



BOARD OF DIRECTORS 2021

DAVE PINE, CHAIR
DEV DAVIS, VICE CHAIR
CINDY CHAVEZ
STEVE HEMINGER
CHARLES STONE
SHAMANN WALTON
MONIQUE ZMUDA

JIM HARTNETT
EXECUTIVE DIRECTOR

AGENDA

PENINSULA CORRIDOR JOINT POWERS BOARD

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

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

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

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

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

Public Comments: Members of the public are encouraged to participate remotely. Public comments may be submitted to publiccomment@caltrain.com prior to the meeting's call to order so that they can be sent to the Board as soon as possible, while those received during or after an agenda item is heard will be included into the Board's weekly correspondence and posted online at http://www.caltrain.com/about/bod/Board_of_Directors_Meeting_Calendar.html.

Oral public comments will also be accepted during the meeting through *Zoom or via the teleconference number listed above. Public comments on individual agenda items are limited to one per person PER AGENDA ITEM. Use the Raise Hand feature to request to speak. For public participants calling in, dial *67 if you do not want your telephone number to appear on the live broadcast. Callers may dial *9 to use the Raise the Hand feature for public comment and press *6 to accept being unmuted when recognized to speak for two minutes or less. Each commenter will be automatically notified when they are unmuted to speak for two minutes or less. The Board Chair shall have the discretion to manage the Public Comment process in a manner that achieves the purpose of public communication and assures the orderly conduct of the meeting.

January 7, 2021 – Thursday

9:00 am

~~PART I OF MEETING (CLOSED SESSION): 8:30 am~~

1. Call to Order / Pledge of Allegiance

2. Roll Call

3. Oath of Office - San Mateo County Representative

~~3. General Counsel Report~~

~~Closed Session: Conference with Legal Counsel – Anticipated Litigation~~

~~Initiation of litigation pursuant to Government Code Section~~

~~54956.9(d)(4): One potential case~~

~~PART II OF MEETING (REGULAR SESSION): 9:00am~~
~~(or when Part I ends, whichever is later)~~

4. General Counsel Report – report out from Current closed session and Previous closed sessions of December 3, 2020 INFORMATIONAL
- a. Closed Session: Conference with Legal Counsel – Anticipated Litigation Initiation of litigation pursuant to Government Code Section 54956.9(d)(4): One potential case
 - b. Closed Session pursuant to Government Code Section 54956.8: Conference with Real Property Negotiators
Property: Parcels adjacent to Caltrain right-of-way in vicinity of Bayshore Station: San Francisco Property (APN 009-5102), San Mateo County Property (APNs 005-162-300, 005-162-320, 005-162-350, 005-162-360, 005-340-040, 005-340-090, 005-340-100, 005-350-070, 005-350-080).
Agency Negotiators: Joan L. Cassman, General Counsel, Brian Fitzpatrick, Director of Real Estate, and Gary Cardona, Manager, Capital Project Support & Property Management
5. Report of the Nominating Committee (Stone, Chavez, Heminger) - Election of 2021 Officers MOTION
6. Public Hearing and Adoption of Proposed Changes to Bicycle Parking Fees and Go Pass Pricing RESOLUTION
- a. Open Public Hearing
 - b. Present Staff Report
 - c. Hear Public Comment
 - d. Close Public Hearing
 - e. Board Discussion
7. Public Comment for Items Not on the Agenda
Comments by each individual speaker shall be limited to two (2) minutes. Items raised that require a response will be deferred for staff reply.
8. Consent Calendar
Members of the Board may request that an item under the Consent Calendar be considered separately
- a. Approve Regular Meeting Minutes of December 3, 2020 MOTION
 - b. Receive Key Caltrain Performance Statistics – November 2020 MOTION
 - c. Certify Results of Election on Measure RR Sales Tax RESOLUTION
 - d. Adoption of 2021 Legislative Program MOTION
 - e. Resolution of Appreciation for former Director Ron Collins RESOLUTION
 - f. Resolution of Appreciation for former Director Jeannie Bruins RESOLUTION
- Approved by the Finance Committee (Dec 21)**
- g. Accept Statement of Revenues and Expenses for the Period Ended November 30, 2020 MOTION
 - h. Award a Sole Source Agreement to Howard Permut LLC to Provide Governance Advisory Services in the Not-To-Exceed Amount of \$200,000 RESOLUTION
 - i. Authorization to Receive Funding and Amend the Fiscal Year 2021 Capital Budget to add \$4,125,000 for a Total of \$86,459,772 for the Atherton Caltrain Station Closure Project RESOLUTION
 - j. On-Call Transportation Planning and Consultant Support Services Update INFORMATIONAL
9. Report of the Chair

10. Report of the Executive Director
 - a. Peninsula Corridor Electrification Project (PCEP) Monthly Progress Report – December INFORMATIONAL
 - b. Caltrain Positive Train Control (PTC) Project Update – December 2020 INFORMATIONAL
 - c. Report on the Executive Director Status INFORMATIONAL
11. Report of the Citizens Advisory Committee INFORMATIONAL
12. Report of the Finance Committee
 - a. Authorizing Execution of Amendment Five to the Contract for Provision of Rail Operations, Maintenance and Support Services with TransitAmerica Services, Inc. to Extend the Contract for Five Years through June 30, 2027 RESOLUTION
 - b. Award of Contract for Financial Audit Services RESOLUTION
13. Increase the Total Project Budget Authority by \$1,250,000 for the Marin and Napoleon Bridge Replacement Project (20-J-C-022) RESOLUTION
14. Receive State and Federal Legislative Update INFORMATIONAL
15. Correspondence
16. Board Member Requests
17. General Counsel Report
18. Date/Time of Next Regular Meeting: Thursday, February 4, 2021 at 9:00 am via Zoom
19. Adjourn

INFORMATION FOR THE PUBLIC

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

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

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

Date and Time of Board and Committee Meetings

JPB Board: First Thursday of the month, 9:00 am; JPB Finance Committee: Fourth Monday of the month, 1:30 pm. Date, time and location of meetings may be changed as necessary. Meeting schedules for the Board and committees are available on the website.

Location of Meeting

*Should Zoom not be operational, please check online at http://www.caltrain.com/about/bod/Board_of_Directors_Meeting_Calendar.html for any updates or further instruction.

Public Comment*

Members of the public are encouraged to participate remotely. Public comments may be submitted to publiccomment@caltrain.com prior to the meeting's call to order so that they can be sent to the Board as soon as possible, while those received during or after an agenda item is heard will be included into the Board's weekly correspondence and posted online at http://www.caltrain.com/about/bod/Board_of_Directors_Meeting_Calendar.html. Oral public comments will also be accepted during the meeting through Zoom or the teleconference number listed above. Public comments on individual agenda items are limited to one per person PER AGENDA ITEM and each commenter will be automatically notified when they are unmuted to speak for two minutes or less. The Board Chair shall have the discretion to manage the Public Comment process in a manner that achieves the purpose of public communication and assures the orderly conduct of the meeting.

Accessible Public Meetings/Translation

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

Availability of Public Records

All public records relating to an open session item on this agenda, which are not exempt from disclosure pursuant to the California Public Records Act, that are distributed to a majority of the legislative body will be available for public inspection at 1250 San Carlos Avenue, San Carlos, CA 94070-1306, at the same time that the public records are distributed or made available to the legislative body.

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Board of Directors

THROUGH: Jim Hartnett
Executive Director

FROM: Derek Hansel
Chief Financial Officer

Michelle Bouchard
Chief Operating Officer, Rail

SUBJECT: **PUBLIC HEARING AND ADOPTION OF PROPOSED CHANGES TO BICYCLE
PARKING FEES AND GO PASS PRICING**

ACTION

Staff recommends that the Board:

1. Ratify a call for a public hearing at this January 7, 2021 Board of Directors (Board) meeting for the consideration of changes to Caltrain's bicycle parking fees and temporary changes to Go Pass pricing;
2. Hold the public hearing;
3. Adopt a resolution establishing (a) new bicycle parking fees, (b) new Go Pass pricing and terms for 2021, and (c) new Go Pass pricing for 2022, implementation of which will be contingent upon completion and Board acceptance of an equity analysis to be performed in mid-2021.

SIGNIFICANCE

The public hearing will allow the Peninsula Corridor Joint Powers Board (JPB) to receive input on proposed bicycle parking fee changes and changes to Go Pass pricing before decisions are made.

E-locker Fees

The proposed changes to bicycle parking fees are needed to allow for the planned implementation of electronic, on-demand bike lockers throughout the Caltrain system (e-lockers). The Board approved a contract for the purchase of the e-lockers at its September 2020 meeting and installation of the new lockers is expected to begin in early calendar year 2021.

The e-lockers ultimately will be available at most stations for rent on a first come, first served basis. The proposed base bike parking fee is \$0.05 per hour. This is the base fee used by BART, the Santa Clara Valley Transportation Authority (VTA), the San Francisco Municipal Transportation Agency (SFMTA) and other agencies in the Bay Area.

Payment is collected by the E-locker vendor and used to defray the cost of providing 24-hour per day customer service.

Staff proposes that the Board authorize the JPB to offer promotional discounts to encourage use. Examples of promotional discounts include:

- Up to 10 hours of free use per rental
- Night and weekend fees as low as \$0.01 per hour
- Other fees below the base fee as determined by the JPB.

The JPB will be responsible for making up any differences between a promotional fee and the base fee of \$0.05 so that the vendor's customer service function is fully funded.

When users begin their rentals, they will pre-select their expected rental periods. Users exceeding their selected rental periods may be charged an overtime fee of up to \$0.15 per hour.

Go Pass Pricing

The Board previously adopted Go Pass prices for calendar year 2021 at \$342 per pass, with a minimum purchase of 84 passes per participating employer, school or residential development. Pursuant to Board action in June 2020, the validity of calendar year 2020 Go Passes was extended through March 2021. As such, the 2021 Go Pass will be sold with a start date of April 1, 2021, and be effective through December 2021 (i.e., nine months). To reflect both the shorter time period associated with the 2021 Go Pass and Go Pass participants' uncertainty regarding when and to what degree their staff/students/residents will be returning to more traditional in-office and commuting schedules due to Covid-19, staff recommends an adjustment to the Go Pass price for 2021 to \$192.50 per pass. This represents a 25% discount for the shorter length of the time the passes are effective and an approximate 25% discount to account for the uncertainty associated with commuting demand.

In addition to proposing changes to pricing of the Go Pass for 2021, staff also recommends the following changes to increase the flexibility of use of purchased Go Passes, by allowing purchasers of Go Passes to distribute otherwise unused passes to:

- On-site contracted staff, part-time employees, and graduate and post-doctoral students; and
- Qualified not-for-profit organizations.

Beyond increasing the flexibility and value of the Go Pass to employers, the option to provide passes to contractors, part-time workers, and non-profits is intended to promote equity and increase ridership by expanding the availability of passes to individuals and groups who are more likely to be of modest means and who might not otherwise have access to pass programs.

These changes are proposed only for 2021, as Caltrain works to rebuild ridership and better determine the persistence of demand for pass products such as Go Pass subsequent to a comprehensive rollout of Covid-19 vaccinations.

Finally, as an incentive for current customers to renew, and for new customers to participate in the 2021 Go Pass program, staff is recommending that Go Pass customers who participate for at least the last six months of 2021 (i.e., with an effective date of no

later than July 1, 2021) be eligible for a 25% discount to the currently adopted 2022 Go Pass price of \$359 (discounted to \$269.25 per pass), contingent upon completion of an equity analysis by JPB staff.

BUDGET IMPACT

E-locker Fees

Customer service and maintenance of existing, keyed lockers are currently handled by a combination of Caltrain staff and TransitAmerica Services, Inc. (TASI). As part of the transition from keyed lockers to e-lockers, customer service, operations, and maintenance responsibilities for e-lockers will be shifted to eLock Technologies, LLC, which was awarded a contract in September 2020.

Bike locker fees collected by eLock Technologies will cover the costs of customer service responsibilities. Operating funds currently used to pay for operations and maintenance of the existing, keyed lockers will be used to pay eLock Technologies to operate and maintain the e-lockers. Overall, the JPB's costs to provide customer service, operations and maintenance for bike lockers will be reduced by approximately \$100,000 annually.

Go Pass Pricing

In the budget most recently adopted for the 3rd and 4th quarters of Fiscal Year 2021, Go Pass revenues were assumed to drop by 50% at the renewal date of April 1, 2021. It is difficult to know exactly what the impact of the proposed changes will be on revenue, but staff believes that the recommended changes are necessary to secure a meaningful level of participation from existing participants in the 2021 Go Pass program. A lack of meaningful participation could result in a substantial shortfall relative to current budget estimates.

BACKGROUND

E-lockers

The installation of on-demand bike lockers and the proposed, associated fees are consistent with the management approach identified in the Bike Parking Management Plan for all Caltrain-operated bike parking adopted by the Board in November 2017. This plan recommended a system-wide transition from individually-rented keyed lockers to on-demand, electronic lockers and further recommended that direct management of bike parking transition from Caltrain and TASI to a third-party vendor. Users of the existing keyed lockers are charged \$33 for a six-month period and facilities. The Bike Parking Management Plan found that current lockers suffer from low utilization and, further, that the current management approach is inconvenient for customers and costly and inefficient for the JPB to administer.

Proposed user fees for bike parking are intended to be kept low enough to encourage usage and be readily-affordable to customers of all incomes. A nominal fee is necessary, however, to encourage active and efficient use of e-lockers. In addition to encouraging active locker usage, fees collected by the vendor will be used to defray the cost of customer service provided by the vendor. Customers can pay for bike

parking using BikeLink accounts can be tied to their Clipper cards; prepaid BikeLink cards that can be purchased with cash, check or credit card, or a mobile app. Electronic bike lockers will be allocated to stations based on the current and projected demand for such facilities. The availability of existing station space and local funding can influence the type and quantity of bicycle parking at individual stations. As such, bicycle parking facilities are generally more robust at stations where demand is strong. Except for College Park Station, all stations from 4th and King Station to Diridon Station that have been identified as Minority Stations or Low-Income Stations as part of the 2019 Title VI Compliance Program currently have or will receive e-lockers. Equity, customer demand, funding requirements, coordination with station projects and other factors will be taken into consideration when prioritizing e-locker installations.

Go Pass Program

The 2020 Go Pass program, which has a total of 117 participants with 87,116 eligible users, has generated over \$30.1 million in revenue.

Prepared by: Derek Hansel, Chief Financial Officer
Dan Provence, Principal Planner, Caltrain Planning

650.508.6466
650.622.7840

RESOLUTION NO. 2021-

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

*** * ***

**MAKING TEMPORARY GO PASS PRICE ADJUSTMENTS FOR 2021 AND 2022, AND
ADOPTING NEW BIKE LOCKER PARKING FEES**

WHEREAS, on September 5, 2019, by Resolution No. 2019-32, the Peninsula Corridor Joint Powers Board's (JPB) Board of Directors (Board) adopted Caltrain's current Fare Structure, and separate document setting forth pricing for Caltrain Charter Train, Bike Lockers and Parking; and

WHEREAS, in light of the Covid-19 pandemic, on September 3, 2020, by Resolution 2020-47, the Board postponed previously-approved fare increases, which were to take effect on April 1 and July 1, 2020, until after Fiscal Year 2020-2021; and

WHEREAS, the JPB also has extended the term of 2020 Go Passes through March of 2021; and

WHEREAS, following a public hearing at this January 7, 2021 Board meeting, staff recommends that the Board decrease 2021 Go Pass pricing to \$192.50 per pass to reflect the shortened program year and continued commute pattern changes caused by Covid-19; and

WHEREAS, staff also recommends that the Board authorize the JPB to offer added flexibility for Go Pass program participants to allow them to offer otherwise unused 2021 Go Passes to on-site contractors, part-time employees, and graduate and post-doctoral students, and to donate unused passes to qualified not-for-profit organizations; and

WHEREAS, contingent upon completion and acceptance by this Board of a related equity analysis in mid-2021, staff further recommends the JPB decrease the 2022 Go Pass price to \$269.25 for Go Pass program participants purchasing passes for at least the last six months of 2021; and

WHEREAS, in September 2020, the Board awarded a contract for installation, operations, maintenance and customer service for new electronic bike lockers (e-lockers); and

WHEREAS, with the roll-out of new e-lockers, staff proposes that the Board amend the document setting forth pricing for Caltrain Charter Train, Bike Lockers and Parking Fees to include new e-locker prices and payment terms.

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the Peninsula Corridor Joint Powers Board temporarily changes Go Pass prices and terms as set forth above, with the price change for 2022 contingent upon completion and Board acceptance of an equity analysis in mid-2021; and

BE IT FURTHER RESOLVED that the Board adopts the attached revised document setting forth pricing for Caltrain Charter Train, Bike Lockers and Parking Fees to include new electronic bike locker prices and payment terms.

Regularly passed and adopted this 7th day of January, 2021 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary

Adopted – May 6, 1992
Revised – August 3, 2017
[\[Proposed\] Revised – January 7, 2021](#)

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

* * *

CALTRAIN CHARTER TRAIN, BIKE LOCKERS AND PARKING FEES

I. CHARTER TRAIN

A. Minimum Charge

Charter train sponsors are required to pay a minimum of \$5,600 per round-trip in one calendar day (4:00 a.m. to 3:59 a.m.), assuming the use of one crew for up to 12 hours to cover trip planning, staff time, legal agreements, and Base Train service costs.

B. Cost Basis

Charter train sponsors will pay by the train mile for all revenue miles on their trip. The rate in 2017 was about \$47.50 per train mile and is based on data contained in the Peninsula Corridor Joint Powers Board's (JPB) National Transit Database (NTD) submittal. The rate includes all operating cost items except depreciation and rent. JPB staff adjust the rates within +/-10 percent limit annually based on JPB's NTD submittal. The rate is sufficient to cover deadheading costs, if any.

C. Train Size Basis

The Base Train will be one locomotive and five cars (two cab cars). JPB will charge an additional flat fee of \$500 per trailer car, \$525 per cab car, \$810 per locomotive (use of second engine will be determined between JPB and the charter train sponsor depending on scheduling and cost issues). These fees will be subject to periodic administrative adjustment.

D. Unique Costs

Any extraordinary costs (such as decorations, security, and Union Pacific Trackage/Pilot fees) will be borne by the charter train sponsor.

E. Insurance

Charter train arrangements will conform to any changes in JPB's annual insurance program, and trips operated will not exceed JPB's annual program limits.

II. BICYCLE LOCKER FEES

~~Bicycle lockers are available at certain stations for rent for \$5.50 per month paid in six-month increments. A key deposit of \$25 is refundable when the key is returned.~~
[Bicycle lockers are available at certain stations for a base rate of \\$0.05 per hour.](#)

The JPB may offer promotional discounts to encourage use.

Customers can pay for bike parking using a BikeLink account. To access lockers and use BikeLink accounts, customers may use:

- Prepaid BikeLink cards that can be purchased with cash, check or credit card
- Clipper® cards that are linked to an online BikeLink account
- A mobile BikeLink app.

At the beginning of their rentals, customers select the amount of time they anticipate using the lockers. Customers exceeding those time periods can be charged overtime fees of up to \$0.15 per hour for time beyond what was originally selected.

When customers end their rentals and retrieve their bikes, fees for unused time will be refunded to their BikeLink accounts.

Additional payment options may be made available through other means (e.g. purchased through a website) without amendment of this document.

III. PARKING AT CALTRAIN STATIONS

A. Fees

Parking fees for automobiles and motorcycles apply at the following stations:

- | | |
|------------------------|----------------------|
| a. Bayshore | k. Redwood City |
| b. South San Francisco | l. Menlo Park |
| c. San Bruno | m. Palo Alto |
| d. Millbrae | n. California Avenue |
| e. Burlingame | o. San Antonio |
| f. San Mateo | p. Mountain View |
| g. Hayward | q. Sunnyvale |
| Park | r. Lawrence |
| h. Hillsdale | s. Santa Clara |
| i. Belmont | t. San Jose Diridon |
| j. San Carlos | |

The base parking fee is \$5.50 for daily parking and \$82.50 for a Monthly Parking Permit. Monthly Parking Permits can be purchased only by customers with a Caltrain Monthly Pass or Go Pass.

Higher rates are charged at the San Jose Diridon Station during SAP Center events. The Caltrain Executive Director may authorize charging parking fees of up to \$25 a day at impacted stations for special events at the San Mateo Event Center and professional sports venues.

From time to time the Executive Director may reduce or increase parking fees at individual stations in response to system needs and patterns, customer demand, and market considerations, provided the fees do not exceed \$5.50 per day and \$82.50 per month.

Daily and Monthly Parking Permits are sold through the Ticket Vending Machines at Caltrain stations. Eligible customers also may purchase Monthly Parking Permits at Caltrain Administrative Office. Parking fees may be paid and permits made available through other means (e.g. purchased through a website) without amendment of this document.

Daily parking fees and Monthly Parking Permits are not subject to refund.

B. Waived Fees

Parking fees are waived for any person with a disability whose vehicle displays a permanent disabled California license plate or parking placard issued by the California State Department of Motor Vehicles (DMV).

C. Parking Regulations

The use of Caltrain parking facilities shall be in accordance with JPB rules and regulations. Caltrain parking rules are posted in each paid parking lot.

Monthly Parking Permits must be displayed on the dash board of the parked vehicle.

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

DRAFT MINUTES OF DECEMBER 3, 2020

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

MEMBERS ABSENT: C. Chavez

STAFF PRESENT: J. Hartnett, C. Mau, J. Cassman, S. Van Hoften, M. Bouchard, J. Funghi, K. Yin, D. Hansel, C. Fromson, S. Murphy, J. Funghi, D. Seamans, J. Brook, S. Wong

1. CALL TO ORDER / PLEDGE OF ALLEGIANCE

Chair Dave Pine called the meeting to order at 9:03 am and led the pledge of allegiance.

2. ROLL CALL

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

3. PUBLIC COMMENT FOR ITEMS NOT ON THE AGENDA

Roland Lebrun, San Jose, commented on governance, availability of Project Monitoring Report (PMOC) reports and accessibility to the closed sessions.

Vaughn Wolffe, Pleasanton, commented on China's handling of COVID quarantines and testing, and encouraged use of quick response (QR) codes here.

Kevin Ma, Palo Alto, commented on fare integration studies, and the difficulty of transferring from VTA (Valley Transportation Authority) to Caltrain to Muni without getting multiple tickets.

Adina Levin, Friends of Caltrain, commented on equity and connectivity plans, the fare integration study, and encouraged regional cooperation and funding.

Adam Buchbinder, Campbell, expressed support for fare integration to relieve traffic congestion.

Raayan Mohtashemi, Hillsborough, expressed support for fare integration and the adopted equity policy.

Jeff Carter, Millbrae, commented on fare integration, high fares, and zone fares.

4. CONSENT CALENDAR

- a. Approved Regular Meeting Minutes of November 5, 2020**
- b. Received Key Caltrain Performance Statistics – October 2020**
- c. Received State and Federal Legislative Update**

- d. Accepted Statement of Revenues and Expenses for the Period Ended October 31, 2020**
- e. Accepted Comprehensive Annual Financial Reports for Fiscal Year Ended June 30, 2020**
- f. Awarded a Contract to Sposeto Engineering, Inc. for the Grade Crossing Improvements Project for a Total Amount of \$336,050**
- g. Authorized the Execution of Funding Agreements with the California Department of Transportation to Receive \$2,000,000 for the San Mateo Grade Crossing Improvements Project**
- h. Received Capital Projects Quarterly Report – 1st Quarter Fiscal Year 2021**
- i. Clipper Start Quarterly Update**

Public Comment

Roland Lebrun, San Jose, compared ridership percentages of Metrorail and BART with Caltrain ridership.

Motion/Second: Stone/Davis

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

Noes: None

Absent: Chavez, Zmuda

5. REPORT OF THE CHAIR

Chair Pine provided an update on the Governance Process Ad Hoc Committee. He stated that internal staff have been finalizing a request for proposal (RFP) in procuring general counsel. They also discussed the cost of creating and running a new agency; there will be a special Board workshop in February to further discuss this and the ad hoc committee recommended retaining Howard Permut to provide assistance with the workshop and on an ongoing basis.

a. Appointment of Nominating Committee for 2021 Officers

Chair Pine appointed a nominating committee to select a new Chair and Vice Chair for the Board's January meeting. The nominating committee consisted of:

1. Director Charles Stone, representing San Mateo
2. Director Cindy Chavez, representing Santa Clara
3. Director Steve Heminger, representing San Francisco

DIRECTOR JEANNIE BRUIN'S LAST MEETING

Chair Pine announced that it was Director Jeannie Bruins' last day on the Caltrain Board. Board members and Executive Director Jim Hartnett acknowledged her service to the Board over the last several years and thanked her for her remarkable service.

Director Bruins described her experience serving the Board, reminded members not to lose sight of the incredible staff, requested to be kept abreast of electrified rail events, and thanked the public for their feedback.

b. Local Policy Maker Group (LPMG)

Director Jeannie Bruins stated that they met November 19th and heard updates on the passage of Measure RR, COVID near term service changes, the grade crossing activation system, and high speed rail's light maintenance facility in Brisbane. She reported on questions and comments from members and the public.

Public Comment

Roland Lebrun, San Jose, commented on the cost of the electrification project delays and expressed appreciation for Director Bruins and regret on her leaving.

Adina Levin, Friends of Caltrain, expressed appreciation for Director Bruins' service to Caltrain.

Vaughn Wolffe, Pleasanton, commented on Director Bruins' focus on Caltrain business only during Caltrain meetings.

Jeff Carter, Millbrae, commented on Director Bruins' leadership with the business plan.

Adrian Brandt, San Mateo County, commented on the dual speed check grade crossing system, constant warning times, and longer warning times.

Aleta Dupree, Oakland, praised Director Bruins' tough questions and service.

6. REPORT OF THE EXECUTIVE DIRECTOR

Jim Hartnett, Executive Director, spoke on fare integration and coordination. He expressed appreciation for the Board and to Ms. Bouchard and her team for the work done this year in this environment.

a. PENINSULA CORRIDOR ELECTRIFICATION PROJECT (PCEP) MONTHLY PROGRESS REPORT

John Funghi, CalMod Chief Officer, provided a progress report regarding electrification infrastructure and electric multiple unit (EMU) assembly. He noted that there were two foundations left in segment three, and seven left in segment four. Mr. Funghi stated that foundation completion dates have been pushed to 2022 due to switchgear manufacturing. He stated there would be an Anticipated Risk Report at the February Board meeting.

The Board members had a discussion and staff provided further clarification in response to the Board comments and questions regarding contingency amounts and delays.

b. CALTRAIN POSITIVE TRAIN CONTROL (PTC) PROJECT UPDATE – NOVEMBER 2020

Michelle Bouchard, Chief Operating Officer, announced they were awaiting a conditional safety certification from the Federal Railroad Administration (FRA) and expect to provide a report on this at the January meeting.

Public Comment

Roland Lebrun, San Jose, commented on fare integration being MTC's responsibility rather than Samtrans, restoring fare ridership, constant wait times, and foundations.

Aleta Dupree, Oakland, commented on fare integration and winter weather affecting foundation work.

Doug DeLong, Mountain View, commented on a typo on the General Manager's report regarding the MP36 overhaul project and noted the foundation work occurring in San Jose on Bird Ave.

Adrian Brandt, San Mateo County, commented the unavailable May 2020 Project Monitoring Oversight Committee (PMOC) report on the PCEP Calmod website and the need to be honest about how going with PCEP is progressing.

Jeff Carter, Millbrae, commented on accelerating electrification.

7. REPORT OF THE CITIZENS ADVISORY COMMITTEE (CAC)

Brian Shaw, Citizens Advisory Committee Chair, thanked Director Bruins and provided an update. He stated that they spoke about the nominating committee for appointing a Chair and Vice Chair for 2021, how Measure RR will affect Caltrain, and Board comments.

Public Comment

Doug DeLong, Mountain View, pointed out that the full closure was regarding the 25th Avenue grade crossing and not the station.

Roland Lebrun, San Jose, commented on the May PMOC report obtained by Freedom of Information Act (FOIA), testing in Pueblo, and the new train ventilation dynamics.

8. ADOPTION OF THE THIRD AND FOURTH QUARTERS FISCAL YEAR 2021 OPERATING BUDGET AND AMENDMENT TO DECREASE THE CAPITAL BUDGET

Derek Hansel, Chief Financial Officer, thanked his team for working on and being in fiscal year 2021 budget season for a year. He provided a presentation which included the budget overview, fiscal year 2021 revenue assumptions, proposed capital budget, and next steps, including service changes implemented in December.

Mr. Hansel noted that additional federal relief would be welcomed. He stated that they are heavily reliant on Measure RR, and they will need the approval of the JPB, VTA, San Francisco Municipal Transportation Authority (SFMTA), and San Francisco Board of Supervisors (SF BOS) for borrowing as they need cash flow to get through the first quarter of fiscal year 2022, and because they will not see substantial Measure RR funds until September/October 2021.

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

- Measure RR funding generation per year
- Boosting ridership and restoring public confidence
- Member Agency contributions
- Working with TASI over service plan budget
- Work role changes for conductors staffing trains
- The cost of borrowing against a line of credit
- Reserve amount and allocation with additional stimulus
- Firm used for Sales Tax Projection
- Ballot costs

- Grade separation funding

Public Comment

Roland Lebrun, San Jose, commented on governance cap, new auditing rules for CARES act, new federal auditing rules for CARES Act, and standard proposals for maintaining EMUS and diesels.

Vaughn Wolffe, Pleasanton, commented on obtaining QR readers.

Jeff Carter, Millbrae, commented on advertising to increase ridership.

Adina Levin, Friends of Caltrain, commented on bringing riders back to transit, budget and capital, pushback for using Measure V funds to connect BART to Silicon Valley.

Aleta Dupree, Oakland, commented on weekday service and Clipper progress.

Doug DeLong, Mountain View, commented on using historical highway data to gauge when Caltrain ridership would recover.

Motion/Second: Davis/Stone moved to approve

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

Noes: None

Absent: Chavez

9. AMENDMENT OF THE FINANCIAL RESERVE POLICY TO REQUIRE BALANCED BUDGETS

Mr. Hansel stated that they used the existing financial reserve policy as a starting point and that the proposal is a requirement to bring forward a balanced periodic budget rather than balanced annual budget. He noted that they have tied it to the use of reserves.

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

- Whether the target of 10 to 15 percent is high enough
- How many months of operation Caltrain has with those percentages
- Why balancing has not occurred until now

Motion/Second: Bruins/Heminger moved to approve and amend the second bullet of the policy to remove "possible" from the line "provide the best viable ~~possible~~ transportation".

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

Noes: None

Absent: Chavez

10. RECEIVE 2021 DRAFT LEGISLATIVE PROGRAM

Casey Fromson, Director of Government and Community Affairs, stated that the draft program will be brought to the Board for comments before adoption. She stated that the legislative program establishes the principles that will guide the agencies legislative and regulatory advocacy efforts through the calendar year. Ms. Fromson noted that all the changes are in red in the packet.

Public Comment

Adina Levin, Friends of Caltrain, commented on working at the regional level to streamline transit in the Bay Area and amending the bullet points to talk about positive benefits to fulfill goals adopted with equity and connectivity in addition to avoiding the negative impacts.

Vaughn Wolffe, Pleasanton, commented on QR codes and preparing for future pandemics.

Jeff Carter, Millbrae, inquired about the new service plan implemented in December.

Roland Lebrun, San Jose, commented on Google Maps not suggesting the Caltrain for commutes, transparency for closed sessions, and the parcels between Ice House Hill and Tank Farm.

11. CORRESPONDENCE

Correspondence was available online.

12. BOARD MEMBER REQUESTS

Director Heminger and Director Bruins requested looking at possibly increasing the reserve policy from its current 10 to 15 percent amount.

Director Stone requested agendizing how VTA, SamTrans, and SF Muni handle connecting with Caltrain.

14. GENERAL COUNSEL REPORT

Joan Cassman, General Counsel, reported that they would be going into closed session to discuss the two agendized matters. She noted that staff will not be requesting any action of the Board that would require a report out.

- a. Closed Session: Conference with Legal Counsel – Anticipated Litigation Initiation of litigation pursuant to Government Code Section 54956.9(d)(4): One potential case
- b. Closed Session pursuant to Government Code Section 54956.8: Conference with Real Property Negotiators
Property: Parcels adjacent to Caltrain right-of-way in vicinity of Bayshore Station: San Francisco Property (APN 009-5102), San Mateo County Property (APNs 005-162-300, 005-162-320, 005-162-350, 005-162-360, 005-340-040, 005-340-090, 005-340-100, 005-350-070, 005-350-080).
Agency Negotiators: Joan L. Cassman, General Counsel, Brian Fitzpatrick, Director

of Real Estate, and Gary Cardona, Manager, Capital Project Support & Property Management

Negotiating Parties: Visitacion Investment, LLC, a California Limited Liability Company (San Francisco property) and Oyster Point Properties, Inc., a California corporation (San Mateo County properties)
Under negotiation: Price and terms of contract

15. DATE/TIME OF NEXT REGULAR MEETING:

Thursday, January 7, 2021 at 9:00 am via Zoom

16. ADJOURN

The meeting adjourned at 1:09 pm.

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

DRAFT

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Michelle Bouchard
Chief Operating Officer, Rail

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

ACTION

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

SIGNIFICANCE

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

BUDGET IMPACT

There is no budget impact.

MONTHLY UPDATE

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

In November 2020, Caltrain's Average Weekday Ridership (AWR) decreased by 94.6 percent to 3,742 from November 2019 AWR of 69,607. The total number of passengers who rode Caltrain in November 2020 decreased by 93.8 percent to 91,329 from 1,472,693 November 2019 ridership. Likely reasons why AWR and total ridership decreased from October include:

- Thanksgiving weekends (two fewer weekdays compared to October 2020 with one long holiday weekend), and;
- Rollback of the COVID 19 ordinance due to a recent surge in cases (occurred in the second half of the month).

Caltrain ridership has been slow to recover. Staff believes the Caltrain ridership market has significant challenges, namely:

- Concentration of Information Technology (IT) sector in Caltrain service area and wide adoption of universal telecommuting;

- Accelerated “Silicon Valley Flight”, population decrease within the core Caltrain service area, and;
- Very high office space vacancy in Downtown San Francisco, the largest commuting trip magnet within Caltrain service area:
 - The pace of office space vacancy increase in Downtown San Francisco appears to be significantly faster than that in other large metropolitan areas in the U.S. Based on the Cushman & Wakefield data, office space vacancy rate has increased by 860 basis points between the 3rd quarter 2019 and the 3rd quarter 2020 in Downtown San Francisco while the change in the core of other large metropolitan areas during the same period was:
 - 380 basis point increase in Chicago Central Business District,
 - 300 basis point increase in Downtown Los Angeles;
 - 250 basis point increase in Washington, D.C. and;
 - 140 basis point increase in Manhattan, New York.

This month ticket sales decreased from November 2019 for:

- One Way tickets: 90.4 percent
- ED One Way tickets: 81.8 percent
- Day Passes: 92.4 percent
- ED Day Passes: 84 percent
- Monthly Passes: 95.7 percent
- ED Monthly Passes: 90.6 percent

Other ticket sales and farebox revenue statistics trended as follows:

- Caltrain Mobile Ticketing accounted for 9.6 percent (8,753 rides) of the monthly ridership and 1.8 percent (\$54,973) of the monthly ticket sales revenue.
- Number of Eligible Go Pass Employees decreased to 87,116 from 90,895 from November 2019.
- Number of the participating Go Pass Companies decreased to 117 in November 2020 from 135 in November 2019.
- Total Farebox Revenue decreased by 65.2 percent to \$3,033,810 from November 2019.

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

On-time performance (OTP) for November 2020 was 96 percent compared to 93.3 percent OTP for November 2019. Even though OTP decreased from the last month, the OTP has been at 95 percent or above for seven months in row.

In November 2020, there were 623 minutes of delay due to mechanical issues compared to 751 minutes in November 2019.

