Modernization Program
Peninsula Corridor Electrification Project (PCEP)

March 2018
Monthly Progress Report

March 31, 2018

Funding Partners

Federal Transit Administration (FTA) Core Capacity

FTA Section 5307 (Environmental / Pre Development only)

FTA Section 5307 (Electric Multiple Unit (EMU) only)

Prop 1B (Public Transportation Modernization & Improvement Account)

Caltrain Low Carbon Transit Operations Cap and Trade

Proposition 1A

California High Speed Rail Authority (CHSRA) Cap and Trade

Carl Moyer Fund

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

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

San Mateo County Transportation Authority (SMCTA) Contribution

SMCTA Measure A

Santa Clara Valley Transportation Authority (VTA) Measure A

VTA Contribution

City and County of San Francisco (CCSF) Contribution

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1.0 BACKGROUND

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

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

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

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

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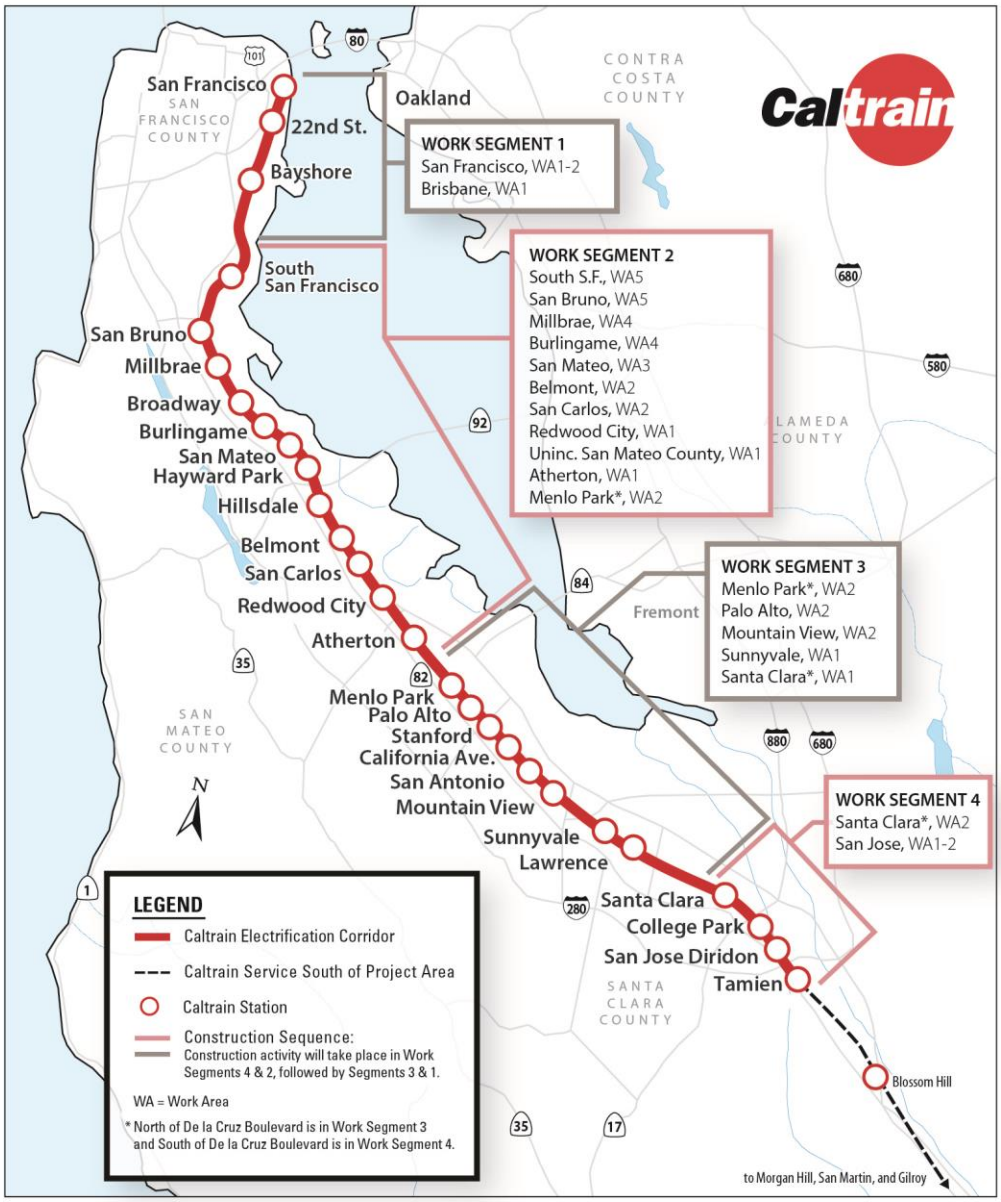
2.0 EXECUTIVE SUMMARY

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 as shown in Figure 2-1. PCEP activities are described and summarized by work segments.

Figure 2-1 PCEP Work Segments



Overhead Contact System (OCS) pole installation has begun with the first poles going up in Segment (S) 2 Work Area (WA) 5. This work is expected to continue into S2WA4 next month. Foundation installation continued in Segment 2 and potholing continued in Segments 2 and 4. Balfour Beatty Infrastructure, Inc. (BBII) submitted the Issued for Construction (IFC) Traction Power Facilities Segment 2 and Traction Power System design drawings for review.

Stadler's Utah EMU manufacturing and assembly facility is scheduled to be ready for the first carshell arrival in August. Final Design Review meetings have been conducted for most EMU systems and the Design Packages are being finalized.

The Issue for Bid (IFB) Package for the Centralized Equipment Maintenance and Operations Facility (CEMOF) modifications is being assembled for release in May.

2.1 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 – Engineering Meeting – Weekly

Purpose: To discuss status, resolution and tracking of BBII and electrification design-related issues, to discuss and monitor the progress of utility relocation compared to schedule, and to discuss third-party coordination activities with Pacific Gas and Electric (PG&E), CHSRA, Union Pacific Rail Road (UPRR), Bay Area Rapid Transit, California State Department of Transportation (Caltrans), Positive Train Control (PTC) and others.

Activity this Month

Funding Partners: CHSRA: Ian Ferrier

Continued discussions on critical UPRR pole changes, resolution of Differing Site Conditions for Segment 4 and 2 installation, the progression of the interconnections design, coordination between the PCEP and PTC projects, the utility relocation status, status of the tunnel contract and bidder questions and answers, updates of the Supervisory Control and Data Acquisition (SCADA) project, progress on Design-Build (DB) contract including design and construction updates, upcoming changes to the contract in preparation for the Change Management Board (CMB), critical Right of Way (ROW) issues, coordination with key third parties on design review and permitting for the project, and critical open items such as contractor Requests for Information (RFI), submittals and letters.

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

March 13 Funding Partners: CHSRA: Ian Ferrier; SFCTA: Luis Zurinaga

PCEP will be initiating a Lessons Learned Program and Alan Brick-Turin will begin to schedule interviews for the week of March 26. Three community meetings will be held this month in San Jose on March 15, San Bruno on March 21 and Millbrae on March 22. The revised SCADA Baseline Schedule has been submitted for review. The electric locomotives proposal has been delayed. The Buy America review in Salt Lake City has been rescheduled for March 19-21. The tunnel modifications pre-bid meeting was held on March 7.

March 27 Funding Partners: SFCTA: Luis Zurinaga

The OCS Pole installations will be starting over the weekend, and the team has moved over to Track 1 potholing after discussions with UPRR. The Jules Francard (Historic Eucalyptus) Grove increased Electrical Safety Zone impacts. The Amtrak proposal for overhaul services of electric locomotive was received Monday, March 26, which details scope and cost. The FRA waiver request pertaining to use of upper level passenger side doors in lieu of exit windows is to go before the FRA Safety Board April 10, and no public comments have been received. BBII is moving forward with design on interconnection options for Traction Power Substation (TPS) 1 and TPS-2. A settlement with Verizon has been reached for relocation of overhead lines. The Buy America review was conducted and preliminary indications are Stadler is meeting the requirements.

Systems Integration Meeting – Bi-Weekly

Purpose: To discuss and resolve issues with inter-system interfaces and to identify and address interface points that have yet to be addressed.

Activity this Month

Funding Partners: CHSRA: Ian Ferrier and Wai-on Siu

Bi-weekly PCEP interface meetings are held to monitor and resolve systems integration issues. The systems integration database is updated as issues are resolved or new items arise. Meetings are held bi-weekly with the electrification contractor to discuss design and construction integration issues. The Traction Power SCADA team also holds bi-weekly status meetings. Coordination with the EMU procurement, SCADA and Caltrain Capital Projects project managers and resident engineers responsible for civil construction associated with the Los Gatos Bridge Project, East 25th Avenue Grade Separation Project and the South San Francisco Station Project is ongoing. Caltrain's CEMOF modification project design is progressing. A draft Rail Activation Plan has been prepared and is undergoing committee review. Progress on activities including systems integration testing activities, FRA, FTA and safety certification are being tracked. Systems integration test plans are being developed.

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: SFCTA: Luis Zurinaga

The monthly meeting in March contained only minor updates. The overall schedule remains unchanged. The forecasted Revenue Service Date (RSD) remains December 2021. The addition of approximately five months of contingency to account for potential risk to the project yields an RSD of April 2022. The program critical path runs through PG&E design and construction to provide permanent power, and concludes with pre-revenue testing. The near-critical path runs through manufacturing and testing of EMU trainsets.

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

No meeting held this month due to absence of agenda items.

See the Risk Management section (Section 11).

Change Management Board (CMB) – Monthly

Purpose: To review, evaluate and authorize proposed changes to PCEP over $200,000.

Activity this Month

Funding Partners: CHSRA: Bruce Armistead and Boris Lipkin; MTC: Trish Stoops and Glen Tepke; SFCTA: Luis Zurinaga; VTA: Krishna Davey

Major topics included: contingency usage, potential changes to the Stadler contract and track access delays, differing site condition field orders updates, potential contract incentives as well as other potential changes as part of the BBII contract.

Potential contract changes will follow the PCEP Change Order Procedure, which is under development. Once approved changes are executed, they will be reported in the Change Management section (Section 9) of this report.

BBII Contract

One change was approved.

Stadler Contract

No changes were identified for consideration.

SCADA Contract

No changes were identified for consideration.

2.2 Schedule

The current Master Program Schedule (MPS) reflects a Revenue Service Date (RSD) of December 2021, without adjustment for contingency. This is consistent with the revised baseline established in November 2017. With the addition of approximately five months of contingency to account for potential risk to the project, the RSD is anticipated as April 2022. Due to FTA contingency requirements, a Full Funding Grant Agreement (FFGA) RSD will also be tracked. This date is forecast as August 22, 2022 and represents the final milestone in the Program Plan.

The program critical path runs through PG&E design and construction to provide permanent power, and concludes with pre-revenue testing. The near-critical path runs through design and manufacturing of EMU trainsets. There is no change to the critical and near-critical paths from the prior reporting month.

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

Table 2-1 Schedule Status

Milestones	Program Plan	Progress Schedule (March 2018)[1]
First Eight Miles of Electrification Complete to Begin Testing	11/21/2019	04/24/2020[2]
Arrival of First Vehicle at JPB	07/29/2019	07/15/2019
PG&E Provides Permanent Power	09/09/2021	09/09/2021
Start Pre-Revenue Testing	09/10/2021	09/10/2021
RSD (w/o Risk Contingency)	12/09/2021	12/09/2021
RSD (w/ Risk Contingency)	04/22/2022	04/22/2022
FFGA RSD	08/22/2022	08/22/2022

Note:

1. Dates may shift slightly as the update of the March Progress Schedule is still in progress.
2. See “Notable Variances” in Section 7 for explanation on date shift.

