (B) to create a multimodal, multiagency pilot program to implement an accumulator pass that may be used with one regional rail agency and at least one transit agency. The bill would require the regional rail agency and the transit agency or agencies selected to participate in the pilot program to offer the accumulator pass to the public on or before July 1, 2022. The bill would require the commission to prepare a plan, on or before July 1, 2023, to deploy the Clipper card payment system on passenger trains operated on the Capitol Corridor and on passenger trains operated by the Altamont Corridor Express. The bill would require the commission, in the next upgrade to the Clipper card payment system, to enable customers to pay for paratransit, parking at transit stations, and employer and educational institution transit discount programs.This bill contains other related provisions and other existing laws.</p> <p>Amended: 5/4/2020</p>	<p>Failed passage in the Assembly Transportation Committee*</p>	<p>Watch</p>
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**Inactive Bills**

<p><a href="#">AB 2176</a> (<b>Holden D</b>)</p> <p>Free student transit passes: eligibility for state funding.</p>	<p>Existing law declares that the fostering, continuance, and development of public transportation systems are a matter of state concern. Existing law authorizes the Department of Transportation to administer various programs and allocates moneys for various public transportation purposes. This bill would require transit agencies to offer free student transit passes to persons attending the California Community Colleges, the California State University, or the University of California in order to be eligible for state funding under the Mills-Alquist-Deddeh Act, the State Transit Assistance Program, or the Low Carbon Transit Operations Program. The bill would also require a free student transit pass to count as a full price fare for purposes of calculating the ratio of fare revenues to operating costs. This bill contains other related provisions and other existing laws.</p> <p>Introduced: 2/11/2020</p>	<p>Failed passage in the Assembly Transportation Committee*</p>	<p>Watch</p>
<p><a href="#">AB 2237</a> (<b>Berman D</b>)</p> <p>San Francisco Bay area county transportation authorities: contracting.</p>	<p>The Bay Area County Traffic and Transportation Funding Act authorizes each of the 9 counties in the San Francisco Bay area to impose a 1/2 of 1% or 1% sales tax for transportation purposes, subject to voter approval. Existing law provides for the establishment of a county transportation authority in each county imposing a sales tax under these provisions, requires the development of a county transportation expenditure plan, and specifies the powers and duties of a county board of supervisors and the county transportation authority in this regard. Existing law requires each county transportation authority to award contracts for the purchase of supplies, equipment, and materials in excess of \$75,000 to the lowest responsible bidder after competitive bidding, except in an emergency declared by the vote of 2/3 of the voting membership of the county transportation authority. This bill would require each county transportation authority to award contracts for the purchase of supplies, equipment, and materials in excess of \$150,000, rather than \$75,000, either to the lowest responsible bidder or to the responsible bidder whose proposal provides the best value, as defined, on the basis of the factors identified in the solicitation, except in a declared emergency, as specified. The bill would specify that the requirement does not apply to construction contracts.</p> <p>Amended: 5/4/2020</p>	<p>Failed passage in the Assembly Transportation Committee*</p>	<p>Watch</p>
<p><a href="#">AB 2249</a> (<b>Mathis R</b>)</p> <p>High-speed rail: legislative oversight.</p>	<p>The California High-Speed Rail Act creates the High-Speed Rail Authority to develop and implement a high-speed rail system in the state, with specified powers and duties. Existing law requires the authority, on or before March 1, 2017, and every 2 years thereafter, to provide a project update report, approved by the Secretary of Transportation as consistent with specified criteria, to the budget committees and the appropriate policy committees of both houses of the Legislature, on the development and implementation of intercity high-speed train service, as provided. This bill would create the Joint Legislative Committee on High-Speed Rail Oversight consisting of 3 Members of the Senate and 3 Members of the Assembly and would require the committee to ascertain facts, review documents, and take action thereon, and make recommendations to the Legislature concerning the state's programs, policies, and investments related to high-speed rail, as specified. The bill would require the authority and any entity contracting with the authority to give and furnish to the committee upon request information, records, and documents as the committee deems necessary and proper to achieve its purposes. The bill would require the authority to submit to the committee on a monthly basis certain information relating to the authority's ongoing operations in the development and implementation of intercity high-speed train service, as provided. This bill contains other related provisions and other existing laws. Introduced: 2/13/2020</p>	<p>Failed passage in the Assembly Transportation Committee*</p>	<p>Watch</p>

## Inactive Bills

<p><a href="#">AB 2943</a> (<a href="#">Ting D</a>)</p> <p>Surplus property: disposal.</p>	<p>Existing law prescribes requirements for the disposal of surplus land, as defined, by a local agency, as defined. Existing law requires land to be declared surplus land or exempt surplus land, as supported by written findings, before a local agency takes any action to dispose of it consistent with the agency’s policies or procedures. This bill would provide that the provisions regulating the disposal of surplus land shall not be construed to require a local agency to dispose of land that is determined to be surplus.</p> <p>Introduced: 2/21/2020</p>	<p>Failed passage in the Assembly Local Government Committee*</p>	<p>Watch</p>
<p><a href="#">AB 2987</a> (<a href="#">Flora R</a>)</p> <p>Local agency public contracts: bidding procedures.</p>	<p>The Uniform Public Construction Cost Accounting Act authorizes a public agency to elect to become subject to uniform construction cost accounting procedures. The act authorizes bidding procedures for public projects, as specified. Those bidding procedures include procedures for the publication or posting and electronic transmission of notice inviting formal bids. This bill would authorize a public agency, as an alternative to the publication or posting requirement, to meet the notice inviting formal bids requirement by transmitting notice electronically, as specified, and publishing the notice electronically in a prescribed manner on the public agency’s internet website at least 14 calendar days before the date of opening the bids. This bill contains other related provisions and other existing laws.</p> <p>Introduced: 2/21/2020</p>	<p>Failed passage in the Assembly Local Government Committee*</p>	<p>Watch</p>
<p><a href="#">AB 3116</a> (<a href="#">Irwin D</a>)</p> <p>Mobility devices: personal information.</p>	<p>Existing law, the California Consumer Privacy Act of 2018, grants a consumer various rights with respect to personal information, as defined, that is collected or sold by a business, as defined, including the right to opt out of the sale of a consumer’s personal information. This bill would authorize a public agency, defined as a state or local public entity that issues a permit to an operator for mobility services or that otherwise regulates an operator, to require an operator to periodically submit to the public agency anonymized trip data and the operator’s mobility devices operating in the geographic area under the public agency’s jurisdiction and provide specified notice of that requirement to the operator. The bill would authorize a public agency to share anonymized trip data with a contractor, agent, or other public agency only if specified conditions are met, including that the purpose of the sharing is to assist the public agency in the promotion and protection of transportation planning, integration of mobility options, and road safety. The bill would prohibit a public agency from sharing trip data with a contractor or agent. This bill contains other existing laws.</p> <p>Amended: 5/12/2020</p>	<p>Assembly Dead – Held in Appropriations Committee</p>	<p>Watch</p>
<p><a href="#">AB 3128</a> (<a href="#">Burke D</a>)</p> <p>Electricity: deenergization events: fuel cells.</p>	<p>Under existing law, the Public Utilities Commission has regulatory authority over public utilities, including electrical corporations. Existing law requires each electrical corporation to annually prepare a wildfire mitigation plan and to submit its plan to the commission for review and approval, as specified. Existing law requires the wildfire mitigation plan to include, among other things, protocols for disabling reclosers and deenergizing portions of the electrical distribution system, also known as public safety power shutoffs, that consider the associated impacts on public safety. This bill would provide that it is the intent of the Legislature to enact legislation that would incentivize the use of fuel cells to address reliability issues associated with public safety power shutoffs.</p> <p>Introduced: 2/21/2020</p>	<p>Failed passage in the Assembly Natural Resources Committee*</p>	<p>Watch</p>

**Inactive Bills**

<p><a href="#"><u>AB 3213</u></a> (<a href="#"><u>Rivas, Luz D</u></a>) High-Speed Rail Authority: high-speed rail service: priorities.</p>	<p>Existing law establishes the High-Speed Rail Authority within the state government with various powers and duties related to developing and implementing high-speed passenger rail service. Existing law requires the authority to direct the development and implementation of intercity high-speed rail service that is fully integrated with specified forms of transit. This bill would require the authority, in directing the development and implementation of intercity high-speed rail service, to prioritize projects based on specified criteria.</p> <p>Introduced: 2/21/2020</p>	<p>Assembly Dead – Failed Fiscal Committee Deadline</p>	<p>Watch</p>
<p><a href="#"><u>ACA 1</u></a> (<a href="#"><u>Aguiar-Curry D</u></a>) Local government financing: affordable housing and public infrastructure: voter approval.</p>	<p>(1)The California Constitution prohibits the ad valorem tax rate on real property from exceeding 1% of the full cash value of the property, subject to certain exceptions.This measure would create an additional exception to the 1% limit that would authorize a city, county, city and county, or special district to levy an ad valorem tax to service bonded indebtedness incurred to fund the construction, reconstruction, rehabilitation, or replacement of public infrastructure, affordable housing, or permanent supportive housing, or the acquisition or lease of real property for those purposes, if the proposition proposing that tax is approved by 55% of the voters of the city, county, or city and county, as applicable, and the proposition includes specified accountability requirements. The measure would specify that these provisions apply to any city, county, city and county, or special district measure imposing an ad valorem tax to pay the interest and redemption charges on bonded indebtedness for these purposes that is submitted at the same election as this measure.This bill contains other related provisions and other existing laws.</p> <p>Amended: 3/18/2019</p>	<p>Dead</p>	<p>Watch</p>
<p><a href="#"><u>HR 97</u></a> (<a href="#"><u>Frazier D</u></a>) Relative to high-speed rail.</p>	<p>The High-Speed Rail Authority is hereby directed to not proceed with the execution of track and systems or train set procurements, or with the acquisition of the right-of-way along the City of Merced and the City of Bakersfield extensions, until the Assembly has considered and approved the High-Speed Rail Authority’s funding request for appropriation of the remaining bond funds.</p> <p>Chaptered: 6/11/2020</p>	<p>Assembly Adopted</p>	<p>Watch</p>
<p><a href="#"><u>SB 43</u></a> (<a href="#"><u>Allen D</u></a>) Carbon intensity and pricing: retail products.</p>	<p>The California Global Warming Solutions Act of 2006 designates the State Air Resources Board as the state agency charged with monitoring and regulating sources of emissions of greenhouse gases. The state board is required to approve a statewide greenhouse gas emissions limit equivalent to the statewide greenhouse gas emissions level in 1990 to be achieved by 2020 and to ensure that statewide greenhouse gas emissions are reduced to at least 40% below the 1990 level by 2030.This bill would require the state board, no later than January 1, 2022, to submit a report to the Legislature on the findings from a study, as specified, to determine the feasibility and practicality of assessing the carbon intensity of all retail products subject to the tax imposed pursuant to the Sales and Use Tax Law, so that the total carbon equivalent emissions associated with such retail products can be quantified.This bill contains other existing laws.</p> <p>Amended: 7/1/2019</p>	<p>Failed passage in the Assembly Revenue and Taxation Committee*</p>	<p>Watch</p>
<p><a href="#"><u>SB 147</u></a> (<a href="#"><u>Beall D</u></a>) High-Speed Rail Authority.</p>	<p>The California High-Speed Rail Act creates the High-Speed Rail Authority to develop and implement a high-speed train system in the state, with specified powers and duties. Existing law authorizes the authority, among other things, to keep the public informed of its activities.This bill would revise that provision to instead authorize the authority to keep the public informed through activities, including, but not limited to, community outreach events, public information workshops, and newsletters posted on the authority’s internet website. Introduced: 1/18/2019</p>	<p>Failed passage in the Assembly Transportation Committee*</p>	<p>Watch</p>

**Inactive Bills**

<p><a href="#"><u>SB 278</u></a> (<a href="#"><u>Beall D</u></a>) Metropolitan Transportation Commission.</p>	<p>The Metropolitan Transportation Commission Act creates the Metropolitan Transportation Commission as a local area planning agency to provide comprehensive regional transportation planning for the region comprised of the 9 San Francisco Bay area counties. The act requires the commission to continue to actively, on behalf of the entire region, seek to assist in the development of adequate funding sources to develop, construct, and support transportation projects that it determines are essential. This bill would also require the commission to determine that those transportation projects are a priority for the region. This bill contains other related provisions and other existing laws.</p> <p>Amended: 3/28/2019</p>	<p>Failed passage in the Assembly Transportation Committee*</p>	<p>Watch</p>
<p><a href="#"><u>SB 902</u></a> (<a href="#"><u>Wiener D</u></a>) Planning and zoning: housing development: density.</p>	<p>The Planning and Zoning Law requires a city or county to adopt a general plan for land use development within its boundaries that includes, among other things, a housing element. Existing law requires an attached housing development to be a permitted use, not subject to a conditional use permit, on any parcel zoned for multifamily housing if at least certain percentages of the units are available at affordable housing costs to very low income, lower income, and moderate-income households for at least 30 years and if the project meets specified conditions relating to location and being subject to a discretionary decision other than a conditional use permit. Existing law provides for various incentives intended to facilitate and expedite the construction of affordable housing. This bill would authorize a local government to pass an ordinance, notwithstanding any local restrictions on adopting zoning ordinances, to zone any parcel for up to 10 units of residential density per parcel, at a height specified by the local government in the ordinance, if the parcel is located in a transit-rich area, a jobs-rich area, or an urban infill site, as those terms are defined. In this regard, the bill would require the Department of Housing and Community Development, in consultation with the Office of Planning and Research, to determine jobs-rich areas and publish a map of those areas every 5 years, commencing January 1, 2022, based on specified criteria. The bill would specify that an ordinance adopted under these provisions is not a project for purposes of the California Environmental Quality Act. This bill contains other related provisions.</p> <p>Amended: 5/21/2020</p>	<p>Held in the Assembly Appropriations Committee</p>	<p>Watch</p>

\*This bill is not moving forward due to limitations in place on bills under consideration due to COVID-19.

## **Caltrain As of September 14, 2020 Transportation Report**

### **Congressional Calendar**

- Congress will adjourn for recess on October 2 before returning for one week of voting on November 16.
- Congress will adjourn again on November 20 before returning December 1-10 before the holiday break.

### **Status of COVID-19 Relief Package**

On September 10, Senate Democrats blocked a \$500 billion Senate Republican skinny COVID bill, amid a stalemate over the next relief package. Senators voted 52-47 (required 60 votes) on advancing the bill, the first coronavirus-related legislation the chamber has voted on since it passed the \$484 billion CARES bill in April. All Democratic Senators voted no, along with Senator Rand Paul (R-Ky.) The measure would have provided a second round of PPP loans; \$300 per week in additional unemployment payments through late December; \$105 billion in aid for education institutions; \$47 billion in combined aid for testing, vaccine development, and other medical needs for the virus; and \$20 billion in farm aid. The measure did not include direct relief for state and local governments or funding for transportation agencies.

The White House/Senate Republicans and Democratic leadership remain far apart not only on the price tag of the next COVID measure but also on significant policy issues including unemployment insurance and more money for state and local governments. Despite continued negotiations, the latest strong jobs report and the agreement between Democrats and the White House on avoiding a government shutdown could signal that another major stimulus package is unlikely until after the November elections.

### **Speaker Pelosi, Secretary Mnuchin Agree to Avoid Government Shutdown in October**

On September 3, House Speaker Nancy Pelosi (D-Calif.) and Treasury Secretary Steven Mnuchin informally agreed to work to avoid a government shutdown at the end of the month of September to prevent the stalemate over virus-relief legislation from impeding the passage of a continuing resolution (CR). The CR is required to continue funding federal government agencies since Congress has not passed any of the FY 2021 appropriations bills. The CR will last until early December, and the House is expected to begin consideration of the bill during the week of September 14<sup>th</sup>. This will provide time for the Senate to vote on the bill and the president to sign the bill into law before the end of the fiscal year, September 30.



## **Lawmakers Agree to One-Year Surface Transportation Extension**

Congress will extend the current surface authorization bill, the Fixing America's Surface Transportation Act (FAST), which expires on September 30, by one year as Congress runs out of time to pass a full reauthorization.

A coalition of 88 trade associations, unions, and organizations [wrote](#) to Congress on September 9 asking that lawmakers enact a one-year surface transportation extension. In addition to the extension, the letter requested \$37 billion in emergency funding for state departments of transportation and \$32 billion for public transit agencies to recover from the COVID-19 crisis. They also asked lawmakers to “ensure solvency of the Highway Trust Fund for the duration of the extension at a minimum.” To date this year, state and local entities have delayed or cancelled \$8 billion in surface transportation projects.

## **Federal Highway Administration Gives States \$4.8 Billion in Extra FY 2020 Highway Funding and Highway Trust Fund Update**

On August 28, the Federal Highway Administration (FHWA) distributed an additional \$4.8 billion in FY 2020 federal-aid highway funding to states as part of the August redistribution process. Each year, FHWA reserves money for non-formula programs, but FHWA never uses that whole amount. Therefore, at the end of every July, FHWA figures out how much obligation limitation it will not be able to use by the end of the fiscal year, September 30, and asks states how much additional money they could obligate by that deadline. The money is then distributed to states by how much they say they can use by the deadline, not by their regular share of formula funding.

This funding amount is an all-time high for the annual August redistribution of the obligation limitation on federal-aid highways because there have been large carryover balances in the INFRA and TIFIA programs that FHWA has not been able to spend quickly. The state of California received \$493.7 million.

On August 6, the Treasury Department published its monthly report of the Highway Trust Fund (HTF) tax receipts for July 2020 that shows federal gas taxes are now slightly above last year's levels. July 2020 HTF tax receipts totaled \$3.84 billion, which is \$201 million above the July 2019 level.

## **FEMA Releases PPE Interim Policy**

On September 1, Federal Emergency Management Agency (FEMA) announced a change in its reimbursements of personal protective equipment (PPE). The changes will go into effect on September 15. FEMA will no longer reimburse states for the cost of cloth face coverings in non-emergency settings, including transit, schools, public housing, and courthouses. “Supporting schools and other functions – courthouses and other related functions – are not a direct emergency protective measures and therefore they're not eligible for [Public Assistance],” said Keith Turi, a FEMA assistant administrator for recovery. In addition, as of September 15, FEMA will only provide stockpiling funding for a 60-day supply of PPE from the date of purchase. Previously, a specific date was not specified.

Under the new policy, FEMA provides assistance for emergency protective measures in response to COVID-19 declared events, to include the following:

- Purchase and distribution of Personal Protective Equipment (PPE) that is directly related to the performance of otherwise eligible emergency work, or is provided to healthcare workers, patients with confirmed or suspected COVID-19 infection, and first responders.
  - Funding for stockpiling a supply of eligible PPE is limited to a 60-day supply from date of purchase.
  - Funding for storing eligible PPE is limited to what is necessary to store 60-day PPE supply.
- Medical care, in accordance with COVID-19 specific policy – “COVID-19 Pandemic: Medical Care Costs Eligible for Public Assistance, Version 2 (Interim)” policy – being concurrently released or subsequent updates.
- Purchase and distribution of food, in accordance with COVID-19 specific policy or subsequent updates.
- Non-congregate medical sheltering, in accordance with COVID-19 specific policy or subsequent updates.
- Operation of Emergency Operations Centers to direct and coordinate resources and response activities for COVID-19 declarations.
- Communications to disseminate public information regarding health and safety measures and provide warnings about risks and hazards.
- Mass casualty management, including the storage of human remains and mass mortuary services needed to manage mass fatalities caused by COVID-19.

## **.Grant Opportunities**

- **Expedited Project Delivery Pilot Program**: \$100 million is currently available. Applications will be accepted on a rolling basis until up to eight grants are awarded, subject to funding availability.
- **Commuter Authority Rail Safety Improvement (CARSI) Grants**: \$50 million available to improve safety at public railway-highway crossings. Eligibility is limited to the following applicants: an applicant must be a “commuter authority”. An eligible commuter authority must have experienced at least one accident investigated by the National Transportation Safety Board (NTSB) between January 1, 2008, and December 31, 2018, and for which the NTSB issued an accident report. The applicant must be either: (1) a commuter authority that meets the eligibility requirements listed above; or (2) a public or non-profit entity partnering with an eligible commuter authority. Applications are due by October 26.



**PENINSULA CORRIDOR JOINT POWERS BOARD  
STAFF REPORT**

TO: Joint Powers Board  
THROUGH: Jim Hartnett  
Executive Director  
FROM: Derek Hansel  
Chief Financial Officer  
SUBJECT: **STATEMENT OF REVENUES AND EXPENSES FOR THE PERIOD ENDING  
JUNE 30, 2020**

**ACTION**

Staff proposes that the Board of Directors accept and enter into the record the Statement of Revenues and Expenses for the month of June 2020.

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

**SIGNIFICANCE**

**Year to Date Revenues:** As of June year-to-date actual, the Total Revenue (page 1, line 18) is \$1.3 million lower than the prior year. This is primarily driven by decreases in Farebox Revenue (page 1, line 1) which were partially offset by increases in Operating Grant (page 1, line 11), JPB Member Agencies Contributions (page 1, line 12) and CARES ACT Fund (page 1, line 13).

**Year to Date Expenses:** As of June year-to-date actual, the Grand Total Expense (page 1, line 50) is \$6.6 million lower than the prior year-to-date actual. This is primarily due to decreases in Rail Operator Service (page 1, line 24), Fuel and Lubricants (page 1, line 28), Managing Agency Admin OH Cost (page 1, line 40), Professional Services (page 1, line 42) and Other Office Expenses and Services (page 1, line 44). The decreases are partially offset by increases in Positive Train Control (page 1, line 25), Wages and Benefits (page 1, line 39), and Long Term Debt Expense (page 1, line 48).

**Other Information:** Due to the impact of Covid-19 pandemic in the farebox revenues and other major line items in the financial statements, the forecast column was eliminated from the reports until more information are available for accurate revenue and expense forecast.

**BUDGET IMPACT**

There are no budget amendments for the month of June 2020.

**STRATEGIC INITIATIVE**

This item does not achieve a strategic initiative.

Prepared By : Thwe Han, Accountant II

650-508-7912

Jennifer Ye, Manager, General Ledger

650-622-7890

**PENINSULA CORRIDOR JOINT POWERS BOARD**  
**STATEMENT OF REVENUE AND EXPENSE**  
**Fiscal Year 2020**  
**June 2020**

**UNAUDITED**

% OF YEAR ELAPSED 100.0%

	YEAR TO DATE					ANNUAL
	PRIOR ACTUAL	CURRENT ACTUAL	\$ VARIANCE	% VARIANCE	CURRENT YTD as a % OF BUDGET	APPROVED BUDGET
<b>REVENUE</b>						
<b>OPERATIONS:</b>						
1 Farebox Revenue	102,668,114	75,789,144	(26,878,970)	(26.2%)	71.5%	106,000,000
2 Parking Revenue	5,316,427	3,659,013	(1,657,414)	(31.2%)	68.6%	5,335,000
3 Shuttles	2,047,107	2,001,897	(45,210)	(2.2%)	80.0%	2,503,200
4 Rental Income	1,901,052	533,563	(1,367,489)	(71.9%)	25.9%	2,060,540
5 Other Income	2,829,996	3,049,908	219,912	7.8%	173.9%	1,753,450
6						
7 <b>TOTAL OPERATING REVENUE</b>	<b>114,762,695</b>	<b>85,033,524</b>	<b>(29,729,171)</b>	<b>(25.9%)</b>	<b>72.3%</b>	<b>117,652,190</b>
8						
<b>CONTRIBUTIONS:</b>						
10 AB434 Peninsula & TA Shuttle Funding	1,728,727	1,333,171	(395,556)	(22.9%)	76.7%	1,737,950
11 Operating Grants	3,700,607	6,816,688	3,116,081	84.2%	128.0%	5,327,497
12 JPB Member Agencies	25,448,000	28,035,055 *	2,587,055	10.2%	93.7%	29,921,971
13 CARES ACT Fund	-	23,127,798	23,127,798			-
14 Use of Reserves	-	-	-	0.0%	0.0%	1,064,614
15						
16 <b>TOTAL CONTRIBUTED REVENUE</b>	<b>30,877,334</b>	<b>59,312,712</b>	<b>28,435,378</b>	<b>92.1%</b>	<b>155.9%</b>	<b>38,052,032</b>
17						
18 <b>GRAND TOTAL REVENUE</b>	<b>145,640,029</b>	<b>144,346,236</b>	<b>(1,293,793)</b>	<b>(.9%)</b>	<b>92.7%</b>	<b>155,704,222</b>
19						
<b>EXPENSE</b>						
<b>OPERATING EXPENSE:</b>						
24 Rail Operator Service	86,230,812	83,915,012	(2,315,801)	(2.7%)	92.4%	90,817,696
25 Positive Train Control	63,394	1,669,554	1,606,160	2533.6%	69.6%	2,400,000
26 Security Services	5,816,573	5,913,164	96,591	1.7%	90.4%	6,544,183
27 Shuttle Services	4,043,565	4,356,669	313,105	7.7%	82.4%	5,290,100
28 Fuel and Lubricants	11,160,475	9,289,638	(1,870,837)	(16.8%)	84.4%	11,003,417
29 Timetables and Tickets	92,987	145,818	52,830	56.8%	101.6%	143,500
30 Insurance	4,193,739	4,331,946	138,207	3.3%	96.1%	4,506,064
31 Claims, Payments, and Reserves	(65,244)	(37,410)	27,834	(42.7%)	(3.9%)	951,794
32 Facilities and Equipment Maintenance	2,944,312	2,739,785	(204,527)	(6.9%)	82.0%	3,339,391
33 Utilities	2,040,714	2,026,493	(14,221)	(.7%)	96.3%	2,105,422
34 Maint & Services-Bldg & Other	1,377,376	1,542,912	165,536	12.0%	98.4%	1,567,930
35						
36 <b>TOTAL OPERATING EXPENSE</b>	<b>117,898,703</b>	<b>115,893,580</b>	<b>(2,005,124)</b>	<b>(1.7%)</b>	<b>90.1%</b>	<b>128,669,496</b>
37						
<b>ADMINISTRATIVE EXPENSE</b>						
39 Wages and Benefits	10,212,324	11,673,415	1,461,090	14.3%	96.9%	12,047,389
40 Managing Agency Admin OH Cost	6,503,882	4,406,537	(2,097,346)	(32.2%)	86.4%	5,098,065
41 Board of Directors	18,659	24,588	5,929	31.8%	168.4%	14,600
42 Professional Services	3,440,617	1,959,952	(1,480,665)	(43.0%)	45.8%	4,280,183
43 Communications and Marketing	272,596	293,830	21,234	7.8%	97.5%	301,500
44 Other Office Expenses and Services	5,324,257	1,789,476	(3,534,781)	(66.4%)	67.4%	2,653,216
45						
46 <b>TOTAL ADMINISTRATIVE EXPENSE</b>	<b>25,772,336</b>	<b>20,147,798</b>	<b>(5,624,538)</b>	<b>(21.8%)</b>	<b>82.6%</b>	<b>24,394,953</b>
47						
48 Long Term Debt Expense	1,602,163	2,635,046	1,032,882	64.5%	99.8%	2,639,773
49						
50 <b>GRAND TOTAL EXPENSE</b>	<b>145,273,203</b>	<b>138,676,423</b>	<b>(6,596,779)</b>	<b>(4.5%)</b>	<b>89.1%</b>	<b>155,704,222</b>
51						
52 <b>NET SURPLUS / (DEFICIT)</b>	<b>366,827</b>	<b>5,669,813</b>	<b>5,302,986</b>	<b>14.5</b>	<b>-2017726847.5%</b>	<b>(0)</b>

Adjustment of PTC Litigation Fees (5,362,421)

**NET SURPLUS / (DEFICIT)- ADJUSTED** **307,392**

\*The total member agency contribution actuals were received in Member Agency Contributions (line 12) \$28.0M and Operating Grants (line 11) \$1.9M.



**PENINSULA CORRIDOR JOINT POWERS BOARD  
STAFF REPORT**

TO: Board of Directors

THROUGH: Jim Hartnett  
Executive Director

FROM: Derek Hansel  
Chief Financial Officer

SUBJECT: **STATEMENT OF REVENUES AND EXPENSES FOR THE PERIOD ENDING  
AUGUST 31, 2020**

**ACTION**

Staff proposes that the Board of Directors accept and enter into the record the Statement of Revenues and Expenses for the month of August 2020. This staff report provides a brief discussion of significant items and trends on the attached Statement of Revenues and Expenses through August 31, 2020. The statement has been designed to follow the Agency-wide line item rollup as included in the adopted budget. The columns have been designed to provide easy comparison of year-to-date prior to current actuals for the current fiscal year including dollar and percentage variances. In addition, the current forecast of Revenues and Expenses is compared to the Adopted Budget for the first quarter of Fiscal Year 2021.

**SIGNIFICANCE**

**Year to Date Revenues:** As of August year-to-date actual, the Total Revenue (page 1, line 17) is \$5.2 million lower than the prior year. This is primarily driven by decreases in Farebox Revenue (page 1, line 1), Parking Revenue (page 1, line 2), Other Income (page 1, line 5), and JPB Member Agencies (page 1, line 12). The decreases are partially offset by CARES ACT Fund (page 1, line 13).

**Year to Date Expenses:** As of August year-to-date actual, the Grand Total Expense (page 1, line 49) is \$6.3 million lower than the prior year-to-date actual. This is primarily due to decreases in Rail Operator Service (page 1, line 24), Security Services (page 1, line 25), Fuel and Lubricants (Page 1, line 27) and Wages and Benefits (page 1, line 38). The decreases are partially offset by increases in Insurance (page 1, line 29) and Claims, Payments, and Reserves (page 1, line 30).

**BUDGET IMPACT**

There are no budget amendments for the month of August 2020.

**STRATEGIC INITIATIVE**

This item does not achieve a strategic initiative.

**PENINSULA CORRIDOR JOINT POWERS BOARD**  
**STATEMENT OF REVENUE AND EXPENSE**  
**Fiscal Year 2021**  
**August 2020**

	% OF YEAR ELAPSED									16.7%
	YEAR TO DATE				CURRENT YTD as a % OF BUDGET	JULY-SEPTEMBER				
	PRIOR ACTUAL	CURRENT ACTUAL	\$ VARIANCE	% VARIANCE		APPROVED BUDGET	FORECAST	\$ VARIANCE	% BUDGET	
<b>REVENUE</b>										
<b>OPERATIONS:</b>										
1 Farebox Revenue	18,141,284	5,956,011	(12,185,274)	(67.2%)	74.3%	8,015,496	8,015,496	-	0.0%	1
2 Parking Revenue	908,015	77,392	(830,623)	(91.5%)	61.0%	126,782	126,782	-	0.0%	2
3 Shuttles	196,331	305,706	109,375	55.7%	83.1%	368,000	368,000	-	0.0%	3
4 Rental Income	342,146	167,092	(175,053)	(51.2%)	48.7%	343,026	343,026	-	0.0%	4
5 Other Income	459,854	236,982	(222,872)	(48.5%)	62.0%	382,137	382,137	-	0.0%	5
6										6
7 <b>TOTAL OPERATING REVENUE</b>	<b>20,047,631</b>	<b>6,743,184</b>	<b>(13,304,447)</b>	<b>(66.4%)</b>	<b>73.0%</b>	<b>9,235,441</b>	<b>9,235,441</b>	<b>-</b>	<b>0.0%</b>	7
8										8
9 <b>CONTRIBUTIONS:</b>										9
10 AB434 Peninsula & TA Shuttle Funding	317,787	453,114	135,327	42.6%	105.1%	431,300	431,300	-	0.0%	10
11 Operating Grants	863,704	757,701	(106,002)	(12.3%)	66.7%	1,135,439	1,135,439	-	0.0%	11
12 JPB Member Agencies	10,100,662	9,845,614	(255,048)	(2.5%)	81.9%	12,020,136	12,020,136	-	0.0%	12
13 CARES ACT Fund	-	8,307,182	8,307,182	0.0%	0.0%	-	-	-	0.0%	13
14										14
15 <b>TOTAL CONTRIBUTED REVENUE</b>	<b>11,282,153</b>	<b>19,363,611</b>	<b>8,081,458</b>	<b>71.6%</b>	<b>142.5%</b>	<b>13,586,875</b>	<b>13,586,875</b>	<b>-</b>	<b>0.0%</b>	15
16										16
17 <b>GRAND TOTAL REVENUE</b>	<b>31,329,784</b>	<b>26,106,795</b>	<b>(5,222,989)</b>	<b>(16.7%)</b>	<b>114.4%</b>	<b>22,822,316</b>	<b>22,822,316</b>	<b>-</b>	<b>0.0%</b>	17
18										18
19										19
20										20
21 <b>EXPENSE</b>										21
22										22
23 <b>OPERATING EXPENSE:</b>										23
24 Rail Operator Service	15,679,346	12,038,219	(3,641,127)	(23.2%)	48.4%	24,850,000	24,850,000	-	0.0%	24
25 Security Services	1,344,193	935,810	(408,383)	(30.4%)	54.9%	1,705,477	1,705,477	-	0.0%	25
26 Shuttle Services	503,768	424,712	(79,056)	(15.7%)	61.2%	694,000	694,000	-	0.0%	26
27 Fuel and Lubricants	1,626,183	636,930	(989,253)	(60.8%)	38.6%	1,650,270	1,650,270	-	0.0%	27
28 Timetables and Tickets	-	-	-	0.0%	0.0%	22,500	22,500	-	0.0%	28
29 Insurance	720,992	900,513	179,521	24.9%	17.7%	5,100,000	5,100,000	-	0.0%	29
30 Claims, Payments, and Reserves	(165,317)	41,050	206,368	(124.8%)	17.3%	237,948	237,948	-	0.0%	30
31 Facilities and Equipment Maintenance	142,180	272,008	129,828	91.3%	23.6%	1,153,630	1,153,630	-	0.0%	31
32 Utilities	275,563	204,806	(70,757)	(25.7%)	30.4%	673,675	673,675	-	0.0%	32
33 Maint & Services-Bldg & Other	57,242	3,616	(53,626)	(93.7%)	0.8%	430,873	430,873	-	0.0%	33
34										34
35 <b>TOTAL OPERATING EXPENSE</b>	<b>20,184,149</b>	<b>15,457,665</b>	<b>(4,726,484)</b>	<b>(23.4%)</b>	<b>42.3%</b>	<b>36,518,373</b>	<b>36,518,373</b>	<b>-</b>	<b>0.0%</b>	35
36										36
37 <b>ADMINISTRATIVE EXPENSE</b>										37
38 Wages and Benefits	3,555,196	2,473,880	(1,081,316)	(30.4%)	75.1%	3,296,146	3,296,146	-	0.0%	38
39 Managing Agency Admin OH Cost	786,463	693,182	(93,281)	(11.9%)	54.4%	1,274,516	1,274,516	-	0.0%	39
40 Board of Directors	2,102	1,556	(546)	(26.0%)	14.1%	11,025	11,025	-	0.0%	40
41 Professional Services	124,953	13,187	(111,766)	(89.4%)	2.0%	644,633	644,633	-	0.0%	41
42 Communications and Marketing	10,271	13,424	3,153	30.7%	17.8%	75,375	75,375	-	0.0%	42
43 Other Office Expenses and Services	269,697	52,896	(216,801)	(80.4%)	9.2%	573,761	573,761	-	0.0%	43
44										44
45 <b>TOTAL ADMINISTRATIVE EXPENSE</b>	<b>4,748,683</b>	<b>3,248,125</b>	<b>(1,500,558)</b>	<b>(31.6%)</b>	<b>55.3%</b>	<b>5,875,456</b>	<b>5,875,456</b>	<b>-</b>	<b>0.0%</b>	45
46										46
47 Long Term Debt Expense	482,966	447,141	(35,825)	(7.4%)	75.1%	595,438	595,438	-	0.0%	47
48										48
49 <b>GRAND TOTAL EXPENSE</b>	<b>25,415,798</b>	<b>19,152,930</b>	<b>(6,262,868)</b>	<b>(24.6%)</b>	<b>44.6%</b>	<b>42,989,267</b>	<b>42,989,267</b>	<b>-</b>	<b>0.0%</b>	49
50										50
51 <b>NET SURPLUS / (DEFICIT)</b>	<b>5,913,986</b>	<b>6,953,865</b>	<b>1,039,879</b>	<b>17.6%</b>	<b>-34.5%</b>	<b>(20,166,951)</b>	<b>(20,166,951)</b>	<b>-</b>	<b>0.0%</b>	51
52										52



BOARD OF DIRECTORS 2020

**DAVE PINE**, CHAIR  
 DEVORA "DEV" DAVIS, VICE  
 CHAIR  
 STEVE HEMINGER  
 JENNIE BRUINS  
 RON COLLINS  
 CINDY CHAVEZ  
 SHAMANN WALTON  
 CHARLES STONE  
 MONIQUE ZMUDA

JIM HARTNETT  
 EXECUTIVE DIRECTOR

**PENINSULA CORRIDOR JOINT POWERS BOARD**

**INVESTMENT PORTFOLIO**

**AS OF AUGUST 31, 2020**

TYPE OF SECURITY		MATURITY DATE	INTEREST RATE	PURCHASE PRICE	MARKET RATE
Local Agency Investment Fund (Unrestricted)	*	Liquid Cash	0.784%	36,687	36,687
County Pool (Unrestricted)		Liquid Cash	1.372%	551,171	551,171
Other (Unrestricted)		Liquid Cash	0.050%	71,638,560	71,638,560
Other (Restricted)	**	Liquid Cash	0.050%	15,336,600	15,336,600
				<b>\$ 87,563,019</b>	<b>\$ 87,563,019</b>

Interest Earnings for August 2020                   \$ 2,137.92  
 Cumulative Earnings FY2021                       \$ 6,971.46

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

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

**PENINSULA CORRIDOR JOINT POWERS BOARD  
STAFF REPORT**

TO: Board of Directors

THROUGH: Jim Hartnett  
Executive Director

FROM: Derek Hansel                      Michelle Bouchard  
Chief Financial Officer              Chief Operating Officer, Rail

SUBJECT: **AWARD OF CONTRACT FOR DELAWARE STREET STORM DRAIN RELOCATION PROJECT**

**ACTION**

Staff Coordinating Council recommends the Board:

1. Award a contract to the lowest, responsive and responsible bidder, Kingdom Pipelines, Inc., of San Francisco, California (Kingdom), for a total amount of \$586,340 for the Delaware Street Storm Drain Relocation Project (Project).
2. Authorize the Executive Director, or his designee, to execute a contract with Kingdom, in full conformity with the terms and conditions set forth in the solicitation documents, and in a form approved by legal counsel.

**SIGNIFICANCE**

The existing storm drain on Delaware Street in the City of San Mateo (City) needed to be capped off due to a new PG&E power feed that was relocated due to the 25th Avenue Grade Separation Project. The Project will install a new storm drain system that will connect at existing points and provide the City with adequate drainage during the rainy seasons.

The scope of work consists of furnishing all labor, equipment, and materials required for the Project, which includes:

- Installation of new storm drain system
- Removal and replacement of drain inlets
- Removal and replacement of concrete sidewalk
- Backfilling and repavement of portions of roadway
- Removal and replacement of curb ramps
- Installation of new detectable warning tactile surface at curb ramps

The Project is anticipated to be completed by the summer of 2021.



## **BUDGET IMPACT**

The proposed contract is related to the completion of, and is included in the Peninsula Corridor Joint Powers Board's (JPB) approved \$180 million budget for, the 25th Avenue Grade Separation Project, with funding coming from California High Speed Rail Authority, Section 190 grant funds from the California Public Utilities Commission, the San Mateo County Transportation Authority and the City of San Mateo.

## **BACKGROUND**

An Invitation for Bids (IFB) was advertised in a newspaper of general circulation and on the JPB's procurement website. A 15% Small Business Enterprise (SBE) goal was assigned to this Project. Prior to releasing the IFB, extensive outreach for SBEs was conducted. One potential bidder attended the pre-bid meeting and four bids were received as follows:

<b>Company</b>	<b>Bid Amount</b>	<b>5% SBE Preference</b>	<b>Bid Amount with 5% SBE Preference applied</b>
<b>Engineer's Estimate</b>	<b>\$1,181,250</b>	<b>N/A</b>	<b>N/A</b>
1. Kingdom Pipelines, San Francisco	\$586,340	\$29,317	\$557,023
2. Kerex Engineering, Pleasant Hill	\$591,440	\$29,317	\$562,123
3. CF Contracting, San Francisco	\$950,360	\$29,317	\$921,043
4. Shimmick/Disney JV, Burlingame	\$2,159,940	N/A	\$2,159,940

Kingdom submitted all required bid documentation. Staff has determined, and legal counsel concurred, that the bid submitted by Kingdom is responsive.

