



BOARD OF DIRECTORS 2021

DEVORA "DEV" DAVIS, CHAIR
STEVE HEMINGER, VICE CHAIR
CINDY CHAVEZ
JEFF GEE
GLENN HENDRICKS
DAVE PINE
CHARLES STONE
SHAMANN WALTON
MONIQUE ZMUDA

MICHELLE BOUCHARD
ACTING EXECUTIVE DIRECTOR

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>

or by entering Webinar ID: **914 1277 6292**, Passcode: **909765** in the Zoom app for audio/visual capability or by calling 1-669-900-6833 (enter webinar ID and press # when prompted for participant ID) for audio only. The video live stream will be available after the meeting at

<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 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.

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.

May 6, 2021 – Thursday

PART I OF MEETING (CALL TO ORDER): 9:00 am

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

PART II OF MEETING (CLOSED SESSION): 9:05 am estimated

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

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

PART III OF MEETING (REGULAR SESSION): 9:35 am estimated

- | | |
|---|---------------|
| 4. General Counsel Report – Report Out from Above Closed Session | INFORMATIONAL |
| 5. Public Comment for Items Not on the Agenda | |
| Comments by each individual speaker shall be limited to two (2) minutes. Items raised that require a response will be deferred for staff reply. | |
| 6. Consent Calendar | |
| Members of the Board may request that an item under the Consent Calendar be considered separately | |
| a. Approve Regular Meeting Minutes of April 1, 2021 | MOTION |
| b. Receive Key Caltrain Performance Statistics – March 2021 | MOTION |
| c. Report of the Chief Financial Officer (CFO) | INFORMATIONAL |
| d. Accept Statement of Revenues and Expenses for the Period Ended March 31, 2021 | MOTION |
| e. Accept Quarterly Fuel Hedge Update | MOTION |
| f. Call for a Public Hearing on Proposed Fare Structure Changes | MOTION |
| g. Award of On-Call Contracts to Provide Printing Services | RESOLUTION |
| h. Authorize the Application for and Receipt of Annual Cap and Trade Funding for the Procurement of Electric Multiple Unit (EMU) Vehicles | RESOLUTION |
| i. Authorize a Scope of Work to be Performed by Meteorcomm, LLC for Technical Support Services | RESOLUTION |
| j. Authorization to Execute an Eighteen-Month Lease Extension at 2121 South El Camino Real in San Mateo to Support the Caltrain Modernization Program | RESOLUTION |
| k. State and Federal Legislative Update | INFORMATIONAL |
| l. Authorize Execution of Exclusive Negotiating Agreement with South City Ventures LLC for Certain South San Francisco Caltrain Station Property on Dubuque Avenue in South San Francisco, California | RESOLUTION |
| m. Update on Fiscal Year 2022 Shuttle Program Funding and Services | INFORMATIONAL |
| 7. Reports | |
| a. Report of the Citizens Advisory Committee | INFORMATIONAL |
| b. Report of the Chair | INFORMATIONAL |
| i. Report on Governance | INFORMATIONAL |
| ii. Report of the Local Policy Maker Group (LPMG) | INFORMATIONAL |
| c. Report of the Executive Director | INFORMATIONAL |
| i. Peninsula Corridor Electrification Project (PCEP) Monthly Progress Report – March | INFORMATIONAL |
| 8. Award of Contract to Provide General Counsel Legal Services | RESOLUTION |
| 9. Post COVID Business Strategy – Scenario Planning | INFORMATIONAL |
| 10. Fiscal Year 2022 Preliminary Operating and Capital Budgets | INFORMATIONAL |
| 11. Correspondence | |
| 12. Board Member Requests | |
| 13. General Counsel Report | |

14. Date/Time of Next Regular Meeting: Thursday, June 3, 2021 at 9:00 am via Zoom
15. Adjourn

INFORMATION FOR THE PUBLIC

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

If you have questions on the agenda, please contact the JPB Secretary at 650.508.6242. Agendas are available on the Caltrain website at www.caltrain.com. Communications to the Board of Directors can be e-mailed to board@caltrain.com.

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

Date and Time of Board and Committee Meetings

JPB Board: First Thursday of the month, 9:00 am; JPB Finance Committee: Fourth Monday of the month, 2:30 pm; JPB WPLP Committee: Fourth Wednesday of the month, 3:00 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 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 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. 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; 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**

DRAFT MINUTES OF APRIL 1, 2021

MEMBERS PRESENT: C. Chavez , D. Davis (Chair), J. Gee, G. Hendricks, S. Heminger (Vice Chair), D. Pine, C. Stone, S. Walton, M. Zmuda

MEMBERS ABSENT: None

STAFF PRESENT: J. Hartnett, C. Mau, J. Cassman, S. Van Hoften, M. Bouchard, B. Fitzpatrick, J. Funghi, , R. Johansen, D. Hansel, J. Harrison, L. Leung, L. Low, R. McCauley, R. Rios, S. Petty, M. Reggiardo, B. Shaw, B. Tietjen, P. Skinner, K. Yin, D. Seamans, T. Willis, S. Wong

1. CALL TO ORDER / PLEDGE OF ALLEGIANCE

Chair Dev Davis called the meeting to order at 9:05 am and led the pledge of allegiance.

2. ROLL CALL

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

3. PUBLIC HEARING FOR UPDATED FEE SCHEDULE

Brian Fitzpatrick, Real Estate and Property Development Director, provided a presentation. He spoke on the purpose of the fee schedule, types of uses, use approval, and major changes in the current fee schedule.

Public Comment

Adina Levin, Friends of Caltrain, commented non-profit pricing (e.g. bike to work day and Girl Scouts)

Roland Lebrun, San Jose, commented on losing money in the process and inquired about permanent easements on the Caltrain right of way are covered in this process.

Jeff Carter, Millbrae, expressed support for the fee schedule and commented on the fiber optic line owned by Union Pacific.

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

- A separate fee schedule for non-profits (esp. Girl Scouts & bike to work)
- Having an accurate record for utility right-of-ways in the policy statement
- Short term uses, municipal easement fee waivers
- PG&E fee schedule based on the number of times crossed
- Union Pacific fiber optic line

Motion/Second: Gee/Stone moved to approve both the policy and fee schedule with the following amendments:

- a) Include a section on accurately recording physical right of way for utilities approved through the process & Caltrain maintain record of this for future capital projects,
- b) The ability of staff to waive encroachment fees for qualified nonprofits and
- c) Bring back to the WPLP Committee a guiding principal statement for staff to utilize to measure against nonprofit applications

Ayes: Chavez, Gee, Hendricks, Pine, Stone, Walton, Zmuda, Heminger, Davis

Noes: None

Absent: None

4. GENERAL COUNSEL REPORT – CLOSED SESSION:

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 convened in closed session at 9:40am

The Board reconvened in regular session at 10:50am

5. GENERAL COUNSEL REPORT – REPORT OUT FROM CURRENT CLOSED SESSIONS

General Counsel Joan Cassman stated that the board just met and there was no reportable action to place on the record at this time.

6. PUBLIC COMMENT FOR ITEMS NOT ON THE AGENDA

Roland Lebrun, San Jose, expressed concern regarding the downtown extension due to lack of East Bay connection, no boarding for the southern half of the train, urban tunnel diameters, international standards on fire & safety, and the cost of the tunnels.

Aleta Dupree, Oakland, commented on removing paper tickets, working with Clipper START, making the best-electrified car possible and making stations fully Americans with Disabilities Act (ADA) accessible.

7. CONSENT CALENDAR

- a. **Approved Regular Meeting Minutes of March 4, 2021**
- b. **Received Key Caltrain Performance Statistics – February 2021**
- c. **Authorize the Quitclaim and Release of Rights to Certain Unused Easements in the City and County of San Francisco and the City of Brisbane in Exchange for Rights to Access the Caltrain Rail Corridor through Property Owned by Universal Paragon Corporation**
- d. **Approved 2021 Finance Committee Calendar**
- e. **Accepted Statement of Revenues and Expenses for the Period Ended February 28, 2021**
- f. **Authorized an Amendment to the Agreement with Rail Surveyors & Engineers, Inc. for Engineering Consultant Design Services to Increase the Maximum Aggregate Not-To-Exceed Amount by \$2,650,000 and Extend the Contract Term through March 31, 2022**
- g. **On-Call Transportation Planning and Consultant Support Services Update**
- h. **Approved State and Federal Legislative Update and Legislative Proposal: Support SB 339 (Wiener)**

i. Received South San Francisco Caltrain Station Improvement Project Update

Motion/Second: Stone/Stone moved to approve all items except *Item 7i*

Ayes: Chavez, Gee, Hendricks, Pine, Stone, Walton, Zmuda, Heminger, Davis

Noes: None

Absent: None

Motion/Second: Pine/Walton moved to approve *Item 7i* (SSF improvement update)

Ayes: Chavez, Hendricks, Pine, Stone, Walton, Zmuda, Heminger, Davis

Noes: None

Recused: Gee

Public Comment

Roland Lebrun, San Jose, commented on the new Transbay crossing station, adding an underpass to the South San Francisco platform blocking level boarding, and needing to demolish the new station to accommodate future electrified cars.

8. REPORTS

a. Report of the Citizens Advisory Committee (CAC)

Brian Shaw, CAC Chair, noted public comments on Caltrain discounts, zone system fares, grade crossing safety, and sitting inside the train while awaiting departure for safety. He said they heard updates on the bike program (Project 529) and grade crossing improvements.

b. Report of the Chair

i. Resolution of Appreciation for former Jim Hartnett

Chair Davis expressed appreciation for departing Executive Director Jim Hartnett's Board guidance through many changes and a tumultuous year.

Board members expressed their appreciation for his leadership, ability to secure an unprecedented dedicated source of revenue for Caltrain, and setting high standards for public service.

Mr. Hartnett thanked everyone for their words and work.

Public Comment

Jeff Carter, Millbrae, thanked Mr. Hartnett for ensuring incidents in the past (passengers kicking out windows to get air from disabled trains) improved, bringing video streaming to JPB, hiring Joe Navarro, and passing Measure RR.

Adina Levin, Friends of Caltrain, thanked Mr. Hartnett for electrification funding, getting Measure RR on the ballot, and the Caltrain Business Plan.

Roland Lebrun, San Jose, commented on having public comment for each section of the report. He commented on Mr. Hartnett's ability to hire good staff.

Andy Chow, Redwood City, commended the decision to onboard Mr. Hartnett as a general manager.

Aleta Dupree, Oakland, commented on Mr. Hartnett's work with the Clipper Card.

Paul Wendt, Belmont, commented on Mr. Hartnett's leadership.

Motion/Second: Stone/Gee

Ayes: Chavez, Gee, Hendricks, Pine, Stone, Walton, Zmuda, Heminger, Davis

Noes: None

Absent: None

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

Director Jeff Gee reported on the March 25 meeting. They spoke about the American Rescue Plan, electrification project, corridor grade separation study, and scenario planning work. Director Gee reported public comments on federal funds, engineering standards with grade separations, and service to South Santa Clara.

iii. Report on Governance

1. Summary of Special Meeting #1 March 19, 2021

Chair Davis reported that the Board:

- Took action to accept 2021 Roadmap with the understanding to update as needed
- Accepted proposed objectives and added two additional objectives
- Came to the agreement that they are making a recommendation on governance at end of this year
- Range of governance paths may be phased over time
- Had a strong desire to better understand & honor past agreements of JPA
- Recommended JPA member agencies be included in governance meetings going forward
- Will hold a second Special Board meeting May 14th (additionally in June, August, and October)

2. Reprise of the Special Counsel Report – Olson Remcho

Olson Remcho LLP provided a brief overview of last year's report on member agencies' rights and obligations under JPB governing documents.

Robin Johansen stated the overview of key agreements.

James Harrison provided an update regarding the agreement amendments, purchase agreements, real property ownership agreements, and four kinds of Caltrain property.

Tom Willis spoke about repayments, managing agency changes, allocation of capital costs for the main line, and amending or terminating the JPA.

The Board members had a discussion regarding which agencies signed the agreement (esp. the signatory for San Francisco) and San Mateo County's contribution in today's dollars.

c. Report of the Executive Director

Michelle Bouchard, Acting Executive Director, thanked Mr. Hartnett for his inclusiveness, consistency and decisiveness. She provided an update on free rides to vaccination

sites, reduced monthly pass, improved regional connections, Director Cindy Chavez named Women's Transportation Seminar's Woman of the Year, and Jim Hartnett received the Ray LaHood Award. Ms. Bouchard reported that the Marin Napoleon Bridge replacement would occur in April, \$52 million was received for electrification funding, and \$39 million for the last tranche of federal funds. She also noted that Caltrain expresses zero tolerance for hate crimes.

Chair Davis thanked members of the public at the Diridon Station who took swift action to help the person being attacked.

i. Peninsula Corridor Electrification Project (PCEP) Monthly Progress Report – February

John Funghi, CalMod Chief Officer, provided an update on electrification infrastructure and electric multiple-unit (EMU) fabrication which stated that:

- 71 percent of foundations and 58 percent of poles were complete
- Balfour Beatty produced 75 of 810 foundations with year end foundation completion
- Installation of overhead cantilever and wires continues in segment three and four
- PG&E work advancing in segment four
- Arrival of first train set anticipated early 2022
- They are finalizing construction improvements at Centralized Maintenance and Operations Facility (CEMOF)
- They have successfully completed a signal system cutover at control point Franklin St and Stockton St in the South Bay
- He will present the anticipated forecast in cost and scheduled projections once the Federal Transit Administration (FTA) has made available their draft risk report (estimated presentation in May)
- They are on point with contingency funds (\$158 million) at this point

The Board members had a robust discussion and staff provided further clarification in response to the Board comments and questions, which included the following: target date for the first run of passenger trains, information needed for the March presentation, keeping pace with the original budget, real world data about crossing delays, and whether this past weekend was enough of a sample to draw conclusions about testing performance.

Public Comment

Roland Lebrun, San Jose, commented on Union Pacific operating freight under the wire affecting electrification, Olson Remcho report, and expressed disagreement with public commenting timing.

Jeff Carter, Millbrae, commented on public comment on each item, electrification catenary wires in San Jose and Santa Clara, and seeing video testing.

Aleta Dupree, Oakland, commented on foundation production, low foundation production impacting electric railroad and COVID vaccinations.

Doug DeLong, Mountain View, commented on Stadler suppliers' COVID bankruptcy, information on those components, electrification infrastructure suppliers, the power supply station in San Jose, and copper thieves and foundations at Tamien.

9. CORRESPONDENCE

Correspondence was available online.

10. BOARD MEMBER REQUESTS

None.

11. GENERAL COUNSEL REPORT

There was none. Ms. Cassman thanked Mr. Hartnett and wished him well.

12. DATE/TIME OF NEXT REGULAR MEETING:

Thursday, May 6, 2021 at 9:00 am via Zoom

13. ADJOURN

The meeting adjourned at 12:29 pm.

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

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michelle Bouchard
Acting Executive Director

FROM: Sebastian Petty
Deputy Chief, Caltrain Planning

SUBJECT: **KEY CALTRAIN PERFORMANCE STATISTICS – MARCH 2021**

Finance Committee Recommendation Work Program-Legislative-Planning Committee Recommendation Staff Coordinating Council Reviewed Staff Coordinating Council Recommendation

ACTION

Staff Coordinating Council recommends that the Board receive the Performance Statistics Report for March 2021.

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 all stations. This methodology has been in use since April 2020.

In March 2021, Caltrain's Average Weekday Ridership (AWR) decreased by 92 percent to 3,954 from March 2020 AWR of 49,276. The total number of passengers who rode Caltrain in March 2021 decreased by 90.6 percent to 109,168 from March 2020 ridership of 1,156,388. As depicted in Graphs A1 and A2, the AWR increased by 13.5 percent, and total ridership increased by 22.8 percent from February 2021.

The quantity and quality of Caltrain service has remained steady throughout the pandemic and other commuter rail and transit services in California have been experiencing similar ridership trends, so it is clear that the continued low ridership levels are mostly due to external factors, including but not limited to:

- Continued CDC guidance discouraging discretionary travel;
- Telecommuting still widely in effect, especially among large employers within the Caltrain service area;
- Freeway traffic gradually increasing but not to pre-pandemic levels (particularly along the Caltrain corridor);

This month ticket sales changed from March 2020 for:

- One Way tickets: -80.8 percent
- ED One Way tickets: -60.2 percent
- Day Passes: -62.9 percent
- ED Day Passes: -26.7 percent
- Monthly Passes: -94.7 percent
- ED Monthly Passes: -87.2 percent

Other ticket sales and farebox revenue statistics trended as follows:

- Caltrain Mobile Ticketing accounted for 9.6 percent (10,483 rides) of the monthly ridership and 2.2 percent (\$65,978) of the monthly ticket sales revenue.
- Number of Eligible Go Pass Employees increased to 87,116 from 86,691 from March 2020.
- Number of the participating Go Pass Companies decreased to 117 in March 2021 from 121 in March 2020.
- Total Farebox Revenue decreased by 52 percent to \$2,955,924 from March 2020.

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 March 2021 was 88.9 percent compared to 96.7 percent for March 2020. The decrease in on-time performance is because of delays due to Maintenance of Equipment and ongoing Capital Projects. Staff is investigating ways to improve the reliability of the passenger fleet to reverse this trend.

However, OTP appears to be improving under March 22nd timetable as previously intended. OTP during the first 21 days of the month under the previous timetable was 87.7 percent (1052 of 1200 trains scheduled were on time) while OTP for the last 10 days of the month (after the March 22nd timetable change) was 91.3 percent (566 of 620 trains scheduled were on time). Staff will continue monitoring the reliability of train service under the March 22nd timetable for further improvements in the next timetable change.

Regarding customer service statistics, the number of complaints per 100,000 passengers in March 2021 is not provided due to the significant decrease in ridership due to COVID-19 pandemic.

Shuttle ridership for March 2021 decreased 84.1 percent from March 2020. When the Marguerite shuttle ridership is removed from the analysis, the impact to ridership was a decrease of 86.1 percent. For station shuttles, the Millbrae-Broadway shuttle is averaging 20 daily riders.

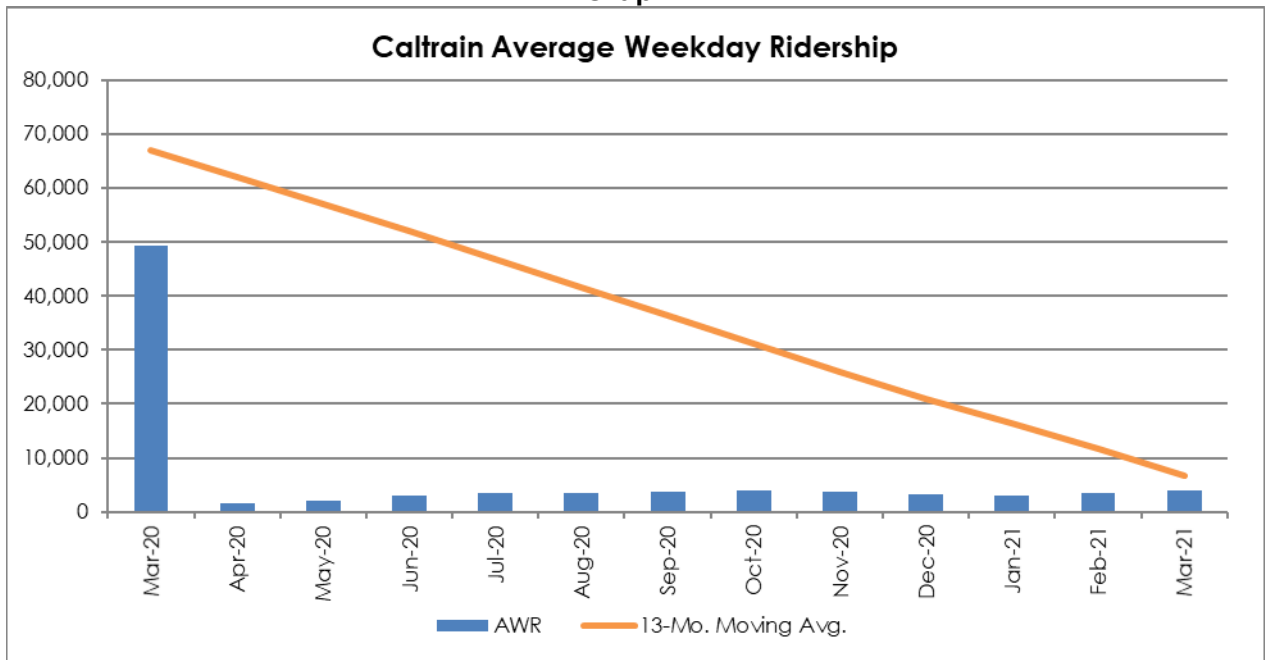
Table A
March 2021

	FY2020	FY2021	% Change
Total Ridership	1,156,388	109,168	-90.6%
Average Weekday Ridership	49,276	3,954	-92.0%
Total Farebox Revenue	\$ 6,163,797	\$ 2,955,924	-52.0%
On-time Performance	96.7%	88.9%	-8.0%
Average Weekday Caltrain Shuttle Ridership	4,060	647	-84.1%

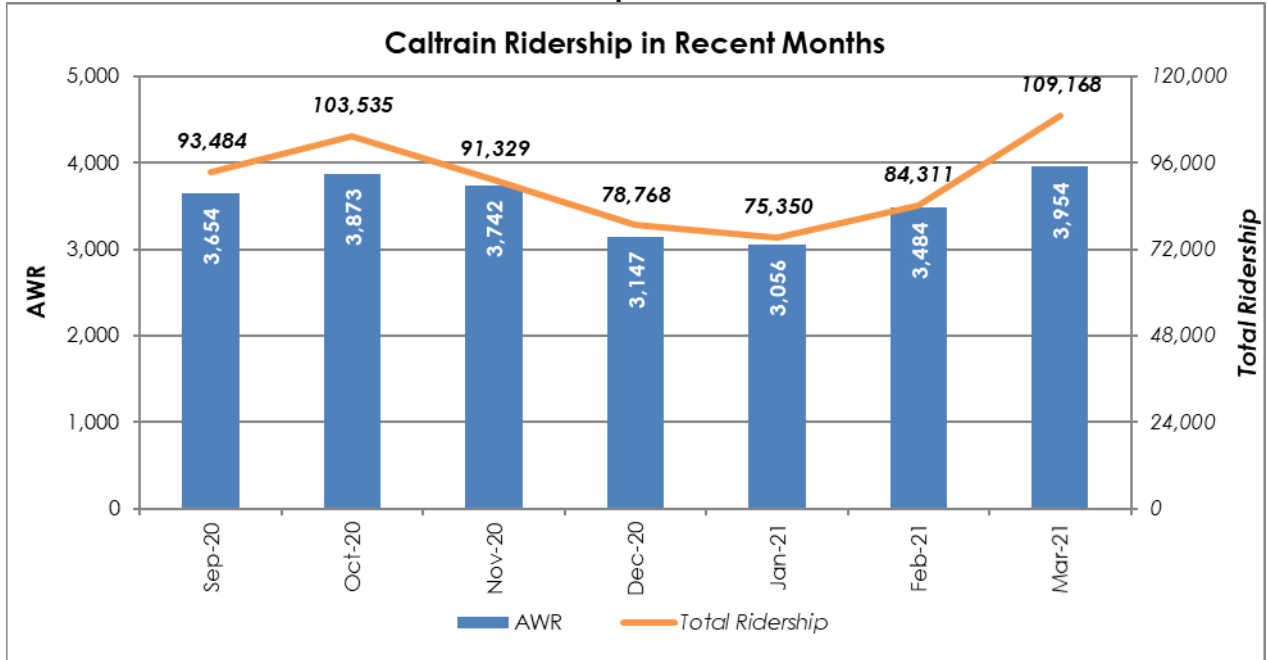
Fiscal Year to Date

	FY2020	FY2021	% Change
Total Ridership	13,691,336	818,532	-94.0%
Average Weekday Ridership	66,465	3,540	-94.7%
Total Farebox Revenue	\$ 76,658,511	\$ 26,647,593	-65.2%
On-time Performance	93.9%	94.1%	0.2%
Average Weekday Caltrain Shuttle Ridership	7,994	837	-89.5%

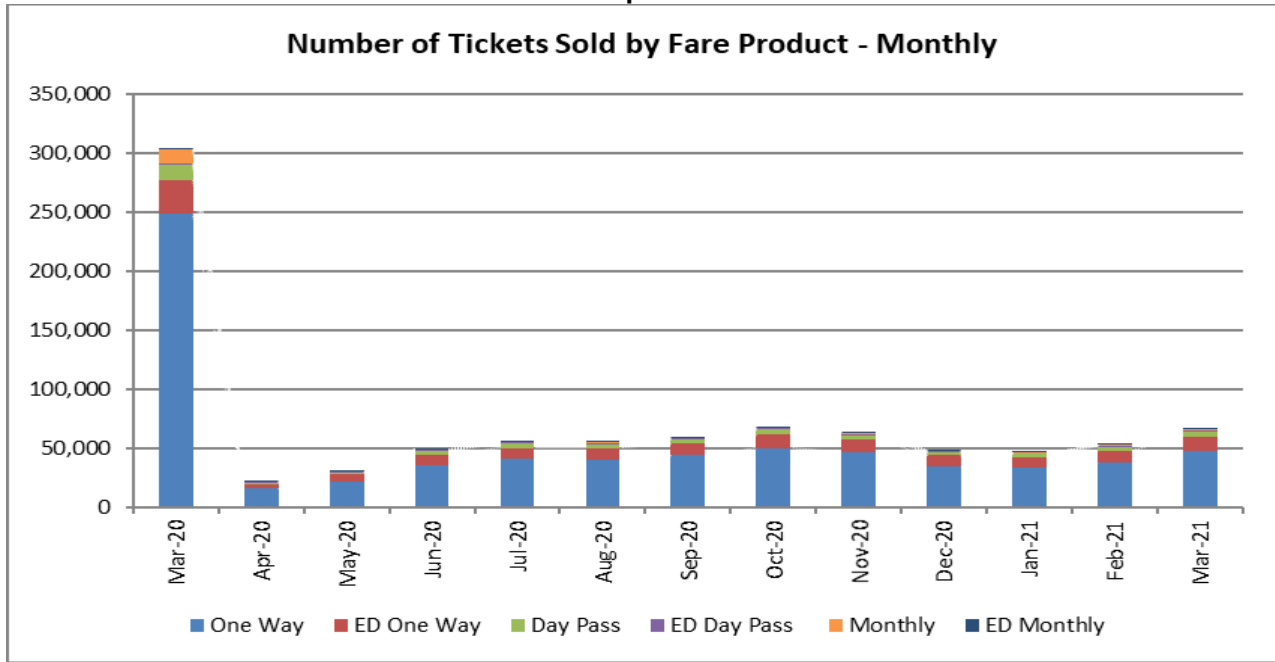
Graph A1



Graph A2

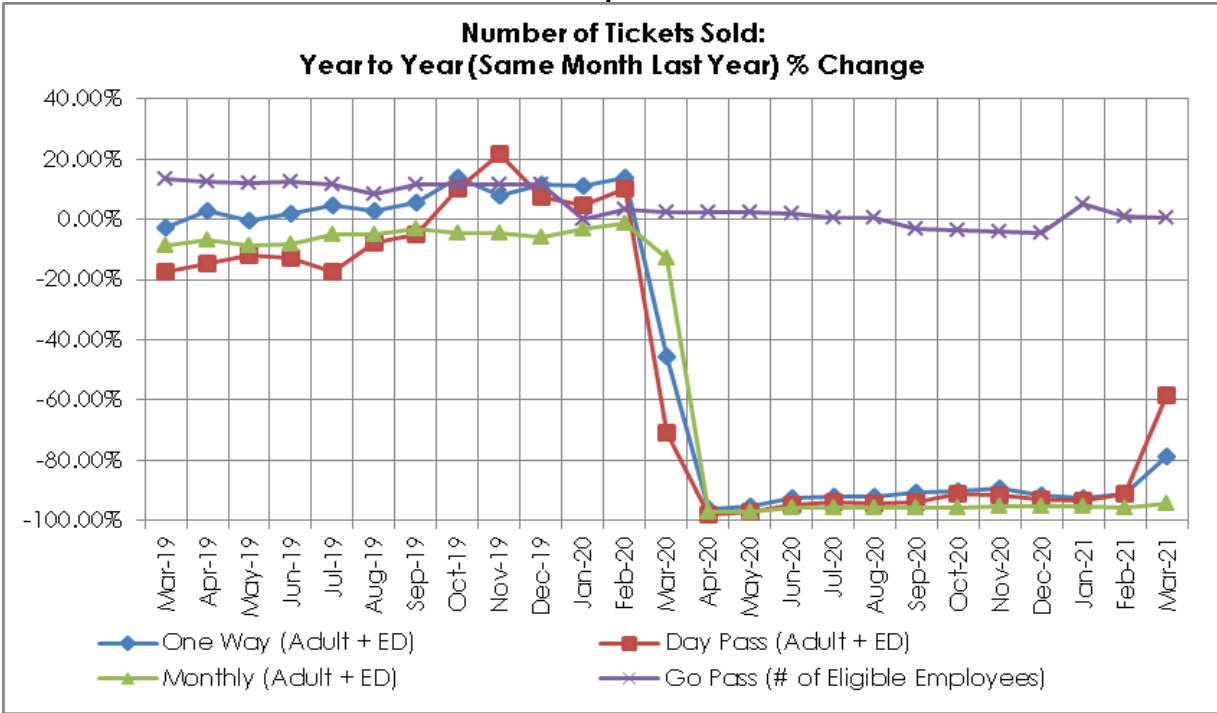


Graph B

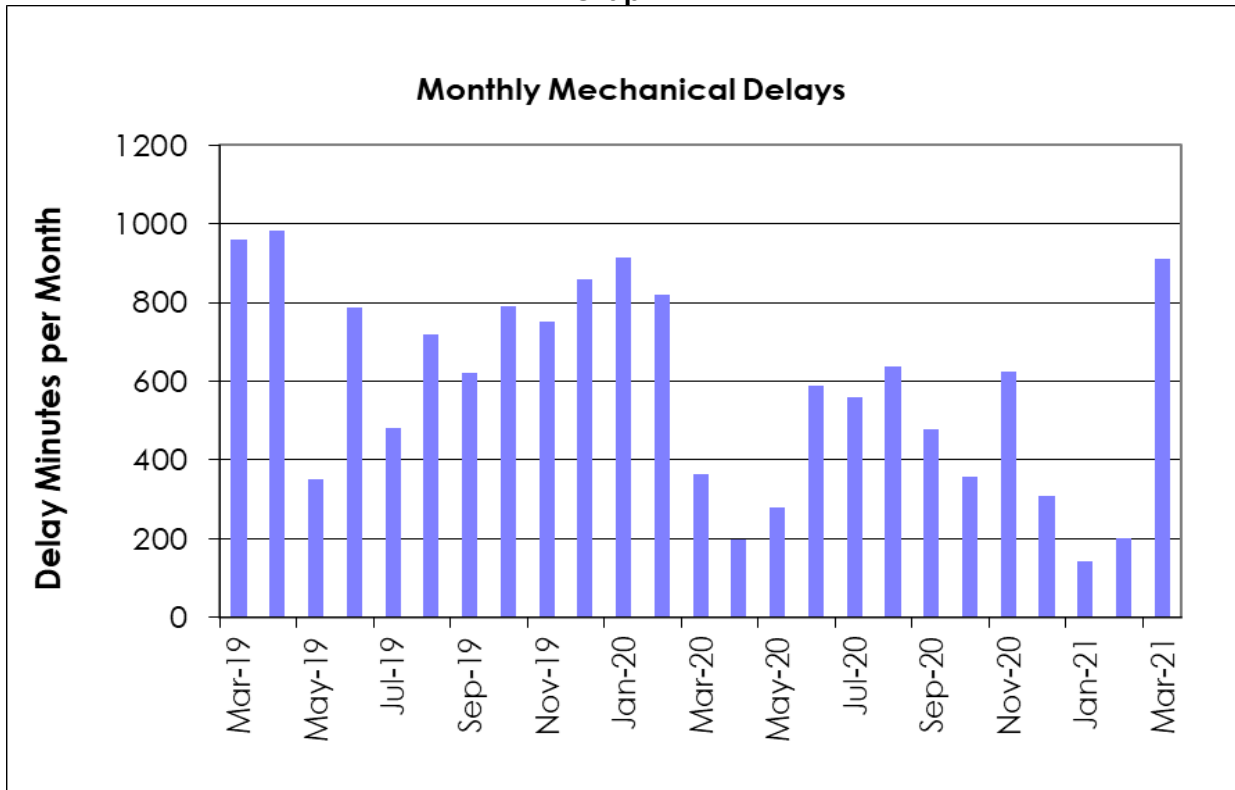


**Go Passes tracked by Monthly Number of Eligible Employees (not by Sales)*

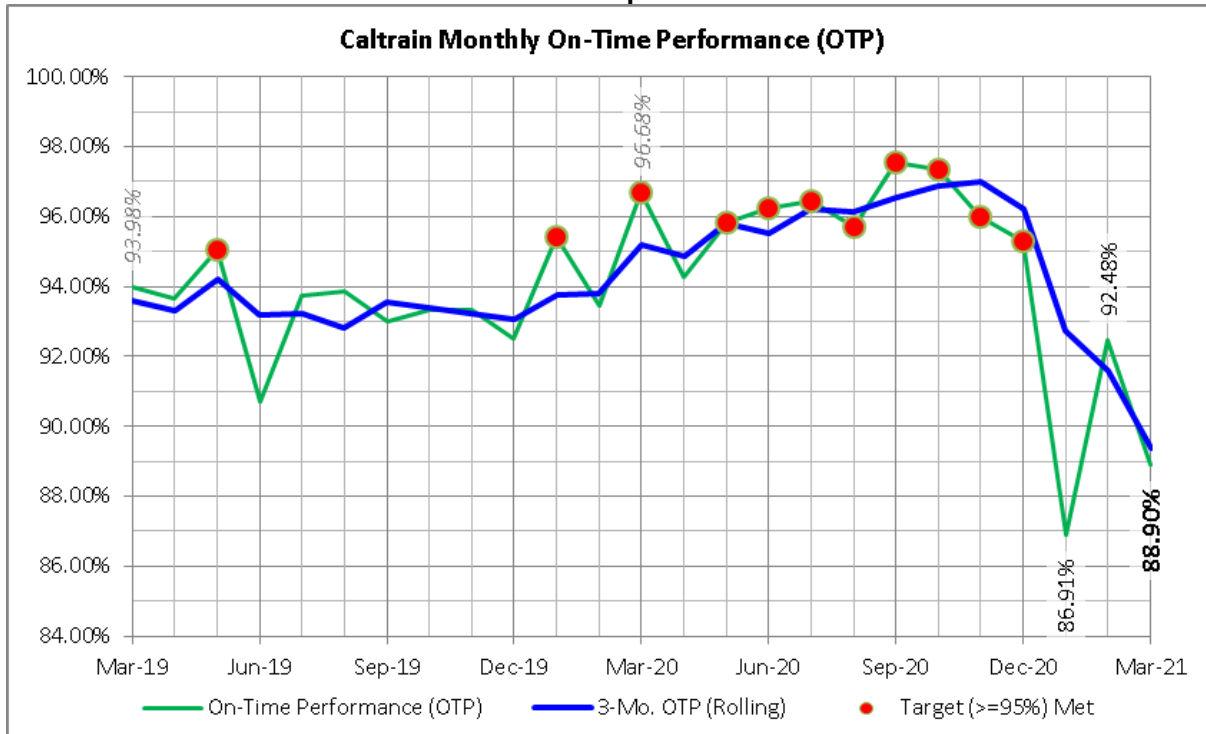
Graph C



Graph D



Graph E



Caltrain Communication and Marketing Campaigns for March 2021:

- 20% Off Caltrain Monthly Pass
- Service Changes to Maintain Regional Connections and Improve Service
- Free Rides to Vaccination Sites Along Rail Corridor
- New Bike Lockers Throughout Corridor
- Upgraded Ticket/Clipper Vending Machines
- Transit Driver Appreciation Day
- New EMU video

Caltrain Digital Metrics: March 2021



New Followers	342
Mar 21	179,371
Feb 21	179,029
Mar 20	180,020

Top Topics	
Electrification	133
Media	51
Crime	50
Compliments	42
COVID/Delays	33

Caltrain.com Sessions

Mar 21	158,484
Feb 21	112,404
Mar 20	332,360

Social Engagement

Video Views	80,400
Impressions	2,076,530
Interactions	29,811

Notes

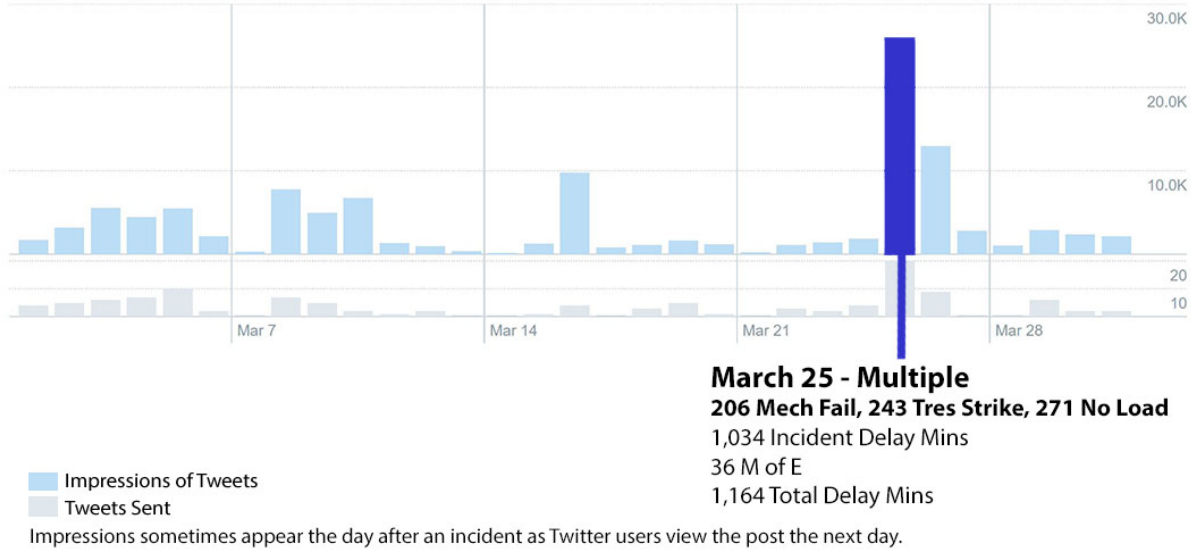
Pueblo EMU vid went viral, drove video views & TikTok growth.
Diridon assault drove engagement.

Yelp/FB Rating

Overall	2.75
Monthly	N/A

Twitter Impression Spikes @CaltrainAlerts account March, 2021

Your Tweets earned **115.5K impressions** over this **31 day** period



Prepared by:	Patrice Givens, Administrative Analyst II	650.508.6347
	James Namba, Marketing Specialist	650.508.7924
	Jeremy Lipps, Manager, Digital Communication	650.622.7845

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

DATE: April 22, 2021

TO: JPB Finance Committee

THROUGH: Michelle Bouchard
Acting Executive Director

FROM: Derek Hansel
Chief Financial Officer

SUBJECT: **April 26, 2021 Finance Committee Report of the Chief Financial Officer**

HIGHLIGHTS

- \$6.9 million from the CRRSAA phase 1 allocation has been received.
- The Phase 2 allocation of CRRSAA funds was approved by the MTC Board at its March 24, 2021 meeting. These funds have now been approved by the FTA and we are proceeding with the draw down process.
- The adopted FY2021 budget contemplated a draw of \$15.3 million on the operating line of credit, and a draw down of approximately \$7 million in reserves. While we have drawn down the line of credit, and we may yet make a modest draw down on reserves to address cash flow issues, we anticipate the combination of expense control and receipt of Federal funding through the Phase 2 CRRSAA allocation will allow us to replenish the reserves and reduce the outstanding balance of the line of credit.

- The Budgets Department is working to prepare the preliminary Fiscal Year 2022 Operating and Capital Budgets, which will be presented to the Finance Committee at its April 26, 2021 meeting, and to the Board at its May 6, 2021 meeting.
- The Treasury Department is working diligently on implementation of a comprehensive financing plan which would address replacement of our existing lines of credit.
- The Staff Report on the Statement of Revenues and Expenses for the Period Ending February 28, 2021 follows.

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michelle Bouchard
Acting Executive Director

FROM: Derek Hansel
Chief Financial Officer

**SUBJECT: STATEMENT OF REVENUES AND EXPENSES FOR THE PERIOD ENDING
MARCH 31, 2021**

Finance Committee Recommendation Work Program-Legislative-Planning Committee Recommendation Staff Coordinating Council Reviewed Staff Coordinating Council Recommendation

ACTION

Staff proposes that the Board of Directors (Board) of the Peninsula Corridor Joint Powers Board (JPB) accept and enter into the record the Statement of Revenues and Expenses for the month of March 2021.

This staff report provides a brief discussion of significant items and trends on the attached Statement of Revenues and Expenses through March 31, 2021. The statement has been designed to follow the Agency-wide line item rollup as included in the approved budget. The columns have been designed to provide easy comparison of year-to-date current actuals to the budget including dollar and percentage variances.

SIGNIFICANCE

Annual Forecast: The annual forecast was updated based on actual revenue and expense trends through March 2021. The forecast was derived by analyzing trends and reviewing details with cost center managers.

Forecast Revenues: Total revenue (page 1, line 18) is forecast \$5.3 million higher than budget. This is driven primarily by \$6.9M phase one allocation from the Coronavirus Response and Relief Supplemental Appropriations Act (CRRSAA). The phase two allocation is currently not reflected in the FY21 forecast due to uncertainty around whether funds would be distributed in fiscal year 2021. The revenue increase is partially offset by lower Farebox Revenue (page 1, line 1) which is \$1.4M lower than budget due to a 50% discount on the Go Pass program and lower than anticipated Go Pass renewals as companies continue to assess their return to work plans and by Shuttles Revenue (page 1, line 3) which is \$0.3 million lower than budget due to lower shuttle service as routes have been reduced or suspended due to low ridership.

Forecast Expenses: Total Expense (page 1, line 49) is \$4.0 million lower than budget. The variance is primarily due to lower expense trends. Rail Operator Service (page 1, line 24) is \$1.0 million lower than budget due to under-runs in services. Shuttles Services

(page 1, line 26) is \$0.5 million lower than budget due to reduction or suspended service as result of low ridership. Facilities & Equipment Maintenance (page 1, line 31) is lower than budget by \$0.9 million due to lower Clipper Operator Charges as a result of lower ridership and under-runs in other contract services. Managing Agency OH (page 1, line 39) is lower than budget by \$1.6 million due to the change in the cost allocation methodology effective January 1, 2021. This included an update to the basis for the cost allocations. As a result, the managing agency overhead costs allocated to the JPB Operating Budget is expected to decrease. Professional Services (page 1, line 41) is lower than budget by \$0.4 million as a result of under-runs in various planning studies and less consultant services. This is partially offset by Fuel & Lubricants (page 1, line 27) which is \$0.4 million higher than budget due to rising diesel prices.