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

Shuttle ridership for November 2020 decreased 87.9 percent from November 2019. When the Marguerite shuttle ridership is removed, the impact to ridership was a decrease of 93.5 percent. For station shuttles:

- Millbrae-Broadway shuttle: 17 average daily riders
- Weekend Tamien-San Jose shuttle: 8 average daily riders

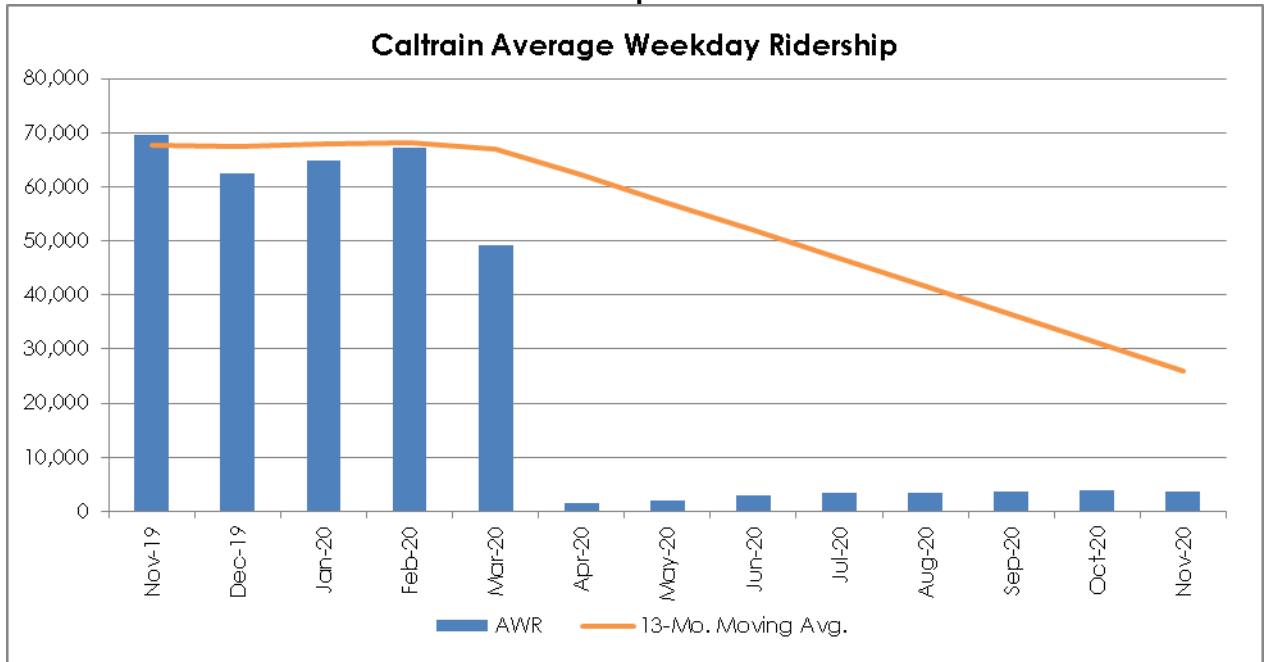
Table A
November 2020

	FY2020	FY2021	% Change
Total Ridership	1,472,693	91,329	-93.8%
Average Weekday Ridership	69,607	3,742	-94.6%
Total Farebox Revenue	\$ 8,718,421	\$ 3,033,810	-65.2%
On-time Performance	93.3%	96.0%	2.8%
Average Weekday Caltrain Shuttle Ridership	8,773	1,064	-87.9%

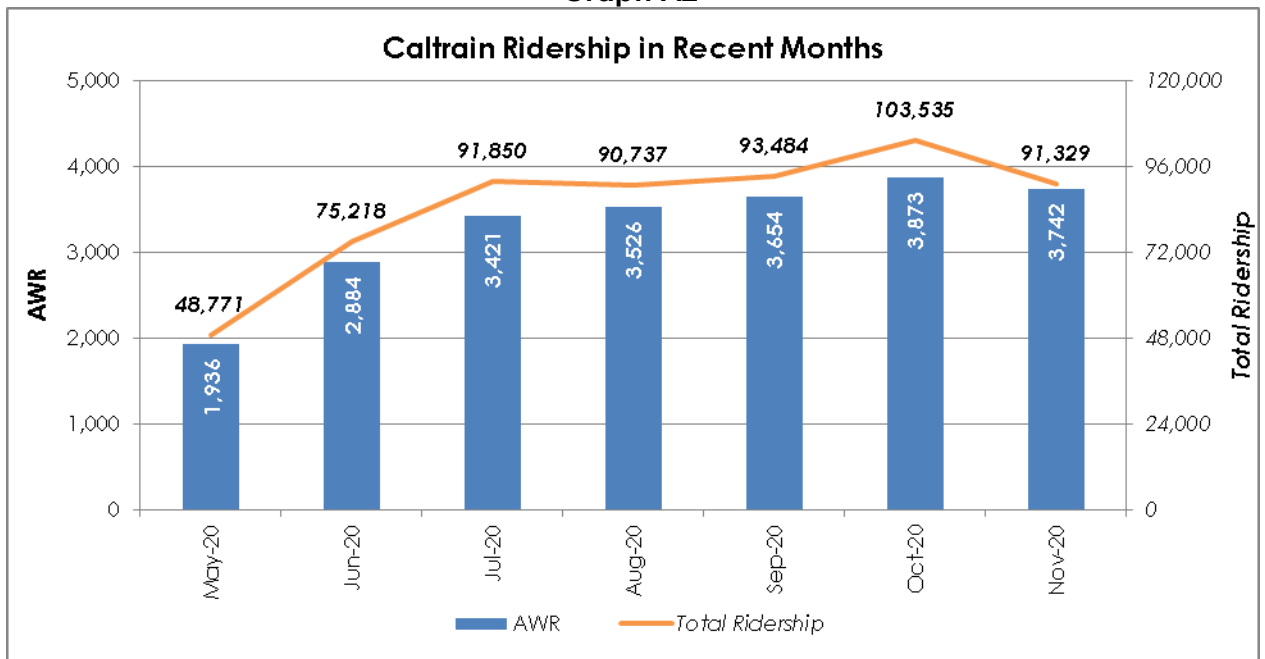
Fiscal Year to Date

	FY2020	FY2021	% Change
Total Ridership	8,159,969	470,935	-94.2%
Average Weekday Ridership	70,881	3,643	-94.9%
Total Farebox Revenue	\$ 45,334,073	\$ 14,979,355	-67.0%
On-time Performance	93.5%	96.6%	3.4%
Average Weekday Caltrain Shuttle Ridership	8,876	1,082	-87.8%

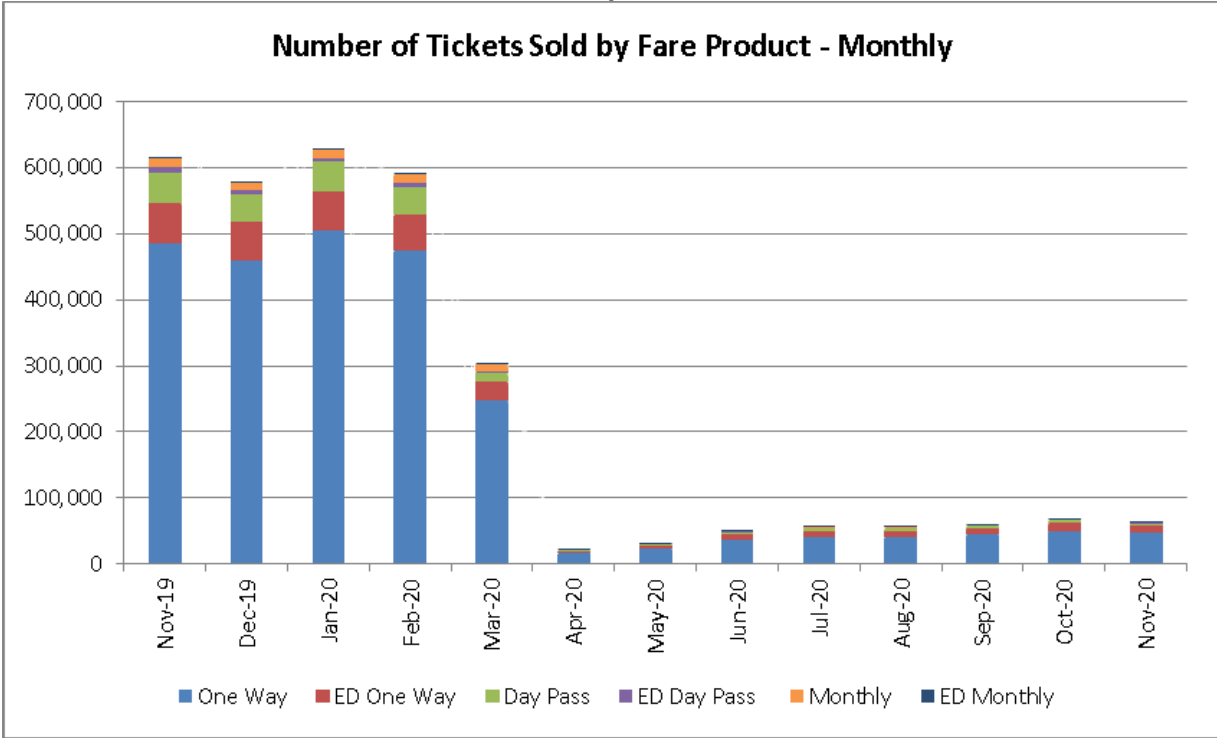
Graph A1



Graph A2

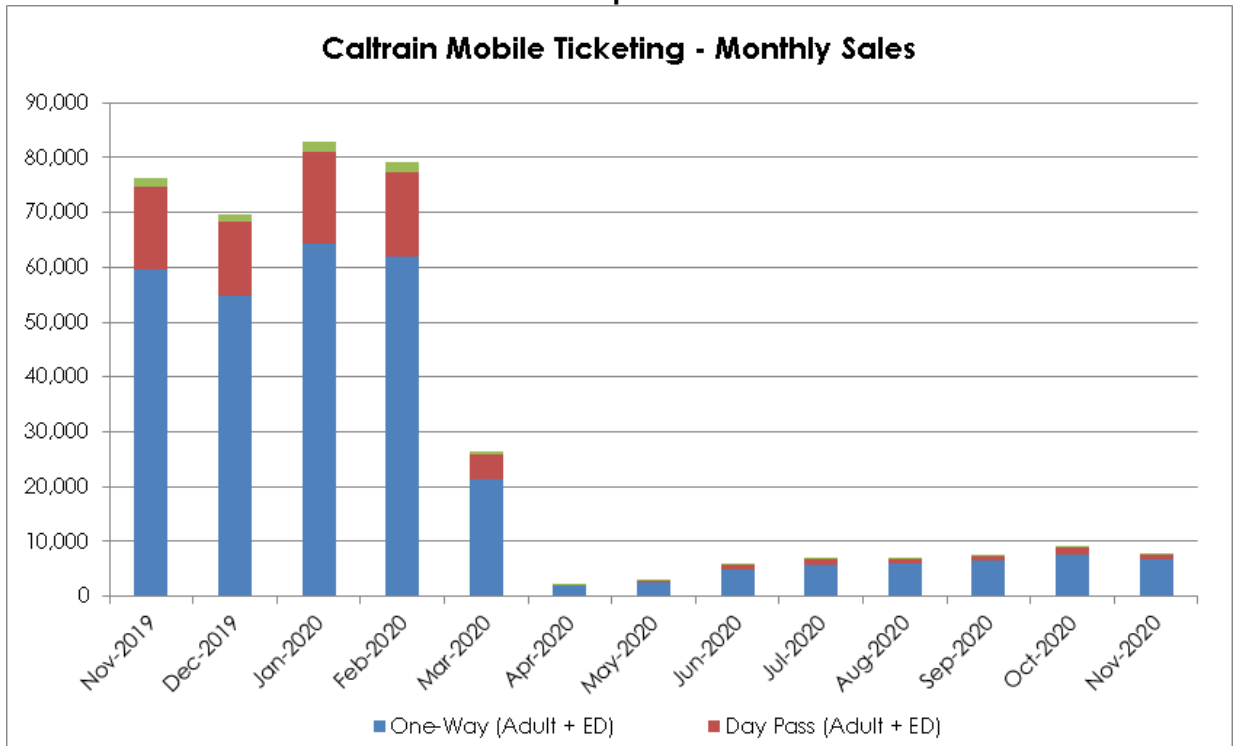


Graph B

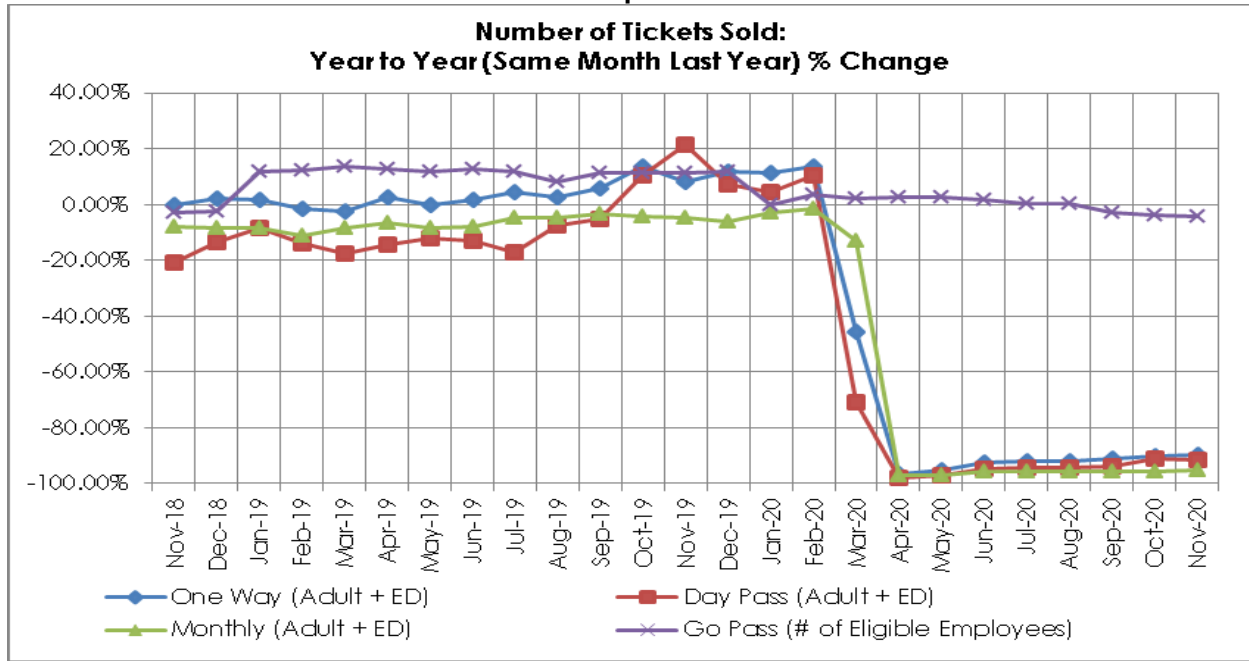


**Go Passes tracked by Monthly Number of Eligible Employees (not by Sales)*

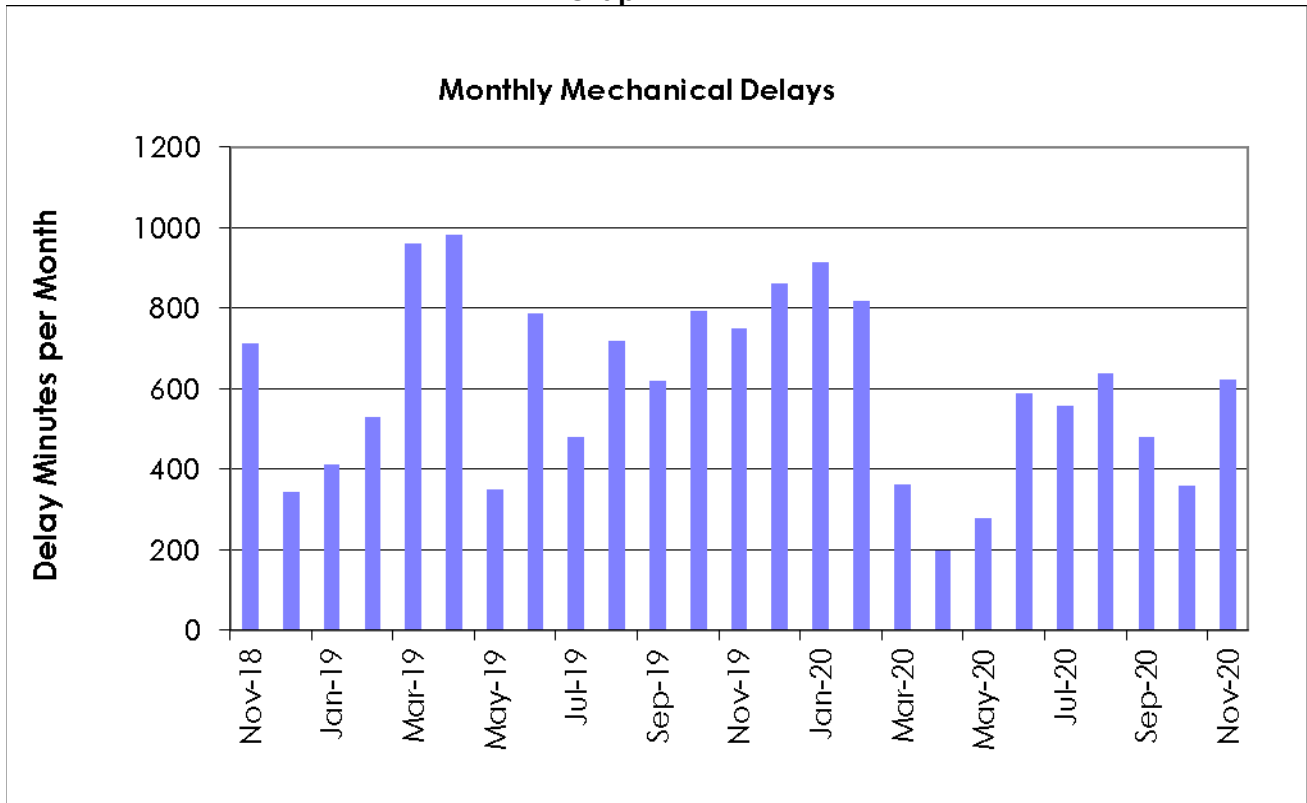
Graph C



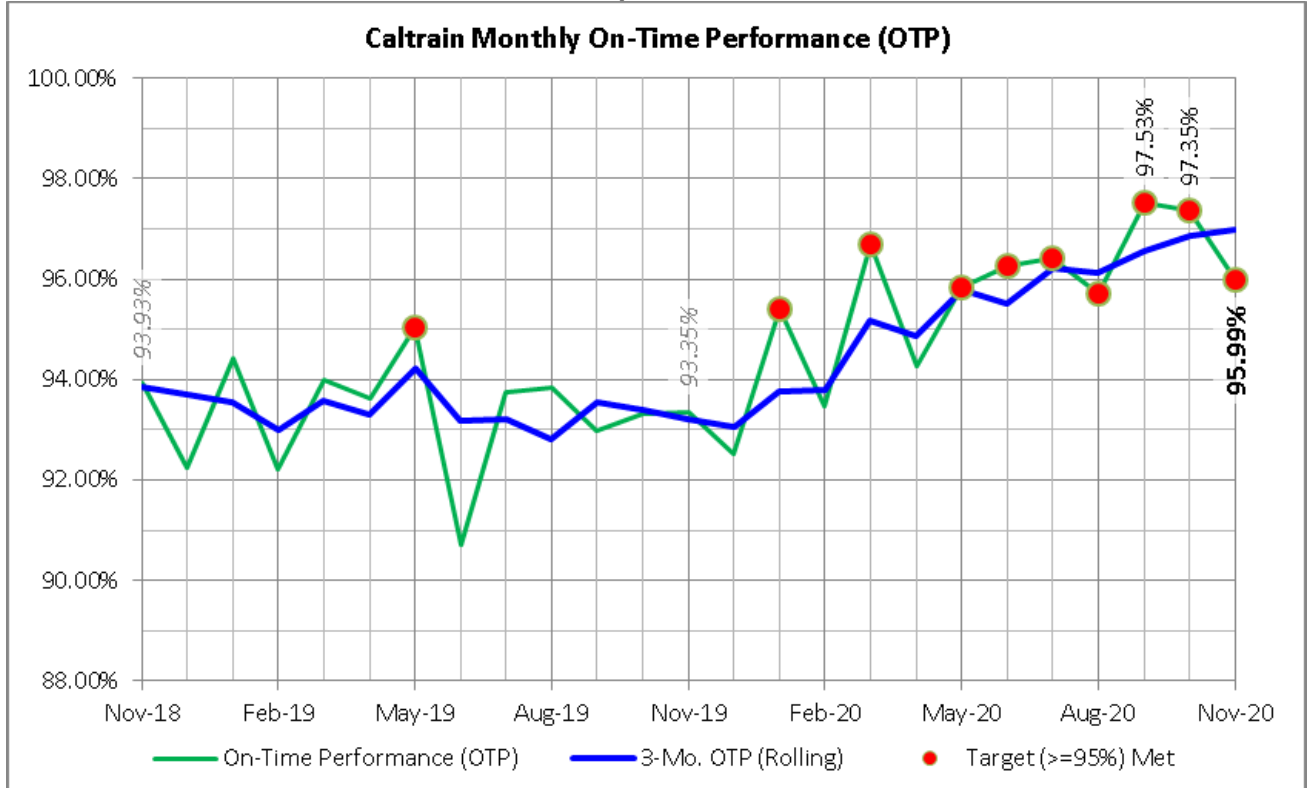
Graph D



Graph E1



Graph E2



No Caltrain Promotions for November 2020

Caltrain Digital Metrics (Social & Web)

	Nov. 2020	Oct. 2020	YTD 2020
*Impressions	1,258,587	2,245,872	N/A
**Website Sessions	125,708	138,722	2,889,185

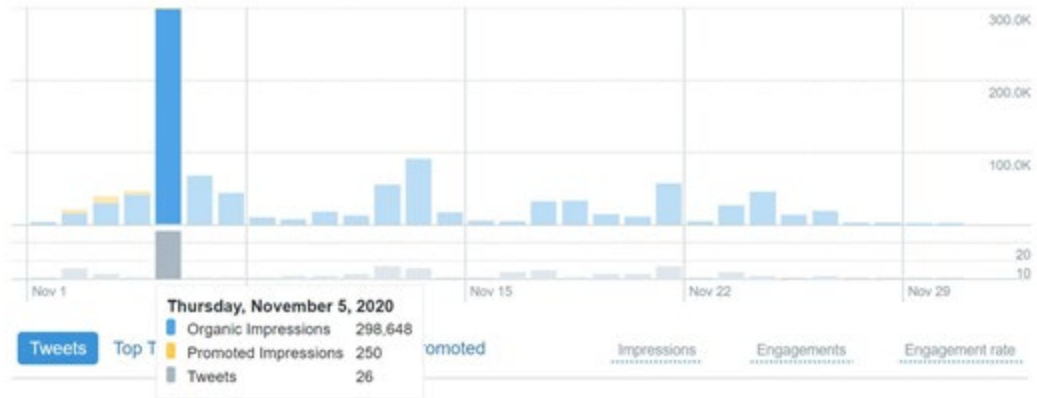
*Facebook, Twitter, Instagram

***Interactions not included in order not to skew numbers reported by Jeremy

Top Tags across social: CT Compliment, _CT COVID19, _CT_Measure RR

Total followers for the month of November 2020 only including the social applications above are: 155,747

Your Tweets earned **1.0M impressions** over this 30 day period



Prepared by:

Patrice Givens, Administrative Analyst II
 James Namba, Marketing Specialist
 Jeremy Lipps, Social Media Officer

650.508.6347
 650.508.7924
 650.622.7845

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

FROM : Derek Hansel
Chief Financial Officer

Rona Rios
Acting Chief Communications Officer

Joan Cassman
Legal Counsel

SUBJECT: **ACCEPT THE STATEMENTS OF VOTES AND CERTIFICATES OF ELECTION RESULTS FROM THE COUNTIES OF SANTA CLARA, SAN FRANCISCO, AND SAN MATEO AND DECLARE THE TOTALS TO BE THE FINAL RESULTS OF THE ELECTION FOR MEASURE RR**

ACTION

Accept the Statements of Votes and Certificates of Election Results for Measure RR, the Peninsula Corridor Joint Powers Board (JPB) Caltrain Sales Tax, submitted to the voters of the counties of Santa Clara, San Francisco, and San Mateo, and declare the totals to be the final results of the election.

SIGNIFICANCE

In 2017, the Governor signed Senate Bill (S.B.) 797, which authorized the JPB to implement a new retail transactions and use tax of up to 0.125% in the three counties served by Caltrain if (i) the Board of Directors of the JPB adopts by a 2/3 vote a resolution submitting the measure to the voters, (ii) the measure is approved by the Boards of Supervisors in the Counties of Santa Clara, San Mateo and San Francisco, (iii) the measure is approved by the governing boards of the San Francisco Municipal Transportation Agency (SFMTA), SMCTD and VTA, and (iv) the tax is adopted by a two-thirds vote (66 2/3 %) of the three Counties' voters. As required by S.B. 797, the JPB Board of Directors adopted a resolution submitting the measure to the voters and the Boards of Supervisors of each of the three counties and the governing boards of SFMTA, SMCTD, and VTA each approved the measure.

The election was held on November 3, 2020 and the Registrar of Voters/Chief Elections Officer of each of the three Counties have certified the following results:

Santa Clara County:

Vote	Total	Percentage
Yes	528,238	66.13%
No	270,494	33.87%

San Francisco County:

Vote	Total	Percentage
Yes	300,438	73.37%
No	109,056	26.63%

San Mateo County:

Vote	Total	Percentage
Yes	248,981	70.81%
No	102,601	29.18%

When the votes cast in each County are totaled, the combined results are:

Vote	Total	Percentage
Yes	1,077,657	69.08%
No	482,151	30.91%

Once the Board of Directors accepts the Statements of Votes and Certificates of Election results for Measure RR and declares the totals to be the final results of the election, staff and Legal Counsel will work with the California Department of Tax and Fee Administration to begin the process of implementing Measure RR.

BUDGET IMPACT

The Senate's analysis of S.B. 797 estimates that Measure RR will generate approximately \$100 million per year.

BACKGROUND

Since its inception, the JPB has had no dedicated source of funding other than passenger fares and, instead, relies on contributions from its Member Agencies – the SMCTD, VTA and the City and County of San Francisco (CCSF) – to fund its operating and capital budgets under two different funding formulas. This approach fosters an uncertain financial and planning environment for the JPB and keeps the JPB from operating at service levels that meet the rising passenger demands for Caltrain service.

The tax revenues from Measure RR will be prioritized as follows:

- To support the operation of Caltrain service levels throughout the corridor from San Francisco to Gilroy, including, but not limited to, expanded service and increased capacity realized through the operation of an electrified system. The required support includes the maintenance of equipment, infrastructure and systems necessary to sustain and expand the service;
- To support the infrastructure, rolling stock, and capital projects necessary to advance the expansion of the Caltrain peak hour service from 6 trains per hour per direction to 8 trains per hour per direction, as well as the expansion of the Gilroy service to a minimum of five morning and five afternoon trains;
- To develop and implement programs to expand access to the Caltrain service and facilitate use of the system by passengers of all income levels,

including establishing an affordability program with consideration of discounted passes and/or additional means-based fare discounts informed by Caltrain's Means Based Fare Pilot Program.

Prepared by: Shayna van Hoften, Legal Counsel

415.995.5880

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

* * *

**ACCEPTING THE STATEMENTS OF VOTES AND CERTIFICATES OF ELECTION RESULTS FROM THE
COUNTIES OF SANTA CLARA, SAN FRANCISCO AND SAN MATEO, AND DECLARING THE
TOTALS TO BE THE FINAL RESULTS OF THE ELECTION FOR MEASURE RR,
THE PENINSULA CORRIDOR JOINT POWERS BOARD CALTRAIN SALES TAX**

WHEREAS, the Peninsula Corridor Joint Powers Board (JPB) is a joint exercise of powers authority duly formed and governed pursuant to the October 3, 1996 restated joint powers agreement between the City and County of San Francisco, the San Mateo County Transit District (SMCTD), and the Santa Clara Valley Transportation Authority (VTA) (together, the "Member Agencies"); and

WHEREAS, to provide a means to address the JPB's financial challenges, in 2017 the Governor signed Senate Bill No. 797, introduced by Senator Jerry Hill and codified as Section 7286.65 of the California Revenue and Taxation Code, authorizing the JPB to implement a new retail transactions and use tax of up to 0.125 percent in the City and County of San Francisco and the Counties of San Mateo and Santa Clara (together, the "Counties") if (i) the Board of Directors of the JPB adopts a resolution by a two-thirds vote submitting the measure to the voters, (ii) the submission of the measure to the voters is approved by each of the Boards of Supervisors in the Counties (together, the "Boards of Supervisors"), (iii) the submission of the measure to the voters is approved by the governing boards of the San Francisco Municipal Transportation Agency (SFMTA), the SMCTD, and VTA (together, the "Governing Boards"), and (iv) the tax is adopted by a two-thirds vote of the three Counties' voters; and

WHEREAS, on August 6, 2020, the JPB's Board of Directors (Board) adopted a resolution, including a ballot measure, providing for the imposition of a one-eighth of one

percent (0.125%) retail transactions and use tax for a period of thirty (30) years, throughout the three Counties, to fund operating and capital expenses of the Caltrain rail service, and to support the operating and capital needs required to implement the Service Vision adopted by the JPB on October 3, 2019 as part of the Caltrain Business Plan (Measure RR); and

WHEREAS, as required by California Revenue and Taxation Code Section 7286.65(b), the Boards of Supervisors and the Governing Boards granted their approval for the JPB to place Measure RR before the voters of the Counties; and

WHEREAS, the three Counties conducted a statewide general election on November 3, 2020 and the Registrar of Voters/Chief Elections Officer of each of the Counties certified the election results from their respective counties; and

WHEREAS, the JPB Secretary has received the Statements of Votes for each County, and calculated the total vote across the three Counties as follows:

Vote	Total	Percentage
Yes	1,077,657	69.08%
No	482,151	30.91%

; and

WHEREAS, the JPB Secretary has certified to these results, as evidenced in a Certificate, a copy of which is attached hereto as Exhibit A and incorporated herein by this reference; and

WHEREAS, pursuant to the Certificate, Measure RR was approved by more than two thirds of the votes cast in the three Counties; and

WHEREAS, pursuant to Elections Code Section 15400, the Board now desires to declare the results of the election.

NOW, THEREFORE, BE IT RESOLVED by the Board of Directors of the Peninsula

Corridor Joint Powers Board as follows:

1. The above recitals are true and correct.
2. The Board accepts the Statements of Votes and Certificates of Elections Results from each of the three Counties.
3. The Board declares that Measure RR was approved by more than two thirds of the votes cast in the three Counties.

Regularly passed and adopted this 7th day of January, 2021 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary

CERTIFICATE OF ELECTION RESULTS

STATE OF CALIFORNIA)
) ss.
COUNTY OF SAN MATEO)

I, Dora Seamans, Secretary of the Board of Directors of the Peninsula Corridor Joint Powers Board hereby declare:


1. A Presidential General Election was held within the boundaries of the Peninsula Corridor Joint Powers Board on November 3, 2020 for the purpose of submitting the following measure to the voters:

RR To preserve Caltrain service and support regional economic recovery, prevent traffic congestion, make Caltrain more affordable and accessible, reduce air pollution with cleaner and quieter electric trains, make travel times faster, and increase Caltrain frequency and capacity between Santa Clara, San Mateo, and San Francisco counties, shall the Peninsula Corridor Joint Powers Board's resolution levying a 30-year one-eighth cent sales tax with oversight and audits, providing approximately \$100 million annually for Caltrain that the State cannot take away, be adopted?

2. The official canvass of the returns of the election was conducted by the Office of the Registrar of Voters/Office of Elections/Department of Elections for the Counties of Santa Clara, San Mateo, and San Francisco in accordance with the appropriate provisions of the Elections Code of the State of California.

3. The Statements of the Votes Cast in each County, now on file at my office, show the whole number of votes cast for Measure RR in each of the precincts within the Counties of Santa Clara, San Mateo, and San Francisco, and the totals shown have been certified by the Registrar of Voters of the County of Santa Clara and the Chief Elections Officers of San Mateo and San Francisco Counties as true and correct.

IN WITNESS WHEREOF, I HAVE HEREUNTO SET MY HAND on this 29th day of December, 2020.

By: 
Board Secretary
Peninsula Corridor Joint Powers Board

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Rona Rios
Acting Chief Communications Officer

SUBJECT: **ADOPTION OF THE 2021 LEGISLATIVE PROGRAM**

ACTION

The SCC recommends that the Board approve the final 2021 Legislative Program.

SIGNIFICANCE

The 2021 Program establishes the principles that will guide Caltrain's legislative and regulatory advocacy efforts through the 2021 calendar year, including the first half of the 2021-2022 State legislative session and first session of the 117th Congress. The program is intended to be broad enough to cover the wide variety of issues that are likely to be considered during that time and flexible enough to allow Caltrain to respond swiftly and effectively to unanticipated developments. Adoption of the Program provides our legislative delegation and our transportation partners with a clear statement of Caltrain's priorities.

The 2021 Program is organized to guide Caltrain's actions and positions in support of three primary objectives:

1. Maintain and enhance funding opportunities to support Caltrain's programs, projects, and services.
2. Seek a regulatory environment that streamlines project delivery and maximizes Caltrain's ability to meet public transportation service demands.
3. Reinforce and expand programs that build and incentivize public transportation ridership.

The Program is structured to apply these core objectives to a series of issues detailed in the 2021 Legislative Program.

Should other issues surface that require Caltrain's attention, actions will be guided by the three policy objectives listed above. If needed, potential action on issues that are unrelated to these policy goals will be brought to Caltrain's Board of Directors for consideration.

Caltrain and its legislative consultants will employ a variety of engagement tools to support the 2021 Legislative Program, including:

1. Direct Engagement

Engage policymakers directly and sponsor legislation, submit correspondence and provide public testimony that communicates and advances Caltrain's legislative priorities and positions.

2. Coalition-based Engagement

Engage local and regional stakeholders to build awareness about specific issues and participate in local, regional, statewide and national coalitions organized to advance positions that are consistent with the 2021 Program.

3. Media Engagement

Build public awareness and communicate legislative priorities by issuing press releases, organizing media events, and through the use of social media and other electronic media.

BUDGET IMPACT

There is no impact on the budget.

BACKGROUND

Staff actively monitors legislative and regulatory activity and will seek Board positions on selected bills as appropriate to further Caltrain's legislative objectives and to provide support for our advocacy efforts. Staff will supply updated reports summarizing relevant legislative and regulatory activities, allowing the Board to track legislative developments and providing opportunities to take appropriate action on pending legislation.

Prepared By: Casey Fromson,
Government and Community Affairs Director

650.508.6493

Caltrain

2021 Legislative Program

Purpose

Legislative and regulatory actions have the potential to significantly benefit Peninsula Joint Powers Board / Caltrain (Agency) programs and services. They also have the potential to present serious challenges that threaten the Agency's ability to meet the county's most critical transportation demands.

The 2021 Legislative Program establishes the principles that will guide the Agency's legislative and regulatory advocacy efforts through the 2021 calendar year, including the first half of the 2021-22 State legislative session and first session of the 117th Congress. The program is intended to be broad enough to cover the wide variety of issues that are likely to be considered during that time and flexible enough to allow the Agency to respond swiftly and effectively to unanticipated developments.

Objectives

The 2021 Legislative Program is organized to guide the Agency's actions and positions in support of three primary objectives:

- Maintain and enhance funding opportunities to support the Agency's programs and services;
- Seek a regulatory environment that streamlines project delivery and maximizes the Agency's ability to meet transportation service demands; and
- Reinforce and expand programs that build and incentivize public transportation ridership, improve quality transportation choices, and better incorporate Caltrain service with other agencies in the Bay Area.

Issues

The Legislative Program is structured to apply these core objectives to a series of State and Federal issues falling in these categories:

- Budget and Transportation Funding Opportunities
- Transportation Projects Funding Requests and Needs
- Regulatory, Legislative, and Administrative Issues

Within these categories are a detailed list of specific legislative initiatives and corresponding set of policy strategies.

Should other issues surface that require the Board's attention, actions will be guided by the three policy objectives listed above. If needed, potential action on issues that are unrelated to these policy goals will be brought to the Board for consideration.

Advocacy Process

Staff will indicate on each monthly legislative update recommended positions for pending bills. Once the board has an opportunity to review the recommended position, staff will communicate the position to the relevant entity (such as the bill author, agency, or coalition). In rare circumstances, should a position on a bill be needed in advance of a board meeting, staff will confer with the Board Chair. If legislation falls outside of the scope of the Board's adopted Legislative Program, Board approval will be required prior to the agency taking a position.

Public Engagement Strategies

Staff, led by the Communications Division and its legislative consultants, will employ a variety of public engagement strategies to support the 2021 Legislative Program, including:

- Direct Engagement
Engage policymakers directly and sponsor legislation, submit correspondence and provide public testimony that communicates and advances the Agency's legislative priorities and positions.
- Coalition-based Engagement
Engage local and regional stakeholders to build awareness about specific issues and participate in local, regional, statewide and national coalitions organized to advance positions that are consistent with the 2021 Legislative Program.
- Media Engagement
Build public awareness and communicate the Agency's legislative priorities by issuing press releases, organizing media events, and through the use of social media.

The adopted legislative program will guide the agency's legislative advocacy efforts until approval of the next program.

State and Regional

Funding Opportunities and Challenges

<i>Issue / Background</i>	<i>Strategy</i>
<p>General Funding In 2020, transit agencies were hit hard by the loss of ridership and revenue due to the COVID-19 pandemic. Caltrain ridership dropped 95% which was catastrophic since 70% of the operating budget relied on fares. While federal funding has provided some relief in the near-term, significant additional funding is needed to mitigate the pandemic’s impact.</p> <p>In 2017, the State enacted SB 1, which provides \$5.2 billion to maintain local streets and roads and highways, ease traffic congestion, and provide mobility options through investments in public transportation and bicycle and pedestrian programs.</p> <p>In 2014, the Legislature called for, via SB 1077, a pilot program to study a road charge model as an alternative to the gas tax. The nine-month pilot began in July 2016, with over 5,000 participating vehicles statewide. The California State Transportation Agency (CalSTA) reported its findings from the Legislature to the CTC and the Legislature in 2018.</p>	<ul style="list-style-type: none"> ● Direct advocacy for additional funds and support efforts by the California Transit Association and other stakeholders to secure additional state funding for transit systems in response to COVID-19. ● Ensure that COVID relief funding is sub allocated through the region is based on revenue losses. ● Protect against the elimination or diversion of any State or regional funds that support the agency’s transportation needs. ● Support State funding allocation requests for investments that benefit the agency’s transportation programs and services. ● Work with statewide transit coalitions to identify and advance opportunities for funding that would support the agency’s transportation priorities. ● Support efforts to provide funding for the deployment of zero emission transit vehicles and infrastructure. ● Monitor recommendations of the Road Usage Charge (RUC) Technical advisory Committee and implementation of a RUC program by the California State Transportation Agency (CalSTA). ● Monitor efforts to implement a mileage-based user fee as a potential revenue source.
<p>Formula Funding In 2020, transit formula funding suffered due to the COVID-19 pandemic as fuel consumption declined.</p>	<ul style="list-style-type: none"> ● Support CTA efforts to provide formula funding flexibility as part of a larger response to COVID-19 impacts.

<p>After years of diversion to support the State’s General Fund, funding for the State Transit Assistance (STA) program has remained stable over the last few budget cycles thanks to successful legal, legislative and political efforts on behalf of the transportation community. Still, more revenue is needed in order to meet the demand of increased ridership, reduce highway congestion and adhere to the State’s mandate of reducing greenhouse gas emissions, and creating livable communities.</p> <p>In 2019, the California Transit Association convened a working group, at the request of the Senate and Assembly Transportation Committees to review and provide potential changes to the Transportation Development Act (TDA).</p>	<ul style="list-style-type: none"> • Support the full funding of the STA program at levels called for in the 2011 reenactment of the 2010 gas-tax swap legislation. • Advocate for the regularly scheduled issuance of State infrastructure bonds that support the Agency’s services and programs. • Support full and timely allocation of the Agency’s STIP share. • Participate in the California Transit Association’s TDA taskforce and support CTA efforts to engage the Legislature on TDA reform and the review of performance measures for transit.
<p>Cap-and-Trade Revenues In 2012, the State began implementing the cap-and-trade market-based compliance system approved as a part of the California Global Warming Solutions Act of 2006 (AB 32). Since the program began selling allowances, the program has generated billions of dollars. In 2014, legislation was enacted creating a long-term funding plan for cap-and-trade which dedicates 60 percent of cap-and-trade revenues to transportation. The remaining 40 percent is subject to annual appropriation through the state budget process. In 2017, the legislature extended the program from 2020 to 2030.</p>	<ul style="list-style-type: none"> • Work with the Administration and like-minded coalitions to secure the appropriation of additional cap-and-trade revenues to support the Agency’s transportation needs. • Support legislation and regional action that makes a broad array of the Agency’s emissions-reducing transportation projects, programs and services eligible for investment. • Protect existing cap-and-trade appropriations for transit operations, capital projects and sustainable communities strategy implementation. • Work to direct additional revenues to transit-eligible programs, including efforts to secure funding from the remaining discretionary funds and revenues dedicated to the high-speed-rail project. • Support efforts to revise the State’s definition on “disadvantaged communities” to encompass a larger proportion of disadvantaged communities on the Peninsula.

<p>The programs require a certain percentage of funds be expended in state defined “disadvantaged communities” (as defined by CalEnviroScreen). This can prove difficult in jurisdictions with a small number of disadvantaged communities.</p>	
<p>Voter Threshold Legislation has been considered in recent years that provide a framework for lowering the thresholds for the State or a city, county, special JPB or regional public agency to impose a special tax.</p>	<ul style="list-style-type: none"> • Support efforts to amend the State Constitution to reduce the voter threshold required for the State or a city, county, special district or regional transportation agency to impose a special tax for transportation projects or programs.
<p>Other State or Local Funding Options Local and regional governments continue to seek methods for funding new infrastructure, facility needs, sustainability initiatives, and projects that will support ridership growth through a variety of methods such as managed lanes and local ballot measures.</p> <p>In 2020, there was the potential for a regional transportation measure (called FASTER Bay Area), led by the Bay Area Council, Silicon Valley Leadership Group and SPUR. They were working towards a future ballot and many details about the timing, funding mechanism and expenditure plan are still being discussed.</p> <p>In 2014, the Federal Aviation Administration’s (FAA) issued a rule called the “Policy and Procedures Concerning the Use of Airport Revenue, proceeds from Taxes on Aviation Fuel.” The rule would require that local taxes on aviation fuels must be spent on airports is</p>	<ul style="list-style-type: none"> • Advocate for legislation that would create new local funding tools to support transportation infrastructure and services. • Support innovative local and regional funding options that will provide financial support for the agency. • Support legislation that works to ensure revenues generated through express lane projects remain in the County of origin. • Advocate for funding sources that would assist transit agencies in obtaining funds for sustainability initiatives including water conservation, waste reduction, long-term resource efficiency of facilities and equipment, and greenhouse gas reductions. • Support funding for workforce development, retention and housing to attract and retain quality personnel. • Support efforts that allow for public private partnerships that benefit the implementation of capital projects, efficient operation of transit services, or enhanced access to a broad range of mobility options that reduce traffic congestion. • Work to ensure the agency is at the table and appropriately funded as part of any potential regional funding measure. • Support efforts to ensure sales tax revenues generated from aviation fuel continue to fund planned transportation projects. Support the State of California in its efforts to respond and address FAA’s requests.

<p>contrary to states' rights to control their general application sales tax measures. The State of California has been active in addressing this issue.</p>	
<p>Transportation & Housing Connection Given the housing shortage crisis, there have been efforts at the State and regional level to link housing and zoning with transportation funding.</p>	<ul style="list-style-type: none"> • Evaluate state or regional efforts that directly link transportation funding to housing and provide for higher density housing projects near transit stations. • Advocate for solutions that appropriately match decision making authority with funding (i.e – An agency shouldn't be financially penalized for decisions that are outside the authority of the agency). • Monitor the implementation of the Surplus Lands Act and advocate for clarifying language on the disposition of properties subject to the Act.
<p>Transportation Projects</p>	
<p>General As the Bay Area's population continues to grow, the region's transportation infrastructure is being negatively impacted. Highways, local streets and roads are becoming heavily congested, Caltrain is nearing its capacity limits, and the demand for housing with easy access to public transit is increasing.</p>	<ul style="list-style-type: none"> • Work with partners in the region to bring business, community, and transportation stakeholders together to enhance, support and advocate for transportation and mobility in the Bay Area.
<p>Transit Oriented Development / First and Last Mile First and last mile projects, as well as transit oriented development projects are an important part of the broad transit ecosystem that will help support robust ridership in the corridor.</p>	<ul style="list-style-type: none"> • Support efforts to provide commuters with easy and convenient options to travel to and from major transit centers to their final destination. • Support the development of new and innovative first and last mile options. • Support increased funding opportunities for first and last mile projects. • Advocate for policies that promote transit-oriented developments in ways that with compliment transit services. • Support the State's GHG reduction goals by supporting transit oriented developments. • Support state funding incentives and streamlining processes for transit oriented development.
<p>Transportation Demand Management (TDM) TDM is the application of strategies and policies to reduce travel demand of single-occupancy</p>	<ul style="list-style-type: none"> • Support efforts that provide more TDM tools and funding opportunities. • Support policies that encourage use of TDM.