The bid from Kingdom was approximately 49 percent lower than the engineer's estimate. Staff believes the pricing difference is attributed to a competitive market for this type of work. The key discrepancies between the estimate and Kingdom's bid are for mobilization, excavation, and concrete activities that fluctuate based on the market conditions for construction materials and equipment.

All bidders, except Shimmick/Disney JV, Burlingame, are certified SBEs and were given a 5 percent SBE preference based on the lowest bid amount. Kingdom was the lowest bidder both before and after the SBE preference was applied.

Kingdom is an established contractor with more than 20 years of construction experience. Staff contacted Kingdom's references and confirmed its experience and competency. Kingdom has successfully completed projects for the City of San Mateo Public Works, the City of Brisbane Public Works, and the San Francisco International Airport. Based upon these findings, staff concludes that Kingdom is appropriately qualified and capable of meeting the requirements of the contract and is, therefore, the lowest, responsive, and responsible bidder.

Procurement Administrator II: Patrick Ng  
Project Manager: Alvin Piano

650.622.8018  
650.508.6447

**RESOLUTION NO. 2020 –**

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

\* \* \*

**AWARDING A CONTRACT TO KINGDOM PIPELINES, INC. FOR THE  
DELAWARE STREET STORM DRAIN RELOCATION PROJECT  
FOR A TOTAL AMOUNT OF \$586,340**

**WHEREAS**, the Peninsula Corridor Joint Powers Board (JPB) issued an Invitation for Bids (IFB) for the Delaware Street Storm Drain Relocation (Project) necessitated by the 25th Avenue Grade Separation Project in the City of San Mateo; and

**WHEREAS**, in response to the IFB, the JPB received four bids; and

**WHEREAS**, staff and legal counsel have reviewed the bids and determined that Kingdom Pipelines, Inc., of San Francisco, CA (Kingdom) is the lowest, responsive and responsible bidder; and

**WHEREAS**, Staff Coordinating Council recommends, and the Executive Director concurs, that a contract be awarded to Kingdom, whose bid meets the requirements of the solicitation documents.

**NOW, THEREFORE, BE IT RESOLVED** that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby awards a contract to Kingdom Pipelines, Inc. for the Delaware Street Storm Drain Relocation Project for a total amount of \$586,340; and

**BE IT FURTHER RESOLVED** that the Executive Director, or his designee, is authorized to execute a contract on behalf of the JPB with Kingdom Pipelines, Inc., in full conformity with all the terms and conditions of the solicitation documents and in a form approved by legal counsel.

Regularly passed and adopted this 1<sup>st</sup> day of October 2020 by the following  
vote:

AYES:

NOES:

ABSENT:

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Chair, Peninsula Corridor Joint Powers Board

ATTEST:

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JPB Secretary

**PENINSULA CORRIDOR JOINT POWERS BOARD  
STAFF REPORT**

TO: Joint Powers Board

FROM: Jim Harnett Executive Director  
Joan Cassman Legal Counsel  
Michelle Bouchard Chief Operating Officer  
Derek Hansel Chief Financial Officer

SUBJECT: **ADOPTION OF FISCAL YEAR 2021 SECOND QUARTER OPERATING BUDGET AND AMENDMENT OF THE FISCAL YEAR 2021 CAPITAL BUDGET**

**ACTION**

Staff requests the Board:

1. Adopt a Fiscal Year (FY) 2020-2021 Second Quarter (Q2) Operating Budget of \$35,072,975
2. Adopt an amendment to increase the FY2021 Capital Budget by \$65,035,293 for a new budget of \$84,152,772.

**SIGNIFICANCE**

In recognition of the uncertainties presented by COVID-19, on June 4, 2020 the Peninsula Corridor Joint Powers Board (JPB) adopted an Interim 1st Quarter Operating Budget and Capital Budget for FY2021, with the understanding that budgets for a full fiscal year would be presented in September. At the September Board of Directors meeting, staff presented an FY2021 Operating Budget of \$87,284,175, including a deficit of \$60,034,656, and an amended FY2021 Capital Budget of \$61,676,772. The Board chose not to adopt the proposed budgets because the proposed Operating Budget was not balanced and the Board was not prepared to place capital funding requirements on the JPB's member agencies at that time. In the Board's discussion, directors asked for and received brief guidance on the legality of the JPB adopting an imbalanced budget. The Board also requested that staff present a balanced 2<sup>nd</sup> Quarter budget for consideration and approval at the October Board meeting.

***Budget Purpose and Balanced Budget Rules***

As stated by legal counsel at the September Board meeting, the JPB is not required by "black-letter law" to adopt a balanced budget (e.g., with revenues/use of reserves equal to expenditures). Indeed, state law does not require cities or special districts to adopt balanced budgets or, in some cases, any budgets at all.

For joint powers authorities like the JPB, the enabling legislation allows public agencies to join together under a contract to exercise powers that the agencies share. The law requires that each joint powers agreement identify the member agency whose powers will govern the joint powers agency and establish the scope of and restrictions upon those powers. In Section 5 of the Joint Powers Agreement that formed the JPB, "SamTrans" is identified as that member agency.

As is the case for special districts, the San Mateo County Transit District's enabling legislation requires it to adopt an annual budget, but without any accompanying statutory requirement that such budget is balanced. (Public Utilities Code section 103140). Similarly for VTA, its enabling legislation calls for the adoption of an annual budget without any express requirement that the budget be balanced. (Public Utilities Code section 100071).<sup>1</sup>

The JPB's Joint Powers Agreement also requires adoption of annual operating and capital budgets, but does not require the operating budget to be balanced, though any capital program funding gaps "shall be shared equally by the Member Agencies."

Although there is no explicit statutory requirement for the JPB to adopt a balanced budget, public agencies follow best and common policy practices to approve balanced budgets. As stated in Concepts Statement No. 1 of the Governmental Accounting Standards Board (GASB), a public agency's budget is an "expression of public policy and financial intent [that]... provides both authorizations of and limitations on amounts that may be spent for particular purposes." This GASB Statement further opines that balanced budget requirements are expressions of "a common perception that state and local governments need to 'live within their means.'"

Moreover, budgets are essential to address other laws and practical requirements. The following are taken from The California Local Government Finance Almanac<sup>2</sup>:

- A public agency may not spend public funds without the legal authorization to do so. Among other things, a budget appropriates public funds, thereby providing the legal authorization from the governing body to expend these funds. Appropriation authority can also be conferred by an ordinance or resolution.
- Cal. Government Code Sec 53901 requires each local agency to file its budget with the county auditor within 60 days after the beginning of its fiscal year. If an agency does not have a "formal budget" it must "file a listing of its anticipated

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<sup>1</sup> For additional context, there are two examples of state law that specifically require a balanced budget. First, the state legislature is now required to adopt a balanced budget by reason of "The Balanced Budget Act" approved by California's voters as Proposition 58 in 2004. Second, counties are required by Section 29009 of the California Government Code to adopt balanced budgets. More curiously, the enabling statutes of some agencies, such as the Metropolitan Transportation Commission, include no budget requirements at all, leaving all budget policy-making to the local agencies' discretion. As a general rule though, state law is silent on a balanced budget requirement for most other political subdivisions of the state.

<sup>2</sup> "Are California Cities Required to Have Budgets? No. But...", April 2, 2013, available at <http://www.californiacityfinance.com/CityBudgets.pdf>.

revenues, together with its expenditures and expenses for the fiscal year in progress" which amounts to much the same thing as a budget.

- In order to qualify to receive federal funds, a local agency must comply with the federal Single Audit Act and must retain a Certified Public Accountant to prepare an annual audit of its financial records. Such an audit will require the agency to comply with Generally Accepted Accounting Principles and government accounting and audit standards. That compliance will be very difficult without an adopted budget.

In sum, it is not legally required for the JPB to have a balanced budget, but in light of the foregoing, the JPB should have annual operating and capital budgets.

### ***JPB Budget Mitigation Strategies***

COVID-19 has continued to have a challenging impact on the operations and finances of local governments and the public at large. Broadly speaking, the JPB has faced the uncertainties that came with the COVID-19 pandemic head-on, placing a new importance on considering the JPB's financial goals from the perspective of maintaining sufficient liquidity and financial support to maintain operations, even though at a reduced level.

In summary, the goals and challenges addressed through the Q2 budgets are:

- To obtain budget appropriation for the 2<sup>nd</sup> Quarter of FY2021;
- To add to the JPB's arsenal against COVID-19 an aggressive plan of action to focus on bringing passengers back on the trains by building a higher level of trust with the riding public that Caltrain is ensuring health safety on the trains;
- To continue to recognize that affordable public transportation is vital to equitably supporting economic recovery for the region;
- To maintain a Caltrain schedule that will meet the changing behavior of the riding public during the gradual lift of the State and local SIP orders.

The proposed FY2021 Q2 Operating Budget and amendment to the FY2021 Capital Budget promote Caltrain's ability to be nimble and adapt operations to changing conditions, meet its financial obligations, and set the stage to be ready to meet the challenges for the remainder of the fiscal year.

### ***FY2021 Second Quarter (Q2) Operating Budget Overview***

The FY2021 Q2 Operating Budget, outlined below and detailed in Attachment A, cautiously assumes that passengers will start riding again, albeit at a lower level and at a slower rate. Thus, the Q2 budget is built around the operation of a 70-train schedule for the balance of the quarter.

In June, the Board approved the 1<sup>st</sup> Quarter Interim Operating Budget. The FY2021 budget presented before the Board is a 2<sup>nd</sup> quarter budget.

On the revenue side, farebox revenue is relying heavily on the Go Pass fare. This budget assumes an increasing monthly recovery rate from pre-COVID-19 ridership levels up to 30% in the January 2021 to June 2021 timeframe. The ridership recovery rate assumptions will be adjusted based on actual monthly trends. For the Q2 budget, the ridership recovery rate was lowered from 10% to 5% based on actual Q1 ridership indicators. The Q2 budget also assumes an annualized reduction of \$0.9 million in the operating funding contributions from the JPB member agencies.

On the expense side, starting in FY2021, Positive Train Control (PTC) will move from a capital project to an operating and maintenance requirement. We will separately calculate the cost of complying with this unfunded federal mandate. Labor cost assumptions continue to include an administrative hiring freeze and no universal wage increase, among others. Furthermore, this budget includes an assumption of stability in fuel costs under the JPB's diesel fuel hedging program.

### ***FY2021 Capital Budget Overview***

This period in the evolution of Caltrain demonstrates the resiliency and perseverance of the agency to take important steps towards a future that enables Caltrain to continue to serve as a critical mobility asset for the Peninsula and the broader San Francisco Bay region.

During the FY2020 Shelter In Place (SIP) period, the 42-train schedule increased right of way access and allowed the JPB to perform some critical work relative to rolling stock "state-of-good-repair". In the first quarter of FY2021, with funding from various agencies in flux, the initial FY2021 Capital Budget focused only on projects that will be supported by redirecting available funds from other projects that have been completed under budget, or from other projects that can be postponed.

As the JPB looks ahead to the balance of the fiscal year, the Amendment to the Caltrain Capital Budget, described in this report and set forth in Attachment B, includes additional required capital projects that will be eligible for traditional annual federal, state and local funding.

## **BUDGET IMPACT**

### ***FY2021 Second Quarter Operating Budget Impact***

The following narrative describes the FY2021 Q2 Operating Budget as compared to FY2021 Adopted Q1. Each section has a reference to a line item that corresponds to the Financial Statement as shown on attachment A.

### **Revenue Projections**

Total revenues for the second quarter of FY2021 are projected at \$55.3 million, an increase of \$32.4 million or 142.0% higher than the adopted FY2021 Q1 budget.

Revenue from Operations in the second quarter of FY2021 are projected at \$9.7 million, an increase of \$0.5 million or 5.4% higher than the adopted FY2021 Q1 budget.

Revenue from Contributions for the second quarter of FY2021 are projected at \$45.5 million, an increase of \$31.9 million or 234.9% higher than the adopted FY2021 Q1 budget.

## **Operating Revenue**

Line 1 **Farebox Revenue:** \$8.4 million, an increase of \$0.4 million or 4.8% higher than the FY2021 Q1 budget.

Farebox revenue includes fare receipts collected directly from rail passengers or through pass sales. Go Passes purchased generally are valid for a 12-month period and thus cuts across two fiscal years. Go Pass revenues average \$2.5 million a month.

At the June 2020 Board meeting, the Board approved the extension of the Go Pass for up to three months ending March 2021. The impact of this action reflects a loss of approximately \$7.5 million in FY2020 Farebox revenues. The proposed FY2021 Q2 budget assumes no further reductions in Calendar Year 2020 Go Pass revenues.

Based on the actual Q1 ridership indicators, the proposed FY2021 Q2 budget ridership recovery rate was lowered.

Line 2 **Parking Revenue:** \$126,782 reflects no changes over the FY2021 Q1 budget.

Parking revenue includes fees at parking lots at various passenger stations and from a parking lot located at the SAP Center adjacent to the San Jose Diridon station. Parking revenues directly follow the movements in ridership levels. The proposed FY2021 assumes same levels as the adopted Q1 budget.

Line 3 **Shuttle Revenue:** \$0.6 million, an increase of \$0.2 million or 50.7% higher than the FY2021 Q1 budget.

The Shuttle Program funding comes from participating employers, the San Mateo County Transportation Authority (TA), Bay Area Air Quality Management District (BAAQMD) and by JPB operating funds. This line item refers only to the revenue generated from participating local area employers who provide rail passengers the last-mile connections between Caltrain stations and work sites. In recent years, the traditional funding sources for the shuttle program have continued to decline, necessitating additional member and agency funding.

Line 4 **Rental Income:** \$220,426, a decrease of \$122,600 or 35.7% lower than the FY2021 Q1 budget.

Rental income generated from Caltrain right of way properties. In FY2021, the



estimate does not include rental from bike lockers. Staff is also monitoring and working with lessors on a month-to-month basis.

Line 5 **Other Income:** \$430,620, an increase of \$48,483 or 12.7% higher than the FY2021 Q1 budget.

Other Income consists of interest on invested funds, shared track usage maintenance fees, advertising income, parking citation fees, and permit fees. Advertising income includes income from train wraps, stations, ad cards, and digital displays. The FY2021 advertising income estimate is based on contractual minimum annual guarantees and additional sales albeit lower than the prior years. The income from shared track maintenance is based on an agreement with the Union Pacific Railroad (UPRR) which provides for a fixed annual fee and a variable fee based on track usage.

### **Operating Contributions**

Line 9 **AB434 & TA Shuttle Funding:** \$435,549, an increase of \$4,249 or 1.0% higher than the FY2021 Q1 budget.

As addressed above, the JPB shuttle program has multiple funding streams. Contributions for the service come from State and local sources. In 1991, through Assembly Bill (A.B.) 434, the State Legislature authorized a \$4 surcharge on cars and trucks to fund projects that reduce on-road motor vehicle emissions. A.B. 434 revenues provide partial funding for the JPB shuttle program through a competitive grant process managed by BAAQMD. The TA also funds shuttle services with revenues of the Measure A San Mateo County-wide sales tax.

Line 10 **Operating Grants:** \$1.2 million, an increase of \$82,250 or 7.2% higher than the FY2021 Q1 budget.

This increase reflects the additional award from the Federal Railroad Administration received in Q2. This budget also reflects the agreement of Santa Clara Valley Transportation Authority (VTA) and the Metropolitan Transportation Commission (MTC) to allow the swap of VTA SOGR funds for preventive maintenance grant funds, for VTA to meet its member obligation.

State Transit Assistance (STA) revenue comes from the statewide sales tax on diesel fuel and is allocated to the region's transit operators by formula. The formula allocates funds based on population, the amount of passenger fares and local support revenues collected by transit operators. The State sends out projections assuming a growth rate and adjusts these throughout the year.

For FY2021, the MTC revised its STA estimates downwards as sales tax declined and as diesel fuel prices weakened. The MTC then further lowered the FY2021 estimates due to COVID-19. The FY2021 Q2 budget reflects the most recent MTC estimates.

STA funds are flexible for both operating and capital expenditures. Unlike prior years,

the FY2021 STA funds will support only the operating budget. The FY2021 Q2 budget also reflects the funding agreement with the Federal Railroad Administration (FRA) for \$48,500 in its Railroad Trespassing Enforcement Grant program.

Line 11 **JPB Member Agencies:** \$5.6 million, a decrease of \$6.4 million or 53.4% lower than the FY2021 Q1 budget.

The FY2021 Q1 budget included an annual lump sum insurance costs and a reduction in member agency contributions by \$0.9 million. In FY2020 member agency annual obligations were \$29.9 million. In FY2021, the members aggregate contributions are reduced to \$29.0 million.

The JPB has three member agencies: the City and County of San Francisco, the San Mateo County Transit District and the Santa Clara Valley Transportation Authority. Contributions from the JPB's member agencies estimates are in accordance with an allocation methodology based on the average mid-weekday boarding data (including at Gilroy) and subsequently adjusted for FY2020 to reflect passenger data collected in FY202019. Furthermore, for FY2021, the member contribution from Santa Clara Valley Transportation Authority (VTA) will be partially covered by an operating grant for \$200,000; this is reflected in the Operating Grants budget starting in Q2.

Line 12 **CARES Act Funding:** \$38.3 million covers the projected cumulative deficit of FY2021 Q1 and Q2 budgets.

The CARES Act Funding is the Coronavirus Aid, Relief and Economic Security Act provided by the federal government to transit agencies to recoup some of the losses resulting from lower ridership. A total of \$41.5 million of this fund has been allocated in FY2021, of which \$38.3 million will be applied to recover the Q1 and Q2 budget deficits.

## **Expense Projections**

Grand Total Expenses for the second quarter of FY2021 is projected at \$35.1 million, a decrease of \$7.9 million or 18.4% lower than the adopted FY2021 Q1 budget.

Operating Expenses for the second quarter of FY2021 is projected at \$28.4 million, a decrease of \$8.2 million or 22.3% lower than the adopted FY2021 Q1 budget.

Administrative Expense for the second quarter of FY2021 is projected at \$6.1 million, an increase of \$0.2 million or 4.1% higher than the adopted FY2021 Q1 budget.

## Operating Expenses

Line 22 **Rail Operator Service:** \$21.5 million, a 13.6% decrease or \$3.4 million lower than the FY2021 Q1 budget

The JPB contracts out for rail operator service. The current operator contract is with TransitAmerica Services, Inc. (TASI). The TASI contract was awarded on September 1<sup>st</sup>, 2011, for a five-year term and was set to expire on June 30, 2017, with an option to extend for up to five additional years. On February 2<sup>nd</sup>, 2017, the Board approved an amendment to exercise the five one-year options and extend the contract through June 30<sup>th</sup>, 2022.

TASI provides rail operations, maintenance and support services in the following areas: Administration/Safety; Operations and Dispatch; Maintenance of Equipment, maintenance of Track, Communications, Signals and Stations; Capital Construction Support and State of Good Repair (SOGR) maintenance. TASI is paid on a cost plus performance fee contract structure.

As the pandemic unfolded in FY2020, JPB and TASI worked collaboratively to mitigate costs by performing the following:

- issuing a hiring freeze,
- shifting staff from traditional operations maintenance to support the State of Good Repair Program and the Capital Improvement Program,
- reducing overtime
- reducing labor overhead

The FY2021 Q1 budget assumes a 92 weekday train service schedule. At the time of adoption, the full annual budget for TASI was \$99.4 million, of which was \$24.9 million.

Since then, the annual budget for Rail Operations was reduced to \$89.3M, based on the revised reduction of weekday train service in FY2021. This \$10 million reduction are primarily due to several factors:

- Weekday train service was reduced from 92 weekday trains per day to 70 trains per day.
- Reduction in budgeted overtime due to revised weekday train service schedule.
- Elimination of Special Services for sporting and concert events.
- Reduction of maintenance services corresponding with a reduction of train service.

The FY2021 Q2 is based on the revised annual budget of \$89.3M. In accounting for the budget adopted in Q1 of \$24.9M, the projection for the remainder of FY2021 is \$64.4 million. Only \$21.5 million is proposed to be adopted at this time.

Line 23 **Security Services:** \$1.7 million, a decrease of \$25,000 or 1.5% lower than the FY2021 Q1 budget.

Security services are provided through a law enforcement contract and a communications services contract with the San Mateo County Sheriff's Office (SMCSO), and a security guard contract. The SMCSO contract supports Rail operations.

The FY2021 Q2 budget assumes savings for not holding special events such as the SF Giants, SF 49ers, SJ Sharks, among others.

Line 24 **Shuttles:** \$1.1 million, an increase of \$0.4 million or 61.5% higher than the FY2021 Q1 budget.

The Shuttle program provides last-mile connections for Caltrain passengers. The FY2021 Q2 budget assumes a minimum service schedule option. There were four routes eliminated in FY2020; this will continue in FY2021. In FY2021, the cost of the shuttle contract will likely increase as new rates will be negotiated.

Line 25 **Fuel and Lubricants:** \$1.4 million, a decrease of \$0.2 million or 13.5% lower than the FY2021 Q1 budget.

The Q1 budget was based on a fuel price of \$1.20 per gallon and a fuel usage based on a 92 train schedule. On the other hand, the Q2 budget assumes a higher \$1.30 per gallon price applied to a lower fuel usage based on a 70 train schedule. Net change is a lower Q2 budget.

The FY2021 Q2 budget covers the cost of a diesel fuel for JPB locomotive operations, including the associated taxes. Caltrain has entered into a diesel fuel-hedging program that will help manage the exposure to changes in diesel fuel prices.

Line 26 **Timetables and Tickets:** \$29,166, an increase of \$6,666 or 29.6% higher than the FY2021 Q1 budget.

Timetables and Tickets includes the cost of designing, updating and printing of time tables, schedules, maps and the Caltrain tickets.

Line 27 **Insurance:** \$0.1 million, a decrease of \$5.0 million or 98.0% lower than the FY2021 Q1 budget.

The Q1 budget includes the premiums that are required to be paid in July.

The Insurance budget includes premiums, deductibles, adjuster fees, broker fees and other insurance costs. Rates reflect costs for property, casualty, and liability insurance.

The FY2021 Q1 and Q2 budgets reflect the cost of the recently negotiated insurance contract adjusted with the impact of changes in ridership.

The market condition in the industry predates pre-COVID-19-19. This was a market hardened by huge losses, global events and a litigious environment in the rail industry. Liability insurance cost went up as fewer insurers opted to continue to operate in the

industry and existing carriers reduced their exposures.

Line 28 **Claims, Reserves and Payments:** \$240,687, an increase of \$2,739 or 1.2% higher than the FY2021 Q1 budget

This budget item covers the cost of claims, reserves and payments, and the associated legal fees.

Line 29 **Facilities and Equipment Maintenance:** \$1.2 million, an increase of \$66,348 or 5.8% higher than the FY2021 Q1 budget.

This budget item covers expenses related to Clipper Operator charges, revenue collection services, ticket vending machines, data line services and other contract services. The FY2021 Q1 and Q2 budget includes additional PTC maintenance cost of \$3.2 million and reflects a \$1.0 million decrease in Clipper usage charges.

Line 30 **Utilities:** \$685,904, an increase of \$12,229 or 1.8% higher than the FY2021 Q1 budget.

This line covers the cost of gas & electric, telephone, water, trash & sewer. The budget also includes utility costs of PTC maintenance such as circuits, radio license fees and spectrum lease.

Line 31 **Maintenance & Services – Building and Other:** \$383,618, a decrease of \$47,255 or 11.0% lower than the FY2021 Q1 budget.

This item covers the cost of building maintenance services, printing and information services, and repair and maintenance of computers and office equipment.

### **Administrative Expenses**

Line 35 **Wages & Benefits:** \$2.5 million, a decrease of \$0.8 million or 22.9% lower than the FY2021 Q1 budget.

The Q1 budget was higher as it included the lump sum payment for CalPers and retiree medical contributions required to be paid in July.

The FY2021 Q2 budget includes existing positions, no new full time employee positions (also referred to herein as "FTEs"), an administrative staff hiring freeze, a lower benefits rate, no universal wage increase, and lower agency allocations to the retiree medical and OPEB plans.

Below are the FTEs for each division funded by operating funds and by capital funds.

FY2021 FTE - Operating	Finance	Planning	Executive	Comm	Admin	Bus	Rail	Calmod	Total
Represented	-	-	-	5.8	-	5.0	-	-	10.80
Non-Represented	6.2	2.8	0.5	12.6	7.1	4.9	34.2	0.1	68.25
New FTEs	-	-	-	-	-	-	-	-	-
<b>Total Operating</b>	<b>6.2</b>	<b>2.8</b>	<b>0.5</b>	<b>18.4</b>	<b>7.1</b>	<b>9.9</b>	<b>34.2</b>	<b>0.1</b>	<b>79.1</b>

FY2021 FTE - Capital	Finance	Planning	Executive	Comm	Admin	Bus	Rail	Calmod	Total
Represented	-	-	-	-	-	-	-	-	-
Non-Represented	12.7	5.3	0.5	-	1.8	-	51.1	8.9	80.30
New FTEs	-	-	-	-	-	-	-	-	-
<b>Total Capital</b>	<b>12.7</b>	<b>5.3</b>	<b>0.5</b>	<b>-</b>	<b>1.8</b>	<b>-</b>	<b>51.1</b>	<b>8.9</b>	<b>80.3</b>

Line 36 **Managing Agency Admin OH Cost:** \$1.3 million, an increase of \$20,644 or 1.6% higher than the FY2021 Q1 budget.

Managing Agency Administrative Overhead (OH) Cost reflects the cost of San Mateo County Transit District (District) personnel dedicated to the Caltrain business (as opposed to Caltrain operations). The Proposed budget assumes an increase of 1.2% over the FY2020 Forecast. This FY2021 estimate will be revised further pending results of the current study of the Internal Cost Allocation Plan (ICAP).

The ICAP calculates the indirect cost rate used to recover overhead costs related to agency indirect administrative overhead and capital projects. The District procured the assistance of an outside consulting firm to develop a methodology that equitably allocates the costs incurred by the District for services and functions shared by the different agencies administered by District staff. The consultant team was selected for its experience and knowledge in developing allocation methodologies for governmental and public entities.

The ICAP is prepared in accordance with the principles and guidelines set forth in the Office of Management and Budget (OMB) Circular A-87 "Cost Principles for State, Local and Indian Tribal Governments" and ASMB C-10 "Cost Principles and Procedures for Developing Cost Allocation Plans and Indirect Cost Rates for Agreements with the Federal Government."

The ICAP calculates two components:

- Agency Indirect Administration (AIA) – a pool of costs that cannot be directly attributed to a specific agency.

This consists of labor and non-labor support functions that benefit each of the three agencies managed by the District as well as a fourth agency, the San Mateo County Express Lanes Joint Powers Agency (SMCELJPA) supported by the District beginning in FY 2020. Examples include the time charged by the Payroll Department to process the biweekly payroll or the time charged by the Human Resource Department to post recruitments on industry websites. Based on specific statistics, these costs distributed to each department are. For example, the payroll department costs are distributed to each department based on the number of FTEs. The District incurs all of the AIA costs and then recovers appropriate shares of the costs from the District's Operating and Capital budgets, the JPB Operating

and Capital budgets, the TA budget and the SMCELJPA budget.

- Capital Overhead – a pool of project support costs that cannot be directly attributed to a specific capital project.

A capital overhead rate is calculated for each agency. An example of a capital overhead cost would be the time charged by an administrative assistant who supports multiple capital project engineers. The capital overhead costs are tracked and included in the ICAP rate and is charged to each capital project.

Line 37 **Board of Directors:** \$0, a decrease of \$11,025 or 100.0% lower than the FY2021 Q1 budget.

The first quarter budget reflects the annual budget for this expense line.

This covers director compensation, seminars and training, and meetings for the Board of Directors. Cost decreases result from diminished conference attendance.

Line 38 **Professional Services:** \$1.6 million, an increase of \$0.9 million or 145.9% higher than the FY2021 Q1 budget.

The Q1 budget was extremely conservative. The Q2 budget reflects a more realistic estimate of needs for Q2.

This covers the cost of consultants for legal services, audit services, and legislative advocacy and technical services. The professional services also include additional operating maintenance of PTC related to rail friction, electronic recording, measuring, and communications systems and communications data security.

Line 39 **Communications and Marketing:** \$20,208, a decrease of \$55,167 or 73.2% lower than the FY2021 Q1 budget.

The FY2021 Q1 and Q2 budget reflects the suspension of special celebrations and promotional advertising for sporting events during the pandemic.

This covers the cost of promotional advertising for fares, schedule changes and the cost of providing the riding public with a mobile app.

Line 40 **Other Office Expense and Services:** \$673,201, an increase of \$103,122 or 18.1% higher than the FY2021 Q1 budget.

The Q1 budget included only the software maintenance costs that needed to be paid in July. The Q2 budget includes all other costs to be covered for the rest of the year.

This covers license renewal, bank fees, office vehicle maintenance, property taxes,

software maintenance, and leases for properties along the Right of Way (ROW) in support of commuter services. The ROW leases include critical facilities for radio transmission antennas and real estate for storage of train equipment and spare parts.

Line 43 **Long Term Debt Expense:** \$0.6 million reflects no change over the FY2021 Q1 budget

This covers the cost and principal retirement of debt incurred for the acquisition and rehabilitation of passenger rail cars, for the acquisition of real property, and for maintenance of a revolving line of credit.

In February 2019, the JPB refunded bonds issued in 2007 and 2015 to achieve interest savings and restructure debt, and issued additional bonds to purchase two pieces of real property previously leased by the JPB.

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### **FY2021 Capital Budget Impact**

The initial FY2021 Capital budget approved by the Board in June for a total of \$19.1 million included only those capital projects that had available funding, but required Board-approved budget authority to incur the expenditures.

The amendment to the FY2021 capital budget is an increase of \$65.0 million and includes urgent projects eligible for the anticipated annual FY2021 Federal, State and Member Agency funds. This brings the total FY2021 Capital budget to \$84.2 million.

The Projects included in the Amendment 1 as reflected in Attachment B, are as follows:

#### *STATE OF GOOD REPAIR (SOGR – \$30,968,825*

##### RIGHT OF WAY - \$11,205,000

1. Fencing – Request: \$585,000 (additional)  
Continue to install vandal-resistant fencing at key locations along the PCJPB main line rail corridor to deter trespassing. This contract will terminate end of November 2020.
2. Guadalupe River Bridge Replacement – Request: \$2,100,000  
Replace the Guadalupe River Bridge in San Jose, damaged by weather and arson.



3. San Francisquito Creek Bridge Replacement – Request: \$2,000,000  
In FY2021, this project moves to the construction phase for the replacement of this 118-year-old bridge, with a modern railway bridge with a 100-year design life.

4. Structures Maintenance SOGR – Request: \$800,000  
This includes minimum maintenance repair to restore the structural integrity to a fair condition, increase the safety, security, and the useful life of the assets.

The inspection rated structures in poor conditions, suffering from deterioration and corrosion as well as poor workmanship from the original construction. Structures Maintenance SOGR FY2021 will enhance operation safety, worker, and public safety.

5. System-wide Track Rehab SOGR FY202020-FY202024 – Request: \$5,720,000  
Continue the work required to keep the Caltrain railroad in a state of good repair, including rehabilitation of track and other purchased services. Replace track components, wedging, surfacing and selected minor bridge repairs.

#### SIGNAL AND COMMUNICATION - \$5,000,000

6. Caltrain Communication System SOGR – Request: \$2,000,000  
This is a yearly evaluation and implementation of projects for the overall railroad communications system to keep assets current. Evaluates replacements prior to end of life or vendor support. This includes all voice and data radio systems, microwave systems, leased landlines and the data communications system.

7. Rail Network SOGR – Request: \$500,000  
Upgrade internet service and equipment as necessary to support secure vendor Virtual Private Network (VPN) access, remote monitoring of PTC environment, and communications with external clients such as 511.org. Furthermore, this upgrade will be able to handle higher bandwidth and current equipment including firewalls and routers have reached the end of their technology life cycle.

8. TVM Upgrade Phase 4 – Request: \$1,000,000  
The project will continue the upgrade of the Ticket Vending Machines (TVMs) to include Clipper functionalities and upgrade old, obsolete parts in the TVMs. The new upgraded TVMs will be able to dispense new Clipper cards and add value or products to existing Clipper cards. The upgraded TVMs will also have a new touchscreen display screen, printer, bill acceptor and new software.

The previous phases upgraded 34 TVMs. Phase 4 will upgrade an additional 25 TVMs. After Phase 4, there will be 29 TVMs at the stations still needing an upgrade.

9. Clipper CID Installation & Relocation Plan & Construction – Request: \$1,000,000  
This project will relocate and install new Clipper Card Interface Devices (CIDs) at key passenger stations at more accessible locations for passengers getting in and out of train stations. The improved flow will allow Caltrain to move more of its customers onto the Clipper system, and away from less-efficient and less-effective payment systems. This will also maximize touchless fare payments.
10. BCCF Buildout Assessment – Request: \$500,000  
This project will evaluate the areas of the Backup Communications Control Facility (BCCF) that are partially developed and to assess build-out for occupancy as well as for inventory of the building materials on site from the previous contractor and to develop options and plans for additional working, meeting, and storage space.

ROLLING STOCK - \$12,663,825

11. Bombardier Cars FY2021 – Request: \$1,663,825  
Implement scheduled maintenance for FY2021. These include mid-life overhauls, replacing cables, seats, batteries, cab refurbishment, and heating ventilation air condition (HVAC) system.
12. Upper Doors Installation – Request: \$11,000,000  
This is a placeholder project for the future reinstallation of the upper level doors in the event that these are required in the Electrical Multiple Units, as requested by the funding partners of the electrification program's Change Management Board.

STATION AND INTER-MODAL ACCESS - \$2,100,000

13. Stations SOGR FY202020-FY202024 – Request: \$1,000,000  
Repair and replace several passenger station amenities. These include Passenger Needing Assistance (PNA) shelters, Information Display Cases (IDC), benches and trashcans. The pedestrian tunnel in San Jose needs repainting since a fire three years ago, and epoxy coating applied on all of the ramps that feed into the San Jose pedestrian tunnel. These continued activities maintain these facilities to a state of good repair.

14. CCF Crew Quarters Roof Replacement & Trailer – Request: \$1,000,000  
The Crew quarters are made up of a series of single and doublewide trailers in the parking lot of Centralized Control Facility (CCF) in San Jose across from Centralized Equipment Maintenance & Operations Facility (CEMOF). These include used trailers to support the crews that operate the passenger service. The roofs on these trailers are failing and will need replacements. The floorings and sidings of these trailers will need repairs to maintain these facilities to a state of good repair.
15. Menlo Park Facility 4000 Campbell Avenue HVAC – Request: \$100,000  
This is a newly acquired property. The HVAC units on the roof are not functioning efficiently and needs to be replaced/upgraded.

*LEGAL MANDATES AND REQUIRED ENHANCEMENTS - \$1,500,000*

16. Clipper Next Gen Validators Site Prep – Request: \$1,500,000  
Design and install 360 new Next Generation Clipper Validators at stations to prepare for the regional transition to the new Clipper system mandated by MTC. Compliance due date is June 20, 2021.

*OPERATIONAL IMPROVEMENTS / ENHANCEMENTS - \$24,428,000*

17. Wayside Bike Parking Improvements – Request: \$1,040,000 (additional)  
The project will replace existing keyed bicycle lockers with new, on demand electronic lockers. The existing lockers, which are assigned to individual users, are nearing the end of their useful lives. These are being replaced with 520 first come, first served electronic lockers that will better serve Caltrain customers with bikes. Operations and maintenance responsibilities will shift from TASI to the vendor, saving the agency approximately \$100 per space annually. Lockers will be located throughout the corridor.
18. Grade Crossing Hazard Analysis Data Collection – Request: \$200,000  
The project will collect data at the Caltrain grade crossings for the Grade Crossing Hazard Analysis. Video data will then determine the risks at each grade crossing. Data will include traffic counts, near misses and driver behavior. The last video data collection was in 2015 and new data is required to update the Grade Crossing Hazard Analysis Report.
19. Grade Crossing Safety Improvements Design FY2021 – Request: 500,000  
Identify the highest priority grade crossings in a Grade Crossing Hazard Analysis Report. Subsequently a design developed for these grade crossings will improve safety as recommended by the Hazard Analysis Report. There are still

crossings that have safety risks such as having no median to prevent drivers from driving around a lowered gate arm.

20. EAM – Enterprise Asset Management Software – Request: \$750,000

Develop a Request for Proposals (RFP) to solicit and procure a base EAM system. Core capabilities include asset registry, asset condition and assessment, work request, work planning and management, warranty management, materials management, planning and budgeting, and management reporting.

Asset information is currently stored in various disparate systems and some by the Rail Contract Operator (TASI). The industry best practice is to centralize asset data within a single EAM system to maintain data consistency and analysis. Implementation of an EAM system is in accordance with Transit Asset Management (TAM) Plan of Caltrain.

The EAM system is required to enable Caltrain and the other agencies to maintain its assets in a database. This will allow responsible personnel to write work orders against assets for the performance of maintenance and the state of good repair projects; to maintain a parts inventory; to assign labor to perform maintenance activities, as well as to perform other asset management functions. The EAM will also be required to support Operations and Maintenance of the Electrification system.

21. Update and Upgrade GIS System – Request: \$500,000

The updated Geographic Information System (GIS) system will provide a graphical user interface for information and data stored in the Enterprise Asset Management system as well as AutoCAD. This system will facilitate capturing utility location information, asset locations, real estate easements and parcels; it will support operations.

Both the EAM and GIS systems are required for proper operations and maintenance, and for the organization to start moving towards an excellent model.

22. San Mateo Grade Crossing Improvements Design – Request: \$1,600,000

Design safety improvements at the 4th Ave and 5th Ave grade crossings in San Mateo to include quad gates to prevent drivers from driving around a down gate arm and over the tracks when a train is approaching. These needed safety improvements were jointly agreed upon during a field diagnostic meeting between JPB, the City of San Mateo, California Public Utility Commission, and Caltrans as part of the Section 130 Program.

23. **Broadway Burlingame Grade Separation – Request: \$19,838,000**  
Complete the design phase of the grade separation of Broadway. This project will include the following:
- environmental permitting process,
  - the reconstruction of the Broadway Caltrain station to meet current standards,
  - the relocation and reconfiguration of parking from the west to the east side of the track,
  - a new pedestrian and bicycle access crossing in proximity to Carmelita Avenue and the grade separation of an existing at-grade pedestrian and bicycle access at Morrell Avenue that is within close proximity to the existing crossing.

This project will significantly improve safety, local mobility, and operational flexibility of the railroad. Project has highest rank in California Public Utility Commission Grade Separation Priority List. This project is primarily funded by the San Mateo County Transportation Authority and with \$1.5 million funded the City of Burlingame.

*PLANNING/STUDIES - \$8,138,468*

24. **Capital Planning (CIP) – Request: \$1,250,000,**  
Further CIP development, infrastructure analysis to support the Caltrain Business Plan service vision and planning of station modifications, overtake tracks, site planning of facilities, planning support for ongoing grade separation projects and evolving engineering and construction guidelines.
25. **San Francisco Station and Terminal Planning – Request: \$1,000,000**  
Study conceptual activities related to the layout and operation of the Caltrain terminal and station facilities between Salesforce Transit Center & 22nd Street, with particular focus on outcomes and connecting to the existing rail yard and station at 4th & King.
26. **Diridon and South Terminal Area – Request: \$1,000,000**  
Continue work with agency partners and the California High Speed Rail Authority to further develop and refine the vision for a future Diridon Station. Undertake additional work in partnership with the City of San Jose to examine rail and storage needs and operations through the South Terminal Area.
27. **Rail Network and Operations Planning – Request: \$1,250,000**  
Further near-term planning based on the Caltrain Business Plan service vision; selection and development of a long-term service vision operating plan; fleet planning; systems planning; level boarding analysis, and maintenance planning.

28. Redwood City Station Planning – Request: \$750,000  
Develop a Memorandum of Understanding with City of Redwood City and other stakeholders to establish the broad terms of a collaborative planning process for the Redwood City area between Whipple and Redwood Junction. The goal is to develop a conceptual station plan to accommodate future Caltrain service levels, which will include grade separations/closures, private development of a Transit Oriented Development and a connection with Dumbarton rail service.
  
29. Caltrain Downtown Rail Extension (DTX) – Request: \$60,000  
Continue to develop Downtown Rail Extension as part of the San Francisco Peninsula Rail Program Memorandum of Understanding. Caltrain has committed to actively participate in a wide range of activities to promote successful delivery of this project.
  
30. System-wide Planning, Policy & Org Design – Request: \$1,168,468  
Include development of interagency agreements on planning and organizational design to support the Caltrain Business Plan findings, and updates to modeling and tools.
  
31. Capital Contingency Funds - Engineering – Request: \$330,000  
Support unforeseen capital expenditures related to the delivery of capital projects/programs.
  