Year to Date Revenues: As of March year-to-date actual, the Grand Total Revenue (page 1, line 18) is \$5.3 million higher than the approved budget. This is primarily driven by CRRSAA fund draw which is partially offset by decrease of contributions from JPB Member Agencies (page 1, line 12).

Year to Date Expenses: As of March year-to-date actual, the Grand Total Expense (page 1, line 49) is \$9.7 million lower than the approved budget. This is primarily driven by Rail Operator Service (page 1, line 24), Facilities and Equipment Maintenance (page 1, line 31), Wages and Benefits (page 1, line 38), Managing Agency Admin OH Cost (page 1, line 39), Professional Services (page 1, line 41), and Other Office Expenses and Services (page 1, line 43).

Other Information: The Agency accounts for revenue and expenditures on a modified cash basis (only material revenues and expenses are accrued) in the monthly financial statements. Due to the impact of Covid-19 pandemic, the variance between the current year actual and the budget shows noticeable variances due to the timing of expenditures.

BUDGET IMPACT

There are no budget amendments for the month of March 2021.

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 2021
March 2021

	% OF YEAR ELAPSED							75.0%
	JULY - MARCH				ANNUAL			
	CURRENT ACTUAL	APPROVED BUDGET	\$ VARIANCE	% VARIANCE	APPROVED BUDGET	FORECAST	\$ VARIANCE	
REVENUE								
OPERATIONS:								
1 Farebox Revenue	26,717,258	26,724,249	(6,991)	(.0%)	32,029,149	30,630,341	(1,398,808)	
2 Parking Revenue	245,432	295,318	(49,887)	(16.9%)	372,718	372,718	-	
3 Shuttles	1,178,709	1,476,830	(298,121)	(20.2%)	2,031,246	1,773,647	(257,599)	
4 Rental Income	819,938	837,628	(17,690)	(2.1%)	1,111,804	1,111,804	-	
5 Other Income	1,000,819	1,288,383	(287,564)	(22.3%)	1,764,000	1,764,000	-	
6								
7 TOTAL OPERATING REVENUE	29,962,155	30,622,408	(660,253)	(2.2%)	37,308,917	35,652,510	(1,656,407)	
8								
9 CONTRIBUTIONS:								
10 AB434 Peninsula & TA Shuttle Funding	1,375,036	1,302,401	72,635	5.6%	1,737,950	1,737,950	-	
11 Operating Grants	3,549,831	3,538,479	11,352	.3%	12,808,500	12,808,500	-	
12 JPB Member Agencies	22,145,288	23,213,000	(1,067,712)	(4.6%)	28,809,434	28,809,434	-	
13 CARES ACT Fund	41,509,536	41,507,983	1,553	.0%	41,507,983	41,507,983	-	
14 CRRSAA Fund	6,936,627	-	6,936,627	.0%	-	6,936,627	6,936,627	
15								
16 TOTAL CONTRIBUTED REVENUE	75,516,318	69,561,863	5,954,455	8.6%	84,863,867	91,800,494	6,936,627	
17								
18 GRAND TOTAL REVENUE	105,478,473	100,184,271	5,294,202	5.3%	122,172,784	127,453,004	5,280,220	
19								
20								
21 EXPENSE								
22								
23 OPERATING EXPENSE:								
24 Rail Operator Service	63,642,017	65,372,984	(1,730,967)	(2.6%)	85,109,942	84,109,942	(1,000,000)	
25 Security Services	4,728,441	5,066,434	(337,993)	(6.7%)	6,746,908	6,746,908	-	
26 Shuttle Services	2,402,650	2,936,164	(533,514)	(18.2%)	4,057,249	3,542,715	(514,534)	
27 Fuel and Lubricants	4,607,597	4,503,771	103,826	2.3%	5,930,523	6,330,523	400,000	
28 Timetables and Tickets	-	80,832	(80,832)	(100.0%)	110,000	110,000	-	
29 Insurance	5,290,291	5,306,665	(16,374)	(.3%)	5,410,000	5,410,000	-	
30 Claims, Payments, and Reserves	346,861	719,316	(372,455)	(51.8%)	960,000	960,000	-	
31 Facilities and Equipment Maintenance	1,872,857	3,931,314	(2,058,457)	(52.4%)	6,174,428	5,324,428	(850,000)	
32 Utilities	1,381,916	1,871,286	(489,370)	(26.2%)	2,100,400	2,100,400	-	
33 Maint & Services-Bldg & Other	938,233	1,191,375	(253,142)	(21.2%)	1,548,433	1,548,433	-	
34								
35 TOTAL OPERATING EXPENSE	85,210,863	90,980,141	(5,769,278)	(6.3%)	118,147,883	116,183,349	(1,964,534)	
36								
37 ADMINISTRATIVE EXPENSE								
38 Wages and Benefits	7,397,282	8,085,541	(688,259)	(8.5%)	9,836,681	9,836,681	-	
39 Managing Agency Admin OH Cost	2,641,101	3,854,513	(1,213,412)	(31.5%)	5,139,352	3,526,945	(1,612,407)	
40 Board of Directors	12,104	12,768	(664)	(5.2%)	18,000	18,000	-	
41 Professional Services	2,692,125	3,900,412	(1,208,287)	(31.0%)	5,592,524	5,147,524	(445,000)	
42 Communications and Marketing	90,984	115,794	(24,810)	(21.4%)	136,000	136,000	-	
43 Other Office Expenses and Services	727,413	2,001,631	(1,274,218)	(63.7%)	2,716,079	2,716,079	-	
44								
45 TOTAL ADMINISTRATIVE EXPENSE	13,561,009	17,970,659	(4,409,650)	(24.5%)	23,438,636	21,381,229	(2,057,407)	
46								
47 Debt Service Expense	2,648,880	2,176,314	472,566	21.7%	2,901,752	2,901,752	-	
48								
49 GRAND TOTAL EXPENSE	101,420,753	111,127,114	(9,706,361)	(8.7%)	144,488,271	140,466,331	(4,021,940)	
50								
51 NET SURPLUS / (DEFICIT)	4,057,720	(10,942,843)	15,000,563	(137.1%)	(22,315,487)	(13,013,327)	9,302,160	
52								
53 FUNDING OF SURPLUS / (DEFICIT):								
54 Draw from Reserves					7,015,487	-		
55 Short-term Borrowings					15,300,000	13,013,327		
56 FUNDED SURPLUS / (DEFICIT):					-	-		



BOARD OF DIRECTORS 2021

DEVORA "DEV" DAVIS, CHAIR
 STEVE HEMINGER, VICE CHAIR
 CINDY CHAVEZ
 JEFF GEE
 GLENN HENDRICKS
 DAVE PINE
 CHARLES STONE
 SHAMANN WALTON
 MONIQUE ZMUDA

PENINSULA CORRIDOR JOINT POWERS BOARD

INVESTMENT PORTFOLIO

AS OF MARCH 31, 2021

JIM HARTNETT
 EXECUTIVE DIRECTOR

TYPE OF SECURITY		MATURITY DATE	INTEREST RATE	PURCHASE PRICE	MARKET RATE
Local Agency Investment Fund (Unrestricted)	*	Liquid Cash	0.357%	35,039,230	35,039,230
County Pool (Unrestricted)		Liquid Cash	1.017%	554,964	554,964
Other (Unrestricted)		Liquid Cash	0.050%	67,032,857	67,032,857
Other (Restricted)	**	Liquid Cash	0.050%	14,251,241	14,251,241
				\$ 116,878,292	\$ 116,878,292

Interest Earnings for March 2021 \$ 1,278.41
 Cumulative Earnings FY2021 \$ 25,762.28

* 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: Joint Powers Board

THROUGH: Michelle Bouchard
Acting Executive Director

FROM: Derek Hansel
Chief Financial Officer

SUBJECT: **ACCEPT QUARTERLY FUEL HEDGE UPDATE**

Finance Committee Recommendation Work Program-Legislative-Planning Committee Recommendation Staff Coordinating Council Reviewed Staff Coordinating Council Recommendation

ACTION

Staff proposes the Board to review, accept, and enter into the record the presentation providing an update on the implementation of a fuel hedging strategy for Caltrain.

SIGNIFICANCE

The purpose of this presentation is to provide an update on the implementation and performance status of the Fuel Hedging Program (Program) established for Caltrain.

Under this program, the staff will continue to work with Linwood Capital, LLC in order to:

- Accumulate new fuel hedge contracts for the upcoming fiscal year as market conditions allow
- Maintain the size of the hedge in order to protect Caltrain's fuels budget against volatile price movements in the diesel fuel market.

BUDGET IMPACT

There is no impact on the budget.

BACKGROUND

The Program implemented for Caltrain is designed to minimize large budget variances resulting from the volatility of diesel fuel prices. An effective hedging strategy can increase budget certainty and facilitate more effective utilization of budgetary

resources. The purpose of the Program is not to speculate on the price of fuel but to manage risk, particularly as that relates to Caltrain's annual budget.

- As of March 31st, the hedge program realized net gains of \$261,632.30 for the time period July, 2020 through March, 2021.
- Additionally, the hedge currently reflects unrealized gains of \$451,458.00 (+0.08/gallon on all gallons through December 2022). This assumes projected consumption of 266,666 gallons per month through December 2022.
- Approximately 70.5% (64.55% after tax) of the anticipated fuel usage through December 2022 is hedged at an average price of \$1.71/gallon, excluding taxes and fees (\$2.30 with tax and fees) (versus a currently planned budget estimate of \$2.45/gallon, excluding taxes and fees) based on a 70 train/day schedule.
- The remaining un-hedged gallons through December 2022 have a projected cost of \$1.83/gallon as of 03/31/2021 excluding taxes and fees (\$2.42 with tax and fees).
- Weighted average projected cost of all gallons through December 2022 net of hedging excluding taxes and fees is \$1.75/gallon and including taxes and fees is \$2.34/gallon as of 03/31/2021.

Prepared by: Jayden Sangha, Treasury Manager

650-508-6405

PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT

TO: Joint Powers Board

THROUGH: Michelle Bouchard
Acting Executive Director

FROM: Derek Hansel
Chief Financial Officer

SUBJECT: **CALL FOR A PUBLIC HEARING ON PROPOSED FARE STRUCTURE CHANGE**



Finance Committee
Recommendation



Work Program-Legislative-Planning
Committee Recommendation



Staff Coordinating
Council Reviewed



Staff Coordinating Council
Recommendation

ACTION

Staff recommends the Board schedule a public hearing at the JPB Finance Committee on May 24, 2021 to consider extending the 20% discount on the Monthly Pass fare product through June 30, 2023.

SIGNIFICANCE

Setting the public hearing will allow staff to schedule a virtual public meeting to solicit input from customers and the general public on the proposed change to the Fare Structure, which is necessary to complete before the Board adopts the proposed change.

A Title VI Analysis is required to determine if the proposed fare change will result in any disparate impacts on minority populations or disproportionate burdens on low-income populations. The public hearing is an essential piece of public participation required for the analysis.

Though not part of the public hearing, through outreach conducted by staff, the public will also have an opportunity to provide feedback on postponing the following fare changes that were previously approved by the Board of Directors in 2019:

- Reducing the Adult One-way Clipper® discount from 55 cents to 25 cents, with corresponding changes to all Clipper products
- Three incremental fare increases occurring every other year that alternate between increasing the Base Fare by 50 cents and the Zone fare by 25 cents
- Two incremental fare increases to the Go Pass product by 5% every other year.

BUDGET IMPACT

Holding a public hearing will not impact the budget.

BACKGROUND

In response to decreased ridership from the COVID-19 pandemic, staff is working to increase ridership by extending the current temporary Monthly Pass discount until the end of Fiscal Year 2023. The goal of the discount is to incentivize riders to return to Caltrain and increase their frequency of use. The proposed discount is consistent with the Fare Policy which considers structuring fares to incentivize rider behavior in support of the agency's policy goals.

Prepared By: Ryan Hinchman, Manager Financial Planning & Analysis 650.508.7733

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michelle Bouchard
Acting Executive Director

FROM: Derek Hansel Rona Rios
Chief Financial Officer Acting Chief Communications Officer

SUBJECT: **AWARD OF ON-CALL CONTRACTS TO PROVIDE PRINTING SERVICES**

Finance Committee Recommendation Work Program-Legislative-Planning Committee recommendation Staff Coordinating Council Reviewed Staff Coordinating Council Recommendation

ACTION

Staff Coordinating Council recommends the Board:

1. Award on-call contracts to each of the firms listed below for the provision of printing services for a not-to-exceed aggregate amount of \$441,300 for a five-year term:
 - Dakota Press, Inc., San Leandro, CA
 - Essence Printing Inc., South San Francisco, CA
 - The joint venture comprised of EyeKick Visual, LLC and Bay Central Printing, Inc., San Carlos, CA

2. Authorize the Executive Director, or designee, to execute contracts with the firms in full conformity with the terms and conditions of the solicitation documents and negotiated agreements, in a form approved by legal counsel.

SIGNIFICANCE

Approval of the above actions will provide the Peninsula Corridor Joint Powers Board (JPB) with the necessary printing services required to print a variety of materials such as letterheads, business cards, brochures, newsletters, route schedules, timetables, promotional posters and system maps. The award of three contracts will provide the JPB with a broad array of printing expertise, allowing for greater flexibility in awarding work.

BUDGET IMPACT

Funds for the services are available under the approved Fiscal Year 2021 Operating Budget, and will be included in future fiscal year operating budgets.

BACKGROUND

Staff determined and issued a joint Request for Proposals (RFP), 21-S-J-S-031, with the San Mateo County Transit District (District), as this was a cost-effective approach to procure the required printing services. The solicitation was advertised on the agency's e-procurement website, which includes small business enterprises (SBE) registered in the vendor database. Staff also sent over 200 email invitations directly to printing firms. Staff received proposals from five firms.

A Selection Committee (Committee) composed of qualified staff reviewed and scored the proposals in accordance with the following weighted criteria:

- Company and Staff Qualifications, Experience & References 0 - 25 points
- Quality of Work 0 - 25 points
- Timeliness, Delivery & Shipping 0 - 20 points
- Reasonableness of Cost 0 - 30 points
- Small Business Enterprise (SBE) Preference 0 - 5 points

After review, evaluation, and ranking of proposals, the Committee determined that the three firms listed above all have the requisite depth of experience and qualifications to successfully perform the services required as detailed in the RFP scope of services.

Essence Printing is a minority-owned firm (Disadvantaged Business Enterprise), and one of the incumbents from the current contract. Essence has performed satisfactorily. Dakota Press qualified for the Small Business Enterprise preference points in the evaluation.

Staff conducted a price analysis and determined the firms' submitted rates to be fair and reasonable. The rates compared favorably to those in the JPB's current printing services contracts. Therefore, staff recommends award of an on-call contract to each of the above three firms.

The JPB's previous on-call printing services contract was awarded to Fong Brothers, Essence Printing, and Pacific Standard Print for an aggregate amount of \$504,200 for a five-year term.

Prepared By: Timothy Willson, Procurement Administrator II 650.551.6115
Project Manager: James Namba, Marketing Specialist 650.508.7924

RESOLUTION NO. 2021 –

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

*** * ***

**AWARDING ON-CALL CONTRACTS TO DAKOTA PRESS, INC., ESSENCE PRINTING, INC.
AND THE JOINT VENTURE OF EYEKICK VISUAL, LLC AND BAY CENTRAL PRINTING, INC.
FOR PRINTING SERVICES FOR AN AGGREGATE, NOT-TO-EXCEED AMOUNT OF
\$441,300 FOR A FIVE-YEAR TERM**

WHEREAS, the Peninsula Corridor Joint Powers Board (JPB) issued Request for Proposals (RFP) 21-S-J-S-031 for on-call printing services (Services); and

WHEREAS, the Services primarily consist of, but are not limited to, providing printing services such as letterheads, business cards, brochures, newsletters, route schedules, timetables, promotional posters and system maps; and

WHEREAS, in response to the RFP, the JPB received five proposals; and

WHEREAS, a Selection Committee (Committee) composed of qualified JPB staff reviewed and evaluated the proposals in accordance with the evaluation criteria set forth in the RFP; and

WHEREAS, the Committee found the proposals submitted by Dakota Press, Inc. of San Leandro, California (Dakota Press); Essence Printing, Inc. of South San Francisco, California (Essence Printing); and the joint venture comprised of EyeKick Visual, LLC and Bay Central Printing, Inc. of San Carlos, California (EyeKick Visual) to be highest-ranked; and

WHEREAS, the Committee determined that Dakota Press, Essence Printing, and EyeKick Visual possess the necessary qualifications and requisite experience to successfully provide the Services to the JPB, and will perform such Services at fair and reasonable prices; and

WHEREAS, the award to these three proposers will provide the JPB with a broad array of printing expertise, allowing for greater flexibility in awarding work; and

WHEREAS, staff and legal counsel have reviewed the proposals and determined that they comply with the requirements of the solicitation documents; and

WHEREAS, Staff Coordinating Council recommends, and the Executive Director concurs, that a five-year on-call contract for the Services be awarded to Dakota Press, Essence Printing, and EyeKick Visual for an aggregate, not-to-exceed amount of \$441,300.

NOW, THEREFORE, BE IT RESOLVED that Board of Directors of the Peninsula Corridor Joint Powers Board hereby awards these three on-call contracts for printing services to Dakota Press, Inc., Essence Printing, Inc., and the joint venture comprised of EyeKick Visual, LLC and Bay Central Printing, Inc. of San Carlos, California for a five-year term for an aggregate, not-to-exceed amount of \$441,300; and

BE IT FURTHER RESOLVED that the Board authorizes the Executive Director, or designee, to execute contracts on behalf of the JPB with each of these firms in full conformity with the terms and conditions of the solicitation documents and negotiated agreements, in a form approved by legal counsel.

Regularly passed and adopted this 6th day of May, 2021 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michelle Bouchard
Acting Executive Director

FROM: April Chan
Chief Officer, Planning, Grants and Transportation Authority

SUBJECT: **AUTHORIZE THE APPLICATION FOR AND RECEIPT OF ANNUAL CAP AND TRADE FUNDING FOR THE PROCUREMENT OF ELECTRIC MULTIPLE UNIT VEHICLES**

Finance Committee Recommendation Work Program-Legislative-Planning Committee Recommendation Staff Coordinating Council Reviewed Staff Coordinating Council Recommendation

ACTION

Staff Coordinating Council (SCC) recommends the Board authorize the Acting Executive Director, or her designee to:

1. Apply for and receive \$1,039,484 in Fiscal Year (FY) 2021 California Low Carbon Transportation Operations Program (LCTOP) funds from the State of California Department of Transportation (Caltrans) for the Peninsula Corridor Electrification Enhancement Project (PCEE); and
2. Take such actions as may be necessary to give effect to this resolution, including filing and executing annual cap-and-trade funding applications, certifications and assurances, authorized agent forms, related amendments and any other documentation required for the Peninsula Corridor Joint Powers Board (JPB) to apply for and receive LCTOP funds.

SIGNIFICANCE

The LCTOP is one of several funding programs that are part of a broad-based State effort to invest cap-and-trade auction proceeds to reduce greenhouse gas emissions as required under California's climate action law, A.B. 32. These funds are distributed annually on a formula basis to transit agencies and Metropolitan Planning Organizations, including the Metropolitan Transportation Commission (MTC). Similar to the State Transit Assistance program, transit agencies receive a portion of the funds via a formula that is based on operating revenues. Caltrans is the administering agency for the funds and requires eligible funding recipients to submit annual resolutions authorizing agency officer(s) to execute and process the application materials associated with LCTOP funds. Caltrans also requires applicants to specify the projects to receive the funds within the resolution.

For FY2021, JPB's formula allocation of LCTOP funding is \$1,039,484. The LCTOP program allows agencies to bank up to four years' worth of funding for multi-year projects, such as PCEE, which is procuring 37 additional Electric Multiple Unit (EMU) rail cars to increase capacity of the electrified Caltrain system. In 2018, PCEE received a \$164 million award from the State's Transit Intercity Rail Capital Program (TIRCP) toward a total project cost of \$203 million, requiring JPB to provide \$39 million in matching funds over the life of the EMU procurement. To date, \$13 million has been identified and, given the need for additional matching funds, LCTOP funding is an ideal complement to the PCEE project funding plan.

BUDGET IMPACT

There is no budget impact associated with this action. Budget authority for the \$1.04 million is included as part of the FY2019 Capital Budget under the PCEE project. A total of \$4.6 million in LCTOP funds, including these proposed FY2021 funds, are estimated to be part of the overall funding plan for PCEE.

BACKGROUND

The LCTOP provides capital funding as well as operational assistance for expanded transit service to reduce greenhouse gas emissions and improve mobility. The LCTOP program is funded annually with 5 percent of the auction proceeds from the State's cap-and-trade program.

The JPB has received \$7.21 million in LCTOP funds during the last four years, all of which are being used for the Peninsula Corridor Electrification Project (PCEP). The funding plan for PCEP initially included \$9 million in LCTOP funding, but the program guidelines only allow agencies to apply four years of funding to a single project. As a result, PCEP will have a small funding gap of \$1.79 million, which will be closed with American Rescue Plan Act funding specifically earmarked for PCEP.

Prepared by: Leslie Fong, Senior Grants Analyst

650.508.6332

RESOLUTION NO. 2021 –

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

*** * ***

**AUTHORIZING THE APPLICATION FOR AND RECEIPT OF ANNUAL CAP AND TRADE FUNDING
FOR THE PROCUREMENT OF ELECTRIC MULTIPLE UNIT VEHICLES**

WHEREAS, the Peninsula Corridor Joint Powers Board (JPB) is an eligible project sponsor and may receive State cap and trade funding from the Low Carbon Transit Operations Program (LCTOP) now or sometime in the future for transit projects; and

WHEREAS, the statutes related to State-funded transit projects require a local or regional implementing agency to abide by various regulations; and

WHEREAS, Senate Bill 862 (2014) named the California Department of Transportation (Caltrans) as the administrative agency for the LCTOP; and

WHEREAS, Caltrans has developed guidelines for the purpose of administering and distributing LCTOP funds to eligible project sponsors, including the JPB; and

WHEREAS, the JPB wishes to use Fiscal Year (FY) 2021 LCTOP funds allocated to the JPB for the Peninsula Corridor Electrification Enhancement Project (PCEE); and

WHEREAS, the PCEE will help fund the purchase of up to 37 additional Electric Multiple Unit (EMU) rail cars to increase capacity of the electrified Caltrain system; and

WHEREAS, the Staff Coordinating Council recommends that the JPB Board of Directors authorize the Acting Executive Director, or her designee, to:

1. Apply for and receive \$1,039,484 in FY2021 LCTOP funds for the PCEE; and
2. File and execute annual cap-and-trade funding applications, certifications and assurances, authorized agent forms, agreements, related amendments,

and any other documents required for the JPB to apply for and receive LCTOP funding.

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the Peninsula Corridor Joint Powers Board, hereby:

1. Agrees to comply with all conditions and requirements set forth in the annual certifications and assurances, authorized agent forms and any applicable statutes, regulations and guidelines for all Low Carbon Transit Operations Program-funded transit projects; and
2. Authorizes the Acting Executive Director, or her designee, to apply for and receive from the California Department of Transportation \$1,039,484 in FY2021 LCTOP funds for the Peninsula Corridor Electrification Enhancement Project, which will help fund the purchase of up to 37 additional Electric Multiple Unit vehicles; and
3. Authorizes the Acting Executive Director, or her designee, to take such actions as may be necessary to give effect to this resolution, including filing and executing annual cap-and-trade funding applications, certifications and assurances, authorized agent forms, agreements, related amendments, and any other documentation that may be required for the JPB to apply for and receive LCTOP funds.

Regularly passed and adopted this 6th day of May, 2021 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary

PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT

TO: Joint Powers Board

THROUGH: Michelle Bouchard
Acting Executive Director

FROM: Derek Hansel
Chief Financial Officer

SUBJECT: **AUTHORIZE A SCOPE OF WORK TO BE PERFORMED BY METEORCOMM, LLC FOR TECHNICAL SUPPORT SERVICES**

Finance Committee Recommendation Work Program-Legislative-Planning Committee Recommendation Staff Coordinating Council Reviewed Staff Coordinating Council Recommendation

ACTION

The Staff Coordinating Council recommends the Board authorizes the Acting Executive Director, or designee, to issue a "Scope of Work" under the existing Master Product Purchase & License Agreement with Meteorcomm, LLC (MCC) of Renton, Washington for a not-to-exceed amount of \$802,000 in order to provide technical support services for MCC products and software for a three-year base term.

SIGNIFICANCE

The Caltrain Positive Train Control (PTC) System relies on radios manufactured by MCC. These radios, including the software on which the radios rely, are proprietary to MCC and are a critical component of the PTC System. The Peninsula Corridor Joint Powers Board (JPB) originally purchased the radios through its contract with its original PTC provider, Parsons Transportation Group. It was always contemplated that the JPB would contract directly with MCC for ongoing support once the radios were installed.

Pursuant to IT Resolution 2020-24, the JPB authorized an agreement between the JPB and MCC called a Master Product Purchase and License Agreement (MPPLA). Under the MPPLA, the JPB receives necessary maintenance and operation support for the MCC-provided highly-specialized radios, as well as the associated technology and software, that are a crucial component of the Caltrain PTC System. The MPPLA contemplates additional work as necessary so that the JPB may receive technical support from MCC, which is the only vendor authorized and able to support MCC radios under the MPPLA.

BUDGET IMPACT

Funding for the proposed Scope of Work will be included in the Fiscal Year 2022 and future year Operating Budgets.

BACKGROUND

The MPPLA with MCC provides for perpetual licenses, as well as the periodic support and updates necessary to keep the MCC radios operational. The MPPLA contemplates that the JPB will require additional support and troubleshooting to keep the Caltrain PTC System running. The proposed Scope of Work will provide the JPB access to MCC support through a structured help desk system. In addition, the JPB will have a bank of support hours for additional services including training, design, and technical support in the area of PTC Infrastructure.

The contemplated Scope of Work is for a three-year period at the fixed price of \$258,000 per year. Additionally, the Scope of Work includes 100 hours (over the three-year term) of on-call technical services on a time-and-materials basis. MCC's proposal was reviewed by qualified staff from the Railroad Systems Engineering department and subject matter experts who have been managing the delivery of PTC 220 Radios as part of PTC system for Caltrain. They determined that MCC's proposal met all of the JPB's requirements and the firm possesses the requisite depth of experience and required qualifications to successfully perform the scope of all services. The base price proposal was evaluated against the JPB's independent cost estimate and compared with similar tiered production technical services that are related to the PTC system. Accordingly, staff finds the price to be fair and reasonable.

Procurement Administrator II: Mary Garcia
Director of Rail Program Integration: Sherry Bullock

650.508.7767
650.622.7688

**RESOLUTION NO. 2021-
BOARD OF DIRECTORS, PENINSULA CORRIDOR JOINT POWERS BOARD
STATE OF CALIFORNIA**

* * *

**AUTHORIZING A SCOPE OF WORK TO BE PERFORMED BY METEORCOMM, LLC FOR
TECHNICAL SUPPORT SERVICES FOR A NOT-TO-EXCEED AMOUNT OF \$802,000**

WHEREAS, the Peninsula Corridor Joint Powers Board (JPB) has entered into a Master Product Purchase and License Agreement (MPPLA) with Meteorcomm, LLC (MCC) for proprietary radios and associated software critical to operation of the Caltrain Positive Train Control System; and

WHEREAS, the MPPLA contemplates that the JPB will require additional technical support services, and includes a contractual framework by which the JPB may authorize a Scope of Work for additional services subject to the MPPLA's terms and conditions; and

WHEREAS, MCC has submitted a proposal for additional technical support services, which proposal has been reviewed by the JPB's staff who found it to be acceptable and at a price deemed fair and reasonable; and

WHEREAS, Staff Coordinating Council recommends, and the Acting Executive Director concurs, that the Board of Directors authorizes issuance of a Scope of Work to MCC for ongoing Technical Support Services for the total not-to-exceed amount of \$802,000 for a three-year base term.

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby authorizes the Acting Executive Director, or

designee, to issue a Scope of Work under the MPPLA with Meteorcomm, LLC, of Renton, Washington, for a not-to-exceed amount of \$802,000 for a three-year base term.

Regularly passed and adopted this 6th day of May, 2021 by the following vote:

AYES:

Noes:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary

PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT

TO: Joint Powers Board

THROUGH: Michelle Bouchard
Acting Executive Director

FROM: John Funghi
Chief Officer, Caltrain
Modernization Program

April Chan
Chief Officer, Planning, Grants &
Transportation Authority

SUBJECT: **AUTHORIZE AN EIGHTEEN-MONTH LEASE EXTENSION AT 2121 SOUTH EL CAMINO REAL IN SAN MATEO TO SUPPORT THE CALTRAIN MODERNIZATION PROGRAM**



Finance Committee
Recommendation



Work Program-Legislative-Planning
Committee Recommendation



Staff Coordinating
Council Reviewed



Staff Coordinating Council
Recommendation

ACTION

Authorize the Executive Director to enter into an 18-month lease extension for the Peninsula Corridor Joint Power Board's (JPB) rental of office space located on the third floor of the office building, covering a total of 12,181 square feet, at 2121 South El Camino Real in San Mateo, CA. The lease extension runs from November 1, 2021 until April 30, 2023 at a total cost of \$1,130,000.

SIGNIFICANCE

The Peninsula Corridor Electrification Project (PCEP) infrastructure contract with Balfour Beatty Infrastructure, Inc. (BBII) requires PCEP to provide BBII 35 parking spaces and 12,000 square feet of office until they reach substantial completion. A 12-month extension of the lease is the minimum required at this time, but because BBII's substantial completion date is continually evolving, staff recommends that JPB secure control of the space for six additional months to account for potential changes in the BBII schedule.

BUDGET IMPACT

The total cost associated for the 18-month extension will be \$1,130,000. This covers inflation-based lease increases and Common Maintenance Area costs for which JPB is responsible. The lease extension costs are covered in the PCEP budget.

BACKGROUND

Prior to October 2014, the PCEP team was located in multiple locations throughout the Peninsula, making it difficult to efficiently deliver the program. In 2014, pursuant to Resolution 2014-47, the JPB entered into a six-year lease for office space at 2121 South El Camino Real in San Mateo with an additional single-year option to support Caltrain Modernization for an amount not to exceed \$4.8 million.

The existing lease is comprised of 12,181 square feet located on the 3rd Floor of the building at 2121 El Camino Real, along with 13,839 square feet on the ground floor, which has been occupied by BBII. The Board of Directors authorized the Executive Director to exercise the one-year lease option in April 2020, covering November 2020 through October 2021. Lease extension beyond October 2021 is only needed for the 3rd floor of the building at 2121 El Camino Real, and will not cover the ground floor space.

Prepared by: Gary Cardona, Manager,
Real Estate & Property Development

650.295.6882

RESOLUTION NO.

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

* * *

**AUTHORIZATION TO EXECUTE A LEASE AT 2121 EL CAMINO REAL IN SAN MATEO FOR A
TERM OF EIGHTEEN MONTHS TO SUPPORT
THE CALTRAIN MODERNIZATION PROGRAM**

WHEREAS, Resolution 2014-47 authorized the Peninsula Corridor Joint Powers Board (JPB) to enter into a six-year lease, with a single one-year option, to support the Caltrain Modernization Program; and

WHEREAS, Resolution 2020-15 authorized the First Amendment to the lease and it was executed on April 27, 2020 to exercise the one-year option; and

WHEREAS, the Caltrain Modernization Program requires an additional lease extension for a portion of the current leasehold area for eighteen months; and

WHEREAS, staff recommends that the Board of Directors authorize the Acting Executive Director to execute an eighteen-month extension to lease a portion of the property, which covers a total of 12,181 square feet, at 2121 El Camino Real in San Mateo, CA, for an amount not to exceed \$1.130 million.

NOW, THEREFORE, BE IT RESOLVED that the Peninsula Corridor Joint Powers Board hereby authorizes the Acting Executive Director to execute a Second Amendment to the lease for property at 2121 El Camino Real in San Mateo, CA, for eighteen months at an amount not to exceed \$1.130 million.

BE IT FURTHER RESOLVED that the Board of Directors authorizes the Acting Executive Director, or her designee, to take any other actions necessary to give effect to this resolution.

Regularly passed and adopted this 6th day of May, 2021 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

Board Secretary

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michelle Bouchard
Acting Executive Director

FROM: Rona Rios
Chief Communications Officer, Acting

SUBJECT: **STATE AND FEDERAL LEGISLATIVE UPDATE**

Finance Committee Recommendation Work Program-Legislative-Planning Committee Recommendation Staff Coordinating Council Reviewed Staff Coordinating Council Recommendation

ACTION

Staff recommends that the Board of Directors (Board) of the Peninsula Corridor Joint Powers Board (JPB) receives the attached memos. Staff will provide regular updates to the Board in accordance with Legislative Program.

SIGNIFICANCE

The 2021 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: Brent Tietjen, Government and Community Relations Officer

650-508-6495



April 9, 2021

TO: Caltrain Board of Directors

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

RE: **STATE LEGISLATIVE UPDATE – May 2021**

General Update

The Legislature returned from the one-week spring recess on April 5. Policy hearings began in March and are now beginning to ramp up. The Legislature has until April 30 to hear and refer bills to the fiscal committee of their first house. For non-fiscal bills - bills that do not need to be heard in the Appropriations Committee because they do not incur costs to the state - the Legislature has until May 7 to hear them in policy committee before sending the bills to the floor for consideration. Like last session, it is anticipated that Committee Chairs will limit the number of bills they will hear in Committee this year.

Climate Action Plan for Transportation Infrastructure (CAPTI)

On March 10, 2021, the California State Transportation Agency (CalSTA) released its draft [Climate Action Plan for Transportation Infrastructure](#) document. The plan outlines potential recommendations California can implement to invest transportation funds to better mitigate climate change, as well as support public health, safety and equity. CAPTI builds on Executive Orders [N-19-19](#) and [N-79-20](#), which were signed by Governor Gavin Newsom in 2019 and 2020 and aimed at reducing greenhouse gas (GHG) emissions in transportation, which account for more than 40 percent of all emissions in California. CalSTA developed the draft CAPTI document after input from various state agencies and stakeholder groups. The draft document is available for public comment until May 19, 2021 and CalSTA expects to adopt a final version in mid-July. In the meantime, the state will be hosting a series of workshops on the document later this month. More information on those can be found [here](#). District staff is participating in the California Transit Association's CAPTI working group helping to develop formal comments on the document.

Bills of Interest

AB 629 (Chiu) Seamless Bay Area. This bill was amended with substantive language on March 22. As currently drafted, this bill would require MTC to consult with transit agencies, local jurisdictions, county transportation agencies, and the public to establish and maintain a transit priority network for the San Francisco Bay area that designates corridors that can best support transit service. This bill would require MTC to submit a copy of *the Fare Coordination and Integration Study and Business Case* to the Legislature by February 1, 2022, as well as a follow up report on the progress of implementing the

recommendations in the study by January 1, 2023. The bill would require MTC to create a pilot program for an “accumulator pass” among operators providing service in at least three adjacent counties by July 1, 2023. This bill would require MTC in consultation with transit agencies to develop a standardized regional transit mapping and wayfinding system and to develop an implementation and maintenance strategy and funding plan for deployment of the system by July 1, 2024 and for each transit agency to use the system by July 1, 2025. The bill would require a transit operator in the Bay area to use open data standards to make available all routes, schedules, and fares in a specified data format and to track actual transmission of real-time information by transit vehicles and report that information to the commission to ensure that schedule predictions are available. The bill would require the commission to coordinate these activities and to develop an implementation and funding plan for deployment of real-time information. Finally, this bill would require MTC, Caltrans, and the operators of managed lanes in the Bay Area to take specified steps to ensure the regional managed lanes network supports seamless operation of high-capacity transit.

Grants

In late-2020, the California Transportation Commission [awarded grants](#) for three SB 1 programs – the [Solutions for Congested Corridors Program](#) (SCCP), [Local Partnership Program](#) (LPP), and the [Trade Corridor Enhancement Program](#) (TCEP). In total, approximately \$2 billion was awarded for 56 new projects throughout the state to reduce traffic, improve goods movement, increase transit service, expand California’s managed lanes network, and invest in bicycle and pedestrian improvements. According to the CTC, the funded projects would create more than 100,000 jobs over the next several years. However, the CTC will solicit applications for the next round of funding in the fall of 2021. Additionally, we expect the [Transit and Intercity Rail Capital Program](#) (TIRCP) to follow a similar schedule. We will provide more information as it becomes available.