<p>vehicles or to redistribute this demand in space or time.</p>	
<p>Caltrain Modernization (CalMod) Program In 2012, the State Legislature appropriated \$705m in Prop 1A high-speed rail funds to modernize the Caltrain corridor and lay the foundation for future high-speed rail service. Under a multi-party regional funding agreement, this investment was matched with a variety of local, regional, state and federal funding sources to electrify the corridor, install an advanced signaling system and replace Caltrain’s aging diesel trains with electric trains that will dramatically improve service between San Francisco and San Jose. The CalMod program is a transformational first step in the realization of a larger future for Caltrain that will be guided by the Caltrain 2040 Business Plan efforts.</p> <p>Caltrain 2040 Business Plan In October 2019, the Caltrain Board adopted a long-term 2040 Service Vision, defining an ambitious plan for growing service over the next 20-plus years. The service vision outlines the capital and operating needs to achieve the this vision and includes projects such as longer EMU fleet, longer platforms, level boarding, passing tracks, grade separations and station upgrades. It also identified needs to prepare the railroad to expand and integrate into a regional rail network. The plan is expected to be complete early 2021.</p> <p>Caltrain Equity and Growth Framework In 2020, Caltrain developed a policy to advance equity</p>	<ul style="list-style-type: none"> • Advocate for the sale and allocation of Proposition 1A bonds to meet the commitments specified in SB 1029 with respect to the Caltrain corridor and work to include funding for Caltrain in any future Proposition 1A appropriations. • Support the allocation of cap-and-trade funding to advance implementation of the CalMod Program. • Work with state, local and regional partners to advance policies and actions that will help secure funding needed to fulfill local, regional and state commitments to the CalMod Program. • Work to address regulatory challenges that limit the implementation of solutions that will maximize Caltrain capacity and service benefits. • Advocate for funding and policies to support grade separation projects. • Support the allocation of cap-and-trade or other state / regional funding to advance implementation of Caltrain projects. • Work to address regulatory actions or policies that negatively impact Caltrain future capacity or service improvements. • Support the implementation of the Caltrain Business Plan associated projects and policies. Continue to educate the Caltrain legislative delegation and key members of the Administration on the Plan. • Ensure relevant state and regional agencies incorporate relevant elements of the Caltrain business plan in their long-term plans. • Support funding and regulations that are consistent with Caltrain’s equity and growth policy. • Consistent with existing agreements between JPB and CHSRA, support efforts to plan, engage stakeholders, and implement the Blended System project on the Caltrain corridor. • Ensure Caltrain is positioned to receive funding if there is an appropriation of Cap and Trade funds and/or bond funds in support of the state’s rail modernization efforts. • Secure one-time bonus funding from the California Transportation Commission from the Local Partnership Program for successful passage of Measure RR.

within the system and neighboring communities. The policy will help address systemic inequality by taking steps to ensure the Caltrain system is accessible and useful to all. The policy also advances efforts to improve Caltrain connections to the regional transit network and provide direction on service priorities during and after the COVID-19 pandemic.

High-Speed Rail Blended System In 2016, a new round of HSR Blended System planning, outreach and environmental clearance work kicked-off in the corridor. HSR anticipates releasing a Draft EIR in 2020. While this project is not being led by the JPB, the agency owns the right-of-way and has a significant interest in the process and success of the project that will “blended” with Caltrain service. HSR may ask for another Prop 1A allocation in 2021.

Regulatory and Administrative Issues

General Every year a variety of legislation or regulatory action is pursued that would affect regulations governing transportation-related service operations, administration, planning and project delivery. In addition, opportunities exist to reform or update existing regulations that are outdated, or can be improved to address potential burdens on transportation agencies without affecting regulatory goals. Recently, there have been calls for a more coordinated and streamlined transit system in the Bay Area.

- Support opportunities to remove barriers to, and improve the ability to conduct, safe, efficient transportation operations, administration, planning and project delivery efforts, including alternative project delivery methods that provide flexibility to the agency.
- Oppose efforts to impose unjustified and burdensome regulations or restrictions on the Agency’s ability to conduct efficient transportation operations, administration, planning and project delivery efforts.
- Engage with MTC, the Legislature, and stakeholders on policies stemming from MTC’s Blue Ribbon Transit Recovery Task Force and the “Seamless” Bay Area efforts.

<p>State is providing guidance on COVID related transit measure to protect the public health and reduce virus transmission during the pandemic.</p>	<ul style="list-style-type: none"> • Ensure that new requirements impacting transit agencies support improve connections with other transit system and don't result in tradeoffs that have unintended consequences for key transit riders and stakeholders. • Work with the Administration to ensure guidance considers impacts on transit operations and the ability to meet transit rider mobility needs.
<p>California Environmental Quality Act (CEQA) Several regional and statewide transportation organizations continue working to modernize CEQA and minimize unnecessary delays during the environmental review process. In 2020, legislation was passed (SB 288) providing a series of statutory exemptions for transit and active transportation projects under CEQA.</p>	<ul style="list-style-type: none"> • Closely monitor efforts to modernize CEQA. Without compromising CEQA's effectiveness as an environmental protection policy, support proposals that advantage transportation projects, including bicycle, pedestrian and transit-oriented development projects. • Monitor the implementation and opportunities related to SB 288.
<p>Sustainable Communities Strategies Implementation In conjunction with AB 32 and SB 32 implementation, the Sustainable Communities and Climate Protection Act (SB 375) requires regions to develop Sustainable Communities Strategies (SCS) with integrated housing, land-use and transportation policies that will accommodate population growth and reduce regional greenhouse gas emissions by specific amounts. In 2017, regional authorities in the Bay Area approved the update to Plan Bay Area. MTC and ABAG are in the process of updating the Plan. The final Plan Bay Area 2050 is expected to be adopted in 2021.</p>	<ul style="list-style-type: none"> • Advocate for policies that provide adequate and equitable funding to support increased demand and dependence on the Agency's transportation services associated with the implementation of SB 375 and Plan Bay Area. • Ensure any planning, development, or policy proposals are consistent with the Agency's policies and planning, especially the Caltrain Business Plan.
<p>Executive Orders Related to GHG: Since taking office, Governor Newsom has issued two Executive Orders – N-19-19 and N-79-20 – calling for reduced emissions from the transportation sector and larger, coordinated investments in transit, active transportation and land-use. The</p>	<ul style="list-style-type: none"> • Engage in the State's effort to address the transit-specific goals outlined in the executive orders. • Protect transit agencies from any negative impacts stemming from the executive orders (e.g. additional mandates without funding). • Work to ensure state and federal funds are made available to achieve the goals outlined in the orders.

<p>executive orders highlight the need for expanding clean transportation options. The Administrative efforts on this issue are also being referred to as: Climate Action Plan for Transportation Infrastructure (CAPTI).</p>	
<p>Federal</p>	
<p>Funding Opportunities and Challenges</p>	
<p><i>Issue / Background</i></p>	<p><i>Strategy</i></p>
<p>Federal Appropriations In 2020, transit agencies were hit hard by the loss of ridership and revenue due to the COVID-19 pandemic. Caltrain ridership dropped 95% which was catastrophic since 70% of the operating budget relied on fares. While federal funding has provided some relief in the near-term, significant additional funding is needed to mitigate the pandemic’s impact.</p> <p>Every year, Congress adopts several appropriations bills that cover 12 major issue areas, including the Transportation, Housing and Urban Development bill. These measures provide the authority for federal agencies to spend money during the upcoming fiscal year for the programs they administer.</p> <p>In September 2020, Congress passed a continuing resolution (CR) to keep federal agencies funded at the same level as the previous fiscal year, through December 11, 2020. Congress is expected to pass</p>	<ul style="list-style-type: none"> • Advocate directly as well as support broad stakeholders coalition efforts to secure additional federal funding for transit systems in response to COVID-19. • Partner with local, regional, State and national coalitions to advocate appropriation of the maximum authorized amount for programs that benefit the agency’s transportation services and needs. • Work with local and regional coalitions to support requests for funding from discretionary programs, including the Capital Investment Grant program and BUILD. • Communicate frequently with the agency’s federal delegation and key appropriators on the needs or concerns of pending appropriation bills.

<p>a CR or omnibus appropriations bill to fund the government for the fiscal year 2021.</p> <p>Despite Administration budgets to limit funding for the Capital Investment Grant program (New Starts/Small Starts/Core Capacity), Congress continues to provide funding for the program and has include language in the annual Transportation/HUD Appropriations bills requiring the Federal Transit Administration (FTA) to allocate funding for projects and to continue to sign full funding grant agreements.</p>	
<p>Tax and Finance Congress considers legislation that governs tax and finance issues that impact transit agencies.</p>	<ul style="list-style-type: none"> • Support efforts to ensure tax provisions that benefit the agency’s priorities are included in any tax or finance proposal. • Protect against the elimination or diversion of any tax policies that support the agency’s transportation needs.
<p>Transportation Projects</p>	
<p>General Support the efforts of partnering agencies to obtain federal funding for the Agency’s related transit projects.</p>	<ul style="list-style-type: none"> • Work with federal delegation members, as well as local, regional, and state coalitions to support the federal funding requests for our partner transit agencies on projects that provide complimentary services for the agency.
<p>Caltrain Modernization (CalMod) Program The current Caltrain Electrification Project funding plan includes funding from several federal funding sources including the FTA Core Capacity Program.</p> <p>Positive Train Control (PTC) is a federal mandate. The current Caltrain Positive Train Control (PTC) project includes some funding from the Federal Railroad Administration (FRA).</p>	<ul style="list-style-type: none"> • Advocate for the Caltrain Electrification Project FTA Core Capacity funding to be included in the President’s budget request and in the annual THUD Appropriations bills. • Work with federal delegation members, as well as local, regional, and state coalitions to support the Caltrain requests for funding. • Advocate for additional PTC funding for operating expenses. • Support efforts to streamline regulatory administrative hurdles to supporting full PTC operations. • Support the allocation of federal funding to advance implementation of Caltrain-related projects. • Advocate for funding and policies to support grade separation projects.

The CalMod program is a transformational first step in the realization of a larger future for Caltrain that will be guided by the Caltrain 2040 Business Plan efforts.

Caltrain 2040 Business Plan In October 2019, the Caltrain Board adopted a long-term 2040 Service Vision, defining an ambitious plan for growing service over the next 20-plus years. The service vision outlines the capital and operating needs to achieve the this vision and includes projects such as longer EMU fleet, longer platforms, level boarding, passing tracks, grade separations and station upgrades. It also identified needs to prepare the railroad to expand and integrate into a regional rail network. The plan is expected to be complete early 2021.

Caltrain Equity and Growth Framework In 2020, Caltrain developed a policy to advance equity within the system and neighboring communities. The policy will help address systemic inequality by taking steps to ensure the Caltrain system is accessible and useful to all. The policy also advances efforts to improve Caltrain connections to the regional transit network and provide direction on service priorities during and after the COVID-19 pandemic.

High-Speed Rail Blended System In 2016, a new round of HSR Blended System planning, outreach and environmental clearance work kicked-off in the corridor. HSR anticipates releasing a Draft EIR in 2020. While this project is not being led by the JPB, the agency owns the right-of-way and has a

- Work to address regulatory actions or policies that negatively impact future capacity or service improvements.
- Support the implementation of the Caltrain Business Plan associated projects and policies. Continue to educate the Caltrain legislative delegation and key members of the Administration on the Plan.
- Support funding and regulations that are consistent with Caltrain’s equity and growth policy.
- Consistent with existing agreements between JPB and CHSRA, support efforts to plan, engage stakeholders, and implement the Blended System project on the Caltrain corridor.

<p>significant interest in the process and success of the project that will “blended” with Caltrain service.</p>	
<p>Regulatory and Administrative Issues</p>	
<p>General Every year a variety of legislation or regulatory action is pursued that would affect regulations governing transportation-related service operations, administration, planning and project delivery. In addition, opportunities exist to reform or update existing regulations that are outdated, or can be improved to address potential burdens on transportation agencies without affecting regulatory goals.</p>	<ul style="list-style-type: none"> • Support opportunities to remove barriers to, and improve the ability to conduct, safe, efficient transportation operations, administration, planning and project delivery efforts, including alternative project delivery methods that provide flexibility to the agency. • Oppose efforts to impose unjustified and burdensome regulations or restrictions on the Agency’s ability to conduct efficient transportation operations, administration, planning and project delivery efforts.
<p>FAA Rule In 2014, the Federal Aviation Administration’s (FAA) issued a rule called the “Policy and Procedures Concerning the Use of Airport Revenue, proceeds from Taxes on Aviation Fuel.” The rule would require that local taxes on aviation fuels must be spent on airports is contrary to states’ rights to control their general application sales tax measures.</p> <p>The Senate FY2021 Transportation/HUD Appropriations bill includes report language encouraging the Department of Transportation “to continue working with State and local governments and the FAA to develop a path forward to allow the use of local sales tax revenues generated on the sale of aviation fuel to be used in a manner consistent with their enactment.”</p>	<ul style="list-style-type: none"> • Support efforts to protect the ability of local and state governments to determine how general sales tax measures are allocated. • Continue to advocate for report language in the annual appropriations bills and support legislative changes that would permanently clarify the issue. • Support the State of California in its efforts to respond and address FAA’s requests

<p>Congress is currently negotiating the FY2021 appropriations bills now and it unclear if this language remains in the final conference report.</p>	
<p>FAST Act Reauthorization and other Regulations In September 2020, Congress passed the extension of the FAST Act until September 2021.</p> <p>During Congress’ consideration of the reauthorization bill next year, there will be an opportunity to change, increase funding, and implement new policy for highway, transit, and rail programs.</p> <p>Both Senate and House authorization committees have stated that passing the FAST Act authorization bill is their top priority.</p> <p>Background: In July 2019, the Senate Environment and Public Works (EPW) Committee passed, America’s Transportation Infrastructure Act of 2019. This bill will need to be introduced in the next Congress and will likely be the “base” bill that the Senate will use.</p> <p>However, four committees in the Senate have jurisdiction of the bill: EPW (highways); Banking (transit); Commerce (rail and goods movement); and Finance (paying for the bill). EPW is the only committee that has written their portion of the bill. The other three committees need to draft their seconds and identify funding to pay for the bill.</p> <p>In July 2020, the House passed Investing in a New Vision for the Environment and Surface</p>	<ul style="list-style-type: none"> • Collaborate with local, regional, state and national transportation advocacy groups to coordinate comments and advocacy efforts that support regulations that maximize benefits for transportation programs, services and users. • Collaborate with local, regional, state and national transportation advocacy groups to coordinate proposals and advocacy efforts for FAST Act reauthorization. • Support efforts to increase authorization levels for transit programs – both discretionary and formula programs. • Support authorizing transit agencies to become direct subrecipients of Section 5310 for the Enhanced Mobility of Seniors and Individuals with Disabilities. • Support securing authorization to implement low-cost solutions, such as dynamic envelope paving, to increase safety at at-grade rail grade crossings. • Support additional funding for grade separations: Increase the annual funding for the Federal Highways Administration (FHWA) Railway-Highway Crossings (Section 130) Program by \$1B per year and authorize 50% of the annual funding set aside for a discretionary grant program that States, metropolitan planning organizations, local governments, special purpose districts or public authorities a transportation function, and tribal governments will be eligible. • Monitor and review guidance and rulemaking proposals affecting FAST Act implementation and other transportation issues.

<p>Transportation (INVEST) in America Act as part of a broader infrastructure bill. The INVEST Act authorized a \$494 surface transportation bill. The INVEST Act will require Congress to identify \$140 billion for the Highway Trust Fund. This bill will likely be reintroduced in the new Congress and the “base bill” that the House Transportation & Infrastructure Committee uses as it advances surface transportation reauthorization next year.</p>	
<p>Infrastructure Proposals Congress and the Biden Administration could consider an infrastructure package in 2021 that would include increased funding for highways, transit, aviation, and water programs. House Speaker Nancy Pelosi has said that the House’s infrastructure bill, Moving America Forward, will be the base for the House infrastructure bill. It is unclear if the Senate will consider an infrastructure bill.</p>	<ul style="list-style-type: none"> • Monitor closely and take action as needed on the new Biden Administration or Congressional policies that may have a significant impact on transit / transportation projects and programs. • Advocate for funding for the Agency’s projects and needs in a broad infrastructure proposal.

PENINSULA CORRIDOR JOINT POWERS BOARD
RESOLUTION EXPRESSING APPRECIATION TO

RON COLLINS

FOR HIS OUTSTANDING SERVICE ON THE
CALTRAIN BOARD OF DIRECTORS

WHEREAS, RON COLLINS was appointed to serve on the Caltrain Board of Directors on February 7, 2019; and

WHEREAS, RON COLLINS has been an advocate for important transportation issues and improvements, bringing a strong sense of initiative to the Board and furthering Caltrain's goal of providing quality transportation service to improve the quality of life for the communities we serve throughout the Caltrain region; and

WHEREAS, RON COLLINS has been significant part of the decision-making process related to the coronavirus (COVID-19) pandemic, including the endorsement of the Bay Area Healthy Transit Plan, a regional transit plan that outlines best practices for frequent cleaning, personal protective equipment, face coverings, physical distancing, ventilation, and touchless fares in order to ensure that public transit is safe for all Bay Area residents and transit employees; and

WHEREAS, RON COLLINS has been supportive of many Caltrain infrastructure projects including the Peninsula Corridor Electrification Project (PCEP), 25th Avenue Grade Separation Project and Positive Train Control (PTC); and

WHEREAS, RON COLLINS served on the PCEP ad hoc committee to help make specific recommendations as it relates to the Caltrain's Electrification project; and

WHEREAS, RON COLLINS was a huge supporter of the Board adopted Caltrain Business Plan and Framework for Equity, Connectivity, Recovery & Growth policy, an ongoing effort to define how Caltrain service will grow to meet the evolving needs of the region; the equity policies included in the Framework will help ensure that the rail service's recovery from the COVID-19 occurs in a way that expands access to low-income individuals and communities of color that have historically been underrepresented in the system's ridership; and

WHEREAS, RON COLLINS supported the adoption Caltrain's participation in the Clipper START program, which allow lower-income adults, to receive fare discounts on select transit services around the region; Clipper START offers eligible Caltrain riders a 50 percent discount, which the agency recently increased following the economic fallout resulting from COVID-19; and

WHEREAS, RON COLLINS was instrumental in getting a voter-approved dedicated funding source for Caltrain for the first time in the rail agency's history; the 30-year measure will allow Caltrain to invest in the operation and expansion of faster, more frequent electrified service with added capacity necessary to accommodate expected increases in ridership demand in the decades to come; and

NOW, THEREFORE, BE IT RESOLVED that the Caltrain Board of Directors does hereby thank and commend **RON COLLINS** for his outstanding leadership as an important member of the Board of Directors. Unanimously passed and adopted this 7th day of January, 2021.



Dave Pine, Chair
Peninsula Corridor Joint Powers Board

PENINSULA CORRIDOR JOINT POWERS BOARD
RESOLUTION EXPRESSING APPRECIATION TO

JEANNIE BRUINS

FOR HER OUTSTANDING SERVICE ON THE
CALTRAIN BOARD OF DIRECTORS

WHEREAS, JEANNIE BRUINS was appointed to serve on the Caltrain Board of Directors on February 2, 2017 and served as chair in 2018; and

WHEREAS, JEANNIE BRUINS provided invaluable leadership during her tenure, bringing a strong sense of initiative and transparency to the Board and furthering Caltrain's goal of providing quality transportation service to improve the quality of life for the communities we serve throughout the region; and

WHEREAS, JEANNIE BRUINS has been significant part of the decision-making process related to the coronavirus (COVID-19) pandemic, including endorse the Bay Area Healthy Transit Plan, a regional transit plan that outlines best practices for frequent cleaning, personal protective equipment, face coverings, physical distancing, ventilation, and touchless fares in order to ensure that public transit is safe for all Bay Area residents and transit employees; and

WHEREAS, JEANNIE BRUINS was instrumental in securing a Project Management and Funding Agreement with the California High Speed Rail Authority (CHSRA) that facilitated the delivery of state funding for the Peninsula Corridor Electrification Project (PCEP); and

WHEREAS, JEANNIE BRUINS served on the PCEP ad hoc committee and the Governance Process ad hoc committee to make specific recommendations as it relates to the Electrification project, as well as the governance of Caltrain; and

WHEREAS, JEANNIE BRUINS has been instrumental in supporting many of Caltrain's other major infrastructure projects including the 25th Avenue Grade Separation Project, the South San Francisco Station Improvement Project and Positive Train Control (PTC); and

WHEREAS, JEANNIE BRUINS was a huge supporter of Caltrain's Long Term Service Vision, which is a plan to maximize the value of electrified service; the adopted service vision also ensures that Caltrain is ready to expand and integrate into a regional rail network over the next 20 years including the expected Downtown Extension to the Salesforce Transit Center in Downtown San Francisco, a potential renewed rail corridor across the Dumbarton Bridge and enhancements at the Diridon Station in San Jose; and

WHEREAS, JEANNIE BRUINS was also a huge supporter of the Caltrain Board adopted Caltrain Business Plan and the Framework for Equity, Connectivity, Recovery & Growth policy; The Framework is part of the Business Plan, an ongoing effort to define how the service will grow to meet the evolving needs of the region. The equity policies included in the Framework will help ensure that the rail service's recovery from the COVID-19 pandemic occurs in a way that expands access to low-income individuals and communities of color that have historically been underrepresented in the system's ridership; and

WHEREAS, JEANNIE BRUINS chaired the seven-agency group tasked with shepherding the process of putting a revenue measure on the ballot, and was instrumental in getting a voter-approved dedicated funding source for Caltrain for the first time in the rail agency's history; the 30-year measure will allow Caltrain to invest in the operation and expansion of faster, more frequent electrified service with added capacity necessary to accommodate expected increases in ridership demand in the decades to come; and

WHEREAS, JEANNIE BRUINS supported the development and implementation of the agency's first mobile app to modernize Caltrain's fare infrastructure; and

WHEREAS, JEANNIE BRUINS' work on the Caltrain Fare Policy has brought a renewed sense of equity and transparency to the agency's fare structure and provides a better user experience for riders; and

WHEREAS, during Caltrain's regular board meetings, **JEANNIE BRUINS'** friendly, determined presence provided a sense of order and created an air of open engagement between the public and the Board; and

NOW, THEREFORE, BE IT RESOLVED that the Caltrain Board of Directors does hereby thank and commend **JEANNIE BRUINS** for her outstanding leadership as an important member of the Board of Directors. Unanimously passed and adopted this 7th day of January, 2021.

Dave Pine, Chair
Peninsula Corridor Joint Powers Board



**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

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

ACTION

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

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

SIGNIFICANCE

Year to Date Revenues: As of November year-to-date actual, the Grand Total Revenue (page 1, line 17) is \$8.9 million higher than the adopted budget. This is primarily driven by CARES ACT Fund (page 1, line 13) and Farebox Revenue (page 1, line 1) which are partially offset by less revenues in Shuttles (page 1, line 3) and JPB Member Agencies (page 1, line 12).

Year to Date Expenses: As of November year-to-date actual, the Grand Total Expense (page 1, line 48) is \$13.4 million lower than the adopted budget. This is primarily driven by Rail Operator Service (page 1, line 23), Insurance (page 1, line 28), Facilities and Equipment Maintenance (page 1, line 30), Professional Services (page 1, line 40) and Other Office Expenses and Services (page 1, line 42).

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

BUDGET IMPACT

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

STRATEGIC INITIATIVE

This item does not achieve a strategic initiative.

Prepared By : Thwe Han, Accountant II

650-508-7912

Jennifer Ye, Manager, General Ledger

650-622-7890

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

		% OF YEAR ELAPSED			41.7%	
		YEAR TO DATE	JULY - NOVEMBER			
		CURRENT	APPROVED	\$	%	
		ACTUAL	BUDGET	VARIANCE	BUDGET	
REVENUE						
OPERATIONS:						
1	Farebox Revenue	14,979,355	13,615,496	1,363,859	10.0%	
2	Parking Revenue	162,396	211,304	(48,908)	(23.1%)	
3	Shuttles	632,352	737,610	(105,259)	(14.3%)	
4	Rental Income	450,925	472,060	(21,135)	(4.5%)	
5	Other Income	671,589	654,217	17,372	2.7%	
6						
7	TOTAL OPERATING REVENUE	16,896,617	15,690,687	1,205,930	7.7%	
8						
9	CONTRIBUTIONS:					
10	AB434 Peninsula & TA Shuttle Funding	977,512	721,666	255,846	35.5%	
11	Operating Grants	1,969,395	1,947,231	22,164	1.1%	
12	JPB Member Agencies	14,637,719	15,751,092	(1,113,373)	(7.1%)	
13	CARES ACT Fund	36,255,020	27,671,988	8,583,032	31.0%	
14						
15	TOTAL CONTRIBUTED REVENUE	53,839,646	46,091,977	7,747,669	16.8%	
16						
17	GRAND TOTAL REVENUE	70,736,263	61,782,664	8,953,599	14.5%	
18						
19						
20	EXPENSE					
21						
22	OPERATING EXPENSE:					
23	Rail Operator Service	33,688,049	39,152,558	(5,464,509)	(14.0%)	
24	Security Services	2,630,631	2,825,795	(195,164)	(6.9%)	
25	Shuttle Services	1,370,875	1,441,388	(70,513)	(4.9%)	
26	Fuel and Lubricants	2,499,751	2,601,436	(101,685)	(3.9%)	
27	Timetables and Tickets	-	41,944	(41,944)	(100.0%)	
28	Insurance	2,253,767	5,168,889	(2,915,122)	(56.4%)	
29	Claims, Payments, and Reserves	243,290	398,406	(155,116)	(38.9%)	
30	Facilities and Equipment Maintenance	604,639	1,966,950	(1,362,311)	(69.3%)	
31	Utilities	737,789	1,130,943	(393,154)	(34.8%)	
32	Maint & Services-Bldg & Other	85,181	685,240	(600,059)	(87.6%)	
33						
34	TOTAL OPERATING EXPENSE	44,113,972	55,413,549	(11,299,577)	(20.4%)	
35						
36	ADMINISTRATIVE EXPENSE					
37	Wages and Benefits	4,584,767	4,991,740	(406,973)	(8.2%)	
38	Managing Agency Admin OH Cost	1,634,517	2,137,956	(503,439)	(23.5%)	
39	Board of Directors	5,669	11,025	(5,356)	(48.6%)	
40	Professional Services	950,109	1,701,380	(751,271)	(44.2%)	
41	Communications and Marketing	34,921	88,847	(53,926)	(60.7%)	
42	Other Office Expenses and Services	314,191	1,015,748	(701,557)	(69.1%)	
43						
44	TOTAL ADMINISTRATIVE EXPENSE	7,524,173	9,946,696	(2,422,523)	(24.4%)	
45						
46	Long Term Debt Expense	1,311,656	992,396	319,260	32.2%	
47						
48	GRAND TOTAL EXPENSE	52,949,801	66,352,641	(13,402,840)	(20.2%)	
49						
50	NET SURPLUS / (DEFICIT)	17,786,462	(4,569,977)	22,356,439	(489.2%)	
51						

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BOARD OF DIRECTORS 2020

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

PENINSULA CORRIDOR JOINT POWERS BOARD

INVESTMENT PORTFOLIO

AS OF NOVEMBER 30, 2020

JIM HARTNETT
 EXECUTIVE DIRECTOR

TYPE OF SECURITY		MATURITY DATE	INTEREST RATE	PURCHASE PRICE	MARKET RATE
Local Agency Investment Fund (Unrestricted)	*	Liquid Cash	0.576%	36,765	36,765
County Pool (Unrestricted)		Liquid Cash	1.235%	553,344	553,344
Other (Unrestricted)		Liquid Cash	0.050%	66,473,185	66,473,185
Other (Restricted)	**	Liquid Cash	0.050%	13,256,334	13,256,334
				\$ 80,319,628	\$ 80,319,628

Interest Earnings for November 2020 \$ 1,470.94
 Cumulative Earnings FY2021 \$ 14,940.59

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

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

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Michelle Bouchard
Chief Operating Officer, Rail

SUBJECT: **AWARDING A SOLE SOURCE AGREEMENT TO HOWARD PERMUT LLC TO
PROVIDE GOVERNANCE ADVISORY SERVICES IN THE NOT-TO-EXCEED
AMOUNT OF \$200,000**

ACTION

Staff Coordinating Council recommends the Board of Directors (Board) authorize the Executive Director to execute a sole source agreement with Howard Permut LLC for governance advisory services in support of the Peninsula Corridor Joint Powers Board (JPB) Governance Process Ad Hoc Committee (Committee) through January 2022.

SIGNIFICANCE

Pursuant to JPB Resolution No. 2020-42, changes to the JPB's governance structure or processes are to be recommended to the JPB member agencies by December 31, 2021. Staff and the Committee desire a knowledgeable consultant to assist them in completing this work.

Staff and the Committee believe that engaging Howard Permut directly would be the most cost- and time-effective manner to facilitate the Committee's work to satisfy the terms of the Resolution 2020-42. As a result of his previous work as part of the Caltrain Business Plan as referenced in the background section, staff has concluded that award of a sole source contract is warranted.

As part of this work, Howard Permut will undertake three tasks (Services) including 1) supporting the work of the Committee in its deliberations regarding a range of governance changes and options as articulated in the Permut Report on the Caltrain Organization completed for the Caltrain Business Plan; 2) supporting the Committee in its monthly meetings through January 2022; and 3) if requested, supporting the JPB staff team in collaborating with the Metropolitan Transportation Commission on its study regarding regional rail.

The total value of the Services is estimated to be \$200,000, which provides for a total of 500 hours of consultant support.

BUDGET IMPACT

The recommended action will cost \$100,000 each in Fiscal Years 2021 and 2022. Funds are and will be available in the current and future year budgets.

BACKGROUND

In 2019, Howard Permut LLC was engaged by Stanford University to analyze JPB rail governance as part of the ongoing Caltrain Business Plan. Howard Permut issued a report in July 2019 in connection with a presentation at the August 2019 JPB Board meeting. The report presented research and analysis across a spectrum of organizational areas including service delivery, internal organization and governance. The report provided substantial research regarding rail governance models nationally and internationally, as well as governance options for JPB consideration. Howard Permut also provided an additional presentation at the November 2019 JPB Board workshop. At that time, a Governance Ad Hoc Committee of the Board was established. It was subsequently replaced by the current Governance Process Ad Hoc Committee in September 2020.

Prepared by: Michelle Bouchard, COO

650.508.6240

RESOLUTION NO. 2021-

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

*** * ***

**AWARDING AN AGREEMENT TO HOWARD PERMUT LLC TO PROVIDE
GOVERNANCE ADVISORY SERVICES IN THE NOT-TO-EXCEED AMOUNT OF \$200,000**

WHEREAS, in 2019, Howard Permut LLC (Howard Permut) was engaged by Stanford University to analyze Peninsula Corridor Joint Powers Board (JPB) rail governance as part of the ongoing Caltrain Business Plan; and

WHEREAS, Howard Permut's report, which presented research and analysis across a spectrum of organizational areas including service delivery, internal organization and governance, was issued in July 2019 in connection with a presentation at the August 2019 JPB Board of Directors (Board) meeting; and

WHEREAS, the report also provided substantial research regarding national and international rail governance models, as well as governance options for JPB consideration; and

WHEREAS, a Governance Ad Hoc Committee of the Board was established that was subsequently replaced by the current Governance Process Ad Hoc Committee (Committee) in September 2020; and

WHEREAS, the Board of Directors, with the assistance of the Committee, is tasked with developing a process by which the JPB will recommend a governance structure or procedures to the three JPB member agencies no later than December 31, 2021; and

WHEREAS, as a result of this deadline and Howard Permut's unique capability, developed through the work provided to Stanford University, to provide the desired services, staff has determined that a sole source contract award to Howard Permut to

provide governance advisory services is appropriate; and

WHEREAS, the Executive Director recommends, and Staff Coordinating Council concurs, that the Board of Directors award a sole source agreement to Howard Permut LLC to provide the JPB with governance advisory services to support the Board's and the Committee's work.

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby awards an agreement to Howard Permut LLC for governance advisory services for a not-to-exceed amount of \$200,000; and

BE IT FURTHER RESOLVED that the Board authorizes the Executive Director or his designee to execute a contract on behalf of the JPB with Howard Permut LLC in a form approved by legal counsel.

Regularly passed and adopted this 7th day of January, 2021 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

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

Michelle Bouchard
Chief Operating Officer, Rail

Derek Hansel
Chief Financial Officer

SUBJECT: **AUTHORIZATION TO RECEIVE FUNDING AND AMEND THE FISCAL YEAR 2021
CAPITAL BUDGET TO ADD \$4,125,000 FOR A TOTAL OF \$86,459,772 FOR THE
ATHERTON CALTRAIN STATION CLOSURE PROJECT**

ACTION

Staff Coordinating Council recommends the Board authorize the Executive Director, or his designee, to:

1. Authorize the Executive Director, or his designee, to enter into a funding agreement with the San Mateo County Transportation Authority (TA) to receive \$4,125,000 of Measure A Transit – Caltrain Category funds for the Atherton Caltrain Station Closure project (Project); and
2. Approve the amendment to the FY2021 Capital Budget by \$4,125,000 from \$82,334,772 to \$86,459,772 ; and
3. Take any other actions necessary or furnish any additional information as may be required to receive funds.

SIGNIFICANCE

In November 2020, the JPB authorized the closure of Atherton Station and the execution of an MOU with the town of Atherton to effectuate the removal of the station. Key activities outlined in the MOU include:

- De-mobilization of the station and installation of temporary fencing to eliminate station access and secure the rail right of way.
- Installation of permanent safety fencing along the Atherton rail station area.

- Design and construction of four-quadrant gates (also referred to as "quad gates"), and related safety improvements, at the Watkins Avenue rail crossing.
- Contribution by the JPB toward the study and implementation of access improvements connecting the Atherton Town Center to the Menlo Park Caltrain Station.
- Contribution by the JPB toward the development and implementation of an initial plan by the Town to provide site improvements within the station area outside of the operating right-of-way.

The initial de-mobilization of the station and temporary fencing will be undertaken by Caltrain's contract operator and is funded through the existing Caltrain operating budget. However, the remaining project elements are estimated at \$6,200,000. To help fund these components, the JPB requested \$4,125,000 of San Mateo County Transportation Authority (TA) Measure A Caltrain Category funding, which was approved by the TA Board at their November 5, 2020 meeting. While JPB staff are seeking grant funding for the remainder, the \$4,125,000 will fund the construction of the permanent fencing, the access improvements study as well as the design of the quad gates at Watkins avenue.

BUDGET IMPACT

The estimated total cost of the Atherton Station Closure Project is \$6.2 million. Of this total, \$4,125,000 will be funded by the San Mateo County Transportation Authority Measure A funds. Staff is requesting board authority only for the fully funded portion of the total project cost.

BACKGROUND

The JPB suspended regular weekday Caltrain service to Atherton Station in 2005. At that time, average weekday ridership was approximately 122 passengers per day. Caltrain currently provides limited, weekend-only service to the Atherton Station, with trains in each direction stopping every 90 minutes. Before the COVID-19 pandemic and related shelter-in-place orders, the Atherton station was used by approximately 114 riders per average weekend day.

The Atherton Station has an older, narrow "center-boarding" configuration that requires pedestrians to cross the tracks to access the boarding platform. This substandard configuration limits train operations through the station, as trains operating in the other direction must "hold out" while a train is boarding. Most "hold out rule" stations on the corridor have now been rebuilt. Atherton, along with Broadway and College Park, is one of the few remaining stations with this configuration still in place. As Caltrain service increases post electrification, the need for trains to "hold out" will create an operational bottleneck that will increasingly constrain the overall system.

Prepared By:	Rebecca Arthur, Senior Grants Analyst	650.508.6368
	David Pape, Principal Planner	650.508.6210

RESOLUTION NO. 2021 –

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

*** * ***

AUTHORIZATION TO RECEIVE FUNDING AND AMEND THE FISCAL YEAR 2021 CAPITAL BUDGET BY \$4,125,000 TO \$86,459,772 FOR THE ATHERTON CALTRAIN STATION CLOSURE

WHEREAS, on June 7, 1988, the voters of San Mateo County approved a ballot measure known as "Measure A," which increased the local sales tax in San Mateo County by one half percent with the new tax revenue to be collected and distributed by the San Mateo County Transportation Authority (TA), to be used for highway and transit improvements pursuant to the Transportation Expenditure Plan presented to the voters; and; and

WHEREAS, on November 2, 2004, the voters of San Mateo County approved the continuation of the TA and enacted a New Measure A half-cent sales tax transactions and use tax for an additional 25 years to implement the 2004 Transportation Expenditure Plan beginning January 1, 2009; and

WHEREAS, the Peninsula Corridor Joint Powers Board (JPB) submitted a request to the TA in the amount of \$4,125,000 to help fund the Atherton Caltrain Station Closure Project (Project); and

WHEREAS, the TA approved the allocation of \$4,125,000 in Measure A funds for the Project on November 5, 2020, and

WHEREAS, the Board of Directors is being requested to authorize the Executive Director, or his designee, to:

1. Enter into an Agreement with the San Mateo County Transportation Authority to receive \$4,125,000 of Measure A Transit – Caltrain Category funds for the Atherton Caltrain Station Closure project, and
2. Amend the FY2021 Capital Budget to include \$4,125,000 for the Atherton Caltrain Station Closure Project; and
3. Take any other actions necessary or furnish any additional information as may be required to receive funds.

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors authorizes the Executive Director, or his designee, to:

1. Enter into a funding agreement with the San Mateo County Transportation Authority (TA) to receive \$4,125,000 of Measure A Transit – Caltrain Category funds for the Atherton Caltrain Station Closure project, and
2. Amend the FY2021 Capital Budget by \$4,125,000 to a total of \$86,459,772 for the Atherton Caltrain Station Closure project; and
3. Take any other actions necessary or furnish any additional information as may be required to receive funds.