32. Capital Contingency Funds - Rail – Request: \$660,000  
Support unforeseen capital needs related to rail operations.
  
33. Capital Program Development – Request: \$335,000  
Support unforeseen capital planning needs.
  
34. Capital Project Development – Request: \$335,000  
Implement planning and engineering study activities.

Prepared by:

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**RESOLUTION NO. 2020-**

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

**\* \* \***

**ADOPTING FISCAL YEAR 2021 2<sup>nd</sup> QUARTER OPERATING BUDGET IN THE AMOUNT  
OF \$35,072,975 AND AMENDING TO INCREASE THE FISCAL YEAR 2021 CAPITAL  
BUDGET BY \$65,035,293 FOR A NEW TOTAL BUDGET OF \$84,154,772**

**WHEREAS**, the Joint Powers Agreement of the Peninsula Corridor Joint Powers Board (JPB) requires the Board of Directors (Board) to approve annual operating and capital budgets; and

**WHEREAS**, the adoption of an operating budget is necessary for obtaining both Federal and State funds to support the Peninsula Commute Service operation known as Caltrain; and

**WHEREAS**, the adoption of a capital budget complements the JPB's strategic planning process; and

**WHEREAS**, on June 4, 2020, pursuant to Resolution 2020-29 and in recognition of the economic instability created by the COVID-19 global pandemic, the Board adopted an Interim, First Quarter Fiscal Year 2021 (FY 2021) Operating Budget in the amount of \$42,989,267, and a FY2021 Capital Budget in the amount of \$19,119,479, with the understanding that budgets for the full year would be presented for future Board consideration and adoption; and

**WHEREAS**, the Executive Director and the Staff Coordinating Council recommend that the Board adopt the Fiscal Year (FY) 2021 2<sup>nd</sup> Quarter Operating Budget shown as Attachment A, and the Amended FY2021 Capital Budget shown as Attachment B; and

**WHEREAS**, the local match funding component of the FY2021 Capital Budget is \$18.0 million, requiring a capital investment of \$6.0 million from each of the JPB's three member agencies; and

**WHEREAS**, the City and County of San Francisco will provide its \$6.0 million FY2021 capital investment from Proposition K funds through the San Francisco County Transportation Authority; and

**WHEREAS**, San Mateo County will provide its \$6.0 million FY2021 capital investment through the San Mateo County Transportation Authority; and

**WHEREAS**, Santa Clara County Valley Transportation Authority will provide its \$6.0 million FY2021 capital investment itself, using local and Measure B funds; and

**NOW, THEREFORE, BE IT RESOLVED** that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby adopts the FY2021 2<sup>nd</sup> Quarter Operating Budget, a copy of which is attached hereto and incorporated herein as Attachment A, in the amount of \$35,072,975.

**BE IT FURTHER RESOLVED** that the Board amends to increase the FY2021 Capital Budget by \$65,035,293, for a new total budget of \$84,154,772, attached hereto and incorporated herein as Attachment B, with the understanding that the three JPB member agencies will each contribute \$6.0 million to meet their FY2021 capital investment commitments; and

**BE IT FURTHER RESOLVED** that the Executive Director, or his designee, is requested to forward a copy of the FY2021 2<sup>nd</sup> Quarter Operating Budget and Amended FY2021 Capital Budget to the JPB member agencies at the earliest practicable date; and

**BE IT FURTHER RESOLVED** that the Board authorizes the Executive Director, or his designee, to take such additional actions as may be necessary to give effect to this



resolution including executing funding agreements, amendments, and submitting required documents to granting agencies to receive the funding identified in the Capital Budget.

Regularly passed and adopted this 1st day of October, 2020 by the following vote:

AYES:

NOES:

ABSENT:

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Chair, Peninsula Corridor Joint Powers Board

ATTEST:

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JPB Secretary

PENINSULA CORRIDOR JOINT POWERS BOARD  
Proposed FY2021 2nd Quarter Budget

	FY21 Q1 Adopted	FY21 Q2 Proposed	\$ CHANGE FY21 Q2 vs FY21 Q1	% CHANGE FY21 Q2 vs FY21 Q1		
	A	B	C = B - A	D = C / A		
<b>REVENUE</b>						
OPERATIONS:						
1	Farebox Revenue	8,015,496	8,400,000	384,504	4.8%	1
2	Parking Revenue	126,782	126,782	-	0.0%	2
3	Shuttles	368,000	554,415	186,415	50.7%	3
4	Rental Income	343,026	220,426	(122,600)	-35.7%	4
5	Other Income	382,137	430,620	48,483	12.7%	5
6	<b>TOTAL OPERATING REVENUE</b>	<b>9,235,441</b>	<b>9,732,243</b>	<b>496,802</b>	<b>5.4%</b>	6
7						7
8	CONTRIBUTIONS:					8
9	AB434 & TA Shuttle Funding	431,300	435,549	4,249	1.0%	9
10	Operating Grants	1,135,439	1,217,689	82,250	7.2%	10
11	JPB Member Agencies	12,020,136	5,596,433	(6,423,703)	-53.4%	11
12	CARES Act Funding		38,258,012	38,258,012		12
13	<b>TOTAL CONTRIBUTED REVENUE</b>	<b>13,586,875</b>	<b>45,507,683</b>	<b>31,920,808</b>	<b>234.9%</b>	13
14						14
15						15
16	<b>GRAND TOTAL REVENUE</b>	<b>22,822,316</b>	<b>55,239,926</b>	<b>32,417,610</b>	<b>142.0%</b>	16
17						17
18						18
19	<b>EXPENSE</b>					19
20						20
21	OPERATING EXPENSE:					21
22	Rail Operator Service	24,850,000	21,469,462	(3,380,538)	-13.6%	22
23	Security Services	1,705,477	1,680,477	(25,000)	-1.5%	23
24	Shuttle Service	694,000	1,121,082	427,082	61.5%	24
25	Fuel and Lubricants	1,650,270	1,426,749	(223,521)	-13.5%	25
26	Timetables and Tickets	22,500	29,166	6,666	29.6%	26
27	Insurance	5,100,000	103,333	(4,996,667)	-98.0%	27
28	Claims, Reserves, and Payments	237,948	240,687	2,739	1.2%	28
29	Facilities and Equipment Maint	1,153,630	1,219,978	66,348	5.8%	29
30	Utilities	673,675	685,904	12,229	1.8%	30
31	Maint & Services-Bldg & Other	430,873	383,618	(47,255)	-11.0%	31
32	<b>TOTAL OPERATING EXPENSE</b>	<b>36,518,373</b>	<b>28,360,456</b>	<b>(8,157,917)</b>	<b>-22.3%</b>	32
33						33
34	ADMINISTRATIVE EXPENSE					34
35	Wages and Benefits	3,299,828	2,543,391	(756,437)	-22.9%	35
36	Managing Agency Admin OH Cost	1,274,516	1,295,160	20,644	1.6%	36
37	Board of Directors	11,025	-	(11,025)	-100.0%	37
38	Professional Services	644,633	1,585,122	940,489	145.9%	38
39	Communications and Marketing	75,375	20,208	(55,167)	-73.2%	39
40	Other Office Expense and Services	570,079	673,201	103,122	18.1%	40
41	<b>TOTAL ADMINISTRATIVE EXPENSE</b>	<b>5,875,456</b>	<b>6,117,082</b>	<b>241,626</b>	<b>4.1%</b>	41
42						42
43	Long-term Debt Expense	595,438	595,437	(1)	0.0%	43
44						44
45	<b>GRAND TOTAL EXPENSE</b>	<b>42,989,267</b>	<b>35,072,975</b>	<b>(7,916,292)</b>	<b>-18.4%</b>	45
46						46
47						47
48	<b>PROJECTED SURPLUS / (DEFICIT)</b>	<b>(20,166,951)</b>	<b>20,166,951</b>	<b>40,333,902</b>	<b>-200.0%</b>	48



FY2020-2021 CAPITAL BUDGET

Item #	PROJECT NAME	Project Sponsor	PRIOR YEARS APPROVED	FY21 ADOPTED JUNE BOARD	AMENDMENT #1	PROPOSED FY21 CAPITAL BUDGET	Federal Funds	State Funds	STA SOGR Funds	Members			Member Funds Total	Other					Other Funds Total	TOTAL PROPOSED FY21 CAPITAL BUDGET		
										SF	SM	VTA		Project Savings	AB664	SF Prop K other	Regional Funds	San Mateo County Transportation Authority			Other	
<b>i. SOGR</b>																						
<b>Right of Way</b>																						
1	Marin Street and Napoleon Street Bridges <sup>1</sup>	J Sharma	6,704,000	9,696,000	-	9,696,000	4,965,021	-	1,350,915	-	-	-	-	2,740,064	640,000	-	-	-	-	3,380,064	9,696,000	
2	Fencing - ROW	R Scarpino	-	915,000	585,000	1,500,000	-	915,000	-	250,000	335,000	585,000	-	-	-	-	-	-	-	-	1,500,000	
8	Guadalupe River Bridge Replacement	P Kwan	10,300,000	-	2,100,000	2,100,000	1,680,000	-	-	227,500	192,500	420,000	-	-	-	-	-	-	-	-	2,100,000	
9	San Francisco Creek Bridge Replacement	A Piana	600,000	-	2,000,000	2,000,000	1,600,000	-	-	227,500	172,500	400,000	-	-	-	-	-	-	-	-	2,000,000	
10	Structures Maintenance SOGR	R Scarpino	800,000	-	800,000	800,000	640,000	-	-	160,000	-	160,000	-	-	-	-	-	-	-	-	800,000	
11	System-wide Track Rehab- SOGR	E Stockmeir	5,500,000	-	5,720,000	5,720,000	4,576,000	-	-	1,144,000	-	1,144,000	-	-	-	-	-	-	-	-	5,720,000	
				10,611,000	11,205,000	21,816,000	13,461,021	915,000	1,350,915	1,759,000	250,000	700,000	2,709,000	2,740,064	640,000	-	-	-	-	3,380,064	21,816,000	
<b>Signal &amp; Communication</b>																						
3	Fiber Optic Corrective Repair <sup>2</sup>	M Scanlon	-	1,000,000	-	1,000,000	-	-	-	-	-	-	-	-	-	-	-	-	1,000,000	1,000,000	1,000,000	
12	Caltrain Communication System SOGR	M Scanlon	-	-	2,000,000	2,000,000	1,600,000	-	-	-	400,000	400,000	-	-	-	-	-	-	-	-	2,000,000	
13	Rail Network SOGR	M Scanlon	-	-	500,000	500,000	400,000	-	-	-	100,000	100,000	-	-	-	-	-	-	-	-	500,000	
14	TVM Upgrade Phase 4	R Tam / J Navarro	1,795,000	-	1,000,000	1,000,000	800,000	-	-	-	200,000	200,000	-	-	-	-	-	-	-	-	1,000,000	
15	Clipper CID installation and Relocation Plan and Construction	H Chan	500,000	-	1,000,000	1,000,000	800,000	-	-	-	200,000	200,000	-	-	-	-	-	-	-	-	1,000,000	
20	BCCF Buildout Assessment	M Scanlon	-	-	500,000	500,000	-	-	-	500,000	-	500,000	-	-	-	-	-	-	-	-	500,000	
				1,000,000	5,000,000	6,000,000	3,600,000	-	-	-	500,000	900,000	1,400,000	-	-	-	-	-	-	1,000,000	1,000,000	6,000,000
<b>Rolling Stock</b>																						
21	Bombardier	J Navarro	-	-	1,663,825	1,663,825	-	-	-	1,663,825	-	1,663,825	-	-	-	-	-	-	-	-	1,663,825	
22	Upper Level Doors Installation <sup>7</sup>	J Navarro	-	-	11,000,000	11,000,000	-	-	-	-	-	-	-	-	-	-	-	-	11,000,000	11,000,000	11,000,000	
				-	12,663,825	12,663,825	-	-	-	1,663,825	-	1,663,825	-	-	-	-	-	-	11,000,000	11,000,000	12,663,825	
<b>Station &amp; Intermodal Access</b>																						
23	Stations SOGR	R Scarpino	500,000	-	1,000,000	1,000,000	-	-	-	400,000	600,000	1,000,000	-	-	-	-	-	-	-	-	1,000,000	
24	CCF Crew Quarters Roof Replacement & Trailer Repairs	R Scarpino	-	-	1,000,000	1,000,000	-	-	-	-	1,000,000	1,000,000	-	-	-	-	-	-	-	-	1,000,000	
25	Menlo Park Facility 4000 Campbell Avenue HVAC	R Scarpino	-	-	100,000	100,000	-	-	-	100,000	-	100,000	-	-	-	-	-	-	-	-	100,000	
				-	2,100,000	2,100,000	-	-	-	400,000	100,000	1,600,000	2,100,000	-	-	-	-	-	-	-	2,100,000	
<b>Total SOGR</b>				11,611,000	30,968,825	42,579,825	17,061,021	915,000	1,350,915	3,822,825	850,000	3,200,000	7,872,825	2,740,064	640,000	-	-	-	12,000,000	15,380,064	42,579,825	
<b>ii. LEGAL MANDATES AND REQUIRED ENHANCEMENTS</b>																						
26	Clipper Next Gen Validators Site Prep	J Navarro / H Chan	-	-	1,500,000	1,500,000	1,200,000	-	-	-	-	300,000	300,000	-	-	-	-	-	-	-	1,500,000	
				-	1,500,000	1,500,000	1,200,000	-	-	-	-	300,000	300,000	-	-	-	-	-	-	-	1,500,000	
<b>iii. OPERATIONAL IMPROVEMENTS/ENHANCEMENTS</b>																						
4	Positive Train Control Litigation <sup>3</sup>	S Bullock	-	6,600,000	-	6,600,000	-	-	-	-	-	-	-	-	-	-	-	-	6,600,000	6,600,000	6,600,000	
5	Wayside Bike Parking Improvements <sup>4</sup>	M Reggiardo	4,000,000	-	349,322	1,040,000	-	-	-	-	-	-	-	-	-	1,240,000	-	-	149,322	1,389,322	1,389,322	
27	Grade Crossing Hazard Analysis Data Collection	G Fleming	-	-	200,000	200,000	-	-	-	200,000	-	200,000	-	-	-	-	-	-	-	-	200,000	
28	FY21 Grade Crossing Safety Improvements Design	R Tam	-	-	500,000	500,000	-	-	-	500,000	-	500,000	-	-	-	-	-	-	-	-	500,000	
29	EAM - Enterprise Asset Management software system	S Chao	-	-	750,000	750,000	-	-	-	-	750,000	750,000	-	-	-	-	-	-	-	-	750,000	
30	Update and Upgrade GIS system	G Fleming	-	-	500,000	500,000	-	-	-	477,175	22,825	500,000	-	-	-	-	-	-	-	-	500,000	
31	San Mateo Grade Crossing Improvements Design <sup>8</sup>	R Tam	-	-	1,600,000	1,600,000	-	1,600,000	-	-	-	-	-	-	-	-	-	-	-	-	1,600,000	
32	Broadway Burlingame Grade Separation <sup>9</sup>	J Sharma	4,550,000	-	19,838,000	19,838,000	-	-	-	-	-	-	-	-	-	-	-	18,338,000	1,500,000	19,838,000	19,838,000	
				6,949,322	24,428,000	31,377,322	-	1,600,000	-	1,177,175	772,825	-	1,950,000	-	-	-	1,240,000	18,338,000	8,249,322	27,827,322	31,377,322	



FY2020-2021 CAPITAL BUDGET

Item #	PROJECT NAME	Project Sponsor	PRIOR YEARS APPROVED	FY21 ADOPTED JUNE BOARD	AMENDMENT #1	PROPOSED FY21 CAPITAL BUDGET	Federal Funds	State Funds	STA SOGR Funds	Members			Member Funds Total	Other					Other Funds Total	TOTAL PROPOSED FY21 CAPITAL BUDGET
										SF	SM	VTA		Project Savings	AB664	SF Prop K other	Regional Funds	San Mateo County Transportation Authority		
<b>iv. PLANNING/STUDIES</b>																				
6	22nd St. ADA Feasibility Study <sup>5</sup>	M Reggiardo	300,000	50,000	-	50,000	-	-	-	-	-	-	50,000	-	-	-	-	-	50,000	50,000
7	Business Plan <sup>6</sup>	S Petty	5,537,118	509,157	-	509,157	-	-	-	-	-	-	-	-	-	-	-	-	509,157	509,157
33	Capital Planning (CIP)	M Reggiardo	750,000	-	1,250,000	1,250,000	-	-	-	-	500,000	750,000 *	1,250,000	-	-	-	-	-	-	1,250,000
34	San Francisco Station and Terminal Planning	M Reggiardo	-	-	1,000,000	1,000,000	-	-	-	1,000,000	-	-	1,000,000	-	-	-	-	-	-	1,000,000
35	Diridon and South Terminal Area	M Reggiardo	-	-	1,000,000	1,000,000	-	-	-	-	-	1,000,000 *	1,000,000	-	-	-	-	-	-	1,000,000
36	Rail Network and Operations Planning	M Reggiardo	-	-	1,250,000	1,250,000	-	-	-	-	1,250,000	-	1,250,000	-	-	-	-	-	-	1,250,000
37	Redwood City Station Planning	M Reggiardo	-	-	750,000	750,000	-	-	-	750,000	-	-	750,000	-	-	-	-	-	-	750,000
38	Caltrain Downtown Rail Extension (DTX)	A Simmons	-	-	60,000	60,000	-	-	-	-	-	-	-	-	-	60,000	-	-	60,000	60,000
39	System-wide Planning and Policy & Org Design	M Reggiardo	-	-	1,168,468	1,168,468	-	-	-	217,175	750,000 *	967,175	-	-	201,293	-	-	-	201,293	1,168,468
40	Capital Contingency Funds - Engineering		-	-	330,000	330,000	-	-	-	330,000	-	-	330,000	-	-	-	-	-	-	330,000
41	Capital Contingency Funds - Rail		-	-	660,000	660,000	-	-	-	660,000	-	-	660,000	-	-	-	-	-	-	660,000
42	Capital Program Management		-	-	335,000	335,000	-	-	-	335,000	-	-	335,000	-	-	-	-	-	-	335,000
43	Capital Project Development		-	-	335,000	335,000	-	-	-	335,000	-	-	335,000	-	-	-	-	-	-	335,000
			559,157	8,138,468	8,697,625				1,000,000	4,377,175	2,500,000	7,877,175	50,000	-	261,293	-	-	509,157	820,450	8,697,625
<b>TOTAL</b>			<b>19,119,479</b>	<b>65,035,293</b>	<b>84,154,772</b>	<b>18,261,021</b>	<b>2,515,000</b>	<b>1,350,915</b>	<b>6,000,000</b>	<b>6,000,000</b>	<b>6,000,000</b>	<b>18,000,000</b>	<b>2,790,064</b>	<b>640,000</b>	<b>261,293</b>	<b>1,240,000</b>	<b>18,338,000</b>	<b>20,758,479</b>	<b>44,027,836</b>	<b>84,154,772</b>

<sup>1</sup> Other funds includes project savings from the Los Gatos Bridge Replacement project (\$2,102,558 ) and from the San Mateo Bridge Replacement project (\$456,881) made up of Federal Section 5337 funds (\$1,421,946), prior years VTA funds (\$901,073) and SM funds (\$236,402) and deobligated Prop K funds (\$180,624)

<sup>2</sup> Insurance proceeds and/or Operating funds

<sup>3</sup> Litigation costs funded by operating funds

<sup>4</sup> San Carlos Transit Village LLC (\$149,322) and Bay Area Air Quality Management District (BAAQMD \$1,240,000 )

<sup>5</sup> Prior year SF member funds

<sup>6</sup> Unspent funds from Project 100337 Mega Regional Rail Planning (FY19 \$75k) and from Project 100458 Service & Access Planning (FY20 \$434,157)

<sup>7</sup> Request only for board authority; funding will begin upon commencement of the electrified service from designated operational savings

<sup>8</sup> Section 130

<sup>9</sup> SMCTA and City of Burlingame(\$1.5 million)

\* Identifies the projects that will be funded by VTA Measure B funds of \$2.5 million



- **BAC Meeting** – The Bicycle Advisory Committee met on Thursday, September 17, via teleconference. Jeremy Lipps, Social Media Officer, provided a presentation on Caltrain’s Website Development. Dan Provence, Principal Planner, provided a presentation on the New Hillsdale Station & Bikes and also gave an update on the E-Locker Contract. Lori Low, Public Affairs Officer, provided the Staff Report. The next BAC meeting is scheduled for Thursday, November 19, via teleconference or in San Carlos.
- **Special Event Train Service** – Caltrain is not operating special event service due to the cancellation or postponement of events as result of the COVID-19 pandemic.

**Services Provided:**

- **Labor Day** – On Monday, September 7, Caltrain operated a Sunday Schedule in observation of the Labor Day Holiday. The Tamien-San Jose Shuttle also operated that day.

**Services Scheduled:**

- **Giants Baseball** – Due to the COVID-19 pandemic and efforts to prevent the spread of COVID-19, the Major League Baseball (MLB) had delayed the start of the 2020 regular season and unveiled the 60-game schedule which kicked off in July 2020. In coordination with the Giants, there will be limited staff and no fans in the stands for 2020 MLB Season at Oracle Park. Therefore, Caltrain will not provide Giants Baseball service for the 2020 season.
- **49ers Football** – Due to the COVID-19 pandemic, National Football League (NFL) announced that all preseason games have been cancelled. In coordination with the 49ers, limited fans in the stands at Levi’s Stadium for the regular season is still to be determined.
- **Stanford Football** – Due to the COVID-19 pandemic, PAC-12 announced on August 11<sup>th</sup> that all sports competitions scheduled for this fall, including all regular-season football games, will be postponed to January 1<sup>st</sup>, 2021 or at a later date. This decision will result in the start dates for the impacted sports to being delayed.

**Capital Projects –**

The Capital Projects information is current as of September 11, 2020 and is subject to change between September 11 and October 1, 2020 (Board Meeting).

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

The temporary closure of the Hillsdale Station, to allow completion of the project, began on May 16, 2020 and will continue into winter to allow construction of the new grade separations. During the temporary closure trains that normally stopped at Hillsdale will stop at Belmont, and bus and shuttle service between Belmont and Hillsdale Station has been provided to minimize the temporary passenger inconvenience.

In September, construction activity continued for the retaining walls and underground utilities for the future roadway underpasses at 28th and 31st Avenues. Work also continued for the architectural and electrical finishes for the new Hillsdale Station and construction of the new parking lots along Delaware Street. Additional work at the Borel Creek for environmental compliance commenced in September.

Adjacent to this project is a new contract to relocate and improve the storm drain system along Delaware Street adjacent to the new station and new parking lots on the east side of the project. This work was to be undertaken by the City of San Mateo. This work is now being performed by Caltrain at the request of the City. The construction contract was advertised for bids on June 12 and bids were received on August 3. The evaluation of bids is complete and approval to award of the contract is planned for the October 1 Board Meeting.

- **South San Francisco Station Improvements:** Replace the existing side platforms with a new centerboard platform, construction of a new connecting pedestrian underpass to the two new plazas in downtown South San Francisco to the west and the shuttle area to east. Upon completion, the hold-out rule at this station will be removed that currently impacts the overall system operational efficiency.

In September, construction of the west plaza at the intersection of Airport Boulevard and Grand Avenue, and the connecting west ramps and stairway continued. Also, the construction of the center platform and the Storm drain work in this area continued. Construction of Ramp 2, Stair 2 and Ramp 3 (West Side of the station) completed in August 2020. Construction of the new realigned southbound MT2 trackway was

completed and revenue service was cutover to the new MT2 track alignment. Due to the contractor caused delays, the project completion date is forecasted to extend from December 2020 until June 2021.

- **Marin and Napoleon Bridge Rehabilitation Project:** This state of good repair project will perform repairs at the Marin St. Bridge and replace the Napoleon St. Bridge. Both bridges are in the City of San Francisco located south of the 22nd Street Station. The repairs at Marin Street are primarily for concrete spalling and cracks, and deficient walkways and handrails. The Napoleon St. bridge concrete spans will be removed and replaced with elevated soil berm structures and the main steel span will be replaced with a new steel span. The span replacement at Napoleon Street will require a partial weekend service outage between Bayshore and 4th & King Stations during the outage. The project will install security fencing to deter encampments, and, also include track improvements in the vicinity of the bridges.

The Limited Notice to Proceed was issued to the contractor, Proven Management, on August 10 and the project is currently in the 60-day administrative period to complete critical submittals and safety training. Site construction is scheduled to begin in October and is planned to complete in the summer of 2021.

- **Ticket Vending Machine (TVM) Rehabilitation:** Upgrade the existing TVM Server and retrofit and refurbish two existing TVM machines to become prototypes for new TVM's so that the machines are capable of performing the functions planned for the current Clipper program. The new machines will be able to dispense new Clipper cards (excluding discount Clipper cards that require verification of eligibility) and have the ability of increasing the cash values of existing Clipper cards. The scope of the original contract was increased to include upgrades to the credit card reader and the database.

This first phase of the project to develop a prototype Clipper TVM is currently undergoing final acceptance testing which will result in completion of Phase 1 that is expected by the end of September. Phase 2 for the retrofitting of 12 additional TVM's follow after Phase 1 is complete. The funding for Phase 3, for the rehabilitation of an additional 22 TVM's, has now been secured and will be added to the project. Additional funds for Phase 4 for another 25 TVM's are included in the proposed FY21 Capital Budget amendment. Additional phases beyond Phase 4 are required to upgrade all stations.



- **Mary and Evelyn Avenue Traffic Signal Preemption Project:** Perform upgrades to train approach warning systems at the Mary Avenue and Evelyn Avenue crossings in Sunnyvale. The project will improve vehicle safety at the at-grade crossings by increasing the traffic signal advance warning times for approaching trains in order to clear vehicles at the crossings. This project will mimic the previously completed traffic signal preemption project that was completed in 2014 in Redwood City, Palo Alto and Mountain View. This project is being funded through the State of California Public Utilities Commission Section 130 program to eliminate hazards at existing grade crossings.

The 100% crossing design by the Electrification project is still not yet available for design coordination and a timeframe for its receipt is to be determined. The project has proceeded to complete its own design without this information from the Electrification project. The 100% design is complete and the Notice to Proceed for construction was issued to TASI on July 9. TASI is currently procuring materials for the work. Construction will take place from fall 2020 until spring of 2021.

- **FY19/FY20 Grade Crossing Improvements:** This project is a continuation of the ongoing grade crossing program to improve the safety at grade crossings in accordance with Grade Crossing Hazards Analysis for the entire corridor. This analysis prioritized the crossings and we have proceeded with the work in phases based on funding availability. 10 crossings were improved in 2018 under the FY16 budget authorization. Due to budget constraints, the FY19/FY20 scope is limited to five (5) crossings to be improved. The five crossings selected to be improved in this phase are 1st, 2nd, and 3rd Avenues in San Mateo, and, Glenwood and Oak Grove Avenues in Menlo Park. Work items that are included are the installation of signals, fences, gates, curbs, lighting and signs.

The construction contract was advertised for bids on August 31 and bids are currently due in October. The award of the contract is tentatively planned for January 2021 Board meeting with construction beginning in early 2021 and lasting until Fall of 2021.

- **Churchill Avenue Grade Crossing Improvements:** This project will make pedestrian and bicycle access improvements, and, safety improvements to the Churchill Avenue crossing in the city of Palo Alto. The project scope includes the widening of the sidewalks, associated relocation of pedestrian gates, and installing new vehicle pavement markings and markers.

The project began in December 2019. The 35% design received in March is under review including the review by the City of Palo Alto. The City of

Palo Alto is rethinking the scope of work for the project and is in discussion with CPUC and Caltrans to modify the scope. Design is currently on hold until the City of Palo Alto decides on the scope in order to proceed forward with the project.

- **Broadband Wireless Communications for Railroad Operations:** This project is to provide wireless communications system to provide enhanced capabilities for the monitoring of the railroad operations and maintenance, and, provide Wi-Fi capability for passengers. This project is funded through a grant from the Transit and Intercity Rail Capital Program (TIRCP). Currently, the project is currently only approved for the planning/design phase.

The project is currently continuing the planning/conceptual design phase that began in November 2019. The current schedule calls for the planning/conceptual design efforts to complete by the October/November 2020. Following the planning/conceptual design phase, the project will enter the final design phase to complete the design and develop construction contract bid documents for advertisement in 2021.

- **MP-36 Locomotive Mid-Life Overhaul Project:** Perform mid-life overhaul of six MP-36-3C Locomotives. The mid-life overhaul of the locomotives includes the complete disassembly of the main diesel engine, overhauling by reconditioning re-usable main frame components and re-assembly with new engine components and the replacement of the Separate Head-End Power (SEP-HEP) unit and all electrical components of the SEP-HEP compartment. All areas of the locomotive car body, trucks, wheels and electrical components shall be reconditioned to like-new condition or replaced with new material. The project work shall be completed off-site at the contractor's facility location. The 6 locomotives to be overhauled are Locomotive #'s 923, 924, 925, 926, 927 & 928. In order to maintain daily service, only 1 to 2 of these locomotives will be released at a time for overhaul that is expected to take approximately 8 months per locomotive. Due to this restriction, the overall completion of this work is expected to take approximately 4 years.

The first vehicle was shipped to the vendor's facility at Mare Island (Vallejo) in July overhauling is underway with completion of the first locomotive expected by the winter of 2020/2021.

**PENINSULA CORRIDOR JOINT POWERS BOARD  
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett  
Executive Director

FROM: John Funghi  
Chief Officer, Caltrain Modernization Program

SUBJECT: **PENINSULA CORRIDOR ELECTRIFICATION PROJECT MONTHLY PROGRESS  
REPORT**

**ACTION**

Staff Coordinating Council recommends the Board receive the Peninsula Corridor Electrification Project (PCEP) Monthly Progress Report (MPR). The MPR is available online under "Reports and Presentations" at this webpage: [http://www.caltrain.com/projectsplans/CaltrainModernization/CalMod\\_Document\\_Library.html](http://www.caltrain.com/projectsplans/CaltrainModernization/CalMod_Document_Library.html). No action required.

**SIGNIFICANCE**

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

**BUDGET IMPACT**

There is no impact on the budget.

**BACKGROUND**

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

Prepared by: Josh Averill, Program Management Administrator

650.508.6453



## Caltrain Modernization Program Peninsula Corridor Electrification Project (PCEP)



# August 2020 Monthly Progress Report

August 31, 2020

## Funding Partners



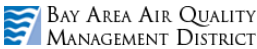
Federal Transit Administration (FTA) Core Capacity  
FTA Section 5307 (Environmental / Pre Development only)  
FTA Section 5307 (Electric Multiple Unit (EMU) only)



Prop 1B (Public Transportation Modernization & Improvement Account)  
Caltrain Low Carbon Transit Operations Cap and Trade



Proposition 1A  
California High Speed Rail Authority (CHSRA) Cap and Trade



Carl Moyer Fund



Bridge Tolls (Funds Regional Measure (RM) 1/RM2)



San Francisco County Transportation Authority (SFCTA)/San Francisco Municipal Transportation Agency (SFMTA)



San Mateo County Transportation Authority (SMCTA) Contribution  
SMCTA Measure A



Santa Clara Valley Transportation Authority (VTA) Measure A  
VTA Contribution



City and County of San Francisco (CCSF) Contribution

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## 1.0 BACKGROUND

Over the last decade, Caltrain has experienced a substantial increase in ridership and anticipates further increases in ridership demand as the San Francisco Bay Area's population grows. The Caltrain Modernization (CalMod) Program, scheduled to be implemented by 2021, will electrify and upgrade the performance, operating efficiency, capacity, safety, and reliability of Caltrain's commuter rail service.

The PCEP is a key component of the CalMod Program and consists of converting Caltrain from diesel-hauled to Electric Multiple Unit (EMU) trains for service between the San Francisco Station (at the intersection of Fourth and King Streets in San Francisco) and the Tamien Station in San Jose. Caltrain will continue Gilroy service and support existing tenants.

An electrified Caltrain will better address Peninsula commuters' vision of environmentally friendly, fast and reliable service. Electrification will modernize Caltrain and make it possible to increase service while offering several advantages in comparison with existing diesel power use, including:

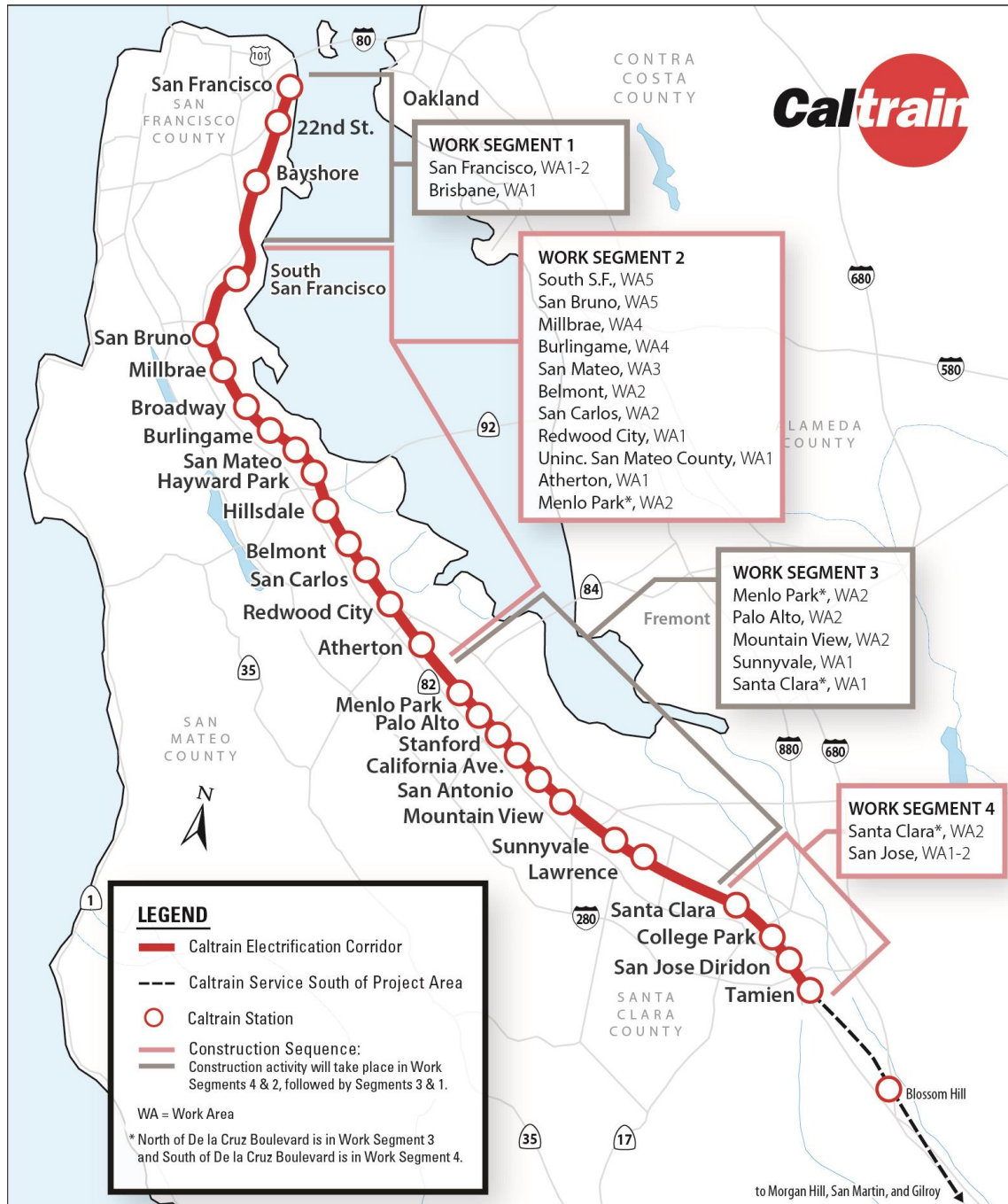
- **Improved Train Performance, Increased Ridership Capacity and Increased Service:** Electrified trains can accelerate and decelerate more quickly than diesel-powered trains, allowing Caltrain to run more efficiently. In addition, because of their performance advantages, electrified trains will enable more frequent and/or faster train service to more riders.
- **Increased Revenue and Reduced Fuel Cost:** An electrified Caltrain will increase ridership and fare revenues while decreasing fuel costs.
- **Reduced Engine Noise Emanating from Trains:** Noise from electrified train engines is measurably less than noise from diesel train engines. Train horns will continue to be required at grade crossings, adhering to current safety regulations.
- **Improved Regional Air Quality and Reduced Greenhouse Gas Emissions:** Electrified trains will produce substantially less corridor air pollution compared with diesel trains even when the indirect emissions from electrical power generation are included. Increased ridership will reduce automobile usage, resulting in additional air quality benefits. In addition, the reduction of greenhouse gas emissions will improve our regional air quality, and will also help meet the state's emission reduction goals.



**2.0 EXECUTIVE SUMMARY**

The Monthly Progress Report is intended to provide an overview of the PCEP and provide funding partners, stakeholders, and the public an overall update on the progress of the project. This document provides information on the scope, cost, funding, schedule, and project implementation. Work along the Caltrain Electrification Corridor has been divided into four work segments and respective work areas (WA) as shown in Figure 2-1. PCEP activities are described and summarized by segments and work areas.

**Figure 2-1 PCEP Work Segments**



**Peninsula Corridor Electrification Project**  
**Monthly Progress Report**

Crews began installing off-track Overhead Catenary System (OCS) foundations in Segment 1 near the Bayshore Station, and on-track foundation and pole installation continued in Segments 3 and 4. At this point more than half the poles needed for the project have been installed. Transformer pads were installed at Paralleling Station (PS) PS-5 and PS-2, and conduit and the auxiliary transformer pad were installed at PS-4. PS-6 work included wall construction. Crews maintained normal productivity by continuing construction activities such as potholing, relocating signal cables, installation of ductbank, conduits, and cables, switch isolations, installation of overhead bridge attachments, and progressing design with BBII.

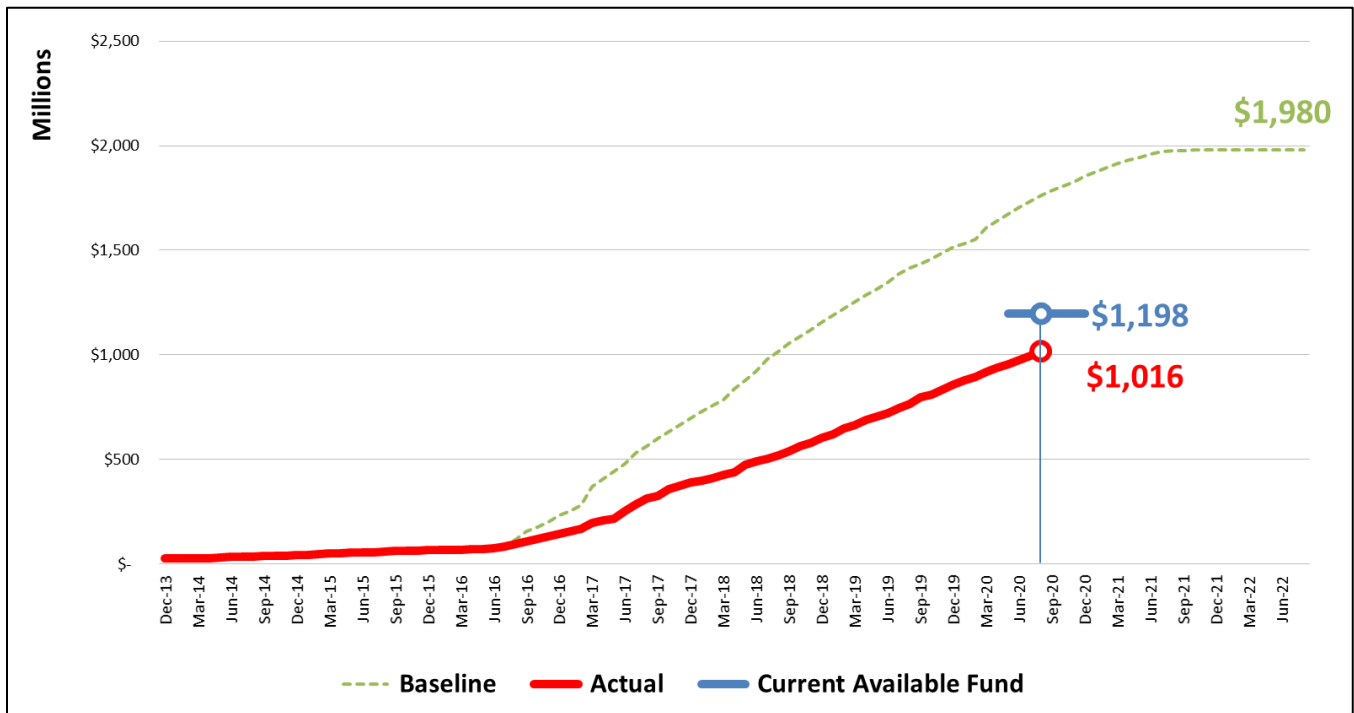
There have been no changes to the EMU assembly and testing disruptions due to Coronavirus Disease 2019 (COVID-19). However, as EMU manufacturing of cars and shells is still on schedule, Stadler now reports receipt of six car shells in Salt Lake City and six more in transit. At the Centralized Equipment Maintenance and Operations Facility (CEMOF), the parts storage warehouse installation began. Footings and the south wall were poured for the south pit, and the drain trench was installed.