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 4/8/2021

ACTIVE BILLS			
Bill Number (Author)	Summary	Location	Position
AB 5 (Fong R) Greenhouse Gas Reduction Fund: High-Speed Rail Authority: K-12 education: transfer.	<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 act authorizes the state board to include in its regulation of those emissions the use of market-based compliance mechanisms. Existing law requires all moneys, except for fines and penalties, collected by the state board from the auction or sale of allowances as part of a market-based compliance mechanism to be deposited in the Greenhouse Gas Reduction Fund. Existing law continuously appropriates 25% of the annual proceeds of the fund to the High-Speed Rail Authority for certain purposes. This bill would suspend the appropriation to the High-Speed Rail Authority for the 2023-24 and 2024-25 fiscal years and would require the transfer of those amounts from moneys collected by the state board to the General Fund. The bill would specify that the transferred amounts shall be available, upon appropriation, to augment funding for K-12 education and to support full-time in-person instruction for all students.</p> <p>Amended: 3/17/2021</p>	Assembly Transportation	Watch
AB 339 (Lee D) State and local government: open meetings.	<p>Existing law requires all meetings, as defined, of a house of the Legislature or a committee thereof to be open and public, and requires all persons to be permitted to attend the meetings, except as specified. This bill would require all meetings, including gatherings using teleconference technology, to include an opportunity for all persons to attend via a call-in option or an internet-based service option that provides closed captioning services and requires both a call-in and an internet-based service option to be provided to the public. The bill would require all meetings to provide the public with an opportunity to comment on proposed legislation, as provided, and requires translation services to be provided for the 10 most-spoken languages, other than English, in California, and would require those persons commenting in a language other than English to have double the amount of time as those giving a comment in English, if time restrictions on public comment are utilized, except as specified. The bill would require instructions on how to attend the meeting to be posted at the time notice of the meeting is publicized, as specified. This bill contains other related provisions and other existing laws.</p>	Assembly Print	Watch

Bill Number (Author)	Summary	Location	Position
	Introduced: 1/28/2021		
<p><u>AB 361</u> (<u>Rivas, Robert</u> D)</p> <p>Open meetings: local agencies: teleconferences.</p>	<p>Existing law, the Ralph M. Brown Act requires, with specified exceptions, that all meetings of a legislative body of a local agency, as those terms are defined, be open and public and that all persons be permitted to attend and participate. The act contains specified provisions regarding the timelines for posting an agenda and providing for the ability of the public to directly address the legislative body on any item of interest to the public. The act generally requires all regular and special meetings of the legislative body be held within the boundaries of the territory over which the local agency exercises jurisdiction, subject to certain exceptions. The act allows for meetings to occur via teleconferencing subject to certain requirements, particularly that the legislative body notice each teleconference location of each member that will be participating in the public meeting, that each teleconference location be accessible to the public, that members of the public be allowed to address the legislative body at each teleconference location, that the legislative body post an agenda at each teleconference location, and that at least a quorum of the legislative body participate from locations within the boundaries of the local agency's jurisdiction. The act provides an exemption to the jurisdictional requirement for health authorities, as defined. The act authorizes the district attorney or any interested person, subject to certain provisions, to commence an action by mandamus or injunction for the purpose of obtaining a judicial determination that specified actions taken by a legislative body are null and void. This bill would authorize a local agency to use teleconferencing without complying with the teleconferencing requirements imposed by the Ralph M. Brown Act when a legislative body of a local agency holds a meeting for the purpose of declaring or ratifying a local emergency, during a declared state of emergency or local emergency, as those terms are defined, when state or local health officials have imposed or recommended measures to promote social distancing, and during a declared local emergency provided the legislative body makes certain determinations by majority vote. The bill would require legislative bodies that hold teleconferenced meetings under these abbreviated teleconferencing procedures to give notice of the meeting and post agendas, as described, to allow members of the public to access the meeting and address the legislative body, to give notice of the means by which members of the public may access the meeting and offer public comment, including an opportunity for all persons to attend via a call-in option or an internet-based service option, and to conduct the meeting in a manner that protects the statutory and constitutional rights of the parties and the public appearing before the legislative body. The bill would require the legislative body to take no further action on agenda items when there is a disruption which prevents the</p>	<p>Assembly Local Government</p>	<p>Watch</p>

Bill Number (Author)	Summary	Location	Position
	<p>public agency from broadcasting the meeting, or in the event of a disruption within the local agency's control which prevents members of the public from submitting public comments, until public access is restored. The bill would specify that actions taken during the disruption are subject to challenge proceedings, as specified. The bill would prohibit the legislative body from requiring public comments to be submitted in advance of the meeting and would specify that the legislative body must provide an opportunity for the public to address the legislative body and offer comment in real time. When there is a continuing state of emergency, local emergency, or when state or local officials have imposed or recommended measures to promote social distancing, the bill would require a legislative body to make specified findings not later than 30 days after the first teleconferenced meeting pursuant to these provisions, and to make those findings every 30 days thereafter, in order to continue to meet under these abbreviated teleconferencing procedures. This bill contains other related provisions and other existing laws.</p> <p>Amended: 4/6/2021</p>		
<p>AB 629 (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. This bill would require the commission on or before February 1, 2022, to submit a copy of a specified transit fare study undertaken by the commission to certain committees of the Legislature. The bill would require the commission to submit a report on or before January 1, 2023, to those entities on the progress of implementing the recommendations of that study. This bill contains other related provisions and other existing laws.</p> <p>Amended: 3/22/2021</p>	<p>Assembly Transportation 4/26/2021 2:30 p.m. - State Capitol, Assembly Chamber ASSEMBLY TRANSPORTATION, FRIEDMAN, Chair</p>	<p>Watch</p>
<p>AB 703 (Rubio, Blanca D) Open meetings: local agencies: teleconferences.</p>	<p>Existing law, the Ralph M. Brown Act, requires, with specified exceptions, that all meetings of a legislative body of a local agency, as those terms are defined, be open and public and that all persons be permitted to attend and participate. The act contains specified provisions regarding the timelines for posting an agenda and providing for the ability of the public to observe and provide comment. The act allows for meetings to occur via teleconferencing subject to certain requirements, particularly that the legislative body notice each teleconference location of each member that will be participating in the public meeting, that each teleconference location be accessible to the public, that members of the public be allowed to address the legislative body at each teleconference location, that the legislative body post an agenda at each teleconference location, and that at least a quorum of the legislative body participate from locations within the boundaries of the local</p>	<p>Assembly Local Government</p>	<p>Watch</p>

Bill Number (Author)	Summary	Location	Position
	<p>agency’s jurisdiction. The act provides an exemption to the jurisdictional requirement for health authorities, as defined. This bill would remove the requirements of the act particular to teleconferencing and allow for teleconferencing subject to existing provisions regarding the posting of notice of an agenda and the ability of the public to observe the meeting and provide public comment. The bill would require that, in each instance in which notice of the time of the teleconferenced meeting is otherwise given or the agenda for the meeting is otherwise posted, the local agency also give notice of the means by which members of the public may observe the meeting and offer public comment and that the legislative body have and implement a procedure for receiving and swiftly resolving requests for reasonable accommodation for individuals with disabilities, consistent with the federal Americans with Disabilities Act, as provided. This bill contains other related provisions and other existing laws.</p> <p>Introduced: 2/16/2021</p>		
<p>AB 823 (Gray D) High-Speed Rail Authority: trains powered by fossil fuel combustion engines.</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 high-speed rail system to be designed to use electric trains. Existing law authorizes the authority, upon receiving legislative or voter approval, to enter into contracts with private or public entities for the design, construction, and operation of high-speed trains. This bill would prohibit the authority from directly or indirectly using local, state, federal, or any other public or private funding to purchase, lease, operate, or maintain a passenger or freight train powered by a diesel engine or other type of fossil fuel combustion engine, and from enabling such a train to operate on authority-owned rail infrastructure designed for speeds in excess of 125 miles per hour, except as specified.</p> <p>Introduced: 2/16/2021</p>	Assembly Transportation	Watch
<p>AB 1116 (Friedman D) High-Speed Rail Authority: oversight: Legislative Analyst’s Office.</p>	<p>Existing law creates the High-Speed Rail Authority with specified powers and duties related to the development and implementation of a high-speed train system. Existing law, pursuant to the Safe, Reliable High-Speed Passenger Train Bond Act for the 21st Century, approved by the voters as Proposition 1A at the November 4, 2008, statewide general election, provides for the issuance of \$9.95 billion in general obligation bonds for high-speed rail and related rail purposes. This bill would require the Legislative Analyst’s Office, for the purpose of reviewing the planning, financing, expenditures, and other elements of the statewide high-speed rail system, to review any materials submitted to the authority and documents the authority requests from contractors, consultants, or external parties, as specified, and to provide recommendations to the policy and budget committees of the Legislature regarding the statewide high-speed rail system and the development of shared mobility systems statewide. The bill would require the authority, and any</p>	Assembly Transportation	Watch

Bill Number (Author)	Summary	Location	Position
	<p>entity contracting with the authority, to provide to the Legislative Analyst’s Office any information that it requests and to permit representatives of the Legislative Analyst’s Office to attend the authority’s internal meetings. The bill would repeal these requirements on January 1, 2031.</p> <p>Introduced: 2/18/2021</p>		
<p>AB 1157 (Lee D)</p> <p>Controller: transportation funds: distribution and reporting requirements.</p>	<p>Existing law, for purposes of the State Transit Assistance Program, requires local transportation agencies to report to the Controller by June 15 of each year the public transportation operators within its jurisdiction that are eligible to claim specified local transportation funds. This bill would instead require local transportation agencies to report this information within 7 months after the end of each fiscal year. This bill contains other related provisions and other existing laws.</p> <p>Amended: 3/15/2021</p>	<p>Assembly Appropriations</p>	<p>Watch</p>
<p>AB 1235 (Patterson R)</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 High-Speed Rail Oversight Committee consisting of 3 Members of the Senate and 3 Members of the Assembly to provide ongoing and independent oversight of the high-speed rail project by performing specified duties, and would require the committee to make recommendations to the appropriate standing policy and budget committees of both houses of the Legislature to guide decisions concerning the state’s programs, policies, and investments related to high-speed rail. The bill would require the authority to provide the committee with certain documents and information within prescribed timelines, and would require the authority to permit the chairperson of the committee, or the chairperson’s designee, to attend meetings of any internal governance committees related to project oversight, as provided.</p> <p>Introduced: 2/19/2021</p>	<p>Assembly Transportation</p>	<p>Watch</p>
<p>ACA 1 (Aguiar-Curry D)</p> <p>Local government</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,</p>	<p>Assembly Print</p>	<p>Supported February 2021</p>

Bill Number (Author)	Summary	Location	Position
financing: affordable housing and public infrastructure: voter approval.	<p>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>Introduced: 12/7/2020</p>		
<p>SB 44 (Allen D)</p> <p>California Environmental Quality Act: streamlined judicial review: environmental leadership transit projects.</p>	<p>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 (EIR) 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. CEQA establishes a procedure by which a person may seek judicial review of the decision of the lead agency made pursuant to CEQA. This bill contains other existing laws.</p> <p>Amended: 4/5/2021</p>	<p>Senate Judiciary</p> <p>4/13/2021 1:30 p.m. - Senate Chamber SENATE JUDICIARY, UMBERG, Chair</p>	<p>Supported February 2021</p>

Bill Number (Author)	Summary	Location	Position
<p>SB 339 (Wiener D)</p> <p>Vehicles: road usage charge pilot program.</p>	<p>Existing law requires the Chair of the California Transportation Commission to create a Road Usage Charge (RUC) Technical Advisory Committee in consultation with the Secretary of Transportation. Under existing law, the purpose of the technical advisory committee is to guide the development and evaluation of a pilot program to assess the potential for mileage-based revenue collection as an alternative to the gas tax system. Existing law requires the technical advisory committee to study RUC alternatives to the gas tax, gather public comment on issues and concerns related to the pilot program, and make recommendations to the Secretary of Transportation on the design of a pilot program, as specified. Existing law repeals these provisions on January 1, 2023. This bill would extend the operation of these provisions until January 1, 2027. The bill would require the Transportation Agency, in consultation with the California Transportation Commission, to implement a pilot program to identify and evaluate issues related to the collection of revenue for a road charge program, as specified. The bill would require the RUC Technical Advisory Committee to make recommendations to the Transportation Agency on the design of the pilot program, including the group of vehicles to participate. The bill would require that if a group of vehicles other than state-owned vehicles is selected, that participation in the program be voluntary. The bill would require the Transportation Agency to convene a state agency work group, as specified, to implement the pilot program and to design a process for collecting road charge revenue from vehicles. The bill would require that participants in the program be charged a mileage-based fee, as specified, and receive a credit or a refund for fuel taxes or electric vehicle fees, as specified. The bill would require that the pilot program not affect funding levels for a program or purpose supported by state fuel tax and electric vehicle fee revenues. The bill would require the Transportation Agency to submit reports to the Legislature, as specified.</p> <p>Amended: 4/5/2021</p>	<p>Senate Transportation</p> <p>4/13/2021 9 a.m. - Senate Chambers SENATE TRANSPORTATION, GONZALEZ, LENA, Chair</p>	<p>Supported April 2021</p>
<p>SB 771 (Becker D)</p> <p>Sales and Use Tax Law: zero emissions vehicle exemption.</p>	<p>Existing state sales and use tax laws impose a tax on retailers measured by the gross receipts from the sale of tangible personal property sold at retail in this state or on the storage, use, or other consumption in this state of tangible personal property purchased from a retailer for storage, use, or other consumption in this state. The Sales and Use Tax Law provides various exemptions from those taxes. This bill, on or after January 1, 2022, would provide an exemption from those taxes with respect to the sale in this state of, and the storage, use, or other consumption in this state of, an electric or a hybrid electric vehicle for which the final listing price is not greater than \$25,000. This bill contains other related provisions and other existing laws.</p> <p>Introduced: 2/19/2021</p>	<p>Senate Gov. & F.</p>	<p>Watch</p>

Holland & Knight

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Caltrain As of April 5, 2021 Transportation Report

President Biden Unveils American Jobs Plan

- On March 31, President Joe Biden introduced the [American Jobs Plan of 2021](#), requesting \$2 trillion over eight years to modernize the nation's infrastructure and create 19 million jobs
- This infrastructure includes roads, bridges and ports, but also addresses broadband access, resiliency, the climate crisis, waterways and housing. To pay for the plan, the president suggests a corporate tax hike over 15 years, among other modifications to the tax code.
- The pay-for President Biden's plan comes in the form of a \$2 trillion tax increase on corporations. Administrations officials settled on a proposed tax rate hike, from 21% to 27%, in order to fund the American Jobs Plan. The White House expects that taxing corporations at a new, higher level will sustain funding for its projects over the course of 15 years.
 - The Biden Administration, specifically Chief of Staff, Ron Klain, has encouraged those who oppose a corporate tax rate increase to propose their own form of payment strategy.
- The American Jobs Plan is the first of a two-part package. The second package, the American Families Plan, is expected to be released in the next few weeks.
- Currently, no Republicans are on board to support the plan, claiming the price tag is too high and the definition of infrastructure is too broad. Senator Joe Manchin (D-WV) also opposes the plan's current 28% corporate tax rate, offering support only to a proposal with a 25% or lower corporate tax rate.
- In addition, funding details are limited. Last week, Transportation Secretary Buttigieg ruled out plans to increase federal gas tax or charge a drivers fee based on miles driven in order to pay for the plan, stating that the American public “will be hearing a lot more details in the coming days about how we envision to be able to fund this.”
- The plan includes \$621 billion for transportation in addition to another surface transportation bill that would be funded at the same or higher than the FAST Act (which is set to expire in September). The plan calls for:

- \$115 billion in repairing bridges, highways, and roads
- \$20 billion on road safety
- \$80 billion to improve the rail network—including modernizing the Northeast Corridor and addressing Amtrak’s repair backlog
- \$175 billion to give point of sale rebates and tax incentives to EV consumers and to create grant and incentive programs for state and local government and the private sector. Will also create a new Clean Buses for Kids program that will electrify ,at minimum, 20% of the school bus fleet
- \$25 billion in airport improvements
- \$17 billion in land ports and inland waterways
- Biden’s proposal also includes an equity program, which would create a \$20 billion program to address discrimination in transportation construction. This program will seek to “reconnect neighborhoods cut off by historic investments and ensure new projects increase opportunity, advance racial equity and racial justice, and promote affordable access.”
- Senate Majority Leader Schumer has been [exploring](#) different outlets to pass both steps in Biden's two-part plan by only a simple majority. The move comes as some moderates in the party have hoped that leadership would make a more direct effort to work with Republicans to pass an infrastructure bill.
 - Aides in the Majority Leader's Office have been engaged in conversation with the Senate parliamentarian over whether or not the 2021 budget resolution provides grounds for passing a more extensive, two-part infrastructure plan.

President Biden Unveils \$1.52 Trillion Budget, Eyes Domestic Funding Boost

- On Friday, April 9, President Biden unveiled a \$1.5 trillion annual budget for fiscal year (FY) 2022, \$118 billion higher than the regular 2020 appropriations, featuring a significant 16 percent boost in nondefense spending. The \$769 billion nondefense budget, which covers federal agencies such as DOT, Health and Human Services (HHS), Justice and Education, is a \$105.7 billion increase from the current level.
- Administration officials, who say that the government has underinvested in domestic spending for years, noted that it would be roughly in line with the 30-year nondefense average of 3.3 percent of gross domestic product. If enacted, the budget would be a change from historical trends, putting more resources into nondefense programs than defense.
- In a stark reversal from four years of budget requests from President Trump, which sought to slash funding for major agencies but were routinely dismissed by Congress, the Biden administration budget request beefs up government agencies, including a 40.8 percent increase

for Education, a 27.7 percent increase for Commerce, a 23.1 percent increase for HHS and a 16 percent increase for Agriculture.

- The path ahead remains unclear. Republicans, whose votes are needed to pass appropriations bills in the Senate, have already begun raising alarms over spending levels on big-ticket items such as the most recent \$1.9 trillion COVID-19 relief bill and Biden’s proposed \$2.3 trillion infrastructure bill, which is separate from the annual spending proposed in Friday’s request.

Agency/Program	Request	Vs. FY 2021
Agriculture	\$27.8 Billion	+ \$3.8 Billion
Commerce	\$11.4 Billion	+ \$2.5 Billion
Defense	\$715 Billion	+ \$11.3 Billion
Education	\$102.8 Billion	+ \$29.8 Billion
Energy	\$46.1 Billion	+ \$4.3 Billion
Health and Human Services	\$133.7 Billion	+ \$25.1 Billion
Homeland Security	\$52.0 Billion	+ \$0.1 Billion
Housing and Urban Development	\$68.7 Billion	+ \$9.0 Billion
Interior	\$17.4 Billion	+ \$2.4 Billion
Justice	\$35.2 Billion	+ \$1.8 Billion
Labor	\$14.2 Billion	+ \$1.7 Billion
State and International Programs	\$63.5 Billion	+ \$6.8 Billion
Transportation	\$25.6 Billion	+ \$3.2 Billion
Treasury	\$14.9 Billion	+ \$1.4 Billion
Veterans Affairs	\$113.1 Billion	+ \$8.5 Billion
Corps of Engineers	\$6.8 Billion	- \$1.0 Billion
Environmental Protection Agency	\$11.2 Billion	+ \$2.0 Billion
General Services Administration	\$1.5 Billion	+ \$2.5 Billion
National Aeronautics and Space Administration	\$24.7 Billion	+ \$1.5 Billion
National Science Foundation	\$10.2 Billion	+ \$1.7 Billion
Small Business Administration	\$0.9 Billion	+ \$0.1 Billion
Social Security Administration	\$9.7 Billion	+ \$1.0 Billion

Secretary Buttigieg Announces Funding from American Rescue Plan

- On March 29, the Federal Transit Administration (FTA) [announced](#) on March 29 a total of \$30.5 billion in Federal funding from the American Rescue Plan for transit systems to offset service cuts, protect employees and strengthen the economy.
 - The San Francisco urbanized area received over \$1.25 billion.

Secretary Buttigieg Testifies in Front of House Transportation Committee

- On March 25, the House Transportation & Infrastructure Committee held a [hearing](#) entitled, “The Biden Administration's Priorities for Transportation Infrastructure.”

- Specifically, the hearing focused on President Biden’s Build Back Better initiative and Transportation Secretary Buttigieg’s vision for the department. The hearing signaled that there will be significant investments in transportation infrastructure over the next four years with specific focuses on sustainable and equitable transportation infrastructure initiatives.
- There was consensus within the Committee about the need for bipartisanship to ensure that any major infrastructure bill addresses issues facing all American communities, not just Democrat or Republican policy desires. Furthermore, there was a strong desire, on both sides of the aisle, to see taxpayer money go to critical infrastructure needs and long-term infrastructure projects that counter Chinese advances. Simply put, there was broad agreement that the American public needs and wants a better national infrastructure and as a result of a better system, individuals, American businesses, and the country’s economy as a whole would benefit.
- Lawmakers were split over how important climate consideration should be in the funding and grants process. There was some contention on the point of potential high-speed rail systems. Some viewed previous failures by the Obama and Trump Administrations as reason to not funnel money into expensive rail projects, to which Secretary Buttigieg respectfully disagreed.
- Lastly, there was a significant talk about where the funding for such an ambitious plan would come from. Secretary Buttigieg maintained that a public-private partnerships should be explored. Furthermore, appropriations from Congress, discussion of a vehicle miles traveled (VMT) tax, a national infrastructure bank, and grants would be considered to ensure that the funding for this bill exists. The Secretary stressed the importance of innovation and relying on American ingenuity to take advantage of this once-in-a-generation opportunity to rebuild American infrastructure in an equitable, forward-thinking, and resilient way.

FHWA to Provide Guidance on Charging Stations for Electric Vehicles

- On March 24, Federal Highway Administration (FHWA) acting administrator, Stephanie Pollack, said that it is time that the FHWA starts “thinking differently” stretches of land alongside and between highways. These stretches of land will potentially be used to create a national charging network as a part of President Biden’s plan.
- To rethink how this land is being utilized, FHWA will implement a process with guidance on how to and work to:
 - Broadly define what can go into existing policy to encourage charging and renewable energy;
 - create climate resilient infrastructure; and
 - work closely with FTA and FRA to make transit more accessible.

- Through all the policies FHWA does, climate and equity will be the focal point of all future projects



BOARD OF DIRECTORS 2021

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MICHELLE BOUCHARD
ACTING EXECUTIVE DIRECTOR

April 14, 2021

Peninsula Corridor Joint Powers Board
1250 San Carlos Avenue
San Carlos, CA 94070

Re: Caltrain Advocacy for Federal Investment in Corridor Projects

Dear Peninsula Corridor Joint Powers Board,

In 2019, the Peninsula Corridor Joint Powers Board adopted Caltrain's Long Range Service Vision (fact sheet attached) – the culmination of a multi-year planning process known as the Caltrain Business Plan. This ambitious Service Vision is a blueprint for growth that outlines how Caltrain will work with its partners and communities to build upon the ongoing investment in Caltrain Electrification, linking individual projects and investments into a cohesive corridor-wide program that will ultimately deliver the high-frequency blend of regional rail and statewide high speed service that our corridor, region and state need. When fully achieved in 2040, the Service Vision will provide electrified rail service from Downtown San Francisco to Gilroy, improve regional and statewide connectivity, reduce travel times, and support ridership of 180,000 Caltrain passengers every weekday – the equivalent of adding 5.5 new freeway lanes worth of capacity to US 101. The Service Vision will also deliver tremendous environmental benefits, reducing 110 metric tons of GHG emissions every day and taking nearly a million vehicle miles off of Bay Area roads.

As you are likely aware, there are a number of near-term opportunities for Caltrain and its partners to pursue federal funding that will help advance the critical transportation programs and investments needed to support the overall development of the Service Vision and the rail corridor linking San Francisco, San Mateo and Santa Clara counties. Specifically, Caltrain is actively focused on advocacy opportunities relative to the following federal efforts;

- The INVEST in America Act (Reauthorization of the Surface Transportation Bill, previously known as the FAST Act)
 - Programmatic Requests
 - Member Designated Transportation Project (Earmarks) Request (under \$5 million)

- House Appropriations Committee
 - Community Project Funding Requests (Earmarks) (under \$1 million)
- The American Jobs Plan (President Biden’s recently announced stimulus bill focused on infrastructure)
 - Monitor as Congress begins to draft text and advocate for additional funding for investments in transit and transportation

As critical Caltrain partners we want to share our advocacy efforts with you and offer our support as you work to advance the many individual projects and investments that fall within the Caltrain Service Vision. Specifically Caltrain is advocating for the following;

Grade Separations: As the owner and manager of the Peninsula Corridor, Caltrain understands that investment in grade crossing improvements and grade separations are an essential priority for the communities we serve and a critical safety improvement for the railroad. The Caltrain Business Plan identified an overall need for grade separation in the corridor of more than \$9 billion and we will soon be launching a significant study to develop a corridor wide grade separation strategy which will address policy and technical issues related to funding, prioritization and coordination, construction and delivery and community outcomes. We know that federal funding to support the design and delivery of these projects is dearly needed and we believe that advocating together with our partners for the following investments at the federal level will show the corridor wide support for these critical projects;

- INVEST in America Act (Reauthorization of the Surface Transportation Bill)
 - **Expansion of programmatic Railway-Highway Crossings Program (Section 130) funding to at least \$1 billion of federal funding annually.** This is an opportunity to significantly increase *annual programmatic* federal funding for grade separations. We strongly encourage corridor stakeholders who have an interest in grade separation to join us in advocating for this program expansion that will greatly benefit the development of grade separations in the corridor over time.
 - **Member Designated Transportation Project (Earmarks) Request for funding of Caltrain Grade Separation Design Guidelines totaling \$5 million.** This funding would support expanded technical and design work that would parallel and follow our work to advance a corridor wide grade separation strategy
 - Amend language in the Consolidated Rail Infrastructure and Safety Improvements (CRISI) Program to ensure commuter rail systems are eligible
- American Jobs Plan (Infrastructure/Stimulus Bill)
 - **Monitor and advocate for direct federal investment in grade separations along the Caltrain corridor, consistent with the significant, \$5.7 billion in planned investment identified in Plan Bay Area 2050**

We hope that our stakeholders who are interested in grade separations will join us in supporting these critical priorities. For our part, Caltrain stands ready to also provide our support to individual cities and counties who wish to directly advocate for specific grade separation projects along the corridor as these projects are each essential to our overall Service Vision.

Intermodal Stations and Rail Investments: Delivery of Caltrain's Long Range Service Vision requires the advancement of multiple intermodal station and rail improvements throughout our corridor. We are strongly supportive of our partners as they advocate for sustained federal funding that will advance the development and delivery of projects including:

- The expansion of electrified Caltrain service with modernized systems, improved stations and additional fleet and support facilities consistent with Plan Bay Area 2050
- The Downtown Extension to the Salesforce Transit Center in San Francisco
- The rebuilding of Diridon Station in San Jose
- The development of significant intermodal stations at Millbrae and Redwood City
- The introduction of the California High Speed Rail into the Bay Area in a manner that provides for the extension of electrified regional rail service between Gilroy and San Jose and supports a robust blended regional and state system from San Jose and north to San Francisco.

Near-term Investments: Finally, Caltrain is also pursuing earmark funding for a number of smaller scale, near-term investments in the corridor. These projects were chosen as they met the criteria for requests, are shovel ready and provide system-wide benefits. Depending on the member of Congress, we are submitting these requests under either the Community Project Funding Requests (Appropriations Committee) or the Member Designated Transportation Project (INVEST in America Act). These include:

- Crossing Optimization Project (Implementation of Wireless Grade Crossing System)
- Additional Mini-highs at 13 Caltrain Stations (Installation of Accessible Ramps at Stations)

Caltrain supports our partners as we work together to deliver an improved and expanded rail service for the region. Please contact us if you have questions about how you can support us in our advocacy for these important investments or if there are specific Caltrain related projects in your jurisdiction you would like for us to support.

Sincerely,



Michelle Bouchard, Acting Executive Director

PENINSULA CORRIDOR JOINT POWERS BOARD
1250 San Carlos Ave. – P.O. Box 3006
San Carlos, CA 94070-1306

WHY PLAN A FUTURE SERVICE VISION?

Over the last 15 years, Caltrain's ridership has more than doubled, and today Caltrain is the 7th largest commuter rail system in the country. We are also the nation's most efficient commuter railroad as measured by both the percentage of our costs we recover through fares and the number of passengers and train miles we deliver per employee.

We are proud of our success, but we also want to do more. By 2040, regional growth projections show that there will be 1.2 million additional people living and working within 2 miles of our stations—a 40% increase from today. We want to make sure that our service, and our system, is ready. A future service vision provides the roadmap for the railroad to grow—showing us how we can improve the experience of our customers today and meet the needs of our region in the future.



INTRODUCING THE CALTRAIN 2040 SERVICE VISION

FAST, FREQUENT SERVICE. ALL DAY, EVERY DAY.

MORE TRAINS, MORE OFTEN

 **MORE COMMUTE SERVICE**

8 RUSH HOUR TRAINS PER HOUR, EACH WAY
Plus capacity for 4 HSR trains, compared to 5 total trains today

 **MORE FLEXIBILITY**

UP TO 6 MIDDAY & WEEKEND TRAINS
Per hour, each way, compared to 1 train today

 **MORE FREQUENT SERVICE**

21 STATIONS WITH TRAINS EVERY 15 MINUTES
Compared to 6 stations today

MORE PEOPLE SERVED

 **TRIPLE THE PEOPLE SERVED**

180,000 RIDERS ON CALTRAIN EACH DAY
Compared to 65,000 today

IMPROVED EXPRESS SERVICE

 **SHOW UP AND GO**

15 MINUTE EXPRESS TRAIN SERVICE ALL DAY
Compared to no all-day express service today

 **FASTER TRAVEL**

SAN FRANCISCO TO SAN JOSE IN LESS THAN AN HOUR
Compared to 62–69 minutes today

 **MORE OPTIONS**

12 STATIONS WITH EXPRESS TRAIN SERVICE
Compared to 6–9 stations today

A MORE CONNECTED CORRIDOR

 **77 MILES OF ALL-DAY SERVICE**

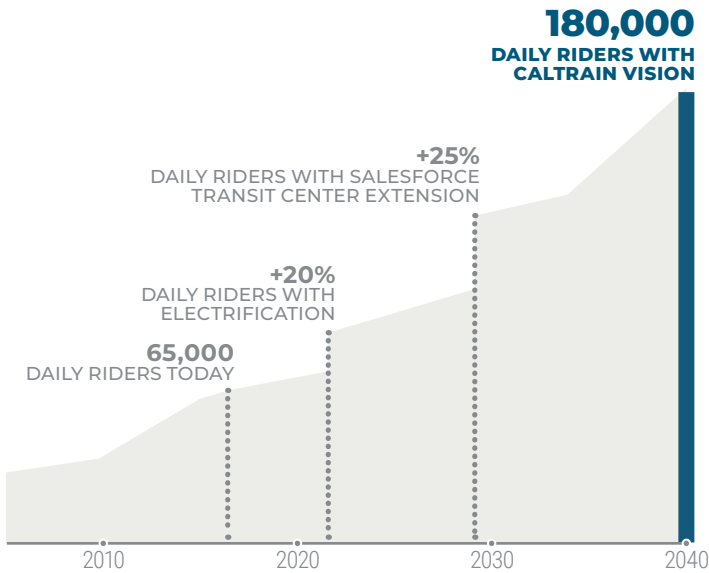
SF SALESFORCE TRANSIT CENTER TO SJ TO GILROY
Compared to 50 miles of all-day service today

THE SERVICE VISION BENEFITS THE BAY AREA'S PEOPLE, ENVIRONMENT, AND ECONOMY

MORE TRANSPORTATION CAPACITY



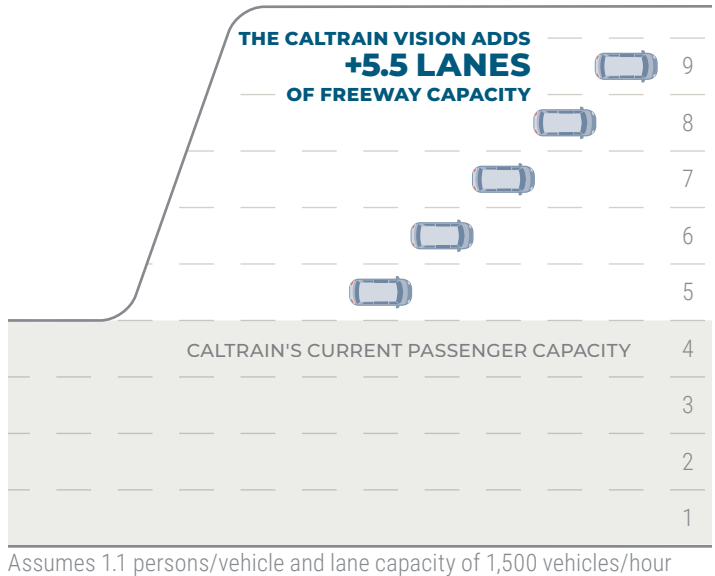
CARRYING MORE PEOPLE



Improving Caltrain lets us carry three times more people in 2040. That's equivalent to selling out the Giants' ballpark four times every day.



TRAINS VS LANES



Today, Caltrain carries 4 freeway lanes worth of people during rush hour. The service vision adds the equivalent capacity of 5.5 new freeway lanes.

IMPROVING AIR QUALITY



REDUCING DRIVING

825,000 FEWER MILES DRIVEN EACH DAY
Resulting from drivers who switch to Caltrain. That's like taking 16,000 trips between SF and SJ off the road each day



REDUCING GREENHOUSE GAS EMISSIONS

110 FEWER METRIC TONS OF CO₂ EMISSIONS EACH DAY
Resulting from full electrification of our fleet and drivers switching to Caltrain

STIMULATING THE ECONOMY



ADDING JOBS

51,000 NEW JOBS CREATED
Total full- and part-time jobs along the corridor resulting from Caltrain investment*



INCREASING ECONOMIC ACTIVITY

\$40.8 BILLION IMPACT ON THE REGION
Total impact on regional spending and economic activity resulting from Caltrain investment*

* Values are for 2018-2070 and are in present (2018) value using a discount rate of 4.0%

THE SERVICE VISION OUTLINES A PROGRAM OF INVESTMENTS TO SUPPORT EXPANDED SERVICE

CAPITAL COSTS



\$23 BILLION
TOTAL CAPITAL COSTS*

Capital costs include all projects from SF to Gilroy, knitting together a connected corridor with greatly improved service.



\$9.4B
GRADE
SEPARATIONS



\$7.8B
TERMINAL
IMPROVEMENTS



\$3.3B
RAIL INFRASTRUCTURE
AND SYSTEMS



\$1.4B
STATION
IMPROVEMENTS



\$1.1B
FLEET
UPGRADES

OPERATING COSTS



\$370 MILLION
2040 ANNUAL OPERATING COSTS*

Caltrain is one of the leanest, most efficient transit services in the country. Today's annual operating and maintenance costs are \$135 million, and 73% is covered by fares. The vision would benefit from a similarly high farebox recovery ratio.

\$266M
OPERATING
COSTS
COVERED BY
FAREBOX (72%)



\$104M
ANNUAL
OPERATING
INVESTMENT
NEEDED (28%)

IMPLEMENTING THE VISION



**ELECTRIFYING
CALTRAIN**

2022



SERVICE VISION

2040

OUR WORK TOWARD THE VISION IS ALREADY UNDERWAY

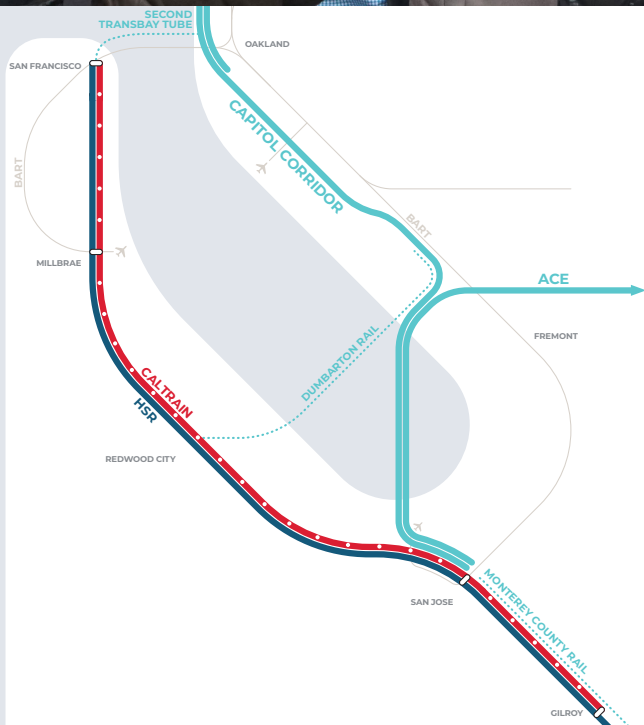
Thanks to the \$2 billion investment in the Caltrain Electrification Project, we are already laying the foundation for implementing the vision. We will deliver this vision in steps and will be mapping out the sequence of near term priorities in the second phase of the Caltrain Business Plan. In order to fully implement the vision, new local, regional, state, and federal resources will be required. Read more about our upcoming electrified service at calmod.org.

GETTING READY TO DELIVER THE VISION

Growing Caltrain service will also require Caltrain to grow as an agency. The organization will need to be strengthened and resourced in a way that helps deliver major capital projects and expanded operations throughout the corridor. The Caltrain Business Plan includes a detailed evaluation of organizational options that should be considered to make the vision a reality. The full organizational assessment is available at caltrain2040.org/vision.

* Capital and operating costs are in present (2018) value

THE SERVICE VISION LAYS THE FOUNDATION FOR EXPANDED REGIONAL SERVICE



GROWING BEYOND OUR VISION

Caltrain is ready for additional investment as planning for expanded Bay Area rail continues. With additional passing tracks and infrastructure, we can expand service from 12 to 16 trains per hour, creating opportunities for even more service and enhanced connectivity to other regional rail corridors.

SERVICE VISION INVESTMENT

8
CALTRAIN TRAINS

4
HIGH SPEED RAIL TRAINS

ADDITIONAL INVESTMENT

4
TRAIN SLOTS FOR EXPANDED SERVICE OR REGIONAL CONNECTIONS

THE SERVICE VISION IS A SHARED PARTNERSHIP WITH OUR STAKEHOLDERS AND COMMUNITIES

ENGAGING WITH STAKEHOLDERS

21
JURISDICTIONS

26
PUBLIC AGENCIES

93
STAKEHOLDER ADVISORY GROUP MEMBER ORGANIZATIONS

170
STAKEHOLDER MEETINGS

The vision planning started in 2017. A collaborative effort led by Caltrain with funding from various partners, the vision is the product of hundreds of hours of meetings with cities, counties, business groups, public agency partners, advocates, and public stakeholders throughout the corridor.

The Caltrain Board adopted this service vision in October 2019, and staff will complete the Caltrain Business Plan by mid-2020.

JULY 2018 – JULY 2019
DEVELOPMENT AND EVALUATION OF GROWTH SCENARIOS

AUGUST 2019
STAFF RECOMMENDATION FOR CALTRAIN VISION

OCTOBER 2019
REFINEMENT AND ADOPTION OF CALTRAIN VISION

MID-2020
BUSINESS PLAN COMPLETION

For more information on how to participate in the process, visit:
WWW.CALTRAIN2040.ORG/GET-INVOLVED

Caltrain2040.org

650.508.6499

BusinessPlan@Caltrain.com

Para traducción llama al 1.800.660.4287
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**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michelle Bouchard
Acting Executive Director

FROM: April Chan
Chief Officer, Planning, Grants and Transportation Authority

SUBJECT: **AUTHORIZE EXECUTION OF EXCLUSIVE NEGOTIATING AGREEMENT WITH SOUTH CITY VENTURES LLC FOR CERTAIN SOUTH SAN FRANCISCO CALTRAIN STATION PROPERTY ON DUBUQUE AVENUE IN SOUTH SAN FRANCISCO, CALIFORNIA**

Finance Committee Recommendation Work Program-Legislative-Planning Committee Recommendation Staff Coordinating Council Reviewed Staff Coordinating Council Recommendation

ACTION

Staff Coordinating Council recommends that the Board authorize the Acting Executive Director, or her designee, to do the following:

1. Execute a 90-day Exclusive Negotiation Agreement (ENA) between the Peninsula Corridor Joint Powers Board (JPB) and South City Ventures LLC (SCV LLC) to develop the South San Francisco Caltrain station parking lot property (Property), and to negotiate a term sheet summarizing a set of agreed-upon minimum business terms for a transit-oriented development (TOD);
2. Extend the ENA if it is determined that such an extension is warranted; and
3. Take any other actions necessary to give effect to this action.

SIGNIFICANCE

SCV LLC owns parcels next to the Property and has expressed interest in working with the JPB on a TOD project. Execution of an ENA would allow the JPB and SCV LLC the opportunity to negotiate a long-term ground lease for a TOD project at the JPB's South San Francisco Caltrain Station. Successful negotiation of the ground lease will fulfill the JPB's goals for development of the Property, including:

1. Creation of a dense, high-quality TOD project that enhances connections between the proposed SCV LLC development and the South San Francisco Caltrain Station, and one that will encourage the use of public transit;
2. Provide for a project site plan and design that is consistent with the JPB's continued provision of transit-related operations and is compatible with the

contiguous traction power facility, from both an operational and safety perspective;

3. Generate substantial financial returns to JPB; and
4. Potentially realign the station access roadway to a location that better accommodates both transit patrons and development of the site.

BUDGET IMPACT

Upon execution of the ENA, the JPB will receive a deposit of \$50,000 from SCV LLC, which will be used to pay for JPB's actual costs incurred during negotiations. The deposit will be replenished in \$50,000 increments whenever the balance falls below \$10,000. Any unused funds will be returned to SCV LLC upon JPB Board of Directors (Board approval of a term sheet or termination of negotiations).

BACKGROUND

The Property was identified as a potential opportunity site in the Caltrain Rail Corridor Use Policy (RCUP), which was adopted by the JPB Board in February 2020 to guide the use of agency property and support delivery of Caltrain's Long-Term Service Vision. While it is a potential opportunity site, it was deemed not independently developable, as described below.

The South San Francisco Caltrain Station property has limited access, as it is located partially under a raised roadway, and access to the station is through an easement over the SCV LLC Site. The ability for the JPB to independently develop the Property is highly limited by its access, shape and other encumbrances. Merging the Property with the adjacent SCV LLC site enhances the development potential of both sites.

SCV LLC has requested that the JPB engage in negotiations to discuss terms under which joint development of the Property and SCV LLC Site would be practical and beneficial to both parties. Staff recommends that such negotiation will provide the JPB the best opportunity to develop the Property and to achieve the objectives listed above.

The initial term of the ENA will be 90 days, during which time the parties will negotiate with the goal of developing a term sheet summarizing a set of agreed-upon minimum business terms. This term sheet will be subject to the Board's approval at a later meeting, and will become the basis for negotiation of a long-term ground lease, or other agreed-upon disposition agreement. Staff recommends that the Acting Executive Director be authorized to extend the term of the ENA should it be determined that such an extension is warranted if negotiation cannot be completed within the 90 day period.

Prepared By: Brian W. Fitzpatrick, Director, Real Estate and Property Development 650.508.7781

RESOLUTION NO. 2021 –

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

* * *

**AUTHORIZING THE EXECUTIVE DIRECTOR TO EXECUTE AN EXCLUSIVE NEGOTIATION
AGREEMENT FOR DEVELOPMENT OF THE SOUTH SAN FRANCISCO STATION PROPERTY**

WHEREAS, the Peninsula Corridor Joint Powers Board (JPB) desires to develop the South San Francisco Caltrain Station parking lot property (JPB Property) on Dubuque Avenue in South San Francisco, as a transit-oriented development (TOD) project; and

WHEREAS, the JPB had previously adopted both a Caltrain Rail Corridor Use Policy (RCUP) as well as a Caltrain Transit Oriented Development (TOD) Policy at its February 2020 meeting to help inform and guide the future use of JPB properties; and

WHEREAS, while the Property was identified as a potential opportunity site in these policies, the Property was deemed not independently developable due to its location being partially under a raised roadway, its limited access and shape, and other encumbrances; and

WHEREAS, South City Ventures LLC (SCV LLC) owns property (SCV LLC Site) next to the Property and has expressed an interest in working with the JPB on a possible joint TOD project; and

WHEREAS, SCV LLC has requested that the JPB engage in an exclusive negotiation agreement (ENA) to discuss terms under which joint development of the Property and SCV LLC Site would be practical and beneficial to both parties; and

WHEREAS, execution of an ENA would allow the JPB and SCV LLC the opportunity to negotiate a long-term ground lease for a TOD project, and the successful negotiation of the ground lease will fulfill JPB's goals for development of the Property,

including the following: 1) create a dense, high-quality TOD project; 2) provide for a project site that supports Caltrain's continued provision of services; 3) generate financial returns to the JPB; and 4) potentially realign the South San Francisco Station access roadway to better accommodate transit patrons; and

WHEREAS, upon execution of the ENA, SCV LLC will be required to make a \$50,000 deposit to the JPB to offset costs incurred during the negotiation of a term sheet for a long-term lease for the TOD project for 90 days, which deposit will be replenished in increments of \$50,000 when the balance of funds falls below \$10,000.

NOW, THEREFORE, BE IT RESOLVED that the Peninsula Corridor Joint Powers Board hereby authorizes the Acting Executive Director or her designee to (1) execute a 90-day Exclusive Negotiation Agreement between the JPB and South City Ventures LLC; (2) negotiate a term sheet summarizing a set of agreed-upon minimum business terms for a transit-oriented development project; (3) return to the Board of Directors for review and approval; (4) extend the ENA if the Acting Executive Director determines that such an extension is warranted; and (5) take any other actions necessary to give effect to this resolution.

Regularly passed and adopted this 6th day of May, 2021 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michelle Bouchard
Acting Executive Director, Caltrain

FROM: Sebastian Petty
Deputy Chief of Planning, Caltrain

SUBJECT: **UPDATE ON FISCAL YEAR 2022 SHUTTLE PROGRAM FUNDING AND SERVICES**



Finance Committee
Recommendation



Work Program-Legislative-Planning
Committee Recommendation



Staff Coordinating
Council Reviewed



Staff Coordinating Council
Recommendation

ACTION

Staff recommends the Board receive the following information regarding proposed changes to the allocation of JPB discretionary funds to first/last-mile shuttle and bus service in FY2022.

SIGNIFICANCE

Through the Caltrain Shuttle Program, the JPB has historically partially subsidized a handful of bus and first/last-mile shuttle routes in San Francisco, San Mateo and Santa Clara counties. JPB funding for these services generally takes the form of pass-through grants as well as a smaller amount of discretionary funds. The majority of shuttle routes which receive a JPB subsidy also receive substantial funding through employer, city, and other outside grant sources. In San Francisco, the JPB provides operating subsidies to three MUNI routes connecting to the 4th & King Station.

Due to pandemic-related ridership losses, many of the first/last-mile shuttle and bus routes that the JPB has historically subsidized have been canceled over the last year. Falling ridership has also made the remaining shuttle routes ineligible for a key grant funding source; Transportation Fund for Clean Air Regional Fund (TFCA). In the past, the JPB has applied to this source on behalf of shuttle programs. If the JPB were to continue subsidizing these shuttle and bus services in a manner that backfilled for the loss of TFCA funding, its required contribution of discretionary funding would increase substantially in FY22.

Given the agency's current and anticipated financial constraints, staff conducted a review of the existing first/last-mile service to determine how JPB funding contributions could be optimized. Staff determined that the JPB contributions to first/last-mile shuttles and buses could be significantly reduced *with little or no impact to overall service levels as they exist today.*

BUDGET IMPACT

The proposed changes would reduce the JPB contribution of discretionary funds and pass-through grants to first/last-mile shuttle service from \$739,000 (pre-pandemic) to \$127,000 for FY2022.

BACKGROUND

Prior to the COVID-19 pandemic, the Caltrain Shuttle Program included 17 routes in San Mateo County and 8 routes in Santa Clara County. These shuttles represented only a portion of the corridor's first/last mile services, with shuttle programs under SamTrans, the San Mateo County Transportation Authority, and several private employers also operating routes to and from Caltrain stations.

The degree to which the JPB was involved in its own first/last-mile shuttles varied from route to route. For many routes, Caltrain sponsored grant applications for operating funding. When the available grant funding and contributions from external partners (i.e. employers and cities) fell short, funds from the JPB Operating Budget were used to supplement the operating budgets of certain routes. In 2019, the JPB contributed \$75,000 to routes in San Mateo County and \$411,000 to routes in Santa Clara County. While not included in the official Caltrain Shuttle Program, the JPB contributed an additional \$253,000 to first/last-mile SFMTA bus service in San Francisco County.