Regularly passed and adopted this 7th day of January, 2021 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary



FY2020-2021 CAPITAL BUDGET

Attachment B
Amendment 3
January 2021

Item #	PROJECT NAME	Year to Date FY21 CAPITAL BUDGET	Federal Funds	Federal De-allocate to Operating	State Funds	STA SOGR Funds	Member Funds Total	Other					Other Funds Total	Proposed Amended FY21 CAPITAL BUDGET	
								Project Savings	AB664	SF Prop K other	Regional Funds	San Mateo County Transportation Authority			Other
iii. OPERATIONAL IMPROVEMENTS/ENHANCEMENTS															
4	Positive Train Control Litigation ³	6,600,000	-	-	-	-	-	-	-	-	-	-	6,600,000	6,600,000	6,600,000
5	Wayside Bike Parking Improvements ⁴	1,389,322	-	-	-	-	-	-	-	1,240,000	-	149,322	1,389,322	1,389,322	1,389,322
27	Grade Crossing Hazard Analysis Data Collection	200,000	-	-	-	-	200,000	-	-	-	-	-	-	-	200,000
28	FY21 Grade Crossing Safety Improvements Design	500,000	-	-	-	-	500,000	-	-	-	-	-	-	-	500,000
29	EAM – Enterprise Asset Management software system	750,000	-	-	-	-	750,000	-	-	-	-	-	-	-	750,000
30	Update and Upgrade GIS system	500,000	-	-	-	-	500,000	-	-	-	-	-	-	-	500,000
31	San Mateo Grade Crossing Improvements	2,000,000	-	-	2,000,000	-	-	-	-	-	-	-	-	-	2,000,000
32	Broadway Burlingame Grade Separation ⁹	19,838,000	-	-	-	-	-	-	-	-	18,338,000	1,500,000	19,838,000	19,838,000	19,838,000
		31,777,322	-	-	2,000,000	-	1,950,000	-	-	-	1,240,000	18,338,000	8,249,322	27,827,322	31,777,322
iv. PLANNING/STUDIES															
6	22nd St. ADA Feasibility Study ⁵	50,000	-	-	-	-	-	50,000	-	-	-	-	-	50,000	50,000
7	Business Plan ⁶	509,157	-	-	-	-	-	-	-	-	-	509,157	509,157	509,157	509,157
33	Capital Planning (CIP)	1,250,000	-	-	-	-	1,250,000	-	-	-	-	-	-	-	1,250,000
34	San Francisco Station and Terminal Planning	1,000,000	-	-	-	-	1,000,000	-	-	-	-	-	-	-	1,000,000
35	Diridon and South Terminal Area	1,000,000	-	-	-	-	1,000,000	-	-	-	-	-	-	-	1,000,000
36	Rail Network and Operations Planning	1,250,000	-	-	-	-	1,250,000	-	-	-	-	-	-	-	1,250,000
37	Redwood City Station Planning	750,000	-	-	-	-	750,000	-	-	-	-	-	-	-	750,000
38	Caltrain Downtown Rail Extension (DTX)	60,000	-	-	-	-	-	-	-	60,000	-	-	60,000	60,000	60,000
39	System-wide Planning and Policy & Org Design	1,168,468	-	-	-	-	967,175	-	-	201,293	-	-	201,293	1,168,468	1,168,468
40	Capital Contingency Funds - Engineering	330,000	-	-	-	-	330,000	-	-	-	-	-	-	-	330,000
41	Capital Contingency Funds - Rail	660,000	-	-	-	-	660,000	-	-	-	-	-	-	-	660,000
42	Capital Program Management	335,000	-	-	-	-	335,000	-	-	-	-	-	-	-	335,000
43	Capital Project Development	335,000	-	-	-	-	335,000	-	-	-	-	-	-	-	335,000
		8,697,625	-	-	-	-	7,877,175	50,000	-	261,293	-	-	509,157	820,450	8,697,625
		86,459,772	18,261,021	(2,220,000)	2,915,000	1,350,915	18,000,000	2,790,064	640,000	261,293	1,240,000	22,463,000	24,883,479	44,027,836	86,459,772

¹ Other funds includes project savings from the Los Gatos Bridge Replacement project (\$2,102,558) and from the San Mateo Bridge Replacement project (\$456,881) made up of Federal Section 5337 funds (\$1,421,946), prior years VTA funds (\$901,073) and SM funds (\$236,402) and deobligated Prop K funds (\$181,000)

² Insurance proceeds and/or Operating funds

³ Litigation costs funded by operating funds

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

⁵ Prior year SF member funds

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

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

⁸ Section 130

⁹ SMCTA and City of Burlingame(\$1.5 million)

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

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Michelle Bouchard
Chief Operations Officer, Rail

SUBJECT: **ON-CALL TRANSPORTATION PLANNING AND CONSULTANT SUPPORT SERVICES
UPDATE**

ACTION

This report is for information only. No Board action is required.

SIGNIFICANCE

This informational item will be presented quarterly to the Board and will report on the following:

- Total amount of work directives (WDs) issued to each firm since contract inception
- List of WDs and amendments issued since the last reporting period with the WD number, title, description, JPB project manager, vendor, issuance date, start date, end date, and value

The tables below provide an update of contract activities from July 1st, 2020 thru December 7th, 2020. Table 1 summarizes the contract capacity status. Table 2 updates the percentage of capacity used against the percent time elapsed. Table 3 shows the Board approved dates and amounts. Table 4 aggregates the WD amounts issued to each of the vendors. Table 5 describes each of the WDs issued since the last reporting period.

BUDGET IMPACT

There is no impact on the budget.

BACKGROUND

Pursuant to Resolution No. 2020-18, the Board of Directors (Board) awarded contracts to Fehr & Peers, HNTB Corporation, Kimley-Horn & Associates, Inc., Arup North America Ltd., Mott MacDonald Group Inc., and WSP USA, Inc., consisting of a five-year base term for an aggregate not-to-exceed amount of \$25,000,000 with two additional, one-year option terms in an aggregate not-to-exceed amount of \$5,000,000 for each option year.

Project Manager:	Melissa Reggiardo, Manager, Caltrain Planning	650.508.6283
Contract Administrator:	Lawrence Leung, Manager, Rail Contracts & Budget	650.508.6328

Table 1

Contract Summary	Years	Amount
Total Capacity:	7.0	\$35,000,000
Exercised:	5.0	\$25,000,000
Work Directives Issued:		\$2,057,128
Remaining Capacity:		\$22,942,872

Table 2

Contract Days	Days Elapsed	% Time Elapsed	Capacity Used
1825	159	9%	8%

Table 3

Contract Information	Start	End	Years	Capacity	Resolution/ Authorized
Base	7/1/2020	6/30/2025	5.0	\$25,000,000	2020-18
Option #1	7/1/2025	6/30/2026	1.0	\$5,000,000	
Option #2	7/1/2026	6/30/2027	1.0	\$5,000,000	
Amendment			0.0		
Total:			7.0	\$35,000,000	

Table 4

Vendor	Fehr & Peers	HNTB	Kimley-Horn	ARUP	Mott MacDonald	WSP
Contract #	20-J-P-006A	20-J-P-006B	20-J-P-006C	20-J-P-006D	20-J-P-006E	20-J-P-006F
WDs Issued	\$879,666	\$532,888	\$600,720	\$43,854	\$0	\$0

Table 5

WD#	Title	Description	Vendor	Issued	Start	Current End	Current Value
10303	Caltrain Joint Development Guidelines	Continuation of the development of Caltrain policy for joint development guidelines	Fehr & Peers	10/8/2020	10/8/2020	8/31/2020	\$ 8,605.00
10302	¹ Business Plan – Technical	Continuation and completion of Business Plan technical work including scenario planning; near-term service planning; and equity, connectivity and growth framework	Fehr & Peers	9/18/2020	8/1/2020	6/30/2021	\$ 356,058.99
10306	³ Caltrain DTX – Operations Analysis	Rail operations technical analysis to support Caltrain and California High-Speed Rail Authority (CHSRA) to assess service and infrastructure configurations for the San Francisco Downtown Rail Extension	Kimley-Horn	9/17/2020	9/1/2020	2/28/2021	\$ 105,000.00
10299	Business Plan - Business Modeling Support	Business modeling support including the evaluation of potential service and operating scenarios and the development of business modeling tools	Fehr & Peers	9/14/2020	9/14/2020	6/30/2021	\$ 67,300.00
10335	¹ 22nd St Station ADA Access Feasibility Study	Completion of the ADA Access Feasibility study for the 22nd Street Caltrain Station including background research; stakeholder engagement; conceptual designs; constructability and funding analysis; alternative screening; and final report	HNTB	9/14/2020	9/1/2020	1/31/2021	\$ 133,106.00
2108532000	¹ Communications and Outreach Program Support for PCEP FY21	Communication and outreach program support including a comprehensive marketing and communications program for PCEP in FY21	HNTB	9/10/2020	9/1/2020	6/30/2021	\$ 220,082.00
10304	² DISC Plan – PM & Outreach Support	Technical and outreach program management for the remainder of Phase I of the Diridon Station Concept Plan	Kimley-Horn	9/3/2020	9/3/2020	12/31/2020	\$ 168,355.00
10305	² DISC Plan – Technical Support & Analysis	Technical management and support and organizational, governance and funding analysis and strategy for the remainder of Phase I of the Diridon Station Concept Plan	Kimley-Horn	9/3/2020	9/3/2020	6/30/2021	\$ 327,365.00
10341	¹ Caltrain Organizational Analysis	Completion of the Caltrain Organizational Analysis that examines workforce planning; talent attraction; culture and talent strategy; contract management; and shared services maturity assessment	ARUP	9/3/2020	9/1/2020	12/31/2020	\$ 43,854.00
10334	¹ Bike Parking and Micromobility Support	Continuation of bike parking and micromobility support as Caltrain replaces and expands bike parking infrastructure throughout the Corridor; includes demand analysis, conceptual station plans and micromobility best practices	HNTB	9/1/2020	9/1/2020	3/31/2021	\$ 179,700.00
10300	¹ Business Plan - Project Management Support	Project management to support the continuation and completion of the Caltrain Business Plan technical work.	Fehr & Peers	8/12/2020	7/1/2020	6/30/2021	\$ 343,493.18
10301	¹ Business Plan - Outreach Support	Stakeholder outreach to support the continuation and completion of the Caltrain Business Plan technical work.	Fehr & Peers	8/12/2020	7/1/2020	6/30/2021	\$ 104,208.64
10336	PENDING (vendor proposal submitted) - San Francisquito Creek Bridge Replacement - Planning and Outreach	Planning and outreach to accompany baseline engineering assessments and earliest concept designs for the San Francisquito Creek Bridge replacement	HNTB			6/30/2021	\$ -
10342	PENDING (vendor proposal submitted) - DSAP Architectural Services	Development support services including planning, land use, economic, environmental and development strategy associated with commercial development on the Caltrain-owned parcels within the Diridon Station Area Plan area in the City of San Jose	ARUP			6/30/2021	\$ -
¹ Transferred from old contract #13-PCJPB-P-023							
² Multi-agency Endeavor - City of San Jose, VTA, MTC and HSR							
³ Multi-agency Endeavor - TJPA, SFCTA, HSR, CCSF and MTC							



BOARD OF DIRECTORS 2020

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JIM HARTNETT
EXECUTIVE DIRECTOR

Memorandum

Date: December 28, 2020
To: Board of Directors
From: Jim Hartnett, Executive Director
Subject: January 7, 2020 JPB Board Meeting Executive Director's Report

- **On-time Performance –**
 - **Through December 27:** The preliminary December 2020 OTP was 94.8 percent compared to 92.5 percent for December 2019.
 - **Trespasser Strikes –** There was one trespasser strike on December 8, resulting in a fatality.
 - **November:** The November 2020 OTP was 96 percent compared to 93.4 percent for November 2019.
- **Caltrain New Service Changes and Permanent Closure of Atherton Station –** On Monday, December 14, 2020 Caltrain began operating a new schedule designed to improve service for essential workers and transit-dependent riders, and is consistent with key service components of the Framework for Equity, Connectivity Recovery & Growth.

Caltrain's service adjustments are aimed at increasing ridership and better serving those that continue to depend on the system. The new schedule provides riders with more frequent off-peak and weekend train service. Caltrain's current ridership has skewed toward essential workers who are more likely to travel during off-peak times. The railroad has observed that

demand for midday and weekend trips remains comparatively more resilient, and the schedule reflects that. It also balances travel time and coverage goals while maintaining capacity for social distancing.

The new schedule provides 68 trains during the weekday, with two trains per hour, per direction running throughout the day. Operating at least two trains per hour at most times of day allows the railroad to provide 30-minute frequency at higher demand stations and reasonably competitive travel times, while improving the connection from/to BART at Millbrae. Expanding midday service to two trains per hour, and increasing weekend service frequency to hourly trips is a significant improvement to off-peak service and responds to the travel needs of low-income riders and essential workers who tend to rely on the system during these times.

Weekend ridership now makes up 17% of total ridership, three times greater than pre-COVID-19. For this reason, Caltrain provides hourly Local service on weekends instead of the current 90 minute frequency to better serve ridership demand and promote social distancing. Weekend Baby Bullet service has been discontinued. Under this new plan, train service has been extended to the Tamien station, eliminating the weekend and holiday Tamien-San Jose Diridon Shuttle. The weekend changes also include a separate schedule for Saturdays and Sundays to maintain connections from/to Millbrae BART.

In addition to the new service changes, Caltrain's agreement with the Town of Atherton has resulted in that station being permanently closed as of Saturday, December 19. The closure of the station allows Caltrain to reallocate service to nearby stations such as Menlo Park and Redwood City, which have much higher rates of existing ridership and where denser land uses are projected to generate higher levels of demand for future rail service.

Depending on public health conditions, Caltrain may need to make further service adjustments including scaling service levels up or down to meet changing needs.

- **Ridership Recovery and Business Strategy**

Today, Caltrain's ridership remains significantly depressed. As of mid-December, when we introduced our latest service change, our average weekday ridership hovered at 3,275- representing just over 5% of pre-COVID levels. Caltrain's low ridership throughout 2020 has been reflective of the overall pandemic related trends that have suppressed transit ridership regionally and nationally and is also explained by certain factors that are particularly acute relative to the Caltrain

corridor. While staff plans to return to the Board with a more detailed presentation on ridership, we believe that some of the unique factors influencing Caltrain's slow recovery include a pre-pandemic rider base that was heavily skewed toward commute trips by office and knowledge-based workers who have since overwhelmingly shifted to working remotely. We also believe that this shift has been particularly acute in the Caltrain corridor where we have seen freeway congestion, work-related mobility patterns, and office usage remain exceptionally low, even when compared to the rest of the region. Ridership has been further suppressed for the last several weeks as the region and the state have struggled in the grips of the most severe phase of the pandemic that we have yet seen. The communities Caltrain serves are under strict health orders that significantly limit the activities of residents and businesses. Given this context, staff does not expect to see meaningful increases in ridership until local health orders are relaxed and corridor residents and workers are able and encouraged to take trips and conduct activities outside their homes.

Instead, over the course of the next several months, Caltrain will remain focused on providing safe, fast and reliable regional transit service to the riders who are currently using our system for essential trips. In parallel, staff also plans to complete recovery-planning work initiated during 2020 and will return to the Board with a forward facing Business Strategy to guide the railroad over the coming several years. This Business Strategy will integrate work from the Caltrain Business Plan and the policy principles included in Caltrain's Equity, Connectivity, Recovery and Growth framework. Its aim will be to chart a financially sustainable course that will allow the railroad to rebuild and expand ridership as we move beyond the worst of the COVID-19 Pandemic and into a new and uncertain future. While the development of Caltrain's near term Business Strategy is underway, it is important to emphasize the significant steps the railroad has already taken to secure our financial future while promoting ridership growth and equity. These actions include;

- Implementation of comprehensive on-board safety protocols and participation in the regional Healthy Transit Plan
- Suspension of planned fare increases, expansion of the Clipper Start low income fare discount, and expansion of GoPass eligibility and donation program (for consideration at the January meeting)
- Expansion of midday and weekend service to serve a wider variety of trip-types and riders
- Simplification and standardization of our service to allow for better connections with other transit systems and to lower the barrier of entry for new riders
- Critical financial and cost control reforms including hiring freezes, expense reductions and significant changes to union rules
- Securing of essential new revenue sources with the passage of Measure RR and ongoing advocacy for additional federal relief funding

The Business Strategy under development will build on these early actions and further prepare Caltrain for what I expect will be a number of very challenging years.

- **January 2021 Update for PCJPB on Regional Fare Coordination and Integration Study** – The Regional Fare Coordination and Integration Study (Study) was launched in late 2019 by the Bay Area’s transit operators and MTC to identify changes to the Bay Area’s transit fare policies as a way to improve the passenger experience and grow transit ridership. The Study is co-managed by BART and MTC, with a team of staff from the majority of the Bay Area transit operators providing close input on study tasks and deliverables. The Clipper Executive Board has established a Fare Integration Task Force consisting of the members of the Clipper Executive Board as well as the Chair and Vice Chair of the Bay Area County Transportation Agencies (BACTA) group, currently the executive directors of the Solano Transportation Authority (STA) and the Napa Valley Transportation Authority (NVTA). The Fare Integration Task Force has project oversight responsibilities for all aspects of the project, and is chaired by Jim Hartnett, with AC Transit's General Manager Michael Hursh serving as Vice Chair.

Key objectives of the Study include:

- Developing goals for the regional fare system that will support an improved user experience, increased transit ridership and build on robust public outreach;
- Identifying barriers, especially barriers related to fares and the user experience, that are impeding increased ridership;
- Identifying opportunities to increase transit ridership by improving the regional fare system through regional fare coordination and integration strategies; and,
- Developing a detailed implementation plan, including funding plan, for recommended improvements.

The Study includes documentation of the existing conditions of fares in the Bay Area as well as a best practices/peer review of national and international examples of fare integration. The consultants are working to understand the regional trip-making patterns in the Bay Area in order to understand where, when, and how people travel, and are looking at Clipper data to understand what inter-operator transfer activity is taking place. Additionally, there is robust user research included in the Study designed to understand how people perceive fares and fare policies in the Bay Area, and how fares impact the decision to use transit.

The Study will produce three to five different fare coordination and integration strategies that will be evaluated and modeled for impacts on revenue and ridership. The final recommendation will be crafted into a comprehensive business case that articulates the most promising fare coordination and integration strategies for further development, and also defines a path towards implementation, including funding. The Study is projected to be complete by the end of 2021.

The Study is underway, and it is anticipated that a more extensive update on this project will be provided to the Caltrain Board in late winter/early spring 2021.

- **CAC Meeting** – The Citizens Advisory Committee met on Wednesday, December 16, via teleconference. Brent Tietjen, Government & Community Affairs Officer, provided the Draft 2021 Caltrain Legislative Program. Joe Navarro, Deputy Chief – Rail Operations, provided a presentation on Customer Experience Update. Joe also provided the Staff Report. The next CAC meeting is scheduled for Wednesday, January 20, via teleconference or in San Carlos.
- **BAC Meeting** – The next Bicycle Advisory Committee is scheduled for Thursday, January 21, via teleconference or in San Carlos.
- **Special Event Train Service** – Caltrain is not operating special event service due to the cancellation or postponement of events as result of the COVID-19 pandemic.

Services Provided:

- **Holiday Service** – During the following Holidays, Caltrain operated the following schedules:
 - Thursday, December 24 – Christmas Eve (Modified Schedule)
 - Friday, December 25 – Christmas Day (Sunday schedule)
 - Thursday, December 31 – New Year’s Eve (Regular Weekday Service)
 - Free Fare from 8:00 p.m. to end of service day
 - Friday, January 1 – New Year’s Day (Sunday Schedule)

Services Scheduled:

- **49ers Football** – Due to the COVID-19 pandemic, the 49ers are playing the 2020 season without fans in the stands.

- **Modified Service** – The Modified Schedule which has been revised with Caltrain’s December 2020 service changes includes early morning service and two round trips from Gilroy to SF. The Modified Schedule will be implemented during the following days and observed holidays:
 - Monday, January 18, 2021 – Martin Luther King Day
 - Monday, February 15, 2021 – President’s Day

Capital Projects –

The Capital Projects information is current as of December 18, 2020 and is subject to change between December 18 and January 7, 2021 (Board Meeting).

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

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

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

Adjacent to this project is a new contract to relocate and improve the storm drain system along Delaware Street adjacent to the new station and new parking lots on the east side of the project. This work was to be undertaken by the City of San Mateo. This work is now being performed by Caltrain at the request of the City. The construction contract was awarded at the October 1 Board Meeting. The Limited Notice to Proceed was issued in mid-

November 2020 to kick off the 60-day administrative period. Construction is expected to begin in early 2021 and complete in mid-2021.

Total project budget and schedule are currently impacted. Project team will be working with funding agencies to acquire additional funding and will be coordinating with the City of San Mateo, SMCTA Board and JPB Board to update budget authority and schedule.

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

Construction of the center boarding platform and the electrical and communication conduits were substantially completed in December, In addition, the contractor (PMI) started construction of Ramp 3 (leading to West Plaza entrance) and Ramp1/Stair 1 (East Side entrance on Poletti Ave.). Currently, the project completion date is forecasted to extend from December 2020 until July 2021.

Due to Utility and contractor caused delays, the overall project budget and schedule were impacted. The project team will be working with funding agencies to acquire additional funding. JPB Staff is coordinating with the City of South San Francisco, SMCTA Board, and JPB Board to update budget authority and schedule.

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

A Conditional Notice to Proceed has been issued to the contractor, Proven Management, to allow construction of the project to begin. Site cleanup and site preparation activities are underway including installation of test micropiles to determine necessary requirements needed to support the substructure of the Napoleon Bridge. The contract is planned to complete in the summer of 2021.

Emergency work, as authorized by the Board Chair, is being performed to provide support to the Napoleon Street Bridge piers. The work consists of injecting structural concrete fill and modified design for micro-piles.

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

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

In October 2020, the project received FTA approval of the environmental clearance documents that were completed as a part of the preliminary engineering phase. On November 5, 2020, the final design contract was

awarded to complete the design from Preliminary Engineering (35%) to Issue for Bid documents. Currently, the project is preparing to kick off the final design phase. The current schedule is to complete the final design for construction contract advertisement by mid-2023 and for construction to occur from early 2024 to early 2026.

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

In early October, the first phase of the project to develop a prototype Clipper TVM has successfully completed final acceptance testing that results in completion of Phase 1. Phase 2 for the retrofitting of 12 additional TVM's continued in December with target completion of Phase 2 by early 2021. The funding for Phase 3, for the rehabilitation of an additional 22 TVM's, has now been secured and will also be added to the project. Additional funds for Phase 4 for another 25 TVM's are included in the FY21 Capital Budget amendment that was approved in October. Phase 4 will be added to the project when funding becomes available. Additional phases beyond Phase 4 are required to upgrade all stations.

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

The 100% crossing design by the Electrification project is still not yet available for design coordination and a timeframe for its receipt is to be determined. The project has proceeded to complete its own design without this information from the Electrification project. The 100% design is complete and the Notice to Proceed for construction, was issued to TASI on July 9. TASI is still currently procuring materials for the work that is expected for delivery in early 2021. TASI is continuing construction with preparatory work

for installation of underground wires and cables before the equipment arrives.

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

The construction contract was advertised for bids on August 31 and multiple bids were received on October 12. The construction contract was awarded at the December 2020 board meeting. Activities to execute the contract are underway. Construction is planned to begin in early 2021 and lasting until Fall of 2021.

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

The project began in December 2019. The 35% design received in March is under review including the review by the City of Palo Alto. The City of Palo Alto is rethinking the scope of work for the project and is in discussion with CPUC and Caltrans to modify the scope. The City of Palo Alto has just recently retained a design consultant to support their efforts and coordination meeting have been held between staff and the City's design consultant.

- **Bayshore Station Bridge Painting:** This project will perform rehabilitation of the coatings of the existing steel pedestrian overpass bridge at the Bayshore Station, in Brisbane. The bridge connects the southbound platform to the northbound platform and the parking lots on the east side. The bridge was originally constructed as part of the Caltrain Express project (CTX) in 2002 and has not been repainted since. The bridge's paint coatings are in need of rehabilitation with surface rust that needs to be addressed along with a complete repainting of the bridge to bring the structure to a state of good repair.

The project is currently in the final design phase in developing Issue for Bid construction documents. Coordination and outreach with the Electrification project and also with outside stakeholders such as the Cities of Brisbane and San Francisco have been conducted and continues. Advertisement for bids is forecast for early 2021 with construction in mid-2021 to early 2022.

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

The project has completed the planning/conceptual design phase of the project requirements that began in November 2019. A stakeholder's review of planning/conceptual design phase is currently underway before the project enters the final design phase to complete the design and develop construction contract bid documents. A more definitive project schedule will be developed upon initiation of the final design phase.

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

The first vehicle #927 that was shipped to the vendor's facility at Mare Island (Vallejo) in July for overhauling is now being tested and will be returned to Caltrain upon successful completion of testing. A second vehicle #924 was shipped to the vendor's facility in November and is currently being overhauled.

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: John Funghi
Chief Officer, Caltrain Modernization Program

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

ACTION

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

SIGNIFICANCE

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

BUDGET IMPACT

There is no impact on the budget.

BACKGROUND

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

Prepared by: Josh Averill, Program Management Administrator

650.508.6453



Caltrain Modernization Program Peninsula Corridor Electrification Project (PCEP)



November 2020 Monthly Progress Report

November 30, 2020

Funding Partners



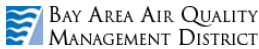
Federal Transit Administration (FTA) Core Capacity
FTA Section 5307 (Environmental / Pre Development only)
FTA Section 5307 (Electric Multiple Unit (EMU) only)



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



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



Carl Moyer Fund



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



San Francisco
County Transportation
Authority



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



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



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



City and County of San Francisco (CCSF) Contribution

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1.0 BACKGROUND

Over the last decade, Caltrain has experienced a substantial increase in ridership and anticipates further increases in ridership demand as the San Francisco Bay Area's population grows. The Caltrain Modernization (CalMod) Program, scheduled to be implemented by 2022, will electrify and upgrade the performance, operating efficiency, capacity, safety, and reliability of Caltrain's commuter rail service.

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

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

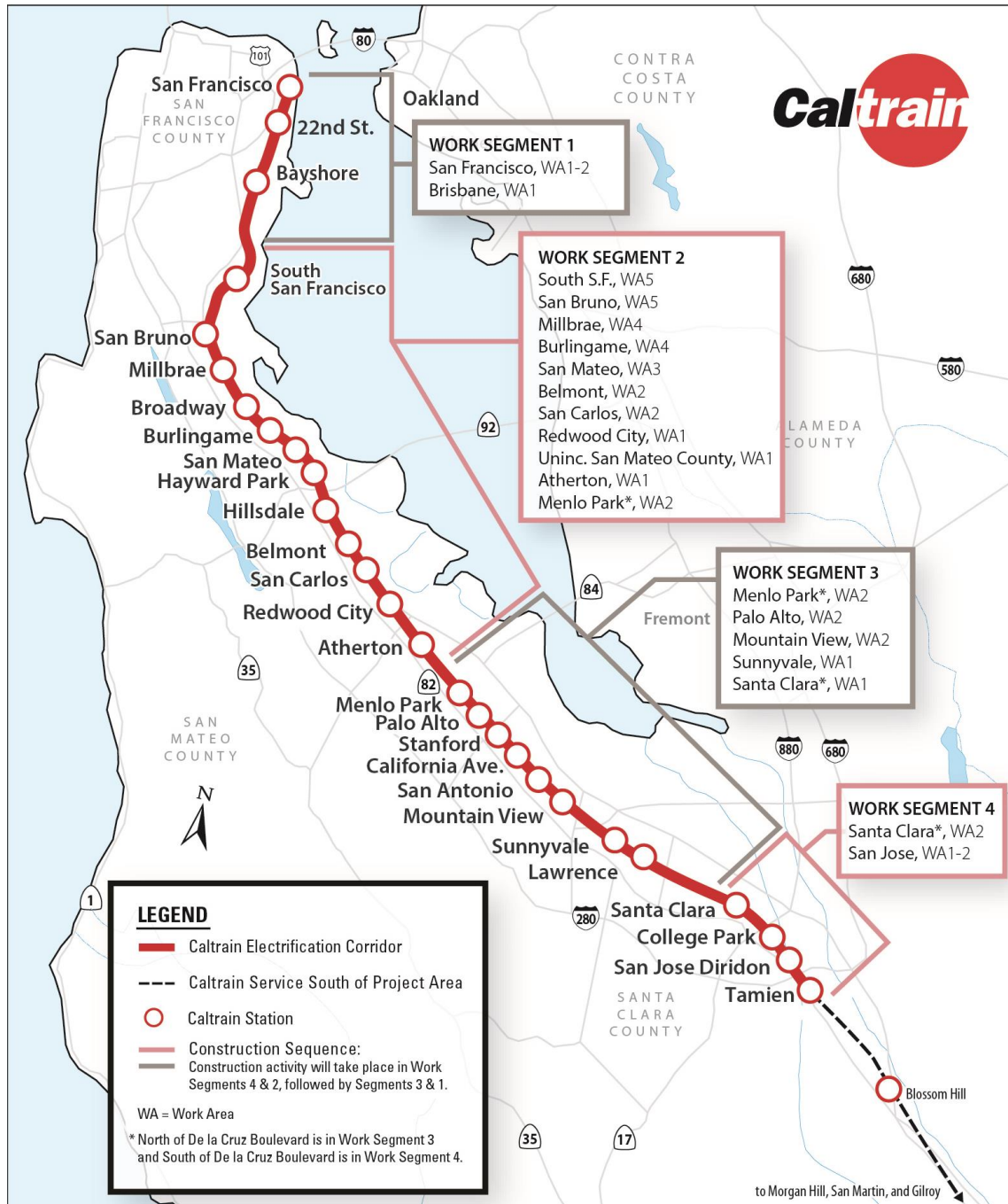
- **Improved Train Performance, Increased Ridership Capacity and Increased Service:** Electrified trains can accelerate and decelerate more quickly than diesel-powered trains, allowing Caltrain to run more efficiently. In addition, because of their performance advantages, electrified trains will enable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

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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 and respective work areas (WA) as shown in Figure 2-1. PCEP activities are described and summarized by segments and work areas.

Figure 2-1 PCEP Work Segments



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In November, a transformer was installed at Paralleling Station (PS) PS-5 along with the gantry and cables. PG&E began work at the Traction Power Substation (TPS) TPS-2 Interconnection. Other construction activities this month included potholing, foundation, pole, and cable installation, ductbank installation at PS-2, and fences, walls, and enclosures at paralleling stations and traction power substations.

Stadler’s Trainset 1 type testing began in November, but then was delayed again due to staff contracting Coronavirus Disease 2019 (COVID-19) and associated quarantining requirements. At this time 61 car shells have been shipped from Stadler Switzerland, with 46 onsite in Stadler’s Salt Lake City facility. The carshell that was returned to Altenrhein due to shipping damage has now been repaired and is being prepped to ship back to Salt Lake City.

Construction progress at the Centralized Equipment Maintenance and Operations Facility (CEMOF) included installation of a partial storm drain line, removal of slabs and backfilling walls, grouting steel frames and removal of shoring, and conduit installation.

2.1. Monthly Dashboards

Dashboard progress charts are included below to summarize construction progress.

Figure 2-2 Expenditure – Planned vs. Actual

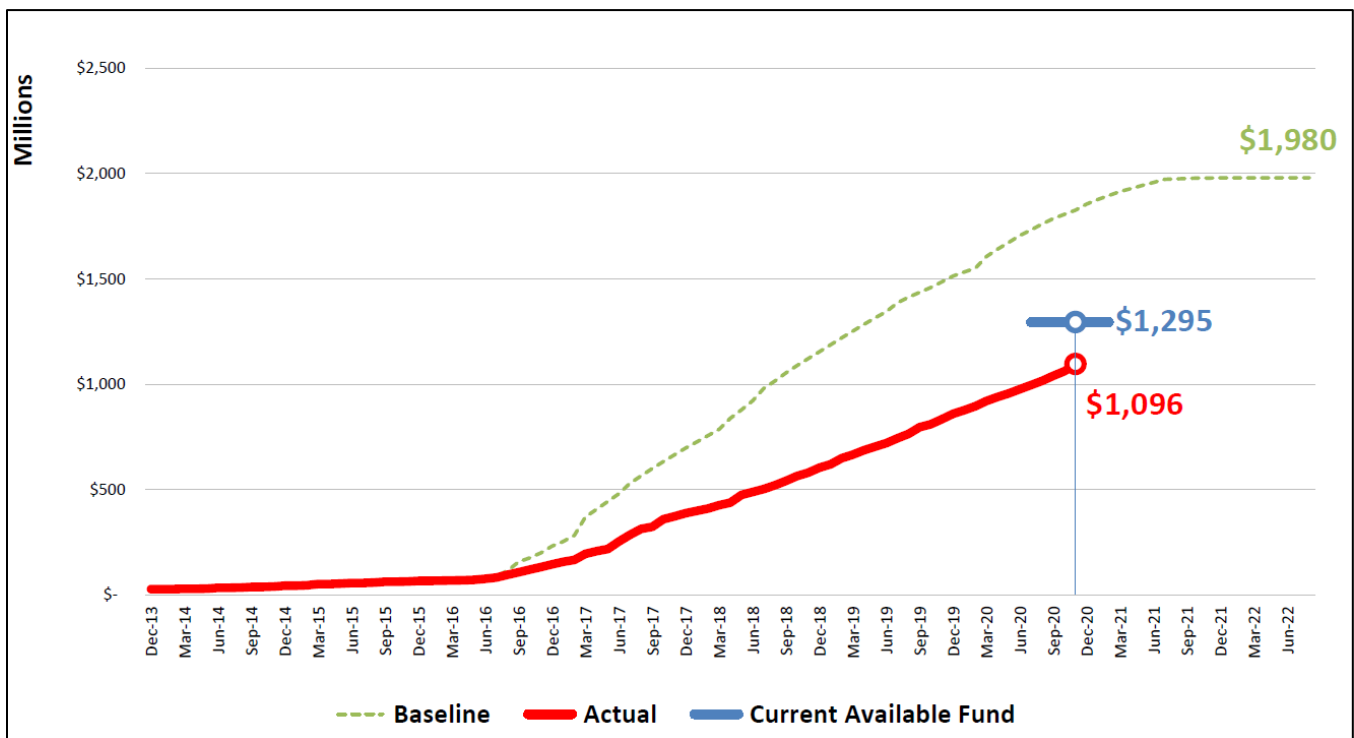


Figure 2-3 Spending Rate vs. Required

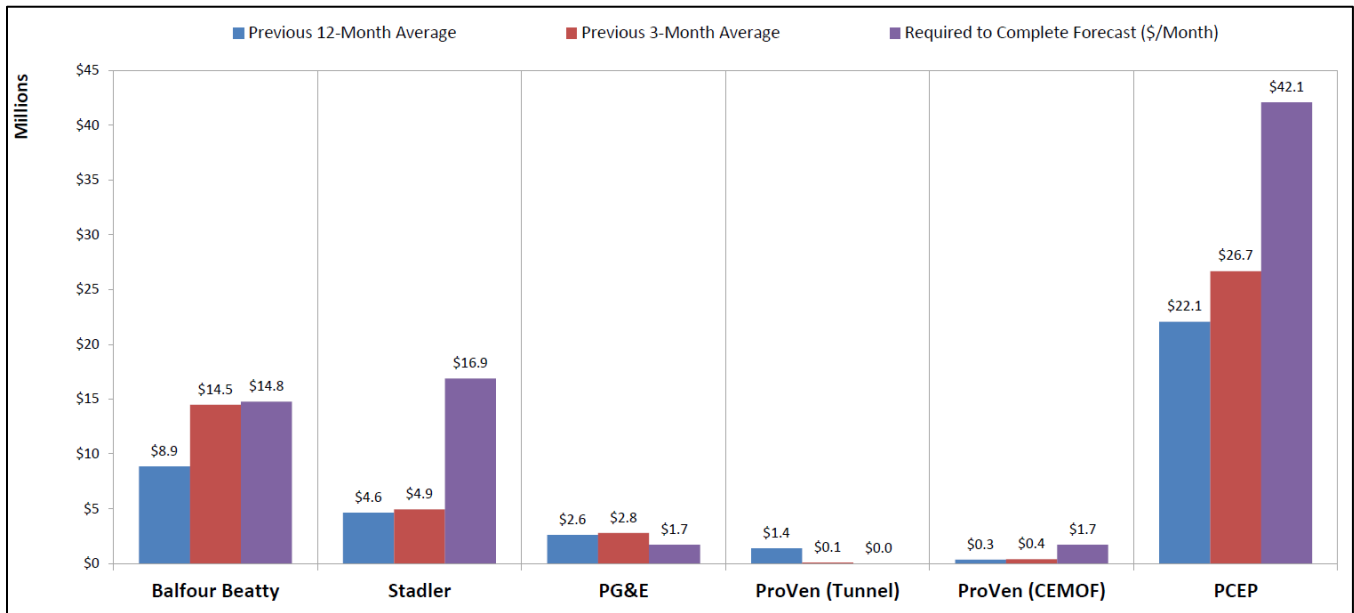
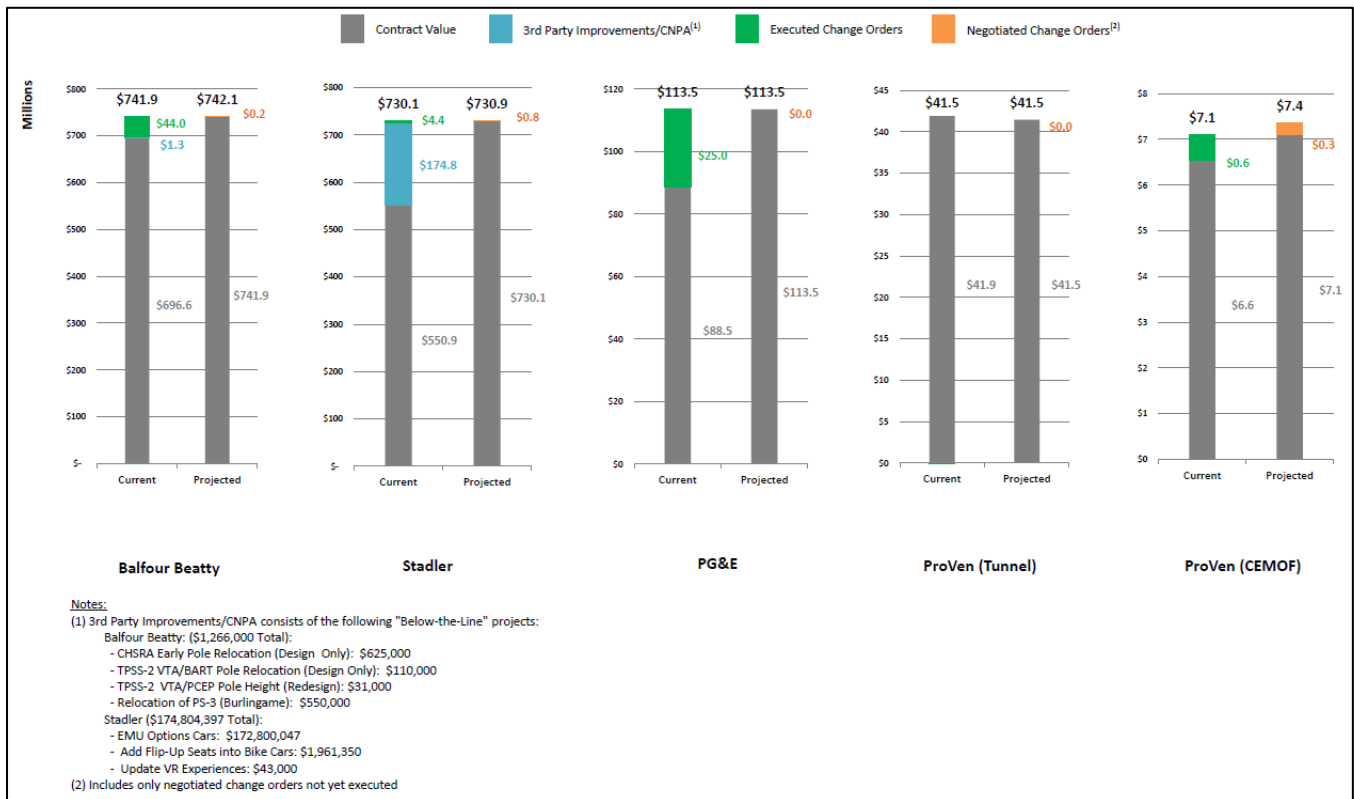


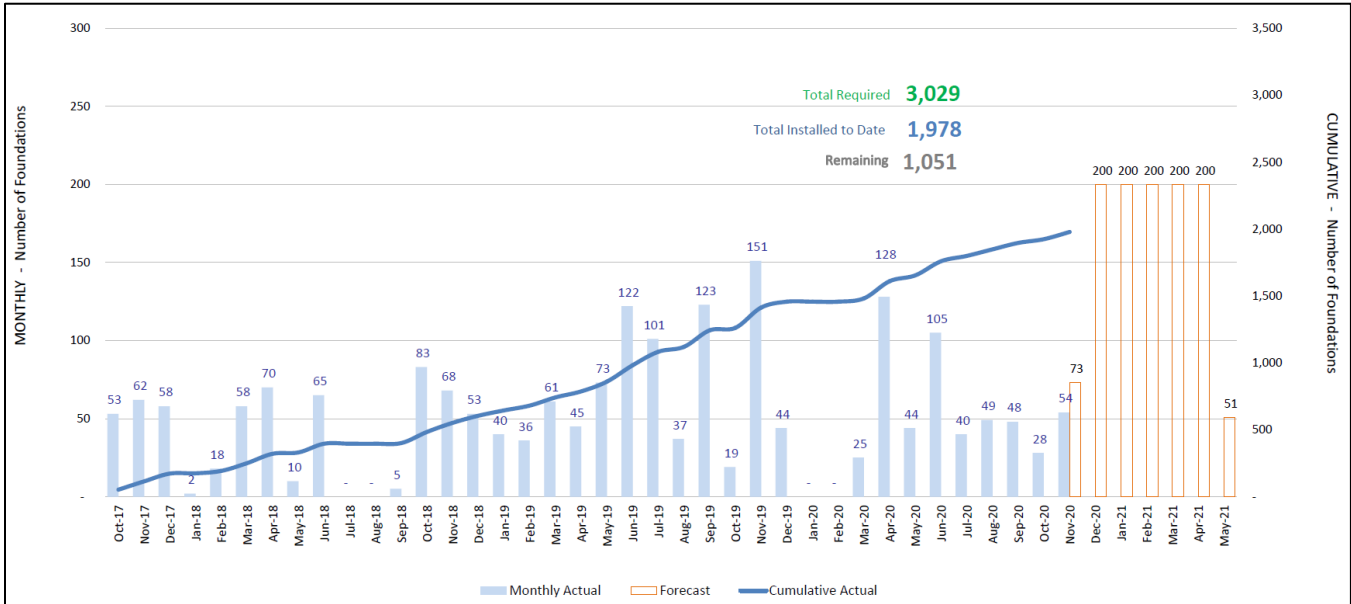
Figure 2-4 Construction Contract Budgets



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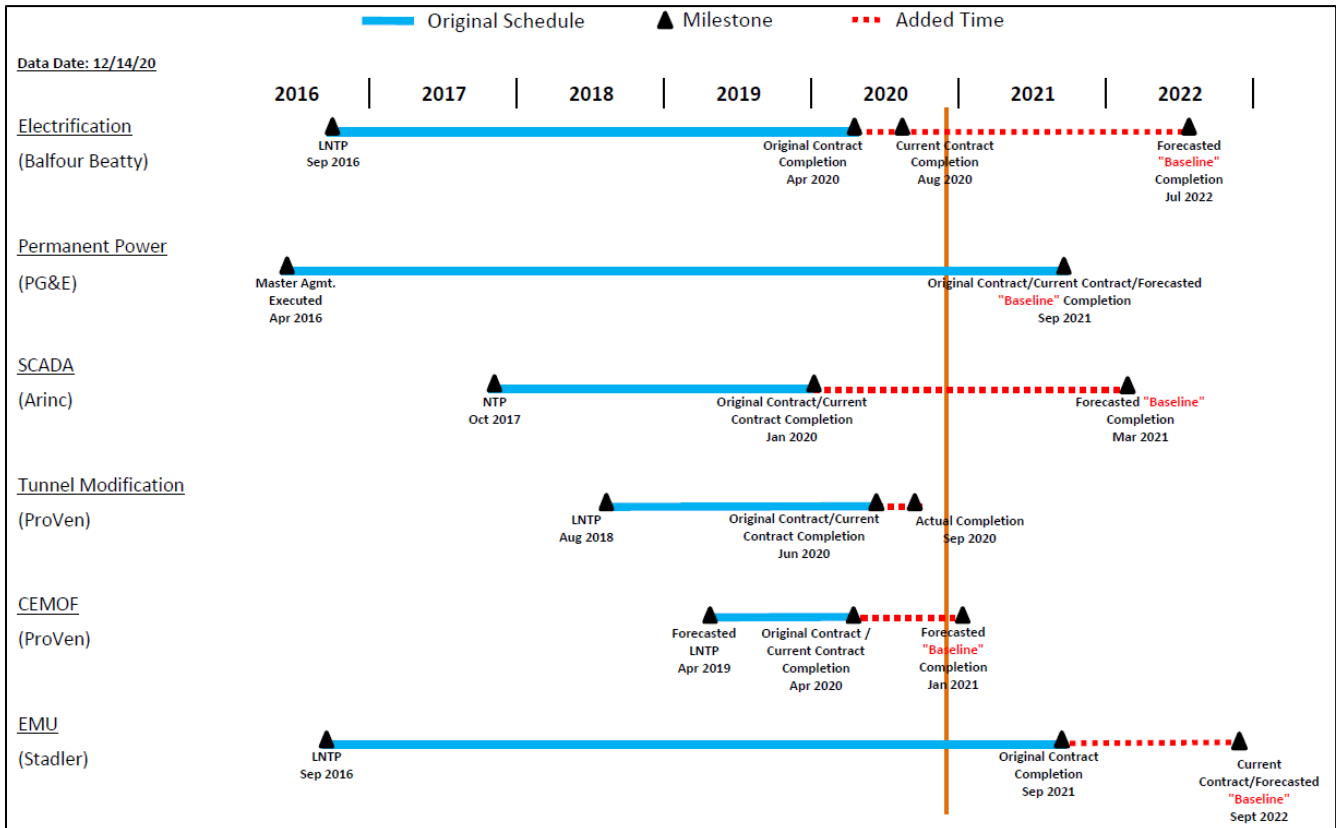
Figure 2-5 OCS Foundation Production



Notes regarding tables above:

- BBII is now reporting a delay in the completion date for the OCS foundations from March 31, 2021 to May 7, 2021. The monthly forecast will be revised at the end of ongoing OCS foundation workshops, which are held to determine the level of effort necessary for each of the activities prior to foundation installation. The delay to the OCS foundation completion date did not change the substantial completion date of the BBII contract.