The Traction Power Substation (TPS-2) construction mobilization has been scheduled for mid-September, and the TPS-1 mobilization is anticipated for January. TPS-1 permits have been submitted and the environmental release to construction has been received.

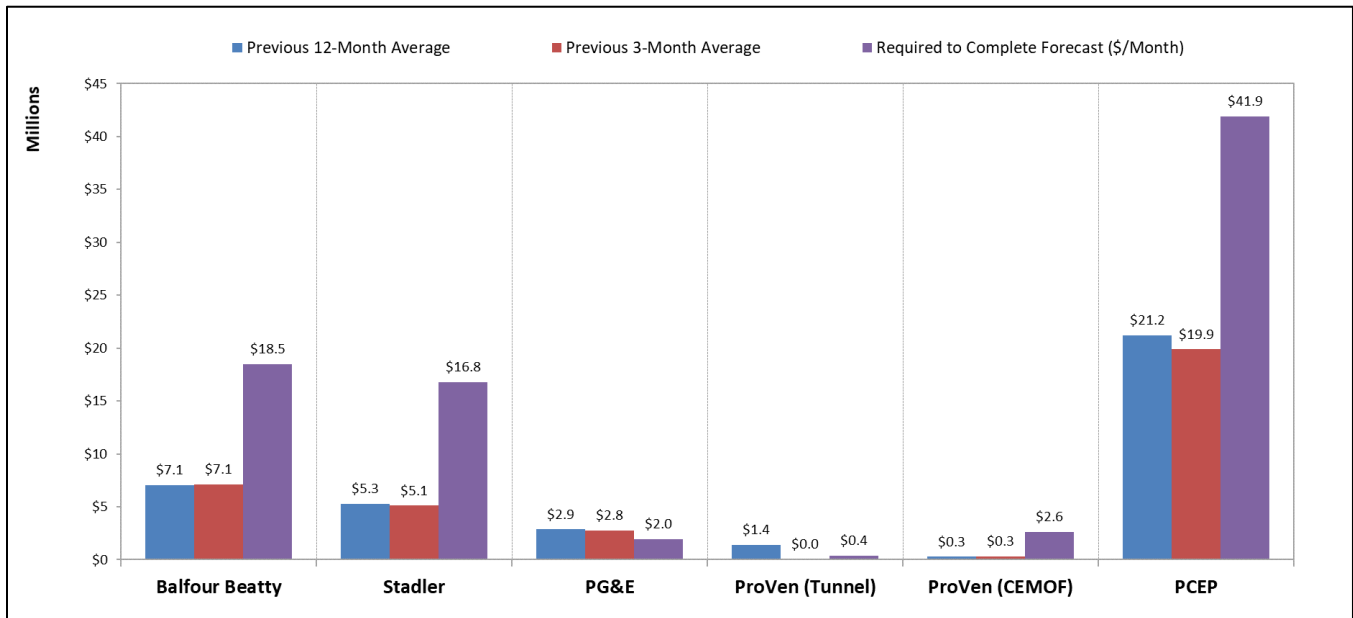
**2.1. Monthly Dashboards**

Dashboard progress charts are included below to summarize construction progress.

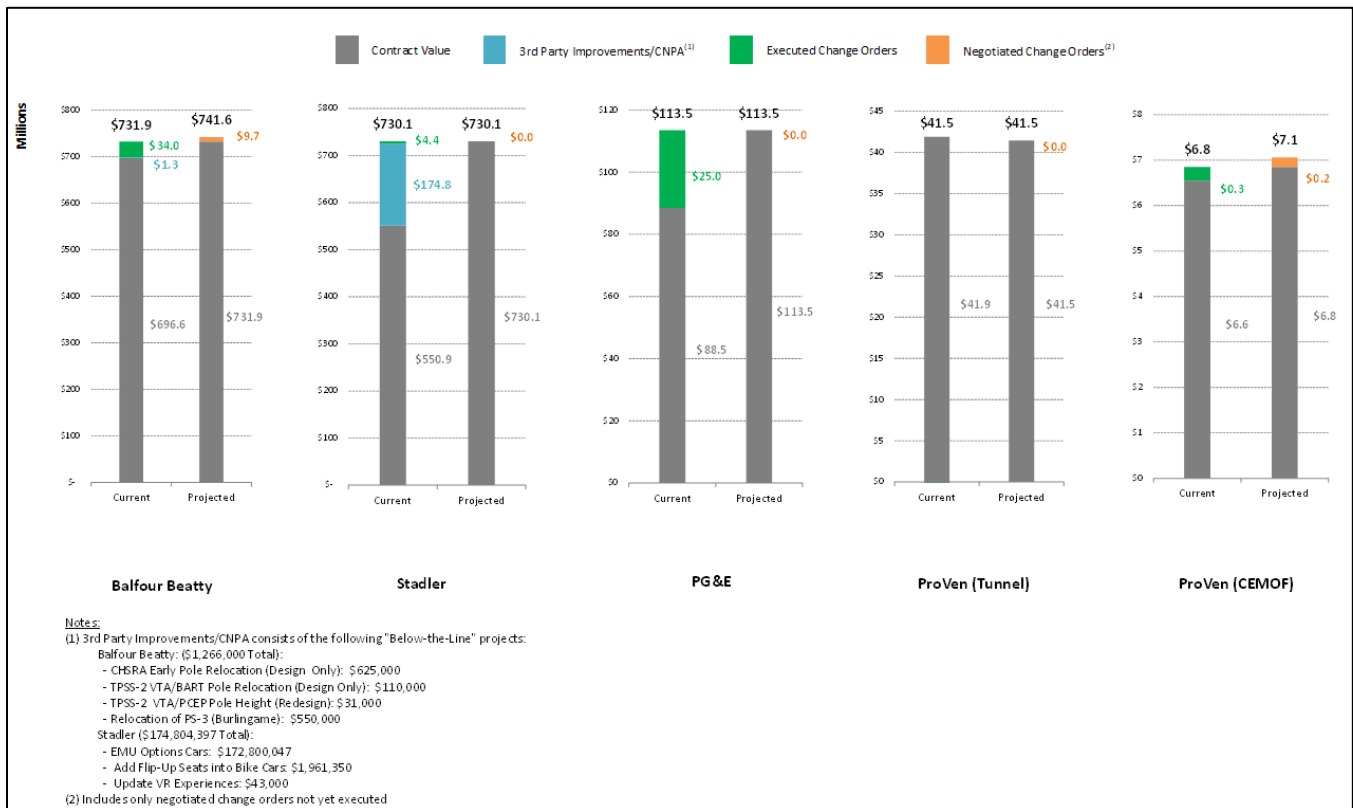
**Figure 2-2 Expenditure – Planned vs. Actual**



**Figure 2-3 Spending Rate vs. Required**



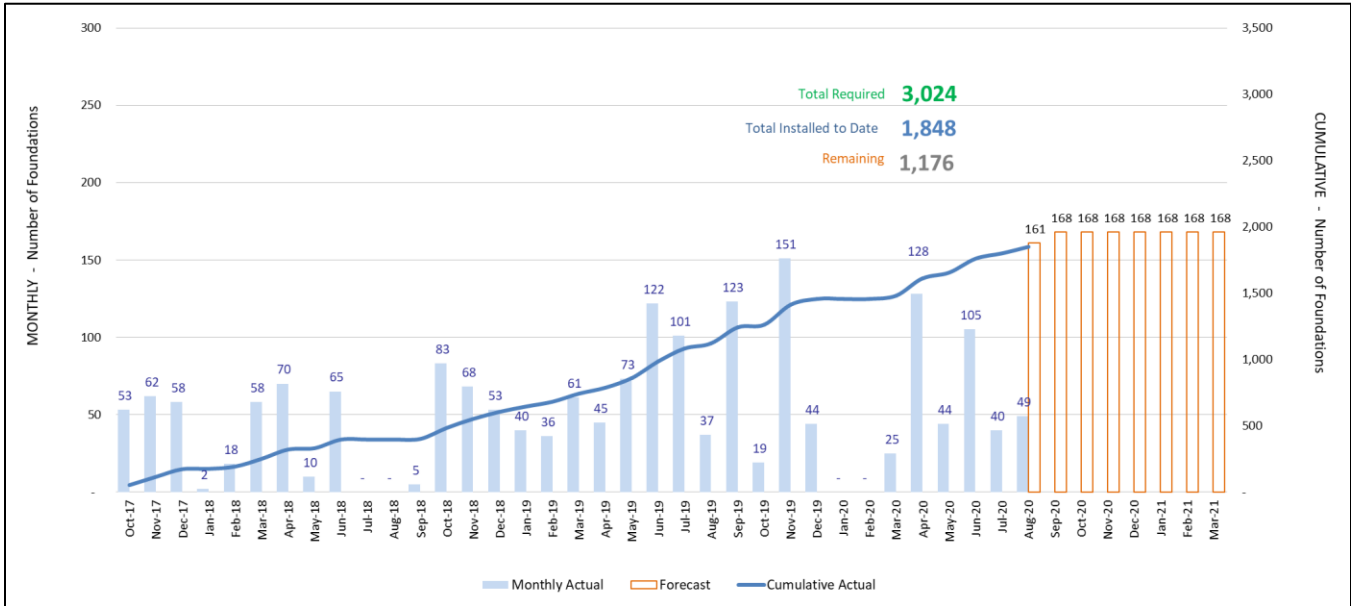
**Figure 2-4 Construction Contract Budgets**



# Peninsula Corridor Electrification Project

## Monthly Progress Report

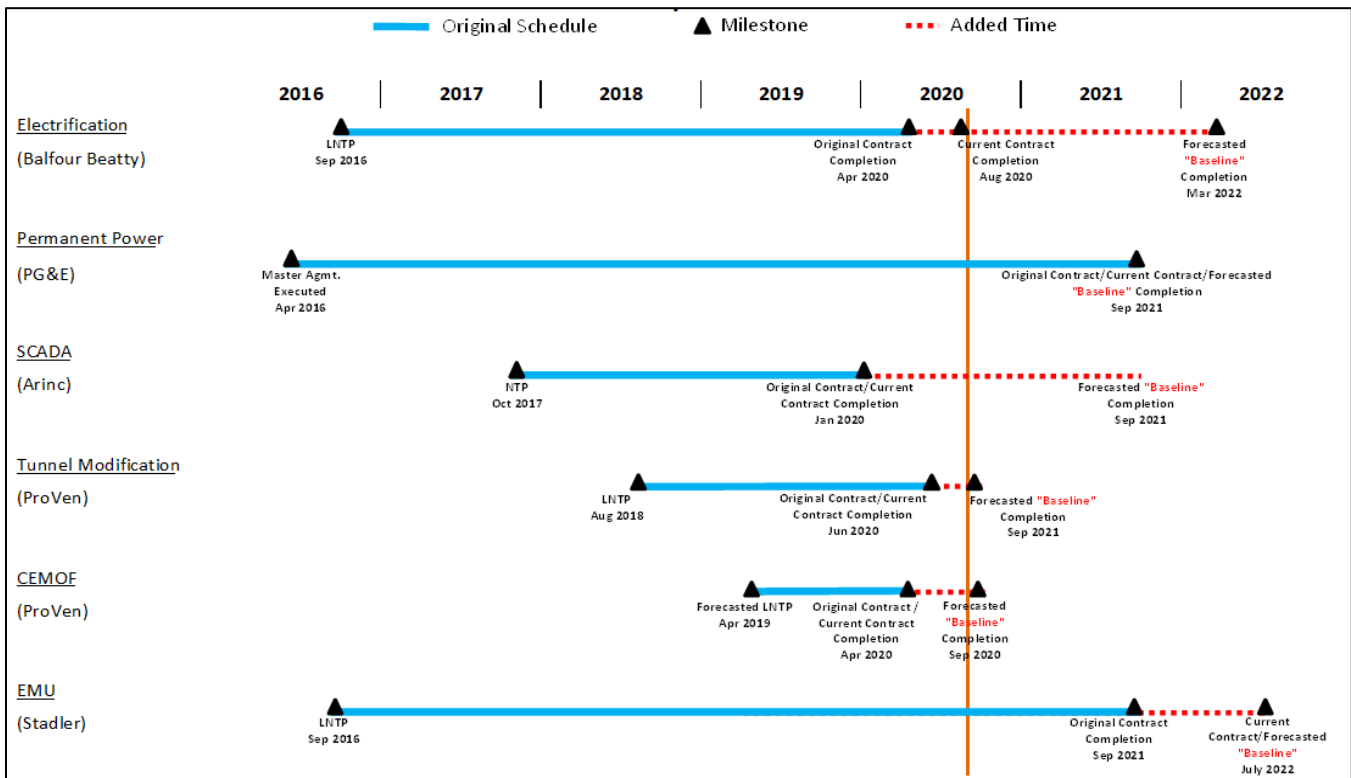
### Figure 2-5 OCS Foundation Production



Notes regarding tables above:

1. BBII is now reporting a delay in the completion date for the OCS foundations from December 31, 2020 to March 31, 2021. The monthly forecast will be revised at the end of ongoing OCS foundation workshops, which are held to determine the level of effort necessary for each of the activities prior to foundation installation. The delay to the OCS foundation completion date did not change the substantial completion date of the BBII contract.

### Figure 2-6 Contractor Completion Schedule



## **2.2. Funding Partners Participation in PCEP**

The PCEP has a series of weekly, biweekly, monthly and quarterly meetings to coordinate all aspects of the program. The meetings are attended by project staff with participation by our funding partners in accordance with the Funding Partners Oversight Protocol. A summary of funding partner meetings and invitees can be found in Appendix B.

This section of the report provides a summary of the discussions and decisions made at the meetings and a list of funding partners who attended the meetings.

### **Electrification – Weekly Discipline-Specific Meetings**

Purpose: To replace the previous weekly Engineering Meeting with three discipline-specific meetings for the three major categories of work under the Electrification Design Build (DB) contract: Overhead Contact System (OCS) Foundation, Traction Power Facilities (TPF), and Signals. Each meeting will focus on the status, resolution and tracking of Balfour Beatty Infrastructure, Inc. (BBII) and Electrification design- and construction-related issues.

#### Activity this Month

##### **OCS Foundation Meeting**

Funding Partners: None

- Review of upcoming foundation design and installation schedule
- Discussion of open issues impacting foundations design and installation
- Discussion of outstanding Requests for Information (RFI)
- Review of foundation designs that potentially impact Right of Way (ROW)
- Review of outstanding Field Orders or Change Notices required for work to continue

##### **TPF Meeting**

Funding Partners: None

- Review of outstanding items as they relate to the design and construction of the PG&E Interconnection
- Review of status of long-lead material procurement
- Review of PG&E Interconnection schedule
- Discuss progress and next steps for the Single-Phase Study
- Discuss outstanding comments on the interconnection agreement
- Review and resolve open issues on the construction and design of the TPFs (paralleling stations, traction power substations, switching station)

### **Signal Meeting**

Funding Partners: None

- Discussion of design, installation and testing of the signal and communication modifications to the Caltrain system
- Discussion of outstanding comments and responses to comments on signal and communication design packages
- Review of schedule for signal and communication cutover plans
- Discuss and resolve RFIs

### **PCEP Delivery Coordination Meeting – Bi-Weekly**

Purpose: To facilitate high-level coordination and information sharing between cross-functional groups regarding the status of the work for which they are responsible.

#### Activity this Month

Funding Partners: SFCTA: Luis Zurinaga; MTC: Trish Stoops; VTA: Franklin Wong

In Contracts and Procurement, sole-source contract amendments for On-Call Program Management Support Services and On-Call Electrification Support Services have been fully executed to increase contract capacities and allow JPB to continue with the Fiscal Year 2021 consultant support work directives. In EMU testing and manufacturing, type testing for Trainset 1 continues to be delayed due to restrictions caused by COVID-19. Stadler is adding resources to assist in the troubleshooting for Trainset 1. The shipment of trains to Pueblo is currently on target for November. The redesign of the bike car barriers is in action to address Federal Railroad Administration (FRA) comments. For CEMOF, the parts storage warehouse steel erection occurred and wiring work in the equipment room is ongoing. In the inspection pits, waterproofing is being done at the north end and rebar installation is being done at the south end. For Design Build activities, foundation installation is ongoing in Segment 4 and Segment 3 and projected to be completed by the end of the month. Off-track foundation installation for Segment 1 has been pushed to the end of August/early September and the delivery of cages is expected by mid-August. A draft agreement is in process for Santa Clara Valley Water District and the installation of foundations in Marchese is targeted by the end of August. Fence relocation at PG&E Cinnabar is scheduled to start on August 5 with temporary lighting work occurring in parallel, and the target to install foundations is by the end of August. For the Tunnel Modification Project, Neta Testing will be onsite by September 14 to start testing at all tunnels.

### **Systems Integration Meeting – Bi-Weekly**

Purpose: To discuss and resolve issues with inter-system interfaces and to identify and assign Action Item Owners for interface points that have yet to be addressed.

#### Activity this Month

Funding Partners: None

Bi-weekly PCEP System Integration meetings are held to monitor and determine appropriate resolution for systems integration issues. The Systems Integration Lead also maintains contact with the EMU procurement team. The Traction Power SCADA team also holds bi-weekly status meetings. Coordination with the EMU procurement, PTC and Caltrain Capital Project managers responsible for delivery of the 25<sup>th</sup> Avenue Grade Separation Project, Marin Napoleon Bridge Rehabilitation Project, and the South San Francisco Station Project is ongoing. Discussions have started regarding an upcoming capital project to replace the Guadalupe River Bridge. There is coordination with the Tunnel Modification Project, PG&E construction of the Interconnection to TPS-2, and the CEMOF upgrades as well. Progress on activities including systems integration testing activities, FRA, FTA and safety certification are being tracked. The Systems Integration meeting has been re-focused to track and coordinate issues between PCEP and the overall agency (JPB). This was done to avoid task overlap with the JPB Rail Activation Committee. A smaller “breakout” group is meeting to determine and track what testing and with which resources will need to be coordinated among the various contracts and suppliers. This “Testing and Commissioning Meeting” is the primary interface to the PCEP Design-Build Team at this time. Work to define dependencies for completion of Segment 4 (Intermediate Milestone #1) is ongoing with the Testing & Commissioning discussion. This group will report back to the System Integration meeting group with their findings.

### **Master Program Schedule (MPS) Meeting – Monthly**

Purpose: To review the status of the MPS and discuss the status of major milestones, critical and near-critical paths, upcoming Board review items, and progress with the contracts, among others.

#### Activity this Month

Funding Partners: Metropolitan Transportation Commission (MTC): Trish Stoops; VTA: Manolo Gonzalez-Estay, SFCTA: Luis Zurinaga

The program critical path remains unchanged and continues to run through the manufacturing and testing of EMU trainsets.

In July 2020, the program schedule was updated to reflect additional non-critical path COVID-19 related delays to Stadler’s assembly and test of EMU trainsets. These delays have resulted in later forecasted dates for arrival of the first trainset in Pueblo, CO as well as arrival of the first trainset on JPB property.

BBII’s efforts on design and installation of the signal system continues to progress slowly. This has resulted in a further delay to substantial completion of the electrification system. JPB is working with BBII on the issue and is urging BBII to accelerate resolution.

**Risk Assessment Meeting – Monthly**

Purpose: To identify risks and corresponding mitigation measures. For each risk on the risk register, mitigation measures have been identified and are being implemented. Progress in mitigating these risks is confirmed at the ongoing risk monitoring and monthly risk assessment meetings.

Activity this Month

Due to the absence of issues requiring review, no meeting was held in August.

**Change Management Board (CMB) – Monthly**

Purpose: To review, evaluate and authorize proposed changes to PCEP over \$200,000. The CMB discusses major topics including potential changes to PCEP contracts, contingency usage, track access delays and Differing Site Conditions (DSC) field order updates. Potential contract changes will follow the PCEP Change Order Procedure. Once approved changes are executed, they will be reported in the Change Management section (Section 9) of this report.

Activity this Month

The CMB meeting occurred on August 19.

Funding Partners: CHSRA: Boris Lipkin and Simon Whitehorn; VTA: Krishna Davey and Edwin Castillo; SFCTA: Luis Zurinaga; SMCTA: Joe Hurley; MTC: Trish Stoops and Kenneth Folan; FTA: Mike Eidlin

BBII Contract

One change was approved.

CEMOF Contract

No changes were identified for consideration.

Stadler Contract

No changes were identified for consideration.

SCADA Contract

No changes were identified for consideration.

SCADA Contract

No changes were identified for consideration

Tunnel Modification Contract

No changes were identified for consideration.



Amtrak Contract

No changes were identified for consideration.

Other

No changes were identified for consideration.

**2.3. Schedule**

The program critical path remains unchanged and continues to run through the manufacturing and testing of EMU trainsets.

In July 2020, the program schedule was updated to reflect additional non-critical path COVID-19 related delays to Stadler’s assembly and test of EMU trainsets. These delays have resulted in later forecasted dates for arrival of the first trainset in Pueblo, CO as well as arrival of the first trainset on JPB property.

BBII’s effort on design and installation of the signal system continues to progress slowly. This has resulted in a further delay to substantial completion of the electrification system. JPB is working with BBII on the issue and is urging BBII to accelerate resolution.

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

**Table 2-1 Schedule Status**

Milestones	Program Plan	Progress Schedule (August 2020) <sup>1</sup>
Arrival of First Vehicle in Pueblo, CO	N/A	11/25/2020 <sup>2</sup>
Arrival of First Vehicle at JPB	N/A	04/30/2021 <sup>2</sup>
Segment 4 Completion	11/21/2019	06/30/2021 <sup>2</sup>
○ Interconnection from PG&E Substation to Traction Power Substation (TPS)	N/A	12/10/2020
PG&E Provides Permanent Power	09/09/2021	09/09/2021
Electrification Substantial Completion	08/10/2020	03/26/2022 <sup>2</sup>
Start Phased Revenue Service	N/A	03/27/2022
RSD (w/o Risk Contingency)	12/09/2021	07/22/2022
FFGA RSD (w/ Risk Contingency)	08/22/2022	08/22/2022

Note:

<sup>1</sup>. Dates may shift slightly as the update of this month’s Progress Schedule is still in process.

<sup>2</sup>. See “Notable Variances” in Section 7 for explanation on date shift.

**Peninsula Corridor Electrification Project**  
**Monthly Progress Report**

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**2.4. Budget**

A summary of the overall budget and expenditure status for the PCEP is provided in Table 2-2 below.

**Table 2-2 Budget and Expenditure Status**

Description of Work	Budget (A)	Current Budget (B) <sup>1</sup>	Cost This Month (C) <sup>2</sup>	Cost To Date (D) <sup>3</sup>	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
Electrification Subtotal	\$1,316,125,208	\$1,316,125,208	\$11,712,965	\$776,203,876	\$539,921,332	\$1,316,125,208
EMU Subtotal	\$664,127,325	\$664,127,325	\$7,472,245	\$239,758,580	\$424,368,745	\$664,127,325
<b>PCEP TOTAL</b>	<b>\$1,980,252,533</b>	<b>\$1,980,252,533</b>	<b>\$19,185,210</b>	<b>\$1,015,962,456</b>	<b>\$964,290,077</b>	<b>\$1,980,252,533</b>

Notes regarding tables above:

- <sup>2</sup> Column B "Current Budget" includes executed change orders and awarded contracts.
- <sup>3</sup> Column C "Cost This Month" represents the cost of work performed this month.
- <sup>4</sup> Column D "Cost To Date" includes actuals (amount paid) and accruals (amount of work performed) to date.

**2.5. Board Actions**

- None

**Future anticipated board actions include:**

- Shunt wire construction

**2.6. Government and Community Affairs**

There were three outreach event this month.

### **3.0 ELECTRIFICATION – INFRASTRUCTURE**

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

#### **3.1. Electrification**

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

##### **Activity This Month**

- Continued to install on-track and off-track foundations in Segments 3 and 4 as conflicts are resolved.
- Continued installation of OCS poles, cantilevers, and wires in Segment 3 following the foundations.
- Continue installation of shunt wires in Segment 2.
- Began installation of off-track foundations in Segment 1 near the Bayshore Station.
- Potholed at proposed OCS locations and utility locations in all Segments in advance of foundation installation. BBI and PCEP also continued to resolve conflicts found during the potholing process, such as loose concrete, asphalt, and other debris, and continued designing solutions for those conflicts that cannot be avoided. The conflicts must be resolved before installation of foundations at those locations.
- Relocated signal cables and remove abandoned facilities found in conflict with planned OCS foundations as conflicts were identified.
- Continued installation of transformer pad at PS-5.
- Continued installation of transformer pad at PS-2.
- Continued conduit and auxiliary transformer pad installation at PS-4.
- Continued CMU wall construction at PS-6.
- Continued to install signal ductbank, conduits, and cables in Segment 2.
- Continued to install signal ductbank, conduits, and cables in Segment 4.
- Continued cable installation at Control Point (CP) Shark, CP Michael, and Luther Junction.
- Performed cable termination at CP Shark, CP Michael, and Luther Junction.
- Install signal case at CP Coast Main.
- Performed pre-testing at multiple signal locations.
- Continued drilling of rails for impedance bond connections in Segments 1, 2, 3 and 4 at various control points and crossings.

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- Performed switch isolation in Segment 1 and Segment 2.
- Install overhead bridge attachments at various locations in Segment 3.
- Progressed the OCS design with BBII in all segments, which included submittal and review of Design Change Notices for revised foundation locations.
- Continued Right of Way acquisition process for off-track foundation installation in Segment 1.
- Coordinated design review with local jurisdictions for the OCS, traction power facilities, and bridge attachments design, including responses to comments from jurisdictions.
- Continued to review and coordinate signal and communication design submittals with BBII.
- Continued discussions with FRA and CPUC on grade crossing design.
- Continued planning for signal cutovers in Segment 4.
- Contractor has been selected by PG&E for TPS-2 interconnection. Continued discussions with VTA on Right of Way acquisition and access for construction of TPS-2 interconnection.
- Continued coordination with VTA on utility relocation required prior to start of TPS-2 interconnection construction.
- Worked with BBII through Site Specific Work Plans (SSWP) for upcoming field work.
- Completed draft model validation for the single phase study and presented results to PG&E.
- PG&E continued work at East Grand and FMC substations.

A summary of the work progress by segment is provided in Table 3-1 below.

**Table 3-1 Work Progress by Segment**

Segment	Work Area	Foundations			Poles		
		Required <sup>abc</sup>	Completed this Month	Completed to Date	Required <sup>ab</sup>	Completed this Month	Completed to Date <sup>d</sup>
1	Tunnels	32	0	32	32	0	32
	A	309	0	0	259	0	0
	B	237	9	9	177	0	0
2	5	236	0	199	209	0	160
	4	314	0	238	254	0	190
	3	176	0	129	141	0	36
	2	247	0	78	205	0	60
	1	207	0	79	154	0	33
3	2	510	10	497	441	17	322
	1	387	3	371	310	26	261
4	A	241	16	195	177	4	112
	B	128	11	107	123	16	86
	CEMOF	96	0	0	81	0	0
<b>Total</b>		<b>3,120</b>	<b>49</b>	<b>1,934</b>	<b>2,563</b>	<b>63</b>	<b>1,292</b>

Note:

- a. Foundations required do not match poles required as guy foundations are needed in some locations for extra support.
- b. Reported number of required poles and foundations fluctuate due to Design changes.
- c. Update: To-date, 20 /30 foundations have been installed by the South San Francisco and 66 have been installed by the 25<sup>th</sup> Ave projects.
- d. Two poles in S3WA2 and two poles in S3WA1 were unreported installed in July 2020.

### Activity Next Month

- Continue off-track foundation installation in Segment 1.
- Continue foundation installation in Segments 3 and 4.
- Install spread footing foundation at CP De la Cruz.
- Continue resolution of DSCs.
- Continue to install protective steel plates for protection of utilities during foundation installation.
- Continue to install OCS poles and assemblies in all Segments where available.
- Continue wire installation in Segments 3 and 4.
- Continue shunt wire installation in Segment 2.
- Continue work with BBII on field investigation activities and designs, which will include the progression of the OCS, traction power, bonding and grounding, signal systems, and other civil infrastructure such as overhead bridge protections.
- Pothole and clear obstructions at proposed OCS locations. Potholing will concentrate in Segments 3 and 4, as well areas of potential ROW needs in Segments 1 and 2.
- Continue construction at TPS-1.
- Continue construction at PS-7, PS-5, PS-4, PS-6, PS-2, and the Switching Station.

- Continue to install conduit and foundations for signal and wayside power cubicle (WPC) units in Segment 4 and Segment 2.
- Continue cable termination at signal locations in Segment 4.
- Continue to install impedance bond connections.
- Continue to install bridge attachments.
- Relocate signal utilities prior to start of TPS-2 interconnection construction.
- Begin TPS-2 interconnection construction.
- Continue to coordinate with stakeholders on the consistent warning time solution and advance location-specific design.
- Continue to progress location-specific design for grade crossing system.
- Continue planning process for signal cutovers.
- Review BBII work plans for upcoming construction activities.
- Coordinate with PG&E on final design and construction for PG&E infrastructure.
- Coordinate with local jurisdictions to review designs.
- Continue tree pruning and removals.

### **3.2. Supervisory Control and Data Acquisition**

SCADA is a system that monitors and controls field devices for electrification, including traction power substations (TPS), wayside power cubicles (WPC), and the OCS. SCADA will be integrated with the base operating system for Caltrain Operations and Control, which is the Rail Operations Center System (ROCS). A separate control console will be established for the Power Director.

#### **Activity This Month**

- Submitted formal schedule for review and Monthly Progress Report.
- Completed writing SCADA Operations User Manual.
- Completed Installation and Cutover Plan.
- Completed writing Training Manual.
- Began work on correcting defects found during Pre-Factory Acceptance Testing (FAT).
- Attended first meeting for developing Configuration Change Work Plan (CCWP), part of the JPB Configuration Management process.

#### **Activity Next Month**

- Prepare and deliver the Monthly Report and the Monthly Schedule Update.
- Attend project status meetings (virtually).
- Support ongoing discussions concerning RFIs.
- Complete correction of defects found during Pre-FAT.
- Address comments received for Operations User Manual.
- Address comments received for Training Manual.

- Complete Training Plan.

### **3.3. Tunnel Modification**

Tunnel modifications will be required on the four tunnels located in San Francisco. This effort is needed to accommodate the required clearance for the OCS to support electrification of the corridor. Outside of the PCEP scope, Caltrain Engineering has requested the PCEP team to manage completion of design and construction for the Tunnel 1 and Tunnel 4 Drainage and Track Rehabilitation Project. The Tunnel Drainage and Track Rehabilitation Project is funded separately from PCEP.

#### **Activity This Month**

- Letters, submittals, and Requests for Information closeout.
- Change Order reconciliation.

#### **Activity Next Month**

- Review and respond to letters.
- Install signage inside all tunnels.
- OCS Testing (Neta Testing).
- Punch List items.

### **3.4. Interconnection Construction**

The PCEP will require a 115-kV interconnection to supply power from the PG&E substations to the Caltrain substations in San Jose and South San Francisco. Construction of the interconnections will be performed by PG&E under an amendment to Supplemental Agreement No. 2.

#### **Activity This Month**

- FMC – TPS-2:
  - Caltrans permit to cross I-880/remove trees submitted.
  - Environmental release to construction for JPB received.
  - Mobilization scheduled for September 15.
- EGS – TPS-1:
  - Overhead: Sub-contractor Michel's selected. Mobilization forecasted in January.
  - Underground: Ductbank and underground redundant fiber request for proposal forecasted for October. Subcontractor selection forecasted for November. Mobilization forecasted for February.

#### **Activity Next Month**

- FMC – TPS-2:
  - Staging TPS-2: Communication vaults delivered to site 9/10; Overhead structures 10/23.

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- EGS – TPS-1:
  - Coordinate the TSP pole design with South San Francisco team.
  - Staging EGS & TPS-1: Poles delivered to site 1/27/21, cable vaults 2/5/21 and cable 3/5/21. PG&E to coordinate with the property owner for staging at TPS-1.



## **4.0 ELECTRIC MULTIPLE UNITS**

This section reports on the progress of the Electric Multiple Units (EMU) procurement and the Centralized Equipment Maintenance and Operations Facility (CEMOF) modifications.

### **4.1. Electric Multiple Units**

The procurement of EMUs, or trainsets, from Stadler consists of a Base Order of 96 railcars, plus an Option Order of an additional 37 railcars, for a total of 133 railcars. The cars from these two orders will be combined and delivered as 19 seven-car Trainsets. The Base Order is funded from PCEP, and Option Order funded by a Transit and Intercity Rail Capital Program (TIRCP) grant. One more Option for additional cars is available.

#### **Activity This Month**

- COVID-19 related actions continued for the sixth month causing mixed disruptions to Stadler's activities:
  - Stadler's three manufacturing facilities (two in Switzerland and one in Salt Lake City) supporting the Caltrain Project have returned to near normal levels of activity.
  - The Switzerland-based manufacturing of car shells and trucks frames is on schedule.
  - Salt Lake City-based manufacturing is delayed due to previously incurred person-power limitations and sub-supplier parts shortages.
  - Stadler has submitted a request for an 'excusable delay' due to COVID-19. The extent of the continuing delay is being evaluated. Currently, shipping the first trainset to Pueblo, Colorado for testing has been delayed 3 months to November 2020, and the first trainset to be delivered to Caltrain delayed 6 weeks to the end of April 2021.
  - Salt Lake City-based 'Type Testing' of Trainset No. 1 continues to be on hold since key Stadler and sub-supplier personnel cannot travel to the United States. The current delay in testing is estimated at one day for each day of COVID-19 travel restrictions.
  - Stadler has material for about three trainsets, but the disrupted supply chain will likely create shortages and production delays.
- Final Design Reviews remain to be completed for three systems. These software-based systems include 'Train Control,' 'Monitoring and Diagnostics,' and 'Car Control.' Completion is scheduled for August 2020 and must be performed prior to the commencement of Type Testing.
- First Article Inspections (FAI) continue to have their paperwork formalized and closed out.
- 46 car shells have been shipped from Stadler Switzerland, with 40 onsite in Stadler's Salt Lake City facility (six in transit).
- Quality Assurance audits of USA-based sub-suppliers were halted in mid-March due to COVID-19 travel restriction. Audits will commence when sub-suppliers reopen.

- Stadler's trainset delivery and testing schedule on Caltrain property has been re-baselined.

**Activity Next Month**

- Continue to close out system level FDRs and FAIs.
- Continue to support Caltrain/PCEP system integration and rail startup activation activities

**4.2. Centralized Equipment Maintenance and Operations Facility Modifications**

The CEMOF Modifications Project will provide work areas to perform maintenance on new EMUs.

**Activity This Month**

- Erection of the Parts Storage Warehouse started.
- Shoring Design for the shallow fire sprinkler line ongoing.
- Installed the trench drain at the south pit.
- Installed Water stops and shutoffs at the south pit.
- Poured the footing and south wall at the south pit.
- Shop drawings for the CMU wall at the Component Test Room are ongoing.

**Activity Next Month**

- Submit shoring design for shallow fire sprinkler line.
- Strip forms and allow south wall concrete to cure.
- Complete erection of the Parts Storage Warehouse.
- Install fire sprinkler at Parts Storage Warehouse.

## **5.0 SAFETY**

Safety and Security requirements and plans are necessary to comply with applicable laws and regulations related to safety, security, and emergency response activities. Safety staff coordinates with contractors to review and plan the implementation of contract program safety requirements. Safety project coordination meetings continue to be conducted on a monthly basis to promote a clear understanding of project safety requirements as defined in contract provisions and program safety documents.

### **Activity This Month**

- Project staff provided input and continued its participation in the BBII contractor workforce safety meetings. Project incidents continue to be reviewed with project staff to reinforce the application of recommended safety mitigation measures.
- Conducted 2020 monthly employee injury reviews for BBII and its subcontractors.
- Continued to provide input and oversight of the contractor SSWP safety provisions and ongoing safety construction oversight and inspections.
- Conducted the monthly project Safety and Security Certification and Fire/Life Safety Meetings.
- Performed reviews and provided comments on the BBII Safety and Security Certification Design Criteria Conformance Checklists (DCCC) submittals.
- Participated with internal stakeholders in Rail Activation Committee meetings.
- Investigated project incident occurrences and worked with the contractor representatives to identify incident root causes and develop and implement safety and security mitigation measures.
- Reviewed 2020 incident recommendations and lessons learned with BBII and identified opportunities to reinforce safety measures.
- Conducted ongoing safety inspections of contractor field activities and performed pre-work site hazards assessment walks with BBII and subcontractor staff.
- Performed hi-rail vehicle safety inspections of contractor on-track equipment.
- Participated in weekly project coordination meetings with the contractor to review open issues and recommended action items.
- Continued to coordinate with JPB Safety and the project contractors with the application of mitigation measures in response to the evolving COVID-19 virus.

### **Activity Next Month**

- Monthly virtual safety communication meetings continue to be scheduled for the Project Safety and Security Certification Committee, Fire/Life Safety Committee, Rail Activation Committee, and other project-related contractor and JPB safety meetings to discuss safety priorities.
- Continue focus on performing site safety inspections on the OCS foundations, pole installations, potholing, Tunnel, and CEMOF work to assess safety work practices and identify additional opportunities for improvement. Conduct contractor equipment inspections as needed.

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- Continue to meet with the PCEP contractors, JPB safety, and TransitAmerica Services, Inc. (TASI) to identify opportunities to further improve project safety performance and continue to reinforce lessons learned safety mitigation recommendations resulting from prior project incidents.
- Reinforce the ongoing application of recommended mitigation measures in response to the evolving COVID-19 virus.
- Investigate project incident occurrences as needed and work with the contractor representatives to identify incident root causes and develop and implement safety and security mitigation measures.

## **6.0 QUALITY ASSURANCE**

The Quality Assurance (QA) staff performs technical reviews for planning, implementing, evaluating, and maintaining an effective program to verify that all equipment, structures, components, systems, and facilities are designed, procured, constructed, installed, and maintained in accordance with established criteria and applicable codes and standards throughout the design, construction, startup and commissioning of the PCEP.

### **Activity This Month**

- Staff meetings with BBII QA/Quality Control (QC) management representatives continue weekly.
- Continued review of BBII-generated Nonconformance Reports (NCR) and Construction Discrepancy Reports for proper discrepancy condition, cause, disposition, corrective and preventive action and verification of closure.
- Continued review and approval of Design Variance Requests for BBII and PGH Wong for QA/QC and inspection issues/concerns.
- Continued review of BBII QC Inspectors Daily Reports, Construction QC Reports and Surveillance Reports for work scope, performance of required duties, adequacy, non-conformances, test/inspection results, follow-up on unresolved issues, and preciseness.
- Continued review of BBII Material Receipt Reports, Certificates of Conformance, Certified Tests Reports, and Certificates of Analysis to ensure delivered project materials conform to specifications, and that contractually required quality and test support documents are adequate and reflect concise conditions per the purchase order requirements.
- Continued regularly scheduled design reviews and surveillances on project design packages.

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Completed a Field Activities audit of BBII/MRS Signal Houses at Luther and Shark with one Finding. Table 6-1 below provides details on the status of audits performed through the reporting period.

**Table 6-1 Quality Assurance Audit Summary**

<b>Quality Assurance Activity</b>	<b>This Reporting Period</b>	<b>Total to Date</b>
Audits Conducted	1	122
<b>Audit Findings</b>		
Audit Findings Issued	1	79
Audit Findings Open	3	3
Audit Findings Closed	8	76
<b>Non-Conformances</b>		
Non-Conformances Issued	0	10
Non-Conformances Open	0	1
Non-Conformances Closed	0	9

**Activity Next Month**

- Conduct field surveillances at TPS-2.
- Conduct a Part 2 Audit of BBII second shift OCS Poles and Wires.

**7.0 SCHEDULE**

The program critical path remains unchanged and continues to run through the manufacturing and testing of EMU trainsets.

In July 2020, the program schedule was updated to reflect additional non-critical path COVID-19 related delays to Stadler’s assembly and test of EMU trainsets. These delays have resulted in later forecasted dates for arrival of the first trainset in Pueblo, CO as well as arrival of the first trainset on JPB property.

BBII’s effort on design and installation of the signal system continues to progress slowly. This has resulted in a further delay to substantial completion of the electrification system. JPB is working with BBII on the issue and is urging BBII to accelerate resolution.

Shown below, Table 7-1 indicates major milestone dates for the MPS.