The Caltrain Shuttle Program suffers from several structural inefficiencies. The program does not currently have an operationalized method for determining which routes qualify for funding. This has allowed JPB contributions to effectively supplant funding which would otherwise be provided by other external entities (like employers and cities). The JPB also lacks the dedicated staff necessary to actively monitor and manage the program's many routes. Relative to shuttles under the corridor's other providers, routes in the Caltrain Shuttle Program have underperformed in recent years.

Since the beginning of the COVID-19 pandemic, ridership across the shuttle program has fallen by approximately 90%. This caused many routes to be canceled or temporarily suspended. Ridership losses have also effectively disqualified Caltrain shuttles from TFCA funds. In 2019, TFCA provided about \$235,000 for San Mateo County routes and \$380,000 for Santa Clara County routes.

In January 2020, Caltrain and SamTrans kicked off the Peninsula Shuttle Study. This study has examined options for restructuring the Caltrain Shuttle Program in order to make better use of agency resources and improve service to riders. Pending further staff review, the preliminary recommendations from the Peninsula Shuttle Study would likely be implemented in FY23/24.

**CITIZENS ADVISORY COMMITTEE (CAC)
PENINSULA CORRIDOR JOINT POWERS BOARD (JPB)
SAN MATEO COUNTY TRANSIT DISTRICT ADMINISTRATIVE BUILDING**

Bacciocco Auditorium, 2nd Floor
1250 San Carlos Avenue, San Carlos CA 94070

MINUTES OF APRIL 21, 2021

MEMBERS PRESENT: A. Brandt (Vice Chair), A. Dagum, P. Flautt, R. Kutler, P. Leung, N. Mathur (Alternate), K. Maxwell (Alternate), D. Tuzman, B. Shaw (Chair)

MEMBERS ABSENT: L. Klein, M. Romo

STAFF PRESENT: J. Navarrete, J. Navarro, B. Tietjen

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 5:42 p.m. and led the Pledge of Allegiance.

APPROVAL OF MINUTES OF MARCH 17, 2021

Motion/Second: Flautt / Brandt

Ayes: Dagum, Kutler, Leung, Shaw, Tuzman

Absent: Klein, Romo

PUBLIC COMMENT

Roland Lebrun, San Jose, via Zoom Q&A, expressed his disappointment with Alternate Committee Members not stepping in for the absent Committee Members when there is a conflict of schedule. He then requested the Zoom view be changed to Gallery view during Public Comment, not the Public Comment slide. Roland expressed his support with the swap between SamTrans and BART, BART taking over the administration of a Caltrain. He then commented on both Hillsdale's and South San Francisco's island platform and said that it will make it impossible to operate trains at 110 MPH to these stations. He also stated that these stations will never have level boarding. The only solution he sees is to demolish these stations and rebuild. Lastly he commented on the VTA budget. He stated that VTA announced that they are no longer obligated to contribute annually to Caltrain due to their contributions to BART. Last year VTA contributed \$10.8M to Caltrain. He stated that he challenged them at MTC and their response at the Board Meeting was that all the other counties are doing the same, that San Mateo County and San Francisco County will also stopped contributing because of

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Measure RR. Roland stated that had he known this, he would have made sure that Measure RR had not passed.

Aleta Dupree, via Zoom Q&A, shared that she saw a press conference video out of Long Island, New York at the Oyster Bay Train Station exploring the possibility of running battery powered trains on sections of the Long Island Railroad that do not have the third rail. She stated that it is something to watch closely as it may be an option for the Gilroy Service. Aleta then expressed that the Ticket Vending Machine conversion program is very good and will make it easier for passengers to get Clipper cards, add value to them and to use contactless methods of payment, not just because of COVID, but because technology is evolving in that area. She then stated that with Title VI analysis, will eventually move away from paper ticketing. She stated that now with the new Clipper app, people visiting from other places, will be able to have a seamless more customer friendly experience and not have to wait in lines at the Ticket Vending Machines. Aleta then stated that all Caltrain stations need to be ADA accessible to have full participation and more people riding the trains.

Jeff Carter, Millbrae, via Zoom Q&A, shared his concerns regarding VTA announcing no longer contributing funds to Caltrain. He stated that it is very important for all three counties to continue contributions even with Measure RR. He suggested putting pressure on VTA to make sure they contribute. Jeff then stated that he does not think merging with BART is a good idea because BART does not run express trains, does not offer a monthly pass and would be difficult to travel to Oakland for meetings to express issues concerning Caltrain on the peninsula.

CHAIRPERSON'S REPORT

Chair Brian Shaw reported that Committee Member Martin Romo has stepped down from the CAC effective that day April 21, 2021. Chair Shaw stated that he will work with staff to get a new representative for San Francisco and an Alternate CAC Member for San Francisco. Chair Shaw reported that the two existing Alternate CAC Members were present that night, to address Public Comment. He then reported that Vice Chair, Adrian Brandt will be delivering the CAC report to the JPB next month.

COMMITTEE COMMENTS

Member Patrick Flautt advised the committee that he has joined the High Speed Rail Community Working Group for the San Jose to Merced project section. Member Flautt then asked whether the Citizen's Advisory Committee would be interested in a presentation with the latest developments. There was interest among the committee by show of hand raise, via Zoom. Member Flautt then reported that he will be reviewing the latest updates for the Caltrain website that incorporates GTFS data, General Transit Feed Specifications. He stated that it will be part of the incorporation of the maps and timetables into the new website format, a format for public transportation schedules and geographically specific information. He said that he should have an update for the committee next month. Chair Shaw shared his interest in

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the presentation and asked Member Flautt to help coordinate for a future meeting. Member Flautt agreed to coordinate with staff and the committee.

Member Rosalind Kutler shared her concern regarding the off boarding of passengers for not having proper fare and enforcement purposes at the Bayshore station particularly during single tracking. She expressed that it may be a safety issue as there is not a center platform station passengers to alight at the most northern car and can only get off where there is a gate. She stated that with the construction it may be confusing for passengers to find the exit. Member Kutler offered a solution and suggested asking the passenger to alight the train at the following station. She also mentioned that it is difficult for passengers to locate the Clipper tag on/off machine at this station as well. Joe Navarro, Deputy Chief, Rail Operations, stated that he would look into this matter.

Chair Shaw encouraged CAC Members to continue to bring issues to the committee and to staff just as Member Kutler had. He stated that if Members notice things in the course of riding the train that need to be addressed, the meetings are the right time to bring them up.

Vice Chair Adrian Brandt addressed the Public Comment made via the correspondence packet and he agreed that schedules should be posted at all stations along with a highlight to the schedule that applies to that station. He acknowledged that the schedules are changing frequently, although more reason to have schedules posted especially those that do not have a smartphone. He then advised the committee that there is a fifty-eight-page study done out of the Swiss Federal Office about safety distances on platforms, danger zone and safety zone. He mentioned that it is a very thorough paper and concludes that it is entirely manageable to run trains at surprising speeds past occupied platforms. Lastly Vice Chair Brandt reported that the CDC has finally acknowledged that the risk of COVID transmission from a contaminated surface is extremely low. He stated that there may be large costs to cleaning beyond the point of clean, and suggested staff look into the cost and opportunities. He said that it would be important to bring this issue to the Blue Ribbon Taskforce.

Alternate Member Kathleen Maxwell agrees with Member Kutler's comments that single tracking at the Bayshore station is very poorly marked and has no signage. She acknowledged that there are station announcements that indicate all loading and unloading takes place on the North side of the Platform, but that is all. She also stated that when passengers arrive at the northbound platform, there is no indication that passengers need to move to the north part of the platform in order to get board the train.

Public Comments:

Roland Lebrun, San Jose, via Zoom Q&A, addressed Aleta's Public Comment and stated that battery trains are operating in the Central Valley right now. He then commented that San Jose to Merced does not make sense just as LA to Palmdale did

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not make sense six years ago. He said that with Caltrain the good news is that instead of having two EIRs in Diridon, there needs to be a singular EIR that goes from San Francisco all the way to Gilroy, then Caltrain would not have to deal with the High Speed Rail Authorities that do not want to come on board because CPUC section 185032 subsection B states that High Speed Rail Authority has the exclusive rights of developing and operating high speed lines at speeds in excess of 125MPH. He stated that Caltrain can go it alone. He then stated that after Gilroy, the solution is to have a separate EIR that takes a direct shot at Fresno, saves ten minutes in the process, saves \$7M and saves twenty minutes to LA. He then stated that he has been having conversations with High Speed Authority about a program called Quantum by Trimble, a company in Sunnyvale and it analyzes millions of alignments and comes up with the fastest one with the lowest cost. Roland then stated that he attended the Capital Corridor Board Meeting and their ridership has recovered to 19% of pre-COVID. He stated that every single agency's ridership recovery is tracked monthly on a graph, except Caltrain. Lastly, he stated that Lawrence station will be the only station that will have level of boarding as it stands right now.

Jeff Carter, Millbrae, via Zoom Q&A, thanked Vice Chair Brandt for commenting on his Public Comment in the Correspondence Packet and clarified that his letter was from last month, however he still agrees that schedules should be at all stations. He then acknowledged that with the Hillsdale opening, there will be another schedule change and hopes it will be more permanent and will see the schedules in the Bulletin Boards.

PENINSULA CORRIDOR ELECTRIFICATION PROJECT (PCEP) UPDATE

Brent Tietjen, Government & Communication Relations Officer, provided a Peninsula Corridor Electrification Project (PCEP) Update.

The full presentation can be found on caltrain.com

Committee Comments:

Vice Chair Brandt expressed his disappointment with Electrification going far slower than he had hoped, compared to China's progress, and hopes progress can pick up.

Chair Shaw shared that in America it may take longer to build because California has CEQA, VPA, rules and unions and those things need to be honored, supported and facilitated as part of the process.

Public Comments:

Roland Lebrun, San Jose, via Zoom Q&A, stated that slide number five says project benefits include increase revenue and reduce fuel cost, however he stated that the Board is being told the exactly the opposite, that Electrification will be much more expensive. He then asked regarding slide number eight, why signaling design is being done now, instead of 10 years ago. For slide ten, he would have liked for Brent to

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explain the difference between static feeder and contact messenger wires and why so much more static feeder wire is needed. For slide number twelve he was surprised to see that apparently there was no tunnel notching and is wondering whether tunnel notching actually took place. For slide number thirteen he stated that in the electrification scoping comments, he explained why there was no need to electrify CEMOF, and only need to electrify one track is a maintenance yard for testing. Lastly, he stated that when the FTA returns, Caltrain will be \$200M in the hole and questioned where will the come from.

Jeff Carter, Millbrae, via Zoom Q&A, stated that he was pleased to hear that the poles and contact system should be done by the end of this year, however acknowledged that it is taking longer for PG&E to make the substation connection, reported completion April 2022. He expressed his frustration with how long electrification is taking and looks forward to riding to riding the first electric revenue train.

Aleta Dupree, via Zoom Q&A, had hoped for a more up to date presentation. She then stated that in the chart about the spending, the PG&E line does not seem to add up, the spending is higher than the budget. She was pleased to see that a lot of work was completed at CEMOF. She shared her hope for increasing foundation production and suggested asking why it is taking so long for PG&E to hook up electricity.

EMU UPDATE

Joe Navarro, Deputy Chief, Rail Operations, presented an EMU Update.

The full presentation can be heard on caltrain.com

Committee Comments:

Member Kathleen Maxwell thanked Mr. Navarro for the presentation. She then asked how long it takes to stop that the electric trains and at what speed. Mr. Navarro responded that he would follow-up with an answer and added that the EMUs have dynamic braking. She then asked whether it is anticipated to be better than what it takes to stop a train now. Mr. Navarro confirmed.

Vice Chair Adrian Brandt asked Mr. Navarro to talk about Wi-Fi as it is his understanding that it is being installed, however there is no budget to test it or deploy it yet. Mr. Navarro responded that Stadler already has a design and the cars are being wired for Wi-Fi and that the only change may be the technology, servers/routers. He also said that staff is deciding on what contract to put out for infrastructure, for what type of system and deciding what is the best solution for the property. He stated that staff is also considering opportunities to bring revenue. Vice Chair Brandt asked whether the cars are pre-wired for Wi-Fi and is a matter of what radios get dropped in. Mr. Navarro confirmed. Vice Chair Brandt then asked whether there a difference between a passenger counter and a bike counter and asked where that data goes, how does it get downloaded and used. Mr. Navarro responded that once Wi-Fi is installed on the

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alignment, passenger counts will be shared in real time. The passenger counters will be at the train doors and will count passengers and bikes boarding and alighting the train which will allow an accurate count for individual stations. The data will be available to designated staff. Vice Chair Brandt then asked whether the data will only be available once Caltrain has Wi-Fi. Mr. Navarro responded that the data will need to be downloaded at end terminals, San Francisco, San Jose and CEMOF. Mr. Navarro also stated that passenger counters will help track headcount when incidents occur and will eliminate the crew from having to conduct a manual count during incidents. Vice Chair Brandt then asked whether the passenger counters will be able to count wheelchairs. Mr. Navarro stated that it is his understanding that it will count strollers and other objects, however will check and follow-up with the committee.

Member Rosalind Kutler asked whether the passenger counters are RFID technology. Mr. Navarro responded that he would follow-up and get back to the committee with that answer.

Member Kathleen Maxwell asked whether there will be luggage racks on the new trains and Mr. Navarro confirmed that there will be. Additionally, Mr. Navarro responded to Alternate Member Maxwell's earlier comments regarding signage. Mr. Navarro stated that he has been working diligently to upgrade the VMS and PA system and in the meantime staff is working the best they can with what we currently have.

Vice Chair Brandt asked what information will be available on the onboard electronic monitors. Mr. Navarro responded that there was a consultant hired to create a storyboard on what information will be displayed and that staff continues to work with them to ensure it is user friendly as possible for passengers that are not familiar with the system and easier for current passengers. Mr. Navarro stated that he is working on color coded signs to help passengers identify their designated trains. Vice Chair Brandt suggested indicating San Francisco/San Jose/Gilroy bound trains to help passengers identify their trains. Mr. Navarro shared the possibility of having committee members review the information, to be displayed on the monitors, before going live. Member Kutler emphasis the importance to make it transparent for multilingual people.

Public Comments:

Roland Lebrun, San Jose, via Zoom Q&A, stated that Caltrain was supposed to have a simulator for operator training. He said had Caltrain had a simulator, they could have addressed all the issues regarding cab design while designing the simulator, instead of waiting until the trains were designed. He then said that he was very glad to hear cameras are being used instead of mirrors and then asked whether there are cameras looking at the doors so that the conductors may determine whether anything is stuck in the doors. Regarding prototype, Roland asked what will happen with Buy America. He then pointed out, respectfully, that if trains are supposed to operate at 110mph, trains should be testing at 125mph, not 115mph. Roland then asked whether Caltrain has approached TTCI about testing Constant Warning Time Solution, if not, why not.

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Jeff Carter, Millbrae via Zoom Q&A, mentioned that he does not agree the single bathroom on each train and advised that Caltrain could have problems after events at Oracle Park and Chase Arena. Jeff then asked for clarification regarding whether all trains will be going Pueblo and then come here. He then requested progress of the testing in Pueblo to be placed on the website. He said that he was pleased regarding the passenger counters and requested to be placed on the list to receive the data.

STAFF REPORT UPDATE

Joe Navarro, Deputy Chief, Rail Operations reported:
(The full report can be found on caltrain.com)

On-time Performance (OTP) –

- **March:** The March 2021 OTP was 88.9% compared to 96.7% for March 2020.
 - **Vehicle on Tracks** – There were two days, March 8 and 12, with a vehicle on the tracks that caused train delays.
 - **Mechanical Delays** – In March 2021 there were 911 minutes of delay due to mechanical issues compared to 363 minutes in March 2020.
 - **Trespasser Strikes** – There was one trespasser strike on March 25, resulting in a fatality.
- **February:** The February 2021 OTP was 92.5% compared to 93.5% for February 2020.

Mr. Navarro addressed Member Kutler and Alternate Member Maxwell's comment regarding the safety at Bayshore. He stated that staff automatically implements the Hold-Out Rule to ensure safety. He then addressed committee and public comments regarding schedules at the stations. He stated that with the Hillsdale opening on April 26th, schedules will be posted on the station platforms. Lastly, Mr. Navarro responded to public comment regarding delivery of trains. He stated that only one train will go to Pueblo, and sending one car from the second car train set to complete the seven car testing and duplicate the testing with an eight car, in case Caltrain ever goes to an eight car train.

Committee Comments:

Chair Shaw asked Mr. Navarro what are his thoughts on the issue of the reduction in performance for 2020/2021. Mr. Navarro responded that more than half of the delays, approximately sixty percent, are due to the capital projects, electrification. He mentioned that when there are outages, it has a domino effect along the corridor. Other factors are PCEP delays, signal cutovers and mechanical delays.

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Member Kutler requested for an update on the downtown station. Mr. Navarro responded that he would look into it and follow-up.

Vice Chair Brandt mentioned requested ridership data. Mr. Navarro stated that ridership may be up approximately two percent, however will follow-up with that information at the next meeting.

Public comments:

Jeff Carter, Millbrae, via Zoom Q&A, referred to the Work Plan and asked when will "Go Pass cost per ride factors" and "Caltrain Fare Changes" be presented at the CAC.

Roland Lebrun, San Jose, via Zoom Q&A, said that he would send the monthly graph that BART and Capitol Corridor are showing to their respective Boards. He then requested, going forward, to provide further details regarding the Vehicles on the Tracks. He would like to see the location of the incident, time of day and whether the crossing was already equipped with the new markers.

JPB CAC Work Plan

May 19, 2021

- FY 2022 DRAFT JPB Operating & Capital Budgets & TASI Budget
- Caltrain Fare Changes

June 16, 2021

- E Locker Update
- CID2
-

July 21, 2021

- COVID 19 cleaning efforts cost
-
-

August 18, 2021

-
-
-

Suggested Items:

- Go Pass cost per ride factors – requested by Chair, Brian Shaw on 6/19/19

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- 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
- Rail Corridor Use Policy – requested by Member Anna Dagum on 10/21/20
- South San Francisco
- Overview of COVID19 train schedule
- Industry Safe Functionality

DATE, TIME AND LOCATION OF NEXT REGULAR MEETING:

May 19, 2021 at 5:40 p.m., San Mateo County Transit District Administrative Building, 2nd Floor Bacciocco Auditorium, 1250 San Carlos Avenue, San Carlos, CA.

Adjourned at 7:22 pm

CalMod Local Policy Maker Group (LPMG)
Summary Meeting Notes for April 22, 2021

Summary Notes

The purpose of these notes is to capture key discussion items and actions identified for subsequent meetings.

City / County	Representative or Alternate	Present
Atherton	M. Lempres	
Belmont	T. McCune	X
Brisbane	T. O'Connell	X
Burlingame	E. Beach	X
Gilroy	R. Armendariz	
Menlo Park	J. Wolosin	X
Millbrae	G. Papan	X
Mountain View	M. Abe-Koga	
Morgan Hill	R. Constantine	X
Palo Alto	P. Burt	X
Redwood City	M. Smith	X
San Bruno	M. Salazar	X
San Carlos	R. Collins	X
San Francisco	A. Sweet	X
San Jose	S. Jimenez	X
San Mateo	A. Lee	
Santa Clara	A. Becker	X
South San Francisco	E. Flores	X
Sunnyvale	R. Melton	X
San Francisco BOS	TBD	
San Mateo BOS	TBD	
Santa Clara BOS	TBD	
Chair	Jeff Gee	X
Vice Chair	Emily Beach	X

VACANT SEATS: Santa Clara BOS, San Francisco BOS, San Mateo BOS

CALTRAIN STAFF: Sebastian Petty, Brent Tietjen, Ryan McCauley

1. Call to Order

Chair Jeff Gee called the meeting to order at 5:32 p.m.

2. Staff Report

Ryan McCauley, Government and Community Affairs Specialist for Caltrain provided updates on the executive leadership at the agency, free rides for people getting their COVID-19 vaccines, the new Hillsdale Station, and the bus bridge between Bayshore and San Francisco stations. Brent Tietjen, Government and Community Affairs Officer for Caltrain, provided a federal legislative update. The update included information on the American Jobs Plan, Surface Transportation Reauthorization bill, and the 2022 Appropriations bill.

LPMG members' key comments regarding the federal legislative update:

- A member asked if there was coordination between cities in lobbying efforts. *(Caltrain staff answered that coordination has gone on through the LPMG as well as the staff-coordinating group.)* The member followed-up asking if Caltrain supports city's earmark requests. *(Caltrain staff answered that they would be happy to send letters of support if they are in line with adopted Caltrain policies and goals.)* The member followed-up asking what the process is to get a letter of support from Caltrain. *(Caltrain staff answered that the agency has written several support letters for city proposals when requested. The requests can be sent Caltrain staff.)* The member followed-up asking for the group to receive copies of the support letters the agency has written. *(Caltrain staff said they would provide them.)*
- A member asked if Caltrain made cities aware that they would be able to provide letters of support. *(Caltrain staff answered that the companion staff-coordinating group was made aware that the agency could provide letters of support.)*
- A member asked how the funding level of the FAST Act compares to previous versions of the bill. *(Caltrain staff noted that they didn't have the information on hand, but can get confirmation and deliver the information to the member. Staff also noted that these bills could be combined and that the numbers are still preliminary.)*
- A member thanked staff for coordinating and advocating for increased grade-separation funding and commented on the necessity of increased funds.
- A member noted in the Advocacy letter the mention of supporting projects in Plan Bay Area, and asked if Caltrain would support any project included in the document. *(Caltrain staff answered that they included the note about projects included in Plan Bay Area to show concurrence among parties to Congressional delegates, but would likely only provide support letters on projects that have an effect on the Caltrain corridor.)*
- A member asked what the procedure is for cities to receive a letter of support. *(Caltrain staff answered that requests can be sent to Caltrain planning and/or Government Affairs and they will determine if it is in line with adopted Caltrain policies.)*

Public Comments:

- A member of the public asked if acting Executive Director, Michelle Bouchard, was on the call and if they were aware of federal regulations requiring new or reconfigured stations to include level boarding platforms. *(Chair Gee noted that she was not at the meeting, but would follow-up with the request).*
- A member of the public noted the excitement for potential influx of federal funding for transit projects. The member of the public noted there is a call for continued federal funding for transit operations, and asked if Caltrain has a position on the issue. They also commented that they did not see representatives from San Francisco or San Jose at the meeting and coordination with the large cities on the corridor should be included for advocacy efforts. *(Chair Gee followed up asking if by the corridor that included DTX or just the existing corridor as is.)* The member of the

public responded that they meant to include DTX and Diridon. *(Caltrain staff added that the advocacy letter included DTX and Diridon and has been supportive of lobbying efforts for the lead agencies of those projects.)*

- A member of the public asked if funding could be sought for the midline station at Redwood City.

3. Caltrain Electrification Project: Construction and Vehicle Manufacturing Update

Brent Tietjen, Caltrain's Government and Community Affairs Officer, provided an update to member on Caltrain Electrification construction and manufacturing and testing of the electric trains.

LPMG members' key comments and questions:

- A member asked what speed the trains are being tested at in Pueblo, Colorado. *(Caltrain staff responded that trains will be brought up to 110 mph at the testing facility. Staff noted that trains will not be going that speed on the corridor.)*
- A member asked how the trains will be delivered to Caltrain. *(Staff responded that the trains were shipped to the testing facility via flatcar, and presumes that is how they will be shipped to California.)*

Public Comments:

- A member of the public commented that at the Caltrain Citizen's Advisory Committee, Caltrain staff noted that the trains were brought up to 115 mph. The member of the public thought that was insufficient and should build in a 10% safety margin.

4. California High-Speed Rail: Update (Presented by California High-Speed Rail Authority Staff)

Rebecca Fleischer, Northern California Outreach Representative for the High-Speed Rail Authority, gave a presentation on the High-Speed Rail Business Plan and updates to the supplemental draft EIR/EIS.

LPMG members' key comments regarding the High-Speed Rail Authority's Business Plan presentation:

- A member asked for clarification on the EIR/EIS documents and the Business Plan. *(HSR Staff responded that the supplemental EIR addresses biological issues that have surfaced in the last year. Those changes will go through a public comment period and be included in the final draft version of the EIR/EIS, which will be released later this year.)* The member followed-up asking if staff could share some of the concerns or comments made by California legislators. *(HSR staff noted that they did not have that information, but can provide to the member.)*
- A member asked if HSR staff could restate the purpose of the Business Plan. *(HSR staff responded that the purpose is to restate the purpose of the Authority's mission and ability to meet its objectives.)* The member followed-up commenting that they understood the Business Plan as a legislative obligation to ensure lawmakers the Authority's ability to meet its obligations. The member asked if HSR staff could lay out the obligations for the group. *(HSR staff answered stating that the obligations and objectives are on the website and can be shared.)* The member followed-up noting that they understand the Business Plan to be the vehicle to which the Authority is held accountable by the state legislature and took issue with how it was characterized.

Public Comments:

- A member of the public commented that they would like a chat box to be added to the meetings and that they do not understand why there was environmental clearance from San Jose to 4th and King station in San Francisco when Prop 1A mandated the northern terminus to be at the Transbay Terminal. They also commented that they should environmentally clear from Transbay to Gilroy and that they believe the line should go from Gilroy directly to Fresno.

5. Public Comments on Items Not on the Agenda

- A member of the public commented that VTA announced they would withdraw their contribution to Caltrain. They also commented that they disagree with merging Caltrain with BART, but supports having BART run administration for Caltrain.
- A member of the public raised concerns with the direction of the Dumbarton rail study and the evaluation of autonomous vehicle options.

6. LPMG Member Comments/Requests

- A member noted that there are 29 at-grade crossings along the Caltrain corridor in San Mateo County and that they are working with local mayors to advocate for funding for grade separations.
- A member asked for an update on the corridor-wide grade separation strategy when appropriate.
- A member apologized for being late, but wanted to note that they were able to attend.

8. Next Meeting

Thursday, May 27, 2021 at 5:30 p.m.

9. Adjournment

The meeting was adjourned at 6:27 p.m.



BOARD OF DIRECTORS 2021

DEVORA "DEV" DAVIS, CHAIR
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MICHELLE BOUCHARD
ACTING EXECUTIVE DIRECTOR

Memorandum

AGENDA ITEM #7c
MAY 6, 2021

Date: April 26, 2021
To: Board of Directors
From: Michelle Bouchard, Acting Executive Director
Subject: May 6, 2021 JPB Board Meeting Executive Director's Report

- **On-time Performance –**
 - **Through April 25:** The preliminary April 2021 OTP was 94.3 percent which was the same for April 2020.
 - **March:** The March 2021 OTP was 88.9 percent compared to 96.7 percent for March 2020.
 - **Trespasser Strikes –** There was one trespasser strike on March 25, resulting in a fatality.
- **Regional Fare Coordination & Integration Study –**
 - The Regional Fare Coordination and Integration Study (Study) was launched in late 2019 by the Bay Area's transit operators and MTC to identify changes to the Bay Area's transit fare policies as a way to improve the passenger experience and grow transit ridership. The Study is co-managed by BART and MTC, with a team of staff from the majority of the Bay Area transit operators providing close input on study tasks and deliverables.
 - The Study is well underway and on track to wrap up in by fall 2021. Activities underway and on the horizon include: Six options for regional fare integration and coordination have been developed, and they are in the process of being analyzed using a business case methodology (which will include financial, ridership, and user impacts). Additionally, the project has

involved substantial user outreach and activities, and results are in the process of being analyzed. After these analyses are complete, the project team will be developing implementation strategies and recommendations over the summer.

- Moving forward, there will be a regional policymaker webinar held in late May and early June for all Bay Area transit agency board members. This public, Brown Act meeting will be open to the general public and will provide an overview of the Study for interested board members. The webinar will be recorded for those who are unable to attend the live event. Caltrain Board members will be invited to the webinar.
- Additionally, once the Study's recommendations are developed in late summer, the Study's Project Manager team will attend the regular board meetings of the "Big 7" transit operators, including Caltrain, to present the project draft report and recommendations, and provide an opportunity for board members to review and comment on the draft report. Following these meetings, the report will be finalized and completed by early fall. .
- **New Hillsdale Station Opening –**
 - The new Hillsdale Caltrain Station opened to the public on Monday, April 26, rebuilt with modern amenities as part of the 25th Avenue Grade Separation Project.
 - The new station has been relocated four blocks north of its previous location, between 28th and 31st Avenues. It has an elevated center-boarding platform, allowing for safer, more convenient pedestrian access. It also offers riders on-demand bicycle eLockers and traditional bike racks, two parking lots and six connecting SamTrans routes, making the station a truly multi-modal transit hub.
 - The project is eliminating the at-grade crossing at 25th Avenue, while building new separated crossings at 28th and 31st Avenues. These improvements eliminate the possibility of pedestrians and vehicles reaching the tracks, improving public safety and eliminating traffic bottlenecks on surrounding streets.
 - Effective Monday, April 26, Caltrain adjusted both its weekday and weekend schedules to add service for the Hillsdale Station. Hillsdale Station receives service every half hour on weekdays and every hour on weeknights and weekends, while the Belmont Station receives hourly service on both weekdays and weekends. There were no other timetable changes.
 - Once the Hillsdale Station reopens, the Hillsdale/Belmont Shuttle will be discontinued due to duplication of services, and paid parking at the Belmont Station will resume. Free SamTrans connections for Caltrain riders during the temporary Hillsdale Station closure will no longer be available. Shuttles that served the Belmont Station during the temporary Hillsdale

Station closure will continue until 25th Avenue is reopened in the late summer.

- Riders can access the new station at 28th Avenue and the pedestrian underpass while 25th and 31st Avenues are under construction. For more information visit www.caltrain.com/hillsdaleopening.
- Communications efforts includes:
 - Visual Message Signs & Public Address Announcements
 - Dedicated Webpage
 - Press Release
 - Social Media Updates
 - Print Ads in various Newspapers
 - Belmont Station Website Alert
 - Belmont / Hillsdale Shuttle Webpage and Text Alerts
 - Shuttle Notices and Outreach to shuttles
 - Signage at Belmont Station regarding resumption of parking fee
 - Weekly Project Construction Updates
 - Government Affairs & Public Affairs Notifications
 - Community Notifications – mailer, HOAs/Neighborhood Associations, project email distribution list, weekly construction notice, NextDoor
 - Staff Ambassadors from Communications, Rail and Bus stationed at Hillsdale Station and Belmont Station on the morning of April 26 to welcome and assist customers
- **SF Weekend Service Closures** – As part of the Marin & Napoleon Rail Bridge Improvement Project, the replacement of the Napoleon Street Bridge required two weekend service closures. Caltrain did not operate service to the 22nd Street or San Francisco stations on the weekends of April 17-18 and April 24-25.

On these weekends, free SamTrans bus service replaced train service between the Bayshore, 22nd Street and San Francisco stations. Buses were ADA accessible and required face coverings while on board.

For more information, visit www.caltrain.com/SFWeekendClosure

- **Caltrain riders have one more contactless payment option –**
 - The Metropolitan Transportation Commission (MTC) launched on April 15 the Clipper regional transit-fare payment card on iPhone and Apple Watch, and also released a mobile app for easier management of Clipper cards.
 - Clipper on iPhone and Apple Watch gives riders a new contactless way to pay fares on buses and at all the participating transit agencies. Customers can add the card directly through Apple Wallet and load cash value with

Apple Pay anytime, anywhere. Customer can also use the trip planning feature on the app. Clipper will be available in Google Pay in May.

- **CAC Meeting** – The Citizens Advisory Committee met on Wednesday, April 21, via teleconference. Brent Tietjen, Government & Community Affairs Officer, provided an updated presentation PCEP. Joe Navarro, Deputy Chief – Rail Operations, provided an EMU update. Joe also provided the Staff Report. The next CAC meeting is scheduled for Wednesday, May 19, via teleconference or in San Carlos.
- **BAC Meeting** – The next Bicycle Advisory Committee meeting is scheduled for Thursday, May 20, via teleconference.
- **Special Event Service** –

Services Performed:

- **SF Giants** –The SF Giants welcomed back fans at Oracle Park at limited capacity for their home opener starting Friday, April 9. The Giants will host 13 home games in April. Caltrain continues to monitor ridership arriving and departing SF station and will support customer needs as the season progresses. April Monthly Giants Ridership will be reported in June.
- **Golden State Warriors** – The Warriors welcomed back fans at Chase Center at limited capacity starting Friday, April 23. The Warriors will host 3 home games in April. Caltrain continues to monitor ridership at SF station. April Monthly Warriors Ridership will be reported in June.
- **San Jose Sharks** – The SJ Sharks welcomed back fans at SAP Center at limited capacity starting Monday, April 26. The Sharks will host 2 games in April. Caltrain continues to monitor ridership at San Jose Diridon station. April Monthly Sharks Ridership will be reported in June.

Services Scheduled:

- **SF Giants** – The Giants will host 15 home games at Oracle Park at limited capacity in May. Caltrain will continue to monitor ridership arriving and departing SF station and will support customer needs as the season progresses.
- **Golden State Warriors** – The Warriors will host 6 home games at Chase Center in May. Caltrain will continue to monitor ridership at SF station.

- **San Jose Sharks** – The SJ Sharks will host 5 home games in at SAP Center in May. Caltrain will continue to monitor ridership at San Jose Diridon station.
- **Memorial Day Holiday Service** – On Monday, May 24, Caltrain will operate a Holiday/Sunday schedule in observance of the Memorial Day holiday.

Capital Projects –

The Capital Projects information is current as of April 16, 2021 and is subject to change between April 16 and May 6, 2021 (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 project is over 89% complete.

The temporary closure of the Hillsdale Station, to allow completion of the project, began on May 16, 2020 and will continue into early spring 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.

To support Hillsdale Station's planned opening on April 26, 2021, PG&E provided permanent power on April 5. Work is under way to test the various station communications (i.e., data, voice, CCTV), ticket vending and Clipper Card validation, lighting, and fire/life safety systems that will be followed by integrating these various systems into the Caltrain network and Central Control facility command center. Upon completion of testing and systems integration, the new Hillsdale Station will open for passenger service and the interim shuttle service to the Belmont station will be halted.

On April 5, the entirety of the 25th Avenue roadway from Palm Avenue to Delaware Street was temporarily closed for approximately 4 months in order to complete the roadway lowering that will provide sufficient vehicle clearance for commercial trucks. During the closure, east-west connectivity is provided at the newly opened 28th Avenue Underpass.

Work also continued for retaining walls and underground utilities for the future roadway underpass at 31st Avenue. Work also continued for the architectural and electrical finishes for the new Hillsdale Station and connecting bridges at 28th Avenue and the Pedestrian Underpass. Also in progress is the construction of the new parking lots along Delaware Street on the east side of the alignment.

Adjacent to this project is a new assignment 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 area. This work was to be undertaken by the City of San Mateo, but is now being performed by Caltrain at the request of the City. Construction activities that began in February 2021 were substantially completed at the end of March, approximately two months ahead of schedule.

- **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 April, the contractor (PMI) continued the construction of Ramp 3 (leading to West Plaza entrance) in addition to shoring for Ramp 1/Stair 1 (East Side entrance on Poletti Ave.) leading to the Pedestrian Underpass. Underground electrical and ground improvements for the Communications Electrical Room were in progress. Work also continued for the trackwork of the realigned Main Track #1 (MT1). Currently, the project completion date is forecasted to extend from December 2020 until summer/fall of 2021.

Due to utility and contractor caused delays, the overall project budget and schedule impacts are being assessed. A future Board action will be requested upon completion of the assessment and coordination with applicable partner agencies.

- **Marin and Napoleon Bridge Rehabilitation Project:** This state of good repair project will perform repairs at the Marin Street Bridge and replace the Napoleon Street 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 Street 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 several partial weekend service outages between Bayshore and

4th & King Stations during the outages. The project will install security fencing to deter encampments, and, also include track improvements in the vicinity of the bridges.

Construction activities performed in April include preparations at the Napoleon Street Bridge for the replacement of bridge girders, delivery of the steel bridge girders, and the continued repairs of cracks and concrete spalling at the Marin Bridge. During the weekends of April 17-18 and April 24-25, rail service will be suspended and a bus bridge provided between Bayshore Station and the 22nd Street and 4th & King Stations for passengers. During these two weekend outages, the contractor will be replacing the bridge girders at the Napoleon Street Bridge and also perform track improvements in the adjacent area. To accommodate the work duration, single track operation will be necessary for a portion of both Monday mornings. Full rail service will be restored for mid-Monday morning following each of the weekend outages. The contract is planned to complete in the summer of 2021.

- **Burlingame Broadway Grade Separation Project:** This project will grade separate the railroad alignment at Broadway, between Carolan and California Avenues, in the City of Burlingame and remove the current at-grade crossing. As a part of this project, the Broadway Station will become elevated and the hold out rule that impacts operational efficiency at this station will be eliminated. This project is funded for the design phase through local funds (San Mateo County Transportation Agency Measure A and City of Burlingame). The City of Burlingame is the sponsor of the project with Caltrain acting as the lead agency for implementation.

The project will improve both traffic safety and traffic flow on Broadway. The Project will also provide improved and more efficient traffic movement along adjacent streets and intersections surrounding the crossing. Pedestrian and vehicle safety will be greatly improved by creating clear separation between pedestrians/vehicles and trains, and by eliminating the potentially dangerous conflicts presented by the current at-grade crossing. Lastly, railroad operation efficiency will be improved as there have been numerous accidents at the Broadway at-grade crossing, many involving vehicles stopped on the tracks. The Broadway at-grade crossing is currently ranked on the California Public Utilities Commission's Grade Separation Priority List as the top ranked crossing for grade separation in Northern California and as the second highest ranked crossing in the state. The Project can: 1) help reduce emergency response times as the Caltrain corridor bisects the east and west sides of the City, 2) help to alleviate traffic queuing on Broadway, which extends east to the U.S. Highway 101 ramps, 3) reduce traffic delays at nearby intersections with California Drive, Carolan Avenue and Rollins Road, and 4) significantly

improve access to the Broadway commercial district from U.S. Highway 101, which would further support economic development.

Currently, the project is completing value engineering of the preliminary design to optimize cost, schedule, and construction efficiency. The current schedule is to complete the final design for construction contract advertisement by mid-2023. Construction scheduled to occur from early 2024 to early 2026. Advance utility relocations are expected to begin in mid-2023. Team evaluating potential use of alternative delivery methods to address project risk and site constraints.

- **Ticket Vending Machine (TVM) Rehabilitation:** Upgrade the existing TVM server and retrofit and refurbish two existing TVMs to become prototypes for new TVMs 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. Scope of the original contract was increased to include upgrades to the credit card reader and database.

In early October, the first phase of the project to develop a prototype Clipper TVM successfully completed final acceptance testing that results in completion of Phase 1. Phase 2 retrofitting of 12 additional TVMs was completed in March. Funding for Phase 3, for the rehabilitation of an additional 21 TVMs, secured and will be added to the project. The vendor's proposal for Phase 3 was received and is under review with the award forthcoming. Additional funds for Phase 4 for another 25 TVMs included in the FY21 Capital Budget amendment approved in October. Phase 4 will be added to the project when funding becomes available. Additional phases beyond Phase 4 are required to upgrade all remaining stations (30 TVMs).

- **Mary and Evelyn Avenue Traffic Signal Preemption Project:** Perform upgrades to train approach warning systems at Mary Avenue and Evelyn Avenue crossings in Sunnyvale. Project will improve vehicle safety at the at-grade crossings by increasing traffic signal advance warning times for approaching trains in order to clear vehicles at the crossings. Project will mimic the 2014 completed traffic signal preemption project 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 grade crossings.

The 100% crossing design by the Electrification project is not available for design coordination and a timeframe for its receipt is pending. Project proceeded to complete its design without this information from the

Electrification project. The 100% design is complete and Notice to Proceed for construction was issued to TASI on July 9. TASI has completed the installation of traffic signal preemption equipment and will be testing over the next several months. Integrated testing with the city of Sunnyvale's traffic department will be conducted when the city's traffic controller upgrade is complete fall 2021.

- **FY19/FY20 Grade Crossing Improvements:** This project is a continuation of the ongoing grade crossing program to improve safety at grade crossings in accordance with Grade Crossing Hazards Analysis for the entire corridor. This analysis prioritized crossings and we have proceeded with the work in phases based on funding availability. Ten 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 in this phase are 1st, 2nd, and 3rd Avenues in San Mateo, and, Glenwood and Oak Grove Avenues in Menlo Park. Work items include installation of signals, fences, gates, curbs, lighting and signs.

The construction contract was advertised for bids on August 31 and bids were received on October 12. The construction contract was authorized at the December 2020, board meeting. The contract has been executed and the Limited Notice to Proceed was issued on February 8, 2021, to initiate the 60-day administrative period. The Notice to Proceed with Construction was issued on April 1, 2021, with construction lasting until fall of 2021.

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

Project began in December 2019. The 35% design received in March 2020 is under review. 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. The City of Palo Alto's design consultant has developed a conceptual design which is being reviewed by the City. Coordination meetings have continued between staff and the City's design consultant.

- **Bayshore Station Bridge Painting:** This project will perform rehabilitation of the coatings of the existing steel pedestrian overpass bridge at the Bayshore Station, in Brisbane. The bridge connects the southbound platform to the northbound platform and the parking lots on the east side. The bridge was originally constructed as part of the Caltrain Express project (CTX) in 2002 and has not been repainted since. The bridge's paint coatings are in

need of rehabilitation with surface rust that needs to be addressed along with a complete repainting of the bridge to bring the structure to a state of good repair.

The project is preparing Issue for Bid construction documents. Coordination and outreach with the Electrification project and stakeholders, such as the Cities of Brisbane and San Francisco, have been conducted and continue. Advertisement for bids forecasted for mid-2021 with construction to commence in the spring of 2022.

- **Broadband Wireless Communications:** Project will provide wireless communication systems to enhance capabilities for monitoring of railroad operations and maintenance, and provide Wi-Fi capability for passengers. 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.

Project has completed the planning/conceptual design phase to develop project requirements. A stakeholder's review of planning/conceptual design phase has been completed and a recommendation has been made to proceed with the project as a Design/Build procurement. Request For Qualification documents are being developed for advertisement in the Spring and contract award by the end of 2021. Design and Construction is planned from early 2022 until mid-2023.

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

The first vehicle #927 was shipped to the vendor's facility at Mare Island (Vallejo) in July for overhauling. Its return to Caltrain has been delayed from early-2021 until mid-2021 due to COVID-19 related impacts to the vendor's supply chain, availability of testing staff due to travel restrictions, and

increase in the scope of needed repairs. This delay is expected to be limited to vehicle #927. A second vehicle #924 was shipped to the vendor's facility in November and is currently being overhauled.

PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT

TO: Joint Powers Board

THROUGH: Michelle Bouchard
Acting Executive Director

FROM: John Funghi
Chief Officer, Caltrain Modernization Program

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

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. 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.



Caltrain Modernization Program Peninsula Corridor Electrification Project (PCEP)



March 2021 Monthly Progress Report

March 31, 2021

Funding Partners



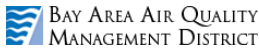
Federal Transit Administration (FTA) Core Capacity
FTA Section 5307 (Environmental / Pre Development only)
FTA Section 5307 (Electric Multiple Unit (EMU) only)



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 2022, 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.

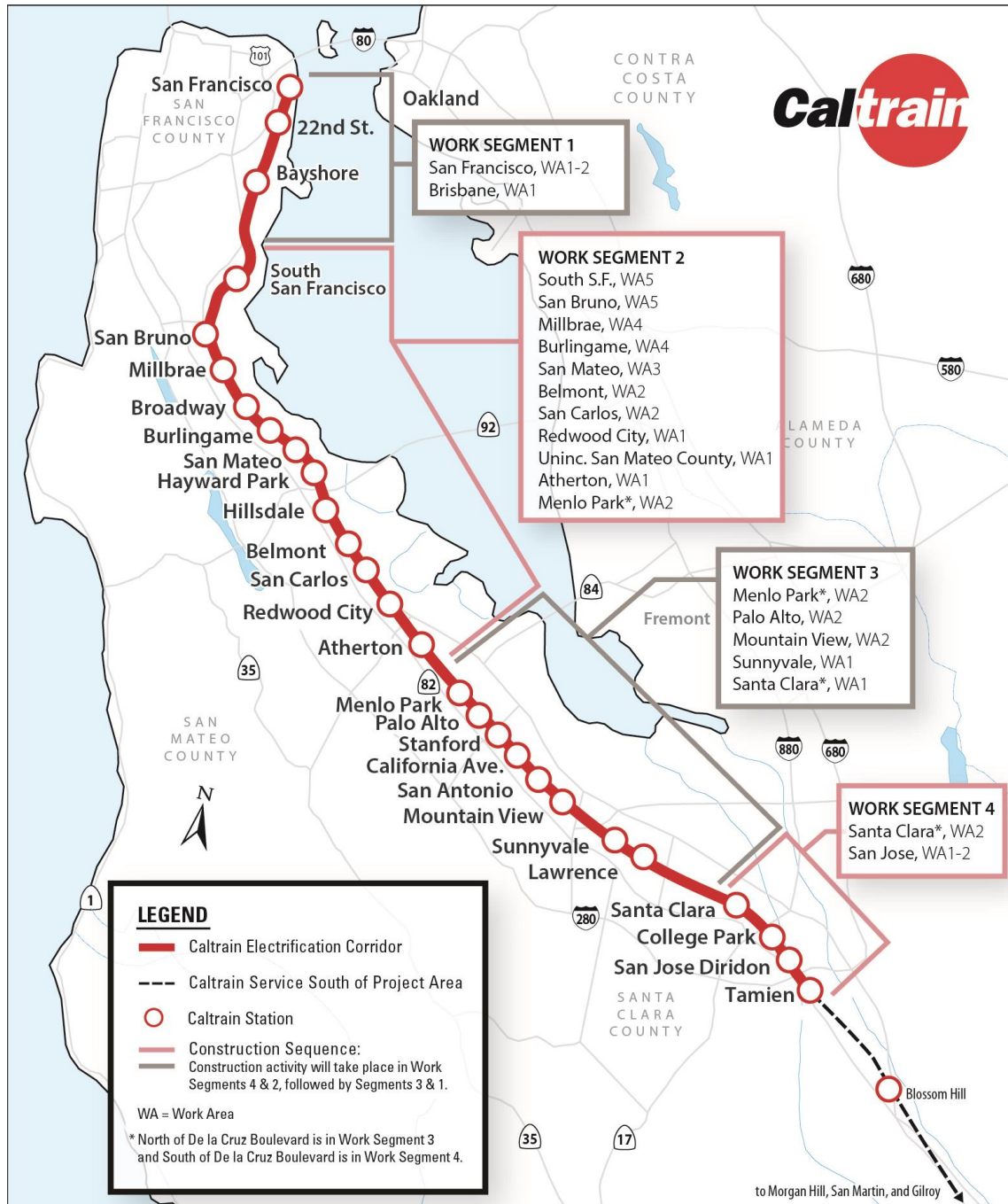
An electrified Caltrain will better address Peninsula commuters' vision of environmentally friendly, fast and reliable service. Electrification will modernize Caltrain and make it possible to increase service while offering several advantages in comparison with existing diesel power use, including:

- **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

Another successful signal cutover was completed at Control Point Franklin to Stockton. Installation of Overhead Catenary System (OCS) foundations began at the Centralized Equipment Maintenance and Operations Facility (CEMOF) in March. The crews installed a total of 92 foundations this month in Segment 2, between San Mateo and South San Francisco, and at CEMOF.

Dynamic testing began on Train 1 in Pueblo, CO. Final inspections were conducted on Train 2, and production continued on Trainsets 3-12. The ongoing Coronavirus Disease 2019 (COVID-19) pandemic has further delayed Stadler’s expected delivery of the EMUs. Delivery of the first trainset has been delayed from June to November 2021. Manufacturing of car shells and truck frames is still on schedule, and to date, 74 have been shipped to Salt Lake City, 19 of which are still in transit.

2.1. Monthly Dashboards

Dashboard progress charts are included below to summarize construction progress.

Figure 2-2 Expenditure – Planned vs. Actual

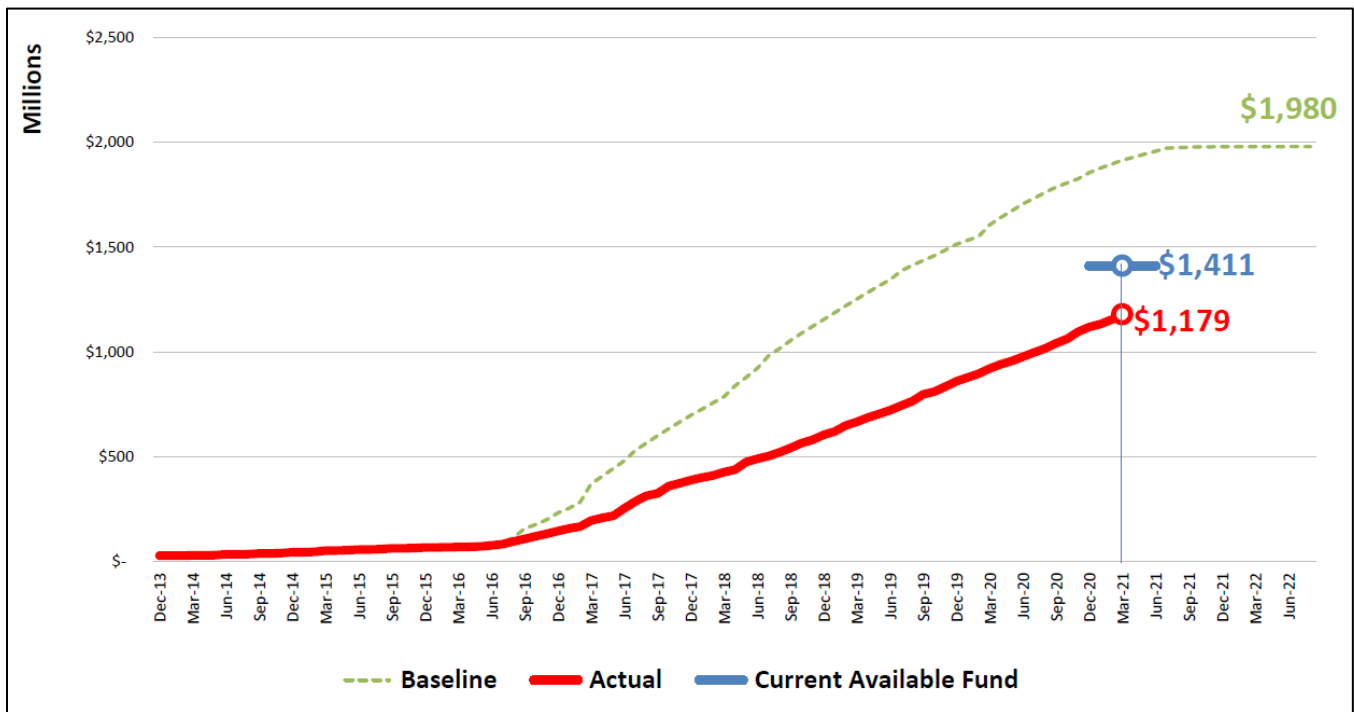


Figure 2-3 Spending Rate vs. Required

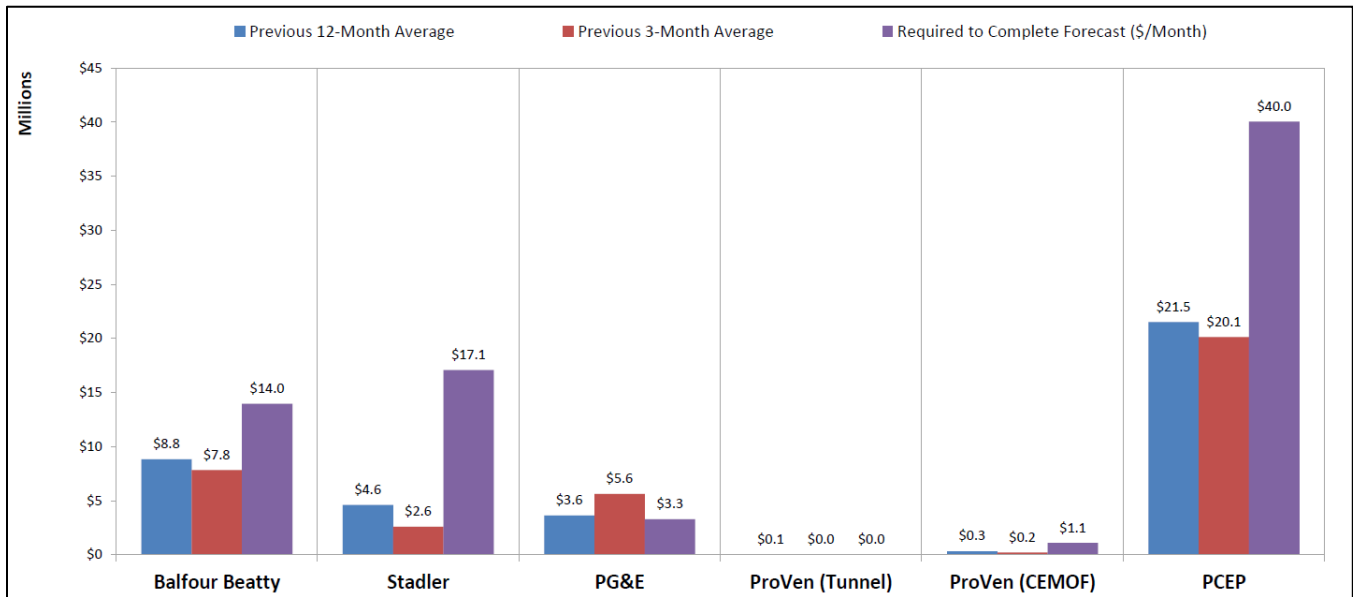
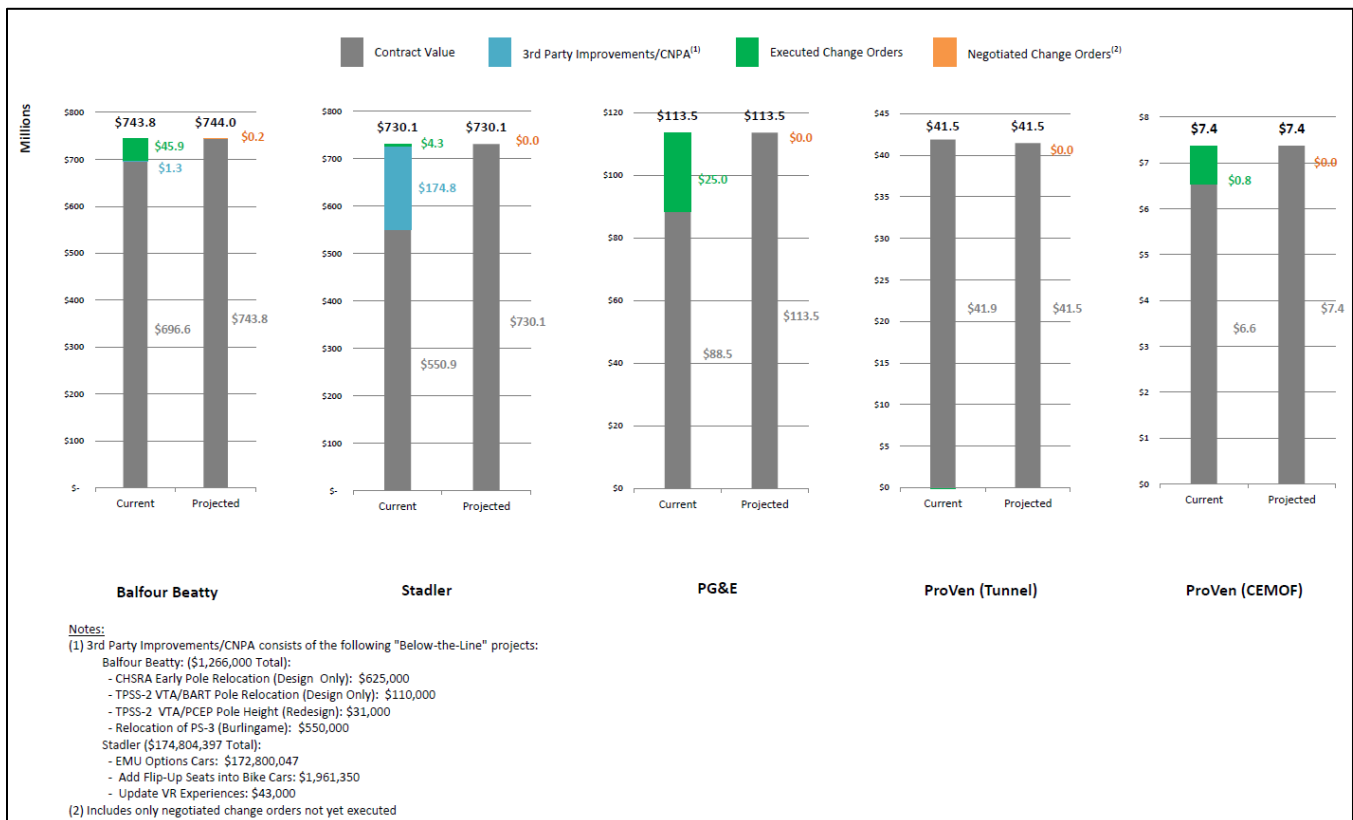


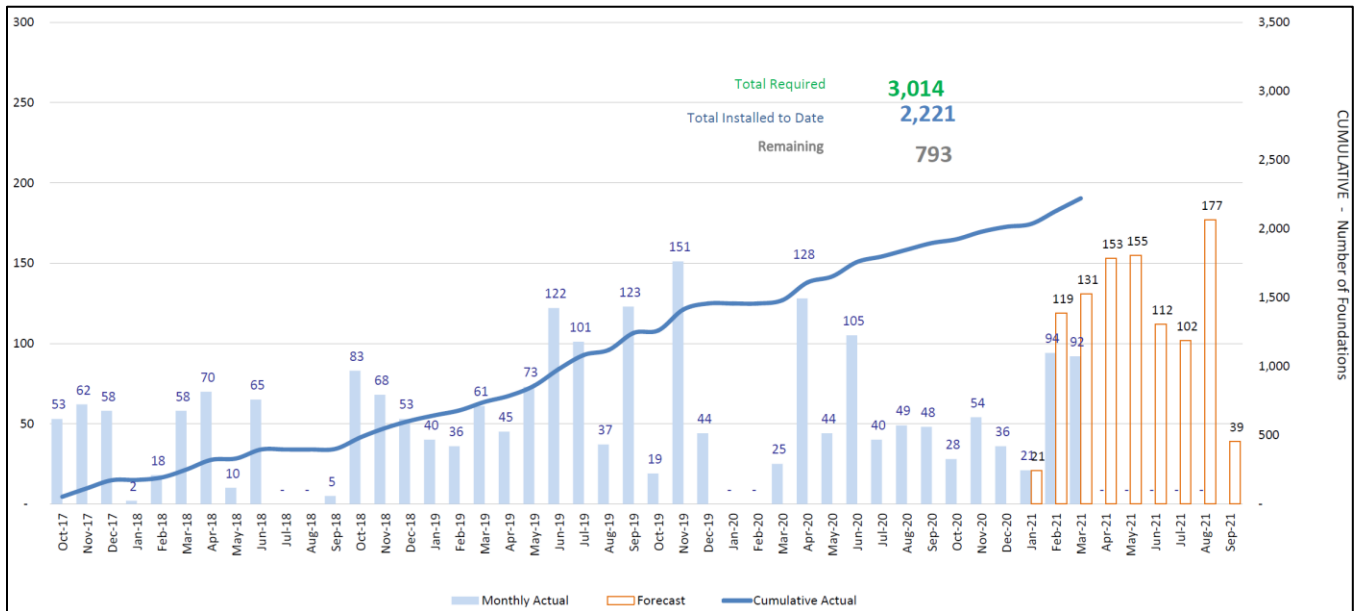
Figure 2-4 Construction Contract Budgets



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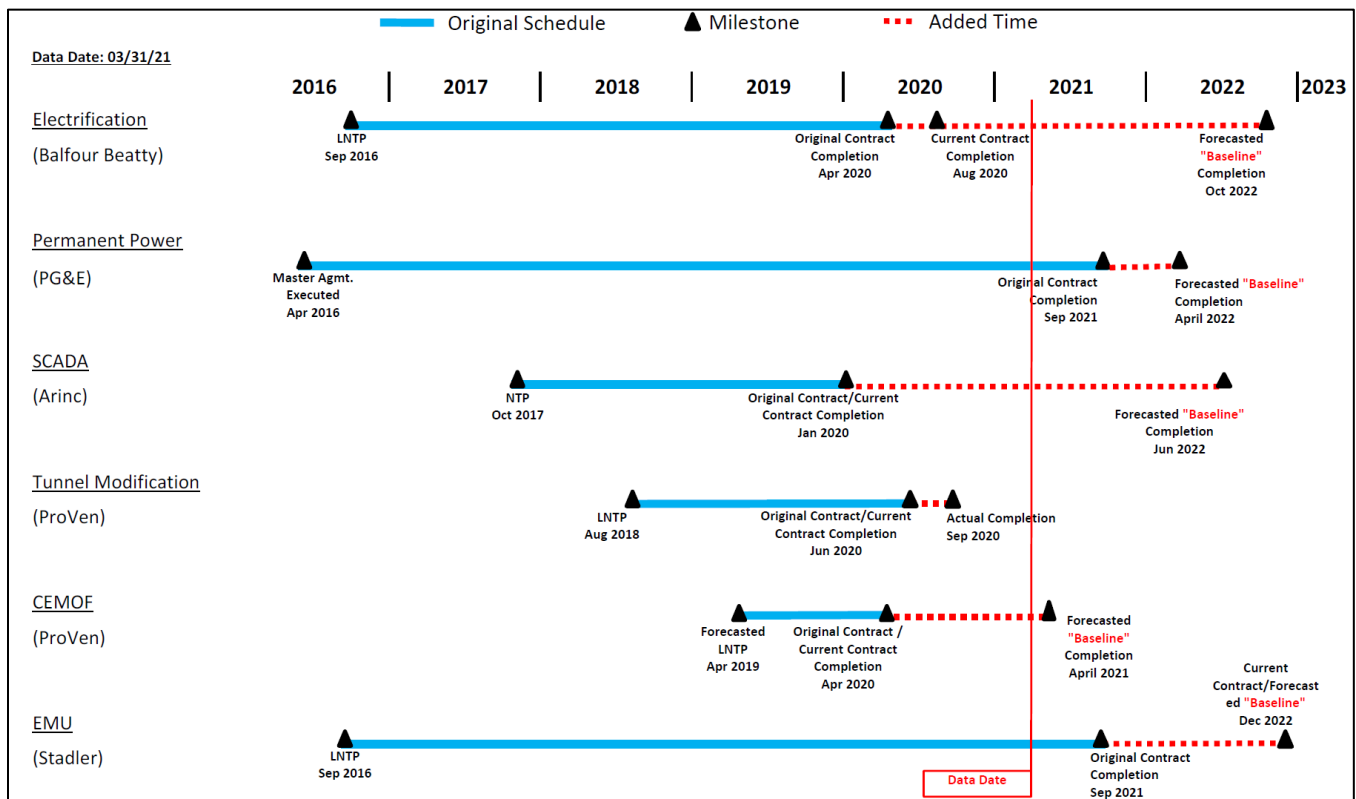
Figure 2-5 OCS Foundation Production



Notes regarding tables above:

- BBII is reporting a delay in the completion date for the OCS foundations from May 2021 to July 2021. PCEP's own projection of BBII's productivity estimates the completion date to be in September, reflected in Figure 2-5. The monthly forecast is 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 does 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 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)

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; CHSRA: Sharath Murthy

The Project Management Oversight Consultant (PMOC) monitoring visit occurred virtually on March 23 and March 25. The Federal Transit Administration (FTA) Quarterly Update is scheduled for April 26. In public outreach, a meeting was held in San Francisco to update the community on the upcoming PCEP work. A capital improvements grant program was passed and additional funding for PCEP is being considered. A signals and communications cutover was successfully completed on the weekend of March 26, and the next two remaining cutovers in Segment 4 are scheduled to occur in early May and mid-June. The Limited Notice to Proceed (LNTP) for the Scissor Lift Work Platforms was issued on February 25, and the Notice to Proceed (NTP) will be issued after the requirements of the LNTP are completed. The PCEP Security Plan was audited by the California Public Utilities Commission (CPUC) and there were no findings. In EMU testing and manufacturing, Train 1 arrived at TTCI in Pueblo on February 27 and Stadler is conducting internal tests. Train 2 is being prepared for Heating, Ventilation, and Air Conditioning (HVAC) air flow tests in Salt Lake City, UT. The final inspection of Trainset 2 has been completed and the open points are being finalized. Work at CEMOF is anticipated to be complete in April. In design-build activities, on-track foundations are complete in S2WA5, 4, and 3. Foundation installation at CEMOF is ongoing and scheduled to be complete by April 10. Mobilization to S2WA1 and 2 will begin the week of April 12. The Supervisory Control and Data Acquisition (SCADA) Factory Acceptance Test (FAT) has started and is ongoing with no major issues to report.

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: CHSRA: Sharath Murthy

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, Positive Train Control (PTC) and Caltrain Capital Project managers responsible for other capital projects on the corridor is ongoing. There is coordination with the Tunnel Modification Project, PG&E construction of the Interconnection to TPS-2, and the CEMOF upgrades as well. The Systems Integration meeting has been arranged to have a technical discussion of the interface issues to existing Caltrain legacy systems followed by a shorter session with CalMod management for elevation of issues identified. 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. Work continues to develop a schedule fragnet for the achievement of Intermediate Milestone #1. 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; CHSRA: Wai-on Siu

The program's critical path was revised in March 2021 due to schedule delays in the EMU contract. As a result of some supplier bankruptcies due to hardships caused by COVID-19, the replacement of the supplier for ceiling panels, luggage racks, and pantograph brackets has impacted Stadler's schedule and resulted in a five-month delay in the first trainset arrival at JPB and a two-month delay to the 14th trainset conditional acceptance. Stadler's forecasted conditional acceptance of the 14th trainset in the MPS March update is December 9, 2022. The impact of the replacement of the internal parts supplier and COVID-19 remains unknown in Stadler's schedule during the upcoming months.

Milestone #1 - Segment 4 Completion has been delayed due to damage to the TPS- 2 switchgear sustained during mishandling at customs in North Carolina. The new forecast date for Milestone # 1 is September 13, 2021.

The JPB's forecasted electrification substantial completion date for the BBII contract in the MPS March update did not change. JPB is working with BBII to improve progress on both the signals system, which lags behind baseline productivity level, and traction power facilities, which continue to progress at a slow rate.

The forecasted revenue service date (RSD) is now December 9, 2022. However, this date is subject to change in the future upon conclusion of the mediation process between JPB and BBII.

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

Funding Partners: SFCTA: Luis Zurinaga; CHSRA: Sharath Murthy

Three risks were retired and one risk was added.

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

Funding Partners: CHSRA: Boris Lipkin, Sharath Murthy and Simon Whitehorn; VTA: Dennis Radcliffe; 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.

Tunnel Modification Contract

No changes were identified for consideration.

Amtrak Contract

No changes were identified for consideration.

Other

Two changes were approved.

2.3. Schedule

The program's critical path was revised in March 2021 due to schedule delays in the EMU contract. As a result of some supplier bankruptcies due to hardships caused by COVID-19, the replacement of the supplier for ceiling panels, luggage racks, and pantograph brackets has impacted Stadler's schedule and resulted in a five-month delay in the first trainset arrival at JPB and a two-month delay to the 14th trainset conditional acceptance. Stadler's forecasted conditional acceptance of the 14th trainset in the MPS March update is December 9, 2022. The impact of the replacement of the internal parts supplier and COVID-19 remains unknown in Stadler's schedule during the upcoming months.

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The forecasted revenue service date (RSD) is now December 9, 2022. However, this date is subject to change in the future upon conclusion of the mediation process between JPB and BBII.

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

Table 2-1 Schedule Status

Milestones	Program Plan	Progress Schedule (March 2021) ¹
Milestone #1 Segment 4 Construction Completion	11/21/2019	09/13/2021 ¹
Arrival of First Vehicle at JPB	N/A	11/25/2021 ²
PG&E Provides Permanent Power	09/09/2021	04/15/2022
Electrification Substantial Completion	08/10/2020	10/22/2022 [*]
Acceptance of 14 th Trainset	08/20/2021	12/09/2022 ²
Revenue Service Date (RSD)	12/09/2021	12/09/2022
FFGA RSD	08/22/2022	08/22/2022

Note:

- ¹ Dates may shift slightly in the next month's Progress Schedule update due to additional signal cutovers in Segment 4.
- ² These dates are expected to be delayed due to COVID-19 impacts on Stadler's Assembly & Testing facility in Salt Lake City.
- ^A Completed Milestone.
- ^{*} Pending mediation process resolution with BBII.

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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) ¹	Cost This Month (C) ²	Cost To Date (D) ³	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
Electrification Subtotal	\$1,316,125,208	\$1,316,125,208	\$20,942,869	\$904,973,098	\$411,152,110	\$1,316,125,208
EMU Subtotal	\$664,127,325	\$664,127,325	\$4,164,991	\$274,338,184	\$389,789,141	\$664,127,325
PCEP TOTAL	\$1,980,252,533	\$1,980,252,533	\$25,107,860	\$1,179,311,282	\$800,941,251	\$1,980,252,533

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.

2.5. Board Actions

- Amendment No. 3 to Supplemental Agreement No. 2 with PG&E to install utilities underground at a private parcel in lieu of condemnation

Future anticipated board actions include:

- Change orders as needed

2.6. Government and Community Affairs

There were three outreach events 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

- Completed foundations in S2WA5, 4, and 3. There are two locations that were left uncompleted due to unforeseen conflicts, but will be installed at a later date when the crew is back to work in S2WA2 and 1.
- Mobilized on-track foundation equipment to Santa Clara siding for installation of OCS foundations at CEMOF.
- Began installation of OCS foundations in CEMOF.
- Continued installation of OCS poles, cantilevers, and wires in Segment 3 and 4.
- Continued regulation of OCS wires (sagging the wires) in Segment 3.
- Continued installation of shunt wires in Segment 3.
- Continue to pothole at proposed OCS locations and utility locations in Segment 2 and CEMOF in preparation of upcoming foundation installations.
- 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.
- PS-1: Continued installation of electrical equipment, light pole foundations, ground grid, and erect gantry steel.
- PS-2: Continued installation of gantry conduit, grounding, drainage, light pole foundations, and oil/water separator.
- PS-3: Began construction of blast wall.
- PS-4: Continued excavation and pour for CMU wall, and install ground grid.
- PS-5
 - Continued wire termination and low voltage pad.
 - Installed grounding for gantries.
 - Installed post insulators.

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- Added supports for gantry conduits, installed strut straps, and adjusted conduits for electrical service.
 - Installed conduits for PG&E pad.
 - Set up wire pulling equipment. Pulled in 600 kcmil wire from control house to main gantry. Installed corrugated pipe on the wire pulled in. Total wire pulled in 518 feet.
-
- PS-6: Installed supports for DC panel.
 - PS-7: Continued low voltage drop installation.
 - Continued low voltage terminations and fence installation at TPS-1.
 - Continue gantry low voltage termination at TPS-2.
 - Continued to install signal ductbank, conduits, and cables in Segment 2 and Segment 1.
 - Continue case installation at CP Center Remote.
 - Perform signal cutover at CP Franklin to CP Stockton.
 - Continued cable termination and staging at CP Stockton and CP Franklin.
 - Performed pre-testing from CP Stockton to CP Franklin.
 - Perform cable installation from CP Coast to CP Stockton.
 - Performed fire alarm installation.
 - Continued fiber optic cable installation and splicing in Segment 4.
 - Install overhead bridge attachments at various locations in Segment 3 and 4.
 - 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.
 - Continue Right of Way acquisition for TPS-1 interconnection.
 - 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 internal discussions about design, installation and testing of signal and communications modifications to the Caltrain system and schedule for cutover plans.
 - Continued discussions with VTA on Right of Way acquisition for TPS-2 interconnection.
 - Worked with BBII through Site Specific Work Plans (SSWP) for upcoming field work.
 - Continued model validation for the single phase study.
 - PG&E continued work at East Grand and FMC substations.
 - PG&E continued TPS-2 Interconnection work.

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 ^{abc}	Completed this Month	Completed to Date ^d	Required ^{ab}	Completed this Month	Completed to Date
1	Tunnels	32	0	32	32	0	32
	A	303	0	0	259	0	0
	B	232	0	85	177	0	0
2	5	247	4	246	212	0	160
	4	316	28	315	253	0	190
	3	177	26	176	140	0	43
	2	239	0	78	205	0	60
	1	206	0	79	154	0	33
3	2	510	0	510	460	0	445
	1	391	0	391	311	2	306
4	A	241	0	241	180	17	170
	B	128	0	128	124	8	103
	CEMOF	86	34	34	81	0	0
Total		3,108	92	2,315	2,588	27	1,542

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, 30 foundations have been installed by the South San Francisco in S2WA5 and 65 have been installed by the 25th Ave projects in S2WA3.
- d. Foundations complete to date quantities updated to match OCS Foundation Lead numbers.

Activity Next Month

- Complete on-track foundation installation in CEMOF.
- Mobilize on-track foundation equipment to Redwood City Siding to prepare for installation of OCS foundations in S2WA2 and 1.
- Begin OCS foundation installations, in S2WA2 and 1.
- Continue resolution of foundation conflicts.
- 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 and regulation in Segments 3 and 4.
- Continue shunt wire installation.
- 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.
- Continue construction at TPS-1 and TPS-2.
- PS-1
 - Install and set gantry equipment and cables.
 - Install shallow foundations.

- PS-2
 - Finish drainage work.
 - Install shallow foundations.
- PS-3
 - Complete IFC design draft with PGHW, BBII and City of Burlingame.
 - Pour blast wall pile cap.
 - Install main gantry foundations.
- PS-4
 - Finish remaining CMU wall footing.
 - Finish installing ground grid.
- PS-5
 - Install formwork and pour City of Palo Alto pad.
 - Install and pour planter box.
- PS-7: Set PG&E 400-amp service panel.
- Continue to install conduit and foundations for signal and wayside power cubicle (WPC) units in all Segments.
- Continue cable termination at signal locations in Segment 4.
- Continue fiber installation and splicing in Segment 4.
- Continue preparation for next signal cutover in Segment 4.
- Continue conduit installations in Segments 2 and 1.
- Continue to install impedance bond connections.
- Continue to install bridge attachments.
- 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.
- Continue progress on Single Phase Study.

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 Monthly Progress Report.
- Addressed comments to SCADA Operations User Manual.
- Completed updates and submitted Training Manual.
- Started Factory Acceptance Testing.
- Completed and delivered Operations User Manual.

Activity Next Month

- Prepare and deliver the Monthly Report and the Monthly Schedule Update.
- Attend project status meetings (virtually).
- Complete final revisions of the Power Director manual.
- Prepare and deliver proposal for Points List Changes.
- Complete SCADA FAT.

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.
- Received punch list comments from contractors.

Activity Next Month

- Review and respond to letters.
- Change Order reconciliation.
- PMI to submit As-Built Drawings.

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:
 - Completed civil work for fencing around site.

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- Installed bollards in front of PG&E pad.
- Finished installing gantry AC panel and terminated DC panel.
- Continued terminations in gantry termination cabinet.
- EGS – TPS-1:
 - Coordinated new design scope with PG&E for the TPS-1 site and Health Peak area.
 - Continued terminating gantry termination cabinet.
 - Adjusted grounding disconnect switches and fixed mechanical interlock mechanisms.

Activity Next Month

- FMC – TPS-2:
 - Complete gantry LV termination.
 - Install remaining finegrade.
 - Install site lighting poles.
- EGS – TPS-1:
 - Complete Transmission Structure Pole (TSP) redesign coordination with South San Francisco team, TRC and PG&E.
 - TRC to submit 60% underground redesign for final location by end of April.
 - Continue working on the EGS substation for Phase 1 A.

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

- Dynamic type testing commenced on Train 1 at TTCL in Pueblo, CO.
- Final inspections took place on Train 2.
- Production continued on Trainsets 3 through 12.
- COVID-19 related actions continued for the 13th month causing mixed disruptions to Stadler's activities:
 - Stadler's manufacturing facilities in Switzerland supporting the Caltrain Project have returned to 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 and ongoing person-power limitations and sub-supplier parts shortages.
 - Stadler has submitted multiple requests for 'excusable delays' due to COVID-19. The extent of the continuing delay is being evaluated. Currently, delivery of the first trainset to Caltrain has been delayed 8.5 months to the November 2021.
 - Stadler's supply chain has been disrupted by two supplier bankruptcies. Replacement suppliers were found, but the delivery schedule was impacted. In addition, one of the replacement suppliers is now having financial issues. Due to this, Stadler submitted another request for excusable delay in February 2021. The extent of the delay is being evaluated. The results will likely be a delay in the delivery of all trainsets.
- Final Design Reviews remain to be completed for three systems. These software-based systems include 'Train Control,' 'Monitoring and Diagnostics,' and 'PTC.' For train control and MDS, completion is delayed to February 2021 and must be performed prior to the commencement of Pueblo Type Testing. For PTC, completion is anticipated in mid-2021.
- First Article Inspections (FAI) continue to have their paperwork formalized and closed out.
- 74 car shells have been shipped from Stadler Switzerland, with 55 arriving at Stadler's Salt Lake City facility (19 shells are 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 and travel restrictions are lifted.

Activity Next Month

- Continue to close out system level FDRs and FAIs.
- Continue to support Caltrain/PCEP system integration and rail startup activation activities.
- Support type testing in SLC and at TTCl.

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

- Performed megger test for the 480-volt line at the north pit ductbank.
- Partially installed site lighting.
- Back filled the pit walls.
- Installed rail baseplates, well, and rail.
- Installed entry doors and frame at the Component Test Room.
- Completed site furnishings installation at Parts Storage Warehouse.

Activity Next Month

- Hook up final connection to switchgear for permanent power at Parts Storage Warehouse.
- Install t-bar ceiling grid at Component Test Room.
- Install light fixtures at Component Test Room.
- Install fire sprinklers at Component Test Room.

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 the monthly employee injury review 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) and Construction Specification Conformance Checklist (CSCC) 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 the status and next steps needed to support compliance to the FTA Oversight Procedure 54 (Readiness for Service) project safety and security requirements.
- Conducted ongoing safety inspections of contractor field activities.
- 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 COVID-19 virus.

Activity Next Month

- Conduct monthly virtual safety communication meetings 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.
- Provide a project safety update at the FTA Quarterly Meeting.
- Finalize safety and security certification documentation requirements in coordination with project testing and commissioning activities.
- Continue focus on performing site safety inspections on the OCS foundations, pole installations, potholing, and CEMOF work activities to assess safety work practices

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- and identify additional opportunities for improvement. Conduct contractor equipment inspections as needed.
- Reinforce the ongoing application of recommended mitigation measures in response to the COVID-19 virus.
 - Investigate project incident occurrences as needed and work with the contractor representatives to identify incident root cause, contributing factors and safety 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

- Reviewed BBII submittals of Inspector Daily Reports (IDR) and Contractor Quality Control Report (CQCR).
 - Provided QA review of BBII submittals of Material Review Reports (MRR) to ensure that purchase order quality and test document requirements are met and included in the receiving inspection document package.
 - Provided QA review of BBII submittals of Certificates of Conformance (C of C) and Certificates of Analysis (C of A).
 - Provided QA review of BBII Non-Conformance Reports (NCR) and Construction Discrepancy Reports (CDR) to assure that in-process discrepancies are processed as required.
 - Provided review of BBII QA Audit Surveillance Reports.
 - Provided QA review of Supplier Certified Test Reports (CTR), and Certified Material Tests Reports (CMTR).
 - Prepared for upcoming audits for design, quality audits, quality records and training.
 - Completed BBII Section 34 31 76 Audit, evaluating audit results
 - Source Inspection QMP approved with comments by Caltrans
 - Performed review of BBII record set of As-Built Drawings
 - Completed Buy America report to respond to PMOC Quarterly Meeting notes
- Submitted revised JPB QMP R3 for review and approval.

Activity Next Month

- Review BBII quality records and prepare for upcoming audits for design, quality audits, quality records and training.
- Complete BBII Section 34 31 76 Audit Report and conduct exit meeting.

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Table 6-1 below provides details on the status of audits performed through the reporting period.

Table 6-1 Quality Assurance Audit Summary

Quality Assurance Activity	This Reporting Period	Total to Date
Audits Conducted	1	131
Audit Findings		
Audit Findings Issued	0	81
Audit Findings Open	0	0
Audit Findings Closed	0	81
Non-Conformances		
Non-Conformances Issued	0	13
Non-Conformances Open	2*	4
Non-Conformances Closed	0	9

Notes regarding tables above:

1. The recently onboarded new QA manager discovered that an NCR was still open since September 2020 and had not been reported closed. No new NCR was issued this period.

7.0 SCHEDULE

The program's critical path was revised in March 2021 due to schedule delays in the EMU contract. As a result of some supplier bankruptcies due to hardships caused by COVID-19, the replacement of the supplier for ceiling panels, luggage racks, and pantograph brackets has impacted Stadler's schedule and resulted in a five-month delay in the first trainset arrival at JPB and a two-month delay to the 14th trainset conditional acceptance. Stadler's forecasted conditional acceptance of the 14th trainset in the MPS March update is December 9, 2022. The impact of the replacement of the internal parts supplier and COVID-19 remains unknown in Stadler's schedule during the upcoming months.

Milestone #1 - Segment 4 Completion has been delayed due to damage to the TPS- 2 switchgear sustained during mishandling at customs in North Carolina. The new forecast date for Milestone # 1 is September 13, 2021.

The JPB's forecasted electrification substantial completion date for the BBII contract in the MPS March update did not change. JPB is working with BBII to improve progress on both the signals system, which lags behind baseline productivity level, and traction power facilities, which continue to progress at a slow rate.

The forecasted revenue service date (RSD) is now December 9, 2022. However, this date is subject to change in the future upon conclusion of the mediation process between JPB and BBII.

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

Table 7-1 Schedule Status

Milestones	Program Plan	Progress Schedule (March 2021) ¹
Milestone #1 Segment 4 Construction Completion	11/21/2019	09/13/2021 ¹
Arrival of First Vehicle at JPB	N/A	11/25/2021 ²
PG&E Provides Permanent Power	09/09/2021	04/15/2022
Electrification Substantial Completion	08/10/2020	10/22/2022 *
Acceptance of 14 th Trainset	08/20/2021	12/09/2022 ²
Revenue Service Date (RSD)	12/09/2021	12/09/2022
FFGA RSD	08/22/2022	08/22/2022

Note:

- ¹ Dates may shift slightly in the next month's Progress Schedule update due to additional signal cutovers in Segment 4.
- ² These dates are expected to be delayed due to COVID-19 impacts on Stadler's Assembly & Testing facility in Salt Lake City.
- ^A Completed Milestone.
- * Pending mediation process resolution with BBII.

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Notable Variances

The schedule delay to Milestone #1 - Segment 4 Completion is due to damage to the TPS- 2 switchgear resulting from mishandling at customs in North Carolina, causing a delay in the replacement switchgear arrival date. The new forecast date for Milestone #1 is 09/13/2021.

The schedule delay to TPS-2 Permanent Power Available is also due to the delay in the replacement switchgear arrival. The new forecast date for the TPS-2 Permanent Power is 08/02/2021.

The replacement of the supplier for ceiling panels, luggage racks, and pantograph brackets has impacted Stadler’s schedule. Stadler’s schedule delay pushed back the forecasted Revenue Service Date from 12/06/2022 to 12/09/2022.

Schedule Delays in both Electrification and EMU have resulted in a drawdown of the remaining schedule contingency. The program no longer has any schedule contingency.

Table 7-2 Critical Path Summary

Activity	Start	Finish
Manufacturing, Testing & Acceptance of Trainsets 1 - 14	08/13/2018	12/09/2022
Forecast Revenue Service Date (RSD)	12/09/2022	12/09/2022

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 resulted in consuming program schedule contingency.

Table 7-3 below reflects the SHPs for the PCEP master program schedule. The dates indicated the planned completion dates for each SHP.

Table 7-3 Schedule Hold Points

Schedule Hold Point (SHP)	Date
Arrival of 1 st Trainset at JPB	11/25/2021
Segment 4 Construction Completion	09/13/2021 ¹
Conditional Acceptance of 1 st Trainset	02/25/2022 ²
System Electrified	10/22/2022 [*]
Conditional Acceptance of 14th Trainset	12/09/2022 ²
Forecast Revenue Service Date (RSD)	12/09/2022 ^{2*}

Note:

¹.Dates may shift slightly in the next month’s Progress Schedule update due to additional signal cutover in segment 4.

².Dates may change due to COVID-19 Impact.

^A Completed Schedule Hold Point (SHP).

^{*} Pending mediation process resolution with BBII.