2.3 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	$ 15,343,801	$ 336,731,358	$ 979,393,849	$ 1,316,125,208
EMU Subtotal	$ 664,127,325	$ 664,127,325	$ 905,863	$ 88,694,844	$ 575,432,480	$ 664,127,325
PCEP TOTAL	$ 1,980,252,533	$ 1,980,252,533	$ 16,249,664	$ 425,426,203	$ 1,554,826,330	$ 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.

2.4 Board Actions

- March
  - None

Future anticipated board actions include:

- April
  - Change order approval requests for FFGA delay costs and budgeted contractor incentives
- May
  - None
- June
  - Award Tunnel Modification construction contract
  - Authority to procure used electric locomotives
- To Be Scheduled
  - Change order authority for change orders paid for by third parties
  - Award Ambassador contract
  - Award Quality Assurance Independent Testing Lab Services contract
  - Award CEMOF construction contract
  - Change order approval requests

2.5 Government and Community Affairs

There were five 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 single track and 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 (SS), and seven paralleling stations (PS). Electrification will be performed using a DB delivery method.

Activity This Month

- OCS foundation installation continued in S2WA5 and S2WA4. The table below summarizes the current progress of foundation installation. Foundation installation will continue in both work areas in next month.
- OCS pole installation began in S2WA5 and will continue next month.
- Potholing at proposed OCS locations continued in Segments 2 and 4 in advance of foundation installation. BBII also continued to remove obstructions found during the potholing process, such as loose concrete, asphalt, and other debris.
- Relocation of signal cables found in conflict with planned OCS foundations continues as conflicts are identified.
- Continued progression of the OCS design with BBII in Segments 2 and 4. Received S2WA3 Foundation and Pole Layouts IFC submittal.
- Continued design review coordination with local jurisdictions for the OCS design in Segments 2 and 4, including responses to comments from jurisdictions.
- Continued to review and coordinate signal and communication design submittals with BBII.
- Received BBII's 95% Systemwide Bonding and Grounding Design.
- Continued development of 95% Communications Systemwide Design.
- Received BBII's IFC Traction Power Facilities Segment 2 for review.
- Received BBII's IFC Traction Power System Design Drawings for review.
- Continued coordination efforts with PG&E for infrastructure improvements, TPS interconnects and new service drop locations. The PCEP team continues to work with PG&E for the finalization of protection scheme studies. In February the Executive Director was authorized to execute PG&E Supplemental Agreement #4 for construction of PG&E substation improvements. PG&E and the Peninsula Corridor Joint Powers Board (JPB) are negotiating the terms of the agreement, with a target completion in April.
- The PCEP team and BBII continue to work through Site Specific Work Plans (SSWP) for upcoming field work.

- Continued tree pruning and removals.

Activity Next Month

- Continue installation of OCS foundations in S2WA5 and S2WA4.
- Continue pole installation in S2WA5.
- 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 infrastructures such as overhead bridge protections.
- Continue potholing and clearing of obstructions at proposed OCS locations. Potholing will continue with a focus on Segment 2 and 4 for foundation installation.
- Perform cultural investigations in advance of OCS installation.
- Continue coordination with UPRR on signal and OCS design.
- Continue coordination with the FRA on the constant warning solution.
- Continue review of BBII work plans for upcoming construction activities.
- Coordinate with PG&E on interconnection design and final design for PG&E infrastructure.
- Continue design reviews and coordination with local jurisdictions.
- Continue tree pruning and removals.

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

Table 3-1 Work Progress by Segment

Segment	Work Area	Foundations		Poles	
		Required[1]	Completed	Required	Completed
2	5	256	172	210	29
	4	366	84	294	0
TOTAL	**11**	**622**	**256**	**501**	**29**

Note:

1. Foundations needed do not match poles needed as guy foundations are needed in some locations for extra support of the poles.

3.2 Supervisory Control and Data Acquisition

SCADA is a system that monitors and controls field devices for electrification, including substations, PSs and the OCS. SCADA will be integrated with the base operating system for Caltrain Operations and Control, which is the Rail Operations Center System.

Activity This Month

- Reviewed technical submittals.
- Responded to Requests for Information.
- ARINC issued Baseline Schedule Revision 8 for JPB review and approval.
- Preliminary Design Review comments issued. ARINC working on revised version of submittals and will respond by the end of March.
- ARINC continues work on SCADA points list and database.
- Held bi-weekly meetings to advance design of SCADA.

Activity Next Month

- Continue bi-weekly technical meetings to advance SCADA design.
- Continue review of Preliminary Design.

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 Rehab Project. The Drainage Rehab Project is funded separately from PCEP. Construction will occur concurrently with the Electrification DB contractor's efforts in Segment 1.

Activity This Month

- The project team answered bidders' inquiries and issued contract addendums.

Activity Next Month

- Continue response to bidder questions and preparation of necessary addendums.
- Open bids May 11.

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4.0 ELECTRIC MULTIPLE UNITS

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

4.1 Electric Multiple Units

The EMU procurement component of the PCEP consists of the purchase of 96 Stadler EMUs. The EMUs will consist of both cab and non-cab units configured as 16 six-car fixed trainsets. Power will be obtained from the OCS via roof-mounted pantographs, which will power the electric traction motors. The EMUs will replace a portion of the existing diesel locomotives and passenger cars currently in use by Caltrain.

Activity This Month

- Final Design packages for EMU systems are being submitted for review. Most systems have had their Final Design Review meetings conducted and the Design Packages are being finalized.
- Stadler has been directed by Caltrain to engage Wabtec as the Interoperable Electronic Train Management System (I-ETMS) supplier for carborne PTC equipment.
- EMU design coordination discussions continue with representatives from Caltrain Operations and Maintenance, Caltrain Public Outreach, the FRA, the FTA Project Management Oversight Contractor (PMOC), Safety and Quality Assurance personnel, and PCEP Program Scheduling.
- The PCEP team continues to address systemwide interface issues involving the emerging EMU design and the existing wayside infrastructure.
- Carshell fabrication continues at the Stadler Altenrhein facility.

Activity Next Month

- Complete Final Design Reviews for those systems not heavily dependent on software development (e.g., Monitor and Diagnostic System and Train Control).
- Progress technical and commercial discussions related to Stadler implementing a Wabtec I-ETMS carborne system.
- First carshell will commence painting process.
- Continue to work with the FRA on EMU compliance issues.

4.2 Centralized Equipment Maintenance and Operations Facility Modifications

The CEMOF Upgrade project will provide work areas for performing maintenance on the new EMUs.

Activity This Month

- Assembling final design package for release of IFB.

Activity Next Month

- Release IFB to prospective bidders.

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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

- Held the monthly project DB Safety and Security Certification meeting, the Fire/Life Safety Committee meeting, and the EMU Safety and Security Certification meeting.
- Project staff participated in the BBII monthly "All Hands" contractor workforce meetings. Safety communication with project stakeholders remains a priority to discuss project related hazards and mitigation initiatives.
- Continued to provide input and oversight of the contractor SSWP safety provisions and ongoing safety construction oversight and inspections.
- Developed shunting procedure for use by the contractor and subs when travelling through Grade Crossings while en route to the work site.
- Conducted field inspections of pending work site location (TPS-2) in preparation of scheduled activities with contractor and Transit Police to support worksite security requirements.
- Provided inspection of new Drill Tech and NorCal equipment to be used on the ROW prior to being placed into service.
- Developed safe work practices guidelines for working in the Burlingame North and South yards to enable the contractor to work while a train passes on the adjacent track.
- Participated in weekly project coordination meetings with the contractor to review open issues and recommended action items.

Activity Next Month

- Monthly safety communication meetings continue to be scheduled for the Project Safety and Security Certification Committee, Fire/Life Safety Committee, and other project-related contractor and JPB safety meetings to discuss safety priorities.
- Continue to actively participate and present safety topics at the BBII "All Hands" monthly safety meetings.
- Continue focus on performing site safety inspections on the OCS foundation, pole installations and potholing field work to assess safety work practices and identify additional opportunities for improvement.
- Performing a Hazards Analysis on the electrification of CEMOF shop to ensure safety while performing maintenance on the EMUs.

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6.0 QUALITY ASSURANCE

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

Activity This Month

- Staff meetings with BBII QA/Quality Control (QC) management representatives continue weekly.
- Continued review and approval of Design Variance Requests for BBII and PGH Wong for QA/QC and inspection issues/concerns.
- Continued review of BBII QC Inspectors Daily Reports for work scope, performance of required duties, adequacy, non-conformances, test/inspection results, follow-up to unresolved issues, and preciseness.
- Continued review of BBII Material Receipt Reports to ensure delivered project materials conform to specifications, and that contractually required quality and test support documents are adequate and reflect concise conditions per the purchase order requirements.
- Regularly scheduled design reviews and surveillances began on project design packages and will continue through the summer of 2018.
- Two design package audits were conducted: PGH Wong on the IFC package for Traction Power Facilities, and PGH Wong/F. W. Associates on the IFC package for Signal Systems.
- A Material Control audit was conducted of BBII's SSF Warehouse and yielded three findings, which are still open.
- Two NCRs were issued against the BBII supplier of OCS Poles, Structural Steel Products, for rejected welds and inadequate Magnetic Particle and Ultrasonic Test reports. The subject poles were repaired, the reports corrected and the NCRs are closed.

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	3	55
Audit Findings		
Audit Findings Issued	3	43
Audit Findings Open	5	7
Audit Findings Closed	0	36
Non-Conformances		
Non-Conformances Issued	2	7
Non-Conformances Open	0	2
Non-Conformances Closed	0	5

Activity Next Month

- Three audits are planned and scheduled, two design packages and a procedural Stadler Design Control.

7.0 SCHEDULE

The current Master Program Schedule (MPS) reflects a Revenue Service Date (RSD) of December 2021, without adjustment for contingency. This is consistent with the revised baseline established in November 2017. With the addition of approximately five months of contingency to account for potential risk to the project, the RSD is anticipated as April 2022. Due to FTA contingency requirements, an FFGA RSD will also be tracked. This date is forecast as August 22, 2022 and represents the final milestone in the Program Plan.

The program critical path runs through PG&E design and construction to provide permanent power, and concludes with pre-revenue testing. The near-critical path runs through manufacturing and testing of EMU trainsets. There is no change to the critical and near-critical paths from the prior reporting month.

Shown below, Table 7-1 indicates major milestone dates for the MPS. Items listed in Table 7-2 reflect the critical path activities/milestones for the PCEP. Table 7-3 lists near-critical activities on the horizon.

Notable Variances

BBII is currently reporting an overall delay to substantial completion, including the intermediate milestone of Segment 4/Test Track (first eight miles of electrification) completion. This delay is being evaluated by the BBII and JPB and does not constitute a schedule extension at this time.

Table 7-1 Schedule Status

Milestones	Program Plan	Progress Schedule (March 2018)[1]
First Eight Miles of Electrification Complete to Begin Testing	11/21/2019	04/24/2020[2]
Arrival of First Vehicle at JPB	07/29/2019	07/15/2019
PG&E Provides Permanent Power	09/09/2021	09/09/2021
Start Pre-Revenue Testing	09/10/2021	09/10/2021
RSD (w/o Risk Contingency)	12/09/2021	12/09/2021
RSD (w/ Risk Contingency)	04/22/2022	04/22/2022
FFGA RSD	08/22/2022	08/22/2022

Note:

1. Dates may shift slightly as the update of the March Progress Schedule is still in progress.
2. See “Notable Variances” above for explanation on date shift.

Table 7-2 Critical Path Summary

Activity	Start	Finish
PG&E Final Design and Construction to provide Permanent Power	April 2016	09/09/2021
Pre-Revenue Testing	09/10/2021	12/09/2021
RSD w/out Risk Contingency[1]	12/09/2021	12/09/2021
RSD w/ Risk Contingency[1]	04/22/2022	04/22/2022

Note:
1. Milestone activity.