**Table 7-1 Schedule Status**

Milestones	Program Plan	Progress Schedule (August 2020) <sup>1</sup>
Arrival of First Vehicle in Pueblo, CO	N/A	11/25/2020 <sup>2</sup>
Arrival of First Vehicle at JPB	N/A	04/30/2021 <sup>2</sup>
Segment 4 Completion	11/21/2019	06/30/2021 <sup>2</sup>
○ Interconnection from PG&E Substation to Traction Power Substation (TPS)	N/A	12/10/2020
PG&E Provides Permanent Power	09/09/2021	09/09/2021
Electrification Substantial Completion	08/10/2020	03/26/2022 <sup>2</sup>
Start Phased Revenue Service	N/A	03/27/2022 <sup>2</sup>
RSD (w/o Risk Contingency)	12/09/2021	07/22/2022
FFGA RSD (w/ Risk Contingency)	08/22/2022	08/22/2022

Note:

<sup>1</sup>. Dates may shift slightly as the update of this month’s Progress Schedule is still in process.

<sup>2</sup>. See “Notable Variances” for explanation on date shift.

**Notable Variances**

In July 2020, the program schedule was updated to reflect additional non-critical path COVID-19 related delays to Stadler’s assembly and test of EMU trainsets. These delays have resulted in later forecasted dates for arrival of the first trainset in Pueblo, CO as well as arrival of the first trainset on JPB property.

BBII continues to report an overall delay to substantial completion. JPB is working with BBII on the issue and is urging BBII to accelerate resolution. As of the end of August, the one month delay to substantial completion is due to signal system modification design and installation progressing slower than the progress assumed in the baseline schedule.

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Completion of Segment 4 has been delayed from March 25, 2021 to June 30, 2021 due to delays in the delivery of switchgear equipment required to complete the Traction Power Substation 2 (TPS-2) facility.

**Table 7-2 Critical Path Summary**

Activity	Start	Finish
Manufacturing, Testing & Acceptance of Trainsets 1 - 14	08/13/2018	07/22/2022
RSD w/out Risk Contingency	05/06/2022	07/22/2022
FFGA RSD w/ Risk Contingency	08/22/2022	08/22/2022

**Schedule Hold Points**

Schedule Hold Points (SHP) represent key milestones on or near a schedule’s critical path that are used as measurement points with respect to contingency drawdown. Delays to these key milestones have the potential to require a program to utilize available contingency. Table 7-3 below reflects the SHPs for the PCEP program schedule. The dates indicated reflect the planned completion dates for each SHP.

**Table 7-3 Schedule Hold Points**

Schedule Hold Point (SHP)	Date
FTA/PMOC Risk Refresh	08/30/2016 (A)
Begin EMU Manufacturing	12/04/2017 (A)
Arrival of 1 <sup>st</sup> Trainset in Salt Lake City	02/04/2019 (A)
Arrival of 1 <sup>st</sup> Trainset in Pueblo, CO	11/25/2020
Arrival of 1 <sup>st</sup> Trainset at JPB	04/30/2021
Segment 4 Completion	06/30/2021
Conditional Acceptance of 1 <sup>st</sup> Trainset	12/17/2021
System Electrified	03/26/2022
Begin Phased Revenue Service	03/27/2022
Conditional Acceptance of 14th Trainset	07/22/2022
FFGA RSD w/ Risk Contingency	08/22/2022

Note: "(A)" denotes an actual completion



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**8.0 BUDGET AND EXPENDITURES**

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

**Table 8-1 Electrification Budget & Expenditure Status**

Description of Work	Budget (A)	Current Budget (B) <sup>1</sup>	Cost This Month (C) <sup>2</sup>	Cost To Date (D) <sup>3</sup>	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
<b>ELECTRIFICATION</b>						
Electrification <sup>(4)</sup>	\$696,610,558	\$730,608,142	\$4,897,572	\$416,621,876	\$313,986,266	\$730,608,142
SCADA	\$0	\$3,446,917	\$0	\$1,934,371	\$1,512,546	\$3,446,917
Tunnel Modifications	\$11,029,649	\$41,453,871	\$0	\$41,069,236	\$384,635	\$41,453,871
Real Estate	\$28,503,369	\$28,503,369	\$438,341	\$22,583,146	\$5,920,223	\$28,503,369
Private Utilities	\$63,515,298	\$117,669,634	\$3,206,235	\$94,025,579	\$23,644,055	\$117,669,634
Management Oversight <sup>(5)</sup>	\$141,506,257	\$158,145,803	\$1,572,648	\$144,719,960	\$13,425,843	\$158,145,803
Executive Management	\$7,452,866	\$9,568,427	\$98,035	\$8,651,314	\$917,114	\$9,568,427
Planning	\$7,281,997	\$6,281,997	\$9,304	\$5,837,116	\$444,881	\$6,281,997
Community Relations	\$2,789,663	\$1,789,663	\$3,576	\$1,587,033	\$202,630	\$1,789,663
Safety & Security	\$2,421,783	\$4,297,861	\$95,803	\$3,728,364	\$569,497	\$4,297,861
Project Management Services	\$19,807,994	\$17,526,725	\$142,363	\$13,399,721	\$4,127,004	\$17,526,725
Engineering & Construction	\$11,805,793	\$13,310,956	\$224,760	\$11,401,721	\$1,909,235	\$13,310,956
Electrification Eng & Mgmt	\$50,461,707	\$50,461,707	\$299,411	\$50,032,295	\$429,413	\$50,461,707
Construction Management	\$0	\$7,553,100	\$508,703	\$5,642,113	\$1,910,987	\$7,553,100
IT Support	\$312,080	\$407,170	\$0	\$407,170	\$0	\$407,170
Operations Support	\$1,445,867	\$2,879,798	\$26,330	\$2,764,907	\$114,891	\$2,879,798
General Support	\$4,166,577	\$6,963,434	\$71,046	\$5,860,544	\$1,102,891	\$6,963,434
Budget / Grants / Finance	\$1,229,345	\$1,626,354	\$874	\$1,355,137	\$271,217	\$1,626,354
Legal	\$2,445,646	\$4,993,672	\$28,419	\$4,695,834	\$297,838	\$4,993,672
Other Direct Costs	\$5,177,060	\$5,777,060	\$64,023	\$4,648,813	\$1,128,247	\$5,777,060
Prior Costs 2002 - 2013	\$24,707,878	\$24,707,878	\$0	\$24,707,878	\$0	\$24,707,878
TASI Support	\$55,275,084	\$57,475,084	\$1,514,629	\$44,912,961	\$12,562,123	\$57,475,084
Insurance	\$3,500,000	\$4,543,588	\$0	\$4,543,588	\$0	\$4,543,588
Environmental Mitigations	\$15,798,320	\$14,754,390	\$50,000	\$806,777	\$13,947,614	\$14,754,390
Required Projects	\$17,337,378	\$13,857,576	\$16,242	\$959,152	\$12,898,424	\$13,857,576
Maintenance Training	\$1,021,808	\$1,021,808	\$0	\$0	\$1,021,808	\$1,021,808
Finance Charges	\$5,056,838	\$6,137,156	\$17,298	\$4,027,229	\$2,109,927	\$6,137,156
Contingency	\$276,970,649	\$138,507,868	N/A	N/A	\$69,566,206	\$69,566,206
Forecasted Costs and Changes	\$0	\$0	N/A	N/A	\$68,941,662	\$68,941,662
<b>ELECTRIFICATION SUBTOTAL</b>	<b>\$1,316,125,208</b>	<b>\$1,316,125,208</b>	<b>\$11,712,965</b>	<b>\$776,203,876</b>	<b>\$539,921,332</b>	<b>\$1,316,125,208</b>

Notes regarding tables above:

1. Column B "Current Budget" includes executed change orders and awarded contracts.
2. Column C "Cost This Month" represents the cost of work performed this month.
3. Column D "Cost To Date" includes actuals (amount paid) and accruals (amount of work performed) to date.
4. Cost To Date for "Electrification" includes 5% for Contractor's retention until authorization of retention release.
5. The agency labor is actual through July 2020 and accrued for August 2020.

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**Table 8-2 EMU Budget & Expenditure Status**

Description of Work	Budget (A)	Current Budget (B) <sup>1</sup>	Cost This Month (C) <sup>2</sup>	Cost To Date (D) <sup>3</sup>	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
<b>EMU</b>						
EMU	\$550,899,459	\$555,292,618	\$6,337,920	\$186,021,642	\$369,270,976	\$555,292,618
CEMOF Modifications	\$1,344,000	\$6,849,335	\$347,830	\$4,239,976	\$2,609,359	\$6,849,335
Management Oversight <sup>(4)</sup>	\$64,139,103	\$61,869,311	\$749,246	\$46,217,272	\$15,652,039	\$61,869,311
Executive Management	\$5,022,302	\$6,263,136	\$55,374	\$5,331,306	\$931,830	\$6,263,136
Community Relations	\$1,685,614	\$985,614	\$2,192	\$660,062	\$325,552	\$985,614
Safety & Security	\$556,067	\$766,796	\$11,843	\$609,721	\$157,076	\$766,796
Project Mgmt Services	\$13,275,280	\$11,275,280	\$100,735	\$8,661,079	\$2,614,202	\$11,275,280
Eng & Construction	\$89,113	\$89,113	\$0	\$23,817	\$65,296	\$89,113
EMU Eng & Mgmt	\$32,082,556	\$29,981,014	\$424,870	\$21,485,737	\$8,495,277	\$29,981,014
Construction Management	\$0	\$1,501,543	\$58,917	\$884,367	\$617,176	\$1,501,543
IT Support	\$1,027,272	\$952,089	\$18,008	\$665,900	\$286,189	\$952,089
Operations Support	\$1,878,589	\$781,858	\$8,499	\$416,876	\$364,982	\$781,858
General Support	\$2,599,547	\$2,934,702	\$28,011	\$2,522,346	\$412,356	\$2,934,702
Budget / Grants / Finance	\$712,123	\$1,042,274	\$436	\$900,129	\$142,146	\$1,042,274
Legal	\$1,207,500	\$1,292,752	\$1,875	\$1,238,418	\$54,334	\$1,292,752
Other Direct Costs	\$4,003,139	\$4,003,139	\$38,485	\$2,817,516	\$1,185,623	\$4,003,139
TASI Support	\$2,740,000	\$2,789,493	\$26,647	\$234,845	\$2,554,648	\$2,789,493
Insurance	\$0	\$38,263	\$0	\$38,263	\$0	\$38,263
Required Projects	\$4,500,000	\$3,927,821	\$0	\$538,280	\$3,389,541	\$3,927,821
Finance Charges	\$1,941,800	\$3,761,482	\$10,602	\$2,468,302	\$1,293,180	\$3,761,482
Contingency	\$38,562,962	\$29,599,002	N/A	N/A	\$26,839,562	\$26,839,562
Forecasted Costs and Changes	\$0	\$0	N/A	N/A	\$2,759,440	\$2,759,440
<b>EMU SUBTOTAL</b>	<b>\$664,127,325</b>	<b>\$664,127,325</b>	<b>\$7,472,245</b>	<b>\$239,758,580</b>	<b>\$424,368,745</b>	<b>\$664,127,325</b>

Notes regarding tables above:

1. Column B "Current Budget" includes executed change orders and awarded contracts.
2. Column C "Cost This Month" represents the cost of work performed this month.
3. Column D "Cost To Date" includes actuals (amount paid) and accruals (amount of work performed) to date.
4. The agency labor is actual through July 2020 and accrued for August 2020.

**Table 8-3 PCEP Budget & Expenditure Status**

Description of Work	Budget (A)	Current Budget (B) <sup>1</sup>	Cost This Month (C) <sup>2</sup>	Cost To Date (D) <sup>3</sup>	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
Electrification Subtotal	\$1,316,125,208	\$1,316,125,208	\$11,712,965	\$776,203,876	\$539,921,332	\$1,316,125,208
EMU Subtotal	\$664,127,325	\$664,127,325	\$7,472,245	\$239,758,580	\$424,368,745	\$664,127,325
<b>PCEP TOTAL</b>	<b>\$1,980,252,533</b>	<b>\$1,980,252,533</b>	<b>\$19,185,210</b>	<b>\$1,015,962,456</b>	<b>\$964,290,077</b>	<b>\$1,980,252,533</b>

Notes regarding tables above:

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

**Table 8-4 Third Party Improvements/CNPA Budget & Expenditure Status**

Description of Work	Budget (A)	Current Budget (B) <sup>1</sup>	Cost This Month (C) <sup>2</sup>	Cost To Date (D) <sup>3</sup>	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
CHSRA Early Pole Relocation	\$1,000,000	\$1,000,000	\$0	\$941,706	\$0	\$941,706
PS-3 Relocation (Design)	\$500,000	\$500,000	\$0	\$150,000	\$350,000	\$500,000
PS-3 Relocation (FEMA, BGSP Design Coord.)	\$50,000	\$50,000	\$0	\$0	\$50,000	\$50,000
TPSS-2 VTA/PCEP Pole Relocation (Design)	\$110,000	\$110,000	\$0	\$110,000	\$0	\$110,000
TPSS-2 VTA/PCEP Pole Height (Redesign)	\$31,000	\$31,000	\$0	\$27,900	\$3,100	\$31,000
EMU Option Cars	\$172,800,047	\$172,800,047	\$0	\$55,158,731	\$117,641,316	\$172,800,047
Add Flip-Up Seats into Bike Cars	\$1,961,350	\$1,961,350	\$0	\$980,675	\$980,675	\$1,961,350
Update Virtual Reality Experience	\$43,000	\$43,000	\$0	\$0	\$43,000	\$43,000
<b>CNPA TOTAL</b>	<b>\$176,495,397</b>	<b>\$176,495,397</b>	<b>\$0</b>	<b>\$57,369,012</b>	<b>\$119,068,091</b>	<b>\$176,437,103</b>

Notes regarding tables above:

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

Table 8-4 shows improvements outside of the scope of PCEP that are funded with non-PCEP funds. These improvements are implemented through the PCEP contracts. In FTA terminology, these efforts are categorized as Concurrent Non-Project Activities (CNPA).

**CHSRA Early Pole Relocation:** Relocation of 196 OCS poles as part of PCEP. Implementing these pole relocations minimizes future cost and construction impacts. This scope is funded by the CHSRA.

**PS-3 Relocation (Design):** Relocate PS-3 (Burlingame) as part of PCEP to avoid a future conflict with the Broadway Grade Separation Project (BGSP). This scope is funded by the BGSP.

**PS-3 Relocation (FEMA, BGSP Design Coord.):** PS-3 Relocation FEMA Update and Design Coordination: Perform incremental design effort related to the 2019 FEMA requirement update to the flood plain map and design coordination with the BGSP. This scope is funded by the BGSP.

**TPSS-2 VTA/PCEP Pole Relocation and Height (Design):** Design changes due to the relocation of VTA/BART Pole at TPSS-2 location and pole height redesign for live line clearances. This scope is funded by the VTA.

**EMU Option Cars:** Exercise Stadler Contract Option for 37 additional EMUs. This scope is funded with a combination of TIRCP and matching local funds.

**Add Flip-Up Seats into Bike Cars:** Stadler contract change order to add four additional flip-up seats in each of the two unpowered (bike) cars per trainset (eight total per trainset). This scope is funded by Caltrain outside of the PCEP.

**Update Virtual Reality Experience:** Stadler contract change order to update the virtual reality experience to reflect the latest configuration of the trainsets. This scope is funded by Caltrain outside of the PCEP.

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**Table 8-5 Budget Transfers of Contingency**

<b>Transfer</b>	<b>Description</b>	<b>Contingency<sup>1</sup></b>
<b>ELECTRIFICATION</b>		
BBI-053-CCO-063B	Track Access Delays – Quarter 1 2018 (Part 2)	\$92,906
BBI-053-CCO-106	Track Access Delays – 2017 Quarter 4	\$903,794
BT-009A	Performance Incentive Savings from Safety and Outreach in CY19	(\$425,000)
BT-013B	QA Support for FY21 H1 for Consolidated Engineering Labs, Inc. (CEL)	\$29,241
BT-031A	Agency Labor FY21 H1 Budget Transfer	\$2,528,552
	<b>ELECTRIFICATION SUBTOTAL</b>	<b>\$3,129,493</b>
<b>EMU</b>		
PROV-071-CCO-037	Owner Supplied WSP Cabinet - Added Mechanical Pad and Conduit Pull	\$5,922
PROV-071-CCO-038	Interior and Exterior Metal Wall Panels at CTR	\$10,317
PROV-071-CCO-039	Exterior CMU Wall at CTR	\$16,152
PROV-071-CCO-040	Membrane Waterproofing Specification Modifications	\$36,233
BT-031A	Agency Labor FY21 H1 Budget Transfer	\$365,306
	<b>EMU SUBTOTAL</b>	<b>\$433,930</b>
	<b>PCEP TOTAL</b>	<b>\$3,563,423</b>

Notes regarding tables above:

<sup>1</sup>. Budget amount transferred from project contingency. A negative amount represents a credit to contingency.

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

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

**9.0 CHANGE MANAGEMENT**

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

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

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

**Executed Contract Change Orders (CCO) This Month**

Electrification Contract

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

Date	Change Number	Description	CCO Amount
8/3/2020	BBI-053-CCO-063B	Track Access Delays – Quarter 1 2018 (Part 2)	\$92,906
8/14/2020	BBI-053-CCO-106	Track Access Delays – 2017 Quarter 4	\$903,794
<b>Total</b>			<b>\$996,700</b>

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

EMU Contract

**Change Order Authority (5% of Stadler Contract) 5% x \$550,899,459 = \$27,544,973**

Date	Change Number	Description	CCO Amount
	None		\$0
<b>Total</b>			<b>\$0</b>

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

SCADA Contract

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

Date	Change Number	Description	CCO Amount
	None		\$0
<b>Total</b>			<b>\$0</b>

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

Tunnel Modification Contract

**Change Order Authority (10% of ProVen Contract)<sup>2</sup> 10% x \$38,477,777 = \$3,847,778**

Date	Change Number	Description	CCO Amount
	None		\$0
<b>Total</b>			<b>\$0</b>

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

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

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

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**CEMOF Contract**

<b>Change Order Authority (10% of ProVen Contract)</b>			<b>10% x \$6,550,777 = \$655,078</b>
<b>Date</b>	<b>Change Number</b>	<b>Description</b>	<b>CCO Amount</b>
7/30/2020	PROV-071-CCO-037	Owner Supplied WSP Cabinet - Added Mechanical Pad and Conduit Pull	\$5,922
7/30/2020	PROV-071-CCO-038	Interior and Exterior Metal Wall Panels at CTR	\$10,317
7/30/2020	PROV-071-CCO-039	Exterior CMU Wall at CTR	\$16,152
7/30/2020	PROV-071-CCO-040	Membrane Waterproofing Specification Modifications	\$36,233
<b>Total</b>			<b>\$68,624</b>

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

**Amtrak AEM-7 Contract**

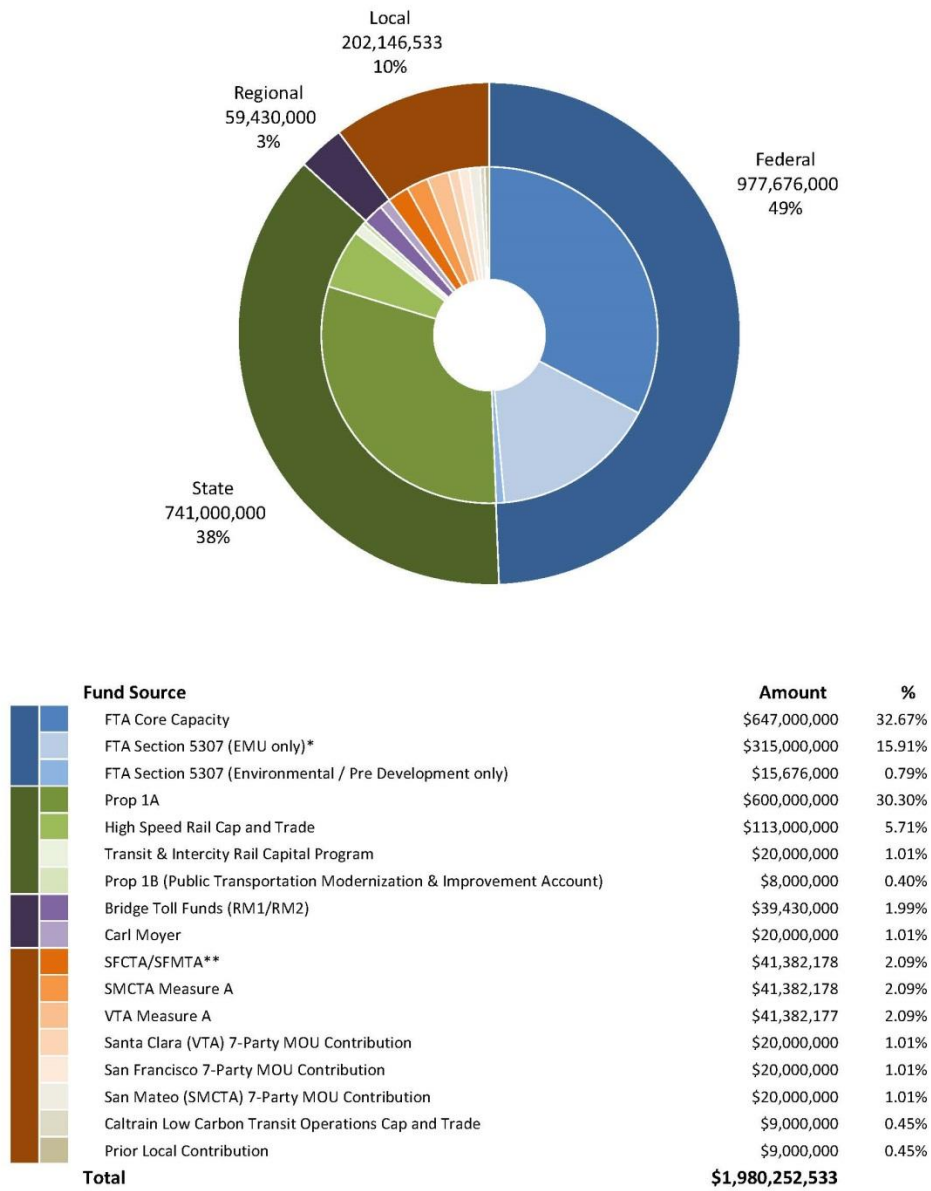
<b>Change Order Authority (Lump Sum)</b>			<b>Up to \$150,000</b>
<b>Date</b>	<b>Change Number</b>	<b>Description</b>	<b>CCO Amount</b>
	None		\$0
<b>Total</b>			<b>\$0</b>

Notes:  
<sup>1</sup>. When the threshold of 75% is reached, staff may return to the Board to request additional authority.

**10.0 FUNDING**

Figure 10-1 depicts a summary of the funding plan for the PCEP. It provides a breakdown of the funding partners as well as the allocated funds. As previously noted, FTA awarded \$97 million in Section 5307 funding for the project. During the past month, FTA awarded the next \$100 million in Core Capacity funding for the project.

**Figure 10-1 Funding Plan**



Notes:

\*Includes necessary fund transfer with SMCTA

\*\*Includes \$4M CMAQ Transfer considered part of SF local contribution

## **11.0 RISK MANAGEMENT**

The risk management process is conducted in an iterative fashion throughout the life of the project. During this process, new risks are identified, other risks are resolved or managed, and potential impacts and severity modified based on the current situation. The Risk Management team's progress report includes a summary on the effectiveness of the Risk Management Plan, any unanticipated effects, and any correction needed to handle the risk appropriately.

The Risk Management team meets monthly to identify risks and corresponding mitigation measures. Each risk is graded based on the potential cost and schedule impacts they could have on the project. This collection of risks has the greatest potential to affect the outcome of the project and consequently is monitored most closely. For each of the noted risks, as well as for all risks on the risk register, mitigation measures have been identified and are being implemented. Progress in mitigating these risks is confirmed at monthly risk assessment meetings attended by project team management and through continuous monitoring of the Risk Management Lead.

The team has identified the following items as top risks for the project (see Appendix F for the complete Risk Table):

1. The contractor may not complete and install signal design including two-speed check (2SC) modifications within budget and schedule.
2. Extent of differing site conditions and associated redesign efforts results in delays to the completion of the electrification contract and increases program costs.
3. Sub-optimal contractor sequencing, when progressing design and clearing foundation locations may result in construction inefficiencies.
4. Property acquisition not complete per contractor availability date.
5. Additional property acquisition is necessitated by change in design.
6. TASI may not have sufficient number of signal maintainers for testing.
7. Contractor generates hazardous materials that necessitate proper removal and disposal in excess of contract allowances and expectations.
8. Collaboration across multiple disciplines to develop a customized rail activation program may fail to comprehensively address the full scope of issues required to operate and maintain an electrified railroad and decommission the current diesel fleet.

### **Activity This Month**

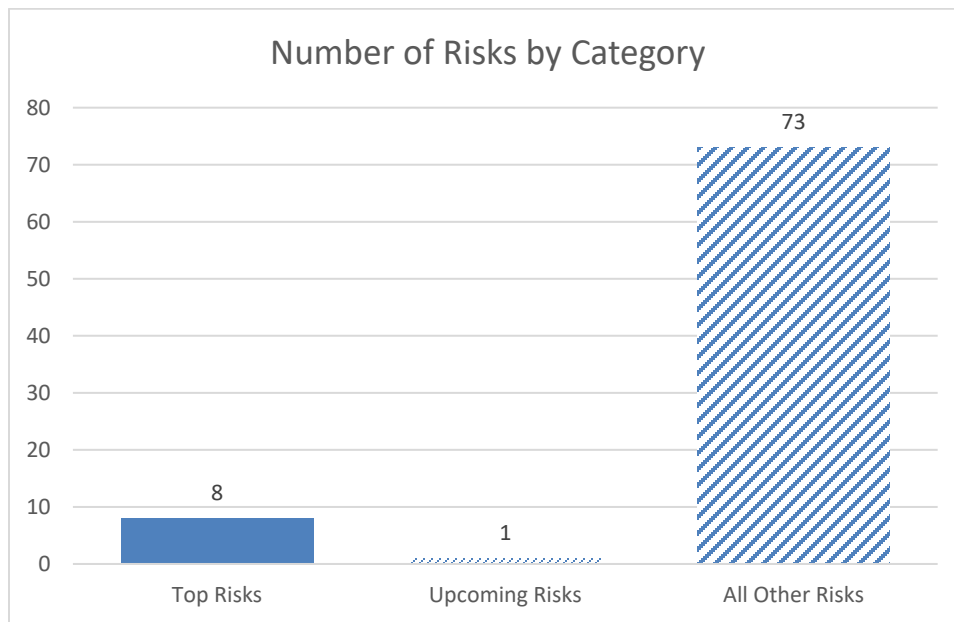
- Updated risk descriptions, effects, and mitigations based upon weekly input from risk owners. Monthly cycle of risk updating was completed based on schedules established in the Risk Identification and Mitigation Plan.
- Updated risk retirement dates based upon revisions to the project schedule and input from risk owners.
- Continued weekly monitoring of risk mitigation actions and publishing of the risk register.
- Continued monitoring of issues on issues log for determination of new risks.



- The Risk Management team attended Project Delivery, Vehicle Design, and Systems Integration meetings to monitor developments associated with risks and to identify new risks.

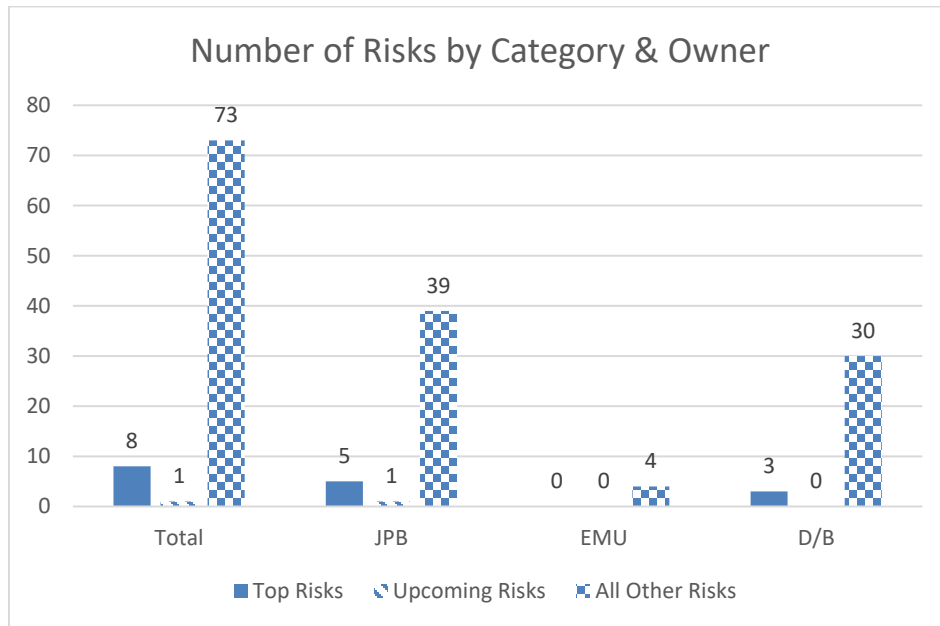
Figures 11-1 and 11-2 show the risks identified for the program. Risks are categorized as top risk, upcoming risk, and all other risks. The categories are based on a rating scale composed of schedule and cost factors. Top risks are considered to have a significantly higher than average risk grade. Upcoming risks are risks for which mitigating action must be taken within 60 days. All other risks are risks not falling into other categories.

**Figure 11-1 Monthly Status of Risks**



**Total Number of Active Risks = 82**

**Figure 11-2 Risk Classification**



**Total Number of Active Risks = 82**

**Activity Next Month**

- Conduct weekly monitoring of risk mitigation actions and continue publishing risk register.
- Update risk descriptions, effects, mitigations and retirement dates based on weekly monitoring and attendance at key project meetings.
- Monitor issues on issues log for determination of potential new risks.

Convene Risk Assessment Committee meeting.

## **12.0 ENVIRONMENTAL**

### **12.1. Permits**

The PCEP has obtained the required environmental permits from the following agencies/federal regulations: Section 106 of the National Historic Preservation Act of 1966 (NHPA), Section 7 of the Endangered Species Act (ESA), United States Army Corps of Engineers, San Francisco Bay Regional Water Quality Control Board (SFWQCB), the California Department of Fish and Wildlife, and the San Francisco Bay Conservation Development Commission.

#### **Activity This Month**

- None

#### **Activity Next Month**

- None

### **12.2. Mitigation Monitoring and Reporting Program (MMRP)**

The California Environmental Quality Act (CEQA) requires that a Lead Agency establish a program to monitor and report on mitigation measures that it has adopted as part of the environmental review process. The PCEP team has prepared a MMRP to ensure that mitigation measures identified in the PCEP Environmental Impact Report are fully implemented during project implementation. PCEP will implement the mitigation measures through its own actions, those of the DB contractor and actions taken in cooperation with other agencies and entities. The status of each mitigation measure in the MMRP is included in Appendix G.

#### **Activity This Month**

- Environmental compliance monitors were present during project activities (OCS pole foundation installation, potholing for utility location, grading, tree trimming/removal, conduit installation, abandoned signal cable removal, installing snow fence at PS-1, etc.) occurring in areas that required environmental compliance monitoring. The monitoring was conducted in accordance with measures in the MMRP in an effort to minimize potential impacts on sensitive environmental resources.
- Noise and vibration monitoring also occurred during project activities, and non-hazardous soil was removed from the right of way (ROW).
- Environmentally Sensitive Area (ESA) delineation (staking and/or fencing) occurred to delineate jurisdictional waterways and other potentially sensitive areas that should be avoided during upcoming construction activities. Pre-construction nesting bird surveys during the nesting bird season continued (nesting bird season is defined as February 1 through September 15), and pre-construction surveys for sensitive avian species continued at previously identified potential habitat locations. Wildlife exclusion fencing installation and monitoring occurred adjacent to portions of the alignment designated for wildlife exclusion fencing.
- Best management practices (BMPs) installation and maintenance (e.g., silt fencing, straw wattles with no monofilament netting per wildlife agency permit

requirements, soil covers, etc.) occurred at equipment staging areas and other work areas throughout the alignment in accordance with the project-specific Stormwater Pollution Prevention Plan (SWPPP).

- Coordination with California Department of Fish and Wildlife (CDFW) regarding the observation of a western burrowing owl burrow adjacent to the ROW, near the San Jose Airport. The CDFW approved the reduction of the disturbance buffer from 200 meters to 75 meters, now that the burrowing owl breeding season has ended (breeding season ended September 1).

**Activity Next Month**

- Environmental compliance monitors will continue to monitor project activities (OCS pole foundation installation, pot holing for utility location, tree trimming/removal, conduit installation, abandoned signal cable removal, permanent fence installation, fiber optic cable installation, etc.) occurring in areas that require environmental compliance monitoring in an effort to minimize potential impacts on sensitive environmental resources in accordance with the MMRP.
- Noise and vibration monitoring of project activities will continue to occur and non-hazardous soil will continue to be removed.
- Biological surveyors will continue to conduct pre-construction surveys for sensitive wildlife species ahead of project activities. Pre-construction nesting bird surveys during the nesting bird season will continue (nesting bird season is defined as February 1 through September 15).
- BMPs installation will continue in accordance with the project-specific SWPPP, and ESA staking and fencing will continue to occur, to delineate jurisdictional waterways, and other potentially sensitive areas, that should be avoided during upcoming project activities.
- Wildlife exclusion fencing will continue to be installed and maintained prior to upcoming construction activities adjacent to potentially suitable habitat for sensitive wildlife species.

### **13.0 UTILITY RELOCATION**

Implementation of the PCEP requires relocation or rerouting of both public and private utility lines and/or facilities. Utility relocation will require coordination with many entities, including regulatory agencies, public safety agencies, federal, state, and local government agencies, private and public utilities, and other transportation agencies and companies. This section describes the progress specific to the utility relocation process.

#### **Activity This Month**

- Worked with all utilities on review of overhead utility line relocations based on the current design.
- Coordinated with individual utility companies on relocation plans and schedule for incorporation with Master Program Schedule.
- Coordinated work with communications utilities on review of relocation design and prioritization of relocations.
- All relocations required by SVP in Segment 3 are complete.
- Continued to coordinate relocation work for Palo Alto Power facilities. Palo Alto's schedule completion of utility relocations have slipped to October 2020. Any temporary shutdowns required by PCEP prior to that date will be coordinated with Palo Alto.
- Continued to coordinate relocation by communication cable owners such as AT&T and Comcast.
- Conducted utility coordination meeting to discuss overall status and areas of potential concern from the utilities.

#### **Activity Next Month**

- Coordinate with individual utility owners on the next steps of relocations, including support of any required design information.
- Update the relocation schedule as information becomes available from the utility owners.
- Continue to review relocation design from Palo Alto Power, and communications companies and coordinate relocation field work.
- Continue communication relocations in all Segments.
- Review SSWPs by Palo Alto Power for relocation work in Segment 3. Continue Palo Alto Power relocations in Segment 3.

## **14.0 REAL ESTATE**

The PCEP requires the acquisition of a limited amount of real estate. In general, Caltrain uses existing Right of Way (ROW) for the PCEP, but in certain locations, will need to acquire small portions of additional real estate to expand the ROW to accommodate installation of OCS supports (fee acquisitions or railroad easements) and associated Electrical Safety Zones (ESZ) (easements). There are two larger full acquisition areas required for wayside facilities. The PCEP Real Estate team manages the acquisition of all property rights. Caltrain does not need to acquire real estate to complete the EMU procurement portion of the PCEP.

Of the parcels identified at the beginning of the project, there remain only five owners from whom the agency requires possession.

The Real Estate team's current focus is working to identify new parcels and acquire them in conjunction with the project schedule.

- Staff has defined a process to ensure that BBII conveys new property needs (both for poles and for overhead wires) as soon as possible.
  - BBII must justify and JPB must approve all new parcels.
- Design needs to progress to enable BBII to identify exact acquisition areas.
- Staff is conducting pre-acquisition activities as appropriate.
- JPB has approved eight new parcels to date.

### **Activity This Month**

- Staff continues to review potential new pole locations and is engaging in a system-wide review of potential ESZ needs. Staff continues to meet with the internal signal team and BBII signal team to determine potential Real Estate interests.
- The project is building a fence and moving light poles on the PG&E Cinnabar property to clear foundation locations. Staff has negotiated access with PGE pending completion of the fence and lighting work and drafted legal documents for possession.

### **Activity Next Month**

- Continued review of ESZ needs submitted by BBII compared to direction from contract.
- Continue to work with property owner on Phan parcel to close escrow.
- Complete Marchese appraisal.
- File "friendly" condemnation action to get possession of PG&E Cinnabar site.
- Continue to meet with internal signal team and BBII signal team to determine potential Real Estate needs.
- Make offers on the parcel for which appraisals have been completed.
- Continue to work with project team to identify and analyze new potential parcels.
- Map newly identified parcels.

**15.0 THIRD PARTY AGREEMENTS**

Third-party coordination is necessary for work impacting public infrastructure, utilities, ROW acquisitions, and others. Table 15-1 below outlines the status of necessary agreements for the PCEP.

**Table 15-1 Third-Party Agreement Status**

Type	Agreement	Third-Party	Status
Governmental Jurisdictions	Construction & Maintenance <sup>1</sup>	City & County of San Francisco	Executed
		City of Brisbane	Executed
		City of South San Francisco	Executed
		City of San Bruno	Executed
		City of Millbrae	Executed
		City of Burlingame	Executed
		City of San Mateo	Executed
		City of Belmont	Executed
		City of San Carlos	Executed
		City of Redwood City	Executed
		City of Atherton	In Process
		County of San Mateo	Executed
		City of Menlo Park	Executed
		City of Palo Alto	Executed
		City of Mountain View	Executed
		City of Sunnyvale	Executed
		City of Santa Clara	Executed
		County of Santa Clara	Executed
	City of San Jose	Executed	
	Condemnation Authority	San Francisco	In Process
San Mateo		Executed	
Santa Clara		Executed	
Utilities	Infrastructure	PG&E	Executed
	Operating Rules	CPUC	Executed
Transportation & Railroad	Construction & Maintenance	Bay Area Rapid Transit	Executed <sup>2</sup>
	Construction & Maintenance	California Dept. of Transportation (Caltrans)	Not needed <sup>3</sup>
	Trackage Rights	UPRR	Executed <sup>2</sup>

Notes regarding table above:

1. Agreements memorialize the parties' consultation and cooperation, designate respective rights and obligations and ensure cooperation between the JPB and the 17 cities and three counties along the Caltrain ROW and within the PCEP limits in connection with the design and construction of the PCEP.
2. Utilizing existing agreements.
3. Caltrans Peer Process utilized. Formal agreement not needed.

## **16.0 GOVERNMENT AND COMMUNITY AFFAIRS**

The Community Relations and Outreach team coordinates all issues with all jurisdictions, partner agencies, government organizations, businesses, labor organizations, local agencies, residents, community members, other interested parties, and the media. In addition, the team oversees the BBII's effectiveness in implementing its Public Involvement Program. The following PCEP-related external affairs meetings took place this month:

### **Presentations/Meetings**

- City/County Staff Coordinating Group
- Local Policy Makers Group
- Redwood City Chamber of Commerce

### **Third Party/Stakeholder Actions**

- None



**17.0 DISADVANTAGED BUSINESS ENTERPRISE (DBE) PARTICIPATION AND LABOR STATISTICS**

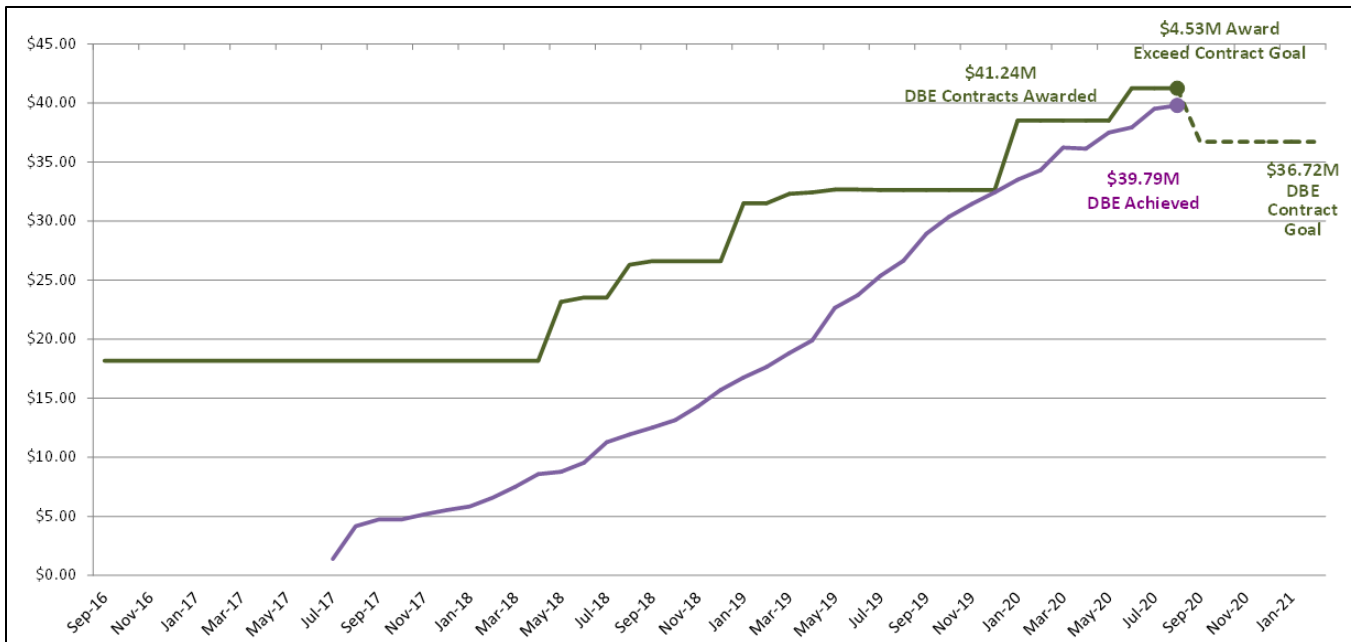
BBII proposed that 5.2% (\$36,716,397) of the DB base contract value including DBE contract change orders (\$706,084,567) would be subcontracted to DBEs.