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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) ¹	Cost This Month (C) ²	Cost To Date (D) ³	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
ELECTRIFICATION						
Electrification ⁽⁴⁾	\$696,610,558	\$742,494,122	\$9,200,751	\$491,090,413	\$251,403,709	\$742,494,122
SCADA	\$0	\$3,842,455	\$0	\$1,934,371	\$1,908,084	\$3,842,455
Tunnel Modifications	\$11,029,649	\$41,469,522	(\$0)	\$41,314,390	\$155,132	\$41,469,522
Real Estate	\$28,503,369	\$28,503,369	\$90,100	\$23,258,270	\$5,245,099	\$28,503,369
Private Utilities ⁽⁵⁾	\$63,515,298	\$117,850,334	\$8,012,101	\$124,838,888	(\$6,988,553)	\$117,850,334
Management Oversight	\$141,506,257	\$166,372,642	\$1,801,841	\$156,408,519	\$9,964,123	\$166,372,642
Executive Management	\$7,452,866	\$9,568,427	\$62,606	\$9,263,561	\$304,866	\$9,568,427
Planning	\$7,281,997	\$6,281,997	\$13,472	\$5,945,812	\$336,185	\$6,281,997
Community Relations	\$2,789,663	\$1,789,663	\$4,767	\$1,472,560	\$317,103	\$1,789,663
Safety & Security	\$2,421,783	\$4,747,861	\$89,980	\$4,339,069	\$408,792	\$4,747,861
Project Management Services	\$19,807,994	\$17,526,725	\$171,176	\$13,702,094	\$3,824,631	\$17,526,725
Engineering & Construction	\$11,805,793	\$13,965,112	\$195,970	\$12,802,376	\$1,162,737	\$13,965,112
Electrification Eng & Mgmt	\$50,461,707	\$54,259,867	\$357,890	\$52,378,634	\$1,881,233	\$54,259,867
Construction Management	\$0	\$10,420,038	\$710,443	\$9,796,435	\$623,604	\$10,420,038
IT Support	\$312,080	\$407,170	\$0	\$400,132	\$7,038	\$407,170
Operations Support	\$1,445,867	\$3,337,383	\$25,349	\$3,024,454	\$312,929	\$3,337,383
General Support	\$4,166,577	\$6,963,434	\$39,009	\$6,727,570	\$235,865	\$6,963,434
Budget / Grants / Finance	\$1,229,345	\$1,626,354	\$722	\$1,621,511	\$4,843	\$1,626,354
Legal	\$2,445,646	\$4,993,672	\$38,358	\$4,892,795	\$100,878	\$4,993,672
Other Direct Costs	\$5,177,060	\$5,777,060	\$92,100	\$5,333,639	\$443,421	\$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	\$58,846,403	\$1,738,865	\$55,300,331	\$3,546,072	\$58,846,403
Insurance	\$3,500,000	\$4,543,588	\$0	\$4,543,588	\$0	\$4,543,588
Environmental Mitigations	\$15,798,320	\$14,454,390	\$0	\$829,851	\$13,624,540	\$14,454,390
Required Projects	\$17,337,378	\$10,182,576	(\$35,526)	\$947,554	\$9,235,022	\$10,182,576
Maintenance Training	\$1,021,808	\$1,021,808	\$0	\$0	\$1,021,808	\$1,021,808
Finance Charges	\$5,056,838	\$6,137,156	\$134,737	\$4,506,923	\$1,630,233	\$6,137,156
Contingency	\$276,970,649	\$120,406,841	N/A	N/A	\$30,093,323	\$30,093,323
Forecasted Costs and Changes	\$0	\$0	N/A	N/A	\$90,313,517	\$90,313,517
ELECTRIFICATION SUBTOTAL	\$1,316,125,208	\$1,316,125,208	\$20,942,869	\$904,973,098	\$411,152,110	\$1,316,125,208

Notes regarding tables above:

- ² Column B "Current Budget" includes executed change orders and awarded contracts.
- ³ Column C "Cost This Month" represents the cost of work performed this month.
- ⁴ Column D "Cost To Date" includes actuals (amount paid) and accruals (amount of work performed) to date.
- ⁵ Cost To Date for "Electrification" includes 5% for Contractor's retention until authorization of retention release.
- ⁶ Private utilities cost to date includes the unbudgeted upfront cost for PG&E's share of substation improvements prior to PG&E reimbursement.

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Table 8-2 EMU Budget & Expenditure Status

Description of Work	Budget (A)	Current Budget (B) ¹	Cost This Month (C) ²	Cost To Date (D) ³	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
EMU						
EMU	\$550,899,459	\$555,247,601	\$3,218,464	\$213,709,232	\$341,538,369	\$555,247,601
CEMOF Modifications	\$1,344,000	\$7,375,076	\$156,430	\$6,280,882	\$1,094,194	\$7,375,076
Management Oversight	\$64,139,103	\$61,859,478	\$687,411	\$50,619,161	\$11,240,317	\$61,859,478
Executive Management	\$5,022,302	\$6,263,136	\$38,592	\$5,906,325	\$356,811	\$6,263,136
Community Relations	\$1,685,614	\$975,782	\$2,331	\$686,003	\$289,778	\$975,782
Safety & Security	\$556,067	\$766,796	\$13,724	\$713,864	\$52,932	\$766,796
Project Mgmt Services	\$13,275,280	\$11,275,280	\$104,914	\$8,573,903	\$2,701,377	\$11,275,280
Eng & Construction	\$89,113	\$89,113	\$0	\$23,411	\$65,702	\$89,113
EMU Eng & Mgmt	\$32,082,556	\$29,981,014	\$339,394	\$23,864,163	\$6,116,851	\$29,981,014
Construction Management	\$0	\$1,501,543	\$88,435	\$1,351,758	\$149,785	\$1,501,543
IT Support	\$1,027,272	\$952,089	\$11,888	\$740,896	\$211,194	\$952,089
Operations Support	\$1,878,589	\$781,858	\$4,996	\$409,890	\$371,968	\$781,858
General Support	\$2,599,547	\$2,934,702	\$15,583	\$2,820,340	\$114,362	\$2,934,702
Budget / Grants / Finance	\$712,123	\$1,042,274	\$361	\$1,037,460	\$4,814	\$1,042,274
Legal	\$1,207,500	\$1,292,752	\$11,800	\$1,256,335	\$36,417	\$1,292,752
Other Direct Costs	\$4,003,139	\$4,003,139	\$55,394	\$3,234,813	\$768,327	\$4,003,139
TASI Support	\$2,740,000	\$2,789,493	\$20,105	\$390,060	\$2,399,434	\$2,789,493
Insurance	\$0	\$38,263	\$0	\$38,263	\$0	\$38,263
Required Projects	\$4,500,000	\$1,059,221	\$0	\$538,280	\$520,941	\$1,059,221
Finance Charges	\$1,941,800	\$3,761,482	\$82,581	\$2,762,308	\$999,174	\$3,761,482
Contingency	\$38,562,962	\$31,996,711	N/A	N/A	\$26,336,728	\$26,336,728
Forecasted Costs and Changes	\$0	\$0	N/A	N/A	\$5,659,983	\$5,659,983
EMU SUBTOTAL	\$664,127,325	\$664,127,325	\$4,164,991	\$274,338,184	\$389,789,141	\$664,127,325

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.
1. Column D "Cost To Date" includes actuals (amount paid) and accruals (amount of work performed) to date.

Table 8-3 PCEP Budget & Expenditure Status

Description of Work	Budget (A)	Current Budget (B) ¹	Cost This Month (C) ²	Cost To Date (D) ³	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
Electrification Subtotal	\$1,316,125,208	\$1,316,125,208	\$20,942,869	\$904,973,098	\$411,152,110	\$1,316,125,208
EMU Subtotal	\$664,127,325	\$664,127,325	\$4,164,991	\$274,338,184	\$389,789,141	\$664,127,325
PCEP TOTAL	\$1,980,252,533	\$1,980,252,533	\$25,107,860	\$1,179,311,282	\$800,941,251	\$1,980,252,533

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.
- 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) ¹	Cost This Month (C) ²	Cost To Date (D) ³	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
CHSRA Early Pole Relocation	\$1,000,000	\$941,706	\$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	\$58,666,572	\$114,133,475	\$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	\$43,000	\$0	\$43,000
CNPA TOTAL	\$176,495,397	\$176,437,103	\$0	\$60,919,853	\$115,517,250	\$176,437,103

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.

Table 8-5 Budget Transfers of Contingency

Transfer	Description	Contingency¹
ELECTRIFICATION		
ARINC-061-CCO-001	Traction Power Facility SCADA Database Changes	\$395,538
BBI-053-CCO-192	Abandoned Utility Pole Removal at MP24.72	\$2,766
BBI-053-CCO-205	Increase in Partnering Allowance (Bid Allowance Item #2)	\$186,000
BT-033D	PG&E Tariff Schedule Work (MARCH 2021) - San Mateo-San Jose	\$48,700
BT-033E	PG&E Tariff Schedule Work (MARCH 2021) - MP45.5	\$33,000
BT-029B	Budget Allocation for GFI Electrification Eng & Mgmt - FY21 H2	\$1,731,481
BT-017C	B&G Safety & Security Support FY21 H2	\$450,000
BT-028C	RSE Utility Locating Support for FY21 H2	\$654,156
	ELECTRIFICATION SUBTOTAL	\$3,501,642
EMU		
STA-056-CCO-032	Credit for Waived Testing	(\$1,040,000)
PROV-071-CCO-054	Relocation of Material Onsite for OCS Foundation Project	\$1,772
	EMU SUBTOTAL	(\$1,038,228)
	PCEP TOTAL	\$2,463,414

Notes regarding tables above:

1. 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
3/17/2021	BBI-053-CCO-203	Increase in Permit Allowance (Bid Allowance Item #5)	\$300,000
3/17/2021	BBI-053-CCO-205	Increase in Partnering Allowance (Bid Allowance Item #2)	\$186,000
3/26/2021	BBI-053-CCO-192	Abandoned Utility Pole Removal at MP24.72	\$2,766
Total			\$488,766

¹ (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
3/8/2021	STA-056-CCO-030	Video of trainset while at TTC	\$9,833
3/25/2021	STA-056-CCO-032	Credit for Waived Testing	(\$1,040,000)
Total			(\$1,030,167)

¹ (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
2/11/2021	ARINC-061-CCO-001	Traction Power Facility SCADA Database Changes	\$395,538
Total			\$395,538

¹ (When indicated) Change approved by the Board of Directors – not counted against the Executive Director's Change Order Authority.

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Tunnel Modification Contract

Change Order Authority (10% of ProVen Contract)²

10% x \$38,477,777 = \$3,847,778

Date	Change Number	Description	CCO Amount
8/20/2020	PROV-070-CCO-034	Milestone No. 2 - Overall Substantial Completion	\$0
Total			\$0

¹ (When indicated) Change approved by the Board of Directors – not counted against the Executive Director's Change Order Authority.

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

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

CEMOF Contract

Change Order Authority (10% of ProVen Contract)

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

Date	Change Number	Description	CCO Amount
3/3/2021	PROV-071-CCO-054	Relocation of Material Onsite for OCS Foundation Project	\$1,772
Total			\$1,772

¹ (When indicated) 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
	None		\$0
Total			\$0

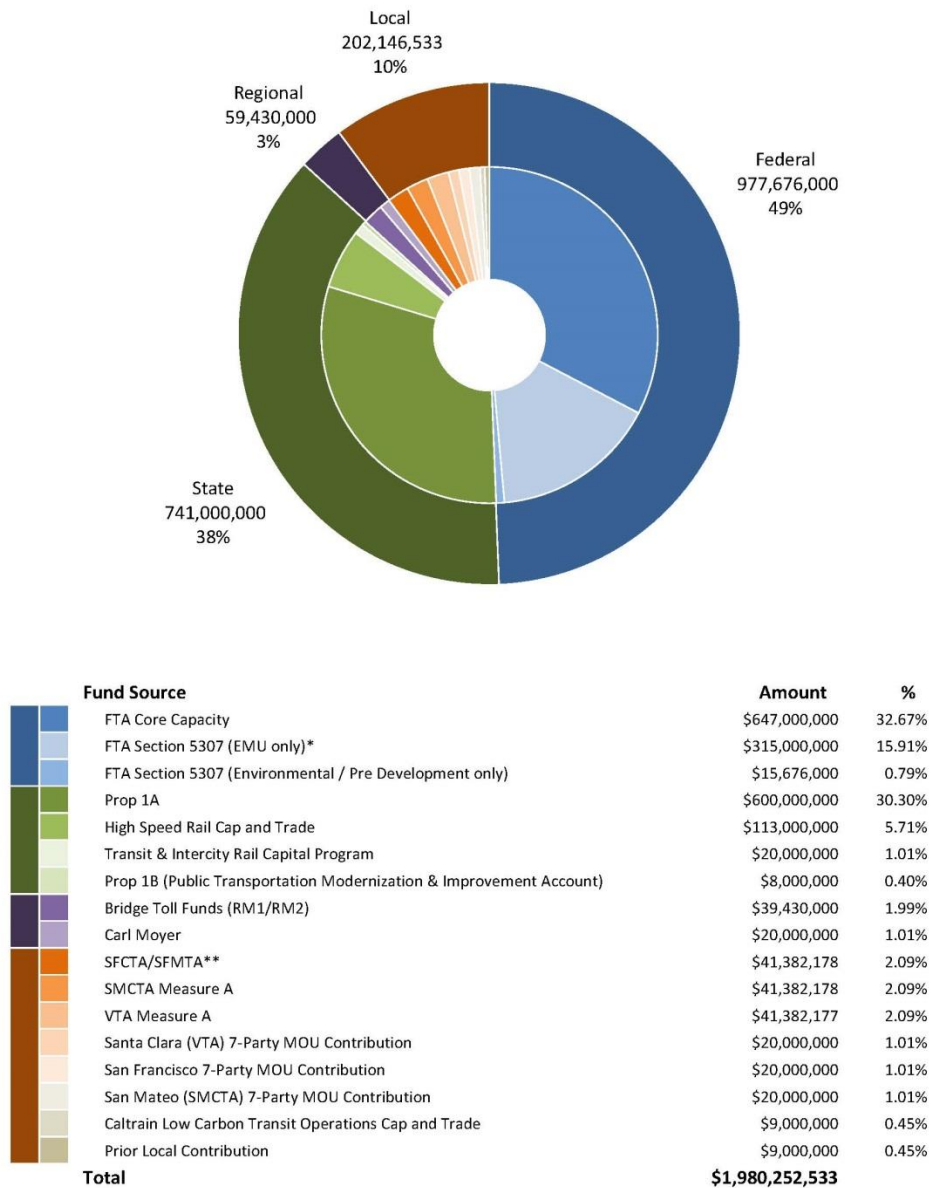
Notes:

¹ 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. On March 11, 2021, President Biden signed into law the American Rescue Plan, which will provide PCEP with an additional \$52.4 million in Core Capacity funding, above and beyond the \$647 million awarded to the project in 2017. PCEP staff will work with FTA Region IX staff to ensure these funds are added to the project in the coming weeks.

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 signal and communication design, installation and testing for the 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 not acquired in time for contractor to do work.
5. Additional property acquisition is necessitated by change in design.
6. Contractor generates hazardous materials that necessitate proper removal and disposal in excess of contract allowances and expectations.
7. Change of vehicle sub-suppliers results in additional first article inspections at cost to JPB (i.e., COVID, bankruptcy).
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.
9. Solution to FRA concerns over bike storage impeding path to emergency exit windows path results in increased costs and potential rework.
10. PG&E interconnection work may not be completed on time resulting in delays the reimbursement of PG&E Exhibit B Cost Allocation from PG&E.

Activity This Month

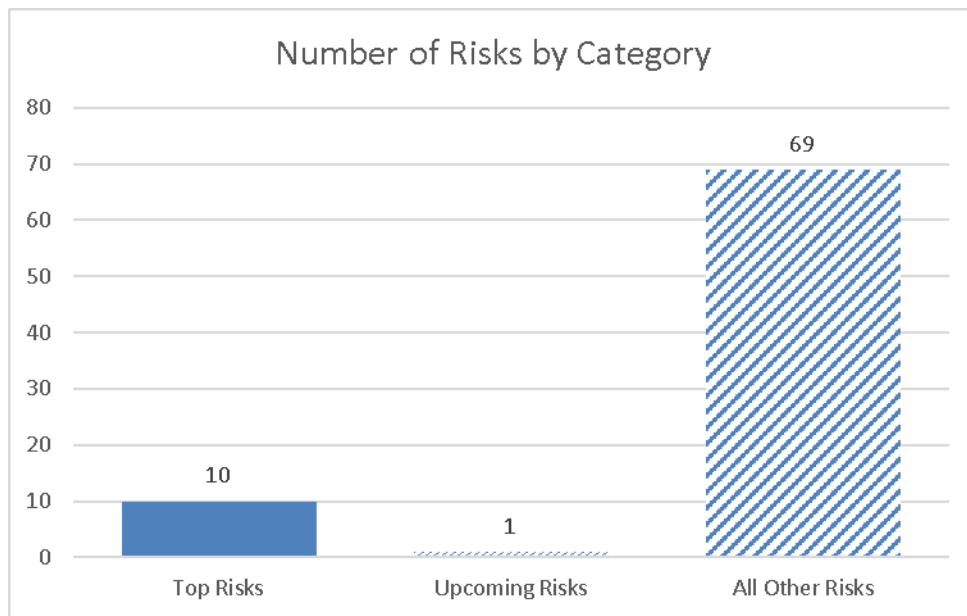
- Updated risk descriptions, effects, and mitigations based upon weekly input from risk owners. Monthly cycle of risk updating was completed based on schedules established in the Risk Identification and Mitigation Plan.

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- 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.
- Updated contractor-owned risks through JPB and consultant personnel.

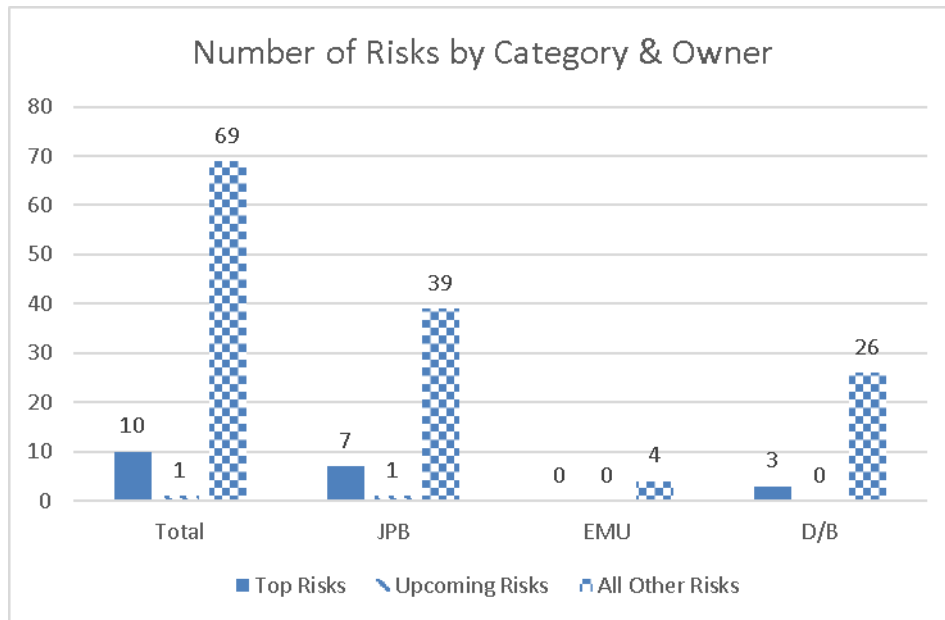
Figures 11-1 and 11-2 show the risks identified for the program. Risks are categorized as top risk, upcoming risk, and all other risks. The categories are based on a rating scale composed of schedule and cost factors. Top risks are considered to have a significantly higher than average risk grade. Upcoming 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 = 80

Figure 11-2 Risk Classification



Total Number of Active Risks = 80

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, pot holing for utility location, tree trimming/removal, conduit and fiber-optic cable installation, abandoned signal cable removal, permanent fence installation, case installation, gantry installation, 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.
- Biological surveyors continued to conduct pre-construction surveys for sensitive wildlife species including nesting bird surveys ahead of project activities.
- 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 surveys for sensitive burrowing owls 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.

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- 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).

Activity Next Month

- Environmental compliance monitors will continue to monitor project activities (OCS pole foundation installation, sawcutting on station platforms, pot holing for utility location, clear and grub, 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.
- Biological surveyors will continue to conduct pre-construction surveys for sensitive wildlife species including nesting bird surveys ahead of project activities.
- Noise and vibration monitoring of project activities will continue to occur and non-hazardous soil will continue to be removed.
- BMPs installation will continue in accordance with the project-specific SWPPP, and ESA staking and fencing will continue to be maintained, to delineate jurisdictional waterways, and other potentially sensitive areas, that should be avoided during upcoming project activities.
- Wildlife exclusion fencing will continue to be 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

- Conducted utility coordination meeting to discuss overall status and areas of potential concern from the utilities.
- Continued relocation of Comcast and AT&T Utilities in all Segments, with a focus on Segment 3 and 4 ahead of OCS wiring.

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 communications companies and coordinate relocation field work.
- Continue communication relocations in all Segments.

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.

The Project has obtained possessory rights for all but one of the parcels identified at the beginning of the project.

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.
- Staff came to terms with two property owners to close purchase transactions.
- Staff continues to negotiate with Universal Paragon Corporation (UPC) to allow the potential for early access onto their property, a vital site for catenary pole installation.

Activity Next Month

- Continued review of ESZ needs submitted by BBII compared to direction from contract.
- 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, including Salvation Army and Bellarmine Prep.
- Continue to work with project team to identify and analyze new potential parcels.
- Continue to work with UPC to finalize early access.

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 ¹	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
		Town of Atherton	Not Needed
		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 ²
	Construction & Maintenance	California Dept. of Transportation (Caltrans)	In Process
	Trackage Rights	UPRR	Executed ²

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.

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.

Presentations/Meetings

- Beresford Park Neighborhood Association
- Local Policy Makers Group
- City/County Staff Coordinating Group

Third Party/Stakeholder Actions

- San Jose Pole and Foundation Location Drawings – Conformed
- Brisbane Pole and Foundation Location Drawings – Issued for Construction

17.0 DISADVANTAGED BUSINESS ENTERPRISE (DBE) PARTICIPATION AND LABOR STATISTICS

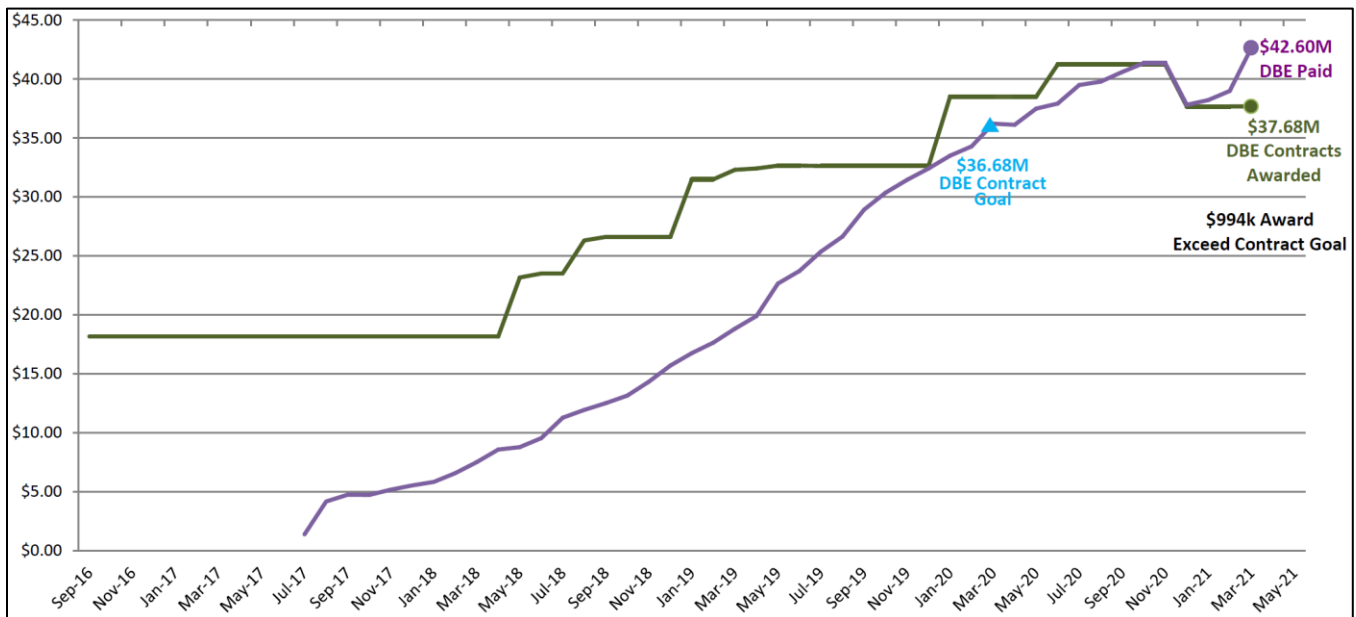
BBII proposed that 5.2% (\$36,682,248) of the DB base contract value including DBE contract change orders (\$705,427,844) would be subcontracted to DBEs.

Activity This Month

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

- **\$42,640,001** has been paid to DBE subcontractors.
- **\$37,675,908** of DBE contracts have been awarded.
- **6.05%** has been achieved.
- All reported figures are subject to verification by DBE Administrator.
- As a result of JPB’s DBE Office’s review of BBII’s DBE reports, one subcontractor was disqualified in December 2020. After removing amounts paid to the disqualified subcontractor, BBII’s reported awarded and achieved amounts show a decline from previous months. These amounts and are to be verified by JPB’s DBE Administrator.

Figure 17-1 DBE Participation



Activity Next Month

BBII has proposed the following key actions:

“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

In Process IFB/RFQ/RFP/Contract Amendments for Award:

- 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

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:

Date	Milestone
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)

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Date	Milestone
2018	Completed all PG&E agreements 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 JPB approves authorization for the Executive Director to negotiate final contract award to ProVen for tunnel modifications and track rehabilitation project JPB approves contract award (LNTP) to ProVen for tunnel modifications Issued NTP to ProVen for tunnel modifications (October) Amended contract with ProVen to include OCS in the tunnels (November)
2019	JPB approves contract award to ProVen for CEMOF modifications (February) JPB approves LNTP to ProVen for CEMOF modifications (April) JPB approves NTP to ProVen for CEMOF modifications (September)
2020	JPB approves agreement amendment to PG&E for interconnection construction JPB executes agreement with PG&E for interconnection construction (May) FRA approved the waiver for Alternative Vehicle Technology regarding crashworthiness of EMU cars
2021	The intertie between TPS-2 and FMC was completed (January 18) First EMU vehicle shipped to Pueblo, CO for testing (February 10)

APPENDICES

Appendix A – Acronyms

**Peninsula Corridor Electrification Project
Monthly Progress Report**

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

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

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

Appendix B – Funding Partner Meetings

Funding Partner Meeting Representatives
Updated July 16, 2020

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

Appendix C – Schedule

#	Activity Name	Duration	Start	Finish	Variance - Last Month	2014		2015				2016				2017				2018				2019				2020				2021				2022				2023
						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			
1	MASTER PROGRAM SCHEDULE C21.02	2247	01-May-14 A	09-Dec-22	-3																																			
2	PROJECT MILESTONES	2247	01-May-14 A	09-Dec-22	-3																																			
3	PROJECT LEVEL MILESTONES	2247	01-May-14 A	09-Dec-22	-3																																			
4	Start	0	01-May-14 A		0																																			
5	NEPA Reevaluation Complete	0		11-Feb-16 A	0																																			
6	LNTP to Electrification Contractor	0	06-Sep-16 A		0																																			
7	LNTP to Vehicle Manufacturer	0	06-Sep-16 A		0																																			
8	FTA Issues FFGA	0		23-May-17 A	0																																			
9	Segment 4 Construction Completion	0		13-Sep-21	-24																																			
10	Segment 4 Intermediate Milestone Complete	0		07-Jan-22	-80																																			
11	FFGA Revenue Service Date (RSD)	0		22-Aug-22*	0																																			
12	Electrification Substantial Completion	0		22-Oct-22	0																																			
13	System Electrified	0		22-Oct-22	0																																			
14	Forecasted Revenue Service Date (RSD)	0		09-Dec-22	-3																																			
15	INTERIM MILESTONES	2247	01-May-14 A	09-Dec-22	-35																																			
16	PLANNING / APPROVALS	1230	01-May-14 A	16-Jan-19 A	0																																			
17	REAL ESTATE ACQUISITION	1394	05-Nov-15 A	03-May-21	0																																			
18	OVERHEAD UTILITY RELOCATION (Various)	1149	10-Mar-17 A	17-Sep-21	-43																																			
19	ELECTRIFICATION (BBII)	1599	06-Sep-16 A	22-Oct-22	0																																			
20	DESIGN	1323	06-Sep-16 A	30-Sep-21	0																																			
21	SIGNALS DESIGN	399	01-May-20 A	10-Nov-21	0																																			
22	CONSTRUCTION	1756	09-Oct-17 A	30-Jul-22	0																																			
23	Segment 1	1033	02-Oct-19 A	30-Jul-22	0																																			
24	OCS	534	01-Aug-20 A	16-Jan-22	-61																																			
25	Traction Power	866	02-Oct-19 A	13-Feb-22	0																																			
26	Signals	320	14-Sep-21	30-Jul-22	0																																			
27	Segment Completion	0	30-Jul-22	30-Jul-22	0																																			
28	Segment 2	1696	09-Oct-17 A	31-May-22	0																																			
29	OCS	1463	09-Oct-17 A	10-Oct-21	-14																																			
30	Traction Power	1508	19-Jan-18 A	06-Mar-22	0																																			
31	Signals	1132	26-Apr-19 A	31-May-22	0																																			
32	Segment Completion	0	31-May-22	31-May-22	0																																			
33	Segment 3	1089	09-Apr-19 A	01-Apr-22	0																																			
34	OCS	750	28-May-19 A	15-Jun-21	-23																																			
35	Traction Power	958	09-Apr-19 A	21-Nov-21	0																																			
36	Signals	292	14-Jun-21	01-Apr-22	0																																			
37	Segment Completion	0	01-Apr-22	01-Apr-22	0																																			
38	Segment 4	1499	01-Dec-17 A	07-Jan-22	-80																																			
39	OCS	842	25-Feb-19 A	15-Jun-21	3																																			
40	Traction Power	1368	01-Dec-17 A	29-Aug-21	0																																			
41	Signals	966	22-Oct-18 A	13-Jun-21	0																																			
42	Segment Completion	42	03-Aug-21	13-Sep-21	-24																																			
43	Segment Testing - Milestone # 1	158	03-Aug-21	07-Jan-22	-80																																			
44	TESTING	84	31-Jul-22	22-Oct-22	0																																			
45	DRILL TRACK (TAS1)	20	27-Apr-21	24-May-21	0																																			
46	SCADA (Arinc)	1840	30-Mar-15 A	23-Jun-22	0																																			
47	PREPARE SOLE SOURCE & AWARD	649	30-Mar-15 A	16-Oct-17 A	0																																			
48	DESIGN	157	16-Oct-17 A	31-May-18 A	0																																			
49	IMPLEMENTATION, TEST, INSTALL & CUTOVER	968	04-Sep-18 A	23-Jun-22	0																																			

Legend:
- Black bar: Prog Plan (C16.00)
- Blue bar: Progress
- Yellow bar: Near Critical
- Green bar: Remaining
- Red bar: Critical
- Diamond: Start Milestone
- Diamond: Finish Milestone
- Diamond: Last Months Update
- Diamond: Prog Plan (C16.00)
- Diamond: Critical Milestone

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)
10 - GUIDEWAY & TRACK ELEMENTS	\$14,256,739	\$27,369,522	(\$0)	\$25,013,485	\$3,283,155	\$28,296,640
10.02 Guideway: At-grade semi-exclusive (allows cross-traffic)	\$2,500,000	\$2,500,000	\$0	\$144,681	\$2,355,319	\$2,500,000
10.07 Guideway: Underground tunnel	\$8,110,649	\$24,869,522	(\$0)	\$24,868,804	\$927,836	\$25,796,640
10.07 Allocated Contingency	\$3,646,090	\$0	\$0	\$0	\$0	\$0
30 - SUPPORT FACILITIES: YARDS, SHOPS, ADMIN. BLDGS	\$2,265,200	\$8,165,286	\$156,430	\$6,675,987	\$1,641,929	\$8,317,916
30.03 Heavy Maintenance Facility	\$1,344,000	\$8,165,286	\$156,430	\$6,675,987	\$1,641,929	\$8,317,916
30.03 Allocated Contingency	\$421,200	\$0	\$0	\$0	\$0	\$0
30.05 Yard and Yard Track	\$500,000	\$0	\$0	\$0	\$0	\$0
40 - SITEWORK & SPECIAL CONDITIONS	\$255,072,402	\$258,992,656	\$9,873,253	\$228,220,070	\$41,464,129	\$269,684,199
40.01 Demolition, Clearing, Earthwork	\$3,077,685	\$10,110,000	\$117,313	\$7,746,313	\$2,393,687	\$10,140,000
40.02 Site Utilities, Utility Relocation	\$62,192,517	\$97,675,387	\$7,998,932	\$118,891,176	(\$13,944,230)	\$104,946,945
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	\$8,744,961	\$98,843	\$6,589,725	\$2,832,208	\$9,421,934
40.04 Environmental mitigation, e.g. wetlands, historic/archeologic, parks	\$32,579,208	\$19,504,208	\$36,800	\$2,441,720	\$17,062,488	\$19,504,208
40.05 Site structures including retaining walls, sound walls	\$568,188	\$0	\$0	\$0	\$0	\$0
40.06 Pedestrian / bike access and accommodation, landscaping	\$804,933	\$2,735,000	(\$1,750)	\$33,250	\$2,701,750	\$2,735,000
40.07 Automobile, bus, van accessways including roads, parking lots	\$284,094	\$0	\$0	\$0	\$0	\$0
40.08 Temporary Facilities and other indirect costs during construction	\$107,343,777	\$99,613,100	\$1,623,115	\$92,517,887	\$25,088,411	\$117,606,298
40.08 Allocated Contingency	\$20,160,000	\$20,610,000	\$0	\$0	\$5,329,814	\$5,329,814
50 - SYSTEMS	\$504,445,419	\$505,098,921	\$7,861,312	\$262,617,185	\$266,646,654	\$529,263,839
50.01 Train control and signals	\$97,589,149	\$120,086,712	\$1,778,229	\$46,959,710	\$74,255,285	\$121,214,995
50.01 Allocated Contingency	\$1,651,000	\$0	\$0	\$0	\$0	\$0
50.02 Traffic signals and crossing protection	\$23,879,905	(\$0)	\$0	\$0	(\$0)	(\$0)
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	\$102,977,235	\$861,583	\$54,211,739	\$49,805,536	\$104,017,275
50.03 Allocated Contingency	\$31,755,013	\$2,990,895	\$0	\$0	\$2,028,337	\$2,028,337
50.04 Traction power distribution: catenary and third rail	\$253,683,045	\$268,320,591	\$5,231,500	\$161,243,746	\$133,883,049	\$295,126,795
50.04 Allocated Contingency	\$18,064,000	\$4,018,488	\$0	\$0	\$171,437	\$171,437
50.05 Communications	\$5,455,000	\$5,547,000	(\$10,000)	\$201,989	\$5,345,011	\$5,547,000
50.07 Central Control	\$2,090,298	\$0	\$0	\$0	\$0	\$0
50.07 Allocated Contingency	\$18,000	\$18,000	\$0	\$0	\$18,000	\$18,000
60 - ROW, LAND, EXISTING IMPROVEMENTS	\$35,675,084	\$35,675,084	\$90,100	\$21,658,081	\$14,825,139	\$36,483,220
60.01 Purchase or lease of real estate	\$25,927,074	\$25,927,074	\$90,100	\$21,524,090	\$13,959,131	\$35,483,220
60.01 Allocated Contingency	\$8,748,010	\$8,748,010	\$0	\$0	(\$0)	(\$0)
60.02 Relocation of existing households and businesses	\$1,000,000	\$1,000,000	\$0	\$133,992	\$866,008	\$1,000,000
70 - VEHICLES (96)	\$625,544,147	\$619,679,113	\$3,788,741	\$256,740,625	\$363,484,935	\$620,225,560
70.03 Commuter Rail	\$589,167,291	\$590,626,491	\$3,788,741	\$256,202,345	\$339,931,499	\$596,133,844
70.03 Allocated Contingency	\$9,472,924	\$5,220,870	\$0	\$0	\$259,964	\$259,964
70.06 Non-revenue vehicles	\$8,140,000	\$5,067,821	\$0	\$538,280	\$4,529,541	\$5,067,821
70.07 Spare parts	\$18,763,931	\$18,763,931	\$0	\$0	\$18,763,931	\$18,763,931
80 - PROFESSIONAL SERVICES (applies to Cats. 10-50)	\$323,793,010	\$372,476,794	\$3,120,706	\$321,535,019	\$65,275,510	\$386,810,528
80.01 Project Development	\$130,350	\$130,350	\$0	\$289,233	(\$158,883)	\$130,350
80.02 Engineering (not applicable to Small Starts)	\$180,227,311	\$218,670,799	\$1,276,682	\$201,646,227	\$19,707,843	\$221,354,070
80.02 Allocated Contingency	\$1,866,000	\$4,678	\$0	\$0	\$4,678	\$4,678
80.03 Project Management for Design and Construction	\$72,029,265	\$86,612,175	\$1,004,520	\$85,311,908	\$17,234,445	\$102,546,352
80.03 Allocated Contingency	\$9,388,080	\$5,471,844	\$0	\$0	(\$0)	(\$0)
80.04 Construction Administration & Management	\$23,677,949	\$33,278,048	\$801,763	\$24,469,226	\$13,887,241	\$38,356,467
80.04 Allocated Contingency	\$19,537,000	\$10,237,847	\$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	\$8,421,371	\$38,358	\$5,182,701	\$4,346,042	\$9,528,742
80.06 Allocated Contingency	\$556,000	\$0	\$0	\$0	\$0	\$0
80.07 Surveys, Testing, Investigation, Inspection	\$3,287,824	\$3,418,022	(\$616)	\$53,873	\$3,444,907	\$3,498,781
80.08 Start up	\$1,797,957	\$1,021,808	\$0	\$0	\$1,021,808	\$1,021,808
80.08 Allocated Contingency	\$628,000	\$628,000	\$0	\$0	\$628,000	\$628,000
Subtotal (10 - 80)	\$1,761,052,001	\$1,827,457,377	\$24,890,542	\$1,122,460,452	\$756,621,451	\$1,879,081,903
90 - UNALLOCATED CONTINGENCY	\$162,620,295	\$93,314,919	\$0	\$0	\$41,690,393	\$41,690,393
Subtotal (10 - 90)	\$1,923,672,296	\$1,920,772,296	\$24,890,542	\$1,122,460,452	\$798,311,844	\$1,920,772,296
100 - FINANCE CHARGES	\$6,998,638	\$9,898,638	\$217,318	\$7,269,231	\$2,629,407	\$9,898,638
Total Project Cost (10 - 100)	\$1,930,670,934	\$1,930,670,934	\$ 25,107,860	\$1,129,729,683	\$800,941,251	\$1,930,670,934

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 ¹	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% ²	-
04/24/18	BBI-053-CCO-008	2016 Incentives (Safety, Quality, and Public Outreach)	\$750,000	0.00% ²	-
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% ²	-
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% ²	-
9/28/2018	BBI-053-CCO-024A	PG&E Utility Feed Connection to TPS#1 and TPS#2 (Design Only)	\$727,000	0.00% ²	-
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% ²	-
1/17/2019	BBI-053-CCO-029	CHSRA Early Pole Relocation (Design Only)	\$625,000	0.00% ^{2,3}	-
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 ¹	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% ³	\$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% ²	-
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 % ³	\$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% ³	\$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)

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Date	Change Number	Description	CCO Amount	Change Order Authority Usage ¹	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 % ³	\$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) - voided below on 2/23/2021	\$300,000	0.86 %	\$17,292,702
7/16/2020	BBI-053-CCO-100	Remove Tree Stump at 46.4-02	\$1,459	0.00 %	\$17,291,243
7/30/2020	BBI-053-CCO-078	Re-design CEMOF OCS Poles due to Stair 71 Conflict	\$11,796	0.03 %	\$17,279,447
7/30/2020	BBI-053-CCO-084A	Steel Plates to Protect Utilities (DTDS)	\$101,334	0.29 %	\$17,178,113
7/30/2020	BBI-053-CCO-085A	Steel Plates to Protect Utilities (DTDS)	\$94,062	0.27 %	\$17,084,051
7/30/2020	BBI-053-CCO-104	Utility Conflict During PVC Conduit Installation	\$2,657	0.01 %	\$17,081,394
7/31/2020	BBI-053-CCO-103	Track Access Delays – 2017 Quarter 3 - voided below on 2/16/2021	\$145,892	0.42 %	\$16,935,503
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)%	\$17,079,873
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)%	\$17,964,373
8/3/2020	BBI-053-CCO-063B	Track Access Delays – Quarter 1 2018 (Part 2)	\$92,906	0.27 %	\$17,871,466
8/14/2020	BBI-053-CCO-106	Track Access Delays – 2017 Quarter 4	\$903,794	2.59 %	\$16,967,672
9/10/2020	BBI-053-CCO-025F	OCS Shunt Wire (Construction)	\$9,500,000	0.00% ²	-
9/11/2020	BBI-053-CCO-126	Track Access Delays - 2019 Quarter 3 – OCS Foundations	\$81,223	0.23 %	\$16,886,450
9/24/2020	BBI-053-CCO-127	Track Access Delays – 2019 Quarter 4 – OCS Foundations	\$147,223	0.42 %	\$16,739,227
9/21/2020	BBI-053-CCO-051	CEMOF Yard OCS Changes (Design Only)	\$210,300	0.60 %	\$16,528,927
9/21/2020	BBI-053-CCO-074	Underground Utilities Clearance	\$0	0.00 %	\$16,528,927
10/19/2020	BBI-053-CCO-072C	PCEP SIS & SPS Additional Validation Work	\$27,696	0.08 %	\$16,501,231
10/27/2020	BBI-053-CCO-105	Pole Removal at Location 30.7-01	\$2,297	0.01 %	\$16,498,935
11/30/2020	BBI-053-CCO-056	Delivery of Signal Cable	\$3,391	0.01 %	\$16,495,544
12/22/2020	BBI-053-CCO-111	Incentives Payment for 2019	\$825,000	0.00% ²	-
2/9/2021	BBI-053-CCO-025G	OCS Shunt Wire (Design)	\$0	0.00 %	\$16,495,544
2/11/2021	BBI-053-CCO-047B	CEMOF Yard Slot Drains Relocation (Construction)	\$360,000	1.03 %	\$16,135,544
2/16/2021	BBI-053-CCO-103	Track Access Delays – 2017 Quarter 3 – voided	(\$145,892)	(0.42)%	\$16,281,435

Peninsula Corridor Electrification Project

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Date	Change Number	Description	CCO Amount	Change Order Authority Usage ¹	Remaining Authority
2/16/2021	BBI-053-CCO-103 REV1	Track Access Delays – 2017 Quarter 3	\$164,518	0.47 %	\$16,116,918
2/23/2021	BBI-053-CCO-072A REV2	SVP Requirements for Joint SIS & SPS (Tasks 0-5) – voided	(\$300,000)	(0.86)%	\$16,416,918
2/23/2021	BBI-053-CCO-072B	Requirements for PCEP Joint System Impact Study & Single Phase Study	\$520,000	1.49 %	\$15,896,918
3/17/2021	BBI-053-CCO-203	Increase in Permit Allowance (Bid Allowance Item #5)	\$300,000	0.86 %	\$15,596,918
3/17/2021	BBI-053-CCO-205	Increase in Partnering Allowance (Bid Allowance Item #2)	\$186,000	0.53 %	\$15,410,918
3/26/2021	BBI-053-CCO-192	Abandoned Utility Pole Removal at MP24.72	\$2,766	0.01 %	\$15,408,151
Total			\$47,199,562	55.76 %	\$15,408,151

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 ¹	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%	-
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% ²	-
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% ^{2,3}	-
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% ³	\$21,938,173

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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 ¹	Remaining Authority
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 % ³	\$21,637,464
9/14/2020	STA-056-CCO-027	EMU Liquidated Damages, and Delivery and Testing Schedule Modifications	\$0	0.00 %	\$21,637,464
10/12/2020	STA-056-CCO-029	Multiple No Cost / No Schedule Impact Changes Group 7	\$0	0.00 %	\$21,637,464
1/28/2021	STA-056-CCO-028	Procure Pantograph Automated Inspection System	\$790,211	2.87 %	\$20,847,253
2/26/2021	STA-056-CCO-031	Bike Car Dividers	\$194,940	0.71 %	\$20,652,313
3/8/2021	STA-056-CCO-030	Video of trainset while at TTC	\$9,833	0.04 %	\$20,642,481
3/25/2021	STA-056-CCO-032	Credit for Waived Testing	(\$1,040,000)	(3.78)%	\$21,682,481
Total			\$179,152,539	21.28 %	\$21,682,481

Notes:

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- 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 ¹	Remaining Authority
2/11/2021	ARINC-061-CCO-001	Traction Power Facility SCADA Database Changes	\$395,538	76.50 %	\$121,500
Total			\$395,538	76.50 %	\$121,500

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.