Table 7-3 Near-Term, Near-Critical with Less Than Three Months of Float

Work Breakdown Structure	Activity	Responsibility
Vehicles	EMU Manufacturing and Testing	Project Delivery

8.0 BUDGET AND EXPENDITURES

The summary of overall budget and expenditure status for the PCEP is shown in the following tables. Table 8-1 reflects the Electrification budget, Table 8-2 reflects the EMU budget, and Table 8-3 reflects the overall project budget.

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]	$ 96,610,558	$ 695,955,996	$ 8,094,175	$ 203,406,652	$ 492,549,343	$ 695,955,996
SCADA	$ -	$ 3,446,917	$ 1,378,767	$ 1,378,767	$ 2,068,150	$ 3,446,917
Tunnel Modifications	$ 11,029,649	$ 11,029,649	$ -	$ -	$ 11,029,649	$ 11,029,649
Real Estate	$ 28,503,369	$ 28,503,369	$ 719,163	$ 13,385,710	$ 15,117,659	$ 28,503,369
Private Utilities	$ 63,515,298	$ 94,778,380	$ 2,593,850	$ 21,209,065	$ 73,569,315	$ 94,778,380
Management Oversight [5] [6]	$ 41,506,257	$ 141,526,164	$ 1,290,707	$ 83,690,706	$ 57,835,458	$ 141,526,164
Executive Management	$ 7,452,866	$ 7,452,866	$ 86,903	$ 4,228,056	$ 3,224,811	$ 7,452,866
Planning	$ 7,281,997	$ 7,281,997	$ 38,086	$ 5,303,630	$ 1,978,367	$ 7,281,997
Community Relations	$ 2,789,663	$ 2,789,663	$ 6,416	$ 1,216,912	$ 1,572,751	$ 2,789,663
Safety & Security	$ 2,421,783	$ 2,421,783	$ 71,000	$ 1,230,669	$ 1,191,114	$ 2,421,783
Project Management Services	$ 19,807,994	$ 19,807,994	$ 118,479	$ 9,252,384	$ 10,555,610	$ 19,807,994
Engineering & Construction	$ 11,805,793	$ 11,805,793	$ 91,242	$ 3,621,749	$ 8,184,045	$ 11,805,793
Electrification Eng & Mgmt [7]	$ 50,461,707	$ 50,461,707	$ 584,944	$ 25,094,885	$ 25,366,822	$ 50,461,707
IT Support	$ 312,080	$ 331,987	$ -	$ 331,987	$ 0	$ 331,987
Operations Support	$ 1,445,867	$ 1,445,867	$ 10,048	$ 623,532	$ 822,335	$ 1,445,867
General Support	$ 4,166,577	$ 4,166,577	$ 92,813	$ 2,578,810	$ 1,587,767	$ 4,166,577
Budget / Grants / Finance	$ 1,229,345	$ 1,229,345	$ 14,796	$ 724,518	$ 504,827	$ 1,229,345
Legal	$ 2,445,646	$ 2,445,646	$ 103,052	$ 2,654,224	$ (208,577)	$ 2,445,646
Other Direct Costs	$ 5,177,060	$ 5,177,060	$ 72,928	$ 2,495,993	$ 2,681,067	$ 5,177,060
Prior Costs 2002 - 2013	$ 24,707,878	$ 24,707,878	$ -	$ 24,333,358	$ 374,520	$ 24,707,878
TASI Support	$ 55,275,084	$ 55,275,084	$ 1,077,525	$ 8,220,934	$ 47,054,150	$ 55,275,084
Insurance	$ 3,500,000	$ 4,305,769	$ -	$ 2,555,769	$ 1,750,000	$ 4,305,769
Environmental Mitigations	$ 15,798,320	$ 14,972,644	$ -	$ 712,000	$ 14,260,644	$ 14,972,644
Required Projects	$ 17,337,378	$ 17,337,378	$ -	$ 379,915	$ 16,957,463	$ 17,337,378
Maintenance Training	$ 1,021,808	$ 1,021,808	$ -	$ -	$ 1,021,808	$ 1,021,808
Finance Charges	$ 5,056,838	$ 5,056,838	$ 189,614	$ 1,791,841	$ 3,264,997	$ 5,056,838
Contingency	$ 276,970,649	$ 242,915,213	$ -	$ -	$ 202,906,222	$ 202,906,222
Forecasted Costs and Changes	$ -	$ -	$ -	$ -	$ 40,008,991	$ 40,008,991
ELECTRIFICATION SUBTOTAL	**$ 1,316,125,208**	**$ 1,316,125,208**	**$ 15,343,801**	**$ 336,731,358**	**$ 979,393,849**	**$ 1,316,125,208**

Notes regarding tables above:

1. "Current Budget" includes executed change orders and awarded contracts.
2. Column C "Cost This Month" represents the cost of work performed this month.
3. Column D "Cost To Date" includes actuals (amount paid) and accruals (amount of work performed) to date.
4. Cost To Date for "Electrification" includes 5% for Contractor's retention until authorization of retention release.
5. The agency labor is actual through February 2018 and accrued for March 2018.
6. Cost this month for Management Oversight includes adjustments for decreases in agency labor ICAP against prior periods resulting in a reduction of $142K.
7. Cost this month is adjusted to report March 2018 accrual estimates and includes an offset for inaccurate accruals in the January and February 2018 periods.

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	$ 550,899,459	$ 552,449,119	$ -	$ 61,140,941	$ 491,308,178	$ 552,449,119
CEMOF Modifications	$ 1,344,000	$ 1,344,000	$ -	$ -	$ 1,344,000	$ 1,344,000
Management Oversight [4] [5]	$ 64,139,103	$ 64,139,103	$ 789,648	$ 26,467,473	$ 37,671,631	$ 64,139,103
Executive Management	$ 5,022,302	$ 5,022,302	$ 70,357	$ 2,673,965	$ 2,348,337	$ 5,022,302
Community Relations	$ 1,685,614	$ 1,685,614	$ 4,624	$ 413,994	$ 1,271,620	$ 1,685,614
Safety & Security	$ 556,067	$ 556,067	$ 9,049	$ 322,591	$ 233,476	$ 556,067
Project Mgmt Services	$ 13,275,280	$ 13,275,280	$ 72,606	$ 6,088,672	$ 7,186,609	$ 13,275,280
Eng & Construction	$ 89,113	$ 89,113	$ -	$ 23,817	$ 65,296	$ 89,113
EMU Eng & Mgmt	$ 32,082,556	$ 32,082,556	$ 506,809	$ 12,238,959	$ 19,843,597	$ 32,082,556
IT Support	$ 1,027,272	$ 1,027,272	$ 14,381	$ 391,478	$ 635,794	$ 1,027,272
Operations Support	$ 1,878,589	$ 1,878,589	$ -	$ 277,200	$ 1,601,388	$ 1,878,589
General Support	$ 2,599,547	$ 2,599,547	$ 33,137	$ 1,116,995	$ 1,482,552	$ 2,599,547
Budget / Grants / Finance	$ 712,123	$ 712,123	$ 10,733	$ 413,739	$ 298,385	$ 712,123
Legal	$ 1,207,500	$ 1,207,500	$ 29,079	$ 975,025	$ 232,475	$ 1,207,500
Other Direct Costs	$ 4,003,139	$ 4,003,139	$ 38,873	$ 1,531,038	$ 2,472,101	$ 4,003,139
TASI Support	$ 2,740,000	$ 2,740,000	$ -	$ -	$ 2,740,000	$ 2,740,000
Required Projects	$ 4,500,000	$ 4,500,000	$ -	$ -	$ 4,500,000	$ 4,500,000
Finance Charges	$ 1,941,800	$ 1,941,800	$ 116,215	$ 1,086,431	$ 855,369	$ 1,941,800
Contingency	$ 38,562,962	$ 37,013,302	$ -	$ -	$ 38,898,352	$ 38,898,352
Forecasted Costs and Changes	$ -	$ -	$ -	$ -	$ (1,885,050)	$ (1,885,050)
EMU SUBTOTAL	**$ 664,127,325**	**$ 664,127,325**	**$ 905,863**	**$ 88,694,844**	**$ 575,432,480**	**$ 664,127,325**

Notes regarding tables above:

1. "Current Budget" includes executed change orders and awarded contracts.
2. Column C "Cost This Month" represents the cost of work performed this month.
3. Column D "Cost To Date" includes actuals (amount paid) and accruals (amount of work performed) to date.
4. The agency labor is actual through February 2018 and accrued for March 2018.
5. Cost this month for Management Oversight includes adjustments for decreases in agency labor ICAP against prior periods resulting in a reduction of $50K.

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**	**$ 15,343,801**	**$ 336,731,358**	**$ 979,393,849**	**$ 1,316,125,208**
EMU Subtotal	**$ 664,127,325**	**$ 664,127,325**	**$ 905,863**	**$ 88,694,844**	**$ 575,432,480**	**$ 664,127,325**
PCEP TOTAL	**$ 1,980,252,533**	**$ 1,980,252,533**	**$ 16,249,664**	**$ 425,426,203**	**$ 1,554,826,330**	**$ 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.

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 three PCEP contracts are BBII, Stadler, and SCADA. Future PCEP contracts such as CEMOF Modifications and the Tunnel Notching will also follow the change management process.

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
	None		
		Total	

EMU Contract

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

Date	Change Number	Description	CCO Amount
	None		
		Total	

SCADA Contract

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

Date	Change Number	Description	CCO Amount
	None		
		Total	

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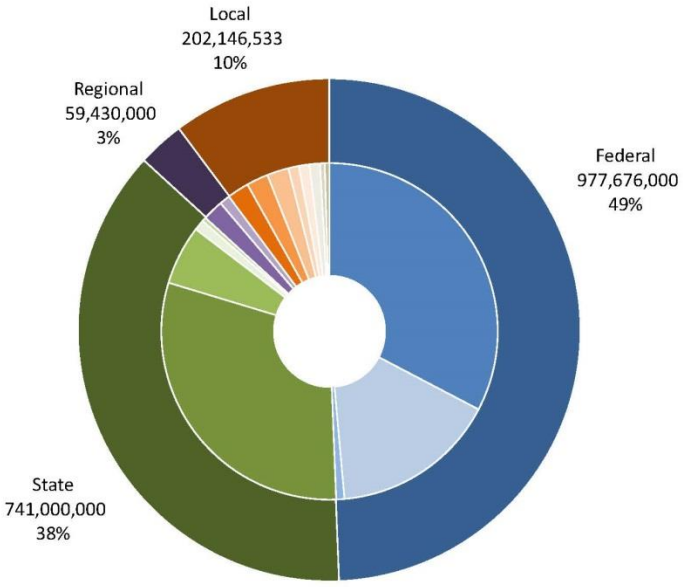
10.0 FUNDING

Figure 10-1 depicts a summary of the funding plan for the PCEP. It provides a breakdown of the funding partners as well as the allocated funds. As previously noted, the JPB received approval of the FFGA from the FTA in May 2017. The Agreement provides the project with a commitment of $647 million in federal funding. To date, $172.9 million has been made available to the project by the FTA. The JPB received $31 million in FTA section 5307 formula funding in January, which is part of MTC's commitment of $315 million as noted in the figure below.