**Activity This Month**

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

- **\$39,789,779** has been paid to DBE subcontractors.
- **\$41,242,326** million of DBE contracts have been awarded (to be verified).
- **5.64%** has been achieved.

**Figure 17-1 DBE Participation**



**Activity Next Month**

BBII has proposed the following key actions:

“In the month of September, 2020, we continue to anticipate increasing our DBE commitments to firms who we are currently negotiating pricing on proposed work or Professional Services Agreements. We are optimistic about the prospect of making future awards to DBE firms. We also anticipate that the existing project work will increase resulting in expanded work for current DBE subcontractors.”

## 18.0 PROCUREMENT

### **Invitation for Bids (IFB)/Request for Quotes (RFQ)/ Request for Proposals (RFP) Issued this Month:**

- None

### **Bids, Quotes, Proposals in Response to IFB/RFQ/RFP Received this Month:**

- None

### **Contract Awards this Month:**

- None

### **Work Directive (WD)/Purchase Order (PO) Awards & Amendments this Month:**

- Multiple WDs & POs issued to support the program needs

### **In Process IFB/RFQ/RFP/Contract Amendments:**

- RFQ – Scissor Lift Work Platform

### **Upcoming Contract Awards/Contract Amendments:**

- None

### **Upcoming IFB/RFQ/RFP to be Issued:**

- None

### **Existing Contracts Amendments Issued:**

- None

## 19.0 TIMELINE OF MAJOR PROJECT ACCOMPLISHMENTS

Below is a timeline showing major project accomplishments from 2001 to 2017:

<b>Date</b>	<b>Milestone</b>
2001	Began federal National Environmental Policy Act (NEPA) Environmental Assessment (EA) / state EIR clearance process
2002	Conceptual Design completed
2004	Draft NEPA EA/EIR
2008	35% design complete
2009	Final NEPA EA/EIR and Finding of No Significant Impact (FONSI)
2014	RFQ for electrification RFI for EMU
2015	JPB approves final CEQA EIR JPB approves issuance of RFP for electrification JPB approves issuance of RFP for EMU Receipt of proposal for electrification FTA approval of Core Capacity Project Development
2016	JPB approves EIR Addendum #1: PS-7 FTA re-evaluation of 2009 FONSI Receipt of electrification best and final offers Receipt of EMU proposal Application for entry to engineering to FTA Completed the EMU Buy America Pre-Award Audit and Certification Negotiations completed with Stadler for EMU vehicles Negotiations completed with BBII, the apparent best-value electrification firm JPB approves contract award (LNTP) to BBII JPB approves contract award (LNTP) to Stadler FTA approval of entry into engineering for the Core Capacity Program Application for FFGA
2017	FTA finalized the FFGA for \$647 million in Core Capacity funding, met all regulatory requirements including end of Congressional Review Period (February) FTA FFGA executed, committing \$647 million to the project (May) JPB approves \$1.98 billion budget for PCEP (June) Issued NTP for EMUs to Stadler (June 1) Issued NTP for electrification contract to BBII (June 19) Construction began (August) EMU manufacturing began (October) Issued NTP for SCADA to Rockwell Collins (ARINC) (October) Issued NTP for CEMOF Facility Upgrades to HNTB (November)

**Peninsula Corridor Electrification Project**  
**Monthly Progress Report**

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<b>Date</b>	<b>Milestone</b>
2018	<p>Completed all PG&amp;E agreements</p> <p>JPB approves contract award to Mitsui for the purchase of electric locomotives and Amtrak for overhaul services, storage, acceptance testing, training, and shipment of locomotive to CEMOF</p> <p>JPB approves authorization for the Executive Director to negotiate final contract award to ProVen for tunnel modifications and track rehabilitation project</p> <p>JPB approves contract award (LNTP) to ProVen for tunnel modifications</p> <p>Issued NTP to ProVen for tunnel modifications (October)</p> <p>Amended contract with ProVen to include OCS in the tunnels (November)</p>
2019	<p>JPB approves contract award to ProVen for CEMOF modifications (February)</p> <p>JPB approves LNTP to ProVen for CEMOF modifications (April)</p> <p>JPB approves NTP to ProVen for CEMOF modifications (September)</p>
2020	<p>JPB approves agreement amendment to PG&amp;E for interconnection construction</p> <p>JPB executes agreement with PG&amp;E for interconnection construction (May)</p> <p>FRA approved the waiver for Alternative Vehicle Technology regarding crashworthiness of EMU cars.</p>

**APPENDICES**

Appendix A – Acronyms

**Peninsula Corridor Electrification Project  
Monthly Progress Report**

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

**Peninsula Corridor Electrification Project**  
**Monthly Progress Report**

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



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

Appendix B – Funding Partner Meetings

**Funding Partner Meeting Representatives**  
Updated July 16, 2020

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

Appendix C – Schedule



#	Activity Name	Duration	Start	Finish	2014				2015				2016				2017				2018				2019				2020				2021				2022				Q23
					Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	
46	Segment Testing	60d	06-15-21	08-13-21																																					
47	TESTING	93d	12-24-21	03-26-22																																					
48	DRILL TRACK (TASI)	20d	09-01-20	09-29-20																																					
49	SCADA (Arinc)	1699d	03-30-15 A	12-06-21																																					
50	PREPARE SOLE SOURCE & AWARD	649d	03-30-15 A	10-16-17 A																																					
51	DESIGN	157d	10-16-17 A	05-31-18 A																																					
52	IMPLEMENTATION, TEST, INSTALL & CUTOVER	827d	09-04-18 A	12-06-21																																					
53	CEMOF (Various)	972d	11-16-17 A	08-06-21																																					
54	CEMOF MODIFICATIONS (ProVen)	750d	11-16-17 A	09-30-20																																					
55	DESIGN	178d	11-16-17 A	07-31-18 A																																					
56	BID & AWARD	132d	08-01-18 A	02-07-19 A																																					
57	CONSTRUCTION	373d	04-29-19 A	09-30-20																																					
58	PANTORGRAPH INSPECTION & MONITORING SYSTEM (Ctr TBD)	620d	03-01-19 A	08-06-21																																					
59	SCISSOR LIFT WORK PLATFORM (Ctr TBD)	553d	03-01-19 A	05-03-21																																					
60	TUNNEL MODIFICATION (ProVen)	1544d	10-31-14 A	09-30-20																																					
61	DESIGN	840d	10-31-14 A	02-22-18 A																																					
62	BID & AWARD	66d	02-23-18 A	05-25-18 A																																					
63	CONSTRUCTION	566d	08-01-18 A	09-30-20																																					
64	ELECTRIC LOCOMOTIVE (Amtrak / Mitsui)	914d	03-01-17 A	09-01-20																																					
65	EMU (Stadler)	2147d	05-01-14 A	07-22-22																																					
66	DEVELOP RFP, BID & AWARD	612d	05-01-14 A	09-02-16 A																																					
67	DESIGN	1062d	09-06-16 A	09-30-20																																					
68	PROCUREMENT (Material)	1034d	01-16-17 A	12-31-20																																					
69	MANUFACTURING & TESTING	1210d	12-04-17 A	07-22-22																																					
70	TRAINSET 1	1055d	12-04-17 A	12-17-21																																					
71	TRAINSET 2	982d	02-22-18 A	11-26-21																																					
72	TRAINSET 3	800d	08-06-18 A	08-27-21																																					
73	TRAINSET 4	595d	06-03-19 A	09-10-21																																					
74	TRAINSET 5	470d	12-02-19 A	09-17-21																																					
75	TRAINSET 6	450d	01-13-20 A	10-01-21																																					
76	TRAINSET 7	445d	02-10-20 A	10-22-21																																					
77	TRAINSET 8	395d	05-04-20 A	11-05-21																																					
78	TRAINSET 9	385d	06-22-20 A	12-10-21																																					
79	TRAINSET 10	425d	06-22-20 A	02-04-22																																					
80	TRAINSET 11	415d	08-17-20 A	03-18-22																																					
81	TRAINSET 12	415d	09-28-20	04-29-22																																					
82	TRAINSET 13	410d	11-16-20	06-10-22																																					
83	TRAINSET 14	390d	01-25-21	07-22-22																																					
84	TESTING & STARTUP (JPB)	137d	02-11-22	08-22-22																																					
85	PRE-REVENUE TESTING	44d	02-11-22	03-26-22																																					
86	REVENUE OPERATIONS	106d	03-27-22	08-22-22																																					
87	Phased Revenue Service	118d	03-27-22	07-22-22																																					
88	Revenue Service Date (RSD) w/out Risk Contingency	0d		07-22-22																																					
89	Revenue Service Date (RSD) w/ Risk Contingency (FFGA RSD)	0d		08-22-22																																					
90	RISK CONTINGENCY	31d	07-23-22	08-22-22																																					

Prog Plan (C16.00)    
  Remaining    
 ▶ Start Milestone     ◊ Last Months Update  
 Last Months Update    
 Near Critical    
 ◀ Finish Milestone     ◊ Critical Milestone  
 Progress    
 Critical    
 ◆ Prog Plan (C16.00)     ◊ Risk Contingency

Phased Rev

Appendix D – Standard Cost Codes

**Peninsula Corridor Electrification Project  
Monthly Progress Report**

Description of Work	FFGA Baseline Budget (A)	Approved Budget (B)	Cost This Month (C)	Cost To Date (D)	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
<b>10 - GUIDEWAY &amp; TRACK ELEMENTS</b>	<b>\$14,256,739</b>	<b>\$27,353,871</b>	<b>\$5,627</b>	<b>\$24,997,834</b>	<b>\$2,754,532</b>	<b>\$27,752,366</b>
10.02 Guideway: At-grade semi-exclusive (allows cross-traffic)	\$2,500,000	\$2,500,000	\$5,627	\$144,681	\$2,355,319	\$2,500,000
10.07 Guideway: Underground tunnel	\$8,110,649	\$24,853,871	\$0	\$24,853,153	\$399,213	\$25,252,365
10.07 Allocated Contingency	\$3,646,090	\$0	\$0	\$0	\$0	\$0
<b>30 - SUPPORT FACILITIES: YARDS, SHOPS, ADMIN. BLDGS</b>	<b>\$2,265,200</b>	<b>\$6,849,335</b>	<b>\$347,830</b>	<b>\$4,239,976</b>	<b>\$3,832,907</b>	<b>\$8,072,883</b>
30.03 Heavy Maintenance Facility	\$1,344,000	\$6,849,335	\$347,830	\$4,239,976	\$3,832,907	\$8,072,883
30.03 Allocated Contingency	\$421,200	\$0	\$0	\$0	\$0	\$0
30.05 Yard and Yard Track	\$500,000	\$0	\$0	\$0	\$0	\$0
<b>40 - SITEWORK &amp; SPECIAL CONDITIONS</b>	<b>\$255,072,402</b>	<b>\$270,124,252</b>	<b>\$5,164,235</b>	<b>\$189,344,003</b>	<b>\$85,687,906</b>	<b>\$275,031,908</b>
40.01 Demolition, Clearing, Earthwork	\$3,077,685	\$3,077,685	\$705,700	\$5,536,700	(\$2,459,015)	\$3,077,685
40.02 Site Utilities, Utility Relocation	\$62,192,517	\$93,414,668	\$3,026,892	\$93,538,927	\$2,075,741	\$95,614,668
40.02 Allocated Contingency	\$25,862,000	(\$0)	\$0	\$0	(\$0)	(\$0)
40.03 Haz. mat'l, contam'd soil removal/mitigation, ground water treatments	\$2,200,000	\$4,944,961	\$55,335	\$6,302,262	(\$1,347,302)	\$4,954,961
40.04 Environmental mitigation, e.g. wetlands, historic/archeologic, parks	\$32,579,208	\$32,954,208	(\$53,625)	\$2,009,370	\$30,944,838	\$32,954,208
40.05 Site structures including retaining walls, sound walls	\$568,188	\$568,188	\$0	\$0	\$568,188	\$568,188
40.06 Pedestrian / bike access and accommodation, landscaping	\$804,933	\$764,933	\$0	\$0	\$764,933	\$764,933
40.07 Automobile, bus, van accessways including roads, parking lots	\$284,094	\$284,094	\$0	\$0	\$284,094	\$284,094
40.08 Temporary Facilities and other indirect costs during construction	\$107,343,777	\$113,505,514	\$1,429,933	\$81,956,743	\$35,417,475	\$117,374,218
40.08 Allocated Contingency	\$20,160,000	\$20,610,000	\$0	\$0	\$19,438,953	\$19,438,953
<b>50 - SYSTEMS</b>	<b>\$504,445,419</b>	<b>\$524,998,743</b>	<b>\$4,113,685</b>	<b>\$187,045,492</b>	<b>\$350,116,289</b>	<b>\$537,161,781</b>
50.01 Train control and signals	\$97,589,149	\$101,030,416	\$816,837	\$38,680,723	\$63,566,230	\$102,246,953
50.01 Allocated Contingency	\$1,651,000	\$0	\$0	\$0	\$0	\$0
50.02 Traffic signals and crossing protection	\$23,879,905	\$23,879,905	\$0	\$0	\$23,879,905	\$23,879,905
50.02 Allocated Contingency	\$1,140,000	\$1,140,000	\$0	\$0	\$1,140,000	\$1,140,000
50.03 Traction power supply: substations	\$69,120,009	\$97,744,787	(\$224,100)	\$37,019,705	\$60,749,150	\$97,768,855
50.03 Allocated Contingency	\$31,755,013	\$2,990,895	\$0	\$0	\$1,501,915	\$1,501,915
50.04 Traction power distribution: catenary and third rail	\$253,683,045	\$277,323,294	\$3,520,948	\$111,287,075	\$191,603,356	\$302,890,431
50.04 Allocated Contingency	\$18,064,000	\$13,326,148	\$0	\$0	\$170,423	\$170,423
50.05 Communications	\$5,455,000	\$5,455,000	\$0	\$57,989	\$5,397,011	\$5,455,000
50.07 Central Control	\$2,090,298	\$2,090,298	\$0	\$0	\$2,090,298	\$2,090,298
50.07 Allocated Contingency	\$18,000	\$18,000	\$0	\$0	\$18,000	\$18,000
<b>60 - ROW, LAND, EXISTING IMPROVEMENTS</b>	<b>\$35,675,084</b>	<b>\$35,675,084</b>	<b>\$438,341</b>	<b>\$20,423,811</b>	<b>\$15,251,273</b>	<b>\$35,675,084</b>
60.01 Purchase or lease of real estate	\$25,927,074	\$25,927,074	\$434,306	\$20,291,202	\$5,985,872	\$26,277,074
60.01 Allocated Contingency	\$8,748,010	\$8,748,010	\$0	\$0	\$8,398,010	\$8,398,010
60.02 Relocation of existing households and businesses	\$1,000,000	\$1,000,000	\$4,035	\$132,609	\$867,391	\$1,000,000
<b>70 - VEHICLES (96)</b>	<b>\$625,544,147</b>	<b>\$623,587,713</b>	<b>\$7,028,428</b>	<b>\$225,332,895</b>	<b>\$396,796,665</b>	<b>\$622,129,560</b>
70.03 Commuter Rail	\$589,167,291	\$591,340,151	\$7,028,428	\$224,794,615	\$368,081,428	\$592,876,043
70.03 Allocated Contingency	\$9,472,924	\$5,415,810	\$0	\$0	\$2,421,765	\$2,421,765
70.06 Non-revenue vehicles	\$8,140,000	\$8,067,821	\$0	\$538,280	\$7,529,541	\$8,067,821
70.07 Spare parts	\$18,763,931	\$18,763,931	\$0	\$0	\$18,763,931	\$18,763,931
<b>80 - PROFESSIONAL SERVICES (applies to Cats. 10-50)</b>	<b>\$323,793,010</b>	<b>\$335,732,393</b>	<b>\$2,059,165</b>	<b>\$308,501,316</b>	<b>\$48,312,066</b>	<b>\$356,813,382</b>
80.01 Project Development	\$130,350	\$130,350	\$0	\$280,180	(\$149,830)	\$130,350
80.02 Engineering (not applicable to Small Starts)	\$180,227,311	\$188,450,613	\$391,013	\$198,761,169	(\$6,294,659)	\$192,466,510
80.02 Allocated Contingency	\$1,866,000	\$202,474	\$0	\$0	\$21,942	\$21,942
80.03 Project Management for Design and Construction	\$72,029,265	\$79,164,962	\$962,091	\$79,839,804	\$19,482,495	\$99,322,299
80.03 Allocated Contingency	\$9,388,080	\$5,471,844	\$0	\$0	(\$0)	(\$0)
80.04 Construction Administration & Management	\$23,677,949	\$30,110,163	\$626,508	\$19,655,015	\$18,400,506	\$38,055,520
80.04 Allocated Contingency	\$19,537,000	\$13,104,785	\$0	\$0	\$5,159,428	\$5,159,428
80.05 Professional Liability and other Non-Construction Insurance	\$3,500,000	\$4,581,851	\$0	\$4,581,851	\$0	\$4,581,851
80.06 Legal; Permits; Review Fees by other agencies, cities, etc.	\$7,167,275	\$8,671,371	\$78,419	\$5,340,392	\$4,438,351	\$9,778,742
80.06 Allocated Contingency	\$556,000	\$0	\$0	\$0	\$0	\$0
80.07 Surveys, Testing, Investigation, Inspection	\$3,287,824	\$3,418,022	\$1,133	\$42,905	\$3,455,876	\$3,498,781
80.08 Start up	\$1,797,957	\$1,797,957	\$0	\$0	\$3,797,957	\$3,797,957
80.08 Allocated Contingency	\$628,000	\$628,000	\$0	\$0	(\$0)	(\$0)
<b>Subtotal (10 - 80)</b>	<b>\$1,761,052,001</b>	<b>\$1,824,321,391</b>	<b>\$19,157,311</b>	<b>\$959,885,326</b>	<b>\$902,751,638</b>	<b>\$1,862,636,964</b>
<b>90 - UNALLOCATED CONTINGENCY</b>	<b>\$162,620,295</b>	<b>\$96,450,905</b>	<b>\$0</b>	<b>\$0</b>	<b>\$58,135,332</b>	<b>\$58,135,332</b>
<b>Subtotal (10 - 90)</b>	<b>\$1,923,672,296</b>	<b>\$1,920,772,296</b>	<b>\$19,157,311</b>	<b>\$959,885,326</b>	<b>\$960,886,970</b>	<b>\$1,920,772,296</b>
<b>100 - FINANCE CHARGES</b>	<b>\$6,998,638</b>	<b>\$9,898,638</b>	<b>\$27,900</b>	<b>\$6,495,531</b>	<b>\$3,403,107</b>	<b>\$9,898,638</b>
<b>Total Project Cost (10 - 100)</b>	<b>\$1,930,670,934</b>	<b>\$1,930,670,934</b>	<b>\$19,185,210</b>	<b>\$966,380,857</b>	<b>\$964,290,077</b>	<b>\$1,930,670,934</b>



Appendix E – Change Order Logs

**Peninsula Corridor Electrification Project  
Monthly Progress Report**

Change Order Logs

Electrification Contract

**Change Order Authority (5% of BBII Contract)**

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

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

**Peninsula Corridor Electrification Project**  
**Monthly Progress Report**

Change Order Authority (5% of BBII Contract)

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

Date	Change Number	Description	CCO Amount	Change Order Authority Usage <sup>1</sup>	Remaining Authority
3/5/2019	BBI-053-CCO-042A	TPSS-2 VTA/BART Pole Relocation (Design Only) (CNPA funded by VTA)	\$110,000	0.32% <sup>3</sup>	\$30,490,456
3/11/2019	BBI-053-CCO-036	Field Order for Signal Cable Relocation (FO-064)	\$86,538	0.25%	\$30,403,918
3/20/2019	BBI-053-CCO-035	Millbrae Avenue Existing Overhead Barrier	(\$40,000)	(0.11)%	\$30,443,918
3/19/2019	BBI-053-CCO-046	Training in Design Software and Potholing	\$136,611	0.39%	\$30,307,307
4/8/2019	BBI-053-CCO-041	Grade Crossing Warning System (CN59) – 5 mph Speed Check	\$446,982	1.28%	\$29,860,325
5/30/2019	BBI-053-CCO-044	Additional Daytime Potholing (Increase Quantity by 500 in Segment 4)	\$150,000	0.43 %	\$29,710,325
6/6/2019	BBI-053-CCO-048	Power Metering Devices	\$101,908	0.29 %	\$29,608,417
6/13/2019	BBI-053-CCO-045	Incentive Payment for 2018	\$1,025,000	0.00% <sup>2</sup>	-
6/13/2019	BBI-053-CCO-024B	PG&E Utility Feed Connection to TPS #1 and TPS#2 (Material On Hand)	\$1,600,000	4.59 %	\$28,008,417
6/24/2019	BBI-053-CCO-043	PS-5 Site Relocation (Design Only)	\$348,000	1.00 %	\$27,660,417
6/24/2019	BBI-053-CCO-054	Change Design Sequence for OCS Foundations	\$37,500	0.11%	\$27,622,917
7/1/2019	BBI-053-CCO-040B	Increase Quantity for Utilities Potholing (Bid Item #9)	\$1,867,700	5.36 %	\$25,755,217
7/10/2019	BBI-053-CCO-033A	Relocation of PS3 (Design) (CNPA funded by BGSP)	\$500,000	1.44 % <sup>3</sup>	\$25,255,217
8/15/2019	BBI-053-CCO-047	CEMOF Slot Drains (Design Only)	\$69,000	0.20%	\$25,186,217
8/16/2019	BBI-053-CCO-055	Sheriff's Deputy in Segment 4B	\$4,644	0.01%	\$25,181,573
9/3/2019	BBI-053-CCO-037	Field Orders for Signal Cable Relocation (FO-053 & FO-059)	\$184,576	0.53%	\$24,996,997
9/7/2019	BBI-053-CCO-057	Mediator with Technical Expertise	\$0	0.00%	\$24,996,997
9/27/2019	BBI-053-CCO-061	Interconnect Renaming of Circuit Numbers	\$58,058	0.17%	\$24,938,939
9/27/2019	BBI-053-CCO-063A	Track Access Delays - Quarter 1 2018 (Partial)	\$343,496	0.99%	\$24,595,443
10/21/2019	BBI-053-CCO-064	TPS-2 VTA Pole Height Redesign (CNPA funded by VTA)	\$31,000	0.09% <sup>3</sup>	\$24,564,443
11/15/2019	BBI-053-CCO-038	Field Order for Signal Cable Relocation (FO-079 & FO-085)	\$187,764	0.54 %	\$24,376,680
11/26/2019	BBI-053-CCO-025B	Addition of OCS Shunt Wires in Segments 2 & 4 - Wire Assembly Materials Only - voided below on 7/31/20	\$144,370	0.41 %	\$24,232,310
12/11/2019	BBI-053-CCO-065A	Foundation Inefficiencies S2WA5	\$401,501	1.15%	\$23,830,809
12/17/2019	BBI-053-CCO-025C	Addition of OCS Shunt Wires in Segments 2 & 4 – Pole Assembly Materials Only - voided below on 7/31/20	\$884,500	2.54 %	\$22,946,309
1/7/2020	BBI-053-CCO-066A	Increase Quantity for Contaminated Soils (Bid Unit Price Item #1)	\$950,000	2.73 %	\$21,996,309
2/5/2020	BBI-053-CCO-023B	Insulated Rail Joints De-stressing	\$890,600	2.56 %	\$21,105,709
3/18/2020	BBI-053-CCO-072A	SVP Requirements for Joint SIS & SPS (Task 1) - voided below on 7/9/20	\$80,000	0.23 %	\$21,025,709
3/19/2020	BBI-053-CCO-023C	Portec Insulated Rail Joints	\$375,000	1.08 %	\$20,650,709
3/26/2020	BBI-053-CCO-076	Asbestos Pipe Abatement at CP Shark	\$145,872	0.42 %	\$20,504,837
3/31/2020	BBI-053-CCO-075	Norcal Utility Potholing (FO#39)	\$98,105	0.28 %	\$20,406,733
4/21/2020	BBI-053-CCO-077A	Contaminated Soil (Class 1) at TPS-1	\$701,780	2.01 %	\$19,704,953
4/27/2020	BBI-053-CCO-066B	Increase Quantity for Contaminated Soils (Bid Item #1)	\$926,273	2.66 %	\$18,778,680
4/27/2020	BBI-053-CCO-090A	Signal Cable Relocation (Field Order No. 340)	\$47,258	0.14 %	\$18,731,423
4/27/2020	BBI-053-CCO-091A	Signal Cable Relocation (Field Order No. 340)	\$131,663	0.38 %	\$18,599,759
4/29/2020	BBI-053-CCO-080A	Steel Plates to Protect Utilities (DTDS)	\$135,128	0.39 %	\$18,464,631

**Peninsula Corridor Electrification Project  
Monthly Progress Report**

**Change Order Authority (5% of BBII Contract)**

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

Date	Change Number	Description	CCO Amount	Change Order Authority Usage <sup>1</sup>	Remaining Authority
4/29/2020	BBI-053-CCO-081A	Steel Plates to Protect Utilities (DTDS)	\$95,474	0.27 %	\$18,369,157
4/29/2020	BBI-053-CCO-071	Increase Quantity for Tree Pruning (Bid Unit Price Item #4d)	\$375,000	1.08 %	\$17,994,157
5/1/2020	BBI-053-CCO-050	Switch Machine Isolation - Credit	(\$277,430)	(0.80)%	\$18,271,586
5/19/2020	BBI-053-CCO-092A	Signal Cable Relocation (Field Order No. 340)	\$106,773	0.31 %	\$18,164,814
5/19/2020	BBI-053-CCO-093A	Signal Cable Relocation (Field Order No. 340)	\$90,765	0.26 %	\$18,074,049
5/27/2020	BBI-053-CCO-101	Asbestos Pipe Abatement at 46.3-07/08	\$21,037	0.06 %	\$18,053,012
6/15/2020	BBI-053-CCO-049A	Long-reach Foundations Installation - Unit Price	\$46,560	0.13 %	\$18,006,452
6/15/2020	BBI-053-CCO-049B	Long-reach Foundations Installation - Unit Price	\$46,560	0.13 %	\$17,959,892
6/18/2020	BBI-053-CCO-033B	PS-3 Site Relocation FEMA 2019 Update and BGSP Design Coordination - CNPA	\$50,000	0.14 % <sup>3</sup>	\$17,909,892
6/30/2020	BBI-053-CCO-082A	Steel Plates to Protect Utilities (DTDS)	\$90,658	0.26 %	\$17,819,235
6/30/2020	BBI-053-CCO-083A	Steel Plates to Protect Utilities (DTDS)	\$181,900	0.52 %	\$17,637,335
6/30/2020	BBI-053-CCO-094A	Signal Cable Relocation (Field Order No. 340)	\$124,633	0.36 %	\$17,512,702
7/9/2020	BBI-053-CCO-072A	SVP Requirements for Joint SIS & SPS (Task 1) - Voided	(\$80,000)	(0.23)%	\$17,592,702
7/9/2020	BBI-053-CCO-072A REV2	SVP Requirements for Joint SIS & SPS (Tasks 0-5)	\$300,000	0.86 %	\$17,292,702
7/30/2020	BBI-053-CCO-078	Re-design CEMOF OCS Poles due to Stair 71 Conflict	\$11,796	0.03 %	\$17,280,906
7/30/2020	BBI-053-CCO-084A	Steel Plates to Protect Utilities (DTDS)	\$101,334	0.29 %	\$17,179,572
7/30/2020	BBI-053-CCO-085A	Steel Plates to Protect Utilities (DTDS)	\$94,062	0.27 %	\$17,085,510
7/30/2020	BBI-053-CCO-104	Utility Conflict During PVC Conduit Installation	\$2,657	0.01 %	\$17,082,853
7/31/2020	BBI-053-CCO-103	Track Access Delays – 2017 Quarter 3	\$145,892	0.42 %	\$16,936,962
7/31/2020	BBI-053-CCO-025B	Addition of OCS Shunt Wires in Segments 2 & 4 - Wire Assembly Materials Only - Voided	(\$144,370)	(0.41)%	\$17,081,332
7/31/2020	BBI-053-CCO-025C	Addition of OCS Shunt Wires in Segments 2 & 4 – Pole Assembly Materials Only - Voided	(\$884,500)	(2.54)%	\$17,965,832
8/3/2020	BBI-053-CCO-063B	Track Access Delays – Quarter 1 2018 (Part 2)	\$92,906	0.27 %	\$17,872,925
8/14/2020	BBI-053-CCO-106	Track Access Delays – 2017 Quarter 4	\$903,794	2.59 %	\$16,969,131
<b>Total</b>			<b>\$35,313,583</b>	<b>51.28 %</b>	<b>\$16,969,131</b>

Notes:

1. When the threshold of 75% is reached, staff may return to the Board to request additional authority.
2. Change approved by the Board of Directors – not counted against the Executive Director's Change Order Authority.
3. Third party improvements/CNPA projects that are funded with non-PCEP funds.

**EMU Contract**

**Change Order Authority (5% of Stadler Contract)**

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

Date	Change Number	Description	CCO Amount	Change Order Authority Usage <sup>1</sup>	Remaining Authority
09/22/2017	STA-056-CCO-001	Contract General Specification and Special Provision Clean-up	\$0	0.00%	-
10/27/2017	STA-056-CCO-002	Prototype Seats and Special Colors	\$55,000	0.20%	\$27,489,973
11/02/2017	STA-056-CCO-003	Car Level Water Tightness Test	\$0	0.00%	-
12/05/2017	STA-056-CCO-004	Onboard Wheelchair Lift 800 Pound Capacity Provisions	\$848,000	3.08%	\$26,641,973
11/03/2017	STA-056-CCO-005	Design Progression (multiple)	\$0	0.00%	-

**Peninsula Corridor Electrification Project**  
**Monthly Progress Report**

**Change Order Authority (5% of Stadler Contract)**

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

Date	Change Number	Description	CCO Amount	Change Order Authority Usage <sup>1</sup>	Remaining Authority
12/12/2017	STA-056-CCO-006	Prototype Seats and Special Colors	(\$27,500)	(0.10%)	\$26,669,473
01/17/2018	STA-056-CCO-007	Multi-Color Destination Signs	\$130,760	0.47%	\$26,538,713
02/09/2018	STA-056-CCO-008	Adjustment to Delivery and LDs due to delayed FNTP	\$490,000	0.00% <sup>2</sup>	-
02/12/2018	STA-056-CCO-009	Ship Cab Mock-up to Caltrain	\$53,400	0.19%	\$26,485,313
04/17/2018	STA-056-CCO-010	Onboard Wheelchair Lift Locations	(\$1,885,050)	(6.84%)	\$28,370,363
04/17/2018	STA-056-CCO-011	Multiple Change Group 3 and Scale Models	\$0	0.00%	-
10/29/2018	STA-056-CCO-012	Multiple Change Group 4	\$0	0.00%	-
10/29/2018	STA-056-CCO-013	Wheelchair Lift Installation Redesign	\$228,400	0.83%	\$28,141,963
12/14/2018	STA-056-CCO-014	PTC System Change	\$0	0.00%	-
12/22/2018	STA-056-CCO-015	EMU Option Cars	\$172,800,047	0.00% <sup>2,3</sup>	-
6/26/2019	STA-056-CCO-016	Testing at TTCI (Pueblo Facility) - First Trainset	\$3,106,428	11.28 %	\$25,035,535
8/27/2019	STA-056-CCO-017	Virtual Reality Experience	\$400,000	1.45 %	\$24,635,535
8/21/2019	STA-056-CCO-018	EMI Conducted Emissions Limits	\$0	0.00%	\$24,635,535
8/8/2019	STA-056-CCO-019	Option Car Payment Milestones	\$0	0.00%	\$24,635,535
8/21/2019	STA-056-CCO-020	Multiple No Cost No Schedule Impact Changes Group 5	\$0	0.00%	\$24,635,535
10/28/2019	STA-056-CCO-021	Plugging of High-Level Doorways	\$736,013	2.67%	\$23,899,523
11/13/2019	STA-056-CCO-022	Add Flip-Up Seats into Bike Cars (CNPA: \$1.96M funded by Non-PCEP)	\$1,961,350	7.12% <sup>3</sup>	\$21,938,173
4/21/2020	STA-056-CCO-025	Removal of Vandal Film from Windows	(\$374,994)	(1.36)%	\$22,313,167
5/6/2020	STA-056-CCO-023	Deferral of Wheelchair Lifts	\$632,703	2.30 %	\$21,680,464
7/13/2020	STA-056-CCO-026	Update VR Experiences (CNPA: \$43K funded by Non-PCEP)	\$43,000	0.16 % <sup>3</sup>	\$21,637,464
<b>Total</b>			<b>\$179,197,556</b>	<b>21.45 %</b>	<b>\$21,637,464</b>

Notes:

1. When the threshold of 75% is reached, staff may return to the Board to request additional authority.
2. Change approved by the Board of Directors – not counted against the Executive Director’s Change Order Authority.
3. Third party improvements/CNPA projects that are funded with non-PCEP funds.

**SCADA Contract**

**Change Order Authority (15% of ARINC Contract)**

**15% x \$3,446,917 = \$517,038**

Date	Change Number	Description	CCO Amount	Change Order Authority Usage <sup>1</sup>	Remaining Authority
		None to date			
<b>Total</b>			<b>\$0</b>	<b>0.00%</b>	<b>\$517,038</b>

Notes:

1. When the threshold of 75% is reached, staff may return to the Board to request additional authority.
2. Change approved by the Board of Directors – not counted against the Executive Director’s Change Order Authority.

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**Tunnel Modifications Contract**

**Change Order Authority (10% of ProVen Contract<sup>1</sup>)**

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

<b>Date</b>	<b>Change Number</b>	<b>Description</b>	<b>CCO Amount</b>	<b>Change Order Authority Usage<sup>2</sup></b>	<b>Remaining Authority</b>
3/27/2019	PROV-070-CCO-003	Track Access Delay	\$25,350	0.46 %	\$5,482,428
3/27/2019	PROV-070-CCO-004	Additional OCS Potholing Due to Conflict with Existing Utilities	\$70,935	1.29 %	\$5,411,493
3/27/2019	PROV-070-CCO-005	Install Tie Backs and Piles in Boulders at Tunnel 4	\$29,478	0.54 %	\$5,382,015
3/28/2019	PROV-070-CCO-001	Partnering Meetings (50% PCEP)	\$14,443	0.26 % <sup>4</sup>	\$5,367,572
4/25/2019	PROV-070-CCO-002	Furnish Galvanized E-clips	\$37,239	0.68 %	\$5,330,333
4/30/2019	PROV-070-CCO-006	Additional Rock Bolts and Testing	\$22,549	0.41 %	\$5,307,784
5/23/2019	PROV-070-CCO-013	Late Removal of Leaky Feeder Tunnel 4 (T-4 )	\$21,225	0.39 %	\$5,286,559
5/28/2019	PROV-070-CCO-014	OCS Piles Utility Conflict at Tunnel-1 South (T-1S)	\$16,275	0.30 %	\$5,270,284
5/29/2019	PROV-070-CCO-012	OCS Piles Utility Conflict at T-4S	\$6,871	0.12 %	\$5,263,413
5/31/2019	PROV-070-CCO-016A	Portal Structure Detailing Changes	\$84,331	1.53 %	\$5,179,082
6/18/2019	PROV-070-CCO-009	Creosote Ties Covering (CNPA - Drainage \$3,116.00)	\$3,116	0.06 % <sup>4</sup>	\$5,175,966
6/28/2019	PROV-070-CCO-008	Micropiles at South Tunnel-2 South (T-2S)	\$41,322	0.75 %	\$5,134,644
6/28/2019	PROV-070-CCO-010	Salvage Transition Panels (CNPA - Drainage \$6,144.00)	\$6,144	0.11 % <sup>4</sup>	\$5,128,500
6/28/2019	PROV-070-CCO-011	Demo PVC and Plug Tunnel-1 South (T-1S) (CNPA - Drainage \$4,035.00)	\$4,035	0.07 % <sup>4</sup>	\$5,124,465
6/28/2019	PROV-070-CCO-020	Unidentified SD Conflict with Junction Inlet (CNPA - Drainage \$1,976.00)	\$1,976	0.04 % <sup>4</sup>	\$5,122,489
9/26/2019	PROV-070-CCO-007	Canopy Tube Drilling	\$89,787	1.63%	\$5,032,702
9/26/2019	PROV-070-CCO-023	Over-excavate Trapezoidal Ditch at T-1N (CNPA - Drainage \$46,914.00)	\$46,914	0.85% <sup>4</sup>	\$4,985,788
10/4/2019	PROV-070-CCO-029	Additional DryFix Pins	\$105,000	1.91%	\$4,880,788
10/4/2019	PROV-070-CCO-021	Out of Sequence Piles	\$185,857	3.37 %	\$4,694,931
10/30/2019	PROV-070-CCO-017	Hard Piping in T-4 (CNPA - Drainage \$2,200.00)	\$2,200	0.04 % <sup>4</sup>	\$4,692,731
1/25/2020	PROV-070-CCO-027	Grout Quantity Underrun	(\$1,216,000)	(22.08)%	\$5,908,731
1/29/2020	PROV-070-CCO-026	HMAC Quantity Overrun (CNPA - Drainage \$160,000.00)	\$160,000	2.9 % <sup>4</sup>	\$5,748,731
5/11/2020	PROV-070-CCO-025	NOPC #1 CWR (CNPA - Drainage \$660,000.00)	\$660,000	11.98 % <sup>4</sup>	\$5,088,731
7/31/2020	PROV-070-CCO-032	Stone Masonry Fabrication at T-4S	\$26,367	0.48 %	\$5,062,364
7/31/2020	PROV-070-CCO-035	Low Overhead Obstruction at T-1N	\$18,894	0.34 %	\$5,043,470
<b>Total</b>			<b>\$464,308</b>	<b>8.43 %</b>	<b>\$5,043,470</b>

**Notes:**

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

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CEMOF Modifications Contract

Change Order Authority (10% of ProVen Contract)

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

Date	Change Number	Description	CCO Amount	Change Order Authority Usage <sup>1</sup>	Remaining Authority
1/16/2020	PROV-071-CCO-001	Change Casing Size of Siphon Line to Schedule 80 PVC Pipe	\$3,849	0.59 %	\$651,229
1/13/2020	PROV-071-CCO-002	Leakage test for IW line	\$1,339	0.20 %	\$649,890
1/15/2020	PROV-071-CCO-003	Roughen surface of existing concrete	\$3,159	0.48 %	\$646,731
1/9/2020	PROV-071-CCO-004	Change Catch Basin Size from 24"X24" to 36" Round	\$14,415	2.20 %	\$632,316
1/15/2020	PROV-071-CCO-005	Hand Dig around Communication Lines	\$906	0.14 %	\$631,410
1/17/2020	PROV-071-CCO-008	Change Storm Drain Line A Material from 12-inch RCP Pipe to 12-inch PVC Pipe	\$3,583	0.55 %	\$627,827
1/16/2020	PROV-071-CCO-009	Demolition of Existing Exterior Light	\$1,558	0.24 %	\$626,269
2/13/2020	PROV-071-CCO-010	Deletion of Plastic Bollards Around New Inspection Pit	(\$3,324)	(0.51)%	\$629,593
2/13/2020	PROV-071-CCO-011	Fixing Broken Conduit in Concrete Slab North of Maintenance Building	\$4,286	0.65 %	\$625,307
2/13/2020	PROV-071-CCO-012	Epoxy Dowels at New Stairwells	\$3,526	0.54 %	\$621,781
2/13/2020	PROV-071-CCO-013	Deletion of the Removal and Replacement of Pump Disconnect Switches	(\$7,007)	(1.07)%	\$628,788
2/13/2020	PROV-071-CCO-014	Recycled Base Rock for Backfill at Pressurized Water Line at Parts Storage Warehouse	\$1,411	0.22 %	\$627,377
2/20/2020	PROV-071-CCO-015	Cut and Cap Oil Line	\$1,002	0.15 %	\$626,375
2/25/2020	PROV-071-CCO-016	Installation of Homerun Conduit	\$27,404	4.18 %	\$598,971
2/25/2020	PROV-071-CCO-017	Potholing for Boosted Water Line	\$18,476	2.82 %	\$580,495
2/28/2020	PROV-071-CCO-018	Cap Compressed Air Line	\$9,519	1.45 %	\$570,976
2/28/2020	PROV-071-CCO-019	Acoustic Ceiling Removal at Component Test Room	\$4,253	0.65 %	\$566,723
3/5/2020	PROV-071-CCO-020	Ground Wire Relocation	\$14,117	2.16 %	\$552,606
3/13/2020	PROV-071-CCO-021	Zurn Drain Assembly in Lieu of Fibrelite	\$1,104	0.17 %	\$551,502
4/8/2020	PROV-071-CCO-022	Deletion of Concrete Pad and Double Plywood Floor at PSW	(\$1,409)	(0.22)%	\$552,911
4/8/2020	PROV-071-CCO-023	Flashing at Overflow Drain at Component Test Room	\$2,981	0.46 %	\$549,930
4/9/2020	PROV-071-CCO-024	Parts Storage Warehouse Power Feed	\$16,412	2.51 %	\$533,518
4/22/2020	PROV-071-CCO-025	Removal of Hazardous Soil from PSW Subgrade Excavation	\$43,444	6.63 %	\$490,073
4/22/2020	PROV-071-CCO-026A	Removal of Hazardous Soil from PSW Footing Excavation	\$35,808	5.47 %	\$454,266
4/27/2020	PROV-071-CCO-027	480 Volt Duct Bank and Wire Removal	\$5,015	0.77 %	\$449,251
5/28/2020	PROV-071-CCO-031A	Temporary Facilities - Eye Wash Stations	\$656	0.10 %	\$448,595
6/3/2020	PROV-071-CCO-032A	Water Diversion Pump for Catch Basin Work	\$2,745	0.42 %	\$445,850
6/3/2020	PROV-071-CCO-033A	Light Towers for Maintenance Building Yard	\$3,897	0.59 %	\$441,953
6/3/2020	PROV-071-CCO-034	Investigation of Concrete Underneath Ties at Track 5	\$5,060	0.77 %	\$436,893
6/16/2020	PROV-071-CCO-029A	Shoring Design for Boosted Water Line Work	\$14,307	2.18 %	\$422,586
6/16/2020	PROV-071-CCO-030A	Investigation and Re-wiring of Electrical Receptacles at CTR	\$7,783	1.19 %	\$414,803
6/10/2020	PROV-071-CCO-028	Credit for Electrical Feed to Parts Storage Warehouse	(\$18,682)	(2.85)%	\$433,485
7/24/2020	PROV-071-CCO-029B	Shoring Design for Boosted Water Line Work	\$2,175	0.33 %	\$431,310
7/24/2020	PROV-071-CCO-032B	Water Diversion Pump for Catch Basin Work	\$3,621	0.55 %	\$427,689

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7/24/2020	PROV-071-CCO-035	Settlement Slab Demolition	\$479	0.07 %	\$427,210
7/24/2020	PROV-071-CCO-036	Storm Drain Line A	\$2,066	0.32 %	\$425,144
7/30/2020	PROV-071-CCO-037	Owner Supplied WSP Cabinet - Added Mechanical Pad and Conduit Pull	\$5,922	0.90 %	\$419,222
7/30/2020	PROV-071-CCO-038	Interior and Exterior Metal Wall Panels at CTR	\$10,317	1.57 %	\$408,905
7/30/2020	PROV-071-CCO-039	Exterior CMU Wall at CTR	\$16,152	2.47 %	\$392,753
7/30/2020	PROV-071-CCO-040	Membrane Waterproofing Specification Modifications	\$36,233	5.53 %	\$356,520
<b>Total</b>			<b>\$298,558</b>	<b>45.58 %</b>	<b>\$356,520</b>

Notes:

- <sup>1</sup>. When the threshold of 75% is reached, staff may return to the Board to request additional authority.
- <sup>2</sup>. Change approved by the Board of Directors – not counted against the Executive Director's Change Order Authority.