Figure 2-6 Contractor Completion Schedule



2.2. Funding Partners Participation in PCEP

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

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

Electrification – Weekly Discipline-Specific Meetings

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

Activity this Month

OCS Foundation Meeting

Funding Partners: None

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

TPF Meeting

Funding Partners: None

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

PCEP Delivery Coordination Meeting – Bi-Weekly

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

Activity this Month

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

The Federal Transit Administration (FTA)/Project Management Oversight Consultant (PMOC) Risk Refresh Workshops have been scheduled for December. The PCEP presentation to the San Francisco County Transportation Authority (SFCTA) Board occurred on November 17. The Bayshore appraisal and offer will be presented at the December Board for approval. The closing date for the Scissor Lift Work Platforms Request for Quotes (RFC) was extended for two weeks and closed on November 20. A single bid was received and staff is in the process of performing a price analysis. In Systems Integration, one system for the Railroad Operation Control System (ROCS) was successfully placed in service and the Back-up Central Control Facility (BCCF) was tested as a primary control center. In EMU testing and manufacturing, the static testing for Trainset 1 has been completed and testing for Trainset 2 is ongoing. The dynamic two-passenger table testing was conducted on November 24 and staff will be receiving the data shortly. One carshell that was returned to Altenrhein due to shipping damage has now been repaired and will be shipped to Salt Lake City. Trainset 1 delivery to Pueblo will occur in January and Trainset 3 delivery to Caltrain will occur in June. The Federal Railroad Administration (FRA) has rescinded the request for one bike barrier because there is no emergency window located at that location. Stadler will resubmit the design drawings and a Request for Change (RFC) for the FRA-requested change. Pit work is ongoing at the Centralized Equipment Maintenance and Operations Facility (CEMOF) and expected to be completed by the end of the year. Balfour Beatty Infrastructure, Inc. (BBII) is now able to perform foundation work. In Design Build activities, on-track foundations continue in Segment (S) S3 and S4 and expected to be complete by December 5. Off-track foundations in S1 will resume after completion of S3 and S4. The permit for Marchese has been received and work has been scheduled for November 16.

Systems Integration Meeting – Bi-Weekly

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

Activity this Month

Funding Partners: Trish Stoops – Metropolitan Transportation Commission

Bi-weekly PCEP System Integration meetings are held to monitor and determine appropriate resolution for systems integration issues. The Systems Integration Lead also maintains contact with the EMU procurement team. The Traction Power SCADA team also holds bi-weekly status meetings. Coordination with the EMU procurement, Positive Train Control (PTC) and Caltrain Capital Project managers responsible for other capital projects on the corridor is ongoing. There is coordination with the Tunnel Modification Project, PG&E construction of the Interconnection to TPS-2, and the CEMOF upgrades as well. The Systems Integration meeting has been re-focused to track and coordinate issues between PCEP and the overall agency (JPB). This was done to avoid task overlap with the JPB Rail Activation Committee. A smaller “breakout” group is meeting to determine and track what testing and with which resources will need to be coordinated among the various contracts and suppliers. This “Testing and

Commissioning Meeting” is the primary interface to the PCEP Design-Build Team at this time. Work to define dependencies for completion of Segment 4 (Intermediate Milestone #1) is ongoing with the Testing & Commissioning discussion. Work continues to develop a schedule fragnet for the achievement of Intermediate Milestone #1. This group will report back to the System Integration meeting group with their findings.

Master Program Schedule (MPS) Meeting – Monthly

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

Activity this Month

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

The program critical path was revised in November due to delays on the EMU contract. Stadler continues to progress in EMU Manufacturing effort below baseline productivity levels due to COVID-19. The incorporation of this delay has resulted in a two-month delay to the 14th Trainset acceptance date and a shift of the program critical path from Electrification to EMU Manufacturing. This remains a fluid situation as the effect of COVID-19 on Stadler during the upcoming winter months remains unknown. These delays continue to be examined for potential impact on Revenue Service Date (RSD).

The forecast completion date for Stadler is now September 9th, 2022. This impact has resulted in a drawdown of the remaining 26 days schedule contingency. The program no longer has any schedule contingency.

BBII forecasted substantial completion date remains July 27, 2022 but will likely change based on recent BBII schedule updates for the remaining signal system modifications. JPB is working with BBII to improve progress on both signal system which lags behind baseline productivity level, and traction power facilities which continues to progress at a slow rate.

Risk Assessment Meeting – Monthly

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

Activity this Month

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

Change Management Board (CMB) – Monthly

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

Activity this Month

The CMB meeting occurred on November 18.

Funding Partners: CHSRA: Boris Lipkin; VTA: Dennis Radcliffe; SFCTA: Luis Zurinaga; SMCTA: Joe Hurley; MTC: Trish Stoops and Kenneth Folan

BBI Contract

One change was approved.

CEMOF Contract

No changes were identified for consideration.

Stadler Contract

No changes were identified for consideration.

SCADA Contract

One change was approved.

Tunnel Modification Contract

No changes were identified for consideration.

Amtrak Contract

No changes were identified for consideration.

Other

No changes were identified for consideration.

2.3. Schedule

The program critical path was revised in November due to delays on the EMU contract. Stadler continues to progress in EMU Manufacturing effort below baseline productivity levels due to COVID-19. The incorporation of this delay has resulted in a two-month delay to the 14th Trainset acceptance date and a shift of the program critical path from Electrification to EMU Manufacturing. This remains a fluid situation as the effect of COVID-19 on Stadler during the upcoming winter months remains unknown. These delays continue to be examined for potential impact on Revenue Service Date (RSD).

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

Table 2-1 Schedule Status

Milestones	Program Plan	Progress Schedule (November 2020) ¹
Arrival of First Vehicle in Pueblo, CO	N/A	01/26/2020 ²
Arrival of First Vehicle at JPB	N/A	07/08/2021 ²
Segment 4 Completion	11/21/2019	06/14/2021
○ Interconnection from PG&E Substation to Traction Power Substation (TPS)	N/A	01/29/2021
PG&E Provides Permanent Power	09/09/2021	09/09/2021
Electrification Substantial Completion	08/10/2020	07/27/2022
Acceptance of 14 th Trainset	08/20/2021	09/09/2022 ²
RSD (w/o Risk Contingency)	12/09/2021	09/09/2022 ³
FFGA RSD	08/22/2022	08/22/2022

Note:

1. Dates may shift slightly as the update of this month's Progress Schedule is still in process.
2. These dates are expected to be delayed due to COVID-19 impacts on Stadler's manufacturing facility in Salt Lake City.
3. See "Notable Variances" in Section 7 for explanation on date shift.

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2.4. Budget

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

Table 2-2 Budget and Expenditure Status

Description of Work	Budget (A)	Current Budget (B) ¹	Cost This Month (C) ²	Cost To Date (D) ³	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
Electrification Subtotal	\$1,316,125,208	\$1,316,125,208	\$22,768,303	\$838,174,470	\$477,950,738	\$1,316,125,208
EMU Subtotal	\$664,127,325	\$664,127,325	\$11,176,650	\$257,844,485	\$406,282,840	\$664,127,325
PCEP TOTAL	\$1,980,252,533	\$1,980,252,533	\$33,944,953	\$1,096,018,955	\$884,233,578	\$1,980,252,533

Notes regarding tables above:

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

2.5. Board Actions

- Change orders for CEMOF fire sprinkler waterline and boosted waterline

Future anticipated board actions include:

- Change orders as needed

2.6. Government and Community Affairs

There were three outreach events this month.

3.0 ELECTRIFICATION – INFRASTRUCTURE

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

3.1. Electrification

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

Activity This Month

- Continued to install on-track in Segments 3 and 4 as conflicts are resolved.
- Continue to install off-track foundations in Segment 1.
- Continued installation of OCS poles, cantilevers, and wires in Segment 3 following the foundations.
- Continued regulation of OCS wires (sagging the wires) in Segment 3.
- Continued installation of shunt wires in Segment 3.
- Potholed at proposed OCS locations and utility locations in all Segments in advance of foundation installation. BBI and PCEP also continued to resolve conflicts found during the potholing process, such as loose concrete, asphalt, and other debris, and continued designing solutions for those conflicts that cannot be avoided. The conflicts must be resolved before installation of foundations at those locations.
- Relocated signal cables and remove abandoned facilities found in conflict with planned OCS foundations as conflicts were identified.
- Continued installation of gantry and cable installation, and set transformer at PS-5.
- Continued ductbank installation at PS-2.
- Continued 25 kV enclosure installation at PS-4.
- Continued CMU wall construction at PS-6.
- Continued fence installation at PS-7.
- Continued CMU wall construction at TPS-1.
- Continue to address PG&E punch list items at TPS-2.
- Continued to install signal ductbank, conduits, and cables in Segment 2.
- Continued to install signal ductbank, conduits, and cables in Segment 4.
- Continued to plan for the second signal cutover in Segment 4.
- Continued conduit and cable installation at Control Point (CP) Delmas and Mack.
- Continued cable termination at CP Delmas and CP Mack.

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- Performed pre-testing at multiple sites in Segment 4.
- Installed fiber optic cable in Segment 4.
- Continued drilling of rails for impedance bond connections in Segments 1, 2, 3, and 4 at various control points and crossings.
- Install overhead bridge attachments at various locations in Segment 3.
- Progressed the OCS design with BBII in all segments, which included submittal and review of Design Change Notices for revised foundation locations.
- Continued Right of Way acquisition process for off-track foundation installation in Segment 1.
- Coordinated design review with local jurisdictions for the OCS, traction power facilities, and bridge attachments design, including responses to comments from jurisdictions.
- Continued to review and coordinate signal and communication design submittals with BBII.
- Continued internal discussions about design, installation and testing of signal and communications modifications to the Caltrain system and schedule for cutover plans.
- Continued discussions with VTA on Right of Way acquisition and access for construction of TPS-2 interconnection.
- Worked with BBII through Site Specific Work Plans (SSWP) for upcoming field work.
- Continued model validation for the single phase study.
- PG&E continued work at East Grand and FMC substations.
- PG&E began TPS-2 Interconnection work.

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

Table 3-1 Work Progress by Segment

Segment	Work Area	Foundations			Poles		
		Required ^{abc}	Completed this Month	Completed to Date ^e	Required ^{ab}	Completed this Month	Completed to Date ^{de}
1	Tunnels	32	0	32	32	0	32
	A	309	0	0	259	0	0
	B	237	5	53	177	0	0
2	5	236	0	209	209	0	160
	4	314	0	238	254	0	190
	3	176	0	128	141	7	43
	2	247	0	78	205	0	60
	1	207	0	79	154	0	33
3	2	510	6	509	441	8	428
	1	390	16	390	310	6	286
4	A	241	24	241	177	2	128
	B	128	3	116	123	0	87
	CEMOF	96	0	0	81	0	0
Total		3,123	54	2,073	2,563	23	1,447

Note:

- a. Foundations required do not match poles required as guy foundations are needed in some locations for extra support.
- b. Reported number of required poles and foundations fluctuate due to Design changes.
- c. Update: To-date, 30 foundations have been installed by the South San Francisco in S2WA5 and 65 have been installed by the 25th Ave projects in S2WA3.
- d. Poles installed in S3WA1 and S3WA2 were unreported in October.
- e. One pole reported in S4WAB should have been reported in SAWAA in October's report.

Activity Next Month

- Continue off-track foundation installation in Segment 1.
- Complete foundation installation in Segments 3 and 4.
- Continue resolution of foundation conflicts.
- Continue to install protective steel plates for protection of utilities during foundation installation.
- Continue to install OCS poles and assemblies in all Segments where available.
- Continue wire installation and regulation in Segments 3 and 4.
- Continue shunt wire installation in Segment 2.
- Continue work with BBII on field investigation activities and designs, which will include the progression of the OCS, traction power, bonding and grounding, signal systems, and other civil infrastructure such as overhead bridge protections.
- Pothole and clear obstructions at proposed OCS locations.
- Continue construction at TPS-1.
- Continue construction at PS-7, PS-5, PS-4, PS-6, PS-2, and the Switching Station.
- Continue to install conduit and foundations for signal and wayside power cubicle (WPC) units in Segment 4 and Segment 2.
- Continue cable termination at signal locations in Segment 4.

- Continue to install impedance bond connections.
- Continue to install bridge attachments.
- Continue to coordinate with stakeholders on the consistent warning time solution and advance location-specific design.
- Continue to progress location-specific design for grade crossing system.
- Continue planning process for signal cutovers.
- Review BBII work plans for upcoming construction activities.
- Coordinate with PG&E on final design and construction for PG&E infrastructure.
- Coordinate with local jurisdictions to review designs.
- Continue tree pruning and removals.
- Continue progress on Single Phase Study.

3.2. Supervisory Control and Data Acquisition

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

Activity This Month

- Submitted Monthly Progress Report.
- Quality Reviews in progress for SCADA Operations User Manual.
- Completed work on Training Plan.
- Continued reviewing updated points listing received from BBII.
- Continued work on the Training Manual.

Activity Next Month

- Prepare and deliver the Monthly Report and the Monthly Schedule Update.
- Attend project status meetings (virtually).
- Complete any revisions for Operations User Manual due to QC checks.
- Complete revisions for Training Manual.
- Complete reviewing updated points listing from BBII.
- Begin work on Pre-FAT changes.
- Update schedule to reflect change order approved in November 2020.

3.3. Tunnel Modification

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

Activity This Month

- Letters, submittals, and Requests for Information closeout.
- Change Order reconciliation.
- Finished the signage installation.

Activity Next Month

- Review and respond to letters.
- Contractors to provide their punch list items.
- PMI to work and correct all punch list items.

3.4. Interconnection Construction

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

Activity This Month

- FMC – TPS-2:
 - Engineering and Staging completed.
 - PGE/TRC completed the foundations for all H frames and TSPs.
- EGS – TPS-1:
 - Design on hold until approved the new design scope option for overhead or underground.

Activity Next Month

- FMC – TPS-2:
 - Erect TSP-1 at VTA site; install temporary netting poles and netting; string temporary netting wire and main and redundant fiber.
 - Receive TSPs.
 - Work toward approving the VTA license.
 - Install H-frames at the TPS-2 site.

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- EGS – TPS-1:
 - Continue the coordination for the TSP pole design with South San Francisco team and PGE for the redesign of the parking lot.
 - Continue the coordination for the new design scope at the TPS-1 site.

4.0 ELECTRIC MULTIPLE UNITS

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

4.1. Electric Multiple Units

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

Activity This Month

- COVID-19 related actions continued for the ninth month causing mixed disruptions to Stadler's activities:
 - Stadler's manufacturing facilities in Switzerland supporting the Caltrain Project have returned to normal levels of activity.
 - Stadler's manufacturing facility in Salt Lake City has reverted back to two production shifts in order to limit the number of workers per car. This is due to the October 2020 outbreak of COVID-19 at that facility.
 - The Switzerland-based manufacturing of car shells and trucks frames is on schedule.
 - Salt Lake City-based manufacturing is delayed due to previously incurred and ongoing person-power limitations and sub-supplier parts shortages.
 - Stadler has submitted a request for an 'excusable delay' due to COVID-19. The extent of the continuing delay is being evaluated. Currently, shipping the first trainset to Pueblo, Colorado for testing has been delayed almost six months to February 2021, and the first trainset to be delivered to Caltrain delayed 3.5 months to the end of June 2021.
 - Salt Lake City-based 'Type Testing' of Trainset No. 1 is progressing slowly due to COVID-19 travel restrictions. Workarounds, including Stadler obtaining emergency visas, have allowed progress in this area. Type testing began in mid-November.
 - Type testing was delayed at the end of November due to members of the test team quarantining at home per Stadler's coronavirus contact tracing protocol. Two members tested positive and are completing their quarantine while the others tested negative and were able to return to work.
 - Stadler's supply chain has been disrupted by two supplier bankruptcies. This will delay delivery of trainsets. The extent of the delay is being evaluated by Stadler.
- Final Design Reviews remain to be completed for three systems. These software-based systems include 'Train Control,' 'Monitoring and Diagnostics,' and 'PTC.' For train control and MDS, completion is delayed to February 2021 and must be performed prior to the commencement of Pueblo Type Testing. For PTC, completion is anticipated in mid-2021.

- First Article Inspections (FAI) continue to have their paperwork formalized and closed out.
- 61 car shells have been shipped from Stadler Switzerland, with 46 onsite in Stadler's Salt Lake City facility (eight in transit and one returned for minor repair).
- Quality Assurance audits of USA-based sub-suppliers were halted in mid-March due to COVID-19 travel restriction. Audits will commence when sub-suppliers reopen and travel restrictions are lifted.
- Stadler's trainset delivery and testing schedule on Caltrain property has been re-baselined.

Activity Next Month

- Continue to close out system level FDRs and FAIs.
- Continue to support Caltrain/PCEP system integration and rail startup activation activities.
- Support Train 1 type testing.

4.2. Centralized Equipment Maintenance and Operations Facility Modifications

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

Activity This Month

- Boosted water line work.
- Install partial Storm Drain Line A.
- Remove and backfill approach slab area.
- Backfill walls at south pit.
- Cure, strip formwork, sack & patch and waterproof north pit walls.
- Install backfill at north pit.
- Grout steel frames and remove shoring at Component Test Room.
- Aerial cable conduit installation at the Parts Storage Warehouse (PSW).
- Partial installation of racks/furnishings in PSW.
- Office installation within the PSW.

Activity Next Month

- Install remaining sheet piles.
- Excavate remaining portion of south pit.
- Pour walls for the center section of the south pit.
- Remove struts and walers at the north pit, backfill remainder of shoring and remove sheet pile shoring.
- Patch CMU Wall and install CMU blocks, re-routed conduit, and metal stud framing at Component Test Room.
- Install remaining fire sprinkler work at Parts Storage Warehouse.

5.0 SAFETY

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

Activity This Month

- Project staff provided input and continued its participation in the BBII contractor workforce safety meetings. Project incidents continue to be reviewed with project staff to reinforce the application of recommended safety mitigation measures.
- Conducted 2020 monthly employee injury reviews for BBII and its subcontractors.
- Continued to provide input and oversight of the contractor SSWP safety provisions and ongoing safety construction oversight and inspections.
- Conducted the monthly project Safety and Security Certification and Fire/Life Safety Meetings.
- Participated with internal stakeholders in Rail Activation Committee meetings.
- Investigated project incident occurrences and worked with the contractor representatives to identify incident root causes and develop and implement safety and security mitigation measures.
- Reviewed the status and next steps needed to support compliance to the FTA Oversight Procedure 54 (Readiness for Service) project safety and security requirements.
- Conducted ongoing safety inspections of contractor field activities and performed pre-work site hazards assessment walks with BBII and subcontractor staff.
- Performed hi-rail vehicle safety inspections of contractor on-track equipment.
- Participated in weekly project coordination meetings with the contractor to review open issues and recommended action items.
- Continued to coordinate with JPB Safety and the project contractors with the application of mitigation measures in response to the evolving COVID-19 virus.
- Updated the Safety and Security Management Plan (SSMP) to coincide with the project testing and commissioning phase.

Activity Next Month

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

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- Reinforce the ongoing application of recommended mitigation measures in response to the evolving COVID-19 virus.
- Investigate project incident occurrences as needed and work with the contractor representatives to identify incident root causes and develop and implement safety and security mitigation measures.

6.0 QUALITY ASSURANCE

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

Activity This Month

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

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

Table 6-1 Quality Assurance Audit Summary

Quality Assurance Activity	This Reporting Period	Total to Date
Audits Conducted	1	128
Audit Findings		
Audit Findings Issued	0	79
Audit Findings Open	0	0
Audit Findings Closed	0	79
Non-Conformances		
Non-Conformances Issued	1	13
Non-Conformances Open	1	4
Non-Conformances Closed	0	9

Activity Next Month

- Conduct 'As-Built' documentation audit.
- Conduct a 'shadow audit' of BBII inspection of the entire day shift work activities.

7.0 SCHEDULE

The program critical path was revised in November due to delays on the EMU contract. Stadler continues to progress in EMU Manufacturing effort below baseline productivity levels due to COVID-19. The incorporation of this delay has resulted in a two-month delay to the 14th Trainset acceptance date and a shift of the program critical path from Electrification to EMU Manufacturing. This remains a fluid situation as the effect of COVID-19 on Stadler during the upcoming winter months remains unknown. These delays continue to be examined for potential impact on Revenue Service Date (RSD).

The forecast completion date for Stadler is now September 9th, 2022. This impact has resulted in a drawdown of the remaining 26 days schedule contingency. The program no longer has any schedule contingency.

BBII forecasted substantial completion date remains July 27, 2022 but will likely change based on recent BBII schedule updates for the remaining signal system modifications. JPB is working with BBII to improve progress on both signal system which lags behind baseline productivity level, and traction power facilities which continues to progress at a slow rate.

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

Table 7-1 Schedule Status

Milestones	Program Plan	Progress Schedule (November 2020) ¹
Arrival of First Vehicle in Pueblo, CO	N/A	01/26/2020 ²
Arrival of First Vehicle at JPB	N/A	07/08/2021 ²
Segment 4 Completion	11/21/2019	06/14/2021
○ Interconnection from PG&E Substation to Traction Power Substation (TPS)	N/A	01/29/2021
PG&E Provides Permanent Power	09/09/2021	09/09/2021
Electrification Substantial Completion	08/10/2020	07/27/2022
Acceptance of 14 th Trainset	08/20/2021	09/09/2022 ²
RSD (w/o Risk Contingency)	12/09/2021	09/09/2022 ³
FFGA RSD	08/22/2022	08/22/2022

Note:

¹. Dates may shift slightly as the update of this month's Progress Schedule is still in process.

². These dates are expected to be delayed due to COVID-19 impacts on Stadler's manufacturing facility in Salt Lake City.

³. See "Notable Variances" for explanation on date shift.

Notable Variances

COVID-19 related delays to Stadler’s assembly and test of EMU trainsets have resulted in later forecasted dates for the arrival of the first trainset in Pueblo, CO, as well as the arrival of the first trainset at JPB property, and the 14th trainset final acceptance. These delays resulted in shifting the critical path for the November schedule update from Electrification (Signal System) to EMU Trainsets Manufacturing and pushed back the Revenue Service Date without contingency from 07/22/2022 to 09/09/2022.

The forecast completion date for Stadler is now 09/09/2022. This impact has resulted in a drawdown of the remaining 26 days schedule contingency. The program no longer has any schedule contingency.

Table 7-2 Critical Path Summary

Activity	Start	Finish
Manufacturing, Testing & Acceptance of Trainsets 1 - 14	08/13/2018	09/09/2022
RSD		09/09/2022

Schedule Hold Points

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

Table 7-3 Schedule Hold Points

Schedule Hold Point (SHP)	Date
FTA/PMOC Risk Refresh	08/30/2016 (A)
Begin EMU Manufacturing	12/04/2017 (A)
Arrival of 1 st Trainset in Salt Lake City	02/04/2019 (A)
Arrival of 1 st Trainset in Pueblo, CO	01/26/2020
Arrival of 1 st Trainset at JPB	07/08/2021
Segment 4 Completion	06/14/2021
Conditional Acceptance of 1 st Trainset	02/11/2022
System Electrified	07/27/2022
Conditional Acceptance of 14th Trainset	09/09/2022
RSD	09/09/2022

Note: “(A)” denotes an actual completion

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8.0 BUDGET AND EXPENDITURES

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

Table 8-1 Electrification Budget & Expenditure Status

Description of Work	Budget (A)	Current Budget (B) ¹	Cost This Month (C) ²	Cost To Date (D) ³	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
ELECTRIFICATION						
Electrification ⁽⁴⁾	\$696,610,558	\$740,581,730	\$15,863,265	\$460,077,930	\$280,503,800	\$740,581,730
SCADA	\$0	\$3,446,917	\$0	\$1,934,371	\$1,512,546	\$3,446,917
Tunnel Modifications	\$11,029,649	\$41,453,871	\$0	\$41,298,739	\$155,132	\$41,453,871
Real Estate	\$28,503,369	\$28,503,369	\$43,589	\$22,796,477	\$5,706,892	\$28,503,369
Private Utilities	\$63,515,298	\$117,768,634	\$3,844,314	\$102,367,996	\$15,400,639	\$117,768,634
Management Oversight	\$141,506,257	\$160,670,067	\$1,585,175	\$149,722,917	\$10,947,151	\$160,670,067
Executive Management	\$7,452,866	\$9,568,427	\$94,829	\$8,964,196	\$604,231	\$9,568,427
Planning	\$7,281,997	\$6,281,997	\$30,180	\$5,873,062	\$408,935	\$6,281,997
Community Relations	\$2,789,663	\$1,789,663	\$5,078	\$1,606,830	\$182,833	\$1,789,663
Safety & Security	\$2,421,783	\$4,297,861	\$76,447	\$3,984,304	\$313,557	\$4,297,861
Project Management Services	\$19,807,994	\$17,526,725	\$120,796	\$13,781,511	\$3,745,214	\$17,526,725
Engineering & Construction	\$11,805,793	\$13,310,956	\$234,973	\$12,033,001	\$1,277,955	\$13,310,956
Electrification Eng & Mgmt	\$50,461,707	\$52,528,386	\$362,218	\$50,985,441	\$1,542,946	\$52,528,386
Construction Management	\$0	\$7,553,100	\$506,312	\$7,476,641	\$76,459	\$7,553,100
IT Support	\$312,080	\$407,170	\$0	\$407,170	\$0	\$407,170
Operations Support	\$1,445,867	\$3,337,383	\$37,738	\$2,869,081	\$468,302	\$3,337,383
General Support	\$4,166,577	\$6,963,434	\$51,731	\$6,075,574	\$887,860	\$6,963,434
Budget / Grants / Finance	\$1,229,345	\$1,626,354	\$677	\$1,357,646	\$268,707	\$1,626,354
Legal	\$2,445,646	\$4,993,672	(\$0)	\$4,743,553	\$250,119	\$4,993,672
Other Direct Costs	\$5,177,060	\$5,777,060	\$64,197	\$4,857,027	\$920,033	\$5,777,060
Prior Costs 2002 - 2013	\$24,707,878	\$24,707,878	\$0	\$24,707,878	\$0	\$24,707,878
TASI Support	\$55,275,084	\$58,755,803	\$1,409,874	\$49,469,902	\$9,285,900	\$58,755,803
Insurance	\$3,500,000	\$4,543,588	\$0	\$4,543,588	\$0	\$4,543,588
Environmental Mitigations	\$15,798,320	\$14,754,390	\$0	\$806,777	\$13,947,614	\$14,754,390
Required Projects	\$17,337,378	\$11,007,576	\$3,324	\$968,329	\$10,039,248	\$11,007,576
Maintenance Training	\$1,021,808	\$1,021,808	\$0	\$0	\$1,021,808	\$1,021,808
Finance Charges	\$5,056,838	\$6,137,156	\$18,762	\$4,187,445	\$1,949,711	\$6,137,156
Contingency	\$276,970,649	\$127,480,298	N/A	N/A	\$38,441,108	\$38,441,108
Forecasted Costs and Changes	\$0	\$0	N/A	N/A	\$89,039,190	\$89,039,190
ELECTRIFICATION SUBTOTAL	\$1,316,125,208	\$1,316,125,208	\$22,768,303	\$838,174,470	\$477,950,738	\$1,316,125,208

Notes regarding tables above:

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

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Table 8-2 EMU Budget & Expenditure Status

Description of Work	Budget (A)	Current Budget (B) ¹	Cost This Month (C) ²	Cost To Date (D) ³	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
EMU						
EMU	\$550,899,459	\$555,292,618	\$10,035,040	\$200,810,122	\$354,482,496	\$555,292,618
CEMOF Modifications	\$1,344,000	\$7,101,592	\$533,196	\$5,391,619	\$1,709,972	\$7,101,592
Management Oversight	\$64,139,103	\$61,869,311	\$574,961	\$48,192,830	\$13,676,481	\$61,869,311
Executive Management	\$5,022,302	\$6,263,136	\$51,027	\$5,503,273	\$759,863	\$6,263,136
Community Relations	\$1,685,614	\$985,614	\$7,283	\$676,432	\$309,182	\$985,614
Safety & Security	\$556,067	\$766,796	\$13,038	\$655,799	\$110,997	\$766,796
Project Mgmt Services	\$13,275,280	\$11,275,280	\$74,036	\$8,881,169	\$2,394,112	\$11,275,280
Eng & Construction	\$89,113	\$89,113	\$0	\$23,817	\$65,296	\$89,113
EMU Eng & Mgmt	\$32,082,556	\$29,981,014	\$293,100	\$22,512,564	\$7,468,449	\$29,981,014
Construction Management	\$0	\$1,501,543	\$57,091	\$1,101,733	\$399,810	\$1,501,543
IT Support	\$1,027,272	\$952,089	\$12,896	\$704,083	\$248,006	\$952,089
Operations Support	\$1,878,589	\$781,858	\$7,172	\$441,783	\$340,074	\$781,858
General Support	\$2,599,547	\$2,934,702	\$19,900	\$2,602,201	\$332,502	\$2,934,702
Budget / Grants / Finance	\$712,123	\$1,042,274	\$677	\$901,766	\$140,508	\$1,042,274
Legal	\$1,207,500	\$1,292,752	(\$0)	\$1,245,130	\$47,622	\$1,292,752
Other Direct Costs	\$4,003,139	\$4,003,139	\$38,741	\$2,943,080	\$1,060,059	\$4,003,139
TASI Support	\$2,740,000	\$2,789,493	\$21,954	\$306,872	\$2,482,621	\$2,789,493
Insurance	\$0	\$38,263	\$0	\$38,263	\$0	\$38,263
Required Projects	\$4,500,000	\$927,821	\$0	\$538,280	\$389,541	\$927,821
Finance Charges	\$1,941,800	\$3,761,482	\$11,499	\$2,566,498	\$1,194,984	\$3,761,482
Contingency	\$38,562,962	\$32,346,745	N/A	N/A	\$28,498,262	\$28,498,262
Forecasted Costs and Changes	\$0	\$0	N/A	N/A	\$3,848,483	\$3,848,483
EMU SUBTOTAL	\$664,127,325	\$664,127,325	\$11,176,650	\$257,844,485	\$406,282,840	\$664,127,325

Notes regarding tables above:

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

Table 8-3 PCEP Budget & Expenditure Status

Description of Work	Budget (A)	Current Budget (B) ¹	Cost This Month (C) ²	Cost To Date (D) ³	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
Electrification Subtotal	\$1,316,125,208	\$1,316,125,208	\$22,768,303	\$838,174,470	\$477,950,738	\$1,316,125,208
EMU Subtotal	\$664,127,325	\$664,127,325	\$11,176,650	\$257,844,485	\$406,282,840	\$664,127,325
PCEP TOTAL	\$1,980,252,533	\$1,980,252,533	\$33,944,953	\$1,096,018,955	\$884,233,578	\$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.

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

Description of Work	Budget (A)	Current Budget (B) ¹	Cost This Month (C) ²	Cost To Date (D) ³	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
CHSRA Early Pole Relocation	\$1,000,000	\$941,706	\$0	\$941,706	\$0	\$941,706
PS-3 Relocation (Design)	\$500,000	\$500,000	\$0	\$150,000	\$350,000	\$500,000
PS-3 Relocation (FEMA, BGSP Design Coord.)	\$50,000	\$50,000	\$0	\$0	\$50,000	\$50,000
TPSS-2 VTA/PCEP Pole Relocation (Design)	\$110,000	\$110,000	\$0	\$110,000	\$0	\$110,000
TPSS-2 VTA/PCEP Pole Height (Redesign)	\$31,000	\$31,000	\$0	\$27,900	\$3,100	\$31,000
EMU Option Cars	\$172,800,047	\$172,800,047	\$933,120	\$56,091,851	\$116,708,196	\$172,800,047
Add Flip-Up Seats into Bike Cars	\$1,961,350	\$1,961,350	\$0	\$980,675	\$980,675	\$1,961,350
Update Virtual Reality Experience	\$43,000	\$43,000	\$0	\$0	\$43,000	\$43,000
CNPA TOTAL	\$176,495,397	\$176,437,103	\$933,120	\$58,302,132	\$118,134,971	\$176,437,103

Notes regarding tables above:

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

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

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

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

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

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

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

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

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

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Table 8-5 Budget Transfers of Contingency

Transfer	Description	Contingency¹
ELECTRIFICATION		
BBI-053-CCO-056	Delivery of Signal Cable	\$3,391
BT-029A	Budget Allocation for GFI Electrification Eng & Mgmt - FY21 H1	\$2,066,679
BT-033C	PG&E Tariff Schedule Work (NOV 2020)	\$33,000
BT-037A	TASI OCS Site Prep – SSF Yard Track Removal	\$100,000
	ELECTRIFICATION SUBTOTAL	\$2,203,070
EMU		
PROV-071-CCO-046A	Electrical Duct Bank Extension from Parts Storage Warehouse to CCF Building	\$20,307
PROV-071-CCO-047	Removal of Oil Line at the Exterior of the Maintenance Building in the Way of Storm Drain Line A	\$262
PROV-071-CCO-048	Electrical Conduit and Wires at Track 5	\$6,770
	EMU SUBTOTAL	\$27,339
	PCEP TOTAL	\$2,230,409

Notes regarding tables above:

¹: Budget amount transferred from project contingency. A negative amount represents a credit to contingency.