Figure 10-1 Funding Plan



Fund Source	Amount	%
FTA Core Capacity	$647,000,000	32.67%
FTA Section 5307 (EMU only)*	$315,000,000	15.91%
FTA Section 5307 (Environmental / Pre Development only)	$15,676,000	0.79%
Prop 1A	$600,000,000	30.30%
High Speed Rail Cap and Trade	$113,000,000	5.71%
Transit & Intercity Rail Capital Program	$20,000,000	1.01%
Prop 1B (Public Transportation Modernization & Improvement Account)	$8,000,000	0.40%
Bridge Toll Funds (RM1/RM2)	$39,430,000	1.99%
Carl Moyer	$20,000,000	1.01%
SFCTA/SFMTA**	$41,382,178	2.09%
SMCTA Measure A	$41,382,178	2.09%
VTA Measure A	$41,382,177	2.09%
Santa Clara (VTA) 7-Party MOU Contribution	$20,000,000	1.01%
San Francisco 7-Party MOU Contribution	$20,000,000	1.01%
San Mateo (SMCTA) 7-Party MOU Contribution	$20,000,000	1.01%
Caltrain Low Carbon Transit Operations Cap and Trade	$9,000,000	0.45%
Prior Local Contribution	$9,000,000	0.45%
Total	**$1,980,252,533**	

Notes:

*Includes necessary fund transfer with SMCTA

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

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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):

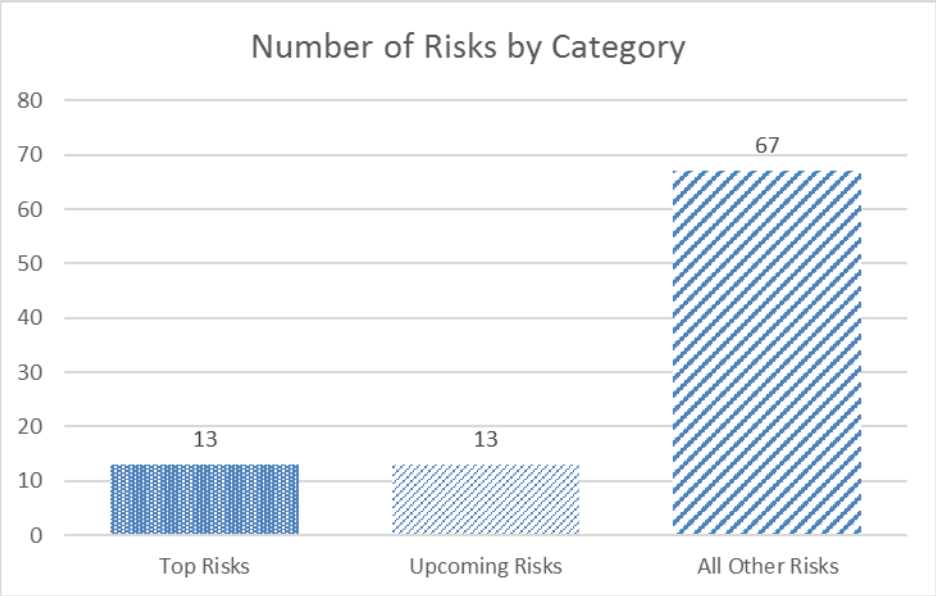
- BBII may be unable to develop grade crossing modifications that meet regulatory requirements prior to scheduled testing and commissioning of the system.
- A complex and diverse collection of major program elements and current Caltrain capital works projects may not be successfully integrated with existing operations and infrastructure.
- JPB may not be able to deliver work windows to contractor as dictated per contract.
- Additional work in the form of signal/pole adjustments may be required to remedy sight distance impediments arising from modifications to original design.
- Design changes may necessitate additional implementation of environmental mitigations not previously budgeted.
- Cost and schedule of Stadler contract could increase as a result of this change in PTC system.
- Cost and schedule of BBII contract could increase as a result of this change in PTC system.
- 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.
- 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.
- BBII may be unable to get permits required by jurisdictions for construction in a timely manner.
- UPRR does not accept catenary pole offsets from centerline of track necessitating further negotiation or relocation of poles.

Activity This Month

- Updates were made to 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.
- Risk retirement dates were updated 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.
- The Risk Management team attended Project Delivery and Systems Integration meetings to monitor developments associated with risks and to identify new risks.

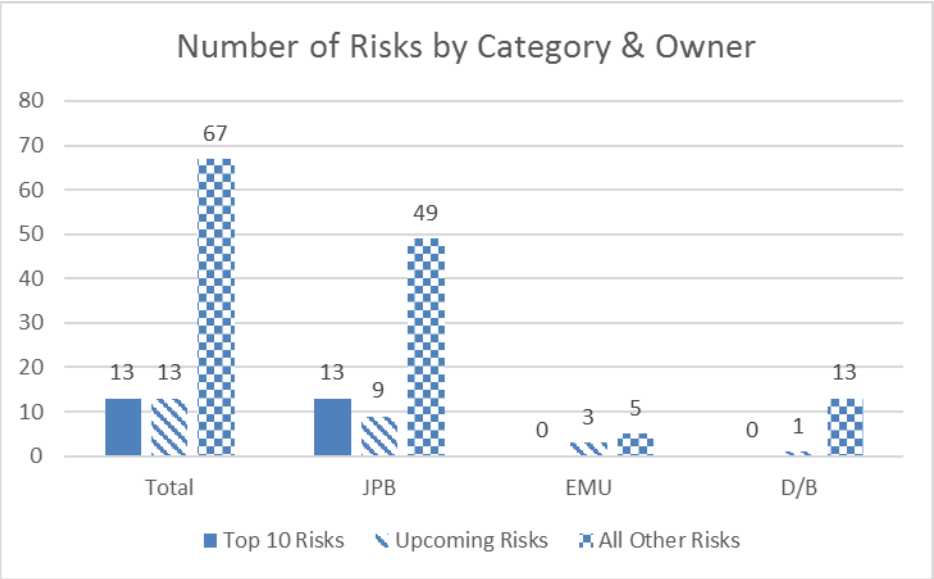
Tables 11-1 and 11-2 show the risks identified for the program. Risks are categorized as top risk, upcoming risk, and all other risks. The categories are based on a rating scale composed of schedule and cost factors. Top risks are considered to have a significantly higher than average risk grade. Upcoming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

Table 11-1 Monthly Status of Risks



Total Number of Active Risks = 93

Table 11-2 Risk Classification



Total Number of Active Risks = 93

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.
- Continue reviewing risks on project risk register with Systems Integration database.

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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

- The *Drainage and Stormwater Plan for Traction Power Facilities in Construction Segments 2 and 4* is under review by the SFWQCB in accordance with the permit requirements

Activity Next Month

- Respond to comments or questions from SFWQCB and obtain approval on the *Drainage and Stormwater Plan for Traction Power Facilities in Construction Segments 2 and 4*.

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 (EIR) 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, OCS pole setting, potholing for utility location, ductbank installation, tree trimming/removal, staging area development, etc.) occurring in areas that required monitoring. The monitoring was conducted in accordance with measures in the MMRP in an effort to minimize potential impacts on sensitive environmental resources.
- Tree trimming and removal in Segment 3.
- Noise and vibration monitoring also occurred during project activities, and non-hazardous soil was removed from the ROW.
- Pre-construction surveys for sensitive wildlife ahead of project activities occurred to help ensure no special-status species were impacted during project activities.
- Pre-construction nesting bird surveys during the nesting bird season continued (nesting bird season is defined as February 1 through August 31).

- Environmentally Sensitive Area (ESA) staking and/or fencing occurred to delineate jurisdictional waterways and other potentially sensitive areas that should be avoided during upcoming construction activities, and wildlife exclusion fencing installation and monitoring occurred adjacent to portions of the alignment designated for wildlife exclusion fencing.
- Protocol-level surveys for a sensitive avian species continued at previously identified potential habitat locations.
- Silt fencing installation occurred at equipment staging areas and the TPS-2 site in accordance with the project-specific Stormwater Pollution Prevention Plan.
- Archaeological exploratory trenching occurred prior to construction activities within and adjacent to culturally sensitive areas.

Activity Next Month

- Environmental compliance monitors will continue to monitor project activities occurring in areas that require monitoring in an effort to minimize potential impacts on sensitive environmental resources in accordance with the MMRP.
- Noise and vibration monitoring of project activities will continue to occur and non-hazardous soil will continue to be removed.
- Tree trimming and removal will continue in Segment 3 and biological surveyors will continue to conduct pre-construction surveys for sensitive wildlife species ahead of project activities.
- Silt fencing installation will continue.
- ESA staking will continue to occur to delineate jurisdictional waterways and other potentially sensitive areas that should be avoided during upcoming project activities.
- Wildlife exclusion fencing will continue to be installed prior to upcoming construction activities adjacent to potentially suitable habitat for sensitive wildlife species.
- Biological surveyors will continue surveys for nesting birds ahead of project activities occurring during the nesting bird season (February 1 through August 31) and biological survey teams will continue to conduct protocol-level surveys for sensitive avian species.
- Archaeological exploratory trenching will continue to occur prior to construction activities within culturally sensitive areas.

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

- Work continued with all utilities on review of overhead utility line relocations based on the current design.
- Continued individual coordination with utility companies on relocation plans and schedule for incorporation with project master schedule.
- Continued to work on relocation design review for PG&E and coordinate with PG&E on permitting and work planning.
- Reached agreement with Verizon on the relocation of overhead fiber. Relocation for the corridor is scheduled to be completed by the end of 2018.
- Continued PG&E relocations in S2WA4.

Activity Next Month

- Continue to coordinate with 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 review of relocation design from PG&E and coordinate with PG&E on permitting and work planning for relocations.
- Conduct monthly utility meeting with utility owners.
- Continue PG&E relocations in S2WA4 and Segment 4.

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14.0 REAL ESTATE

The PCEP requires the acquisition of a limited amount of real estate. In general, Caltrain uses existing ROWs 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 (easements). There are two larger full acquisition areas required for wayside facilitates. 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.

Activity This Month

- An alternate location for PS-2 is being internally finalized.
- There are three active eminent domain actions in Segment 2, with other property owners either settling or in active negotiations to settle.
- Six offers were made in Segment 3, with three owners agreeing to sell.
- Staff obtained permit from PG&E for potholing and surveying so design can be finalized.
- UPRR is drafting a Purchase and Sale Agreement for the PS-7 site.

Activity Next Month

- Negotiations for all outstanding offers will continue.
- The remaining appraisals in Segments 1 and 3 will be completed.
- Staff will continue to work with PG&E and Central Concrete.
- Staff will continue to work with San Francisco Public Utilities Commission regarding two new parcels.
- Maps and appraisals for new parcels to be developed as they arise.
- Staff will send the appraisal for the SamTrans site to FTA for review.
- Staff will send two administrative settlements for Segment 3 parcels to FTA for approval.

Table 14-1 below provides a brief summary of the Real Estate acquisition overview for the project.

Table 14-1 Real Estate Acquisition Overview

Segment	No. of Parcels Needed*	No. of Appraisals Completed	Offers Presented	Offers Accepted	Acquisition Status		
					Escrow Closed	Eminent Domain Action Filed	Parcel Possession
Segment 1	8	2	0	0	0	0	0
Segment 2	27	26	25	22	20	3	20
Segment 3	10	9	8	5	0	0	1
Segment 4	9	9	8**	1	0	1	0
Additional Parcels*	3	0	0	0	0	0	0
Total	**57**	**46**	**41**	**28**	**20**	**4**	**21**

Note:
During design development, the real estate requirements may adjust to accommodate design refinements. Parcel requirements will adjust accordingly. The table in this report reflects the current property needs for the Project.
*Parcels being tracked but areas are not finalized.
**PG&E covers 4 parcels.

15.0 THIRD PARTY AGREEMENTS

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

Table 15-1 Third-Party Agreement Status

Type	Agreement	Third-Party	Status
Governmental Jurisdictions	Construction & Maintenance[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
		City of Atherton	In Process
		County of San Mateo	Executed
		City of Menlo Park	Executed
		City of Palo Alto	In Process
		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[2]
	Operating Rules	CPUC	Executed
Transportation & Railroad	Construction & Maintenance	Bay Area Rapid Transit	Executed[3]
	Construction & Maintenance	California Dept. of Transportation (Caltrans)	Not needed[4]
	Trackage Rights	UPRR	Executed[3]

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. The Master Agreement and Supplemental Agreements 1, 2, 3, 4 and 5 have been executed.
3. Utilizing existing agreements.
4. Caltrans Peer Process utilized. Formal agreement not needed.