**AMTRAK AEM-7 Contract**

**Change Order Authority (Lump Sum)**

			Up to \$150,000		
Date	Change Number	Description	CCO Amount	Change Order Authority Usage <sup>1</sup>	Remaining Authority
10/25/2019	AMTK-066-CCO-001	Change to Amtrak Contract for Test Locomotives	(72,179)	(48.12%)	222,179
<b>Total</b>			<b>(72,179)</b>	<b>(48.12%)</b>	<b>\$222,179</b>

Notes:

- <sup>1</sup>. When the threshold of 75% is reached, staff may return to the Board to request additional authority.



Appendix F – Risk Table

**Listing of PCEP Risks and Effects in Order of Severity**

<b>ID</b>	<b>RISK DESCRIPTION</b>	<b>EFFECT(S)</b>
314	The contractor may not complete and install signal design including Two-speed check (2SC) modifications within budget and schedule.	Delay and additional cost for rework.
303	Extent of differing site conditions and associated redesign efforts results in delays to the completion of the electrification contract and increases program costs.	<p>Extends construction of design-build contract with associated increase in project costs</p> <ul style="list-style-type: none"> <li>• DSC design cost</li> <li>• Inefficiencies</li> <li>• Construction costs related to DSCs (i.e., larger foundations)</li> <li>• Additional potholing</li> </ul>
313	Sub-optimal contractor sequencing, when progressing design and clearing foundation locations may result in construction inefficiencies	Contractor claims for increase in construction and design costs, and reduced production rates extending construction duration
240	<p>Property not acquired in time for contractor to do work.</p> <p>Property Acquisition not complete per contractor availability date &lt;&gt;Fee &lt;&gt;Easement &lt;&gt;Contract stipulates that if parcels are not available by contract date, there is only a delay if parcels are not available by the time contractor completes the Segment</p>	<ul style="list-style-type: none"> <li>• Potential delays in construction schedule</li> </ul>
267	Additional property acquisition is necessitated by change in design.	New project costs and delays to schedule.
010	Potential for Stadler's sub-suppliers to fall behind schedule or delays in parts supply chain result in late completion of vehicles.	<ul style="list-style-type: none"> <li>• Delay in obtaining parts / components.</li> <li>• Cost increases. (See Owner for allocation of costs)</li> <li>• Schedule increase - 3 months (See Owner for allocation of damages associated with this Risk)</li> </ul>
209	TASI may not have sufficient number of signal maintainers for testing.	<ul style="list-style-type: none"> <li>• Delays to construction/testing.</li> <li>• Delays to completion of infrastructure may delay acceptance of vehicles</li> </ul>
308	Rejection of DVR for ATF and static wires results in cost and schedule impacts to PCEP.	Delay and delay claims

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<b>ID</b>	<b>RISK DESCRIPTION</b>	<b>EFFECT(S)</b>
273	Contractor generates hazardous materials, that necessitates proper removal and disposal in excess of contract allowances and expectations.	Delay to construction while removing and disposing of hazardous materials resulting in schedule delay, increased construction costs, and schedule delay costs.
263	Collaboration across multiple disciplines to develop a customized rail activation program may fail to comprehensively address the full scope of issues required to operate and maintain an electrified railroad and decommission the current diesel fleet.	Delay in testing of EMUs. Delay in Revenue Service Date. Additional costs for Stadler and BBII due to overall schedule delays.
318	Change of vehicle suppliers results in additional first article inspections at cost to JPB	PCEP incurs additional cost to validate supplier and product, including repeat FAIs as needed
011	Risks in achieving acceptable vehicle operations performance: <> software problems <> electrical system problems <> mechanical problems <> systems integration problems <> interoperability with diesel equipment  Increased issues lately with vehicles regarding system integration and compatibility.	Cost increase.  Delays vehicle acceptance  Potential spill-over to other program elements
244	Delays to completion of Segment 4 and then the entire alignment would create storage issues and impede the ability to exercise (power up and move) EMUs and delay testing of the delivered EMUs.	Delay claims from the EMU contractor (Stadler) and expiration of the EMU 2 year warranty before putting significant mileage on the EMUs. Inability to exercise EMUs
296	PG&E needs to complete interconnection to be sufficiently complete to accept interim power	Delay in testing and increased costs
319	Failure of BBI to order cages in advance results in delays to foundation installation	Delays in installation of catenary system and additional cost for track protection and oversight.
322	BBII needs to complete traction power substations to be sufficiently complete to accept interim power	Delay in testing and increased costs
325	EMU production delay. Possible that there are quality issues, failed factory tests, poor integration / control of suppliers.	Schedule Increase
327	EMU production delay. Possible that there is poor integration / control of suppliers.	Schedule Increase

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<b>ID</b>	<b>RISK DESCRIPTION</b>	<b>EFFECT(S)</b>
013	Vehicle manufacturer could default.	Prolonged delay to resolve issues (up to 12 months) Increase in legal expenses Potential price increase to resolve contract issue
067	Relocation of overhead utilities must precede installation of catenary wire and connections to TPSs. Relocation work will be performed by others and may not be completed to meet BBII's construction schedule.	Delay in progress of catenary installation resulting in claims and schedule delay
223	Major program elements may not be successfully integrated with existing operations and infrastructure in advance of revenue service.	Proposed changes resulting from electrification may not be fully and properly integrated into existing system. Rework resulting in cost increases and schedule delays
242	Track access does not comply with contract-stipulated work windows.	Contractor claims for delays, schedule delays and associated costs to owner's representative staff.
253	Permits for bridges may not be issued in a timely manner.	Delays to issuance of permit for construction while negotiating and executing an operation and maintenance agreement for equipment installed on bridges; existing bridge deficiencies could result in additional costs to PCEP.
261	Although EMUs meets their electromagnetic emissions limits and wayside signal system track circuits meet their susceptibility requirements there are still compatibility issues leading to improper signal system operation	Changes on the EMU and/or signal system require additional design and installation time and expense.
285	Potential for inflation, (except with respect to Maintenance Option) to increase contractor costs.	Higher cost
286	Potential for wage escalation, (except for Maintenance Option) to increase contractor costs.	Higher cost
056	Lack of operations personnel for testing.	<ul style="list-style-type: none"> <li>• Testing delayed.</li> <li>• Change order for extended vehicle acceptance.</li> </ul>

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<b>ID</b>	<b>RISK DESCRIPTION</b>	<b>EFFECT(S)</b>
115	Other capital improvement program projects compete with PCEP for track access allocation and requires design coordination (design, coordination, integration).	Schedule delay as resources are allocated elsewhere, won't get track time, sequencing requirements may delay PCEP construction, track access requirements must be coordinated.
321	Single Phase Study and interconnection agreement may be delayed preventing energization of Segment 4 for milestone 1	
082	Unexpected restrictions could affect construction progress: <> night work <> noise <> local roads <> local ordinances	<ul style="list-style-type: none"> <li>• Reduced production rates.</li> <li>• Delay</li> </ul>
270	OCS poles or structures as designed by Contractor fall outside of JPB row	Additional ROW Take, additional cost and time
012	Potential for electromagnetic interference (EMI) to private facilities with sensitive electronic equipment caused by vehicles.	<ul style="list-style-type: none"> <li>• Increased cost due to mitigation</li> <li>• Potential delay due to public protests or environmental challenge.</li> </ul>
014	Contractor's proposal on stakeholder requested changes to the vehicles (e.g., High Level Doors in lieu of windows as emergency exits) may significantly exceed JPB authorized amount.	Schedule delay. Cost increase.
078	Need for unanticipated, additional ROW for new signal enclosures.	Delay while procuring ROW and additional ROW costs.
087	Unanticipated HazMat or contaminated hot spots encountered during foundation excavations for poles, TPSS, work at the yards.	Increased cost for clean-up and handling of materials and delay to schedule due to HazMat procedures.
088	Construction safety program fails to sufficiently maintain safe performance.	Work stoppages due to safety incidents resulting in schedule delay and additional labor costs.
171	Electrification facilities could be damaged during testing.	Delay in commencing electrified operations.
247	Timely resolution of 3rd party design review comments to achieve timely approvals	Delay to completion of design and associated additional labor costs.
251	Subcontractor and supplier performance to meet aggressive schedule <>Potential issue meeting Buy America requirements	Delay to production schedule resulting in increased soft costs and overall project schedule delay.
272	Final design based upon actual Geotech conditions	Could require changes

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<b>ID</b>	<b>RISK DESCRIPTION</b>	<b>EFFECT(S)</b>
287	Design changes may necessitate additional implementation of environmental mitigations not previously budgeted.	Increased cost for environmental measures and delays to construct and overall delay in construction schedule
289	Coordination and delivery of permanent power for power drops for everything except traction power substations along alignment	Can't test resulting in delays to schedule and associated additional project costs.
291	Order/manufacture of long lead items prior to 100% IFC design document that proves to be incorrect	Design change and/or delays
292	Potential that UPS will not fit in the spaces allotted to communications work within the buildings.	Requisite backup capacity units under design criteria could result in the need for larger unit than originally planned resulting in design and fabrication changes and associated schedule delays and costs.
304	Solution to FRA concerns over bike storage impeding path to emergency exit windows path results in increased costs and potential rework.	Protracted negotiations with FRA to achieve original design
317	JPB may not make timely acquisition of resources to staff rail activation plan with key personnel.	Delay in operating electrified railroad - delay of RSD.
323	FRA concerns require re-design	
326	EMU production delay. Possible that there are failed factory tests	Schedule Increase
027	Vehicle power consumption may not meet requirements.  <>System impact study and load flow show no issues	Issue with PG&E. Can't run full acceleration.
031	New cars possibly not reliable enough to be put into service as scheduled	Operating plan negatively impacted
042	Full complement of EMUs not available upon initiation of electrified revenue service	Late delivery impacts revenue service date.
101	PG&E may not be able to deliver permanent power for the project within the existing budget and in accordance with the project schedule	Additional project costs; potential delay to revenue service date
150	Number of OCS pole installation is significant. Any breakdown in sequencing of operations or coordination of multiple crews will have a substantial effect on the project.	Delay.

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<b>ID</b>	<b>RISK DESCRIPTION</b>	<b>EFFECT(S)</b>
245	Failure of BBI to submit quality design and technical submittals in accordance with contract requirements <ul style="list-style-type: none"> <li>• \$3-\$5M/month burn rate for Owner's team during peak</li> </ul>	Delays to project schedule and additional costs for preparation and review of submittals.
252	Failure of BBI to order/manufacture long lead items prior to 100% IFC design document approval by JPB	Delays to project schedule and additional cost for contractor and JPB staff time.
271	Need for additional construction easements beyond that which has been provided for Contractor proposed access and staging	Additional cost and time
306	Possible legal challenge and injunction to any changes in PCEP requiring subsequent CEQA or NEPA environmental clearance documentation/actions.	Worst case: a judge issues an injunction, which would prohibit any work ONLY on the project scope of the environmental document. Impact to the project from cost and schedule impact depends on if work is on the critical or becomes on the critical path.
008	Requests for change orders after vehicles are in production	Delays to manufacturing of vehicles and additional design and manufacturing costs.
023	Manufacturer cannot control vehicle weight to meet specifications.	Increased operating cost.
025	Potential that vehicles cannot meet requirements for "Mean Time to Repair" (MTTR).	Increased maintenance cost.
032	Failure to come up to speed on stakeholder safety requirements: <ul style="list-style-type: none"> <li>&lt;&gt; FTA</li> <li>&lt;&gt; FRA</li> <li>&lt;&gt; CPUC</li> </ul>	Takes longer than expected to gain FRA/FTA concurrence on waiver and/or level boarding requirements.
053	Failure to meet Buy America requirements.  (Contractor definition of component v. sub-component may not be accepted by Caltrain / FTA.)	Potential need for negotiations that might lead to delay of project award.  (BA is not negotiable)
054	Infrastructure not ready for vehicles (OCS, TPS, Commissioning site / facility).	Increases cost if done off property
069	Potential need for additional construction easements. Especially for access and laydown areas.  Contractor could claim project is not constructible and needs more easements after award.	Increased cost  Delay

<b>ID</b>	<b>RISK DESCRIPTION</b>	<b>EFFECT(S)</b>
106	<p>Potential that DB contractor will have insufficient field resources (personnel or equipment) to maintain aggressive schedule.</p> <p>Multiple segments will need to be under design simultaneously.</p> <p>Labor pool issue. 32 qualified linemen will be needed. Potential there is not enough available. Big storm damage anywhere in US will draw from the pool to make line repairs.</p> <p>Possible shortages with other specialty crafts as well.</p>	Delay.
151	Public could raise negative concerns regarding wheel/rail noise.	Increased cost to mitigate: <> grind rails <> reprofile wheels <> sound walls
161	Unanticipated costs to provide alternate service (bus bridges, etc.) during rail service disruptions.	Cost increase.
192	Environmental compliance during construction. - Potential impact to advancing construction within the vicinity of any cultural finds that are excavated. - Failure to meet the commitments contained within the PCEP EA, FEIR and permit conditions	<ul style="list-style-type: none"> <li>• Delay</li> <li>• Cost increase</li> </ul>
195	Introduction of electrified train service will require training of first responders in working in and around the rail corridor. The new vehicles will be considerably quieter than the existing fleet and the presence of high voltage power lines will require new procedures for emergency response. A new training program will need to be developed and disseminated for: <ul style="list-style-type: none"> <li>• Fire, police, and first responders</li> <li>• Local communities</li> <li>• Schools</li> </ul>	Safety hazards resulting in incidents that delay construction and increase labor cost. Delays in RSD until training is completed as requirement of safety certification process.



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<b>ID</b>	<b>RISK DESCRIPTION</b>	<b>EFFECT(S)</b>
237	JPB needs an agreement with each city in which catenary will be strung over an existing grade crossing (17 in all) under GO 88 (grade crossings). These agreements must be executed subsequent to installing overhead catenary. JPB is preparing a response to CPUC while working with the cities. Delays in reaching agreement could have impacts on schedule and budget.	Not completing the grade crossing diagnostics and getting agreement from the cities on the results can result in delays to necessary approvals for the project and revenue service.
248	3rd party coordination <>Jurisdictions, Utilities, UP, Contractors <>D/B needs to provide timely information to facilitate 3rd party coordination <>Risk is for construction	Delays in approvals resulting in project schedule delays and associated costs.
250	Potential for municipalities and other agencies to request betterments as part of the electrification project	Delay to project schedule in negotiating betterments as part of the construction within municipalities and associated increased cost to the project as no betterments were included in the project budget.
254	Potential that bridge clearance data are inaccurate and that clearances are not sufficient for installation of catenary.	Results in additional design and construction to create sufficient clearance.
266	Verizon poles in conflict with OCS may not be removed in advance of OCS installation.	Delay in progress of catenary installation resulting in claims and schedule delay
274	JPB as-built drawings and existing infrastructure to be used as basis of final design and construction is not correct	Additional cleanup of as-builts after PCEP construction
275	DB fails to verify as-built drawings and existing infrastructure	Additional cleanup of as-builts after PCEP construction
278	Failure of D/B contractor and subcontractors and suppliers to meet Buy America requirements	Delays while acceptable materials are procured and additional costs for delays and purchase of duplicative equipment.
282	Failure to maintain dynamic envelope and existing track clearances consistent with requirements.	Redesign entailing cost and schedule impacts.
284	Compliance with project labor agreement could result in inefficiencies in staffing of construction.	Increase in labor costs and less efficient construction resulting in schedule delays.
290	Delays in agreement and acceptance of initial VVSC requirements database.	Delay to design acceptance
293	Readiness of 115kV interconnect for temporary power to support testing	Delay in testing

<b>ID</b>	<b>RISK DESCRIPTION</b>	<b>EFFECT(S)</b>
311	Although project recordable injuries remain below the industry average, there have been numerous small impact incidents occurring that could potentially lead to a more serious event occurring.	The occurrence of a high impact safety event could result in project rework, construction delays, and increased project costs.

Appendix G – MMRP Status Log

**Mitigation Monitoring and Reporting**

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
<b>AES-2a: Minimize OCS construction activity on residential and park areas outside the Caltrain ROW.</b>	X	X			Ongoing	The OCS proposed construction schedule has been provided to the JPB. OCS construction began the week of October 2, 2017. The D-B has utilized the potholing process to assist in locating conflicts in the 35% design and attempting to relocate OCS pole locations within the ROW.
<b>AES-2b: Aesthetic treatments for OCS poles, TPFs in sensitive visual locations, and Overbridge Protection Barriers.</b>	X				Ongoing	The design requirements indicated in the measure have been implemented as described, and coordination with the specific jurisdictions regarding pole colors and design is ongoing. Coordination with the JPB & local jurisdiction regarding Overbridge Protection Barriers and TPFs is ongoing.
<b>AES-4a: Minimize spillover light during nighttime construction.</b>		X			Ongoing	OCS construction began the week of October 2, 2017; and the BBI community relations lead has notified nearby residents of upcoming construction. During construction, lighting is faced inward, towards the railroad tracks, and any complaints will be documented and addressed by the BBI community relations lead.
<b>AES-4b: Minimize light spillover at TPFs.</b>	X				Upcoming	The design requirements indicated in the measure are being utilized in the design and construction process.
<b>AQ-2a: Implement BAAQMD basic and additional construction mitigation measures to reduce construction-related dust.</b>	X	X			Ongoing	The Dust Mitigation Plan was submitted to the JPB and approved. The requirements in the Dust Mitigation Plan will be implemented throughout the construction period and documented in daily reports.

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**Mitigation Monitoring and Reporting**

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

**Mitigation Monitoring and Reporting**

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
<b>BIO-1c: Implement California red-legged frog and San Francisco garter snake avoidance measures.</b>	X	X			Ongoing	Pre-construction surveys are occurring no more than 7 days prior to the initiation of construction activities nearby/adjacent to potential habitat for CRLF and SFGS. The Wildlife Exclusion Fencing Plans for Segments 1 and 4 were submitted and approved by the wildlife agencies, and installation and monitoring of wildlife exclusion fencing is ongoing. No CRLF / SFGS or sign of each species has been observed to date on the Project.
<b>BIO-1d: Implement western pond turtle avoidance measures.</b>	X	X			Ongoing	Pre-construction surveys are occurring no more than 7 days prior to the initiation of construction activities nearby/adjacent to potential habitat for WPT. No WPT or WPT sign have been observed to date on the Project.
<b>BIO-1e: Implement Townsend’s big-eared bat, pallid bat, hoary bat, and fringed myotis avoidance measures.</b>	X	X			Ongoing	Pre-construction surveys are occurring no more than 7 days prior to the initiation of construction activities with the potential to disturb bats or their habitat. No special-status bats or sign have been observed to date on the Project.
<b>BIO-1f: Implement western burrowing owl avoidance measures.</b>	X	X			Ongoing	Protocol surveys for Western Burrowing Owl have been conducted from April–July, in 2017, 2018, and 2019, at previously identified potentially suitable habitat locations. Note that all of these locations are in Construction Segment 4 (southern Santa Clara and San Jose). No Burrowing Owls have been observed during the 2017-2019 surveys. Survey reports for the 2017, 2018, and 2019 surveys have been submitted to the JPB for the project

**Mitigation Monitoring and Reporting**

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						<p>record. In addition, pre-construction surveys of the potential BUOW habitat areas in Segment 4 are ongoing, as needed, and if required, they occur no more than 7 days prior to the onset of new ground-disturbing construction activities. Surveys for the 2020 breeding season will commenced in March 2020. On March 24, 2020, two burrowing owls were observed adjacent to the Caltrain ROW, near MP 44.6. The owls were located approximately 150 feet away from the Caltrain ROW. A 200-meter no-disturbance buffer continued to be implemented during the reporting period. Balfour was granted approval by the CDFW to drive vehicles and equipment through the buffer in order to access foundation installation locations to the North and South of the BUOW. During the first week of mobilization through the buffer, a Qualified Biological Monitor provided full-time biological monitoring to determine if the presence of vehicle travel had any impact on the BUOW. No impacts to the BUOW were observed, and the BUOW was consistently observed at the northern most potential BUOW burrow location during the monitoring effort. Due to the lack of observed impacts to the BUOW during the monitoring effort, the CDFW subsequently approved weekly spot-checks through the end of the breeding season, which are currently ongoing, and continued through August 31, 2020. No signs of distress from the</p>

**Mitigation Monitoring and Reporting**

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						owl were observed due to construction activities during weekly spot checks. In addition, since there is some potential for indirect impacts during the non-breeding season (September 1 through January 31), during ongoing work on the Caltrain ROW and the completion of OCS pole foundations, the CDFW approved the reduction of the disturbance buffer from 200 meters down to 75 meters. The Qualified Biologist will monitor the burrows during construction activities within 75 meters of the burrows to look for any changes in owl foraging behavior in response to construction activities. If any change in owl nesting and foraging behavior is observed because of construction activities, activities will cease within the 75-meter buffer and the CDFW will be notified to determine next steps.
<b>BIO-1g: Implement northern harrier, white-tailed kite, American peregrine falcon, saltmarsh common yellowthroat, purple martin, and other nesting bird avoidance measures.</b>	X	X			Ongoing	Nesting Bird and raptor surveys were conducted from February 1 through September 15, in 2017, 2018 and 2019, prior to project-related activities with the potential to impact nesting birds. Nesting Bird Surveys recommenced on February 1, 2020 for the 2020 nesting season (February 1, 2020) and continued through this reporting period. During this reporting period, no nesting activity was observed.



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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
<b>BIO-1h: Conduct biological resource survey of future contractor-determined staging areas.</b>	X	X			Ongoing	The agency-approved Qualified Biologist has conducted surveys of the staging areas currently being used for construction activities. No special-status species or other potentially sensitive biological resources were observed. The agency-approved Qualified Biologist will continue to survey ahead of the initiation of activities at planned staging areas as the Project moves into new construction areas.
<b>BIO-1i: Minimize impacts on Monarch butterfly overwintering sites.</b>	X	X			Ongoing	The agency-approved Qualified Biologist has periodically monitored the project limits to evaluate the presence of Monarch butterfly overwintering sites. No Monarch butterfly overwintering sites have been observed on the Project to date.
<b>BIO-1j: Avoid nesting birds and bats during vegetation maintenance.</b>				X	Upcoming	To be completed during Project operation.
<b>BIO-2: Implement serpentine bunchgrass avoidance and revegetation measures.</b>	X	X	X		Complete	Not applicable. Subsequent habitat assessment and avoidance of Communication Hill eliminated any potential to affect serpentine bunchgrass. This measure is no longer needed.
<b>BIO-3: Avoid or compensate for impacts on wetlands and waters.</b>	X	X	X		Complete	The JPB has compensated for unavoidable wetland impacts by purchasing adequate credits from a wetlands mitigation bank approved by USACE and SFRWQCB.

**Mitigation Monitoring and Reporting**

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
<b>BIO-5: Implement Tree Avoidance, Minimization, and Replacement Plan.</b>	X	X	X		Ongoing	Tree removal and pruning activities were initiated in August 2017, and are ongoing, under the guidance of the BBI Arborist, and in accordance with the Tree Avoidance, Minimization, and Replacement Plan. Tree Removal and Pruning status is provided to the JPB on a regular basis.
<b>BIO-6: Pay <i>Santa Clara Valley Habitat Plan</i> land cover fee (if necessary).</b>	X				Complete	Not applicable. The SCVHP does not apply to the Project because TPS2, Option 1 was not selected and OCS does not extend to Communication Hill. This measure is not needed.
<b>CUL-1a: Evaluate and minimize impacts on structural integrity of historic tunnels.</b>	X				Upcoming	To be implemented prior to construction in tunnels.
<b>CUL-1b: Minimize impacts on historic decorative tunnel material.</b>	X				Upcoming	To be implemented prior to construction in tunnels. Historic American Engineering Record (HAER) documentation was completed in October 2018, pursuant to this measure.
<b>CUL-1c: Install project facilities in a way that minimizes impacts on historic tunnel interiors.</b>	X				Upcoming	To be implemented prior to construction in tunnels.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
<b>CUL-1d: Implement design commitments at historic railroad stations</b>	X				Complete	The Qualified Architectural Historian completed and submitted the HABS Level III documents to the JPB for all seven of the historic stations. Pole placement has been designed to minimize the visual impact to historic stations and all design changes are reviewed by the Environmental Compliance Lead to ensure the mitigation measure is being implemented as the design of the project progresses.
<b>CUL-1e: Implement specific tree mitigation considerations at two potentially historic properties and landscape recordation, as necessary.</b>	X	X			Complete	It was determined that the project is not acquiring any ROW at either of the subject properties so all tree effects would be within the JPB ROW. Therefore, the APE does not include these two historic properties. This measure is no longer needed.
<b>CUL-1f: Implement historic bridge and underpass design requirements.</b>	X				Ongoing	This measure is being implemented as described during the design process and will be incorporated into the final design. The four bridges that are included in the MMRP are rail bridges crossing over another feature. Design of the OCS system is taking into account that there are requirements that restrict the design. Thus far, the designs for Construction Segments 2 & 4 are in process and designs are not yet complete. The D-B will forward to the Architectural Historian once complete.
<b>CUL-2a: Conduct an archaeological resource survey and/or monitoring of the removal of pavement or other obstructions to determine if historical resources under CEQA or</b>	X				Ongoing	Periodic inspections of ground surface areas along the alignment, in conjunction with cultural monitoring as-needed of project activities in culturally sensitive areas are ongoing. The Archaeological Final

**Mitigation Monitoring and Reporting**

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
unique archaeological resources under PRC 21083.2 are present.						Report will be provided at the conclusion of construction activities.
<b>CUL-2b: Conduct exploratory trenching or coring of areas where subsurface project disturbance is planned in those areas with “high” or “very high” potential for buried site.</b>	X				Ongoing	Exploratory trenching and subsurface testing of all potentially culturally sensitive areas occurred prior to the initiation of construction activities in those areas. The results will be included in the Archaeological Final Report. No cultural resources requiring the development of a treatment plan were observed. A Native American monitor has been present for all exploratory trenching and subsurface testing work.
<b>CUL-2c: Conduct limited subsurface testing before performing ground-disturbing work within 50 meters of a known archaeological site.</b>	X				Ongoing	Exploratory trenching and subsurface testing of all potentially culturally sensitive areas occurred prior to the initiation of construction activities in those areas. The results will be included in the Archaeological Final Report. No cultural resources requiring the development of a treatment plan were observed. A Native American monitor has been present for all exploratory trenching and subsurface testing work.
<b>CUL-2d: Conduct exploratory trenching or coring of areas within the three zones of special sensitivity where subsurface project disturbance is planned.</b>	X				Ongoing	Exploratory trenching and subsurface testing of all potentially culturally sensitive areas occurred prior to the initiation of construction activities in those areas. The results will be included in the Archaeological Final Report. No cultural resources requiring the development of a treatment plan were observed. A Native American monitor has been

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						present for all exploratory trenching and subsurface testing work.
<b>CUL-2e: Stop work if cultural resources are encountered during ground-disturbing activities.</b>	X	X			Ongoing	No prehistoric or historic-period cultural materials have been observed during cultural monitoring.
<b>CUL-2f: Conduct archaeological monitoring of ground-disturbing activities in areas as determined by JPB and SHPO.</b>		X			Ongoing	Cultural monitoring as-needed of project activities in culturally sensitive areas is ongoing. The Archaeological Final Report will be provided at the conclusion of construction activities.
<b>CUL-3: Comply with state and county procedures for the treatment of human remains discoveries.</b>		X			Ongoing	No human remains have been observed to date on the Project.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
<b>EMF-2: Minimize EMI effects during final design, Monitor EMI effects during testing, commission and operations, and Remediate Substantial Disruption of Sensitive Electrical Equipment.</b>	X	X	X		Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. Designs are submitted and reviewed/commented on by JPB. Monitoring EMI effects will occur post construction.
<b>GEO-1: Perform a site-specific geotechnical study for traction power facilities.</b>	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. Geotechnical studies are being conducted by Parikh under subcontract with PGH Wong. Studies and results are submitted to JPB as completed.
<b>GEO-4a: Identification of expansive soils.</b>	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design by the D-B as described. Geotechnical studies are being conducted by Parikh under subcontract with PGH Wong. Studies and results are submitted to JPB as completed.
<b>GEO-4b: Mitigation of expansive soils.</b>	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design by the D-B as described. Geotechnical studies are being conducted by Parikh under subcontract with PGH Wong. Studies and results are submitted to JPB as completed.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
<b>HAZ-2a: Conduct a Phase II Environmental Site Assessment prior to construction.</b>	X				Complete	A Phase II Environmental Assessment was completed prior to construction by the JPB consultant, and the results were provided to BBI, and the required mitigation is being implemented prior to the initiation of construction activities.
<b>HAZ-2b: Implement engineering controls and best management practices during construction.</b>	X	X			Ongoing	D-B field activities are being monitored daily for significant color changes or odors which may indicate contamination. In addition, assessments of existing subsurface pipes by a certified Asbestos Consultant are occurring as needed throughout the project as they are observed. Following the assessments, a specification describing the methods for removal and disposal are provided to the certified asbestos contractor. The removal and disposal work performed by the certified asbestos contractor is monitored by the certified asbestos consultant.
<b>HYD-1: Implement construction dewatering treatment, if necessary.</b>	X	X			Ongoing	Facilities & BMPs are in place to deal with this requirement should it arise in the OCS foundations.
<b>HYD-4: Minimize floodplain impacts by minimizing new impervious areas for TPFs or relocating these facilities.</b>	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. The TPFs in Construction Segments 2 & 4 are currently in final design and design for TPFs in Construction Segments 1 & 3 has begun. The design minimizes hardscape only to required structure foundations; yard areas are to receive a pervious material.

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



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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
<b>PSU-8a: Provide continuous coordination with all utility providers.</b>	X	X			Ongoing	The design requirements indicated in the measure will be implemented through the final design as described. Coordination with utility providers is ongoing and there have not been any service interruptions thus far.
<b>PSU-8b: Adjust OCS pole foundation locations.</b>	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described.
<b>PSU-8c: Schedule and notify users about potential service interruptions.</b>	X	X			Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. There have not been any service interruptions thus far.
<b>PSU-9: Require application of relevant construction mitigation measures to utility relocation and transmission line construction by others.</b>	X	X			Ongoing	JPB has initiated coordination with PG&E regarding transmission line construction. PG&E is currently raising overcrossing lines in Segment 2.
<b>TRA-1a: Implement Construction Road Traffic Control Plan.</b>	X	X			Ongoing	The D-B has begun traffic control design and permit applications with the City of Millbrae, Burlingame and San Mateo. Other communities will follow. Designs have been completed for all cross-over bridges in Segments 2 & 4 and submitted.
<b>TRA-1c: Implement signal optimization and roadway geometry improvements at</b>	X	X			Upcoming	This measure has not started

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
impacted intersections for the 2020 Project Condition.						
<b>TRA-2a: Implement construction railway disruption control plan.</b>	X	X			Ongoing	Minimization of railway disruption is being coordinated by the Site Specific Work Plan. A Construction Railway Disruption Control Plan was prepared to document the measures that are being implemented.
<b>TRA-3b: In cooperation with the City and County of San Francisco, implement surface pedestrian facility improvements to address the Proposed Project's additional pedestrian movements at and immediately adjacent to the San Francisco 4th and King Station.</b>	X	X	X		Upcoming	This measure has not started.
<b>TRA-4b: Continue to improve bicycle facilities at Caltrain stations and partner with bike share programs where available following guidance in Caltrain's Bicycle Access and Parking Plan.</b>				X	Ongoing	The JPB adopted the Caltrain Bicycle Parking Management Plan in November 2017, and staff have been working to implement the Plan's recommendations to improve wayside bike parking facilities along the corridor. Staff have also been coordinating with local jurisdictions that have launched bikeshare pilot programs to safely site bicycles near Caltrain stations.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
<b>NOI-CUMUL-1: Implement a phased program to reduce cumulative train noise along the Caltrain corridor as necessary to address future cumulative noise increases over FTA thresholds</b>				X	Upcoming	This measure will be implemented during project operation.
<b>NOI-CUMUL-2: Conduct project-level vibration analysis for Blended System operations and implement vibration reduction measures as necessary and appropriate for the Caltrain corridor</b>				X	In Progress	CHSRA is conducting this analysis as part of the EIR/EIS for the San Francisco to San Jose section.
<b>TRA-CUMUL-1: Implement a phased program to provide traffic improvements to reduce traffic delays near at-grade crossings and Caltrain stations</b>				X	Upcoming	This measure will be implemented during project operation.
<b>TRA-CUMUL-2: Implement technical solution to allow electric trolley bus transit across 16<sup>th</sup> Street without OCS conflicts in cooperation with SFMTA.</b>	X				Complete	Not applicable. SFMTA has elected to not electrify the 16 <sup>th</sup> Street crossing. This measure no longer applies.
<b>Mitigation Measure TRA-CUMUL-3: As warranted, Caltrain and freight operators will partner to provide Plate H clearance as feasible between San Jose and Bayshore.</b>				X	Upcoming	This measure will be implemented during project operation.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
<b>AES-2a: Minimize OCS construction activity on residential and park areas outside the Caltrain ROW.</b>	X	X			Ongoing	The OCS proposed construction schedule has been provided to the JPB. OCS construction began the week of October 2, 2017. The D-B has used the potholing process to assist in locating conflicts in the 35% design and attempting to relocate OCS pole locations within the ROW, thereby avoiding parks and residential areas.
<b>AES-2b: Aesthetic treatments for OCS poles, TPFs in sensitive visual locations, and Overbridge Protection Barriers.</b>	X				Ongoing	The design requirements indicated in the measure have been implemented as described, and coordination with the specific jurisdictions regarding pole colors and design, TPFs, and Overbridge Protection Barriers, is ongoing.
<b>AES-4a: Minimize spillover light during nighttime construction.</b>		X			Ongoing	OCS construction began the week of October 2, 2017. The BBI community relations lead has notified nearby residents of upcoming construction. During construction, lighting is faced inward, towards the railroad tracks, and any complaints will be documented and addressed by the BBI community relations lead.
<b>AES-4b: Minimize light spillover at TPFs.</b>	X				Upcoming	The design requirements indicated in the measure are being used in the design process of the TPFs.
<b>AQ-2a: Implement BAAQMD basic and additional construction mitigation measures to reduce construction-related dust.</b>	X	X			Ongoing	The Dust Mitigation Plan was submitted to the JPB. The requirements in the Dust Mitigation Plan will be implemented throughout the construction period and documented in daily reports.

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

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

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

**Mitigation Monitoring and Reporting**

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



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

**Mitigation Monitoring and Reporting**

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

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**Mitigation Monitoring and Reporting**

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

**Mitigation Monitoring and Reporting**

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

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**Mitigation Monitoring and Reporting**

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

**Mitigation Monitoring and Reporting**

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

**Mitigation Monitoring and Reporting**

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

**Mitigation Monitoring and Reporting**

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



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**Mitigation Monitoring and Reporting**

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
<b>TRA-1a: Implement Construction Road Traffic Control Plan.</b>	X	X			Ongoing	The D-B has begun traffic control design and permit applications with cities in Segments 2 and 4. Designs have been completed and approved for all cross-over bridges in Segments 2 and 4.
<b>TRA-1c: Implement signal optimization and roadway geometry improvements at impacted intersections for the 2020 Project Condition.</b>	X	X			Upcoming	This measure has not started
<b>TRA-2a: Implement construction railway disruption control plan.</b>	X	X			Ongoing	Minimization of railway disruption is being coordinated by the Site Specific Work Plan. A Construction Railway Disruption Control Plan was prepared to document the measures that are being implemented.
<b>TRA-3b: In cooperation with the City and County of San Francisco, implement surface pedestrian facility improvements to address the Proposed Project's additional pedestrian movements at and immediately adjacent to the San Francisco 4th and King Station.</b>	X	X	X		Upcoming	This measure has not started.
<b>TRA-4b: Continue to improve bicycle facilities at Caltrain stations and partner with bike share programs where available following guidance in</b>				X	Ongoing	The JPB adopted the Caltrain Bicycle Parking Management Plan in November 2017, and staff have been working to implement the Plan's recommendations to improve wayside bike parking facilities along

**Mitigation Monitoring and Reporting**

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
Caltrain's Bicycle Access and Parking Plan.						the corridor. Staff have also been coordinating with local jurisdictions that have launched bikeshare pilot programs to safely site bicycles near Caltrain stations.
NOI-CUMUL-1: Implement a phased program to reduce cumulative train noise along the Caltrain corridor as necessary to address future cumulative noise increases over FTA thresholds				X	Upcoming	This measure will be implemented during project operation.
NOI-CUMUL-2: Conduct project-level vibration analysis for Blended System operations and implement vibration reduction measures as necessary and appropriate for the Caltrain corridor				X	In Progress	CHSRA is conducting this analysis as part of the EIR/EIS for the San Francisco to San Jose section.
TRA-CUMUL-1: Implement a phased program to provide traffic improvements to reduce traffic delays near at-grade crossings and Caltrain stations				X	Upcoming	This measure will be implemented during project operation.
TRA-CUMUL-2: Implement technical solution to allow electric trolley bus transit across 16 <sup>th</sup> Street without OCS conflicts in cooperation with SFMTA.	X				Complete	Not applicable. SFMTA has elected to not electrify the 16 <sup>th</sup> Street crossing. This measure no longer applies.
Mitigation Measure TRA-CUMUL-3: As warranted, Caltrain and freight operators will partner to provide Plate H clearance				X	Upcoming	This measure will be implemented during project operation.