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

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

9.0 CHANGE MANAGEMENT

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

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

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

Executed Contract Change Orders (CCO) This Month

Electrification Contract

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

Date	Change Number	Description	CCO Amount
11/30/2020	BBI-053-CCO-056	Delivery of Signal Cable	\$3,391
Total			\$3,391

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

EMU Contract

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

Date	Change Number	Description	CCO Amount
	None		\$0
Total			\$0

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

SCADA Contract

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

Date	Change Number	Description	CCO Amount
	None		\$0
Total			\$0

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

Tunnel Modification Contract

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

Date	Change Number	Description	CCO Amount
	None		\$0
Total			\$0

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

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

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

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CEMOF Contract

Change Order Authority (10% of ProVen Contract)

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

Date	Change Number	Description	CCO Amount
10/19/2020	PROV-071-CCO-046A	Electrical Duct Bank Extension from Parts Storage Warehouse to CCF Building	\$20,307
10/19/2020	PROV-071-CCO-047	Removal of Oil Line at the Exterior of the Maintenance Building in the Way of Storm Drain Line A	\$262
10/20/2020	PROV-071-CCO-048	Electrical Conduit and Wires at Track 5	\$6,770
Total			\$27,339

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

Amtrak AEM-7 Contract

Change Order Authority (Lump Sum)

Up to \$150,000

Date	Change Number	Description	CCO Amount
	None		\$0
Total			\$0

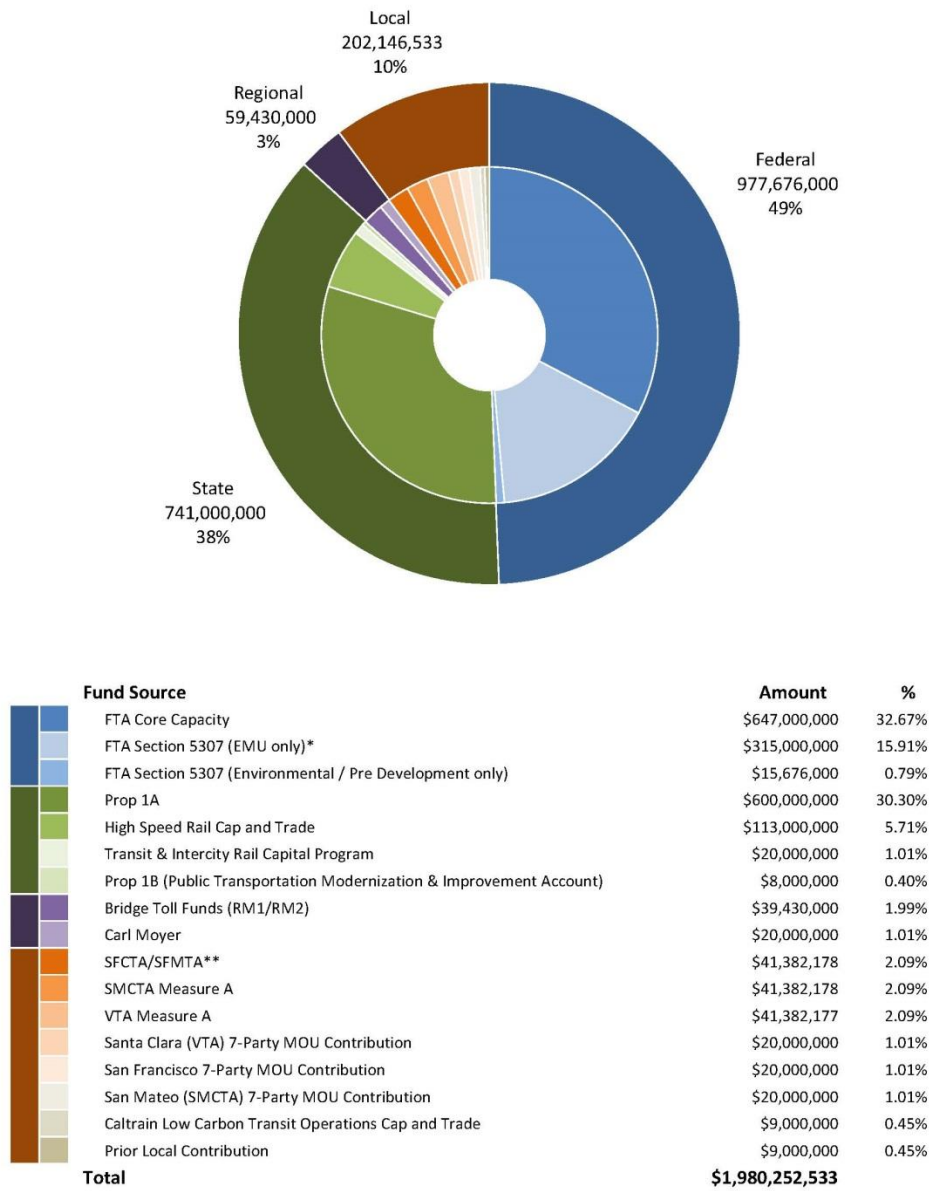
Notes:

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

10.0 FUNDING

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

Figure 10-1 Funding Plan



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):

1. The contractor may not complete and install signal design including Two-speed check (2SC) modifications within budget and schedule.
2. Extent of differing site conditions and associated redesign efforts results in delays to the completion of the electrification contract and increases program costs.
3. Sub-optimal contractor sequencing, when progressing design and clearing foundation locations may result in construction inefficiencies.
4. Property not acquired in time for contractor to do work.
5. Additional property acquisition is necessitated by change in design.
6. Solution to FRA concerns over bike storage impeding path to emergency exit windows path results in increased costs and potential rework.
7. TASI may not have sufficient number of signal maintainers for testing.
8. Contractor generates hazardous materials that necessitate proper removal and disposal in excess of contract allowances and expectations.
9. Change of vehicle sub-suppliers results in additional first article inspections at cost to JPB (i.e., COVID, bankruptcy).
10. Collaboration across multiple disciplines to develop a customized rail activation program may fail to comprehensively address the full scope of issues required to operate and maintain an electrified railroad and decommission the current diesel fleet.

Activity This Month

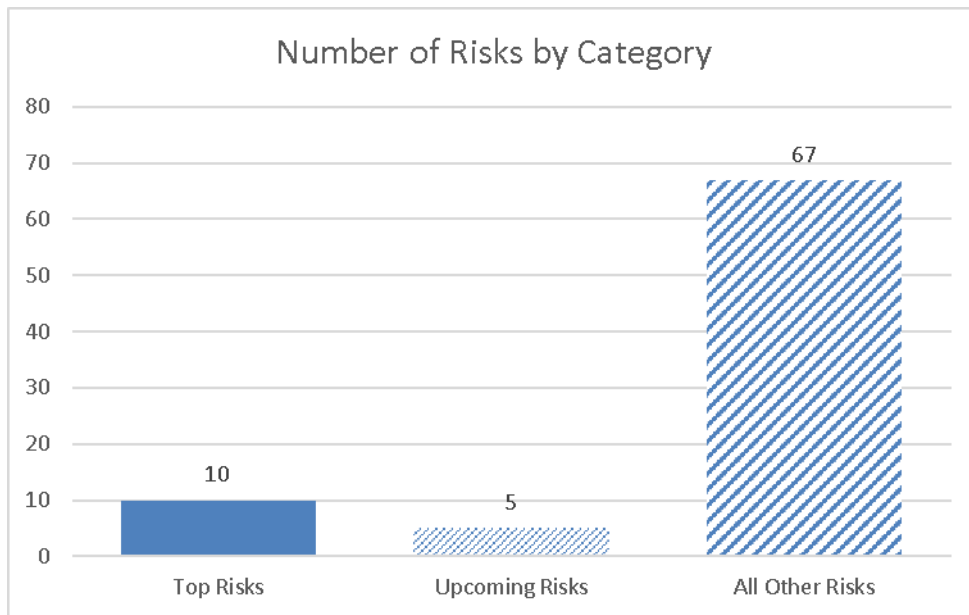
- Updated risk descriptions, effects, and mitigations based upon weekly input from risk owners. Monthly cycle of risk updating was completed based on schedules established in the Risk Identification and Mitigation Plan.
- Updated risk retirement dates based upon revisions to the project schedule and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

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- Continued weekly monitoring of risk mitigation actions and publishing of the risk register.
- Continued monitoring of issues on issues log for determination of new risks.
- The Risk Management team attended Project Delivery, Vehicle Design, and Systems Integration meetings to monitor developments associated with risks and to identify new risks.

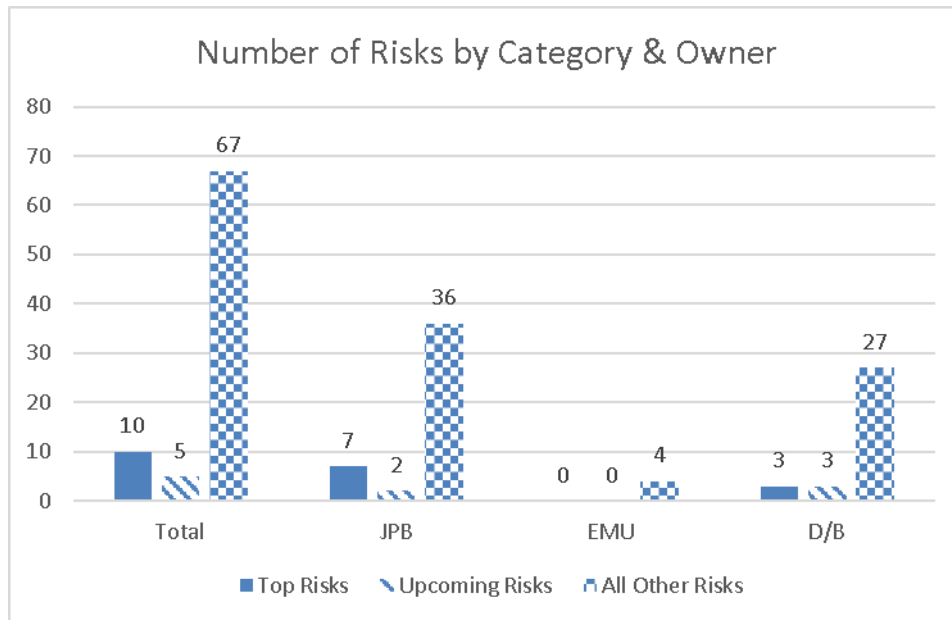
Figures 11-1 and 11-2 show the risks identified for the program. Risks are categorized as top risk, upcoming risk, and all other risks. The categories are based on a rating scale composed of schedule and cost factors. Top risks are considered to have a significantly higher than average risk grade. Upcoming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

Figure 11-1 Monthly Status of Risks



Total Number of Active Risks = 82

Figure 11-2 Risk Classification



Total Number of Active Risks = 82

Activity Next Month

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

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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

- None

Activity Next Month

- None

12.2. Mitigation Monitoring and Reporting Program (MMRP)

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

Activity This Month

- Environmental compliance monitors were present during project activities (OCS pole foundation installation, pot holing for utility location, tree trimming/removal, conduit installation, abandoned signal cable removal, permanent fence installation, fiber optic cable installation, transformer installation, gantry installation, etc.) occurring in areas that required environmental compliance monitoring. The monitoring was conducted in accordance with measures in the MMRP in an effort to minimize potential impacts on sensitive environmental resources.
- Noise and vibration monitoring also occurred during project activities, and non-hazardous soil was removed from the right of way (ROW).
- Environmentally Sensitive Area (ESA) delineation (staking and/or fencing) occurred to delineate jurisdictional waterways and other potentially sensitive areas that should be avoided during upcoming construction activities. Pre-construction surveys for sensitive avian species continued at previously identified potential habitat locations. Wildlife exclusion fencing installation and monitoring occurred adjacent to portions of the alignment designated for wildlife exclusion fencing.

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- Best management practices (BMPs) installation and maintenance (e.g., silt fencing, straw wattles with no monofilament netting per wildlife agency permit requirements, soil covers, etc.) occurred at equipment staging areas and other work areas throughout the alignment in accordance with the project-specific Stormwater Pollution Prevention Plan (SWPPP).

Activity Next Month

- Environmental compliance monitors will continue to monitor project activities (OCS pole foundation installation, pot holing for utility location, tree trimming/removal, conduit installation, abandoned signal cable removal, permanent fence installation, fiber optic cable installation, utility work at Diridon Station, setting signal house at CT 12.16, etc.) occurring in areas that require environmental compliance monitoring in an effort to minimize potential impacts on sensitive environmental resources in accordance with the MMRP.
- Noise and vibration monitoring of project activities will continue to occur and non-hazardous soil will continue to be removed.
- Biological surveyors will continue to conduct pre-construction surveys for sensitive wildlife species ahead of project activities. Pre-construction nesting bird surveys have ceased for the 2020 season and will recommence on February 1, 2021 for the 2021 season.
- BMPs installation will continue in accordance with the project-specific SWPPP, and ESA staking and fencing will continue to occur, to delineate jurisdictional waterways, and other potentially sensitive areas, that should be avoided during upcoming project activities.
- Wildlife exclusion fencing will continue to be installed and maintained prior to upcoming construction activities adjacent to potentially suitable habitat for sensitive wildlife species.

13.0 UTILITY RELOCATION

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

Activity This Month

- Conducted utility coordination meeting to discuss overall status and areas of potential concern from the utilities.
- Completed relocation of utilities in Palo Alto by Palo Alto Power.
- Continued relocation of Comcast and AT&T Utilities in all Segments.

Activity Next Month

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

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

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

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

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

Activity This Month

- Staff continues to review potential new pole locations and is engaging in a system-wide review of potential ESZ needs. Staff continues to meet with the internal signal team and BBII signal team to determine potential Real Estate interests.
- Staff entered into discussions with Britannia Gateway to develop terms under which the design of the TPS-1 Interconnect Facility could be redesigned to reflect the owner's preference for an underground design.
- Staff and the Universal Paragon Corporation (UPC) developed a conceptual agreement on business terms to allow the potential for early access onto their property, a vital site for catenary pole installation.

Activity Next Month

- Continued review of ESZ needs submitted by BBII compared to direction from contract.
- Continue to meet with internal signal team and BBII signal team to determine potential Real Estate needs.
- Make offers on the parcel for which appraisals have been completed.
- Continue to work with project team to identify and analyze new potential parcels.
- Obtain access to Britannia Gateway site.
- Continue to work with UPC to finalize early access.

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15.0 THIRD PARTY AGREEMENTS

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

Table 15-1 Third-Party Agreement Status

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

Notes regarding table above:

1. Agreements memorialize the parties' consultation and cooperation, designate respective rights and obligations and ensure cooperation between the JPB and the 17 cities and three counties along the Caltrain ROW and within the PCEP limits in connection with the design and construction of the PCEP.
2. Utilizing existing agreements.

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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.

Presentations/Meetings

- City/County Staff Coordinating Group
- Local Policy Makers Group
- Caltrain Bicycle Advisory Committee

Third Party/Stakeholder Actions

- Menlo Park OCS Drawings – DCN
- South San Francisco TPS-1 Drawings – Conformed

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17.0 DISADVANTAGED BUSINESS ENTERPRISE (DBE) PARTICIPATION AND LABOR STATISTICS

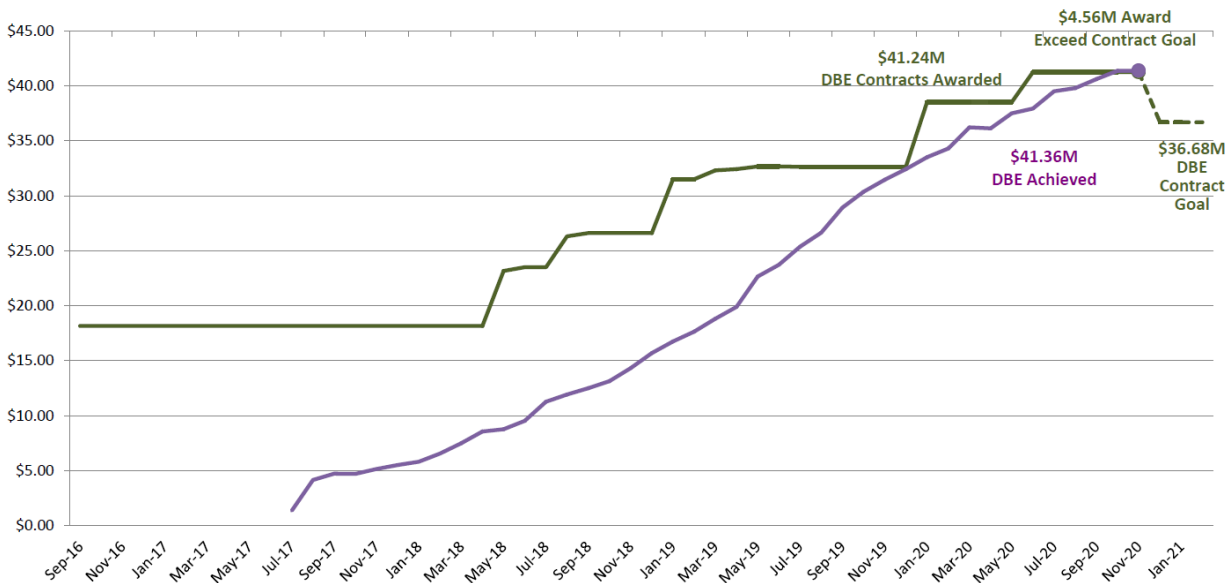
BBII proposed that 5.2% (\$36,681,279) of the DB base contract value including DBE contract change orders (\$705,409,217) would be subcontracted to DBEs.

Activity This Month

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

- **\$41,361,619** has been paid to DBE subcontractors.
- **\$41,242,326** of DBE contracts have been awarded (to be verified).
- **5.86%** has been achieved.

Figure 17-1 DBE Participation



Activity Next Month

BBII has proposed the following key actions:

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

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18.0 PROCUREMENT

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

- None

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

- RFQ – Scissor Lift Work Platform for Peninsula Corridor Electrification Project (PCEP)

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:

- None

Upcoming Contract Awards/Contract Amendments:

- None

Upcoming IFB/RFQ/RFP to be Issued:

- None

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) to BBII JPB approves contract award (LNTP) to Stadler FTA approval of entry into engineering for the Core Capacity Program Application for FFGA
2017	FTA finalized the FFGA for \$647 million in Core Capacity funding, met all regulatory requirements including end of Congressional Review Period (February) FTA FFGA executed, committing \$647 million to the project (May) JPB approves \$1.98 billion budget for PCEP (June) Issued NTP for EMUs to Stadler (June 1) Issued NTP for electrification contract to BBII (June 19) Construction began (August) EMU manufacturing began (October) Issued NTP for SCADA to Rockwell Collins (ARINC) (October) Issued NTP for CEMOF Facility Upgrades to HNTB (November)

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

APPENDICES

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Appendix A – Acronyms

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**Peninsula Corridor Electrification Project
Monthly Progress Report**

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

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

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

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Appendix B – Funding Partner Meetings

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Funding Partner Meeting Representatives
Updated July 16, 2020

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

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Appendix C – Schedule

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#	Activity Name	Duration	Start	Finish	Variance - Last Month	2014				2015				2016				2017				2018				2019				2020				2021				2022				2023
						Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	
1	MASTER PROGRAM SCHEDULE C20.07	2182	01-May-14 A	09-Sep-22	-14																																					
2	PROJECT MILESTONES	2182	01-May-14 A	09-Sep-22	-14																																					
3	Start	0	01-May-14 A		0																																					
4	NEPA Reevaluation Complete	0		11-Feb-16 A	0							◆																														
5	LNTP to Electrification Contractor	0	06-Sep-16 A		0								◆																													
6	LNTP to Vehicle Manufacturer	0	06-Sep-16 A		0								◆																													
7	FTA Issues FFGA	0		23-May-17 A	0									◆																												
8	Segment 4 Ready for EMU Testing	0		14-Jun-21	0																						◆															
9	Segment 4 Intermediate Milestone Complete	0		13-Aug-21	0																	◆						◆														
10	Electrification Substantial Completion	0		27-Jul-22	0																															◆						
11	System Electrified	0		27-Jul-22	0																															◆						
12	FFGA Revenue Service Date (RSD)	0		22-Aug-22*	0																															◆						
13	Forecasted Revenue Service Date (RSD)	0		09-Sep-22	-32																															◆						
14	PLANNING / APPROVALS	1230	01-May-14 A	16-Jan-19 A	0	◆																																				
15	REAL ESTATE ACQUISITION	1372	05-Nov-15 A	01-Apr-21	0																																					
16	OVERHEAD UTILITY RELOCATION (Various)	948	10-Mar-17 A	03-Dec-20	0																																					
17	ELECTRIFICATION (BBII)	1537	06-Sep-16 A	27-Jul-22	0																																					
18	DESIGN	1323	06-Sep-16 A	30-Sep-21	0																																					
19	SIGNALS DESIGN	370	01-May-20 A	30-Sep-21	0																																					
20	CONSTRUCTION	1669	09-Oct-17 A	04-May-22	0																																					
21	Segment 1	946	02-Oct-19 A	04-May-22	0																																					
22	OCS	453	01-Aug-20 A	27-Oct-21	0																																					
23	Traction Power	929	02-Oct-19 A	17-Apr-22	0																																					
24	Signals	321	18-Jun-21	04-May-22	0																																					
25	Segment Completion	0	04-May-22	04-May-22	0																																					
26	Segment 2	1669	09-Oct-17 A	04-May-22	-1																																					
27	OCS	1449	09-Oct-17 A	26-Sep-21	0																																					
28	Traction Power	1567	19-Jan-18 A	04-May-22	-1																																					
29	Signals	1075	26-Apr-19 A	04-Apr-22																																						
30	Segment Completion	0	04-May-22	04-May-22	-1																																					
31	Segment 3	1032	09-Apr-19 A	03-Feb-22	0																																					
32	OCS	727	28-May-19 A	23-May-21	0																																					
33	Traction Power	1016	09-Apr-19 A	18-Jan-22	0																																					
34	Signals	292	18-Apr-21	03-Feb-22	0																																					
35	Segment Completion	0	03-Feb-22	03-Feb-22	0																																					
36	Segment 4	1429	01-Dec-17 A	29-Oct-21	0																																					
37	OCS	852	25-Feb-19 A	25-Jun-21	0																																					
38	Traction Power	1429	01-Dec-17 A	29-Oct-21	0																																					
39	Signals	909	22-Oct-18 A	17-Apr-21	-2																																					
40	Segment Completion	60	15-Jun-21	13-Aug-21	0																																					
41	TESTING	84	05-May-22	27-Jul-22	0																																					
42	DRILL TRACK (TASI)	20	01-Feb-21	26-Feb-21	0																																					
43	SCADA (Arinc)	1771	30-Mar-15 A	18-Mar-22	0																																					
44	PREPARE SOLE SOURCE & AWARD	649	30-Mar-15 A	16-Oct-17 A	0																																					
45	DESIGN	157	16-Oct-17 A	31-May-18 A	0																																					
46	IMPLEMENTATION, TEST, INSTALL & CUTOVER	899	04-Sep-18 A	18-Mar-22	0																																					

- ▬ 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

#	Activity Name	Duration	Start	Finish	Variance - Last Month	2014		2015				2016				2017				2018				2019				2020				2021				2022				2023
						Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1			
47	CEMOF (Various)	1016	16-Nov-17 A	07-Oct-21	0																																			
48	CEMOF MODIFICATIONS (ProVen)	837	16-Nov-17 A	31-Jan-21	0																																			
49	<i>DESIGN</i>	178	16-Nov-17 A	31-Jul-18 A	0																																			
50	<i>BID & AWARD</i>	132	01-Aug-18 A	07-Feb-19 A	0																																			
51	<i>CONSTRUCTION</i>	460	29-Apr-19 A	31-Jan-21	0																																			
52	PANTOGRAPH INSPECTION & MONITORING SYSTEM (C)	663	01-Mar-19 A	07-Oct-21	0																																			
53	SCISSOR LIFT WORK PLATFORM (Ctr TBD)	596	01-Mar-19 A	02-Jul-21	0																																			
54	TUNNEL MODIFICATION (ProVen)	1535	31-Oct-14 A	17-Sep-20 A	0																																			
55	ELECTRIC LOCOMOTIVE (Amtrak / Mitsui)	979	01-Mar-17 A	01-Dec-20	-21																																			
56	EMU (Stadler)	2182	01-May-14 A	09-Sep-22	-35																																			
57	DEVELOP RFP, BID & AWARD	612	01-May-14 A	02-Sep-16 A	0																																			
58	DESIGN	1106	06-Sep-16 A	01-Dec-20	-22																																			
59	PROCUREMENT (Material)	1034	16-Jan-17 A	31-Dec-20	0																																			
60	MANUFACTURING & TESTING	1245	04-Dec-17 A	09-Sep-22	-35																																			
61	<i>TRAINSET 1</i>	1095	04-Dec-17 A	11-Feb-22	-40																																			
62	<i>TRAINSET 2</i>	1069	22-Feb-18 A	29-Mar-22	-87																																			
63	<i>TRAINSET 3</i>	849	06-Aug-18 A	04-Nov-21	-49																																			
64	<i>TRAINSET 4</i>	585	03-Jun-19 A	27-Aug-21	10																																			
65	<i>TRAINSET 5</i>	484	02-Dec-19 A	07-Oct-21	-14																																			
66	<i>TRAINSET 6</i>	459	13-Jan-20 A	14-Oct-21	-9																																			
67	<i>TRAINSET 7</i>	464	10-Feb-20 A	18-Nov-21	-19																																			
68	<i>TRAINSET 8</i>	434	04-May-20 A	30-Dec-21	-39																																			
69	<i>TRAINSET 9</i>	445	22-Jun-20 A	04-Mar-22	-60																																			
70	<i>TRAINSET 10</i>	470	22-Jun-20 A	08-Apr-22	-27																																			
71	<i>TRAINSET 11</i>	458	17-Aug-20 A	18-May-22	-43																																			
72	<i>TRAINSET 12</i>	422	01-Dec-20	13-Jul-22	-53																																			
73	<i>TRAINSET 13</i>	429	01-Dec-20	22-Jul-22	-30																																			
74	<i>TRAINSET 14</i>	425	25-Jan-21	09-Sep-22	-35																																			
75	PG&E INFRASTRUCTURE	1182	01-Mar-17 A	09-Sep-21	0																																			
76	INTERCONNECT	1153	01-Mar-17 A	30-Jul-21	0																																			
77	INTERIM POWER	322	01-Aug-17 A	05-Nov-18 A	0																																			
78	PERMANENT POWER	1044	01-Aug-17 A	09-Sep-21	0																																			
79	<i>DESIGN & PERMITTING</i>	431	01-Aug-17 A	12-Apr-19 A	0																																			
80	<i>CONSTRUCTION</i>	612	15-Apr-19 A	09-Sep-21	0																																			
81	TESTING & STARTUP (JPB)	32	28-Jul-22	09-Sep-22	-14																																			
82	PRE-REVENUE TESTING	44	28-Jul-22	09-Sep-22	-44																																			
83	REVENUE OPERATIONS	1	09-Sep-22	09-Sep-22	-14																																			
84	Revenue Service Date (RSD) w/ Risk Contingency (FFGA RSD)	0		09-Sep-22	-13																																			
85	Revenue Service Date (RSD) w/out Risk Contingency	0		09-Sep-22	-32																																			
86	RISK CONTINGENCY	0	09-Sep-22	09-Sep-22	-17																																			
87	Risk Contingency (FTA)	0	09-Sep-22	09-Sep-22	-17																																			

Prog Plan (C16.00)	Progress	Near Critical	Last Months Update	Start Milestone	Prog Plan (C16.00)	Critical Milestone
Last Months Update	Remaining	Critical	Finish Milestone	Last Months Update		

Appendix D – Standard Cost Codes

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**Peninsula Corridor Electrification Project
Monthly Progress Report**

Description of Work	FFGA Baseline Budget (A)	Approved Budget (B)	Cost This Month (C)	Cost To Date (D)	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
10 - GUIDEWAY & TRACK ELEMENTS	\$14,256,739	\$27,353,871	\$0	\$24,997,834	\$3,082,261	\$28,080,095
10.02 Guideway: At-grade semi-exclusive (allows cross-traffic)	\$2,500,000	\$2,500,000	\$0	\$144,681	\$2,355,319	\$2,500,000
10.07 Guideway: Underground tunnel	\$8,110,649	\$24,853,871	\$0	\$24,853,153	\$726,942	\$25,580,095
10.07 Allocated Contingency	\$3,646,090	\$0	\$0	\$0	\$0	\$0
30 - SUPPORT FACILITIES: YARDS, SHOPS, ADMIN. BLDGS	\$2,265,200	\$7,101,592	\$533,196	\$5,391,619	\$3,000,564	\$8,392,183
30.03 Heavy Maintenance Facility	\$1,344,000	\$7,101,592	\$533,196	\$5,391,619	\$3,000,564	\$8,392,183
30.03 Allocated Contingency	\$421,200	\$0	\$0	\$0	\$0	\$0
30.05 Yard and Yard Track	\$500,000	\$0	\$0	\$0	\$0	\$0
40 - SITEWORK & SPECIAL CONDITIONS	\$255,072,402	\$268,912,556	\$6,023,904	\$203,069,080	\$69,763,197	\$272,832,277
40.01 Demolition, Clearing, Earthwork	\$3,077,685	\$3,077,685	\$828,800	\$6,951,900	(\$3,844,215)	\$3,107,685
40.02 Site Utilities, Utility Relocation	\$62,192,517	\$94,595,387	\$3,836,744	\$101,403,910	(\$5,429,242)	\$95,974,668
40.02 Allocated Contingency	\$25,862,000	(\$0)	\$0	\$0	(\$0)	(\$0)
40.03 Haz. mat'l, contam'd soil removal/mitigation, ground water treatments	\$2,200,000	\$4,944,961	\$52,292	\$6,513,721	(\$1,561,787)	\$4,951,934
40.04 Environmental mitigation, e.g. wetlands, historic/archeologic, parks	\$32,579,208	\$32,954,208	\$18,375	\$2,165,370	\$30,788,838	\$32,954,208
40.05 Site structures including retaining walls, sound walls	\$568,188	\$568,188	\$0	\$0	\$568,188	\$568,188
40.06 Pedestrian / bike access and accommodation, landscaping	\$804,933	\$764,933	\$0	\$0	\$764,933	\$764,933
40.07 Automobile, bus, van accessways including roads, parking lots	\$284,094	\$284,094	\$0	\$0	\$284,094	\$284,094
40.08 Temporary Facilities and other indirect costs during construction	\$107,343,777	\$111,113,100	\$1,287,693	\$86,034,180	\$44,507,434	\$130,541,614
40.08 Allocated Contingency	\$20,160,000	\$20,610,000	\$0	\$0	\$3,684,953	\$3,684,953
50 - SYSTEMS	\$504,445,419	\$525,695,579	\$14,761,585	\$229,347,432	\$315,452,458	\$544,799,890
50.01 Train control and signals	\$97,589,149	\$101,033,806	\$4,008,066	\$44,690,375	\$57,614,758	\$102,305,133
50.01 Allocated Contingency	\$1,651,000	\$0	\$0	\$0	\$0	\$0
50.02 Traffic signals and crossing protection	\$23,879,905	\$23,879,905	\$0	\$0	\$23,879,905	\$23,879,905
50.02 Allocated Contingency	\$1,140,000	\$1,140,000	\$0	\$0	\$1,140,000	\$1,140,000
50.03 Traction power supply: substations	\$69,120,009	\$97,744,787	\$2,887,274	\$46,123,099	\$52,924,229	\$99,047,328
50.03 Allocated Contingency	\$31,755,013	\$2,990,899	\$0	\$0	\$1,578,187	\$1,578,187
50.04 Traction power distribution: catenary and third rail	\$253,683,045	\$287,242,699	\$7,866,245	\$138,475,969	\$170,696,493	\$309,172,462
50.04 Allocated Contingency	\$18,064,000	\$4,100,188	\$0	\$0	\$113,577	\$113,577
50.05 Communications	\$5,455,000	\$5,455,000	\$0	\$57,989	\$5,397,011	\$5,455,000
50.07 Central Control	\$2,090,298	\$2,090,298	\$0	\$0	\$2,090,298	\$2,090,298
50.07 Allocated Contingency	\$18,000	\$18,000	\$0	\$0	\$18,000	\$18,000
60 - ROW, LAND, EXISTING IMPROVEMENTS	\$35,675,084	\$35,675,084	\$43,589	\$20,637,142	\$15,037,942	\$35,675,084
60.01 Purchase or lease of real estate	\$25,927,074	\$25,927,074	\$43,589	\$20,504,533	\$13,872,541	\$34,377,074
60.01 Allocated Contingency	\$8,748,010	\$8,748,010	\$0	\$0	\$298,010	\$298,010
60.02 Relocation of existing households and businesses	\$1,000,000	\$1,000,000	\$0	\$132,609	\$867,391	\$1,000,000
70 - VEHICLES (96)	\$625,544,147	\$620,587,713	\$10,546,992	\$241,849,885	\$377,979,674	\$619,829,560
70.03 Commuter Rail	\$589,167,291	\$591,340,151	\$10,546,992	\$241,311,606	\$352,586,437	\$593,898,043
70.03 Allocated Contingency	\$9,472,924	\$5,415,810	\$0	\$0	\$2,099,765	\$2,099,765
70.06 Non-revenue vehicles	\$8,140,000	\$5,067,821	\$0	\$538,280	\$4,529,541	\$5,067,821
70.07 Spare parts	\$18,763,931	\$18,763,931	\$0	\$0	\$18,763,931	\$18,763,931
80 - PROFESSIONAL SERVICES (applies to Cats. 10-50)	\$323,793,010	\$338,037,068	\$2,005,425	\$314,390,420	\$43,935,483	\$358,325,903
80.01 Project Development	\$130,350	\$130,350	\$0	\$280,180	(\$149,830)	\$130,350
80.02 Engineering (not applicable to Small Starts)	\$180,227,311	\$188,700,404	\$448,354	\$199,535,479	(\$5,544,652)	\$193,990,827
80.02 Allocated Contingency	\$1,866,000	\$190,678	\$0	\$0	\$10,147	\$10,147
80.03 Project Management for Design and Construction	\$72,029,265	\$80,977,704	\$947,346	\$82,774,114	\$16,033,033	\$98,807,147
80.03 Allocated Contingency	\$9,388,080	\$5,471,844	\$0	\$0	(\$0)	(\$0)
80.04 Construction Administration & Management	\$23,677,949	\$30,364,100	\$609,235	\$21,784,657	\$16,786,015	\$38,570,672
80.04 Allocated Contingency	\$19,537,000	\$13,104,785	\$0	\$0	\$5,159,428	\$5,159,428
80.05 Professional Liability and other Non-Construction Insurance	\$3,500,000	\$4,581,851	\$0	\$4,581,851	\$0	\$4,581,851
80.06 Legal; Permits; Review Fees by other agencies, cities, etc.	\$7,167,275	\$8,671,371	(\$0)	\$5,388,111	\$4,390,632	\$9,778,742
80.06 Allocated Contingency	\$556,000	\$0	\$0	\$0	\$0	\$0
80.07 Surveys, Testing, Investigation, Inspection	\$3,287,824	\$3,418,022	\$490	\$46,027	\$3,452,754	\$3,498,781
80.08 Start up	\$1,797,957	\$1,797,957	\$0	\$0	\$3,797,957	\$3,797,957
80.08 Allocated Contingency	\$628,000	\$628,000	\$0	\$0	(\$0)	(\$0)
Subtotal (10 - 80)	\$1,761,052,001	\$1,823,363,464	\$33,914,691	\$1,039,683,413	\$828,251,580	\$1,867,934,993
90 - UNALLOCATED CONTINGENCY	\$162,620,295	\$97,408,832	\$0	\$0	\$52,837,303	\$52,837,303
Subtotal (10 - 90)	\$1,923,672,296	\$1,920,772,296	\$33,914,691	\$1,039,683,413	\$881,088,883	\$1,920,772,296
100 - FINANCE CHARGES	\$6,998,638	\$9,898,638	\$30,261	\$6,753,943	\$3,144,695	\$9,898,638
Total Project Cost (10 - 100)	\$1,930,670,934	\$1,930,670,934	\$33,944,953	\$1,046,437,356	\$884,233,578	\$1,930,670,934

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Appendix E – Change Order Logs

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**Peninsula Corridor Electrification Project
Monthly Progress Report**

Change Order Logs

Electrification Contract

Change Order Authority (5% of BBII Contract)

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

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

Peninsula Corridor Electrification Project
Monthly Progress Report

Change Order Authority (5% of BBII Contract)

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

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

**Peninsula Corridor Electrification Project
Monthly Progress Report**

Change Order Authority (5% of BBII Contract)

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

Date	Change Number	Description	CCO Amount	Change Order Authority Usage ¹	Remaining Authority
4/29/2020	BBI-053-CCO-081A	Steel Plates to Protect Utilities (DTDS)	\$95,474	0.27 %	\$18,369,157
4/29/2020	BBI-053-CCO-071	Increase Quantity for Tree Pruning (Bid Unit Price Item #4d)	\$375,000	1.08 %	\$17,994,157
5/1/2020	BBI-053-CCO-050	Switch Machine Isolation - Credit	(\$277,430)	(0.80)%	\$18,271,586
5/19/2020	BBI-053-CCO-092A	Signal Cable Relocation (Field Order No. 340)	\$106,773	0.31 %	\$18,164,814
5/19/2020	BBI-053-CCO-093A	Signal Cable Relocation (Field Order No. 340)	\$90,765	0.26 %	\$18,074,049
5/27/2020	BBI-053-CCO-101	Asbestos Pipe Abatement at 46.3-07/08	\$21,037	0.06 %	\$18,053,012
6/15/2020	BBI-053-CCO-049A	Long-reach Foundations Installation - Unit Price	\$46,560	0.13 %	\$18,006,452
6/15/2020	BBI-053-CCO-049B	Long-reach Foundations Installation - Unit Price	\$46,560	0.13 %	\$17,959,892
6/18/2020	BBI-053-CCO-033B	PS-3 Site Relocation FEMA 2019 Update and BGSP Design Coordination – CNPA	\$50,000	0.14 % ³	\$17,909,892
6/30/2020	BBI-053-CCO-082A	Steel Plates to Protect Utilities (DTDS)	\$90,658	0.26 %	\$17,819,235
6/30/2020	BBI-053-CCO-083A	Steel Plates to Protect Utilities (DTDS)	\$181,900	0.52 %	\$17,637,335
6/30/2020	BBI-053-CCO-094A	Signal Cable Relocation (Field Order No. 340)	\$124,633	0.36 %	\$17,512,702
7/9/2020	BBI-053-CCO-072A	SVP Requirements for Joint SIS & SPS (Task 1) – Voided	(\$80,000)	(0.23)%	\$17,592,702
7/9/2020	BBI-053-CCO-072A REV2	SVP Requirements for Joint SIS & SPS (Tasks 0-5)	\$300,000	0.86 %	\$17,292,702
7/16/2020	BBI-053-CCO-100	Remove Tree Stump at 46.4-02	\$1,459	0.00 %	\$17,291,243
7/30/2020	BBI-053-CCO-078	Re-design CEMOF OCS Poles due to Stair 71 Conflict	\$11,796	0.03 %	\$17,279,447
7/30/2020	BBI-053-CCO-084A	Steel Plates to Protect Utilities (DTDS)	\$101,334	0.29 %	\$17,178,113
7/30/2020	BBI-053-CCO-085A	Steel Plates to Protect Utilities (DTDS)	\$94,062	0.27 %	\$17,084,051
7/30/2020	BBI-053-CCO-104	Utility Conflict During PVC Conduit Installation	\$2,657	0.01 %	\$17,081,394
7/31/2020	BBI-053-CCO-103	Track Access Delays – 2017 Quarter 3	\$145,892	0.42 %	\$16,935,503
7/31/2020	BBI-053-CCO-025B	Addition of OCS Shunt Wires in Segments 2 & 4 - Wire Assembly Materials Only – Voided	(\$144,370)	(0.41)%	\$17,079,873
7/31/2020	BBI-053-CCO-025C	Addition of OCS Shunt Wires in Segments 2 & 4 – Pole Assembly Materials Only – Voided	(\$884,500)	(2.54)%	\$17,964,373
8/3/2020	BBI-053-CCO-063B	Track Access Delays – Quarter 1 2018 (Part 2)	\$92,906	0.27 %	\$17,871,466
8/14/2020	BBI-053-CCO-106	Track Access Delays – 2017 Quarter 4	\$903,794	2.59 %	\$16,967,672
9/10/2020	BBI-053-CCO-025F	OCS Shunt Wire (Construction)	\$9,500,000	0.00% ²	-
9/11/2020	BBI-053-CCO-126	Track Access Delays - 2019 Quarter 3 – OCS Foundations	\$81,223	0.23 %	\$16,886,450
9/24/2020	BBI-053-CCO-127	Track Access Delays – 2019 Quarter 4 – OCS Foundations	\$147,223	0.42 %	\$16,739,227
9/21/2020	BBI-053-CCO-051	CEMOF Yard OCS Changes (Design Only)	\$210,300	0.60 %	\$16,528,927
9/21/2020	BBI-053-CCO-074	Underground Utilities Clearance	\$0	0.00 %	\$16,528,927
10/19/2020	BBI-053-CCO-072C	PCEP SIS & SPS Additional Validation Work	\$27,696	0.08 %	\$16,501,231
10/27/2020	BBI-053-CCO-105	Pole Removal at Location 30.7-01	\$2,297	0.01 %	\$16,498,935
11/30/2020	BBI-053-CCO-056	Delivery of Signal Cable	\$3,391	0.01 %	\$16,495,544
Total			\$45,287,170	52.64 %	\$16,495,544

Notes:

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

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EMU Contract

Change Order Authority (5% of Stadler Contract)