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16.0 GOVERNMENT AND COMMUNITY AFFAIRS

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

Presentations/Meetings

- Millbrae Community Meeting
- San Bruno Community Meeting
- San Jose Public Meeting
- San Jose (South) Community Meeting
- JPB Bicycle Advisory Committee Meeting

Third Party/Stakeholder Actions

None

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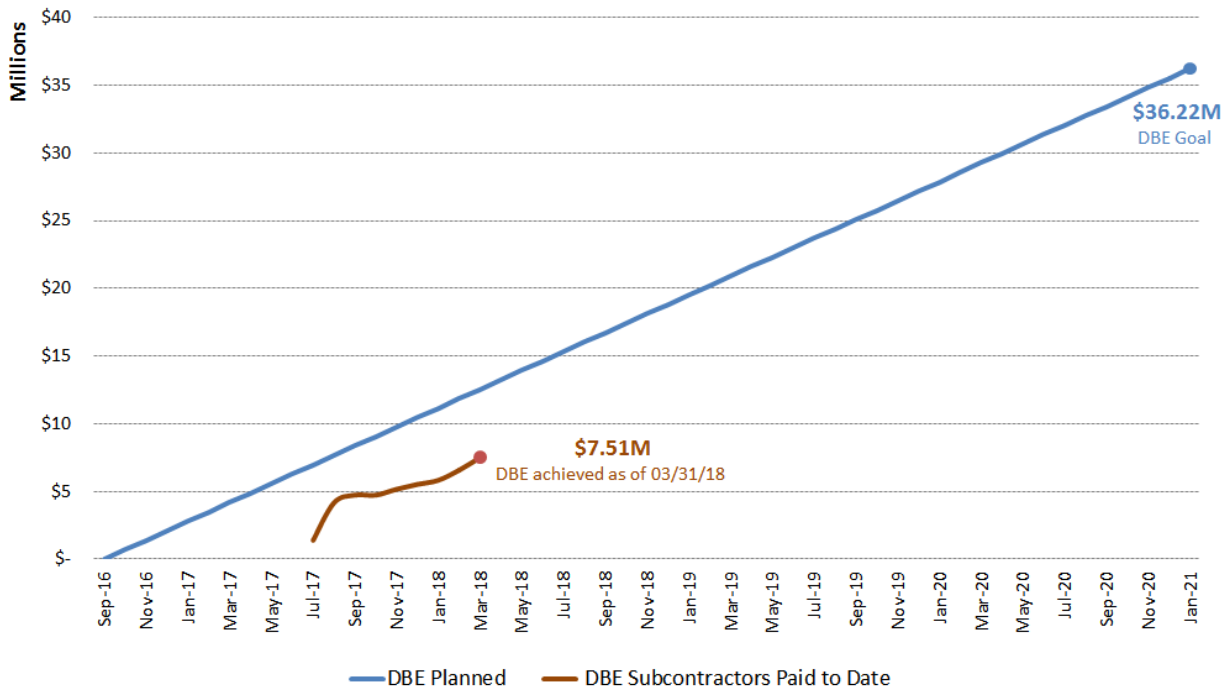
17.0 DISADVANTAGED BUSINESS ENTERPRISE (DBE) PARTICIPATION AND LABOR STATISTICS

BBII proposed that 5.2% of the total DB contract value (**$36,223,749**) would be subcontracted to DBEs. As expressed in Figure 17-1 below, to date:

- **$7,508,058** has been paid to DBE subcontractors.

Figure 17-1 DBE Participation



In order to reach the 5.2% DBE participation goal, BBII has proposed the following key actions:

"In the month of April 2018, we anticipate increasing our DBE commitments to firms who we are currently negotiating pricing on proposed work or Professional Services Agreements. Also we are anticipating award of an additional contract to a DBE firm in the area of Traffic Control services."

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18.0 PROCUREMENT

Invitation for Bid (IFB)/Request for Qualifications (RFQ)/ Request for Proposals (RFP) Issued this Month:

- None

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

- Proposal for 18-J-S-066 – Overhaul Services of Electric Locomotive for PCEP – From Amtrak (March 26, 2018)

Contract Awards this Month:

- None

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

- Multiple WDs & POs issued to support the program needs

In Process IFB/RFQ/RFP/Contract Amendments:

- RFP – 17-J-S-070 – On-Call Construction Testing & Inspection Services
- RFP – 18-J-P-0XX – On-Call Construction Management Services for PCEP
- IFB – 18-J-C-071 – CEMOF Facility Upgrades for EMUs

Upcoming Contract Awards:

- RFP – 18-J-S-066 – Overhaul Services of Electric Locomotive for PCEP – Amtrak
- Memorandum of Understanding and Contract – 18-J-P-065 – Purchase of Electric Locomotives – Mitsui

Upcoming IFB/RFQ/RFP to be Issued:

- RFP – 17-J-S-070 – On-Call Construction Testing & Inspection Services
- IFB – 18-J-C-071 – CEMOF Facility Upgrades for EMUs
- RFP – 18-J-P-0XX – On-Call Construction Management Services for PCEP

Existing Contracts Amendments Issued:

- None

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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) BBII JPB approves contract award (LNTP) 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)
2018	Completed all PG&E agreements

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APPENDICES

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Appendix A – Acronyms

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

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

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Appendix B – Funding Partner Meetings

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Funding Partner Meeting Representatives

Updated July 25, 2017

Agency	CHSRA	MTC	SFCTA/SFMTA/CCSF	SMCTA	VTA
FTA Quarterly Meeting	• Bruce Armistead • Boris Lipkin • Ben Tripousis (info only) • Ian Ferrier (info only) • Wai Siu (info only)	• Anne Richman • Glen Tepke	• Luis Zurinaga	• April Chan • Peter Skinner	• Jim Lawson
Funding Partners Quarterly Meeting	• Bruce Armistead • Boris Lipkin • Ben Tripousis • John Popoff	• Trish Stoops	• Luis Zurinaga	• April Chan • Peter Skinner	• Krishna Davey
Funding Oversight (monthly)	• Ben Tripousis • Kelly Doyle	• Anne Richman • Glen Tepke • Kenneth Folan	• Anna LaForte • Maria Lombardo • Luis Zurinaga • Monique Webster • Ariel Espiritu Santo	• April Chan • Peter Skinner	• Jim Lawson • Marcella Rensi • Michael Smith
Change Management Board (monthly)	• Bruce Armistead • Boris Lipkin	• Trish Stoops	• Luis Zurinaga • Tilly Chang (info only)	• Joe Hurley	• Krishna Davey • Jim Lawson • Carol Lawson • Nuria Fernandez (info only)
Master Program Schedule Update (monthly)	• Ian Ferrier • Wai Siu	• Trish Stoops	• Luis Zurinaga	• Joe Hurley	• Jim Lawson
Risk Assessment Committee (monthly)	• Ian Ferrier • Wai Siu	• Trish Stoops	• Luis Zurinaga	• Joe Hurley	• Krishna Davey
PCEP Delivery Coordination Meeting (bi-weekly	• Ian Ferrier	• Trish Stoops	• Luis Zurinaga	• Joe Hurley	• Krishna Davey
Systems Integration Meeting (bi-weekly	• Ian Ferrier • Wai Siu	• Trish Stoops	• Luis Zurinaga	• Joe Hurley	• Krishna Davey