**Peninsula Corridor Electrification Project**  
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**Mitigation Monitoring and Reporting**

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
as feasible between San Jose and Bayshore.						

**PENINSULA CORRIDOR JOINT POWERS BOARD**  
**STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett  
Executive Director

FROM: Michelle Bouchard  
Chief Operating Officer, Rail

SUBJECT: **CALTRAIN POSITIVE TRAIN CONTROL PROJECT UPDATE – SEPTEMBER 2020**

**ACTION**

Staff Coordinating Council recommends that the Board receive the Positive Train Control (PTC) report for SEPTEMBER 2020.

**SIGNIFICANCE**

Staff will provide monthly updates covering PTC related activities during the previous month and provide a preview of activities anticipated to take place during the current month.

**BUDGET IMPACT**

There is no budget impact.

**MONTHLY UPDATE**

**1. Project Schedule - Major Milestones for Caltrain PTC Implementation:**

<u>Key Project Activity</u>	<u>Expected Completion</u>	<u>Progress as of 09/15/20</u>	<u>Progress On Track?</u>	<u>Mitigation Required or Approvals Needed</u>
Approval of Designated Revenue Service Demonstration (RSD) Test Request	May 31 <sup>st</sup>	Completed	Completed	Formal conditional approval received on September 10. Team incorporating FRA conditions in test plan to ensure compliance to approval
Approval of revised project PTC Implementation Plan (PTCIP) and Request for Amendment (RFA)	May 31 <sup>st</sup>	Completed	Completed	Formal approval received on May 16, 2019 for PTCIP and RFA Rev. 10
Pilot Installations (4) Completed	June 20 <sup>th</sup>	Completed	Completed	All pilots completed
Submit Designated RSD Application	Oct 15 <sup>th</sup>	Completed	Completed	RSD Application submitted and in review by FRA
Submit Full Track RSD Application	June 7 <sup>th</sup>	Completed	Completed	Formal RSD request for full track was submitted to the FRA on June 14, 2019
Complete Critical Feature Verification & Validation (V&V) for Designated Track RSD	Oct 30 <sup>th</sup>	Completed	Completed	
Complete Designated RSD Training	Nov 14 <sup>th</sup>	Completed	Completed	Training for designated RSD personnel completed
Complete Required Vehicle Installations (44 Units)	Dec 3 <sup>rd</sup>	Completed	Completed	(44) Installs required for RSD completed, punch list items were completed by Wabtec
Meet FRA Statutory Requirements and Substitute Criteria	Dec 31	Completed	Completed	Met FRA December 31, 2018 deadline
Obtain Alternative Schedule approval from FRA	Mar 15 <sup>th</sup> 2019	Completed	Completed	Received FRA's approval on February 6, 2019
Completion of Remaining Vehicle Installation (all 66 units)	April 30, 2019	Completed (66 Units )	Completed (66 Units )	The installation for F40PH 3C Rehab vehicle 922 was completed in June that concluded all 66 units PTC installation.
Full RSD - Complete Remaining Critical Feature V&V	Jan 2019	Completed	Completed	
Full RSD – Complete Wayside Interface Unit (WIU) V&V	March 15, 2019	Completed	Completed	Completed on March 15, 2019

Key Project Activity	Expected Completion	Progress as of 09/15/20	Progress On Track?	Mitigation Required or Approvals Needed
Full RSD – Complete Lab Integrated End to End Testing (LIEE)	June 30, 2019	Completed	Completed	LIEE Cycle 3 was completed ahead of schedule on June 12, 2019
Full RSD – Complete Field Integrated Testing (FIT)	August 2019	Completed	Completed	Full track FIT has completed on June 30, 2019
Full RSD – Complete Field Qualification Testing (FQT)	September 2019	Completed	Completed	Full track FQT has completed on July 14, 2019
*Commence Full RSD – Caltrain ROW	October 2019	Completed	Completed	Caltrain has successfully entered RSD on September 07, 2019
Complete Lab Integrated End to End Testing for Interoperability with UPRR (LIEE-I)	October 2019	Completed	Completed	LIEE-I with UPRR was completed on October 15
*Complete Interoperability Testing with UPRR - Both ROW	December 2019	Completed	Completed	Interoperable Test with UPRR on both territories were completed on Nov 5 <sup>th</sup> , 2019
*Complete Interoperability Testing with Tenant Railroads - ACE	April 30 2020	Completed	Completed	Interoperable Test with ACE was completed on Nov 17, 2019
*Complete Interoperability Testing with Tenant Railroads - AMTRAK	April 30 2020	Completed	Completed	Interoperable field testing was concluded on Feb 8, 2020
Achieve Interoperability with UPRR	Dec 31, 2019	Completed	Completed	Accomplished on December 9, 2019
Achieve Interoperability with other Tenants	April 30, 2020	Completed	Completed	Accomplished Interoperable with ACE on December 9, 2019. Interoperable Operation with Amtrak was achieved on Feb 26, 2020
Submit Caltrain PTC Safety Plan to the FRA	June 30, 2020	Completed	Completed	Project submitted the PTCSP on June 25, 2020
Complete Caltrain PTC Implementation	December 2020	Plan	Yes	

\*Key project milestones for 2019/2020 have incentive payments as part of a contract negotiation concluded on May 7, 2019. Wabtec have received all the incentive payments.

## 1. Major Wabtec activities for September 2020:

- o Caltrain commenced Revenue Service Demonstration (RSD) since September 7, 2019. As of Feb 26, 2020 Caltrain has achieved interoperability requirements and is interoperable with all tenants (UPRR, ACE, and Amtrak/Capitol Corridor).
- o Continued to provide technical support for RSD trouble shooting and addressed defect items with support from WABTEC PTC help-desk.
- o Continued BCCF/CCF Cutover effort and finalization of one-system cutover testing plan and procedure.
- o Performed CTCRS one cluster testing as well as CNA 2000 configuration work.
- o Completed Slot-10 Certificate update for all locos.
- o Completed field on-site Warranty support for on-board subsystem.
- o Successfully rolled out PTC Track data subdiv 9028 in support of South San Francisco Capital Project.
- o Performed critical feature validation and verification for SSF MT2 and centerline adjustment changes
- o Executed I-ETMS maintenance support service agreement.
- o Performed I-ETMS on-board software 6.3.19.3 Lab Testing.
- o Continued redundant network path between CCF & BCCF datacenters effort.
- o Prepared BCCF Integrated Lab training courses for Caltrain team.
- o Continued addressing MDM configuration issues and performed fixes.

## 2. Vehicle Installation:

Wabtec completed installation of (44) I-ETMS modules on the Caltrain locomotives and cab cars as required in Caltrain's Implementation Plan and statutory criteria requirements in early November of 2018. Wabtec has completed installations on the remaining Caltrain

fleet (22 additional locomotives and cab cars). Caltrain has decided not to install PTC equipment on a damaged Gallery Cab car; therefore total equipment count is 66.

<b>I-ETMS On-Board Installation Progress (As of 7/15/20)</b>			
<b>Equipment</b>	<b>Completed</b>	<b>In Progress</b>	<b>Pending</b>
F40	23	0	0
MP36	6	0	0
Bombardier Cab	9	0	0
NS Gallery Cab	26	0	0
MP1500	2	0	0
<b>Total</b>	<b>66</b>	<b>0</b>	<b>0</b>
<b>%</b>	<b>100%</b>	<b>0%</b>	<b>0%</b>

### 3. Other Key Activities for September of 2020:

This section reports on PTC project general progress and issues being performed and tracked in addition to the Wabtec contract during the current reporting month.

- o Caltrain has received approval from the FRA to enter extended Revenue Service Demonstration (RSD) on January 7, 2020 after initial RSD commenced on September 7, 2019. Caltrain is currently running all revenue trains with PTC.
- o Caltrain commenced interoperable operations with UPRR and ACE on December 9, 2019, and with Amtrak/Capitol Corridor since February 26, 2020. Caltrain is interoperable with all tenants.
- o Herzog Technologies Incorporated (HTI) data collection team and PTC project team continued producing PTC weekly and monthly reporting to the FRA per the RSD conditional approval requirements for the extended RSD.
- o PTC helpdesk continues to support PTC operation since commencement of RSD with support from Tier 1 and Tier 2 systems support staff for daily PTC operations.
- o Defect-tracking meetings are held to continue monitoring reliability of the PTC system and address any critical anomalies and defects by system engineering (Tier 2) and WABTEC/ARINC (Tier 3) as needed.
- o Caltrain is meeting with UPRR and other tenants on bi-weekly basis to address any technical and operational issues related to PTC interoperable operations.
- o Weekly ARINC coordination meeting is held to address operational systems maintenance and modification work, the live operational systems are Rail Operations Control System (ROCS), Passenger Predictive Train Arrival/Departure System (PADS) and Voice Radio Dispatching System (RDS), which are residing in the CCF and BCCF to support rail operations.
- o BCCF/CCF cutover coordination meeting with ARINC and Wabtec is held weekly focusing on one-system design, pre-test activities and field failover and cutover testing. Caltrain is planning to complete BCCF/CCF cutover by early November 2020.
- o The PTC project continues its coordination efforts with the Electrification and EMU programs via regularly scheduled System Integration Meetings held by PCEP. Ad hoc meetings to discuss topics requiring in-depth or immediate decisions are held as needed. PTC system team continued participating and coordinating with PCEP delivery team in support of upcoming electrification project segment 4 signal cutovers. The first cutover is scheduled in Mid-October 2020.
- o Caltrain Configuration Control Board (CCB) continued review and approval of configuration changes that affect rail operations systems and infrastructure by following Caltrain Configuration Management plan and process.

- o Caltrain Systems team actively involved in PTC Interoperable Change Management process through Interoperable Change Approval Board (ICAB).
- o Commenced network firewall replacement effort.
- o JPB Board has approved recommendation of award I-ETMS long-term maintenance service contract to Wabtec. Staff has issued the Notice to Proceed on September 7, 2020. The kick off meeting is scheduled on September 22, 2020.

**4. Change Order Log:**

Project has executed two new change orders for the work related to 1) UPRR third party railroad interoperable testing (6 railroads total) which was approved by CMB on May 27, 2020 (\$602,577); 2) the diverse redundant network path between CCF & BCCF datacenters (\$121,433). These two changes will constitute the second contract amendment totaling \$724,010. Wabtec contract amendment one was for \$1.42 M related to interoperability and the communications system.

The funds for both amendments were taken from potential change budget and contingency as part of original board approved \$89.41M project

**5. Risk Management:**

Caltrain and Wabtec have agreed to share the management of an identified list of risk items that were identified during the contract negotiations. The total cost allocated to these risks is \$1.9M to be shared amongst both parties. Unrealized risks will result in cost savings to Caltrain.

Caltrain and Wabtec jointly review the shared risk register as the project progresses. Caltrain will provide update for any realized risks that are identified and agreed upon by both parties.

There are also risks to be monitored outside the Wabtec specific contract that the project team monitors and mitigates as necessary. The following table captures the top risks both external (outside the Wabtec contract) and internal (specific to the Wabtec contract):

<b>Risk Item</b>	<b>Type</b>	<b>Mitigation Action</b>
FRA process changes	External	Maintain close and open relationship with key FRA contacts to ensure all submittals are done correctly and within required time frame to achieve approvals required to achieve full system certification.
Interoperability delays	External	Caltrain is working with UPRR and tenants to ensure agreed to interoperability schedule dates are maintained – Risks were mitigated, Interoperability with UPRR, Amtrak, and ACE were achieved.
Track access delays	Internal	Ensure field test schedule is maintained by coordinating all fieldwork in combination with other capital project's needs, particularly the PCEP project – Risk were mitigated, Caltrain has entered RSD and achieved interoperability with all tenants.
Back Office Server (BOS) documentation scope creep	Internal	Risk is mitigated by working with Wabtec to ensure future BOS software releases meet requirements of Caltrain PTC operations. Caltrain subscribes standard Interface Control Documentation (ICD) through AAR for future BOS release.

Risk Item	Type	Mitigation Action
Key Exchange Server Solution	Internal	Implementation of Caltrain Key Exchange Server timely to support Interoperability Testing with UPRR. KES production test was completed in October 2019. Caltrain has been interoperable with all tenants. The Long-term communication MPLS solution was finalized and installation is scheduled in late September 2020 following COVID 19 travel and social distance guidelines.
Maintenance of existing Assets Data Communications, Wayside Infrastructure and on-board equipment	Internal	Coordinated with Operations and TASI to ensure all assets including all documentation were done and handed off to Operations/TASI. PTC infrastructure are maintained by TASI and Project team continue to provide support as Tier 2/Tier 3 to ensure PTC is reliable for PTC Revenue Service Operations.

**6. FRA Coordination Status:**

- o Continued with FRA test monitor on Caltrain PTCSP review status
- o Continued weekly calls with FRA review team
- o Continued RSD Weekly and Monthly Reports to the Test Monitor
- o Will submit V&V plan in support of PCEP Segment 4 Signal cutover

**7. Caltrain Roadmap to Full RSD and Interoperability:**

- o Caltrain is currently in Extended Revenue Service Demonstration and is fully interoperable with all tenants.
- o Completing and submitting the PTC Safety Plan to the FRA is the next big milestone in order to achieve overall system certification.
  1. Alternative Schedule was approved on February 6, 2019.
  2. Caltrain completed all field validation by the 1<sup>st</sup> quarter of 2019.
  3. Caltrain completed laboratory integrated testing for full track in April of 2019.
  4. Caltrain submitted the full track RSD application in June 2019 and received conditional approval of RSD in July 2019.
  5. Caltrain completed Field Integrated Testing (FIT) and Field Qualification Testing (FQT) for full track and has commenced RSD on September 7, 2019.
  6. Caltrain completed training TASI personnel to support full track RSD and PTC operations.
  7. Caltrain continues to roll out PTC trains; all 92 trains per weekday are under PTC as of the end of 2019.
  8. Caltrain completed interoperability laboratory testing with UPRR on August 12, 2019 for cycle one and subsequently cycle two on October 15, 2019.
  9. Caltrain has received Interoperability Test Request Conditional Approval from the FRA.
  10. Caltrain completed interoperability field-testing with UPRR on November 5 2019 and has achieved interoperability with UPRR on December 9, 2019.
  11. Caltrain has completed interoperability testing with ACE and started PTC operations on December 9, 2019. Caltrain commenced interoperability operations with Amtrak on February 26, 2020. Caltrain achieved interoperability requirements with all tenants.
  12. Caltrain has submitted the PTC Safety Plan (PTCSP) officially on June 25, 2020.
  13. Caltrain will receive conditional approval from the FRA and receive system certification by December 2020.



## 8. Cost – Spend vs Budget with Actuals and Accruals through August 2020

	(A)	(B)	(C)	(D)	(E)	(F) = (C - E)	(G) = (D / E)
Project Cost Analysis	Original Budget (US\$MM)	Approved Changes (Contractor) (US\$MM)	Project Current Budget (US\$MM)	Expended and Accruals To-Date (US\$MM)	Estimated at Completion (EAC) (US\$MM)	Variance at Completion (US\$MM)	% Expended of EAC
<b>CBOSS PTC Project (Jan 2008 - Feb 2018)</b>	\$ 231.00		\$ 239.88	\$ 202.26	\$ 202.26		
Caltain PTC Project (March 1, 2018 - June 30, 2020):							
Integrator WABTEC Contract	\$ 43.01	\$ 2.15	\$ 45.16	\$ 36.74	\$ 45.16	\$ -	81.35%
Other Contractors	\$ 6.00	\$ -	\$ 6.00	\$ 2.83	\$ 6.00	\$ -	47.10%
Potential Changes	\$ 2.00	\$ (2.00)	\$ -	\$ -	\$ -	\$ -	
Potential Incentive - WABTEC	\$ 2.00	\$ -	\$ 2.00	\$ 2.00	\$ 2.00	\$ -	100.00%
Other Program Costs	\$ 30.34	\$ -	\$ 30.34	\$ 20.24	\$ 29.98	\$ 0.37	67.52%
Project Contingency	\$ 6.06	\$ (0.15)	\$ 5.91	\$ -	\$ 4.95	\$ 0.96	
<b>Total PTC Project</b>	\$ 89.41	\$ (0.00)	\$ 89.41	\$ 61.80	\$ 88.08	\$ 1.33	70.16%
Note:							
1). Expended and Accruals To-Date is through August 31, 2020;							
2). Integrator Wabtec Contract Value includes Shared Risk with Not to Exceed Total of \$1.91MM;							
3). Other Contractors amount includes ROCS Modification and potential fiber fixes;							
4). Potential Changes budget amount is set for future project change orders as result of WABTEC assessment and survey for the communications and office subsystems; Two change orders for amount of \$724,010 were executed as part of approved change orders.							
5). Potential incentive amount reflects what is in the WABTEC conformed agreement;							
6). Other Program Costs includes JPB project oversight costs, TASI support and Other Direct Cost for PTC project delivery;							
7). Project contingency includes a) contingencies for WABTEC contract per Board Staff Report; b) JPB project team cost contingency;							
8). CBOSS PTC project budget and actual cost are highlighted to reflect prior March 1st, 2018 CBOSS project financial data.							
9). Negotiated additional scope items are included in WABTEC's contract amendment 1. There is no budget impact since project has budgeted adequate potential change for the amount of \$2MM (note no. 4 above) for added scope items. Current Project budget for WABTEC contract is updated to reflect added scope items and approved change orders.							
10). Other Program Costs EAC is increased from previous months to include FY21 systems support effort in order to offset Operating budget deficit caused by COVID-19.							

## 9. Upcoming Key Activities in October 2020:

- o Continue to support PTC RSD with operations and TASI.
- o Continued BCC/CCF failover and cutover coordination effort with all parties.
- o Continue data collection and PTC log analysis for PTC RSD weekly report to the FRA following RSD conditional approval requirements.
- o Continue to provide Tier 2 PTC system engineering support for tracking anomalies and addressing defect resolutions with Tier 3.
- o Continue interoperability operational coordination with all tenants via bi-weekly calls.
- o Complete MDM changes in support of all UPRR third party railroads (6 total) interoperable operations.
- o Complete ATCS work field installation work once travel plan is confirmed.
- o Continue network assessment and design effort with CDW for Caltrain Rail System Virtualization Project, which will virtualizing PTC back office system.
- o Complete KES long-term MPLS/Cell installation effort for sprint circuit installation.
- o Continue following up with the FRA on Caltrain PTCSP submission.
- o Continue to perform railroad specific hazard analyses required for PTC system certification.
- o Perform signal V&V and deploy PTC data subdiv 9029 in support of PCEP Segment 4 first cutover.
- o Deploy I-ETMS on-board software 6.3.19.3.
- o Continued work to diverse redundant network path between CCF & BCCF datacenters.
- o Prepare and schedule for Lab and MDM training performed by WABTEC/ARINC.

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

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

**MINUTES OF SEPTEMBER 16, 2020**

**MEMBERS PRESENT:** A. Brandt (Vice Chair), A. Dagum, P. Flautt, L. Klein, P. Leung, N. Mathur (Alternate) K. Maxwell (Alternate), M. Romo, D. Tuzman, B. Shaw (Chair)

**MEMBERS ABSENT:** R. Kutler

**STAFF PRESENT:** H. Flores, D. Lieberman, C. Low, J. Navarrete, J. Navarro, R. Sebez

Due to COVID-19, this meeting was conducted as a teleconference pursuant to the provisions of the Governor's Executive Orders N-25-20 and N-29-20, which suspends certain requirements of the Ralph M. Brown Act.

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

**RE-APPOINTMENT OF CAC MEMBERS**

Chair Brian Shaw announced the reappointment of CAC Members.

- Chair Brian Shaw
- Member Patricia Leung

**INTRODUCTION OF NEW ALTERNATE CAC MEMBERS**

Chair Brian Shaw introduced the new Alternate CAC Members

- Kathleen Maxwell, San Francisco County
- Neeraj Mathur, Santa Clara County

**APPROVAL OF MINUTES OF AUGUST 19, 2020**

Motion/Second: Romo / Klein

Ayes: Brandt, Dagum, Flautt, Leung, Tuzman, Shaw

Absent: Kutler

**PUBLIC COMMENT**

Roland Lebrun, San Jose, via Zoom Q&A, mentioned that Public Comment was not called after the Chairman's Report. He then extended his congratulations for changing

the bylaws to appoint the Alternate Committee Members and also congratulated Chair Shaw on his reappointment.

Aleta Dupree, via Zoom Q&A, stated that she appreciates that Equity is advertised on the front page of the Caltrain website. She encouraged continuing to advocate for the construction of Electrification as she is concerned with the pace of completing the foundations and to continue advocacy with Safe Transit. She stated that she would like to see people return to the railroad and that connectivity with bicycles, shuttles and scooters are very important to help reduce cars on the road. Lastly, she congratulated the newly appointed and reappointed CAC Members.

Sonia Elkes, via Zoom Q&A, shared that she started a bicycle and pedestrian safety, all sustainable micro mobility active transport advocacy organization, a few years ago, called San Carlos Bikes. She stated that recently with COVID, the fires, the climate issues, the drought and the sea level rise concerns, etc., in San Carlos, it is becoming increasingly concerning that San Carlos is not alternate mobility friendly enough. She then stated that there are a lot of frustrated youth whose schools are closed, playgrounds are closing, and blacktops are closed, that want to ride through the closed area of Laurel Street and other streets and are trying to push their limits and have no good place to do it. She stated that her organization reached out to Caltrain and requested to use the Caltrain parking lot, just north of Arroyo on El Camino, in San Carlos to put up temporary ramps and use that as a temporary mini skatepark, bike park, scooter and roller skating area to get people active. She then stated that Caltrain declined her request. She stated that she will send a follow up letter with details and requested the Committee's support.

Jeff Carter, Millbrae, via Zoom Q&A, Jeff Carter congratulated Brian and Patricia on their reappointment and stated that Brian has been doing a great job as Chairman. He then welcomed the newly appointed Alternate CAC Members, Neeraj and Kathleen. Jeff then stated that during his daily travels to the Caltrain Millbrae station, he observes a lot of single tracking which indicates electrification construction work and other projects along the corridor and appreciates the work being done and moving forward.

### **CHAIRPERSON'S REPORT**

None

### **COMMITTEE COMMENTS**

Member David Tuzman welcomed the new Alternate CAC Members.

Member Anna Dagum expressed her appreciation with public commenter Sonia Elkes' interest in building a pop-up skate/bike park in the San Carlos parking lot. Member Dagum expressed her support for the idea proposed to Caltrain staff.

Vice Chair Adrian Brandt stated that he was pleased that it has formally been made on the record that the High Speed Rail Authority's operation of high speed trains, makes it necessary for Caltrain to add extra passing tracks and that the High Speed Rail Authority really should be responsible for defraying the cost of those and participating in paying for all of them are some of them. Vice Chair Brandt then stated that with the ongoing COVID crisis ridership is down at BART, SMART and Caltrain. He said that it is important that Caltrain makes people feel safe riding the train.

Member Patricia Leung welcomed the new Alternate CAC Members and was happy to have been reappointed.

Member Patrick Flautt welcomed the new Alternate CAC Members and was glad for Chair Shaw and Member Leung to have been reappointed. Member Flautt then expressed his hope for Caltrain to support Public Commenter, Sonia Elkes' request. He then stated that he also supports her request proposed to Caltrain.

Member Larry Klein welcomed the new Alternate CAC Members and congratulated the reappointed Members.

Member Martin Romo congratulated those Members reappointed and welcomed the new Alternate Members. Member Romo referred to Public Speaker Sonia's earlier comment and requested staff to address Caltrain Real Estate assets and their plans for some of the properties. He stated that some of the community's concerns are regarding Caltrain's land that is not being used and that the reality is that a lot of these lands are being used, or planned for being leveraged in some way in the near future. He stated that at one point the Transit Oriented Development item was on the Work Plan for a future meeting discussion and would be great to see that item scheduled to the Agenda. He then suggested including the plans for some of the Caltrain parking areas and generally how those can be used and leveraged in the future to address some of the ideas that the Public Speaker brought up earlier.

#### Public Comments:

Roland Lebrun, San Jose, via Zoom Q&A, stated that regarding High Speed Rail Authority, there are two issues and referenced the Correspondence Packet. He stated that first there are two violations with Prop 1A. The first one is that they are supposed to be connecting San Jose to San Francisco in thirty minutes, not forty-eight. The second violation is that the terminus in San Francisco is the Transbay Terminal, not Fourth and King. He then stated that there is no need for passing tracks in Redwood City if there is a passing station at Redwood Junction. He then stated that there is also no need for maintenance \*inaudible\* Brisbane if the Transbay tube is opened first. Roland then stated that there is a Memo from the High-Speed Rail Authority indicating that when the train stops at the station, there is no need for passing tracks. Lastly, Roland stated that expecting a train to show up every 15 minutes works when all trains have the same stopping pattern and is unrealistic when there is a mix of traffic on the line with trains passing others, etc.

#### **BAY AREA HEALTHY TRANSIT PLAN / BLUE RIBBON COMMITTEE RECOMMENDATIONS**

Robert Sebez Deputy Director, System Safety and Security, presented the Bay Area Healthy Transit Plan

The full Power Point presentation can be found on [caltrain.com](http://caltrain.com)

#### Committee Comments:

Member Larry Klein asked what the plan on how the surveys be conducted and the numbers be kept. Mr. Sebez responded that there would be a certain percentage that is representative of ridership during times that is representative of peak times to ensure

that the numbers that are going out give an accurate depiction to riders of what compliance per mass is. Member Klein then asked when the first update will happen. Robert Sebez then responded that preliminary numbers were already gathered, and the findings were very good at approximately the 93rd percentile. Mr. Sebez stated that with the preliminary findings, we are essentially going live after that and want to make sure that the numbers are accurate and that it is what riders are getting.

Member David Tuzman asked whether there is a timeline for getting the data metrics about Compliance and Employee Contact Tracing, not only Caltrain but the other transit agencies. Mr. Sebez responded that he is not aware of an official timeline, but that he believes that it is targeted for some mid next month. Mr. Tuzman stated that there is a lot of talk about encouraging compliance, however nothing specifically about enforcement and asked whether there have been talk about how to encourage compliance. Mr. Sebez stated that encouraging compliance is done through the messaging. Mr. Joe Navarro, Deputy Chief, Rail Operations, stated that Caltrain is doing well with ninety-three percent compliance, of face coverings.

Alternate Member Kathleen Maxwell asked what percentage of ridership has returned and Mr. Navarro responded six percent.

Vice Chair Adrian Brandt asked whether Caltrain conductors will be equipped with face masks to provide to customers that do not have them. Mr. Navarro responded that staff would take that into consideration.

#### Public Comments:

Jeff Carter, Millbrae, via Zoom Q&A, shared that he was on the train and found that conductors and passengers were complying and wearing masks and that there were not many people riding the train. Jeff then asked how Caltrain would handle ridership if it went up and crowded trains again and how would Caltrain comply with Social Distancing.

Sonia Elkes, via Zoom Q&A, stated that she is riding the train frequently with her son from San Carlos to South San Francisco with a bike. She shared that both she and her son love it and are very appreciative for the service and the ability to take the bike on the train. She stated that she is taking the train four times a day, for drop off and pick up. She stated that she did forget her mask one day and would be grateful if there was a mask available for her to use onboard.

Roland Lebrun, San Jose, via Zoom Q&A, stated that the initial recommendation of the three-foot social distancing came from, ultimately, London. He stated that due to the combination of only social distancing three feet and people not wearing masks, London is experiencing an additional 3000 cases a day and that he hopes we continue to social distance six feet and enforce wearing facemasks. He stated that London will follow the example of Sri Lanka and if anybody is caught without wearing a face mask, they will automatically be put in a fourteen-day quarantine. He hopes that does not happen in California.

## **COVID-19 SAFETY MEASURES**

Henry Flores, Deputy Director, Rail Vehicle Maintenance, presented the COVID-19 Safety Measures

The full Power Point presentation can be found on [caltrain.com](http://caltrain.com)

### Committee Comments:

Member Patrick Flautt thanked Mr. Flores for the presentation. Member Flautt then asked what the cost is for implementing one of the social distancing kits and why start on just one train and not just do them all. Lastly, he suggested broadcasting this news as it is good news for Caltrain. He asked whether there is a Social Media campaign that may take a tour of that car. Henry Flores responded that kits are approximately \$10,000 each, without installation, however staff will be purchasing one to determine what parts are needed and will be reducing cost by eliminating parts not needed. Mr. Navarro also stated that social distancing is not a problem with the current ridership and that a prototype will be made to ensure they are secured and not flimsy enough to break when the customers get on. This gives staff the opportunity to request modifications from the company supplying the kits, minimizing cost. Member Flautt requested an updated of the installed kits in a future meeting. Mr. Navarro confirmed.

Member Martin Romo thanked Henry for the presentation and asked with what frequency the pure tap fogging occurs. Mr. Flores responded that the cars are fogged every night and in between stops where the schedule allows throughout the day in San Francisco and back at CEMOF when cars are refueling and on the service inspection lanes. Mr. Flores also mentioned that the crews have the handheld battery fogger for tight spots.

Vice Chair Adrian Brandt stated that it would be nice for Caltrain to have statistics to boast about as BART has on their website. He then encouraged the availability of hand sanitizer, wall mounted hand sanitizer pumps. He then suggested maximizing the use of Bombardier sets and minimize the use of Gallery car sets, since those will be eliminated post electrification. Lastly, Vice Chair Brandt referred to the diagram in the PowerPoint Presentation showing the passenger flows in a Bombardier car. He suggested moving left to right so that someone could walk in a circle and so that conductors walking the length of the train do not have to walk contraflow. If the arrows move left to right on the upstairs, it solves this problem. He stated that the advantage of changing the arrows is that someone who walks towards the exit and cannot find a seat, they can walk upstairs and walk back the other direction. They essentially can walk in a circle. Mr. Navarro stated staff will take those comments into consideration with the prototype.

### Public Comments:

Roland Lebrun, San Jose, via Zoom Q&A, shared his delight because the May 15th Board Correspondence Packet contains his letter titled Restoring Caltrain Ridership and is close to what he suggested five months ago. He asked Chair Shaw, why it took five months. He then stated that the last point in his letter was the catastrophe of ridership dropping 95%. He said the he asked the Board to give Mr. Hartnett an ultimatum to either have Samtrans restore Caltrain ridership back to 10% or the equivalent to this time

last year, or he will ask the Board in January, to entertain a motion appointing a new Executive Director and one of the first tasks would be to start effecting a smooth transition from Samtrans to \*inaudible\* Administration.

### **RAIL SAFETY EDUCATION / SUICIDE PREVENTION EFFORTS**

Dan Lieberman, Public Affairs Specialist, Government and Community, presented the Rail Safety Education / Suicide Prevention Efforts with Guest Speaker Zena Andreani from San Mateo County

The full Power Point presentation can be found on [caltrain.com](http://caltrain.com)

#### Committee Comments:

Member Patrick Flautt thanked both Dan and Zena for bringing energy to a presentation that is very serious. Member Flautt liked that Caltrain is taking actionable steps forward to address the issue.

Vice Chair Adrian Brandt referenced the fatalities chart and stated that it is not accurate and has identified the problem. He stated that out of approximately 140 total fatalities columns, not one is identified as indeterminate. He stated all are either in the suicide or unintended column. He then stated that some suicides are not obviously suicides, so the Sheriff's authority or the coroner will always err on the side of unintentional if it is not obviously a suicide. Vice Chair Brandt believes that the unintended column contains numerous nonobvious suicides that are not able to be determined. He suggested adding an indeterminate column. Vice Chair Brandt then stated that no amount of fencing would prevent these because Caltrain has open platforms and open grade crossings. He stated that it is not a safety problem and that it is a suicide problem. Lastly, Vice Chair Brandt stated that the most avoidable potential cause of death was not addressed in the presentation. He said there is a continuous flagrant violation of numerous vehicle codes, where people queue across the tracks because they are impatient and stop on the tracks and find themselves trapped on the tracks when the gates activate. He suggested guaranteed tickets via automated enforcement that can be camera enforcement. He said that if there is a guaranteed citation, that behavior will go away. He also acknowledged that accidental vehicles on the tracks are being addressed with the "turtles" by staff. Mr. Navarro responded that Rail Operations works with the Sheriff's Department closely and have been doing blitzes at Broadway and other Grade Crossings on the regular basis. He also stated that the "turtles" were installed on September 3rd at Churchill Avenue and currently conducting a study to hopefully move forward. Mr. Navarro then stated that staff is still working on painting the envelope red to warn drivers and working with Federal Highway Commission and the CPUC on that. Vice Chair Brandt asked whether staff has tried to get an article in the Daily Post. Mr. Lieberman confirmed that staff has sent a Press Release.

Member David Tuzman thanked Dan and Zena for the interesting presentation and was impressed by Caltrain seeing the responsibility to combat the suicide that peaked some years ago and trying to improve the situation, especially now more than ever with so much uncertainty. He said that it is important to destigmatize the discussion around suicide and mental health.

Public Comments:

Jeff Carter, Millbrae, via Zoom Q&A, shared his appreciation with what Caltrain is doing with safety and suicide prevention. He said that it is important to solve this problem and although it may not prevent all suicides, it is worth saving any suicides.

**STAFF REPORT UPDATE**

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

**On-time Performance (OTP) –**

- **August:** The August 2020 OTP was 95.7% compared to 93.9% for August 2019.
  - **Mechanical Delays –** In August 2020 there were 639 minutes of delay due to mechanical issues compared to 719 minutes in August 2019.
  - **Trespasser Strikes –** There was one trespasser strike on August 4, resulting in a fatality.
- **July:** The July 2020 OTP was 96.4% compared to 93.8% for July 2019.
  - **Trespasser Strikes –** There was one trespasser strike on July 17, resulting in a fatality.

(The full report can be found on caltrain.com)

Committee Comments:

Vice Chair Adrian Brandt asked whether productivity is improving. Mr. Navarro responded that original work was scheduled off peak hours on non-revenue hours and now we are giving them all day and single tracking 24/7. He stated that the crews are working six days a week and on the seventh day, they need to rest. Vice Chair Brandt then asked whether Caltrain is paying TASI to support Balfour Beatty. Mr. Navarro responded and confirmed that it was already budgeted for in the project.

Public comments:

Jeff Carter, Millbrae, via Zoom Q&A, pointed out that Measure RR is on the November 3rd ballot and is very important for Caltrain, the one eighth sales tax for all three counties. He mentioned that he has already seen two nasty letters to the Editor of the San Mateo Daily Journal saying to vote no, claiming Caltrain is only for rich people.

Roland Lebrun, San Jose, via Zoom Q&A, talked about electrification south of Diridon and stated that there is a video out there dated July and it shows poles missing as it goes over Highway 87 over the Guadalupe River Bridge. He stated that he will request the plans as he does not see any way there will be electrification south of Diridon, including Tamien station itself.



## **JPB CAC Work Plan**

### October 21, 2020

- Brown Act Training
- Website Presentation
- PCEP Update

### November 18, 2020

- Grade Crossing Improvements
- Industry Safe Functionality
- South San Francisco

### December 16, 2020

- Government Affairs update
- Hillsdale Station

### Items to be scheduled

- Go Pass cost per ride factors – requested by Chair, Brian Shaw on 6/19/19
- San Mateo County Climate Action Plan – requested by Member Rosalind Kutler on 10/16/19
- MTC Means-Based Discount Fare program update
- Caltrain connections with other agencies – requested by Member Rosalind Kutler on 12/18/19
- Update on grade crossing pilot six months after installation – requested by Member, Patrick Flautt on 12/18/19
- Summary video of the CAC meetings by the Social Media Officer – requested by Chair, Brian Shaw on 12/18/19
- Operating Costs – requested by Member Adrian Brandt on 2/13/20
- Sales Tax Measure – requested by Member Adrian Brandt on 7/8/20
- EMU Virtual Reality

### Public comments:

Roland Lebrun, San Jose, via Zoom Q&A, stated that he requested for the Caltrain CAC to receive an update on the Downtown Extension, however, has been advised that the Caltrain CAC is too busy to schedule an update on the Downtown Extension. He asked whether the response came from staff or the CAC. Chair Shaw stated that he and the Vice Chair will talk to staff at the monthly CAC Agenda meeting in a few weeks.

### **DATE, TIME AND LOCATION OF NEXT REGULAR MEETING:**

October 21, 2020 at 5:40 p.m., San Mateo County Transit District Administrative Building, 2<sup>nd</sup> Floor Bacciocco Auditorium, 1250 San Carlos Avenue, San Carlos, CA.

Adjourned at 7:29 pm

**PENINSULA CORRIDOR JOINT POWERS BOARD  
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett  
Executive Director

FROM: Michelle Bouchard  
Chief Operating Officer, Caltrain

SUBJECT: **COVID RECOVERY PLANNING UPDATE – EQUITY & SERVICE PLANNING**

**ACTION**

Staff Coordinating Council recommends the Board of Directors (Board) receive an update on COVID recovery planning activities including an informational ppt.

**SIGNIFICANCE**

At the June 2020 Board Meeting, Peninsula Corridor Joint Powers Board (JPB) staff announced that activity on the Caltrain Business Plan would pause and pivot toward COVID Recovery Planning efforts. At the September 2020 Board Meeting the Board adopted the Equity, Connectivity, Recovery & Growth Framework (the Framework) – a significant policy document that outlines Caltrain's approach to recovering from the COVID-19 Pandemic and growing the system in a manner consistent with the larger Business Plan process. The framework includes specific policies and actions that describe how Caltrain can recover in a way that emphasizes improving equity outcomes on the system and enhancing connectivity to the region's transit network.

Following the adoption of the Framework, Caltrain staff has continued work on recovery planning. The update presentation this month focuses on two related areas;

- 1) An initial work plan that describes how the specific equity-related policies and actions in the Framework will be advanced. This section of the presentation also addresses how regular reporting to the Board on equity related initiatives will occur going forward and identifies areas of implementation that are contingent on near-term (balance of FY21) budget and funding outcomes.
- 2) A brief update on ongoing service planning with a focus on a proposed service change in December of this year. Potential service changes are a near-term opportunity to implement significant equity related initiatives.

In the future, as requested by the Board, staff will provide regular updates on equity initiatives under a dedicated item. A more detailed COVID Recovery planning

presentation that includes further detail and analysis on potential service changes will also be provided to the Board at the next meeting.

### **BUDGET IMPACT**

There is no budget impact associated with receiving this informational update.

### **BACKGROUND**

In 2017, the JPB secured full funding for the Peninsula Corridor Electrification Project and issued notices to proceed to its contractors for corridor electrification and purchase of Electric Multiple Unit railcars.

Now that construction on this long-awaited project is underway, the agency has the opportunity to articulate a long-term business strategy for the future of the system. The initial concept for a Caltrain "Business Plan" was brought to the Board in April of 2017. The Board reviewed a draft scope of work for the Business Plan in December of 2017 and adopted a final Business Strategy and Scope of Work in February of 2018. Technical work on the Plan commenced in the summer of 2018. The Business Plan has been scoped to include long-range demand modeling, and service and infrastructure planning, as well as organizational analysis and an assessment of Caltrain's interface with the communities it traverses. In October of 2019, the JPB marked a major milestone in the Business Plan process with its adoption of a "2040 Service Vision" for the Caltrain system. This action set long-range policy guidance for the future of the Caltrain service and allowed staff to advance toward the completion of the overall plan by summer of 2020.

Starting in March of 2020, however, the emergence of the COVID-19 Pandemic resulted in a rapid and severe crisis for the railroad, with ridership plummeting by as much as 98% and the implementation of significant service cuts. Based on this unprecedented circumstance, staff informed the Board of their decision to temporarily pivot Business Plan efforts toward recovery planning in June of 2020.

Prepared by: Sebastian Petty, Deputy Chief, Caltrain Planning

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