Tunnel Modifications Contract

Change Order Authority (10% of ProVen Contract¹)

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

Date	Change Number	Description	CCO Amount	Change Order Authority Usage ²	Remaining Authority
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 % ⁴	\$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

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Change Order Authority (10% of ProVen Contract¹)

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

Date	Change Number	Description	CCO Amount	Change Order Authority Usage ²	Remaining Authority
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 % ⁴	\$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 % ⁴	\$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 % ⁴	\$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 % ⁴	\$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% ⁴	\$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 % ⁴	\$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 % ⁴	\$5,748,731
5/11/2020	PROV-070-CCO-025	NOPC #1 CWR (CNPA - Drainage \$660,000.00)	\$660,000	11.98 % ⁴	\$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
1/27/2021	PROV-070-CCO-037	Additional Fence	\$15,651	0.28 %	\$5,027,819
8/20/2020	PROV-070-CCO-034	Milestone No. 2 - Overall Substantial Completion	\$0	0.00 %	\$5,027,819
Total			\$479,959	8.71 %	\$5,027,819

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.

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 ¹	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

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Change Order Authority (10% of ProVen Contract)

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

Date	Change Number	Description	CCO Amount	Change Order Authority Usage¹	Remaining Authority
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 Fibrelyte	\$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
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
12/17/2019	PROV-071-CCO-007	Demolition of Existing Transition Slab at North and South Pits	\$8,101	1.24 %	\$348,419
8/13/2020	PROV-071-CCO-041	Abandonment of Drainage Structure in Conflict with Shoring at Stair No. 71	\$11,015	1.68 %	\$337,404
8/14/2020	PROV-071-CCO-043	Lighting Circuit Restoration	\$2,980	0.45 %	\$334,424

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Change Order Authority (10% of ProVen Contract)

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

Date	Change Number	Description	CCO Amount	Change Order Authority Usage ¹	Remaining Authority
8/18/2020	PROV-071-CCO-026B	Removal of Hazardous Soil from PSW Ductbank Excavation	\$6,838	1.04 %	\$327,586
8/24/2020	PROV-071-CCO-044	Aerial Cable and Waterproofing Cable Penetrations at the CCF and PSW Buildings	\$14,589	2.23 %	\$312,997
8/24/2020	PROV-071-CCO-045	Conduit Outside Component Test Room	\$6,865	1.05 %	\$306,132
9/15/2020	PROV-071-CCO-030B	Component Test Room Data and Electrical Outlets and Masonry Work	\$12,530	1.91 %	\$293,602
9/17/2020	PROV-071-CCO-042	Shallow Fire Sprinkler Line	\$162,000	0.00% ²	-
10/19/2020	PROV-071-CCO-046A	Electrical Duct Bank Extension from Parts Storage Warehouse to CCF Building	\$20,307	3.10 %	\$273,295
10/19/2020	PROV-071-CCO-047	Removal of Oil Line at the Exterior of the Maintenance Building in the Way of Storm Drain Line A	\$262	0.04 %	\$273,033
10/20/2020	PROV-071-CCO-048	Electrical Conduit and Wires at Track 5	\$6,770	1.03 %	\$266,263
11/30/2020	PROV-071-CCO-033B	Light Towers for Maintenance Building Yard	\$10,393	1.59 %	\$255,870
11/17/2020	PROV-071-CCO-049	Lighting at Parts Storage Warehouse	\$6,358	0.97 %	\$249,512
11/25/2020	PROV-071-CCO-050	NTP Delay – Non-Compensable Time Extension	\$0	0.00 %	\$249,512
11/19/2020	PROV-071-CCO-051	Relocation of an Existing Boosted Water Line in Conflict with South Pit Extension	\$250,000	0.00% ²	-
2/26/2021	PROV-071-CCO-052	Acoustic Ceiling Framing at the Component Test Room	\$3,998	0.61 %	\$245,514
2/26/2021	PROV-071-CCO-053	Temporary Sanitary Facilities During Boosted Water/Copper Line Work	\$963	0.15 %	\$244,551
3/3/2021	PROV-071-CCO-054	Relocation of Material Onsite for OCS Foundation Project	\$1,772	0.27 %	\$242,779
Total			\$824,299	62.94 %	\$242,779

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.

AMTRAK AEM-7 Contract

Change Order Authority (Lump Sum)

Up to \$150,000

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

Notes:

- ¹. 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

ID	RISK DESCRIPTION	EFFECT(S)
314	The contractor may not complete signal and communication design, installation and testing for the Two-speed check (2SC) modifications within budget and schedule.	Delay to integrated testing and operations/revenue service
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"> • DSC design cost • Inefficiencies • Construction costs related to DSCs (i.e., larger foundations) • Additional potholing
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"> • Delay in obtaining parts / components. • Cost increases. (See Owner for allocation of costs) • Schedule increase - 3 months (See Owner for allocation of damages associated with this Risk)
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 <>Fee <>Easement <>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"> • Potential delays in construction schedule
267	Additional property acquisition is necessitated by change in design.	New project costs and delays to schedule.
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

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ID	RISK DESCRIPTION	EFFECT(S)
		construction costs, and schedule delay costs.
308	Rejection of DVR for ATF and static wires results in cost and schedule impacts to PCEP.	Delay and delay claims
318	Change of vehicle sub-suppliers results in additional first article inspections at cost to JPB (i.e., COVID, bankruptcy)	PCEP incurs additional cost to validate supplier and product, including repeat FAIs as needed
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.
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
330	PG&E interconnection work may not be completed on time resulting in delays the reimbursement of PG&E Exhibit B Cost Allocation from PG&E.	<ul style="list-style-type: none"> • Potential cash flow issue requiring use of line-of-credit • Failure to receive reimbursement during course of project • Delay or otherwise affect close-out of FFGA
209	TASI may not have sufficient number of signal maintainers for testing.	<ul style="list-style-type: none"> • Delays to construction/testing. • Delays to completion of infrastructure may delay acceptance of vehicles
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	Delay claims from the EMU contractor (Stadler) and expiration

ID	RISK DESCRIPTION	EFFECT(S)
	create storage issues and impede the ability to exercise (power up and move) EMUs and delay testing of the delivered EMUs.	of the EMU 2-year warranty before putting significant mileage on the EMUs. Inability to exercise EMUs
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.
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
329	Work for PCEP that is being constructed by other projects may not be completed in accordance with the BBII project schedule. Critical work includes: <ul style="list-style-type: none"> • Installation of signal house as part of SSF Station Project 	Delay to BBII construction progress and associated delay claims
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.

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ID	RISK DESCRIPTION	EFFECT(S)
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"> • Testing delayed. • Change order for extended vehicle acceptance.
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.
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.
296	PG&E needs to complete interconnection to be sufficiently complete to accept interim power	SCC
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	<ul style="list-style-type: none"> • Reduced production rates. • Delay

ID	RISK DESCRIPTION	EFFECT(S)
	<> local roads <> local ordinances	
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"> • Increased cost due to mitigation • Potential delay due to public protests or environmental challenge.
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.	<p>Schedule delay.</p> <p>Cost increase.</p>
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
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
291	Order/manufacture of long lead items prior to 100% IFC design document that proves to be incorrect	Design change and/or delays

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ID	RISK DESCRIPTION	EFFECT(S)
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
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.
245	Failure of BBI to submit quality design and technical submittals in accordance with contract requirements <ul style="list-style-type: none"> • \$3-\$5M/month burn rate for Owner's team during peak 	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

ID	RISK DESCRIPTION	EFFECT(S)
		is on the critical or becomes on the critical path.
322	BBII needs to complete traction power substations to be sufficiently complete to accept interim power	Delay in testing and increased costs
008	Requests for change orders after vehicles are in production	Delays to manufacturing of vehicles and additional design and manufacturing costs.
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: <> FTA <> FRA <> CPUC	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)
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
106	Potential that DB contractor will have insufficient field resources (personnel or equipment) to maintain aggressive schedule. Multiple segments will need to be under design simultaneously. 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. Possible shortages with other specialty crafts as well.	Delay.

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ID	RISK DESCRIPTION	EFFECT(S)
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. <ul style="list-style-type: none"> - 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"> • Delay • Cost increase
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"> • Fire, police, and first responders • Local communities • Schools 	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.
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	Delays in approvals resulting in project schedule delays and associated costs.

ID	RISK DESCRIPTION	EFFECT(S)
	coordination <>Risk is for construction	
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
292	Communications equipment, including the UPS, will not fit in the spaces allotted to communications work within the buildings.	Requisite equipment 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.
311	Although project recordable injuries remain below the industry average, there have been numerous small	The occurrence of a high impact safety event could result in project

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ID	RISK DESCRIPTION	EFFECT(S)
	impact incidents occurring that could potentially lead to a more serious event occurring.	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		
AES-2a: Minimize OCS construction activity on residential and park areas outside the Caltrain ROW.	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.
AES-2b: Aesthetic treatments for OCS poles, TPFs in sensitive visual locations, and Overbridge Protection Barriers.	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.
AES-4a: Minimize spillover light during nighttime construction.		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.
AES-4b: Minimize light spillover at TPFs.	X				Upcoming	The design requirements indicated in the measure are being utilized in the design and construction process.
AQ-2a: Implement BAAQMD basic and additional construction mitigation measures to reduce construction-related dust.	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		
AQ-2b: Implement BAAQMD basic and additional construction mitigation measures to control construction-related ROG and NOX emissions.	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.
AQ-2c: Utilize clean diesel-powered equipment during construction to control construction-related ROG and NOX emissions.	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.
BIO-1a: Implement general biological impact avoidance measures.	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.
BIO-1b: Implement special-status plant species avoidance and revegetation measures.	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		
BIO-1c: Implement California red-legged frog and San Francisco garter snake avoidance measures.	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.
BIO-1d: Implement western pond turtle avoidance measures.	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.
BIO-1e: Implement Townsend’s big-eared bat, pallid bat, hoary bat, and fringed myotis avoidance measures.	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.
BIO-1f: Implement western burrowing owl avoidance measures.	X	X			Ongoing	Protocol surveys for Western Burrowing Owl have been conducted from April–July, in 2017, 2018, 2019, and 2020, 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, 2019, and 2020 surveys have been submitted to the JPB for the project

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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.</p> <p>During a 2020 pre-construction survey (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 and a combination of full-time monitoring and weekly spot-checks, as approved by the CDFW, were implemented during the breeding season (March through August). 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. On September 1, since there was some potential for indirect impacts during the non-breeding season (September 1 through January 31), the disturbance buffer was reduced from 200 meters to 75 meters, as approved by the CDFW. On February 2, 2021, while conducting nesting bird surveys in the area, a biologist checked the burrow and there were no sign of use and cobwebs were present. Subsequent check-ins of the area revealed the same results, and it was determined the burrow was no longer active, and the buffer was removed. Additionally,</p>

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						the first round of BUOW surveys for the 2021 nesting season did not find and signs of BUOW on the project site. The Biologist will continue to conduct preconstruction surveys for nesting burrowing owls no more than 7 days prior to ground disturbance as needed throughout the 2021 nesting season.
BIO-1g: Implement northern harrier, white-tailed kite, American peregrine falcon, saltmarsh common yellowthroat, purple martin, and other nesting bird avoidance measures.	X	X			Ongoing	Nesting Bird and raptor surveys were conducted from February 1 through September 15, in 2017, 2018, 2019, and 2020, prior to project-related activities with the potential to impact nesting birds. Nesting bird surveys recommenced as of February 1, 2021 for the 2021 nesting season. No nesting bird surveys occurred during this reporting period.
BIO-1h: Conduct biological resource survey of future contractor-determined staging areas.	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.
BIO-1i: Minimize impacts on Monarch butterfly overwintering sites.	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.

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Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
BIO-1j: Avoid nesting birds and bats during vegetation maintenance.				X	Upcoming	To be completed during Project operation.
BIO-2: Implement serpentine bunchgrass avoidance and revegetation measures.	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.
BIO-3: Avoid or compensate for impacts on wetlands and waters.	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.
BIO-5: Implement Tree Avoidance, Minimization, and Replacement Plan.	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.
BIO-6: Pay <i>Santa Clara Valley Habitat Plan</i> land cover fee (if necessary).	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.
CUL-1a: Evaluate and minimize impacts on structural integrity of historic tunnels.	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		
CUL-1b: Minimize impacts on historic decorative tunnel material.	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.
CUL-1c: Install project facilities in a way that minimizes impacts on historic tunnel interiors.	X				Upcoming	To be implemented prior to construction in tunnels.
CUL-1d: Implement design commitments at historic railroad stations	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.
CUL-1e: Implement specific tree mitigation considerations at two potentially historic properties and landscape recordation, as necessary.	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		
CUL-1f: Implement historic bridge and underpass design requirements.	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.
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.	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.
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.	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		
CUL-2c: Conduct limited subsurface testing before performing ground-disturbing work within 50 meters of a known archaeological site.	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.
CUL-2d: Conduct exploratory trenching or coring of areas within the three zones of special sensitivity where subsurface project disturbance is planned.	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.
CUL-2e: Stop work if cultural resources are encountered during ground-disturbing activities.	X	X			Ongoing	No prehistoric or historic-period cultural materials have been observed during cultural monitoring.
CUL-2f: Conduct archaeological monitoring of ground-disturbing activities in areas as determined by JPB and SHPO.		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		
CUL-3: Comply with state and county procedures for the treatment of human remains discoveries.		X			Ongoing	No human remains have been observed to date on the Project.
EMF-2: Minimize EMI effects during final design, Monitor EMI effects during testing, commission and operations, and Remediate Substantial Disruption of Sensitive Electrical Equipment.	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.
GEO-1: Perform a site-specific geotechnical study for traction power facilities.	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.
GEO-4a: Identification of expansive soils.	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.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
GEO-4b: Mitigation of expansive soils.	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.
HAZ-2a: Conduct a Phase II Environmental Site Assessment prior to construction.	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.
HAZ-2b: Implement engineering controls and best management practices during construction.	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. During the reporting period, a certified asbestos consultant conducted exposure monitoring at PS-1 where naturally occurring asbestos was detected. Also, during the reporting period, samples of wrapped conduit

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						at MP 46.7-12A were collected for asbestos analysis.
HYD-1: Implement construction dewatering treatment, if necessary.	X	X			Ongoing	Facilities & BMPs are in place to deal with this requirement should it arise in the OCS foundations.
HYD-4: Minimize floodplain impacts by minimizing new impervious areas for TPFs or relocating these facilities.	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.
HYD-5: Provide for electrical safety at TPFs subject to periodic or potential flooding.	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

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						begun. The design plan currently raises the TPFs above the floodplain.
HYD-7: Implement sea level rise vulnerability assessment and adaptation plan.				X	Ongoing	The JPB has initiated this measure and preparation of the sea level rise vulnerability assessment and adaptation plan is underway.
NOI-1a: Implement Construction Noise Control Plan.	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.
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.	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.
NOI-2a: Implement Construction Vibration Control Plan.	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 Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
PSU-8a: Provide continuous coordination with all utility providers.	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.
PSU-8b: Adjust OCS pole foundation locations.	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described.
PSU-8c: Schedule and notify users about potential service interruptions.	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.
PSU-9: Require application of relevant construction mitigation measures to utility relocation and transmission line construction by others.	X	X			Ongoing	JPB has initiated coordination with PG&E regarding transmission line construction. PG&E is currently raising overcrossing lines in Segment 2.
TRA-1a: Implement Construction Road Traffic Control Plan.	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.
TRA-1c: Implement signal optimization and roadway geometry improvements at	X	X			Upcoming	This measure has not started

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
impacted intersections for the 2020 Project Condition.						
TRA-2a: Implement construction railway disruption control plan.	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.
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.	X	X	X		Upcoming	This measure has not started.
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.				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 Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
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 16th Street without OCS conflicts in cooperation with SFMTA.	X				Complete	Not applicable. SFMTA has elected to not electrify the 16 th 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 as feasible between San Jose and Bayshore.				X	Upcoming	This measure will be implemented during project operation.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
AES-2a: Minimize OCS construction activity on residential and park areas outside the Caltrain ROW.	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.
AES-2b: Aesthetic treatments for OCS poles, TPFs in sensitive visual locations, and Overbridge Protection Barriers.	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.
AES-4a: Minimize spillover light during nighttime construction.		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.
AES-4b: Minimize light spillover at TPFs.	X				Upcoming	The design requirements indicated in the measure are being used in the design process of the TPFs.
AQ-2a: Implement BAAQMD basic and additional construction mitigation measures to reduce construction-related dust.	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 Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
AQ-2b: Implement BAAQMD basic and additional construction mitigation measures to control construction-related ROG and NOX emissions.	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.
AQ-2c: Utilize clean diesel-powered equipment during construction to control construction-related ROG and NOX emissions.	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.
BIO-1a: Implement general biological impact avoidance measures.	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.
BIO-1b: Implement special-status plant species avoidance and revegetation measures.	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		
BIO-1c: Implement California red-legged frog and San Francisco garter snake avoidance measures.	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.
BIO-1d: Implement western pond turtle avoidance measures.	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.
BIO-1e: Implement Townsend's big-eared bat, pallid bat, hoary bat, and fringed myotis avoidance measures.	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 Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
BIO-1f: Implement western burrowing owl avoidance measures.	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.
BIO-1g: Implement northern harrier, white-tailed kite, American peregrine falcon, saltmarsh common yellowthroat, purple martin, and other nesting bird avoidance measures.	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.
BIO-1h: Conduct biological resource survey of future contractor-determined staging areas.	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.
BIO-1i: Minimize impacts on Monarch butterfly overwintering sites.	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.
BIO-1j: Avoid nesting birds and bats during vegetation maintenance.				X	Upcoming	To be completed during Project operation.
BIO-2: Implement serpentine bunchgrass avoidance and revegetation measures.	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 Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
BIO-3: Avoid or compensate for impacts on wetlands and waters.	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.
BIO-5: Implement Tree Avoidance, Minimization, and Replacement Plan.	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.
BIO-6: Pay <i>Santa Clara Valley Habitat Plan</i> land cover fee (if necessary).	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.
CUL-1a: Evaluate and minimize impacts on structural integrity of historic tunnels.	X				Upcoming	To be implemented prior to construction in tunnels.
CUL-1b: Minimize impacts on historic decorative tunnel material.	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		
CUL-1c: Install project facilities in a way that minimizes impacts on historic tunnel interiors.	X				Upcoming	To be implemented prior to construction in tunnels.
CUL-1d: Implement design commitments at historic railroad stations	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.
CUL-1e: Implement specific tree mitigation considerations at two potentially historic properties and landscape recordation, as necessary.	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		
CUL-1f: Implement historic bridge and underpass design requirements.	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.
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.	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.
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.	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		
CUL-2c: Conduct limited subsurface testing before performing ground-disturbing work within 50 meters of a known archaeological site.	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.
CUL-2d: Conduct exploratory trenching or coring of areas within the three zones of special sensitivity where subsurface project disturbance is planned.	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.
CUL-2e: Stop work if cultural resources are encountered during ground-disturbing activities.	X	X			Ongoing	No prehistoric or historic-period cultural materials have been observed during cultural monitoring.
CUL-2f: Conduct archaeological monitoring of ground-disturbing activities in areas as determined by JPB and SHPO.		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.

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		
CUL-3: Comply with state and county procedures for the treatment of human remains discoveries.		X			Ongoing	No human remains have been observed to date on the Project.
EMF-2: Minimize EMI effects during final design, Monitor EMI effects during testing, commission and operations, and Remediate Substantial Disruption of Sensitive Electrical Equipment.	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.
GEO-1: Perform a site-specific geotechnical study for traction power facilities.	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.
GEO-4a: Identification of expansive soils.	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		
GEO-4b: Mitigation of expansive soils.	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.
HAZ-2a: Conduct a Phase II Environmental Site Assessment prior to construction.	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.
HAZ-2b: Implement engineering controls and best management practices during construction.	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.
HYD-1: Implement construction dewatering treatment, if necessary.	X	X			Ongoing	Facilities & BMPs are in place to deal with this requirement should it arise in the OCS foundations.
HYD-4: Minimize floodplain impacts by minimizing new impervious areas for TPFs or relocating these facilities.	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.
HYD-5: Provide for electrical safety at TPFs subject to periodic or potential flooding.	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.
HYD-7: Implement sea level rise vulnerability assessment and adaptation plan.				X	Ongoing	The JPB has initiated this measure and preparation of the sea level rise vulnerability assessment and adaptation plan is underway.
NOI-1a: Implement Construction Noise Control Plan.	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.
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.	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		
NOI-2a: Implement Construction Vibration Control Plan.	X	X			Ongoing	The Noise and Vibration Control Plan has been submitted and is being implemented. Field activity is monitored per the Plan.
PSU-8a: Provide continuous coordination with all utility providers.	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.
PSU-8b: Adjust OCS pole foundation locations.	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described.
PSU-8c: Schedule and notify users about potential service interruptions.	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.
PSU-9: Require application of relevant construction mitigation measures to utility relocation and transmission line construction by others.	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 Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
TRA-1a: Implement Construction Road Traffic Control Plan.	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.
TRA-1c: Implement signal optimization and roadway geometry improvements at impacted intersections for the 2020 Project Condition.	X	X			Upcoming	This measure has not started
TRA-2a: Implement construction railway disruption control plan.	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.
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.	X	X	X		Upcoming	This measure has not started.
TRA-4b: Continue to improve bicycle facilities at Caltrain stations and partner with bike share programs where available following guidance in				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 th Street without OCS conflicts in cooperation with SFMTA.	X				Complete	Not applicable. SFMTA has elected to not electrify the 16 th 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.

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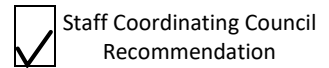
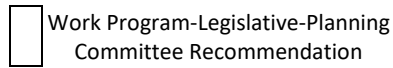
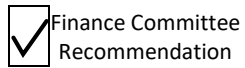
Mitigation Monitoring and Reporting

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: Michelle Bouchard
Acting Executive Director
FROM: Derek Hansel
Chief Financial Officer

SUBJECT: **AWARD OF CONTRACT TO PROVIDE GENERAL COUNSEL LEGAL SERVICES**



ACTION

Staff Coordinating Council recommends the Board:

1. Award a contract to Olson Remcho, LLP of Oakland, CA to provide general counsel and other legal services (Services) to the Peninsula Corridor Joint Powers Board (JPB) for a not-to-exceed amount of \$6,000,000 for a three-year base term.
2. Authorize the Executive Director, or designee, to execute a contract with Olson Remcho in full conformity with the terms and conditions of the solicitation documents and negotiated agreement.
3. Authorize the Executive Director, or designee, to exercise up to two additional one-year option terms, at a not-to-exceed amount of \$2,000,000 per option term for continued provision of the Services, if it is in the best interest of the JPB to do so and with prior Board approval.

SIGNIFICANCE

Approval of the above actions will provide the Peninsula Corridor Joint Powers Board (JPB) a legal firm with the requisite depth of experience and qualifications to successfully deliver general counsel and other legal services as required and detailed in the RFP scope of services.

BUDGET IMPACT

Funds for the Services are available under the approved JPB Fiscal Year 2021 Operating Budget and current and previous capital budgets, and will be included in future fiscal year operating and capital budgets.

BACKGROUND

On August 6th, 2020, the JPB adopted Resolution 2020-42, which provides, in part:

“That the JPB Board shall appoint an independent counsel (and shall not have the same counsel as any member agency) by January 31, 2021, to represent the JPB ...”

In March 2020, the JPB retained Olson Remcho for special counsel services, and to prepare the July 2020 Report on Member Agencies' Rights and Obligations under JPB Governing Documents. As pointed out in that report, the 1996 Joint Powers Agreement at Section 10 provides that the JPB shall designate its legal counsel.

Hansen Bridgett, LLP (HB) serves as the current general counsel and in that capacity advises the Board and manages the legal services provided to JPB/Caltrain. The majority of specialized services are provided by HB with special counsel brought in during instances of conflict or when special expertise is required. HB has represented the JPB since its inception and has provided the JPB an exemplary level of service and expertise. However, HB is also general counsel for the San Mateo County Transit District, a JPB member and its managing agency, and is not an independent counsel as required by Resolution 2020-42.

After adoption of Resolution 2020-42, the JPB Governance Process Ad Hoc Committee on General Counsel Selection (Ad Hoc Committee) undertook to study how best to accomplish the appointment of an independent counsel. In September 2020, the JPB retained legal consultant Renee Marler to support this effort. The Ad Hoc Committee objectives were threefold: first, to comply with the language and intent of Resolution 2020-42 for appointment of independent counsel; second, to ensure the integrity, quality, and continuity of legal support for the JPB's programs and operations; and third, to develop a recommendation for appointment of an independent counsel for the Board's consideration at the November 2020 meeting.

The process to develop recommendations for Board consideration included: 1) a review of the current scope, structure and budget of legal services provided to the JPB by HB and other firms; 2) a survey of general counsel services at peer transportation agencies; and 3) the identification and evaluation of options for appointment of an independent counsel for the JPB.

In evaluating the options for an independent counsel, the Ad Hoc Committee's objectives were to: 1) maintain the high quality of legal services supporting Caltrain programs and projects; 2) provide continuity for ongoing litigation and other critical projects and activities, as well as; 3) prioritize the retention of Caltrain-specific expertise and experience.

At its November 2020 meeting, the Board received a presentation on the recommendations of the Ad Hoc Committee. After consideration and discussion, the Board supported the recommendation for the procurement of a law firm to provide a general counsel firm to advise the Board, and to manage the provision of legal services to the JPB, including legal services provided by HB and other firms.

The recommendation included a proposed scope for the procurement, described below, and a schedule for award in May or June 2021.

Scope of Contract: Advise and represent the JPB as general counsel, with responsibilities including:

- Serve as counsel at JPB Board and committee meetings; provide practical advice to assist the Board in achieving its policy goals and objectives.
- Advise the Board on good governance practices, including but not limited to JPB governing documents and rules of the Board, ethics laws, open meeting laws, conflicts of interest and gifts, as well as public records disclosure and retention requirements.
- Furnish day-to-day legal advice as needed; attend staff and other meetings such as management team meetings as requested.
- Coordinate with staff, consultants and other counsel in order to be familiar with matters arising before the Board.
- Oversee and manage the provision of other legal services provided to the JPB under contract or through the managing agency in areas including federal and state laws and regulations related to commuter rail, public transit/transportation law, construction law, federal and state grant requirements, environmental law, intellectual property, and public and private finance, litigation, and labor law.

On December 18, 2020, staff issued Request for Proposals (RFP) 21-J-P-020 for provision of general legal counsel services (Services). Staff advertised the RFP on the JPB e-procurement website, and as part of its outreach effort, staff published a notice of upcoming solicitation and reached out to local and regional law firms. Staff received proposals from three firms.

Proposals and firms were evaluated via a two-step process: 1) a Selection Committee composed of qualified JPB staff and a qualified subject matter expert (Committee 1) evaluated and scored the firms and proposals and found two firms to be in the competitive range. Those firms were invited to an oral interview; 2) a second Selection Committee (Committee 2) composed of qualified JPB staff and JPB Board members interviewed the two firms that were found to be in competitive range. Committee 2 reevaluated and rescored the firms in accordance with a new set of criteria, and found Olson Remcho, LLP (OR) to be the highest-ranked, qualified proposer.

Selection Committee 1 evaluated and scored the proposals in accordance with the following weighted criteria:

- | | |
|--|---------------|
| • Approach to Providing Services | 0 - 20 points |
| • Qualifications and Experience of Key Personnel | 0 - 30 points |
| • Relevant Experience of Key Personnel | 0 - 25 points |
| • References | 0 - 10 points |
| • Fee Proposal | 0 - 15 points |

After preliminary review, evaluation, and ranking of proposals, Committee 1 determined the two firms listed below to be in the competitive range, and invited the firms to interview:

- Meyers Nave, Inc. of Oakland, CA
- Olson Remcho, LLP of Oakland, CA

Selection Committee 2 interviewed the above-listed firms, and reevaluated and rescored the firms in accordance with the following weighted criteria:

- Qualifications & Relevant Experience of General Counsel & Key Personnel 0 - 35 points
- Approach to Providing General Counsel Services 0 - 30 points
- Approach to Managing Legal Services 0 - 15 points
- Plan for General Counsel Transition 0 - 10 points
- Fee Proposal 0 - 10 points

After oral interviews, and after its reevaluation and rescoring of firms, Committee 2 found Olson Remcho to be the highest-ranked proposer, and further determined the firm possesses the requisite depth of experience and qualifications to successfully perform the Services as required and detailed in the RFP scope of services.

Both Meyers Nave and Olson Remcho are highly qualified. While not the highest ranked proposer, Meyers Nave presented credentials that the Selection Committees determined could be of value to the JPB in another context.

Staff completed a value and price analysis of the Olson Remcho proposed fees, and determined the fees are within market rates for similar services, compare favorably with the fees charged by the JPB incumbent general counsel, and the fees Olson Remcho charges agencies similar to the JPB. Therefore staff deems the fees to be fair and reasonable, and recommends award of a contract to Olson Remcho.

Transition of new General Counsel: as special counsel to the JPB on governance issues Olsen Remcho is familiar with the JPB's foundational documents and history and has worked with members of the Board and staff. Further, the attorneys proposed to provide general counsel services are the same attorneys who have served as special counsel: James Harrison, Robin Johansen, and Thomas Willis.

James Harrison is the primary contact at Olson Remcho and will represent and advise the JPB as General Counsel in most situations, including Board Meetings.

Olson Remcho will participate in transition activities to support assumption of responsibility of general counsel duties at the June 2021 Board meeting. During this time, Olson Remcho will meet with executive staff and Hansen Bridgett to be briefed, receive files and begin managing legal services.

Olson Remcho has agreed that transition activities are non-compensable. Services provided on governance matters under the scope of Olson Remcho's special counsel contract remain compensable and may continue without interruption under the new general counsel contract.

Prepared By: Luis F. Velasquez, Procurement Administrator III
Project Manager: Renee Marler, Consultant

650.622.8099
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**RESOLUTION NO. 2021-
BOARD OF DIRECTORS, PENINSULA CORRIDOR JOINT POWERS BOARD
STATE OF CALIFORNIA**

* * *

**AWARDING A CONTRACT TO OLSON REMCHO, LLP FOR
GENERAL COUNSEL LEGAL SERVICES FOR
A NOT-TO-EXCEED TOTAL AMOUNT OF \$6,000,000 FOR A THREE-YEAR TERM**

WHEREAS, the Peninsula Corridor Joint Powers Board (JPB) issued Request for Proposals (RFP) 21-J-P-020 for general counsel and other legal services (Services); and

WHEREAS, the Services primarily consist of, but are not limited to: (1) advising JPB executive staff on governance practices, (2) furnishing day-to-day legal advice to JPB staff, (3) attending and serving as counsel at JPB Board meetings, (4) providing practical advice to the JPB Board in achieving its policy goals and objectives, (5) overseeing provision of legal services provided to the JPB by other firms under contract; and (6) providing other legal services in specialty areas such as federal and state grant requirements, railroad industry, real property, intellectual property, et al.; and

WHEREAS, in response to the RFP, the JPB received three proposals; and

WHEREAS, none of the proposers are from Small Business Enterprise and/or Disadvantaged Business Enterprise firms; and

WHEREAS, a Selection Committee (Committee 1) composed of qualified JPB staff and a qualified subject matter expert evaluated and ranked the written proposals according to the evaluation criteria set forth in the RFP, and determined two of the three firms and proposals were in the competitive range for interviews; and

WHEREAS, after interviews, the Interview Selection Committee (Committee 2) determined Olson Remcho, LLP of Oakland, California to be the highest-ranking firm; and

WHEREAS, Committee 2 completed its evaluation process and determined that Olson Remcho possesses the necessary qualifications and requisite experience to

successfully perform the Services, and has agreed to perform the Services at fair and reasonable prices; and

WHEREAS, staff has reviewed the Olson Remcho proposal and determined the proposal complies with the requirements of the solicitation documents; and

WHEREAS, Staff Coordinating Council recommends, and the Executive Director concurs, that the Board of Directors (Board) (1) award a contract to Olson Remcho for provision of general counsel and other legal services for a three-year term; and (2) authorize the Executive Director, or designee, to exercise up to two, additional one-year option terms, if it is in the best interest of the JPB and with prior Board approval.

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby awards a contract for general counsel and other legal services to Olson Remcho for a three-year term for a not-to-exceed total of \$6,000,000; and

BE IT FURTHER RESOLVED that the Executive Director, or designee, is authorized to execute a contract on behalf of the JPB with Olson Remcho in full conformity with the terms and conditions of the solicitation documents and negotiated agreement; and

BE IT FURTHER RESOLVED that the Board authorizes the Executive Director, or designee, to exercise up to two additional one-year option terms for provision of additional Services at a not-to-exceed total of \$2,000,000 per option term, if deemed in the best interest of the JPB and approved by the Board.

Regularly passed and adopted this 6th day of May, 2021 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michelle Bouchard
Acting Executive Director, Caltrain

FROM: Sebastian Petty
Deputy Chief of Planning, Caltrain

SUBJECT: **POST COVID BUSINESS STRATEGY – SCENARIO PLANNING**

Finance Committee Recommendation Work Program-Legislative-Planning Committee Recommendation Staff Coordinating Council Reviewed Staff Coordinating Council Recommendation

ACTION

Staff Coordinating Council recommends the Board of Directors (Board) receive the attached informational ppt describing staff's continued post-COVID scenario planning work.

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 efforts. Over the course of subsequent months staff returned to the Board with a series of updates focused on how the railroad would respond and adapt to the extraordinary social, financial and operational challenges created by the pandemic. Key work products have included:

- The railroad's "Equity, Connectivity, Recovery and Growth" Framework (adopted by the Board in September of 2020)
- The implementation of a revised 68 train service (presented to the Board in November of 2020 and implemented in December)
- Ongoing analysis and work related to understanding the railroad's costs and financial resources during a highly dynamic period

Throughout this time, staff has also been working to develop a body of longer range scenario planning that considers the different realities the railroad may confront as we move through and beyond the pandemic. Now, with the passage of Measure RR and with the rollout of vaccines commencing staff has worked to complete this scenario planning work through a series of financial projections and analyses that explore the financial impacts of different potential futures to the railroad's business. An initial presentation of this work was presented to the Board and various stakeholder groups in

February and March of 2021 and the attached presentation builds on the work previously presented. A final presentation with a staff recommended Business Strategy is anticipated in June of 2021.

BUDGET IMPACT

There is no budget impact associated receiving this presentation.

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

650.622.7831

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michelle Bouchard
Executive Director

FROM: Derek Hansel
Chief Financial Officer

SUBJECT: **FISCAL YEAR 2022 PRELIMINARY OPERATING AND CAPITAL BUDGETS**



Finance Committee
Recommendation



Work Program-Legislative-Planning
Committee Recommendation



Staff Coordinating
Council Reviewed



Staff Coordinating Council
Recommendation

ACTION

This report is submitted for informational purposes only. A presentation will be made during the Finance Committee and Board of Directors (Board) meetings on April 26 and May 6, respectively. Based on Board feedback, final discussions with funding partners and member agencies, and further refinements, the Peninsula Corridor Joint Powers Board (JPB) Staff will present a final budget proposal for Board consideration and adoption at the June 2021 Board meeting.

SIGNIFICANCE

Over the past two decades, Caltrain has experienced rapid ridership growth and many of its peak-hour trains operated near, at, or above their seated capacity. The launch of the Baby Bullet in 2004 helped spur this growth. Meeting growing customer demand while maintaining a high standard of safe, reliable, and comfortable service was the preeminent operational challenge faced by Caltrain.

The arrival of the COVID-19 pandemic has had profound consequences for Caltrain. Average weekday ridership of 65,000 dipped by as much as 95% . For an agency historically dependent on farebox revenue to fund operations, this has been financially devastating. Caltrain is not alone - the financial, social, and economic impacts brought about by the pandemic have led to what may be one of the most challenging times for public transit in the history of our country.

The Peninsula Corridor Joint Powers Board (JPB) has responded to the challenges and focused on fulfilling its core mission in the first year of the pandemic through Board-approved measures to support Caltrain's riding public, including essential workers and low-income riders, by:

- Suspending increases to Clipper® fare products for Single Adult rides and adult

monthly passes.

- Increasing discounts from 20% to 50% off of single-ride Clipper fares for riders who qualified for the regional means-based fare pilot program;
- Postponing previously approved fare increases until after June 2021.
- Extending the validity of the 2020 GoPass by three months, through March 2021.
- Selling the 2021 GoPass at a 25% discount and at a pro-rated cost to account for the shorter duration of the 2021 GoPass (April-December 2021).
- Adopting a Framework for Equity, Connectivity Recovery and Growth to ensure that Caltrain services are available to all.
- Providing free train rides to transport the riding public to their vaccination destinations.

On the financial side, Caltrain benefitted significantly from the support of its GoPass customers, who overwhelmingly maintained their participation in the program despite the plummet in ridership. Most importantly, and like transit properties across the country, we depended heavily on unprecedented federal support of our operations, including large allocations of funding from the CARES act and the CRRSAA act (\$64.6 million and \$33.9 million respectively), and judiciously utilized funds to support the above measures, ensuring transport for the riding public, such as by:

- Implementing staff cost reduction measures including no increase to full-time equivalent (FTE) positions, a hiring freeze and no universal wage increases.
- Working diligently with the contract rail operator, TransitAmerica Services, Inc. (TASI), to maintain a viable schedule to serve ridership during the pandemic, while minimizing overtime, and appropriately reallocating operating staff to support capital projects

In an effort that materially addresses Caltrain's long-term financial sustainability, the JPB successfully sought voter approval of the Measure RR 1/8-cent sales tax in November 2020. Measure RR will provide Caltrain's first-ever source of dedicated non-fare revenues. Though significant Measure RR revenues will not flow to the JPB until the second quarter of FY2022, staff is currently taking steps to ensure cash flow availability to meet Caltrain needs. Additionally, the Metropolitan Transportation Commission (MTC) will soon begin its process for allocating funds from the latest federal pandemic stimulus package, the American Rescue Plan Act (ARPA). While staff has not included any funding or cash flow from that package in this analysis, we expect that those funds will be a critical element in the funding of Caltrain in Fiscal Year 2022.

FY2022 Preliminary Operating Budget Overview:

- The FY2022 Preliminary Operating Budget includes Measure RR revenues for the first time, presenting new opportunities to consider various levels of operation.
- The budget assumes a tentative restoration of service to 92 trains per weekday.
- The farebox forecast takes into consideration that a lasting shift to working-from-home for many workers may dampen growth going forward.
- Revenues from federal relief operating support for FY2022 is projected to be

available but at a significantly lower level than in FY2021 (this does not yet include funding from the ARPA funds, discussed above).

- For the first time in the JPB's history, the FY2022 Preliminary Operating Budget assumes no operating contributions from the JPB's three member agencies (the San Mateo County Transit District, Santa Clara Valley Transportation Authority and City and County of San Francisco). The Joint Exercise of Powers Agreement provides for sharing of operating support among the agencies to the extent that there is an expected operating deficit. Given the availability of Measure RR revenue, the anticipation of additional federal funding through ARPA, the ability to address cash flow through borrowing, and the recognition of the challenges facing the member agencies given the pandemic, Staff proposes that the JPB forego pursuing operating contributions for FY2022. Staff is also recognizing that a resumption in operating contributions in future years may be necessary in order to achieve the goals of the Board for Caltrain operations.

FY2022 Preliminary Capital Budget Overview:

- Projects in the FY2022 Preliminary Capital Budget will support the forthcoming shift to rail electrification.
- The FY2022 Preliminary Capital Budget is a constrained budget and full funding sources will be identified for all projects included in the Proposed Capital Budget presented to the Board in June. The FY2022 Preliminary Capital Budget assumes zero member contributions to the capital budget. This represents a cut of \$18.0 million in aggregate from the three member agencies (\$6.0 million each). As above, the Joint Exercise of Powers Agreement specifies a process for allocating funding of capital requirements among the agencies. In FY2022, the funding requirements (and available sources) of the operating and capital budgets are such that Staff is not proposing a capital request from the member agencies. As the future funding needs of Caltrain develop (in response to policy direction from the Board), Staff anticipates that a restoration of member agency capital funding will be required.