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Appendix C – Schedule

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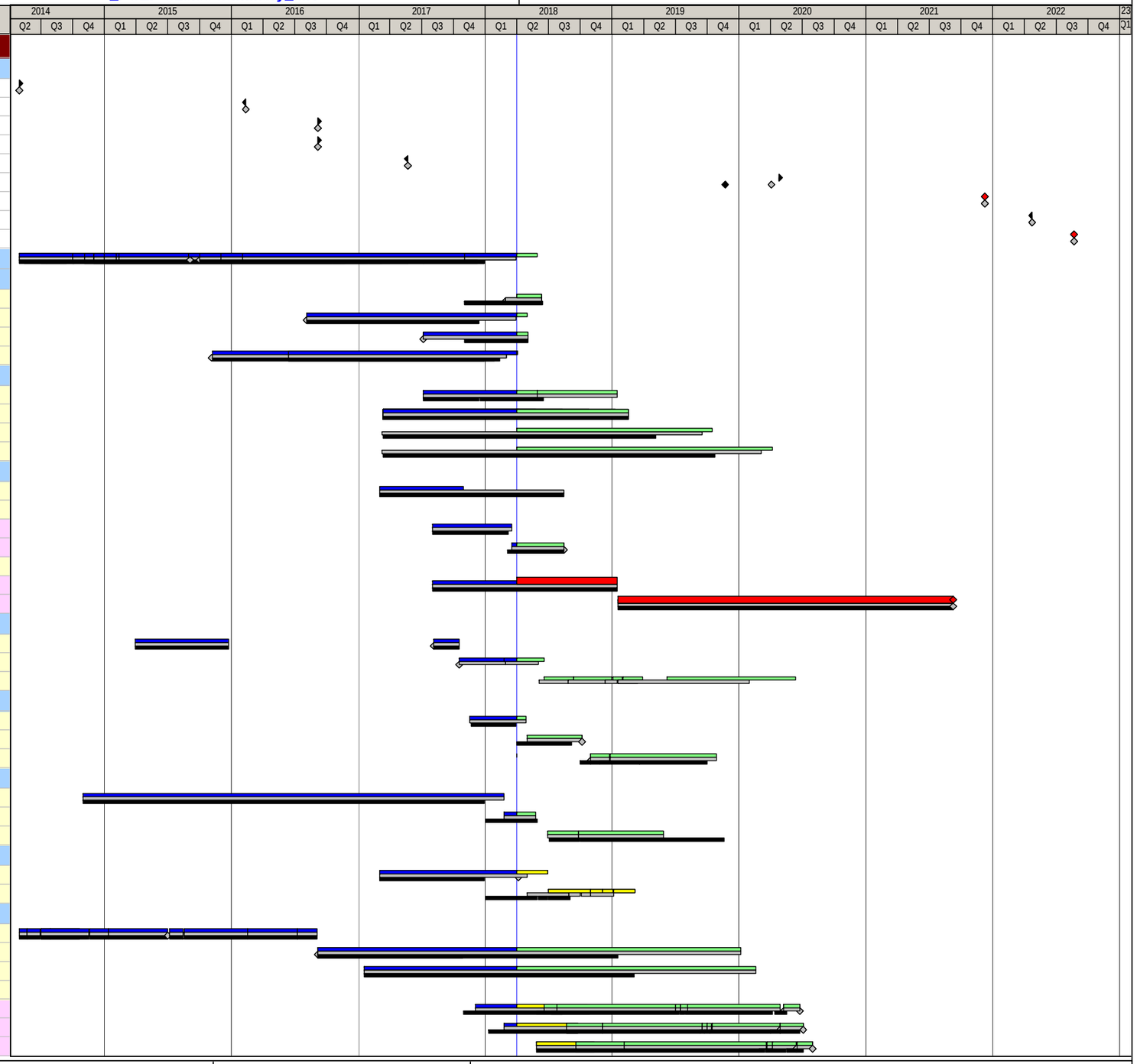
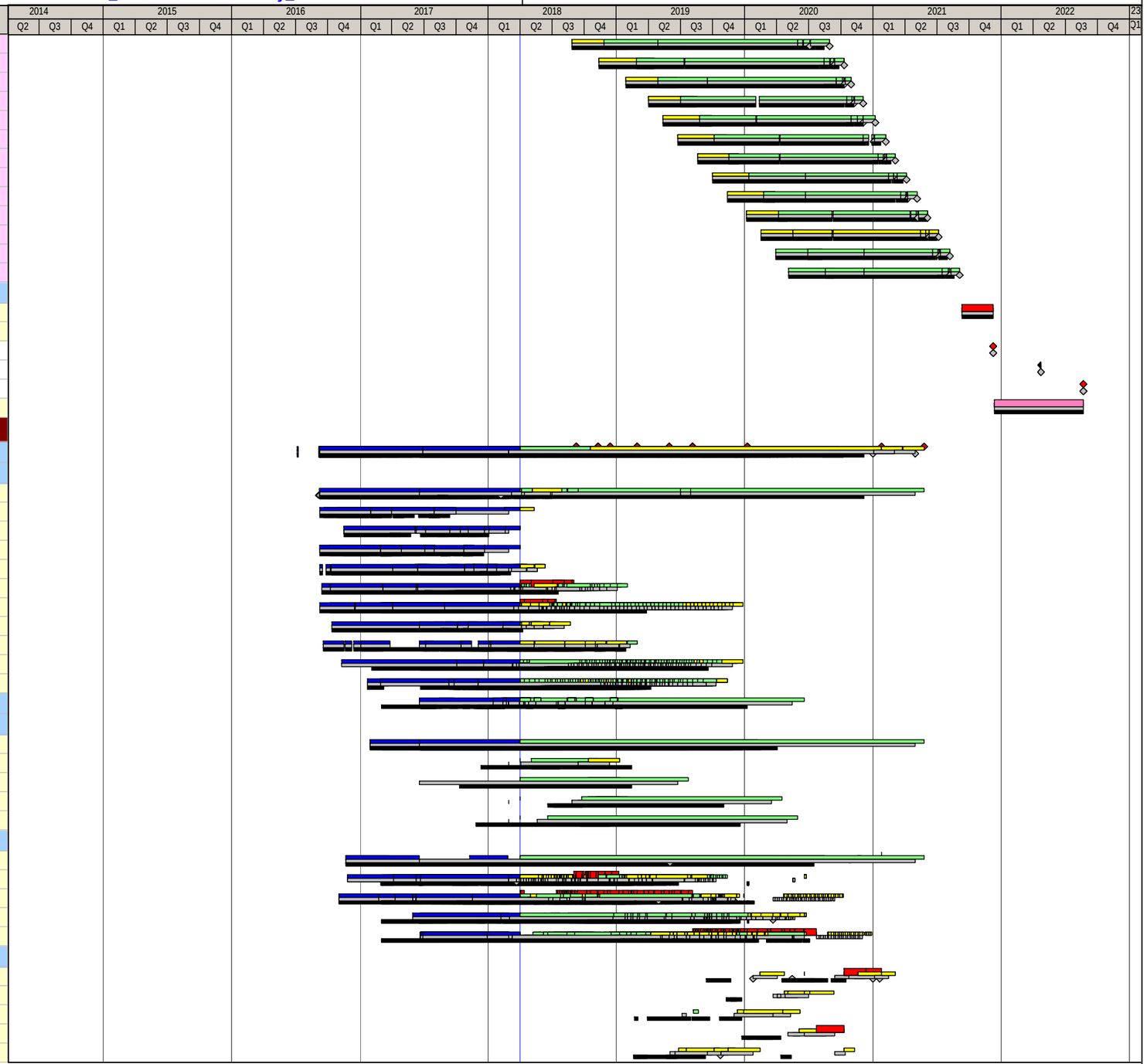
#	Activity Name	Duration	Start	Finish
1	***MASTER PROGRAM SCHEDULE C16.06***	2168d	05/01/14 A	08/22/22
2	**MILESTONES**	2112d	05/01/14 A	08/22/22
3	Start	0d	05/01/14 A	
4	NEPA Reevaluation Complete	0d		02/11/16 A
5	LNTP to Electrification Contractor	0d	09/06/16 A	
6	LNTP to Vehicle Manufacturer	0d	09/06/16 A	
7	FTA Issues FFGA	0d		05/23/17 A
8	Segment 4 (Test Track) Complete	0d	04/24/20	
9	Revenue Service Date (RSD) w/out Risk Contingency	0d		12/09/21
10	Revenue Service Date (RSD) w Risk Contingency (JPB Target)	0d		04/22/22
11	Revenue Service Date (RSD) w/ Risk Contingency (FFGA RSD)	0d		08/22/22
12	**PLANNING / APPROVALS**	1066d	05/01/14 A	05/31/18
13	**REAL ESTATE ACQUISITION**	660d	11/05/15 A	06/12/18
14	**SEGMENT 1**	51d	04/02/18	06/12/18
15	**SEGMENT 2**	441d	08/04/16 A	05/01/18
16	**SEGMENT 3**	210d	07/06/17 A	05/02/18
17	**SEGMENT 4**	610d	11/05/15 A	04/02/18
18	**OVERHEAD UTILITY RELOCATION**	780d	03/10/17 A	04/06/20
19	**SILICON VALLEY POWER (SVP)**	386d	07/06/17 A	01/14/19
20	**PG&E**	491d	03/13/17 A	02/15/19
21	**CITY OF PALO ALTO (CoPA)**	660d	03/10/17 A	10/15/19
22	**AT&T**	780d	03/10/17 A	04/06/20
23	**PG&E INFRASTRUCTURE**	1151d	03/01/17 A	09/09/21
24	**INTERCONNECT (Supporting TPS-2)**	171d	03/01/17 A	10/31/17 A
25	**INTERIM POWER**	265d	08/01/17 A	08/15/18
26	***DESIGN & PERMITTING***	159d	08/01/17 A	03/16/18 A
27	***CONSTRUCTION***	107d	03/16/18 A	08/15/18
28	**PERMANENT POWER**	1044d	08/01/17 A	09/09/21
29	***DESIGN & PERMITTING***	369d	08/01/17 A	01/15/19
30	***CONSTRUCTION***	675d	01/16/19	09/09/21
31	**SCADA**	1324d	03/30/15 A	06/12/20
32	**PREPARE SOLE SOURCE & AWARD**	649d	03/30/15 A	10/16/17 A
33	**DESIGN**	170d	10/16/17 A	06/18/18
34	**IMPLEMENTATION, TEST, INSTALL & CUTOVER**	505d	06/19/18	06/12/20
35	**CEMOF**	494d	11/16/17 A	10/28/19
36	**DESIGN**	113d	11/16/17 A	04/27/18
37	**BID & AWARD**	111d	04/30/18	10/04/18
38	**CONSTRUCTION**	401d	04/02/18	10/28/19
39	**TUNNEL MODIFICATION**	1160d	10/31/14 A	05/28/19
40	**DESIGN**	840d	10/31/14 A	02/22/18 A
41	**BID & AWARD**	66d	02/23/18 A	05/25/18
42	**CONSTRUCTION**	232d	06/28/18	05/28/19
43	**ELECTRIC LOCOMOTIVE**	526d	03/01/17 A	03/06/19
44	**BID & AWARD**	348d	03/01/17 A	06/29/18
45	**REHAB / TEST/ TRAIN / SHIP**	172d	07/02/18	03/06/19
46	**EMU**	1917d	05/01/14 A	09/03/21
47	**DEVELOP RFP, BID & AWARD**	612d	05/01/14 A	09/02/16 A
48	**DESIGN**	870d	09/06/16 A	01/06/20
49	**PROCUREMENT (Material)**	806d	01/16/17 A	02/17/20
50	**MANUFACTURING & TESTING**	980d	12/04/17 A	09/03/21
51	***TRAINSET 1***	668d	12/04/17 A	06/24/20
52	***TRAINSET 2***	617d	02/22/18 A	07/03/20
53	***TRAINSET 3***	570d	05/28/18	07/31/20



Actual Level of Effort
Prog Plan (C16.00)
Last Months Update
Progress
Remaining
Near Critical
Critical
Start Milestone
Finish Milestone
Prog Plan (C16.00)
Last Months Update
Critical Milestone
Risk Contingency

MARCH 2018 SCHEDULE UPDATE IS DRAFT UNTIL FINALIZED AT APRIL 2018 MONTH END

#	Activity Name	Duration	Start	Finish
54	*TRAINSET 4*	525d	08/27/18	08/28/20
55	*TRAINSET 5*	500d	11/12/18	10/09/20
56	*TRAINSET 6*	460d	01/28/19	10/30/20
57	*TRAINSET 7*	440d	04/01/19	12/04/20
58	*TRAINSET 8*	433d	05/13/19	01/06/21
59	*TRAINSET 9*	425d	06/24/19	02/05/21
60	*TRAINSET 10*	405d	08/19/19	03/05/21
61	*TRAINSET 11*	397d	09/30/19	04/06/21
62	*TRAINSET 12*	389d	11/11/19	05/06/21
63	*TRAINSET 13*	370d	01/06/20	06/04/21
64	*TRAINSET 14*	362d	02/17/20	07/06/21
65	*TRAINSET 15*	355d	03/30/20	08/06/21
66	*TRAINSET 16*	350d	05/04/20	09/03/21
67	**TESTING & STARTUP**	247d	09/10/21	08/22/22
68	**PRE-REVENUE TESTING**	63d	09/10/21	12/09/21
69	**REVENUE OPERATIONS**	180d	12/09/21	08/22/22
70	Revenue Service Date (RSD) w/out Risk Contingency	0d		12/09/21
71	Revenue Service Date (RSD) w Risk Contingency (JPB Target)	0d		04/22/22
72	Revenue Service Date (RSD) w/ Risk Contingency (FFGA RSD)	0d		08/22/22
73	**RISK CONTINGENCY**	256d	12/10/21	08/22/22
74	***ELECTRIFICATION SCHEDULE (BB) 040118***	1910d	07/07/16 A	05/25/21
75	**General**	1910d	07/07/16 A	05/25/21
76	**Design**	1845d	09/06/16 A	05/24/21
77	**All Work Areas**	1845d	09/06/16 A	05/24/21
78	**Segment 2 WA 5**	655d	09/07/16 A	05/11/18
79	**Segment 2 WA 4 & 5**	536d	11/16/16 A	04/01/18
80	**Segment 2 WA 4**	611d	09/07/16 A	04/01/18
81	**Segment 2 & 4**	688d	09/07/16 A	06/10/18
82	**Segment 4**	935d	09/12/16 A	01/31/19
83	**Segment 2**	1293d	09/07/16 A	12/27/19
84	**Segment 2 WA's 1, 2 ,& 3**	728d	10/12/16 A	08/21/18
85	**Segment 1 & 3**	958d	09/19/16 A	03/01/19
86	**Segment 1**	1225d	11/09/16 A	12/26/19
87	**Segment 3**	1096d	01/23/17 A	11/11/19
88	**Permits**	1096d	06/19/17 A	06/18/20
89	**Procurement**	1689d	01/30/17 A	05/24/21
90	**All Work Areas**	1689d	01/30/17 A	05/24/21
91	**Segment 4**	306d	04/01/18	01/10/19
92	**Segment 2**	821d	06/19/17 A	07/24/19
93	**Segment 1**	801d	04/01/18	04/16/20
94	**Segment 3**	846d	04/01/18	05/29/20
95	**Construction/Installation**	1784d	11/02/16 A	05/24/21
96	**All Work Areas**	1763d	11/22/16 A	05/24/21
97	**Segment 4 (6.6 Mi)**	1400d	11/27/16 A	06/24/20
98	**Segment 2 (21.1 Mi)**	1540d	11/02/16 A	10/08/20
99	**Segment 1 (8 Mi)**	1201d	05/31/17 A	06/24/20
100	**Segment 3 (15.4 Mi)**	1379d	06/21/17 A	12/28/20
101	**Testing & Commissioning**	661d	06/27/19	03/05/21
102	**All Work Areas**	414d	02/13/20	03/05/21
103	**Segment 1**	51d	04/24/20	09/10/20
104	**Segment 2**	123d	08/08/19	06/07/20
105	**Segment 3**	40d	06/04/20	10/10/20
106	**Segment 4**	536d	06/27/19	11/08/20



Actual Level of Effort | Progress | Critical | Prog Plan (C16.00) | Risk Contingency
Prog Plan (C16.00) | Remaining | Start Milestone | Last Months Update
Last Months Update | Near Critical | Finish Milestone | Critical Milestone