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

Date	Change Number	Description	CCO Amount	Change Order Authority Usage ¹	Remaining Authority
09/22/2017	STA-056-CCO-001	Contract General Specification and Special Provision Clean-up	\$0	0.00%	-
10/27/2017	STA-056-CCO-002	Prototype Seats and Special Colors	\$55,000	0.20%	\$27,489,973
11/02/2017	STA-056-CCO-003	Car Level Water Tightness Test	\$0	0.00%	-
12/05/2017	STA-056-CCO-004	Onboard Wheelchair Lift 800 Pound Capacity Provisions	\$848,000	3.08%	\$26,641,973
11/03/2017	STA-056-CCO-005	Design Progression (multiple)	\$0	0.00%	-
12/12/2017	STA-056-CCO-006	Prototype Seats and Special Colors	(\$27,500)	(0.10%)	\$26,669,473
01/17/2018	STA-056-CCO-007	Multi-Color Destination Signs	\$130,760	0.47%	\$26,538,713
02/09/2018	STA-056-CCO-008	Adjustment to Delivery and LDs due to delayed FNTF	\$490,000	0.00% ²	-
02/12/2018	STA-056-CCO-009	Ship Cab Mock-up to Caltrain	\$53,400	0.19%	\$26,485,313
04/17/2018	STA-056-CCO-010	Onboard Wheelchair Lift Locations	(\$1,885,050)	(6.84%)	\$28,370,363
04/17/2018	STA-056-CCO-011	Multiple Change Group 3 and Scale Models	\$0	0.00%	-
10/29/2018	STA-056-CCO-012	Multiple Change Group 4	\$0	0.00%	-
10/29/2018	STA-056-CCO-013	Wheelchair Lift Installation Redesign	\$228,400	0.83%	\$28,141,963
12/14/2018	STA-056-CCO-014	PTC System Change	\$0	0.00%	-
12/22/2018	STA-056-CCO-015	EMU Option Cars	\$172,800,047	0.00% ^{2,3}	-
6/26/2019	STA-056-CCO-016	Testing at TTCI (Pueblo Facility) - First Trainset	\$3,106,428	11.28 %	\$25,035,535
8/27/2019	STA-056-CCO-017	Virtual Reality Experience	\$400,000	1.45 %	\$24,635,535
8/21/2019	STA-056-CCO-018	EMI Conducted Emissions Limits	\$0	0.00%	\$24,635,535
8/8/2019	STA-056-CCO-019	Option Car Payment Milestones	\$0	0.00%	\$24,635,535
8/21/2019	STA-056-CCO-020	Multiple No Cost No Schedule Impact Changes Group 5	\$0	0.00%	\$24,635,535
10/28/2019	STA-056-CCO-021	Plugging of High-Level Doorways	\$736,013	2.67%	\$23,899,523
11/13/2019	STA-056-CCO-022	Add Flip-Up Seats into Bike Cars (CNPA: \$1.96M funded by Non-PCEP)	\$1,961,350	7.12% ³	\$21,938,173
4/21/2020	STA-056-CCO-025	Removal of Vandal Film from Windows	(\$374,994)	(1.36)%	\$22,313,167
5/6/2020	STA-056-CCO-023	Deferral of Wheelchair Lifts	\$632,703	2.30 %	\$21,680,464
7/13/2020	STA-056-CCO-026	Update VR Experiences (CNPA: \$43K funded by Non-PCEP)	\$43,000	0.16 % ³	\$21,637,464
9/14/2020	STA-056-CCO-027	EMU Liquidated Damages, and Delivery and Testing Schedule Modifications	\$0	0.00 %	\$21,637,464
10/12/2020	STA-056-CCO-029	Multiple No Cost / No Schedule Impact Changes Group 7	\$0	0.00 %	\$21,637,464
Total			\$179,197,556	21.45 %	\$21,637,464

Notes:

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SCADA Contract

Change Order Authority (15% of ARINC Contract)

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

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

Notes:

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

Tunnel Modifications Contract

Change Order Authority (10% of ProVen Contract¹)

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

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

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Change Order Authority (10% of ProVen Contract¹)

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

Date	Change Number	Description	CCO Amount	Change Order Authority Usage ²	Remaining Authority
7/31/2020	PROV-070-CCO-032	Stone Masonry Fabrication at T-4S	\$26,367	0.48 %	\$5,062,364
7/31/2020	PROV-070-CCO-035	Low Overhead Obstruction at T-1N	\$18,894	0.34 %	\$5,043,470
Total			\$464,308	8.43 %	\$5,043,470

Notes:

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

CEMOF Modifications Contract

Change Order Authority (10% of ProVen Contract)

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

Date	Change Number	Description	CCO Amount	Change Order Authority Usage ¹	Remaining Authority
1/16/2020	PROV-071-CCO-001	Change Casing Size of Siphon Line to Schedule 80 PVC Pipe	\$3,849	0.59 %	\$651,229
1/13/2020	PROV-071-CCO-002	Leakage test for IW line	\$1,339	0.20 %	\$649,890
1/15/2020	PROV-071-CCO-003	Roughen surface of existing concrete	\$3,159	0.48 %	\$646,731
1/9/2020	PROV-071-CCO-004	Change Catch Basin Size from 24"X24" to 36" Round	\$14,415	2.20 %	\$632,316
1/15/2020	PROV-071-CCO-005	Hand Dig around Communication Lines	\$906	0.14 %	\$631,410
1/17/2020	PROV-071-CCO-008	Change Storm Drain Line A Material from 12-inch RCP Pipe to 12-inch PVC Pipe	\$3,583	0.55 %	\$627,827
1/16/2020	PROV-071-CCO-009	Demolition of Existing Exterior Light	\$1,558	0.24 %	\$626,269
2/13/2020	PROV-071-CCO-010	Deletion of Plastic Bollards Around New Inspection Pit	(\$3,324)	(0.51)%	\$629,593
2/13/2020	PROV-071-CCO-011	Fixing Broken Conduit in Concrete Slab North of Maintenance Building	\$4,286	0.65 %	\$625,307
2/13/2020	PROV-071-CCO-012	Epoxy Dowels at New Stairwells	\$3,526	0.54 %	\$621,781
2/13/2020	PROV-071-CCO-013	Deletion of the Removal and Replacement of Pump Disconnect Switches	(\$7,007)	(1.07)%	\$628,788
2/13/2020	PROV-071-CCO-014	Recycled Base Rock for Backfill at Pressurized Water Line at Parts Storage Warehouse	\$1,411	0.22 %	\$627,377
2/20/2020	PROV-071-CCO-015	Cut and Cap Oil Line	\$1,002	0.15 %	\$626,375
2/25/2020	PROV-071-CCO-016	Installation of Homerun Conduit	\$27,404	4.18 %	\$598,971
2/25/2020	PROV-071-CCO-017	Potholing for Boosted Water Line	\$18,476	2.82 %	\$580,495
2/28/2020	PROV-071-CCO-018	Cap Compressed Air Line	\$9,519	1.45 %	\$570,976
2/28/2020	PROV-071-CCO-019	Acoustic Ceiling Removal at Component Test Room	\$4,253	0.65 %	\$566,723
3/5/2020	PROV-071-CCO-020	Ground Wire Relocation	\$14,117	2.16 %	\$552,606
3/13/2020	PROV-071-CCO-021	Zurn Drain Assembly in Lieu of Fibrelyte	\$1,104	0.17 %	\$551,502
4/8/2020	PROV-071-CCO-022	Deletion of Concrete Pad and Double Plywood Floor at PSW	(\$1,409)	(0.22)%	\$552,911
4/8/2020	PROV-071-CCO-023	Flashing at Overflow Drain at Component Test Room	\$2,981	0.46 %	\$549,930
4/9/2020	PROV-071-CCO-024	Parts Storage Warehouse Power Feed	\$16,412	2.51 %	\$533,518
4/22/2020	PROV-071-CCO-025	Removal of Hazardous Soil from PSW Subgrade Excavation	\$43,444	6.63 %	\$490,073
4/22/2020	PROV-071-CCO-026A	Removal of Hazardous Soil from PSW Footing Excavation	\$35,808	5.47 %	\$454,266

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Change Order Authority (10% of ProVen Contract)

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

Date	Change Number	Description	CCO Amount	Change Order Authority Usage¹	Remaining Authority
4/27/2020	PROV-071-CCO-027	480 Volt Duct Bank and Wire Removal	\$5,015	0.77 %	\$449,251
5/28/2020	PROV-071-CCO-031A	Temporary Facilities - Eye Wash Stations	\$656	0.10 %	\$448,595
6/3/2020	PROV-071-CCO-032A	Water Diversion Pump for Catch Basin Work	\$2,745	0.42 %	\$445,850
6/3/2020	PROV-071-CCO-033A	Light Towers for Maintenance Building Yard	\$3,897	0.59 %	\$441,953
6/3/2020	PROV-071-CCO-034	Investigation of Concrete Underneath Ties at Track 5	\$5,060	0.77 %	\$436,893
6/16/2020	PROV-071-CCO-029A	Shoring Design for Boosted Water Line Work	\$14,307	2.18 %	\$422,586
6/16/2020	PROV-071-CCO-030A	Investigation and Re-wiring of Electrical Receptacles at CTR	\$7,783	1.19 %	\$414,803
6/10/2020	PROV-071-CCO-028	Credit for Electrical Feed to Parts Storage Warehouse	(\$18,682)	(2.85)%	\$433,485
7/24/2020	PROV-071-CCO-029B	Shoring Design for Boosted Water Line Work	\$2,175	0.33 %	\$431,310
7/24/2020	PROV-071-CCO-032B	Water Diversion Pump for Catch Basin Work	\$3,621	0.55 %	\$427,689
7/24/2020	PROV-071-CCO-035	Settlement Slab Demolition	\$479	0.07 %	\$427,210
7/24/2020	PROV-071-CCO-036	Storm Drain Line A	\$2,066	0.32 %	\$425,144
7/30/2020	PROV-071-CCO-037	Owner Supplied WSP Cabinet - Added Mechanical Pad and Conduit Pull	\$5,922	0.90 %	\$419,222
7/30/2020	PROV-071-CCO-038	Interior and Exterior Metal Wall Panels at CTR	\$10,317	1.57 %	\$408,905
7/30/2020	PROV-071-CCO-039	Exterior CMU Wall at CTR	\$16,152	2.47 %	\$392,753
7/30/2020	PROV-071-CCO-040	Membrane Waterproofing Specification Modifications	\$36,233	5.53 %	\$356,520
12/17/2019	PROV-071-CCO-007	Demolition of Existing Transition Slab at North and South Pits	\$8,101	1.24 %	\$348,419
8/13/2020	PROV-071-CCO-041	Abandonment of Drainage Structure in Conflict with Shoring at Stair No. 71	\$11,015	1.68 %	\$337,404
8/14/2020	PROV-071-CCO-043	Lighting Circuit Restoration	\$2,980	0.45 %	\$334,424
8/18/2020	PROV-071-CCO-026B	Removal of Hazardous Soil from PSW Ductbank Excavation	\$6,838	1.04 %	\$327,586
8/24/2020	PROV-071-CCO-044	Aerial Cable and Waterproofing Cable Penetrations at the CCF and PSW Buildings	\$14,589	2.23 %	\$312,997
8/24/2020	PROV-071-CCO-045	Conduit Outside Component Test Room	\$6,865	1.05 %	\$306,132
9/15/2020	PROV-071-CCO-030B	Component Test Room Data and Electrical Outlets and Masonry Work	\$12,530	1.91 %	\$293,602
9/17/2020	PROV-071-CCO-042	Shallow Fire Sprinkler Line	\$162,000	0.00% ²	-
10/19/2020	PROV-071-CCO-046A	Electrical Duct Bank Extension from Parts Storage Warehouse to CCF Building	\$20,307	3.10 %	\$273,295
10/19/2020	PROV-071-CCO-047	Removal of Oil Line at the Exterior of the Maintenance Building in the Way of Storm Drain Line A	\$262	0.04 %	\$273,033
10/20/2020	PROV-071-CCO-048	Electrical Conduit and Wires at Track 5	\$6,770	1.03 %	\$266,263
Total		\$550,815	59.35 %	\$266,263	

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AMTRAK AEM-7 Contract

Change Order Authority (Lump Sum)

Up to \$150,000

Date	Change Number	Description	CCO Amount	Change Order Authority Usage¹	Remaining Authority
10/25/2019	AMTK-066-CCO-001	Change to Amtrak Contract for Test Locomotives	(72,179)	(48.12%)	222,179
Total			(72,179)	(48.12%)	\$222,179

Notes:

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

Appendix F – Risk Table

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Listing of PCEP Risks and Effects in Order of Severity

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

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

ID	RISK DESCRIPTION	EFFECT(S)
327	EMU production delay. Possible that there is poor integration / control of suppliers.	Schedule Increase
013	Vehicle manufacturer could default.	Prolonged delay to resolve issues (up to 12 months) Increase in legal expenses Potential price increase to resolve contract issue
067	Relocation of overhead utilities must precede installation of catenary wire and connections to TPSs. Relocation work will be performed by others and may not be completed to meet BBII's construction schedule.	Delay in progress of catenary installation resulting in claims and schedule delay
223	Major program elements may not be successfully integrated with existing operations and infrastructure in advance of revenue service.	Proposed changes resulting from electrification may not be fully and properly integrated into existing system. Rework resulting in cost increases and schedule delays
242	Track access does not comply with contract-stipulated work windows.	Contractor claims for delays, schedule delays and associated costs to owner's representative staff.
253	Permits for bridges may not be issued in a timely manner.	Delays to issuance of permit for construction while negotiating and executing an operation and maintenance agreement for equipment installed on bridges; existing bridge deficiencies could result in additional costs to PCEP.
261	Although EMUs meet their electromagnetic emissions limits and wayside signal system track circuits meet their susceptibility requirements there are still compatibility issues leading to improper signal system operation	Changes on the EMU and/or signal system require additional design and installation time and expense.
285	Potential for inflation, (except with respect to Maintenance Option) to increase contractor costs.	Higher cost
286	Potential for wage escalation, (except for Maintenance Option) to increase contractor costs.	Higher cost

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

ID	RISK DESCRIPTION	EFFECT(S)
251	Subcontractor and supplier performance to meet aggressive schedule <>Potential issue meeting Buy America requirements	Delay to production schedule resulting in increased soft costs and overall project schedule delay.
272	Final design based upon actual Geotech conditions	Could require changes
287	Design changes may necessitate additional implementation of environmental mitigations not previously budgeted.	Increased cost for environmental measures and delays to construct and overall delay in construction schedule
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.
317	JPB may not make timely acquisition of resources to staff rail activation plan with key personnel.	Delay in operating electrified railroad - delay of RSD.
323	FRA concerns require re-design	
326	EMU production delay. Possible that there are failed factory tests	Schedule Increase
027	Vehicle power consumption may not meet requirements.<>System impact study and load flow show no issues	Issue with PG&E. Can't run full acceleration.
031	New cars possibly not reliable enough to be put into service as scheduled	Operating plan negatively impacted
042	Full complement of EMUs not available upon initiation of electrified revenue service	Late delivery impacts revenue service date.
101	PG&E may not be able to deliver permanent power for the project within the existing budget and in accordance with the project schedule	Additional project costs; potential delay to revenue service date
150	Number of OCS pole installation is significant. Any breakdown in sequencing of operations or coordination of multiple crews will have a substantial effect on the project.	Delay.

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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.
271	Need for additional construction easements beyond that which has been provided for Contractor proposed access and staging	Additional cost and time
306	Possible legal challenge and injunction to any changes in PCEP requiring subsequent CEQA or NEPA environmental clearance documentation/actions.	Worst case: a judge issues an injunction, which would prohibit any work ONLY on the project scope of the environmental document. Impact to the project from cost and schedule impact depends on if work is on the critical or becomes on the critical path.
008	Requests for change orders after vehicles are in production	Delays to manufacturing of vehicles and additional design and manufacturing costs.
023	Manufacturer cannot control vehicle weight to meet specifications.	Increased operating cost.
025	Potential that vehicles cannot meet requirements for "Mean Time to Repair" (MTTR).	Increased maintenance cost.
032	Failure to come up to speed on stakeholder safety requirements: <> FTA<> FRA<> CPUC	Takes longer than expected to gain FRA/FTA concurrence on waiver and/or level boarding requirements.
053	Failure to meet Buy America requirements. (Contractor definition of component v. sub-component may not be accepted by Caltrain / FTA.)	Potential need for negotiations that might lead to delay of project award. (BA is not negotiable)
054	Infrastructure not ready for vehicles (OCS, TPS, Commissioning site / facility).	Increases cost if done off property
069	Potential need for additional construction easements. Especially for access and laydown areas. Contractor could claim project is not constructible and needs more easements after award.	Increased cost Delay

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

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

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

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

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Mitigation Monitoring and Reporting

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

Mitigation Monitoring and Reporting

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

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Mitigation Monitoring and Reporting

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

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						owl were observed due to construction activities during weekly spot checks. In addition, since there is some potential for indirect impacts during the non-breeding season (September 1 through January 31), during ongoing work on the Caltrain ROW and the completion of OCS pole foundations, the CDFW approved the reduction of the disturbance buffer from 200 meters down to 75 meters. The Qualified Biologist will monitor the burrows during construction activities within 75 meters of the burrows to look for any changes in owl foraging behavior in response to construction activities. If any change in owl nesting and foraging behavior is observed because of construction activities, activities will cease within the 75-meter buffer and the CDFW will be notified to determine next steps.
BIO-1g: Implement northern harrier, white-tailed kite, American peregrine falcon, saltmarsh common yellowthroat, purple martin, and other nesting bird avoidance measures.	X	X			Ongoing	Nesting Bird and raptor surveys were conducted from February 1 through September 15, in 2017, 2018, 2019, and 2020, prior to project-related activities with the potential to impact nesting birds. No nesting bird surveys occurred during this reporting period. Nesting bird surveys will recommence on February 1, 2021 for the 2021 nesting season.

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

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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

Mitigation Monitoring and Reporting

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

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						present for all exploratory trenching and subsurface testing work.
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.

Mitigation Monitoring and Reporting

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

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
HAZ-2a: Conduct a Phase II Environmental Site Assessment prior to construction.	X				Complete	A Phase II Environmental Assessment was completed prior to construction by the JPB consultant, and the results were provided to BBI, and the required mitigation is being implemented prior to the initiation of construction activities.
HAZ-2b: Implement engineering controls and best management practices during construction.	X	X			Ongoing	D-B field activities are being monitored daily for significant color changes or odors which may indicate contamination. In addition, assessments of existing subsurface pipes by a certified Asbestos Consultant are occurring as needed throughout the project as they are observed. Following the assessments, a specification describing the methods for removal and disposal are provided to the certified asbestos contractor. The removal and disposal work performed by the certified asbestos contractor is monitored by the certified asbestos consultant. During the reporting period, a certified asbestos consultant conducted exposure monitoring at PS-1 where naturally occurring asbestos was detected. Also, during the reporting period, samples of wrapped conduit at MP 46.7-12A were collected for asbestos analysis.
HYD-1: Implement construction dewatering treatment, if necessary.	X	X			Ongoing	Facilities & BMPs are in place to deal with this requirement should it arise in the OCS foundations.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
HYD-4: Minimize floodplain impacts by minimizing new impervious areas for TPFs or relocating these facilities.	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. The TPFs in Construction Segments 2 & 4 are currently in final design and design for TPFs in Construction Segments 1 & 3 has begun. The design minimizes hardscape only to required structure foundations; yard areas are to receive a pervious material.
HYD-5: Provide for electrical safety at TPFs subject to periodic or potential flooding.	X			X	Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. The TPFs in Construction Segments 2 & 4 are currently in final design and design for TPFs in Construction Segments 1 & 3 has begun. The design plan currently raises the TPFs above the floodplain.
HYD-7: Implement sea level rise vulnerability assessment and adaptation plan.				X	Ongoing	The JPB has initiated this measure and preparation of the sea level rise vulnerability assessment and adaptation plan is underway.
NOI-1a: Implement Construction Noise Control Plan.	X	X			Ongoing	The Noise and Vibration Control Plan has been submitted and is being implemented. Field activity is monitored per the Plan. If allowable noise levels are near or exceed allowable noise levels, mitigation such as blankets are used from that point forward.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
NOI-1b: Conduct site-specific acoustical analysis of ancillary facilities based on the final mechanical equipment and site design and implement noise control treatments where required.	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. PGH Wong has completed analysis and design and issued for JPB review.
NOI-2a: Implement Construction Vibration Control Plan.	X	X			Ongoing	The Noise and Vibration Control Plan has been submitted and is being implemented. Field activity is monitored per the Plan.
PSU-8a: Provide continuous coordination with all utility providers.	X	X			Ongoing	The design requirements indicated in the measure will be implemented through the final design as described. Coordination with utility providers is ongoing and there have not been any service interruptions thus far.
PSU-8b: Adjust OCS pole foundation locations.	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described.
PSU-8c: Schedule and notify users about potential service interruptions.	X	X			Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. There have not been any service interruptions thus far.
PSU-9: Require application of relevant construction mitigation measures to utility relocation and transmission line construction by others.	X	X			Ongoing	JPB has initiated coordination with PG&E regarding transmission line construction. PG&E is currently raising overcrossing lines in Segment 2.

Mitigation Monitoring and Reporting

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

Peninsula Corridor Electrification Project
Monthly Progress Report

Mitigation Monitoring and Reporting

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

Mitigation Monitoring and Reporting

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

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Mitigation Monitoring and Reporting

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

Mitigation Monitoring and Reporting

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

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Mitigation Monitoring and Reporting

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

Mitigation Monitoring and Reporting

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

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Mitigation Monitoring and Reporting

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

Mitigation Monitoring and Reporting

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

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Mitigation Monitoring and Reporting

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

Mitigation Monitoring and Reporting

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

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Mitigation Monitoring and Reporting

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

Mitigation Monitoring and Reporting

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

Mitigation Monitoring and Reporting

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

Mitigation Monitoring and Reporting

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

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Mitigation Monitoring and Reporting

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

Mitigation Monitoring and Reporting

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

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Mitigation Monitoring and Reporting

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

PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Michelle Bouchard
Chief Operating Officer, Rail

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

ACTION

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

SIGNIFICANCE

Staff will provide monthly updates covering PTC related activities during the previous month and provide a preview of activities anticipated to take place during the current month. This month the Caltrain PTC system was safety certified by FRA.

BUDGET IMPACT

There is no budget impact.

MONTHLY UPDATE

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

<u>Key Project Activity</u>	<u>Expected Completion</u>	<u>Progress as of 12/17/20</u>	<u>Progress On Track?</u>	<u>Mitigation Required or Approvals Needed</u>
Approval of Designated Revenue Service Demonstration (RSD) Test Request	May 31 st	Completed	Completed	Formal conditional approval received on September 10. Team incorporating FRA conditions in test plan to ensure compliance to approval
Approval of revised project PTC Implementation Plan (PTCIP) and Request for Amendment (RFA)	May 31 st	Completed	Completed	Formal approval received on May 16, 2019 for PTCIP and RFA Rev. 10
Pilot Installations (4) Completed	June 20 th	Completed	Completed	All pilots completed
Submit Designated RSD Application	Oct 15 th	Completed	Completed	RSD Application submitted and in review by FRA
Submit Full Track RSD Application	June 7 th	Completed	Completed	Formal RSD request for full track was submitted to the FRA on June 14, 2019
Complete Critical Feature Verification & Validation (V&V) for Designated Track RSD	Oct 30 th	Completed	Completed	
Complete Designated RSD Training	Nov 14 th	Completed	Completed	Training for designated RSD personnel completed
Complete Required Vehicle Installations (44 Units)	Dec 3 rd	Completed	Completed	(44) Installs required for RSD completed, punch list items were completed by Wabtec
Meet FRA Statutory Requirements and Substitute Criteria	Dec 31	Completed	Completed	Met FRA December 31, 2018 deadline
Obtain Alternative Schedule approval from FRA	Mar 15 th 2019	Completed	Completed	Received FRA's approval on February 6, 2019
Completion of Remaining Vehicle Installation (all 66 units)	April 30, 2019	Completed (66 Units)	Completed (66 Units)	The installation for F40PH 3C Rehab vehicle 922 was completed in June that concluded all 66 units PTC installation.
Full RSD - Complete Remaining Critical Feature V&V	Jan 2019	Completed	Completed	
Full RSD – Complete Wayside Interface Unit (WIU) V&V	March 15, 2019	Completed	Completed	Completed on March 15, 2019

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

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

1. Major Wabtec activities for December 2020:

- o Continued to provide technical support and addressed defect items through Redmine ticketing and triage process with support from WABTEC PTC help-desk and technical team.
- o Continued BCCF/CCF Failover and Cutover punch list items.
- o Completed on-board software 6.3.20.2 LIEE Test.
- o Performed field WIU V&V and deployed subdiv 9030 in support of CP Center cutover.
- o Completed BCCF/CCF core switches configuration effort.
- o Performed BCCF Integrated Lab hardware configuration effort in support of future training purpose.
- o Continued updating MDMs in support of tenant operations.
- o Completed Emergency Operations Center (EOC) punch list items.
- o Finalize I-ETMS Contract amendment 3 that addresses final acceptance for I-ETMS implementation work and remaining outstanding task under Wabtec delivery contract.
- o Performed the ITCM & SMG software upgrade at CCF and BCCF.
- o Complete MDM Training for Caltrain staff.

2. Vehicle Installation:

Wabtec completed installation of 66 I-ETMS modules on the Caltrain locomotives and cab cars. The table below summarizes number of modules installed by vehicle type.

I-ETMS On-Board Installation Progress			
Equipment	Completed	In Progress	Pending
F40	23	0	0
MP36	6	0	0
Bombardier Cab	9	0	0
NS Gallery Cab	26	0	0
MP1500	2	0	0
Total	66	0	0
%	100%	0%	0%

3. Other Key Activities for December of 2020:

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

- o Herzog Technologies Incorporated (HTI) data collection team and PTC project team continued producing PTC weekly and monthly reporting to the FRA per the RSD conditional approval requirements for the extended RSD.
- o PTC helpdesk continues to support PTC operation since commencement of RSD with support from Tier 1 and Tier 2 systems support staff for daily PTC operations.
- o Defect-tracking meetings are held to continue monitoring reliability of the PTC system and address any critical anomalies and defects by system engineering (Tier 2) and WABTEC/ARINC (Tier 3) as needed.
- o Caltrain is meeting with UPRR and other tenants on bi-weekly basis to address any technical and operational issues related to PTC interoperable operations.
- o Weekly ARINC coordination meeting is held to address operational systems maintenance and modification work, the live operational systems are Rail Operations Control System (ROCS), Passenger Predictive Train Arrival/Departure System (PADS) and Voice Radio Dispatching System (RDS), which are residing in the CCF and BCCF to support rail operations. Monthly Technical meeting will be held to track on-service tickets and defect resolutions.
- o ARINC continued BCCF/CCF cutover punch list items.
- o The PTC project continues its coordination efforts with the Electrification and EMU programs via regularly scheduled System Integration Meetings held by PCEP and dedicated communications technical coordination meetings. PTC system team continued participating and coordinating with PCEP delivery team in support of upcoming electrification project segment 4 phase 2 signal cutovers. The Segment 4 phase 1 cutover was completed in October 2020. The PCEP Grade Crossing 2 Speed check test request was submitted to the FRA.
- o Caltrain Configuration Control Board (CCB) continued review and approval of configuration changes that affect rail operations systems and infrastructure by following Caltrain Configuration Management plan and process.
- o Caltrain Systems team actively involved in PTC Interoperable Change Management process through Interoperable Change Approval Board (ICAB).
- o Continued working with Wabtec and ARINC on new firewall migration effort.
- o Caltrain received FRA Approval and Certification of the I-ETMS as a Mixed System and the PTC Safety Plan (PTCSP) on December 17, 2020 (see Attached).

4. Change Order Log:

Project has executed contract Amendment two for the total of \$724,010. This Amendment two includes two change orders for the work related to 1) UPRR third party railroad interoperable testing (6 railroads total) for the amount of \$602,577; 2) the diverse redundant network path between CCF & BCCF datacenters for the amount of \$121,433. Wabtec contract amendment one was for \$1.42 M related to interoperability and the communications system.

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

5. Risk Management:

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

Caltrain and Wabtec jointly review the shared risk register as the project progresses. Caltrain will provide update for any realized risks that are identified and agreed upon by both parties.

There are also risks to be monitored outside the Wabtec specific contract that the project team monitors and mitigates as necessary. The following table captures the top risks both external (outside the Wabtec contract) and internal (specific to the Wabtec contract):

Risk Item	Type	Mitigation Action
FRA process changes	External	Maintain close and open relationship with key FRA contacts to ensure all submittals are done correctly and within required time frame to achieve approvals required to achieve full system certification.
Interoperability delays	External	Caltrain is working with UPRR and tenants to ensure agreed to interoperability schedule dates are maintained – Risks were mitigated, Interoperability with UPRR, Amtrak, and ACE were achieved.
Track access delays	Internal	Ensure field test schedule is maintained by coordinating all fieldwork in combination with other capital project’s needs, particularly the PCEP project – Risk were mitigated, Caltrain has entered RSD and achieved interoperability with all tenants.
Back Office Server (BOS) documentation scope creep	Internal	Risk is mitigated by working with Wabtec to ensure future BOS software releases meet requirements of Caltrain PTC operations. Caltrain subscribes standard Interface Control Documentation (ICD) through AAR for future BOS release.
Key Exchange Server Solution	Internal	Implementation of Caltrain Key Exchange Server timely to support Interoperability Testing with UPRR and other tenants. KES production test was completed in October 2019. Caltrain has been interoperable with all tenants. The Long-term communication MPLS solution was implemented in late October 2020.

Risk Item	Type	Mitigation Action
Maintenance of existing Assets Data Communications, Wayside Infrastructure and on-board equipment	Internal	Coordinated with Operations and TASI to ensure all assets including all documentation were done and handed off to Operations/TASI. PTC infrastructure are maintained by TASI and Project team continue to provide support as Tier 2/Tier 3 to ensure PTC is reliable for PTC Revenue Service Operations.

6. FRA Coordination Status:

- o Received Approval of PTCSP and I-ETMS as a Mixed PTC System from the FRA.
- o Continued weekly calls with FRA Test Monitor
- o Continued RSD Weekly and Monthly Reports to the Test Monitor
- o Support PCEP crossing implementation test request effort

7. Caltrain Roadmap to Full RSD and Interoperability:

- o Caltrain is currently in Extended Revenue Service Demonstration and is fully interoperable with all tenants.
- o Completing and submitting the PTC Safety Plan to the FRA is the next big milestone in order to achieve overall system certification.
 1. Alternative Schedule was approved on February 6, 2019.
 2. Caltrain completed all field validation by the 1st quarter of 2019.
 3. Caltrain completed laboratory integrated testing for full track in April of 2019.
 4. Caltrain submitted the full track RSD application in June 2019 and received conditional approval of RSD in July 2019.
 5. Caltrain completed Field Integrated Testing (FIT) and Field Qualification Testing (FQT) for full track and has commenced RSD on September 7, 2019.
 6. Caltrain completed training TASI personnel to support full track RSD and PTC operations.
 7. Caltrain continues to roll out PTC trains; all 92 trains per weekday are under PTC as of the end of 2019.
 8. Caltrain completed interoperability laboratory testing with UPRR on August 12, 2019 for cycle one and subsequently cycle two on October 15, 2019.
 9. Caltrain has received Interoperability Test Request Conditional Approval from the FRA.
 10. Caltrain completed interoperability field-testing with UPRR on November 5 2019 and has achieved interoperability with UPRR on December 9, 2019.
 11. Caltrain has completed interoperability testing with ACE and started PTC operations on December 9, 2019. Caltrain commenced interoperability operations with Amtrak on February 26, 2020. Caltrain achieved interoperability requirements with all tenants.
 12. Caltrain submitted the PTC Safety Plan (PTCSP) officially on June 25, 2020.
 13. Caltrain received PTCSP conditional approval from the FRA and Caltrain I-ETMS is certified as a mixed PTC system on December 17, 2020.

8. Cost – Spend vs Budget with Actuals and Accruals through November 2020

	(A)	(B)	(C)	(D)	(E)	(F) = (C - E)	(G) = (D / E)
Project Cost Analysis	Original Budget (US\$MM)	Approved Changes (Contractor) (US\$MM)	Project Current Budget (US\$MM)	Expended and Accruals To-Date (US\$MM)	Estimated at Completion (EAC) (US\$MM)	Variance at Completion (US\$MM)	% Expended of EAC
CBOSS PTC Project (Jan 2008 - Feb 2018)	\$ 231.00		\$ 239.88	\$ 202.26	\$ 202.26		
Caltrain PTC Project (March 1, 2018 - June 30,2020):							
Integrator WABTEC Contract	\$ 43.01	\$ 2.15	\$ 45.16	\$ 36.76	\$ 45.16	\$ -	81.40%
Other Contractors	\$ 6.00	\$ -	\$ 6.00	\$ 3.28	\$ 6.00	\$ -	54.63%
Potential Changes	\$ 2.00	\$ (2.00)	\$ -	\$ -	\$ -	\$ -	
Potential Incentive - WABTEC	\$ 2.00	\$ -	\$ 2.00	\$ 2.00	\$ 2.00	\$ -	100.00%
Other Program Costs	\$ 30.34	\$ -	\$ 30.34	\$ 21.53	\$ 30.17	\$ 0.18	71.37%
Project Contingency	\$ 6.06	\$ (0.15)	\$ 5.91	\$ -	\$ 4.85	\$ 1.06	
Total PTC Project	\$ 89.41	\$ (0.00)	\$ 89.41	\$ 63.57	\$ 88.17	\$ 1.24	72.10%

Note:

- 1). Expended and Accruals To-Date is through November 30, 2020;
- 2). Integrator Wabtec Contract Value includes Shared Risk with Not to Exceed Total of \$1.91MM;
- 3). Other Contractors amount includes ROCS Modification and potential fiber fixes;
- 4). Potential Changes budget amount is set for future project change orders as result of WABTEC assessment and survey for the communications and office subsystems; Two change orders for amount of \$724,010 were executed as part of approved change orders.
- 5). Potential incentive amount reflects what is in the WABTEC conformed agreement;
- 6). Other Program Costs includes JPB project oversight costs, TASI support and Other Direct Cost for PTC project delivery;
- 7). Project contingency includes a) contingencies for WABTEC contract per Board Staff Report; b) JPB project team cost contingency;
- 8). CBOSS PTC project budget and actual cost are highlighted to reflect prior March 1st, 2018 CBOSS project financial data.
- 9). Negotiated additional scope items are included in WABTEC's contract amendment 1. There is no budget impact since project has budgeted adequate potential change for the amount of \$2MM (note no. 4 above) for added scope items. Current Project budget for WABTEC contract is updated to reflect added scope items and approved change orders.
- 10). Other Program Costs EAC is increased from previous months to include FY21 systems support effort (labor and ODCs) in order to offset FY21 fiscal year Operating budget deficit caused by COVID-19.

9. Upcoming Key Activities in January 2021:

- o Continue to support PTC RSD with operations, TASI PTC help desk, and Tier one support.
- o Complete BCC/CCF failover and cutover punch list items
- o Continue data collection and PTC log analysis for PTC post-certification reporting requirements.
- o Continue to provide Tier 2 PTC system engineering support for tracking anomalies and addressing defect resolutions with Tier 3.
- o Continue interoperability operational coordination with all tenants via bi-weekly calls.
- o Continue MDM changes in support of interoperable operations.
- o Complete ATCS work field installation work once travel plan is confirmed with COVID 19 travel restriction.
- o Continue network assessment and design effort with CDW for Caltrain Rail System Virtualization Project, which will virtualize PTC back office system.
- o Continue support signal V&V and deploy PTC data subdiv 9031 in support of PCEP Segment 4 phase 2 cutover.
- o Perform I-ETMS on-board software 6.3.20.3 Lab regression test.
- o Complete and perform BCCF Lab training.
- o Continue technical discussion and dialog on wireless crossing functional requirement and implementation risks.

Prepared By: Matt Scanlon, Deputy Director, Systems - 650.622.7819



U.S. Department
of Transportation

**Federal Railroad
Administration**

1200 New Jersey Avenue, SE
Washington, DC 20590

December 17, 2020

Ms. Michelle Bouchard
Chief Operating Officer – Rail
Peninsula Corridor Joint Powers Board
1250 San Carlos Avenue
San Carlos, CA 94070

bouchardm@samtrans.com

Re: Caltrain’s Positive Train Control Safety Plan – Approval and Certification of Its Interoperable Electronic Train Management System as a Mixed System (Docket Number FRA-2010-0051)

Dear Ms. Bouchard:

The Federal Railroad Administration (FRA) reviewed the Peninsula Corridor Joint Powers Board’s (Caltrain) Positive Train Control Safety Plan (PTCSP), Version 2.0, dated June 19, 2020, requesting FRA’s certification of Caltrain’s Interoperable Electronic Train Management System (I-ETMS), identified under Type Approval No. FRA-TA-2011-02-C, as a mixed positive train control (PTC) system.¹

In addition, on September 16, 2020, FRA sent a letter to Caltrain requiring it to promptly submit the Tailored Hazard Log and Hazard Log Exceptions Questionnaire Caltrain refers to in its PTCSP. Accordingly, Caltrain submitted both documents² to FRA on September 22, 2020.

Based on FRA’s review of Caltrain’s PTCSP and its supporting documentation, FRA finds that Caltrain’s I-ETMS complies with the technical requirements for PTC systems under 49 CFR part 236. FRA hereby approves Caltrain’s PTCSP, Version 2.0, dated June 19, 2020, and certifies Caltrain’s I-ETMS as a mixed PTC system under 49 U.S.C. § 20157(h)(1) and 49 CFR §§ 236.1009 and 236.1015(e)(4), subject to Caltrain’s ongoing compliance with the general conditions in the enclosure to this letter.

FRA will consider noncompliance with any condition of this certification as a violation of the

¹ FRA’s records indicate that Caltrain submitted Version 2.0 of its PTCSP to FRA’s Secure Information Repository on June 25, 2020.

² Specifically entitled “[C8] – WCR-SAF hazard log table 47.11” and “[C9] – Hazard Log Questionnaire.”

underlying requirement under 49 CFR part 236, subpart I, and 49 CFR § 236.1009(g)(1). FRA reserves the right to modify or rescind this PTC System Certification upon receipt of information about I-ETMS adversely affecting the safety of rail operations³ or noncompliance with any applicable regulatory or statutory requirement. *See, e.g.*, 49 CFR § 236.1009(g). Also, under 49 CFR § 236.1009(h), FRA reserves the right to continue to review and evaluate the safety analyses and supporting documentation associated with I-ETMS, and to ask questions or provide comments regarding such documentation.

If you have any questions regarding this letter or the general conditions in the enclosure, please contact Mr. Gabe Neal, Deputy Staff Director, Signal, Train Control, and Crossings Division, at 816-516-7168 or gabe.neal@dot.gov.

Sincerely,

Karl Alexy
Associate Administrator for Railroad Safety
Chief Safety Officer

Enclosure

³ As a reminder, 49 CFR § 236.1009(g)(2)(ii) specifies that FRA may reconsider a PTC System Certification based on, for example, the following: “Potentially invalidated assumptions determined as a result of in-service experience or one or more unsafe events calling into question the safety analysis supporting the approval.”

Enclosure: General Conditions of Positive Train Control (PTC) System Certification

This enclosure lists the conditions applicable to the Federal Railroad Administration's (FRA) certification of the Peninsula Corridor Joint Powers Board's (Caltrain) Interoperable Electronic Train Management System (I-ETMS), identified under Type Approval No. FRA-TA-2011-02-C, as a mixed PTC system. FRA is issuing this PTC System Certification to Caltrain under Title 49 United States Code (U.S.C.) § 20157(h)(1) and Title 49 Code of Federal Regulations (CFR) §§ 236.1009 and 236.1015.

This certification supersedes any prior approval FRA granted to Caltrain for the testing or operation of I-ETMS. Subject to the conditions in this enclosure, Caltrain and any tenant railroads may operate I-ETMS in revenue service on Caltrain's PTC-mandated main lines and any other lines where Caltrain elects to voluntarily implement a PTC system.

This PTC System Certification is granted to Caltrain and is valid only for track segments that are owned and/or controlled by Caltrain. Caltrain must implement I-ETMS in accordance with its FRA-approved PTC Safety Plan (PTCSP). *See* 49 CFR § 236.1009(d)(3).⁴ In addition, any tenant railroad that operates I-ETMS on Caltrain's PTC-governed main lines must comply with all applicable provisions of Caltrain's PTCSP and the conditions FRA placed on its certification of Caltrain's I-ETMS.⁵

FRA reserves the right to attend any ongoing tests and perform relevant audits. *See, e.g.*, 49 CFR § 236.1009(h). FRA also reserves the right to add, modify, or rescind any condition of this certification upon receipt of information about I-ETMS adversely affecting the safety of rail operations or noncompliance with any of the certification conditions or any applicable statutory or regulatory requirement. *See* 49 CFR § 236.1009(g).

1. Caltrain shall provide written assurances to FRA that interoperability has been achieved with each current and future tenant railroad before allowing the tenant railroad to operate I-ETMS on Caltrain's PTC-governed main lines. If Caltrain has actual or constructive knowledge that a tenant railroad is not operating equipment with an onboard PTC apparatus that is interoperable with Caltrain's I-ETMS, it shall not allow the tenant railroad to operate on its track where operations are governed by a PTC system, unless one of the regulatory exceptions under 49 CFR § 236.1006(b) applies to that tenant railroad's operations. Caltrain has the right of refusal regarding non-equipped trains, subject to the restrictions and exceptions of 49 CFR §§ 236.1005(g), 236.1006, and 236.1029, and 49 U.S.C. § 20157(j), as applicable. In the event of errors or malfunctions, the requirements of 49 U.S.C. § 20157(j)(1)–(4) and/or 49 CFR §§ 236.1023 and 236.1029, as appropriate, will apply.