FY2022 PRELIMINARY OPERATING BUDGET

Please refer to Attachment A – FY2022 Preliminary JPB Financial Statement-Comparative Budgets for a comparative schedule of the FY2022 Preliminary Operating Budget which shows the FY2020 Actual, FY2021 Adopted Budget, FY2021 Forecast and the FY2022 Preliminary Operating Budget. The line numbers for each revenue and expense item detailed below refer to the corresponding line numbers on Attachment A.

Revenue Projections

Total revenues for FY2022 are projected at \$157.7 million, an increase of \$30.3 million or 23.8% over the FY2021 Forecast:

- Revenue from Operations for FY2022 is projected at \$40.7 million, an increase of \$5.0 million or 14.1% over the FY2021 Forecast.
- Revenue from Contributions for FY2022 projected at \$117.1 million, an increase of \$25.3 million or 27.5% higher than the FY2021 Forecast.

Operating Revenue

Line 1 **Farebox Revenue:** \$34.6 million, an increase of \$4.0 million or 13.1% higher than the FY2021 forecast.

Farebox revenue includes fare receipts collected directly from rail passengers or through pass sales. Generally, the GoPass has been sold on a calendar year basis. For calendar year 2021, sales were for passes effective April 1, 2021 (coinciding with the extended expiration of the 2020 passes).

Description	FY2020	FY2021	FY2021	FY2022	\$ Change	% Change
	ACTUAL	BUDGET	FORECAST	PRELIMINARY BUDGET	FY22 Preliminary to FY21 Forecast	FY22 Preliminary to FY21 Forecast
Caltrain Fares	56,389,061	5,575,500	5,465,481	25,039,000	19,573,519	358.1%
GoPass	19,705,372	26,453,649	25,164,860	9,600,000	(15,564,860)	-61.9%
Farebox Revenue	76,094,433	32,029,149	30,630,341	34,639,000	4,008,659	13.1%

The farebox revenue forecast attempts to take into consideration the variety of factors that are likely to impact ridership. These include the general economic activity, the return of more typical "work from office" situations, the degree to which employees have the freedom to and choose to work from home more frequently, and the degree to which potential riders are comfortable choosing public transit alternatives.

Line 2 **Parking Revenue:** \$1.5 million, an increase of \$1.2 million or 312.1% higher than the FY2021 forecast.

Parking revenue includes fees at parking lots at various passenger stations to and from a parking lot located at the SAP Center adjacent to the San Jose Diridon station.

Description	FY2020	FY2021	FY2021	FY2022	\$ Change	% Change
	ACTUAL	BUDGET	FORECAST	PRELIMINARY BUDGET	FY22 Preliminary to FY21 Forecast	FY22 Preliminary to FY21 Forecast
Parking Revenue	3,659,013	372,718	372,718	1,536,000	1,163,282	312.1%

Parking revenue estimates follow Farebox revenue trend projections.

Line 3 **Shuttle Revenue:** \$1.6 million, a decrease of \$0.2 million or 9.6% lower than the FY2021 forecast.

Shuttle Program funding comes from participating employers, the San Mateo County Transportation Authority (TA), Bay Area Air Quality Management District (BAAQMD). This line item refers only to the revenue generated from participating local 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.

Description	FY2020 ACTUAL	FY2021 BUDGET	FY2021 FORECAST	FY2022 PRELIMINARY BUDGET	\$ Change FY22 Preliminary to FY21 Forecast	% Change FY22 Preliminary to FY21 Forecast
Employer Share - SamTrans / JPB Shuttle Programs	1,783,942	2,031,246	1,773,647	1,603,900	(169,747)	-9.6%

Line 4 **Rental Income:** \$1.2 million, an increase of \$80.7 thousand or 7.3% higher than the FY2021 forecast.

Rental income is generated from third-party use of properties owned by the JPB along the Caltrain right of way (ROW).

Description	FY2020 ACTUAL	FY2021 BUDGET	FY2021 FORECAST	FY2022 PRELIMINARY BUDGET	\$ Change FY22 Preliminary to FY21 Forecast	% Change FY22 Preliminary to FY21 Forecast
Rental Revenue	533,563	1,111,804	1,111,804	1,192,466	80,662	7.3%

Line 5 **Other Income:** \$1.7 million, a decrease of \$70.4 thousand or 4.0% lower than the FY2021 forecast

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.

Description	FY2020 ACTUAL	FY2021 BUDGET	FY2021 FORECAST	FY2022 PRELIMINARY BUDGET	\$ Change FY22 Preliminary to FY21 Forecast	% Change FY22 Preliminary to FY21 Forecast
Parking Citation Program Revenue	601,657	-	-	-	-	0.0%
Misc. Operating Revenue	(939,688)	-	-	156,000	156,000	100.0%
Shared Track Maintenance Revenue	473,513	409,000	409,000	409,000	-	0.0%
Other Non-Transit Revenues	351,006	-	-	409,000	409,000	100.0%
Insurance Reimbursements	12,226	-	-	-	-	0.0%
Advertising Income	1,468,979	970,000	970,000	509,608	(460,392)	-47.5%
Other Interest Income	108,818	250,000	250,000	100,000	(150,000)	-60.0%
Interest Income - LAIF	(84,351)	126,000	126,000	110,000	(16,000)	-12.7%
Interest Income - County Pool	(5,860)	9,000	9,000	-	(9,000)	-100.0%
Other Income	1,986,300	1,764,000	1,764,000	1,693,608	(70,392)	-4.0%

Shared track maintenance revenue is generated from the annual contract with United Pacific Railroad (UPRR). Other non-transit revenue is generated from construction permits from 3rd party contractors. Advertising income assumes that at least 40-50% ridership will return by January 2022. Interest income is lower due to declining interest

rates on fixed income products.

CONTRIBUTIONS

Line 9 **AB434 & TA Shuttle Funding**: \$1.1 million, a decrease of \$0.6 million or 35.6% lower than the FY2021 forecast.

Contributions for the service come from State and local sources. In 1991, through Assembly Bill (AB) 434, the State Legislature authorized a \$4.00 surcharge on cars and trucks to fund projects that reduce on-road motor vehicle emissions. AB434 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.

Description	FY2020	FY2021	FY2021	FY2022	\$ Change	% Change
	ACTUAL	BUDGET	FORECAST	PRELIMINARY BUDGET	FY22 Preliminary to FY21 Forecast	FY22 Preliminary to FY21 Forecast
AB434 - California Clean Air A	607,933	565,050	565,050	80,000	(485,050)	-85.8%
TA Contr-SM Cnty Caltrain Shut	725,238	1,172,900	1,172,900	1,039,300	(133,600)	-11.4%
AB434 & TA Shuttle Funding	1,333,171	1,737,950	1,737,950	1,119,300	(618,650)	-35.6%

After calendar year 2020, AB434 funds are no longer be available. Shuttles are not yet expected to generate the necessary net emission savings until ridership approaches pre-COVID levels. A new Transportation Fund for Clean Air (TFCA) Regional Fund managed by BAAQMD is pending application approval.

Line 10 **Operating Grants**: \$6.4 million, a decrease of \$6.4 million or 49.8% lower than the FY2021 forecast

State Transit Assistance (STA) revenue generated from the statewide sales tax on diesel fuel 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.

Description	FY2020	FY2021	FY2021	FY2022	\$ Change	% Change
	ACTUAL	BUDGET	FORECAST	PRELIMINARY BUDGET	FY22 Preliminary to FY21 Forecast	FY22 Preliminary to FY21 Forecast
Operating Grants	2,786,819	12,608,500	12,808,500	6,425,471	(6,383,029)	-49.8%

This estimate includes preliminary allocations for STA. The balancing measures used in FY2021 budget will not carry over to FY2022. The FY2021 balancing measures included use of State Rail Assistance funds and de-allocated capital federal funds.

Line 11 **JPB Member Agencies**: Zero, a decrease of \$28.8 million or 100% lower than the FY2021 forecast.

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 member agencies were previously calculated in accordance with an allocation methodology based on the average mid-weekday boarding data including Gilroy.

Description	FY2020 ACTUAL	FY2021 BUDGET	FY2021 FORECAST	FY2022 PRELIMINARY BUDGET	\$ Change FY22 Preliminary to FY21 Forecast	% Change FY22 Preliminary to FY21 Forecast
JPB Member Agencies	28,035,055	29,009,434	28,809,434	-	(28,809,434)	-100.0%

This budget assumes there will be no member agency contributions for operations in FY2022. Staff proposes this measure due to the effects of the pandemic upon the operations of the member agencies and the expected ability of Caltrain to meet its FY22 operating obligations through Measure RR, farebox revenue, extraordinary Federal funding, and a limited amount of borrowing.

Line 12 **Measure RR:** \$82.6 million, an increase of \$82.6 million.

At the November 3, 2020 election, the voters approved Measure RR, a 1/8-cent sales tax that will provide a dedicated funding source for Caltrain.

Description	FY2020 ACTUAL	FY2021 BUDGET	FY2021 FORECAST	FY2022 PRELIMINARY BUDGET	\$ Change FY22 Preliminary to FY21 Forecast	% Change FY22 Preliminary to FY21 Forecast
Measure RR	-	-	-	82,558,484	82,558,484	100.0%

FY2022 estimated Measure RR funding is \$101.9M with \$82.6 million allocated to the Operating Budget, and \$19.3 million allocated to the FY2022 Capital Budget.

Line 13 **CARES Act Funding:** Zero, a decrease of \$41.5 million or 100% lower than the FY2021 Forecast.

Coronavirus Aid, Relief, and Economic Security Act (CARES Act) Funding was provided by the federal government to transit agencies to supplement operating funds that were lost due to decreased ridership, tax revenue and other factors, as well as to address increased costs associated with pandemic related operations.

Description	FY2020 ACTUAL	FY2021 BUDGET	FY2021 FORECAST	FY2022 PRELIMINARY BUDGET	\$ Change FY22 Preliminary to FY21 Forecast	% Change FY22 Preliminary to FY21 Forecast
CARES Act	23,127,798	41,509,536	41,509,536	-	(41,509,536)	-100.0%

The CARES Act federal relief fund will not continue into FY2022.

Line 14 **CRRSAA Funding:** \$26.9M, an increase of \$20.0 million or 288.7% higher than FY2021 Forecast

Coronavirus Response and Relief Supplemental Appropriations Act of 2021 (CRRSAA) funding is being provided by the federal government to transit agencies to address the issues identified above.

Description	FY2020 ACTUAL	FY2021 BUDGET	FY2021 FORECAST	FY2022 PRELIMINARY BUDGET	\$ Change FY22 Preliminary to FY21 Forecast	% Change FY22 Preliminary to FY21 Forecast
CRRSSA	-	-	6,936,627	26,960,520	20,023,893	288.7%

Anticipated CRRSAA funding is \$46.5M, with \$19.6M anticipated to be used in FY2021, and the remaining \$26.9 million budgeted for FY2022.

Expense Projections

Grand Total Expense for FY2022 projected at \$178.9 million, an increase of \$38.8 million or 27.7% over the FY2021 Forecast:

- Operating Expense for FY2022 projected at \$138.6 million, an increase of \$23.5 million or 20.5% over the FY2021 Forecast.
- Administrative Expense for FY2022 projected at \$28.9 million, an increase of \$6.2 million or 27.6% over the FY2021 Forecast.
- Long-term Debt Expense for FY2022 projected at \$2.4 million.
- One-time Expenses for FY2022 projected at \$9.0 million.

OPERATING EXPENSE

Line 22 **Rail Operator Service:** \$98.3 million, an increase of \$14.1 million or 16.9% higher than the FY2021 forecast.

The JPB contracts out for rail operator service with TransitAmerica Services, Inc. (TASI). 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.

Description	FY2020 ACTUAL	FY2021 BUDGET	FY2021 FORECAST	FY2022 PRELIMINARY BUDGET	\$ Change FY22 Preliminary to FY21 Forecast	% Change FY22 Preliminary to FY21 Forecast
Rail Operator Service	83,915,012	85,109,942	84,109,942	98,300,000	14,190,058	16.9%

In FY2021, the budget assumed a train schedule determined and implemented on a per quarter basis. For FY2022, the budget of \$98.3 million assumes a tentative restoration of service to 92 trains per weekday.

The \$98.3 million estimate for FY2022 includes provisions for the negotiated contractual union increases, a 0.5% increase in General & Administration fee and maintenance support for Positive Train Control (PTC). The FY2022 estimate also includes \$1.2M for work on Fiber Optics, an annual passenger count (restored from the FY2021 cuts and \$1.0 million for the Ticket Vending Machine maintenance program that will be shifted in FY2022 from Caltrain staff costs to the TASI contract.

Line 24 **Security Services:** \$7.5 million, an increase of \$0.7 million or 11% higher than the FY2021 forecast.

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

Description	FY2020	FY2021	FY2021	FY2022	\$ Change	% Change
	ACTUAL	BUDGET	FORECAST	PRELIMINARY BUDGET	FY22 Preliminary to FY21 Forecast	FY22 Preliminary to FY21 Forecast
Security Services	5,913,164	6,746,908	6,746,908	7,486,512	739,604	11.0%

FY2022 security and services budget includes annual contractual increases and overtime estimates at pre-COVID level, (which is consistent with security services being provided for special service).

Line 25 **Shuttles:** \$2.7 million, a decrease of \$0.8 million or 23.1% lower than the FY2021 forecast.

The Shuttle program provides last-mile connections for Caltrain passengers.

Description	FY2020	FY2021	FY2021	FY2022	\$ Change	% Change
	ACTUAL	BUDGET	FORECAST	PRELIMINARY BUDGET	FY22 Preliminary to FY21 Forecast	FY22 Preliminary to FY21 Forecast
Shuttle Service	4,138,715	4,057,249	3,542,715	2,723,200	(819,515)	-23.1%

Line 26 **Fuel:** \$10.4 million, an increase of \$4.5 million or 76.0% higher than the FY2021 forecast.

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

Description	FY2020	FY2021	FY2021	FY2022	\$ Change	% Change
	ACTUAL	BUDGET	FORECAST	PRELIMINARY BUDGET	FY22 Preliminary to FY21 Forecast	FY22 Preliminary to FY21 Forecast
Fuel and Lubricants	9,289,638	5,930,523	5,930,523	10,434,846	4,504,323	76.0%

	FY21	FY22	Hedged	Unhedged
	Adopted Budget	Preliminary Budget		
Hedge %			64%	36%
Price / Gallon		\$1.30	\$1.71	\$2.40
Projected Fuel Consumption - No. of Gallons		3,121,180	3,962,405	1,426,466
Projected Fuel Cost		\$4,057,534	\$7,759,974	\$3,423,518
Taxes		\$1,872,989	\$2,674,872	\$1,029,033
Total Projected Fuel Cost including taxes		\$5,930,523	\$10,434,846	\$4,452,551

The FY2022 budget assumes 64.0% of the fuel portfolio is hedged at \$1.71/gallon and 36.0% is unhedged at \$2.40/gallon.

Line 27 **Timetables and Tickets:** \$110,000, no change over the FY2021 forecast.

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

Description	FY2020	FY2021	FY2021	FY2022	\$ Change	% Change
	ACTUAL	BUDGET	FORECAST	PRELIMINARY BUDGET	FY22 Preliminary to FY21 Forecast	FY22 Preliminary to FY21 Forecast
Time Tables, Schedules, & Maps	47,061	110,000	110,000	110,000	-	0.0%
Tickets	98,757				-	0.0%
Timetables and Tickets	145,818	110,000	110,000	110,000	-	0.0%

Line 28 **Insurance:** \$7.0 million, an increase of \$1.6 million or 29.8% higher than the FY2021 forecast

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

Description	FY2020	FY2021	FY2021	FY2022	\$ Change	% Change
	ACTUAL	BUDGET	FORECAST	PRELIMINARY BUDGET	FY22 Preliminary to FY21 Forecast	FY22 Preliminary to FY21 Forecast
Insurance	4,331,946	5,410,000	5,410,000	7,020,000	1,610,000	29.8%

It should be noted that difficult market conditions in the liability insurance industry predate the COVID pandemic. This was a market hardened by huge losses, global events and a litigious environment in the United States. Liability insurance cost went up as fewer insurers opted to continue to operate in the industry and existing carriers reduced their exposures. The FY2022 insurance budget estimates reflect a medium risk level. Staff will be receiving proposals for the JPB's insurance coverage later in May,

and the June proposed budget for FY2022 will include the results of these proposals and staff's recommendation.

Line 29 **Claims, Reserves and Payments:** \$820,000, a decrease of \$0.1 million or 14.6% lower than the FY2021 forecast.

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

Description	FY2020	FY2021	FY2021	FY2022	\$ Change	% Change
	ACTUAL	BUDGET	FORECAST	PRELIMINARY BUDGET	FY22 Preliminary to FY21 Forecast	FY22 Preliminary to FY21 Forecast
Claims Reserves & Payments	(166,416)	960,000	960,000	820,000	(140,000)	-14.6%

Line 30 **Facilities and Equipment Maintenance:** \$7.5 million, an increase of \$3.6 million or 90.6% higher than the FY2021 forecast.

This budget item covers expenses related to Clipper Operator charges, revenue collection services, ticket vending machines, data line services and other contract services.

Description	FY2020	FY2021	FY2021	FY2022	\$ Change	% Change
	ACTUAL	BUDGET	FORECAST	PRELIMINARY BUDGET	FY22 Preliminary to FY21 Forecast	FY22 Preliminary to FY21 Forecast
Facilities and Equipment Maintenance	2,739,785	4,813,563	3,953,563	7,534,353	3,580,790	90.6%

The FY2022 budget includes additional PTC maintenance costs, as part of the final shift of PTC implementation from a capital project to fully operational.

Line 31 **Utilities:** \$2.6 million, a decrease of \$0.2 million or 6.5% lower than the FY2021 forecast.

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

Description	FY2020	FY2021	FY2021	FY2022	\$ Change	% Change
	ACTUAL	BUDGET	FORECAST	PRELIMINARY BUDGET	FY22 Preliminary to FY21 Forecast	FY22 Preliminary to FY21 Forecast
Utilities	2,026,492	2,731,385	2,731,385	2,552,600	(178,785)	-6.5%

The budget reflects a lower estimate on PTC-related maintenance costs for CalNet data circuits and phones and an increase in utilities for the Backup Central Control Facility (BCCF).

Line 32 **Maintenance & Services – Building and Other:** \$1.7 million, an increase of \$84.3 thousand or 5.3% higher than the FY2021 forecast.

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

Description	FY2020 ACTUAL	FY2021 BUDGET	FY2021 FORECAST	FY2022 PRELIMINARY BUDGET	\$ Change FY22 Preliminary to FY21 Forecast	% Change FY22 Preliminary to FY21 Forecast
Maintenance Services	1,542,911	1,590,000	1,590,000	1,674,250	84,250	5.3%

ADMINISTRATIVE EXPENSE

Line 36 **Wages & Benefits:** \$13.0 million, an increase of \$2.2 million or 20.2% higher than the FY2021 forecast.

The San Mateo County Transit District (District) serves as the managing agency for the JPB. Wages & Benefits reflects staffing costs for an anticipated 72.67 FTEs for the operating budget.

Description	FY2020 ACTUAL	FY2021 BUDGET	FY2021 FORECAST	FY2022 PRELIMINARY BUDGET	\$ Change FY22 Preliminary to FY21 Forecast	% Change FY22 Preliminary to FY21 Forecast
Wages & Benefits	11,673,413	10,930,000	10,826,318	13,012,686	2,186,368	20.2%

Built into this budget is hiring for positions that were frozen in FY21 as part of cost savings efforts. The FY2022 preliminary operating budget also includes a request for an additional 4.9 FTEs.

Operating

FY2022 FTE	Admin	Bus	CalMod	Comm	Exec	Finance	Planning	Rail	Total
Represented	-	-	-	-	-	-	-	-	-
Non-Represented	6.40	2.90	-	16.12	0.45	6.90	2.92	32.08	67.77
New FTEs	0.50	-	-	0.40	-	-	0.35	3.65	4.90
Total Operating	6.90	2.90	-	16.52	0.45	6.90	3.27	35.73	72.67

Fringe benefit costs are applied to actual staff wages as a calculated rate. The District aggregates all estimated annual fringe benefit costs of employees associated with a particular agency (payroll taxes, pension, medical, dental and vision premiums, life insurance, long-term disability, unemployment, and paid time-off). This total is then divided by the total projected wages for that agency for the upcoming year to arrive at a fringe benefit rate that is charged on a periodic basis against payroll costs. Variances are trued up annually.

Line 37 **Managing Agency Admin OH Cost:** \$3.5 million, a decrease of \$82.2 thousand or 2.3% lower than the FY2021 forecast.

Managing Agency Administrative Overhead (OH) Cost reflects the cost of District personnel dedicated to the Caltrain business (as opposed to Caltrain operations).

Description	FY2020	FY2021	FY2021	FY2022	\$ Change	% Change
	ACTUAL	BUDGET	FORECAST	PRELIMINARY BUDGET	FY22 Preliminary to FY21 Forecast	FY22 Preliminary to FY21 Forecast
Managing Agency Admin OH Cost	4,406,537	5,139,352	3,553,099	3,470,871	(82,228)	-2.3%

The Indirect Cost Allocation Plan (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 is 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 four agencies managed or supported by the District. 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 are distributed to each department. 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.

In mid-FY2021, the ICAP methodology was changed to more appropriately allocate these costs across the range of projects served – staff anticipates that this approach will continue for FY2022. In prior years, the ICAP rate was applied to pre-defined labor costs. The new methodology applies the ICAP rate to all labor and non-labor costs. The methodology does not change how much ICAP in total is paid, but rather how the total ICAP is allocated to different projects.

Line 38 **Board of Directors:** \$48,275, an increase of \$37.2 thousand or 337.9% higher than the FY2021 forecast.

This covers director compensation, seminars and training, and meetings for the Board of Directors.

Description	FY2020 ACTUAL	FY2021 BUDGET	FY2021 FORECAST	FY2022 PRELIMINARY BUDGET	\$ Change FY22 Preliminary to FY21 Forecast	% Change FY22 Preliminary to FY21 Forecast
Board of Directors	24,589	11,025	11,025	48,275	37,250	337.9%

In FY2022, the budgets for the Board retreats were moved from the Other Office Expense and Services account to the Board of Directors line item.

Line 39 **Professional Services:** \$8.2 million, an increase of \$3.1 million or 60.5% higher than the FY2021 forecast

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.

Description	FY2020 ACTUAL	FY2021 BUDGET	FY2021 FORECAST	FY2022 PRELIMINARY BUDGET	\$ Change FY22 Preliminary to FY21 Forecast	% Change FY22 Preliminary to FY21 Forecast
Legal Services	(183,342)	2,062,904	1,912,904	2,814,850	901,946	47.2%
Annual Audit Services	69,012	78,000	78,000	78,000	-	0.0%
Legislative Advocate	163,541	169,200	169,200	169,200	-	0.0%
Consultants	1,940,055	3,089,896	2,956,896	5,150,770	2,193,874	74.2%
Professional Services	1,989,266	5,400,000	5,117,000	8,212,820	3,095,820	60.5%

The FY2022 budget for consultants reflects the additional cost for the new legal counsel and the continuing shift of PTC from a capital project to maintenance.

Line 40 **Communications and Marketing:** \$0.3 million, an increase of \$0.2 million or 137.3% higher than the FY2021 forecast.

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

Description	FY2020 ACTUAL	FY2021 BUDGET	FY2021 FORECAST	FY2022 PRELIMINARY BUDGET	\$ Change FY22 Preliminary to FY21 Forecast	% Change FY22 Preliminary to FY21 Forecast
Communications and Marketing	293,830	136,000	136,000	322,750	186,750	137.3%

FY2022 budget reflects a one-time marketing campaign led by the Metropolitan Transportation Commission to promote Return to Transit, in addition to outreach and public hearings.

Line 41 **Other Office Expense and Services:** \$3.8 million, an increase of \$0.8 million or 27.5% higher than the FY2021 forecast.

This covers license renewal, bank fees, office vehicle maintenance, property taxes, software maintenance, and leases for properties along the Caltrain right of way 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.

Description	FY2020 ACTUAL	FY2021 BUDGET	FY2021 FORECAST	FY2022 PRELIMINARY BUDGET	\$ Change FY22 Preliminary to FY21 Forecast	% Change FY22 Preliminary to FY21 Forecast
Other Office Expense and Services	1,789,476	3,030,572	2,982,254	3,802,614	820,360	27.5%

Built into this estimate are recruitment services and relocation costs, an increase in banking costs due to lower earnings credit rate, the projected use of a line of credit and the restoration of staff training costs that were frozen in FY2021.

Line 44 **Ballot Measure RR Fee:** \$7.0 million estimate.

Description	FY2020 ACTUAL	FY2021 BUDGET	FY2021 FORECAST	FY2022 PRELIMINARY BUDGET	\$ Change FY22 Preliminary to FY21 Forecast	% Change FY22 Preliminary to FY21 Forecast
Measure RR Ballot Costs	-	-	-	7,000,000	7,000,000	100.0%

This one-time \$7.0 million estimate is to cover costs incurred by the counties of San Francisco, San Mateo and Santa Clara to put the Measure RR ballot up for a vote in FY2021 elections.

Line 45 **Governance:** \$2.0 million estimate

Description	FY2020 ACTUAL	FY2021 BUDGET	FY2021 FORECAST	FY2022 PRELIMINARY BUDGET	\$ Change FY22 Preliminary to FY21 Forecast	% Change FY22 Preliminary to FY21 Forecast
Governance	-	-	-	2,000,000	2,000,000	100.0%

This item is a place holder to cover the related costs for the Governance review that includes staff costs, consultant support, legal consultation and specialized financial analysis.

Line 47 **Long Term Debt Expense:** \$2.4 million, no change over the FY2021 forecast.

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.

Description	FY2020 ACTUAL	FY2021 BUDGET	FY2021 FORECAST	FY2022 PRELIMINARY BUDGET	\$ Change FY22 Preliminary to FY21 Forecast	% Change FY22 Preliminary to FY21 Forecast
Long-term Debt Expense	2,635,046	2,381,752	2,381,752	2,381,752	-	0.0%

PRELIMINARY FY2022 CAPITAL BUDGET - \$31,415,438

i. STATE OF GOOD REPAIR (SOGR) - \$12,763,626

BRIDGES - \$2,550,000

1. Guadalupe Bridge - \$2,550,000

Replace the Guadalupe River Bridge in San Jose, damaged by weather and arson. The project will remove the MT1 Guadalupe River Bridge, including piers and abutments, and replace it with a new railroad bridge. The track structure will be reconstructed at the existing alignment and profile. Construction of the new railroad bridge may require protection or relocation of the underground utilities in the right-of-way and/or attached to the existing bridge.

RIGHT OF WAY - \$6,028,626

2. SOGR Track - \$5,228,626

The System Wide Track Rehabilitation Program covers the work required to keep the Caltrain railroad in a state of good repair. The type and scope of work scheduled for each fiscal year is based on the condition of the railroad and on the inspections and the tests performed throughout the year.

3. SOGR Right of Way - \$500,000

The intent of this project is to maintain the ROW in a state of good repair. As the dynamics change surrounding JPB property, the agency needs to adjust as necessary to address issues. In some instances the JPB needs to provide better access for the Contract Operator; in others, the JPB must restrict access to other areas to eliminate continual problems.

4. Right of Way Fencing - \$300,000

The project will continue to install vandal-resistant fencing at key locations along the JPB main line rail corridor to deter trespassing. This work plan is intended to span four years, picking up where the last three-year contract was successfully completed.

SIGNALS & COMMUNICATIONS - \$2,150,000

5. SOGR Communications - \$400,000

This project is part of an annual request to maintain the Caltrain communication systems in a state of good repair. Projects typically repair and replace

communication systems that are beyond their useful life and/or vandalized. Typical scopes of work include, but are not limited to, new Base Stations, new Visual Message Signs, station network cables, repair of microwave dishes, etc.

6. Fiber Optics SOGR - \$550,000

The System Wide Fiber Optics State of Good Repair Project covers the work required to maintain the reliability and consistency of the fiber optics infrastructure. The type and scope of work scheduled for each fiscal year are based on the condition of the system, the inspections and the tests performed throughout the year.

7. Signal SOGR - \$1,200,000

The System Wide Signal State of Good Repair Project covers the work required to maintain the reliability and safety of the signal and crossing systems. The type and scope of work scheduled for each fiscal year are based on the condition of the Signal systems, the inspections and the tests performed throughout the year.

FACILITIES AND INTERMODAL ACCESS - \$2,035,000

8. SOGR Stations - \$200,000

This project is part of an annual request to maintain the Caltrain stations in a state of good repair. Projects typically restore station amenities that are beyond their useful life and/or vandalized. Typical scopes of work include, but are not limited to, new shelters, display cases, benches, garbage cans and new roofs for station buildings.

9. Historic Stations SOGR - \$1,835,000

This project will be part of an annual request for work towards the preservation of the six Caltrain historic stations to keep them in a state of good repair. This project will typically restore station amenities that are beyond their useful life and/or vandalized. Typical scopes of work include, but are not limited to, new restrooms, roofs, windows, lighting, doors, interior and exterior walls made of brick, stone, stucco, wood and other surfaces. HVAC, plumbing and electrical upgrades are included as well.

ii. LEGAL MANDATES AND REQUIRED ENHANCEMENTS - \$5,566,812

10. Rail Program Integration and Transition - \$4,566,812

The objective of this program is to focus on identifying, defining, and implementing the integration of work necessary to support Caltrain's transition to electrified service. As part of the Program Integration, the Rail Activation effort will ensure that each element of the activation work is accomplished in accordance with the following phases: commissioning, acceptance, pre-revenue service, safety certification, and overall Electrified Revenue Service plan and objectives. This program will involve all of the Caltrain Rail Divisions, as well as the District's functional departments from Communications to Information Technology.

11. Hayward Park Remediation - \$1,000,000

This project is to perform removal of contaminated soils from a historical asphalt plant located within the Hayward Park Station parking lot

iii. OPERATIONAL IMPROVEMENTS / ENHANCEMENTS - \$8,650,000

12. PADS Replacement - \$1,000,000

Develop a Request for Proposals with the system requirements and award a contract to implement a new real-time passenger information system at the Central Control Facility (CCF), the Backup Central Control Facility (BCCF) and at the stations.

13. Grade Crossing Improvement Construction - \$1,000,000

This project will be the construction phase of the FY2021 Grade Crossing Improvements Project. The construction will install safety improvements at the selected grade crossings from the design developed in the previous year.

14. Caltrain VoIP - \$500,000

Caltrain requires the design and installation of a Voice over Internet Protocol (VoIP) system that is compatible with the District's existing VoIP system, and provide necessary support for the Peninsula Corridor Electrification Program (PCEP) and PTC projects. PCEP requires VoIP support for traction power houses/substations installed on the ROW to communicate with the dispatcher. PTC requirements are to provide "dual ring" capability, which routes current plain old telephone service (POTS) phone numbers to both CCF and BCCF simultaneously. The design of this system should include the necessary hardware to provide a redundant solution located at Caltrain's two data centers, namely the CCF and the BCCF.

15. TVM Upgrade Phase 5 - \$1,000,000

The objective is to make all the Ticket Vending Machines (TVMs) consistent with the same software and hardware for easier maintenance. The locations of the TVMs will be determined during Phase 4, which will be at the end of CY2021.

16. Caltrain Fiber Connectivity to Caltrain Stations & Digital Voice Base Station - \$600,000

This project will connect the VHF voice backhaul system, which is currently under AT&T service to the Caltrain Fiber Backbone system. There are 12 VHF radio base station sites.

17. Migration to Digital Voice Radio System - \$800,000

This project is part of the continual effort of Caltrain to migrate toward a digital voice radio system. Migrate from the analog voice radio system to a digital voice radio system that will be connected to JPB fiber and off the AT&T leased lines.

18. Next Gen Clipper Validators Site Prep - \$1,500,000

This project will be the construction phase of the station site prep for the next generation Clipper validators that will replace the Clipper CID at all the stations.

19. Enterprise Asset Management (EAM) Software - \$1,750,000

FY22 funds being requested will be used for EAM Request for Proposals (RFP) development and release, evaluation criteria and committee establishment, evaluation of proposals (and possibly software demonstrations), contract negotiations and Board award.

20. CCTV at Stations - \$500,000

This project will design the installation of CCTV cameras at the stations. The number of stations will be determined as part of the design process and meetings with the stakeholders.

iv. PLANNING/STUDIES - \$2,775,000

21. Operations, Access and Customer Interface Planning - \$250,000

Support for various operational planning activities that achieve key near, medium and long-term agency goals including improving service, fleet management, station access, and the customer experience across near-, medium and long-term timeframes.

22. Business Strategy and Policy Development - \$750,000

Policy and business strategy development in areas that help the railroad recover ridership and improve equity in the short-term while preparing the agency to deliver the 2040 Service Vision in the long-term.

23. Electrification Expansion and Integration Preliminary Planning - \$500,000

Planning support will assist with further integration of the PCEP program as well as conceptual development of the next generation of "electrification expansion" investments identified through Caltrain Business Plan work and supported in part by Measure RR.

24. Capital Planning Technical Support - \$275,000

Rail program development support to assist with a variety of capital planning projects (as needed and determined by the Capital Improvement Program development process).

25. Transit-Oriented Development Studies - \$1,000,000

Planning will be conducted for areas around transit-oriented developments (TODs) where the JPB owns property or has property rights in the vicinity of stations. Stations expected to require such services in the short-term include 4th and King, Redwood City as well as Diridon.

v. Capital Contingency Funds - \$1,660,000

26. Capital Contingency Funds - Engineering - \$330,000

This contingency supports unforeseen capital expenditure related to the delivery of capital projects/programs.

27. Capital Contingency Funds - Rail - \$660,000

This contingency supports unforeseen capital expenditure related to rail operations.

28. Capital Program Management - \$335,000

This contingency supports programs and project controls support, including monitoring project performance and delivery.

29. Capital Project Development - \$335,000

This contingency supports planning and engineering study activities.

PENINSULA CORRIDOR JOINT POWERS BOARD
STATEMENT OF REVENUE AND EXPENSE
PRELIMINARY BUDGET
FY2022

	FY2020 ACTUAL	FY2021 BUDGET	FY2021 FORECAST	FY2022 PRELIMINARY BUDGET	FY2022 Preliminary to FY2021 Forecast \$ variance	FY2022 Preliminary to FY2021 Forecast % variance		
	A	B	C	D	E = D - C	F = E / C		
REVENUE								
OPERATIONS:								
1	Farebox Revenue	76,094,433	32,029,149	30,630,341	34,639,000	4,008,659	13.1%	1
2	Parking Revenue	3,659,013	372,718	372,718	1,536,000	1,163,282	312.1%	2
3	Shuttles	1,783,942	2,031,246	1,773,647	1,603,900	(169,747)	-9.6%	3
4	Rental Income	533,563	1,111,804	1,111,804	1,192,466	80,662	7.3%	4
5	Other Income	1,986,300	1,764,000	1,764,000	1,693,608	(70,392)	-4.0%	5
6	TOTAL OPERATING REVENUE	84,057,251	37,308,917	35,652,510	40,664,974	5,012,464	14.1%	6
7								7
8	CONTRIBUTIONS:							
9	AB434 & TA Shuttle Funding	1,333,171	1,737,950	1,737,950	1,119,300	(618,650)	-35.6%	9
10	Operating Grants	6,816,688	12,608,500	12,808,500	6,425,471	(6,383,029)	-49.8%	10
11	JPB Member Agencies	28,035,055	29,009,434	28,809,434	-	(28,809,434)	-100.0%	11
12	Measure RR	-	-	-	82,558,484	82,558,484	100.0%	12
13	CARES Act	23,127,798	41,507,983	41,507,983	-	(41,507,983)	-100.0%	13
14	CRRSAA	-	-	6,936,627	26,960,520	20,023,893	288.7%	14
15	TOTAL CONTRIBUTED REVENUE	59,312,712	84,863,867	91,800,494	117,063,775	25,263,281	27.5%	15
16								16
17	GRAND TOTAL REVENUE	143,369,963	122,172,784	127,453,004	157,728,749	30,275,745	23.8%	17
18								18
19	EXPENSE							
20								20
21	OPERATING EXPENSE:							
22	Rail Operator Service	83,915,012	85,109,942	84,109,942	98,300,000	14,190,058	16.9%	22
23	Positive Train Control	1,669,554	-	-	-	-	0.0%	23
24	Security Services	5,913,164	6,746,908	6,746,908	7,486,512	739,604	11.0%	24
25	Shuttle Service	4,138,714	4,057,249	3,542,715	2,723,200	(819,515)	-23.1%	25
26	Fuel and Lubricants	9,289,638	5,930,523	5,930,523	10,434,846	4,504,323	76.0%	26
27	Timetables and Tickets	145,818	110,000	110,000	110,000	-	0.0%	27
28	Insurance	4,331,946	5,410,000	5,410,000	7,020,000	1,610,000	29.8%	28
29	Claims, Reserves, and Payments	(166,416)	960,000	960,000	820,000	(140,000)	-14.6%	29
30	Facilities and Equipment Maint	2,739,785	4,813,563	3,953,563	7,534,353	3,580,790	90.6%	30
31	Utilities	2,026,493	2,731,385	2,731,385	2,552,600	(178,785)	-6.5%	31
32	Maint & Services-Bldg & Other	1,542,912	1,590,000	1,590,000	1,674,250	84,250	5.3%	32
33	TOTAL OPERATING EXPENSE	115,546,620	117,459,570	115,085,036	138,655,761	23,570,725	20.5%	33
34								34
35	ADMINISTRATIVE EXPENSE							
36	Wages and Benefits	11,673,415	10,930,000	10,826,318	13,012,686	2,186,368	20.2%	36
37	Managing Agency Admin OH Cost	4,406,537	5,139,352	3,553,099	3,470,871	(82,228)	-2.3%	37
38	Board of Directors	24,588	11,025	11,025	48,275	37,250	337.9%	38
39	Professional Services	1,989,266	5,400,000	5,117,000	8,212,820	3,095,820	60.5%	39
40	Communications and Marketing	293,830	136,000	136,000	322,750	186,750	137.3%	40
41	Other Office Expense and Services	1,789,476	3,030,572	2,982,254	3,802,614	820,360	27.5%	41
42	TOTAL ADMINISTRATIVE EXPENSE	20,177,112	24,646,949	22,625,696	28,870,016	6,244,320	27.6%	42
43								43
44	Measure RR Ballot Costs	-	-	-	7,000,000	7,000,000	100.0%	44
45	Governance	-	-	-	2,000,000	2,000,000	100.0%	45
46								46
47	Long-term Debt Expense	2,635,046	2,381,752	2,381,752	2,381,752	-	0.0%	47
48								48
49	GRAND TOTAL EXPENSE	138,358,778	144,488,271	140,092,484	178,907,529	38,815,045	27.7%	49
50								50
51								51
52								52
53								53
54	PROJECTED SURPLUS/(DEFICIT)	5,011,185	(22,315,487)	(12,639,480)	(21,178,780)			54
55	CRRSSA			12,639,480				55
56	Adjustment of PTC Litigation Fees	(5,362,421)						56
57	Use of Reserves		7,000,000					57
58	Line of Credit		15,315,487		21,178,780			58
59	NET SURPLUS / (DEFICIT) - ADJUSTED	(351,236)	-	-	-			59

Item #	PROJECT NAME	PRIOR YEARS APPROVED	Preliminary FY22 CAPITAL BUDGET	Federal Funds	STA SOGR Funds	Measure RR	Preliminary FY22 CAPITAL BUDGET
i. SOGR							
Bridges							
1	Guadalupe River Bridge Replacement	12,400,000	2,550,000	2,040,000	510,000		2,550,000
			2,550,000	2,040,000	510,000	-	2,550,000
Right of Way							
2	SOGR Track	11,220,000	5,228,626	4,182,901	981,021	64,704	5,228,626
3	SOGR Right of Way	-	500,000			500,000	500,000
4	Right of Way Fencing	585,000	300,000			300,000	300,000
			6,028,626	4,182,901	981,021	864,704	6,028,626
Signal & Communications							
5	SOGR Communications	2,000,000	400,000	320,000		80,000	400,000
6	Fiber Optics SOGR	1,000,000	550,000	440,000		110,000	550,000
7	Signal SOGR	-	1,200,000	960,000		240,000	1,200,000
			2,150,000	1,720,000	-	430,000	2,150,000
Rolling Stock							
			-	-	-	-	-
Facilities & Intermodal Access							
8	SOGR Stations	1,500,000	200,000			200,000	200,000
9	Historic Stations SOGR	-	1,835,000			1,835,000	1,835,000
			2,035,000	-	-	2,035,000	2,035,000
	Total SOGR		12,763,626	7,942,901	1,491,021	3,329,704	12,763,626
ii. LEGAL MANDATES AND ELECTRIFIED SERVICE RAIL PROGRAM INTEGRATION							
10	Rail Program Integration and Transition	-	4,566,812			4,566,812	4,566,812
11	Hayward Park Remediation	-	1,000,000			1,000,000	1,000,000
			5,566,812	-	-	5,566,812	5,566,812
iii. OPERATIONAL IMPROVEMENTS/ENHANCEMENTS							
12	PADS Replacement	-	1,000,000			1,000,000	1,000,000
13	Grade Crossing Improvements	500,000	1,000,000			1,000,000	1,000,000
14	Caltrain VoIP	-	500,000			500,000	500,000
15	TVM Upgrade Phase 5	2,795,000	1,000,000	800,000		200,000	1,000,000
16	Caltrain Fiber Connectivity to Caltrain Stations and Digital Voice Base Station	-	600,000			600,000	600,000
17	Migration To Digital Voice Radio System	700,000	800,000	640,000		160,000	800,000
18	Next Gen Clipper Validators Site Prep	2,500,000	1,500,000	1,200,000		300,000	1,500,000
19	Enterprise Asset Management (EAM) Software	750,000	1,750,000			1,750,000	1,750,000
20	CCTV at Stations	-	500,000			500,000	500,000
			8,650,000	2,640,000	-	6,010,000	8,650,000
iv. PLANNING/STUDIES							
21	Operations, Access and Customer Interface Planning	-	250,000			250,000	250,000
22	Business Strategy and Policy	-	750,000			750,000	750,000
23	Electrification Expansion and Integration - Preliminary Planning	-	500,000			500,000	500,000
24	Capital Planning Technical Support	-	275,000			275,000	275,000
25	Transit-oriented Development Studies	-	1,000,000			1,000,000	1,000,000
			2,775,000	-	-	2,775,000	2,775,000
iv. CAPITAL CONTINGENCY FUNDS							
26	Capital Contingency Funds - Engineering	-	330,000			330,000	330,000
27	Capital Contingency Funds - Rail	-	660,000			660,000	660,000
28	Capital Project Development	-	335,000			335,000	335,000
29	Capital Program Management	-	335,000			335,000	335,000
			1,660,000	-	-	1,660,000	1,660,000
	TOTAL		31,415,438	10,582,901	1,491,021	19,341,516	31,415,438