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MARCH 2018 SCHEDULE UPDATE IS DRAFT UNTIL FINALIZED AT APRIL 2018 MONTH END

Appendix D – Standard Cost Codes

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Description of Work	Approved Budget (A)	Cost This Month (B)	Cost To Date (C)	Estimate To Complete (D)	Estimate At Completion (E) = (C) + (D)
10 - GUIDEWAY & TRACK ELEMENTS	**$ 14,256,739**	**$ -**	**$ -**	**$ 14,356,739**	**$ 14,356,739**
10.02 Guideway: At-grade semi-exclusive (allows cross-traffic)	$ 2,500,000	$ -	$ -	$ 2,600,000	$ 2,600,000
10.07 Guideway: Underground tunnel	$ 8,110,649	$ -	$ -	$ 8,110,649	$ 8,110,649
10.07 Allocated Contingency	$ 3,646,090	$ -	$ -	$ 3,646,090	$ 3,646,090
30 - SUPPORT FACILITIES: YARDS, SHOPS, ADMIN. BLDGS	**$ 2,265,200**	**$ -**	**$ -**	**$ 2,265,200**	**$ 2,265,200**
30.03 Heavy Maintenance Facility	$ 1,344,000	$ -	$ -	$ 1,344,000	$ 1,344,000
30.03 Allocated Contingency	$ 421,200	$ -	$ -	$ 421,200	$ 421,200
30.05 Yard and Yard Track	$ 500,000	$ -	$ -	$ 500,000	$ 500,000
40 - SITEWORK & SPECIAL CONDITIONS	**$ 260,473,484**	**$ 3,906,650**	**$ 65,523,477**	**$ 219,263,674**	**$ 284,787,151**
40.01 Demolition, Clearing, Earthwork	$ 3,077,685	$ 159,000	$ 449,000	$ 2,803,685	$ 3,252,685
40.02 Site Utilities, Utility Relocation	$ 93,455,599	$ 2,597,000	$ 19,100,869	$ 88,854,731	$ 107,955,599
40.02 Allocated Contingency	$ -	$ -	$ -	$ -	$ -
40.03 Haz. mat'l, contam'd soil removal/mitigation, ground water treatments	$ 2,200,000	$ -	$ -	$ 2,200,000	$ 2,200,000
40.04 Environmental mitigation, e.g. wetlands, historic/archeologic, parks	$ 32,579,208	$ 73,125	$ 360,375	$ 32,318,833	$ 32,679,208
40.05 Site structures including retaining walls, sound walls	$ 568,188	$ -	$ -	$ 568,188	$ 568,188
40.06 Pedestrian / bike access and accommodation, landscaping	$ 804,933	$ -	$ -	$ 740,933	$ 740,933
40.07 Automobile, bus, van accessways including roads, parking lots	$ 284,094	$ -	$ -	$ 284,094	$ 284,094
40.08 Temporary Facilities and other indirect costs during construction	$ 107,343,777	$ 1,077,525	$ 45,613,233	$ 71,333,210	$ 116,946,444
40.08 Allocated Contingency	$ 20,160,000	$ -	$ -	$ 20,160,000	$ 20,160,000
50 - SYSTEMS	**$ 502,766,044**	**$ 4,902,989**	**$ 21,495,244**	**$ 478,484,250**	**$ 499,979,494**
50.01 Train control and signals	$ 96,789,149	$ -	$ 1,000,000	$ 101,552,149	$ 102,552,149
50.01 Allocated Contingency	$ 2,451,000	$ -	$ -	$ -	$ -
50.02 Traffic signals and crossing protection	$ 23,879,905	$ -	$ -	$ 23,879,905	$ 23,879,905
50.02 Allocated Contingency	$ 1,140,000	$ -	$ -	$ 1,140,000	$ 1,140,000
50.03 Traction power supply: substations	$ 70,671,121	$ 569,129	$ 4,732,622	$ 65,938,499	$ 70,671,121
50.03 Allocated Contingency	$ 28,464,560	$ -	$ -	$ 28,464,560	$ 28,464,560
50.04 Traction power distribution: catenary and third rail	$ 253,743,010	$ 4,333,860	$ 15,762,622	$ 240,635,680	$ 256,398,302
50.04 Allocated Contingency	$ 18,064,000	$ -	$ -	$ 9,310,157	$ 9,310,157
50.05 Communications	$ 5,455,000	$ -	$ -	$ 5,455,000	$ 5,455,000
50.07 Central Control	$ 2,090,298	$ -	$ -	$ 2,090,298	$ 2,090,298
50.07 Allocated Contingency	$ 18,000	$ -	$ -	$ 18,000	$ 18,000
60 - ROW, LAND, EXISTING IMPROVEMENTS	**$ 35,675,084**	**$ 719,163**	**$ 11,267,482**	**$ 24,407,603**	**$ 35,675,084**
60.01 Purchase or lease of real estate [1]	$ 25,927,074	$ 719,163	$ 11,243,284	$ 14,683,790	$ 25,927,074
60.01 Allocated Contingency	$ 8,748,010	$ -	$ -	$ 8,748,010	$ 8,748,010
60.02 Relocation of existing households and businesses	$ 1,000,000	$ -	$ 24,198	$ 975,803	$ 1,000,000
70 - VEHICLES (96)	**$ 625,755,807**	**$ 682,082**	**$ 81,763,053**	**$ 543,992,754**	**$ 625,755,807**
70.03 Commuter Rail [1]	$ 590,716,951	$ 682,082	$ 81,763,053	$ 507,068,849	$ 588,831,901
70.03 Allocated Contingency	$ 8,134,924	$ -	$ -	$ 10,019,974	$ 10,019,974
70.06 Non-revenue vehicles	$ 8,140,000	$ -	$ -	$ 8,140,000	$ 8,140,000
70.07 Spare parts	$ 18,763,931	$ -	$ -	$ 18,763,931	$ 18,763,931
80 - PROFESSIONAL SERVICES (applies to Cats. 10-50)	**$ 325,532,351**	**$ 5,732,951**	**$ 192,917,077**	**$ 138,050,163**	**$ 330,967,240**
80.01 Project Development	$ 130,350	$ -	$ 280,180	$ (149,830)	$ 130,350
80.02 Engineering (not applicable to Small Starts) [2]	$ 181,346,859	$ 3,506,515	$ 146,132,409	$ 42,391,483	$ 188,523,892
80.02 Allocated Contingency	$ 1,742,144	$ -	$ -	$ -	$ -
80.03 Project Management for Design and Construction [1], [2]	$ 72,910,901	$ 1,961,374	$ 37,360,527	$ 35,550,374	$ 72,910,901
80.03 Allocated Contingency	$ 9,270,000	$ -	$ -	$ 9,270,000	$ 9,270,000
80.04 Construction Administration & Management [2]	$ 23,677,949	$ 162,009	$ 3,419,257	$ 20,258,692	$ 23,677,949
80.04 Allocated Contingency	$ 19,537,000	$ -	$ -	$ 19,537,000	$ 19,537,000
80.05 Professional Liability and other Non-Construction Insurance	$ 4,305,769	$ -	$ 2,555,769	$ 1,750,000	$ 4,305,769
80.06 Legal; Permits; Review Fees by other agencies, cities, etc.	$ 6,341,599	$ 103,052	$ 3,156,049	$ 3,185,550	$ 6,341,599
80.06 Allocated Contingency	$ 556,000	$ -	$ -	$ 556,000	$ 556,000
80.07 Surveys, Testing, Investigation, Inspection	$ 3,287,824	$ -	$ 12,887	$ 3,274,937	$ 3,287,824
80.08 Start up	$ 1,797,957	$ -	$ -	$ 1,797,957	$ 1,797,957
80.08 Allocated Contingency	$ 628,000	$ -	$ -	$ 628,000	$ 628,000
Subtotal (10 - 80)	**$ 1,766,724,709**	**$ 15,943,835**	**$ 372,966,332**	**$ 1,420,820,382**	**$ 1,793,786,714**
90 UNALLOCATED CONTINGENCY	**$ 156,947,587**	**$ -**	**$ -**	**$ 129,885,582**	**$ 129,885,582**
Subtotal (10 - 90)	**$ 1,923,672,296**	**$ 15,943,835**	**$ 372,966,332**	**$ 1,550,705,964**	**$ 1,923,672,296**
100 FINANCE CHARGES	**$ 6,998,638**	**$ 305,829**	**$ 2,878,272**	**$ 4,120,366**	**$ 6,998,638**
Total Project Cost (10 - 100)	**$ 1,930,670,934**	**$ 16,249,664**	**$ 375,844,604**	**$ 1,554,826,330**	**$ 1,930,670,934**

Notes:

[1] 60.01, 70.03, 80.03 - Cost this month includes decreases in agency labor ICAP against a prior period resulting in an overall reduction of $192K.

[2] 80.02, 80.03, 80.04 - Cost this month is adjusted to report March 2018 accrual estimates and includes an offset for inaccurate accruals in the January and February 2018 periods.

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Appendix E – Change Order Logs

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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	Percent of Authority[1]	Remaining Authority
08/31/2017	BBI-053-CCO-001	Track Access Delays Q4 2016	$85,472	0.25%	$34,745,056
02/28/2018	BBI-053-CCO-003	Deletion of Signal Cable Meggering (Testing)	($800,000)	(2.30%)	$35,485,090
02/21/2018	BBI-053-CCO-004	Field Order for Differing Site Condition Work Performed on 6/19/17	$59,965	0.17%	$34,685,090
		Total	**($654,563)**	**(1.88%)**	**$35,485,090**

Notes:

1. When the threshold of 75% is reached, staff may return to the Board to request additional authority.

EMU Contract

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

Date	Change Number	Description	CCO Amount	Percent of Authority[1]	Remaining Authority
09/22/2017	STA-056-CCO 001	Contract General Specification and Special Provision Clean-up	$0	0.00%	$27,544,973
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%	$27,489,973
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%	$26,641,973
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	1.78%	$26,048,713
02/12/2018	STA-056-CCO-009	Ship Cab Mock-up to Caltrain	$53,400	0.19%	$25,995,313
		Total	**$1,549,660**	**5.63%**	**$25,995,313**

Notes:

1. When the threshold of 75% is reached, staff may return to the Board to request additional authority.

SCADA Contract

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

Date	Change Number	Description	CCO Amount	Percent of Authority[1]	Remaining Authority
	None to date				
		Total	**$0**	**0%**	**$517,038**

Notes:

1. When the threshold of 75% is reached, staff may return to the Board to request additional authority.

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Appendix F – Risk Table

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Listing of PCEP Risks and Effects in Order of Severity

ID	RISK DESCRIPTION	EFFECT(S)
279	BBII may be unable to develop grade crossing modifications that meet regulatory requirements prior to scheduled testing and commissioning of the system.	Crossing operations will not be acceptable to CPUC and FRA and therefore delay commissioning.
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
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
67	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
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.
276	BBII may be unable to get permits required by jurisdictions for construction in a timely manner.	Additional cost and time resulting from delays to construction
294	UP does not accept catenary pole offsets from centerline of track necessitating further negotiation or relocation of poles	Delay to construction and additional costs for redesign and ROW acquisition.
297	Cost and schedule of Stadler contract could increase as a result of this change in PTC system Delay of PTC may delay acceptance of EMUs.	1) Full integrated testing between EMU and wayside cannot be conducted without PTC in place. . 2) Delay in EMU final design for PTC and potential PTC interfaces. Need to finalize braking system sequence priority.
298	Cost and schedule of BBII contract could increase as a result of this change in PTC system	Balfour contract: changes in datafiles could affect what Balfour provides; could delay timing for testing; could change books that FRA had to review. Delay in testing and increased costs
209	TASI may be unable to deliver sufficient resources to support construction and testing for the electrification contract.	• Testing delayed. Additional construction costs. • Change order for extended vehicle acceptance.

ID	RISK DESCRIPTION	EFFECT(S)
241	Balfour Beatty needs to build TP2 and Interconnection in time for PG&E to supply power in time to support testing • Date is December 2018 to support contractor's schedule • Interim power was mitigation to providing permanent power Risk of PG&E delay in interim power availability.	Delay in testing and increased costs
247	Timely resolution of 3rd party design review comments to achieve timely approvals	Delay to completion of design and associated additional labor costs.
257	Modifications to the CTC system hardware and software and Back Office Server database and systems to support DB must be completed in time for cutover and testing.	Failure to follow the DB Management process will result in major interruption to train service and overall capital projects delay.
267	Additional property acquisition is necessitated by design changes.	New project costs and delays to schedule.
268	Potential that vehicles will not receive timely notification of compliance from FRA. Most significant issues include: • Placement of windows as emergency exits • Compliance with acceptable alternate crash management standards	Delays to completion of construction and additional cost to changes in design.
213	Unable to acquire property required to build PS-2.	Extensive redesign of existing and future facilities and utilities resulting in potential delay and additional costs to D/B contractor.
240	Property not acquired in time for contractor to do work. 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	• Potential delays in construction schedule
295	UP does not accept catenary pole offsets from centerline of track necessitating further negotiation or relocation of poles	Delay to construction and additional costs for redesign and ROW acquisition.

ID	RISK DESCRIPTION	EFFECT(S)
64	Potential need for additional right-of-way beyond that initially envisioned and/or relocation of underground utilities by others, which could result in delays to the schedule and associated costs.	Delay in installation of catenary poles resulting in claims and schedule delay CBOSS FOC conflicts additional costs and delays include: 1. Potholing 2. Design 3. OCS materials 4. Encasement 5. ROW JPB Signal Cable conflicts additional costs and delays include: 1. Trenching 2. Splicing 3. Cable
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.
136	UP may not complete review of BBI design in accordance with agreed deadlines (90 days in Segment 4, 60 days in other segments).	Delays to completion of design and claims for delay.
174	Installation of electrification infrastructure may require the relocation of signals, which would affect the block design.	Cost and schedule impacts resulting from the design, construction, and testing of modified signal system and review of revised block design.
260	EMU Contractor's facility is not completed before needed for vehicle assembly.	Delay in commencement of assembly of EMUs delaying final delivery and systemwide testing.
261	EMU electromechanical emissions and track circuit susceptibility are incompatible.	Changes on the EMU and/or signal system require additional design and installation time and expense.
262	Configuration changes from other capital projects could necessitate changes to electrification design.	Potential increase or decrease in final construction cost for electrification; additional cost for rework of completed construction; delays to overall project schedule due to inefficiencies.
265	PG&E must deliver interim power in time for testing for Balfour testing	Delay in testing and increased costs
277	Inadequate D-B labor to support multiple work segments	Additional cost and time

ID	RISK DESCRIPTION	EFFECT(S)
280	Field equipment installed by D/B contractor may not communicate with the Central Control Facility (CCF), the Back-Up Central Control Facility (BCCF) through SCADA and function as designed.	Could require the acquisition and installation of additional equipment at BCCF and CCF. Could therefore require additional cost and time
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
296	BBII needs to complete interconnection and traction power substations be sufficiently complete to accept interim power	Delay in testing and increased costs
56	Lack of O&M support for testing and/or vehicle operations. Includes operational readiness and personnel hired and scheduled to be trained.	• Testing delayed. • Change order for extended vehicle acceptance.
88	Construction safety program fails to sufficiently maintain safe performance.	Work stoppages due to safety incidents resulting in schedule delay and additional labor costs.
161	Unanticipated costs to provide alternate service (bus bridges, etc.) during rail service disruptions.	Cost increase.
179	Risk that municipal reviews take additional time due to absence of municipal agreement.	Possible delay to: (1) to design review; (2) permit issuance; (3) construction within local jurisdiction right-of-way
183	Installation and design of new duct bank takes longer because of UP coordination	Schedule - Delay. May need to use condemnation authority to acquire easement. Cost - Additional cost for PG&E to make connections increasing project costs
250	Potential for municipalities 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.

ID	RISK DESCRIPTION	EFFECT(S)
259	Work on 25th Avenue Grade Separation Project could delay Balfour construction schedule.	• Increased cost for BBI as catenary construction in this section was anticipated to be constructed under the 25th Avenue Grade Separation Project. • Potential delays in construction schedule • Risk is delay to BBI
266	Relocation of Verizon must precede installation of foundations 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
270	OCS poles or structures as designed by Contractor fall outside of JPB row	Additional ROW Take, additional cost and time
82	Unexpected restrictions could affect construction progress: <> night work <> noise <> local roads <> local ordinances	• Reduced production rates. • Delay
119	Coordination of electrification design with Operations	• Qualified individuals may not be available. • Training may take longer than anticipated.
253	Risk that existing conditions of Caltrans-owned bridges will not support bridge barriers. The existing bridge conditions and structural systems are unknown and may not support mounting new work Design will need to prove new barriers will not impact existing capacity of the bridges prior to Caltran's approval for construction. Without approval of design and issuance of permit, there is risk to the schedule for the work and also budget if during design existing bridge will require some upgrades due to the introduction of new attachments.	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.
78	Need for unanticipated, additional ROW for new signal enclosures.	Delay while procuring ROW and additional ROW costs.
154	Potential for encountering unidentified or unknown private crossings along the corridor. Could impose unanticipated rights or requirements on the design.	Additional cost and time to acquire ROW by condemnation
171	Electrification facilities could be damaged during testing.	Delay in commencing electrified operations.

ID	RISK DESCRIPTION	EFFECT(S)
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: • 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.
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.
271	Need for additional construction easements beyond that which has been provided for Contractor proposed access and staging	Additional cost and time
272	Final design based upon actual Geotech conditions	Could require changes
288	Independent checker finds errors in signal design and technical submittals	Additional cost and time
289	Coordination and delivery of permanent power for power drops for everything except traction power substations along alignment	Can't test resulting in delays to schedule and associated additional project costs.
291	Order/manufacture of long lead items prior to 100% IFC design document that proves to be incorrect	Design change and/or delays
292	Potential that UPS will not fit in the spaces allotted to communications work within the buildings.	Requisite backup capacity units under design criteria could result in the need for larger unit than originally planned resulting in design and fabrication changes and associated schedule delays and costs.
19	Potential for vehicle delivery to be hampered by international conflict; market disruption; labor strikes at production facility.	Delay in production of vehicle with associated cost implications.
42	Full complement of EMUs not available upon initiation of electrified revenue service	Late delivery impacts 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.

ID	RISK DESCRIPTION	EFFECT(S)
245	Failure of BBI to submit quality design and technical submittals in accordance with contract requirements • $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.
264	Design coordination with other capital improvement projects is required	Rework resulting in cost increases and schedule delays
10	Delays in parts supply chain result in late completion of vehicles.	• 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)
12	Potential for electromagnetic interference (EMI) to private facilities with sensitive electronic equipment caused by vehicles.	• Increased cost due to mitigation • Potential delay due to public protests or environmental challenge.
50	Leadership and / or key personnel changes with car builder results in delays to completion of design and manufacture of vehicles.	• Cost Increase • Schedule Increase – not supported by a TIA
51	Damage during delivery of first six EMUs.	Schedule delay
54	Infrastructure not ready for vehicles (OCS, TPS, Commissioning site / facility).	Increases cost if done off property
69	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
87	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.
93	Unanticipated subsurface conditions affecting pole or TPSS installation.	• Delay to take actions to remedy conditions or relocate foundations. • Increased cost for design and construction of remediation

ID	RISK DESCRIPTION	EFFECT(S)
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.
146	Wayside signal / pole adjustments to avoid sighting distance problems.	Change order.
148	Potential impact to advancing construction within the vicinity of any cultural finds that are excavated.	Minor disruption of the construction work
151	Public could raise negative concerns regarding wheel/rail noise.	Increased cost to mitigate: <> grind rails <> reprofile wheels <> sound walls
182	Compliance with Buy America requirements for 3rd party utility relocations. <>Utility relocations covered under existing Caltrain agreements that require utilities to move that will not have effect on project cost - will not be Buy America <>Installation of new equipment inside PG&E substations that will provide all PG&E customers, about 1/6 of that provides power to our system - is upgrade that benefits all customers subject to Buy America requirements, is it 1/6th, or 100% <>Risk is substation not relocations <>Substation equipment is available domestically, has 6 month longer lead time and increased cost of 20%	• Increased cost • Delay
189	EMUs will need I-ITCS equipment that is compatible with wayside equipment. Same supplier thereby reducing the risk.	Could drive up price because the car builder may not be a priority customer.

ID	RISK DESCRIPTION	EFFECT(S)
192	Environmental compliance during construction. Failure to meet the commitments contained within the PCEP EA, FEIR and permit conditions	• Delay • Cost increase
237	JPB needs and agreement with each city in which catenary will be strung over an existing grade crossing (17 in all) under GO 88 (grade crossings). These agreements must be executed subsequent to installing overhead catenary. JPB is preparing a response to CPUC while working with the cities. Delays in reaching agreement could have impacts on schedule and budget.	Not completing the grade crossing diagnostics and getting agreement from the cities on the results can result in delays to necessary approvals for the project and revenue service.
248	3rd party coordination <>Jurisdictions, Utilities, UP, Contractors <>D/B needs to provide timely information to facilitate 3rd party coordination <>Risk is for construction	Delays in approvals resulting in project schedule delays and associated costs.
249	Coordination and delivery of permanent power for power drops along alignment	Delays in completion of construction and testing with associated increase in costs.
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.
269	Potholing unearths the fact that pole locations conflict with utilities. OCS pole or structure locations as designed by Contractor conflict with utilities where conflict could have been avoided by allowable final design adjustments.	Additional cost and time
273	Contractor generates new hazardous materials, necessitates proper removal and disposal of existing hazardous materials identified in the Contract for D-B remediation.	Delay to construction while removing and disposing of hazardous materials resulting in schedule delay, increased construction costs, and schedule delay costs.
274	JPB as-built dwgs 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 dwgs 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.
283	Fluctuation in foreign currency v US dollar	Increase in costs

ID	RISK DESCRIPTION	EFFECT(S)
284	Compliance with project labor agreement could result in inefficiencies in staffing of construction.	Increase in labor costs and less efficient construction resulting in schedule delays.
290	Delays in agreement and acceptance of initial VVSC requirements database.	Delay to design acceptance
293	Readiness of 115kV interconnect for temporary power to support testing	Delay in testing

Appendix G – MMRP Status Log

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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.

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.

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 at the previously identified potentially suitable habitat locations, which will allow work to occur during the 2019 breeding season, if necessary.
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 were monitored by agency-approved biological monitors.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
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.
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.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
BIO-5: Implement Tree Avoidance, Minimization, and Replacement Plan.	**X**	**X**	**X**		Ongoing	Tree removal and pruning activities were initiated in August 2017 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 *Santa Clara Valley Habitat Plan* 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.
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.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
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.
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	**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

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
unique archaeological resources under PRC 21083.2 are present.						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 is occurring 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-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 is occurring 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 is occurring prior to the initiation of construction activities in those areas. The results will be included in the Archaeological Final Report. No cultural resources requiring the development of a treatment plan were observed. A Native American monitor has been

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Mitigation Measure	Mitigation Timing				Status	Status Notes
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						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.
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.

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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.
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.

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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.
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 design. 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 design. The design plan currently raises the TPFs above the floodplain.

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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.
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.

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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. Construction has not begun.
TRA-1a: Implement Construction Road Traffic Control Plan.	**X**	**X**			Upcoming	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 and 4 and submitted.
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

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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 is being 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**	Upcoming	This measure will be implemented during project 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.

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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 16th 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.