⁴ Moreover, Caltrain is required by statute to fully implement an FRA-certified and interoperable PTC system by December 31, 2020, and in accordance with its revised PTC Implementation Plan, including "any amendments or any alternative schedule and sequence approved by FRA." 49 U.S.C. § 20157(a)(2)(D), (e).

⁵ Unless a tenant railroad's operations are subject to an exception under 49 CFR § 236.1006(b).

2. Caltrain shall not discontinue or materially modify I-ETMS before obtaining any FRA approval required under 49 CFR § 236.1021, *Discontinuances, material modifications, and amendments*.
3. Caltrain must comply with the processes and procedures established in its Operations and Maintenance Manual, configuration management control plan, and PTCSP, including all processes and procedures relating to maintenance and testing. *See* 49 CFR §§ 236.1015, 236.1039.
4. Caltrain must operate I-ETMS in compliance with all applicable Federal regulations.

With respect to 49 CFR §§ 236.76, *Tagging of wires and interference of wires or tags with signal apparatus*, 236.109, *Time releases, timing relays and timing devices*, and 236.552, *Insulation resistance; requirement*, Caltrain must comply with these regulatory requirements to the extent practical—for example, to the extent compliance would not damage the equipment. Caltrain shall comply with 49 CFR § 236.76, unless the wiring or tagging of PTC-related equipment is impractical or impossible given the physical configuration of I-ETMS. In addition, Caltrain shall comply with the insulation resistance requirements of 49 CFR § 236.552, except for testing the parts of the PTC onboard apparatus (*e.g.*, microprocessor) where the insulation resistance test would damage the equipment. Finally, as the type of testing under 49 CFR § 236.109 is not practical for, or applicable to, the current physical configuration of I-ETMS, calibration is required once every 12 months, using an approved time source maintained by the National Institute of Standards and Technology or its military counterpart, the U.S. Naval Observatory.

5. Caltrain may transmit mandatory directives—including movement authorities and temporary speed restrictions (TSRs)—digitally or electronically via I-ETMS. Caltrain may use I-ETMS as the exclusive method of transmitting mandatory directives only if Caltrain has confirmed—by design, data (*e.g.*, data collected during testing, revenue service demonstration, or operation), or other analysis—that transmission of mandatory directives is performed in a fail-safe manner as defined under paragraph (b)(4)(V) of Appendix C to 49 CFR part 236.
6. Caltrain must operate I-ETMS consistent with the conditions specified in Caltrain’s FRA-approved PTCSP. Operations must not exceed any operational limits established by testing, and under no circumstances may operations exceed any manufacturer’s design recommendations. All mandatory directives associated with credible reports of warning system malfunctions and all TSRs associated with conditions requiring the restriction of train speeds must be entered into the PTC system without undue delay. These mandatory directives and TSRs must remain in place until the associated defective conditions are repaired. Caltrain’s use of I-ETMS must comply with 49 CFR § 236.1005, including 49 CFR § 236.1005(a)(4), regarding the PTC system’s enforcement of mandatory directives. Applying alternative means of warning highway traffic does not constitute the repair of the defective condition. This condition does not restrict the use of any PTC system mandatory directive override functionality (as previously proposed to FRA) for individual train movements.

7. Caltrain must identify, in writing, to FRA any changes to Caltrain’s I-ETMS software that change the concept of operations or the system architecture, introduce new or remove safety-critical functionality, or modify the target safety levels or the human-machine interface. For example, prior to making any changes, as defined under 49 CFR § 236.1021(h)(3)–(4),⁶ to Caltrain’s FRA-certified I-ETMS or the associated PTCSP, Caltrain must comply with the applicable request for amendment process under 49 CFR § 236.1021.
8. ***Permanent Failure-related Reporting Requirements***

To ensure PTC system failures are properly communicated to all affected parties, FRA’s PTC regulations require coordination among, and reporting by, railroads, vendors, and suppliers, under 49 CFR §§ 236.1023, *Errors and malfunctions*, and 236.1029, *PTC system use and failures*.

For example, pursuant to 49 CFR § 236.1023(e) and the instructions under § 236.1023(f), Caltrain must notify FRA and the applicable vendor or supplier if the frequency of a safety-relevant hazard exceeds the thresholds in Caltrain’s PTCSP or has not been previously identified in the appropriate risk analysis.

Under 49 CFR § 236.1023(k), Caltrain must comply with the standard reporting requirements under 49 CFR part 233 if it experiences a failure of its PTC system resulting in a more favorable aspect than intended or other condition hazardous to the movement of a train. *See, e.g.*, 49 CFR §§ 233.5, *Accidents resulting from signal failure*, and 233.7, *Signal failure reports*. For example, pursuant to the deadlines established under 49 CFR part 233, Caltrain must report, in writing, to FRA any problem with I-ETMS, including a Category 1 or 2 software issue⁷ or any other critical anomaly, if it results in: (1) a more favorable aspect than intended or (2) any other condition hazardous to the movement of a train.⁸ If any of these conditions occur, Caltrain must cut out I-ETMS on all trains that may be affected until the issue is resolved to FRA’s satisfaction.

⁶ *I.e.*, proposed changes to a safety-critical element of I-ETMS or proposed changes to I-ETMS that affect the safety-critical functionality of any other PTC system with which it interoperates.

⁷ A Category 1 software issue is any deficiency that, if uncorrected, has no known and acceptable workaround (*i.e.*, repair necessitates taking the system offline until repairs are completed and the system is tested and returned to normal functionality), and may: (1) cause death, severe injury, or severe occupational illness; (2) cause major loss or damage to equipment or a system; (3) prevent the accomplishment of an essential capability or required interaction with other mission-critical functions; or (4) adversely affect an essential capability or negatively impact operational safety, suitability, or effectiveness. A Category 2 software issue is any deficiency that adversely affects an essential capability or negatively impacts operational safety, suitability, or effectiveness, but where adequate performance may be achieved through significant compensation or an acceptable workaround.

⁸ This includes submitting:

- (1) A False Proceed Signal Report (Form FRA F 6180.14, Office of Management and Budget (OMB) Control No. 2130-0006) within 15 days of each “failure of an appliance, device, method, or system to function or indicate as required by part 236 of this title that results in a more favorable aspect than intended or other condition hazardous to the movement of a train.” *See* 49 CFR § 236.1023(k) (citing 49 CFR § 233.7, *Signal failure reports*); and

Examples of critical anomalies that may affect the safety of train operations, and are therefore reportable, include, but are not limited to:

- Failure to enforce required braking applications and speed restrictions;
- Overrun of an authority boundary due to late braking or an inaccurate braking algorithm; and
- Authority sent by the dispatcher to the train crew, where such authority is either not promptly transmitted, not recorded, or erroneously modified by the system.

FRA’s regulations also require Caltrain to submit a report by the deadline(s) set forth under 49 CFR § 236.1029(h) regarding PTC system failures—including locomotive, wayside, communications, and back office PTC system failures—that occurred during the applicable reporting period. *See* 49 CFR § 236.1029(h).

Temporary Failure-related Reporting Requirements

In addition, as required by 49 U.S.C. § 20157(j)(4), during the period specified by the Positive Train Control Enforcement and Implementation Act of 2015 (PTCEI Act):

. . . if [I-ETMS] fails to initialize, cuts out, or malfunctions, the affected railroad carrier or other entity shall submit a notification to the appropriate regional office of the Federal Railroad Administration within 7 days of the system failure, or under alternative location and deadline requirements set by the Secretary, and include in the notification a description of the safety measures the affected railroad carrier or other entity has in place.

Pursuant to the PTCEI Act, this *temporary* failure-related reporting requirement applies only to FRA-certified PTC systems that are in operation and is effective only from October 29, 2015, until approximately December 31, 2021.⁹

On December 30, 2019, and March 16, 2020, FRA published a proposed framework for host railroads operating FRA-certified PTC systems to submit a Statutory Notification of PTC System Failures to fulfill this reporting requirement under the PTCEI Act.¹⁰ On June 5, 2020, OMB approved the Statutory Notification of PTC System Failures (Form FRA F

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- (2) A report within 24 hours to FRA via its toll-free telephone number ((800) 424-0201) whenever the railroad learns of the occurrence of an accident or incident (as defined in 49 CFR § 225.5) arising from “the failure of an appliance, device, method, or system to function or indicate as required by part 236 of this title that results in a more favorable aspect than intended or other condition hazardous to the movement of a train.” *See* 49 CFR § 236.1023(k) (citing 49 CFR § 233.5, *Accidents resulting from signal failure*).

⁹ 49 U.S.C. § 20157(j)(4). Specifically, the PTCEI Act states that this temporary reporting requirement ends one year after the last Class I railroad obtains PTC System Certification from FRA and finishes fully implementing a PTC system on all its required main lines.

¹⁰ *See* 84 Fed. Reg. 72121, 72123–26 (Dec. 30, 2019); 85 Fed. Reg. 15022, 15025–27 (March 16, 2020).

6180.177, OMB Control No. 2130-0553),¹¹ and Caltrain must utilize that mandatory form and adhere to its instructions to comply with 49 U.S.C. § 20157(j)(4).

Specifically, as 49 U.S.C. § 20157(j)(4) authorizes, FRA is requiring a host railroad to submit *monthly* notifications regarding any PTC system initialization failures, cut outs, and malfunctions that occur on its PTC-governed main lines, if the host railroad has fully implemented an FRA-certified and interoperable PTC system on all required route miles.

Only host railroads subject to the statutory mandate must submit the Statutory Notification of PTC System Failures (Form FRA F 6180.177), and these notifications must encompass both a host railroad's and any applicable tenant railroads' PTC system initialization failures, cut outs, and malfunctions that occurred during the reporting period. This approach is consistent with the existing regulatory requirement specifying that a tenant railroad must report a PTC system failure or cut out to "a designated railroad officer of the host railroad as soon as safe and practicable." *See* 49 CFR § 236.1029(b)(4).

9. Caltrain must track any I-ETMS anomalies that may have a bearing on identifying any applicable known or new safety hazards for conformity with the mitigated hazard frequency rates identified in its PTCSP. FRA's acceptance of the various hazard rate estimates associated with I-ETMS is predicated upon Caltrain's continued implementation of the subsystems and components FRA approved.
10. Before recommencing revenue service following any critical anomaly, or any software or hardware modification of the PTC system that may affect a safety-critical function, Caltrain must conduct appropriate tests. The results of such tests—as well as a report identifying and describing the anomaly or modification, the corrective action taken, the technical justification for that action, the regression testing accomplished, persons who witnessed the testing, the rationale for the testing selected, and the relationship of the anomaly or modification to the assumptions made—must be made available to FRA for inspection during normal business hours. FRA reserves the right to attend any ongoing tests and perform relevant audits. *See, e.g.*, 49 CFR § 236.1009(h).
11. Upon request, Caltrain must provide to FRA a copy of its PTC Product Vendor List, which must be continually updated under 49 CFR §§ 236.1015(b)(1) and 236.1023. Caltrain must also maintain, in a format acceptable to FRA, documentation that each vendor or supplier from which Caltrain is procuring PTC system equipment has established and can maintain a quality control system that meets the requirements of 49 CFR § 236.1015(b)(2). Caltrain must provide this documentation to FRA upon request. *See* 49 CFR § 236.1023(a).
12. When I-ETMS safety-critical component outputs must be verified on a particular track segment (*e.g.*, during component installation, rearrangement, or replacement), a signed auditable copy of the results must be kept on file and made available to FRA for review and duplication during normal business hours consistent with 49 CFR §§ 236.1037, *Records retention*, and 236.1009(h).

¹¹ Available at <https://safetydata.fra.dot.gov/PTCSystemFailuresFRAForm177/>.

13. If FRA provides any comments to Caltrain regarding its PTCSP, the supporting documentation, and/or any associated technical issues, Caltrain must update its PTCSP to address FRA's comments and incorporate the railroad's resolutions to FRA's comments, within the timeframe FRA specifies. In addition, Caltrain must maintain its PTCSP to reflect its as-built PTC system, consistent with Condition #7 and the request for amendment process under 49 CFR § 236.1021. *See also* 49 CFR § 236.1009(d)(3).

Furthermore, FRA is aware that Caltrain's PTCSP includes and/or references certain common industry or vendor/supplier documentation for its PTC system, which other railroads with the same PTC system likewise utilize. To help promote and maintain PTC system interoperability, FRA encourages Caltrain to coordinate with other railroads implementing I-ETMS to ensure Caltrain's PTCSP remains consistent with the current version of any common industry or vendor/supplier documentation.

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

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

DRAFT MINUTES OF DECEMBER 16, 2020

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

MEMBERS ABSENT: None

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

Due to COVID-19, this meeting was conducted as a teleconference pursuant to the provisions of the Governor's Executive Orders N-25-20 and N-29-20, which suspends certain requirements of the Ralph M. Brown Act.

Chair Brian Shaw called the meeting to order at 5:41 p.m. and led the Pledge of Allegiance.

K. Maxwell joined at 6:30 p.m.

REPORT OF NOMINATING COMMITTEE - ELECTION OF 2021 CHAIR AND VICE CHAIR

Member Patrick Flautt reported that the nominating committee nominated Chair B. Shaw and Member A. Brandt for Chair and Vice Chair, respectively. Both accepted the nominations.

Motion/Second: Flautt / Brandt

Ayes: Dagum, Klein, Kutler, Romo, Leung, Romo, Shaw, Tuzman

Absent: None

Chair B. Shaw was re-elected Chair

Member A. Brandt was re-elected Vice Chair

APPROVAL OF MINUTES OF NOVEMBER 18, 2020

Motion/Second: Kutler / Tuzman

Ayes: Brandt, Dagum, Flautt, Klein, Leung, Romo, Shaw

Absent: None

PUBLIC COMMENT

Jeff Carter, Millbrae, via Zoom Q&A, congratulated the re-elected Chair and Vice Chair on their reappointments.

Roland Lebrun, San Jose, via Zoom Q&A, commented on the BART extension. He stated the BART extension in San Jose is running at an operating subsidy, over the first six months, of \$300 per passenger. He then commented that the VTA is stating that the cost is \$2.2B - \$2.4B, however that it is closer to \$3B - \$3.5B because they are running two sets of books, one is federal and the other, non-federal. He then referred to his letter in the correspondence packet. He stated that with COVID, all Caltrain service to Gilroy, has been lost. He stated that the only thing left is the 68 and people are getting passed up on the 68. He stated that VTA is the only one that will have a CARES Act surplus at the end of FY21. He requested the Committee's support in his proposal of what should be done with VTA's surplus funding. He proposes that with the new Caltrain schedule is to use the funds to extend half of the trains to Gilroy to provide relief to the Southern end of the corridor.

CHAIRPERSON'S REPORT

Chair Brian Shaw pointed out that there were minor modifications to the agenda and that they have been moved to later next year as more information will be available at that time.

COMMITTEE COMMENTS

Member Anna Dagum stated that she would like to pass along a suggestion, to allow the purchase of the Go Pass to a building of small offices. They would come together to jointly to purchase the Go Pass. This would increase small business participation in the Go Pass program.

Vice Chair Adrian Brandt stated that the two newly opened BART stations, Milpitas and Berryessa, which are located in Santa Clara County are running quite low ridership compared to the rest of BART, however those stations did not have a ridership base to begin with, since they opened during the pandemic. He stated that he believes it was a wasteful improvement for VTA to open those in lieu of the existing bus service. He stated that he is concerned about ridership returning and suggested that all agencies think hard, strategize and do everything they can to make sure that safety is addressed to passengers, specifically regarding airflow. He then suggested to publicize the safety measures, so the public knows just how safe transit is when the right measures are employed, mask wearing and no talking. He stated that a lot of research, since the last meeting, confirms that talking is a big deal, the louder you speak.

Member Rosalind Kutler suggested staff receive training that includes what Vice Chair Brandt mentioned regarding not talking or limit talking. She stated that a reminder would be a great thing since she sees a lot of chatting between employees and customers.

Chair Brian Shaw stated that he thinks the traffic is getting worse but might be those that used to ride transit and must work. He stated that the virus is not just limiting ridership and so we need the vaccine to get people back on the trains and going places to have that comfort level.

Public Comments:

Roland Lebrun, San Jose, via Zoom Q&A, stated Roland stated that there were two great presentations regarding ridership at MTC. The first was the Regional Taskforce and they invited the Chief Executive of Metrolink. The other was presented last Monday, it showed what happened to various transit agencies. He stated that other agencies had low ridership and improved due to the change in the schedule. He stated with the connections with other transit agencies, Caltrain is bringing back some kind of network that works together and he sees the light at the end of the tunnel, however still need to fix the fifty-seven minute trips from San Jose and San Francisco.

Jeff Carter, Millbrae, via Zoom Q&A, mentioned that he has seen television commercials for VTA and asked whether VTA is benefiting from them and if so, suggested Caltrain running similar ads. He then stated that with the new schedule there are station pairs that are not served anymore. He hopes that ridership will pick up and that at some point there will need to be trains that serve all stations. Lastly, he stated that the Caltrain fares are too high and that the trip from San Fran San Jose to San Francisco is about \$8.15 for BART and \$9.45 using Clipper, for Caltrain and that the fares are probably drawing people to Bart than to Caltrain.

2021 DRAFT LEGISLATIVE PROGRAM / RR UPDATE

Brent Tietjen, Government & Community Relations Officer provided the 2021 Draft Legislative Program and the Measure RR Update.

Mr. Tietjen stated that the 2021 Draft Legislative Program was presented to the Board in December as an informational item and will go to the Board for adoption in January.

The full Draft Legislative Program can be found on caltrain.com

Committee Comments:

Vice Chair Brandt stated that he has been monitoring the Bay Area Blue Ribbon Task Force that is working on fare integration concepts. He stated that the big problem with switching to something like that is how do you make sure that every agency, that have different farebox ratios, on the same page and eliminate the concerns and budget fears. He stated that in Europe, they figured out how to backstop everybody and make sure everybody gets made whole. He stated that the critical element that he would like Caltrain to bring forward is that in the reincarnation of Bay Area Faster, the significant portion of funding be set aside to backstop all the agencies and make sure that they have assurance, just like they have with the with the, the new discounted Clipper Card. All the agencies are getting some funding from MTC to backstop their potential fare losses. He stated that this would make it less risky and more possible for all the agencies to sign up. Mr. Tietjen said that he would pass along Vice Chair Brandt's comment.

Roz Kutler asked whether Caltrain will benefit from state funding opportunities. Mr. Tietjen stated that he is not aware of opportunities as the governor's proposal for the 2021/22 budget does not come out until early January 2021. He also confirmed that in the short term, the governor projected a \$15 billion surplus. Member Kutler stated that in her field of work equity was used as the unifying philosophy and asked whether Caltrain can do the same. Mr. Tietjen appreciated the comment and stated that the

Board adopted the equity framework, earlier this year, and will be a key part of the legislation advocacy going forward.

Member David Tuzman shared that <https://www.seamlessbayarea.org/> has a map that illustrates zones of integrated fares. He stated that it is a nice visual of an example of the potential final implementation.

Chair Shaw stated that he joined a Zoom with the new incoming Chairman of the T and I Committee that oversees transit in the House, Congressman Chuy Garcia from Chicago. Chair Shaw mentioned that Congressman Garcia is supportive of transit from the Federal level and is optimistic for a change from DC.

Mr. Tietjen then provided an update on Measure RR and invited everyone to visit www.caltrain.com/dedicatedfunding

Public Comments:

Roland Lebrun, San Jose, via Zoom Q&A, stated that that regarding Faster, Plan Bay Area wants reduce greenhouse gas emissions by reducing speed limits on freeways to 55 MPH and might be a problem with passing the Faster Measure. Regarding integration, he stated that there was a great presentation at the Transit Recovery Taskforce, and they have discovered that only 4% of the ridership are concerned about the cost of transit. The vast majority, 60% to 70%, are mainly concerned about integration, seamless transfers and not designing stations, like the BART Milpitas station that takes a four minute walk between BART and the Light Rail, when the lightweight is on top of the BART platform. He stated the reason why the fares are more expensive on the trains is because they have conductors for safety reasons. He then stated regarding the State Budget, the Governor's priorities are homelessness, etc. and the High Speed Rail is not a priority. Lastly, he stated that there is \$40 million cap in the special resolution until the governance issue at Caltrain is addressed.

Jeff Carter, Millbrae, via Zoom Q&A, asked whether Mr. Tietjen's presentation could be found online because he did not see it posted on the website. He then stated that fare and transit integration need to happen as soon as possible.

CUSTOMER EXPERIENCE COMPLETIONS & RECOMMENDATIONS

Joe Navarro, Deputy Chief, Rail Operations provided a Customer Experience Update.

The full Power Point presentation can be found on caltrain.com

Committee Comments:

Member Kutler shared that regarding the PADS and VMS, the complaints are around delays. She stated that there is not enough information regarding delays or the information that is displayed is old. She then suggested that in addition to announcing delays to also supply workarounds for passenger with alternative transit options. Mr. Navarro thanked her for her comments and suggestions.

Member Tuzman asked whether the VMS hardware would be replaced by equivalent to LCD monitors so that Caltrain would not be locked in to displaying a standard message. Mr. Navarro responded that it would be new technology where staff would not be locked into any type of format on the screen itself and would be able to rearrange and display information as intended.

Alternate member Kathleen Maxwell asked whether Engineers would also be receiving iPhones and Mr. Navarro responded that it is not permitted for Engineers.

Member Larry Klein stated that when looking at messaging including signage and the app, from an equity standpoint, he would like to ensure that staff will include multiple languages as much as possible wherever it makes sense. For example, signage in the station may point to the app where conceivably other languages are supported and that becomes a useful tool, from an equity standpoint. Member Klein looks forward to discussing further as it rolls out to improving the experience. Mr. Navarro responded that staff will definitely take a look at that.

Member Dagum asked whether there would be a feature to notify someone of a safety issue on the train. Mr. Navarro stated that staff is attempting to develop a Communication Desk in the control center and working on purchasing the 877-saf-rail phone number so that those calls may be directed to Communication Desk in the Control Center. He then thanked Member Dagum for her input.

Vice Chair Brandt said that he has seen other where there is a code visible at every seat within the vehicle and the phone number with a simple sign that says something like "need help, to report an issue text that code to the phone number given" This way an app is not needed, for those that do not have an app and could also work within the app. He also suggested having a location number by seat as well as by car. Vice Chair Brandt also suggested real time tracking for both via the app and via the website with messages pertaining to that train's delay with estimated time problem resolution, etc.

Member Dagum also reiterated passengers knowing their location in the car for safety reasons. Mr. Navarro responded that the new cars will indeed have a visible four-digit number that will allow authorities to know the passenger's location, not only what car, but what train they are on. Member Kutler also requested that when working with Transit Police on these matters to work with an equity lens to avoid problems other Transit Agencies have.

Member Tuzman asked whether staff is considering upgrades to the audio speaker systems of the stations. Mr. Navarro responded that if the new VMS signs are obtained, that will be part of the package.

Vice Chair Brandt shared that regarding announcements he has seen, around the world, standardized high-quality digital audio GPS or other automatically triggered announcements, so that it is very predictable and consistent. He then stated that the high-quality announcements are made in a very professional consistent voice and

asked whether Caltrain would have something similar. Mr. Navarro confirmed and advised that something similar is already in the new system.

Vice Chair Brandt asked whether the eLockers will accept coin or only electronic payment. Mr. Navarro stated only electronic payment.

Member Tuzman asked whether the bikelink can be done through Clipper. Mr. Navarro stated that he does not know the answer, however, will schedule a presentation to the CAC from the Bicycle Planner to present further details. Chair Shaw stated that the eLockers are a better product for the bike storage solution. Mr. Navarro addressed Member Larry Klein's previous concern and advised that the bike lockers at Sunnyvale have been cleared out until the new ones can be installed and that the same has been done in San Francisco.

Member Kutler commented on the Sherriff's Conductor training and shared her concern around equity and would like to see a positive enforcement mechanism for everybody so that everyone feels safer and more comfortable using the train.

Chair Shaw reported that he was on a Seamless Bay Area Zoom call and that research on essential workers using transit that ride Caltrain were not aware that they could buy their parking from the app. He asked Caltrain raise awareness that the app is there to buy parking. Public awareness around that tool that would really help some people who are having to maybe use the train more than they did before or are accustomed to buying parking from the TVMs. Member Kutler asked staff to consider raising awareness in traditional ways other than on Social Media. Vice Chair suggested signage on the TVMs or nearby. Mr. Navarro stated that staff will work on those ideas and thanked them for their suggestions.

Chair Shaw thanked Joe and his team for putting the update together. He stated that it is amazing how much has been done this year, in particular with the pandemic and everything else and the challenges put on top of all the other efforts to continue to make the railroad run better. He suggested that this update be presented to the CAC on an annual basis to understand how much has been done and how the feedback that comes from the Citizen's Advisory Committee meetings and how staff uses to improve the operations and the service for all of the riders. He stated that it is great to see and bring to everybody's attention.

Public Comments:

Jeff Carter, Millbrae, via Zoom Q&A, suggested improving directional signage to indicate Northbound and Southbound platforms. He also suggested better wayfinding on how to get to the desired platform and where to purchase tickets. He also suggested having the time indicated on the monitors at 4th & King station. He also would like to see schedules on the train and not just available electronically. Lastly, he mentioned that although he is happy for the bathroom renovation at 4th & King, he is not sure whether eliminating the waiting room is a good idea as passengers may need a place to sit while waiting for the trains.

Roland Lebrun, San Jose, via Zoom Q&A, Roland thanked Joe for the presentation. He then applauded staff for adopting FRA Safety Rules, instead of developing local rules. He then stated that the iPhones will be an improvement. Roland stated that BART has trains that have GPS and indicate the next station and, in real time, where the train is and expects the same for the new EMUs. Roland then requested to agendaize "Diesel Fleet" for the next LPMG meeting and show Morgan Hill and Gilroy and ask where the \$4M from Measure B went. He then suggested testing Constant Time Warning on TTCL, not on a live system. Roland then stated that bait bikes are better than nothing. Regarding segment four, Roland would like to know when there will be poles over Highway 280 and Highway 87 because he does not see it getting to Tamien.

Doug DeLong via Zoom Q&A, Doug DeLong thanked Joe for the presentation and the huge amount of work shown there. He then suggested that the messaging on the platforms be turned off when they are no longer needed. He suggested the dispatch center to have a mechanism for specifying when the message is supposed to expire. He then pointed out that at the Board meeting Jim Harnett's report had the wrong engine numbers being sent to Alstern and that the PowerPoint presented at this CAC has the right engine numbers, however the text Staff Report posted the website is still incorrect, claiming that the 923 and 924 are being sent. He stated that it is wonderful that staff is accelerating the overhaul.

STAFF REPORT UPDATE

Jennifer Navarrete, Customer Experience Lead, reported on behalf of Joe Navarro, Deputy Chief, Rail Operations:
(The full report can be found on caltrain.com)

On-time Performance (OTP) –

- **November:** The November 2020 OTP was 96% compared to 93.4% for November 2019.
 - **Vehicle Strikes** – There was one vehicle strike on November 20.
 - **Vehicle on Tracks** – There were two days, November 5 and 17, with a vehicle on the tracks that caused train delays.
 - **Mechanical Delays** – In November 2020 there were 623 minutes of delay due to mechanical issues compared to 751 minutes in November 2019.
- **October:** The October 2020 OTP was 97.4% compared to 93.3% for October 2019.
 - **Special Event Train Service** – Caltrain is not operating special event service due to the cancellation or postponement of events as result of the COVID-19 pandemic.

(The full report can be found on caltrain.com)

Committee Comments:
None

Public comments:
None

JPB CAC Work Plan

January 20, 2021

- Sales Tax Measure
- Transit Oriented Development
- PCEP Update
- TASI Operating Budget

February 17, 2021

- San Francisco Downtown Extension update
- Grade Crossing Improvements
- Industry Safe Functionality

March 17, 2021

-

April 21, 2021

- EMU Testing Update

Suggested Items:

- Go Pass cost per ride factors – requested by Chair, Brian Shaw on 6/19/19
- San Mateo County Climate Action Plan – requested by Member Rosalind Kutler on 10/16/19
- MTC Means-Based Discount Fare program update
- Caltrain connections with other agencies – requested by Member Rosalind Kutler on 12/18/19
- Update on grade crossing pilot six months after installation – requested by Member, Patrick Flautt on 12/18/19
- Summary video of the CAC meetings by the Social Media Officer – requested by Chair, Brian Shaw on 12/18/19
- Operating Costs – requested by Member Adrian Brandt on 2/13/20
- Rail Corridor Use Policy – requested by Member Anna Dagum on 10/21/20
- South San Francisco

DATE, TIME AND LOCATION OF NEXT REGULAR MEETING:

January 20, 2021 at 5:40 p.m., San Mateo County Transit District Administrative Building,
2nd Floor Bacciocco Auditorium, 1250 San Carlos Avenue, San Carlos, CA.

Adjourned at 7:52 pm

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Michelle Bouchard
Chief Operating Officer, Rail

SUBJECT: **AUTHORIZING EXECUTION OF AMENDMENT FIVE TO THE CONTRACT FOR PROVISION OF RAIL OPERATIONS, MAINTENANCE AND SUPPORT SERVICES WITH TRANSITAMERICA SERVICES, INC. TO EXTEND THE CONTRACT FOR FIVE YEARS THROUGH JUNE 30, 2027**

ACTION

Staff Coordinating Council recommends the Board of Directors (Board) authorize the Executive Director to execute an amendment (Amendment Five) to extend the Caltrain Operating Agreement (Agreement) with Transit America Services, Inc. (TASI) for the operation of commuter rail service and provision of capital/third-party construction support services through June 30, 2027.

SIGNIFICANCE

The current term of the Agreement is set to expire on June 30, 2022. Authorizing execution of Amendment Five will extend the Agreement for five additional years in order to enable the completion of construction of the Federal Transit Administration (FTA)-funded Peninsula Corridor Electrification Project (PCEP) and subsequent start-up of service in an electrified environment.

As part of the Business Plan process an Organizational Assessment was completed that reviewed options for service delivery. The assessment laid out various options for service delivery that were presented at a JPB organizational workshop held in November 2019. The service delivery analysis in the Caltrain Business Plan identified in particular that the contract with TASI was terminating in the middle of the PCEP construction. The recommendation was to pursue a contract extension with TASI to ensure focus remained on the delivery of the PCEP and transition into operation and maintenance. In December 2019, the Board directed staff to pursue a negotiation with TASI for a contract extension.

TASI provides PCEP with vital functions, including flagging services, to help ensure a safe and timely completion. TASI's personnel possess specialized training and expertise required to provide services such as flagging, dispatching of passenger and freight

services, operation of daily Caltrain passenger service during construction and maintenance of right of way and equipment.

After careful consideration of the impact of undertaking a procurement for a successor contract, the Peninsula Corridor Joint Powers Board (JPB) has determined it would be in the public interest of the JPB to eliminate the risks associated with the potential transfer of responsibilities currently carried out by TASI to a new operator until after PCEP has been completed and operated in revenue service for a reasonable period of time.

Considering the risks inherent in the delivery of complex major capital investment projects, the important capital support role that TASI plays in construction of the PCEP, the desire to minimize potential impacts to the schedule for project completion and implementation, the staff obtained Board direction at the Board's 2019 Workshop to explore a basis upon which the JPB could continue the TASI service contract during the transition period that will extend beyond 2023 and the commencement of electrified service.

In a letter received in November, 2019, the FTA provided its consent of the JPB pursuing an extension to the TASI Agreement. Accordingly, the JPB commenced negotiations with TASI for an extension of TASI's Agreement to 1) facilitate a safe, undistracted and uninterrupted transition from diesel to electrified operations and maintenance; 2) provide the necessary experience with electric operations to inform the development of an appropriate scope of work and commercial terms for the future Request for Proposals (RFP) for a potential new operator; 3) allow sufficient time to undertake the future RFP process; and 4) provide transition time for a potential new operator.

The negotiations with TASI have been successfully completed. In addition to extending the Agreement for five years, Amendment Five obtains increases in efficiency and performance, cost savings, and enhanced safety measures, and adjusts the scope of services to reflect the changing operating environment. The modifications to the Agreement are consistent with the JPB's objectives to improve safety, customer experience, reliability and cost control.

The Agreement's Performance Fee Program evaluates TASI's performance on a quarterly basis and is the mechanism by which TASI earns its annual profit based on proven performance on a set of pre-established metrics. As part of the negotiation of Amendment Five, the individual metrics were reviewed and updated. The overall categories of safety, equipment availability, on-time performance, customer satisfaction, and management were retained. Scales were revised to better drive TASI performance. New metrics proposed with this Amendment Five include injuries, vehicle accidents, infrastructure delays, ticket checking, a crewbook metric related to timely submission to JPB, as well as a crewbook metric related to overtime. The revised Performance Fee metrics are contained in Attachment B of Amendment Five.

With regard to cost savings, both the Performance Fee and General and Administrative (G&A) costs have been modified as part of this proposed Amendment Five. The Performance Fee currently has a contractual fixed \$4.5M potential maximum annual earning based on documented performance. Amendment Five revises the Performance

Fee to reflect a fixed annual component (\$2.8M) as well as an annual percentage of the total costs of the basic service plan for that fiscal year (2.8-percent escalating at CPI). Moving from a fixed structure to a combination fixed/percentage based structure serves to drive performance based on the magnitude of the scope of work. G&A will be earned at 8-percent annually in the final year (FY22) of the current term of the Agreement. The proposed Amendment Five revises the G&A to reflect a fixed component (\$2.8M) as well as an annual percentage of the total costs of the basic service plan for that fiscal year (2.8-percent based on CPI, with a floor of 3.0-percent and a cap of 5.0-percent per year). The introduction of a fixed component to the G&A is a recognition that a portion of the items paid for with G&A are truly fixed costs. Additionally, depending on scope/service provided in a given year, staff projects that there could be several million dollars of savings over the course of the amendment in combined G&A and Performance Fee as compared to the current contract assuming a similar 92 train scope as compared to the existing G and A and Performance Fee pools.

Other major long-term cost savings have resulted from the negotiation of a work rule change eliminating the requirement for a third conductor to be added to all trains of greater than 6 cars. In exchange for a one-time \$4.1M payment in FY21 and the establishment of an annual bonus pool of \$525k linked to conductor performance, future annual operating costs estimated at \$8-10M annually will be avoided. This is because all electrical multiple unit (EMU) sets are 7 cars. This rule change remains in place, beyond this contract extension and even if TASI is not the contract operator.

BUDGET IMPACT

The recommended action has no impact on the overall authorized Fiscal Year (FY) 2021 Operating and Capital Budgets as the one-time \$4.1M was already incorporated. The annual Agreement costs represent approximately 60 percent of the overall JPB Operating Budget. For a point of reference, the chart below shows annual expenditures in the six fiscal years preceding FY21.

CATEGORY	FY15	FY16	FY17	FY18	FY19	FY20	TOTAL
O&M EXPENSE	\$71.1M	\$76.9M	\$79.6M	\$82.4M	\$85.5M	\$81.2M	\$476.8M
SOGR EXPENSES	\$10.2M	\$6.6M	\$10.3M	\$6.7M	\$5.6M	\$6.4M	\$45.8M
CAPITAL PROGRAM	\$11.9M	\$11.3M	\$9.8M	\$13.9M	\$22.3M	\$23.0M	\$92.2M
TOTAL:	\$93.2M	\$94.8M	\$99.8M	\$103.0M	\$113.4M	\$110.6M	\$614.7M

As with the base contract, the specific cost of any year of this contract extension will be determined by the service levels, maintenance scope and the amount of construction support required in any given year. These costs will be negotiated with TASI and will be brought before the Board for approval as part of the annual operating and capital budget process. For this reason, the contract extension does not authorize a total contract capacity.

BACKGROUND

On September 1, 2011, the JPB awarded the Agreement to TASI pursuant to Board Resolution No. 2011-32. As stated above, the five-year base term of the Agreement with TASI is set to expire on June 30, 2017. On February 2, 2017, pursuant to Board Resolution No. 2017-08, the JPB authorized Amendment Four to the Agreement, exercising the JPB's right to extend the term for an additional five years, ending on June 30, 2022.

During the current term of the Agreement, TASI has provided all operations, as well as maintenance of all of Caltrain's fleet and infrastructure. In addition, TASI has provided construction support for the capital program including a number of other critical capital improvement projects such as Positive Train Control (PTC), replacement of several aged railroad bridges, and support of the electrification project, as described above. To date, the JPB is satisfied with TASI's performance. Through FY20, TASI has, on a quarterly average, maintained a high level of on-time performance and customer satisfaction. The JPB is satisfied with TASI's overall cost effectiveness of its service. Additionally, the JPB has confidence in TASI's ability to manage the transition of diesel service operations to combined electric and diesel service operations.

Following receipt of the FTA letter, the JPB commenced the negotiations with TASI in December 2019. The negotiation team included members in key roles for the JPB and TASI on this Agreement. The JPB's negotiating team members included the Chief Operating Officer, the Chief Financial Officer, the Deputy Chief of Rail Operations, and the Director- Rail Contracts and Budget. The TASI negotiating team members included the current General Manager and the Deputy General Manager Finance and Administration.

At the October 26, 2020, Finance Committee meeting, staff provided the Board with an update of the current status of the Agreement and outlined the next steps staff would perform with regard to consideration of extending the term of the Agreement and advised that staff planned to bring to the Finance Committee and the Board the proposed Amendment Five for approval after the first of the New Year.

Prepared by: Danielle Stewart, Director, Rail Contracts and Budget 650.508.7975

RESOLUTION NO. 2021-

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

* * *

AUTHORIZING EXECUTION OF AMENDMENT FIVE TO THE CONTRACT FOR PROVISION OF RAIL OPERATIONS, MAINTENANCE AND SUPPORT SERVICES WITH TRANSITAMERICA SERVICES, INC. TO EXTEND THE CONTRACT FOR FIVE YEARS THROUGH JUNE 30, 2027

WHEREAS, on September 1, 2011, the Peninsula Corridor Joint Powers Board (JPB) awarded the Caltrain Operating Agreement (Agreement) to TransitAmerica Services, Inc. (TASI) for the operation of commuter rail service and provision of capital/third-party construction support services pursuant to Board Resolution No. 2011-32 ; and

WHEREAS, the Agreement had an initial five-year base term, followed by five additional one-year option terms, which were exercised by the JPB pursuant to Board Resolution No. 2017-08; and

WHEREAS, during the term of the Agreement, TASI has satisfactorily provided all operational activities related to commuter service, maintenance of all of Caltrain's fleet and infrastructure, and support for a number of other critical capital improvement projects, including Positive Train Control, replacement of several aged railroad bridges, and support of the corridor electrification project; and

WHEREAS, the term of the Agreement is set to expire on June 30, 2022; and

WHEREAS, after careful consideration of the impact of undertaking a procurement for a successor contract, the JPB has determined it would be in the public interest of the JPB to eliminate the risks associated with the potential transfer of responsibilities currently carried out by TASI to a new operator until after the electrification project has been completed and operated in revenue service for a reasonable period of time; and

WHEREAS, with the consent of the Federal Transit Administration, the JPB commenced a negotiation with TASI for an extension of TASI's services pursuant to an

amendment to the Agreement (Amendment Five) to (1) facilitate a safe, undistracted and uninterrupted transition from diesel to electrified operations and maintenance; (2) provide the necessary experience with electric operations to inform the development of an appropriate scope of work and commercial terms for the future Request for Proposals (RFP) for a potential new operator; (3) allow sufficient time to undertake the future RFP process; and (4) provide transition time for a potential new operator; and

WHEREAS, the negotiations resulted in a proposed Amendment Five containing new terms and conditions that the JPB believes will produce favorable increases in efficiency and performance and enhanced safety measures; and

WHEREAS, the proposed Amendment Five also achieves cost savings by restructuring the Performance Fee and General and Administrative cost items; and

WHEREAS, the JPB will begin the future competitive RFP process following commencement of the electrified operations and acquisition of operational information to support and inform the new procurement, the timing of which will allow sufficient time to conduct and complete a full and open competitive procurement process grounded in baseline data derived from actual operations in the new environment and allow adequate transition time to a potential new contractor; and

WHEREAS, the Executive Director recommends, and Staff Coordinating Council concurs, that the Board of Directors authorize the Executive Director to execute Amendment Five extending the Agreement through June 30, 2027.

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors for the Peninsula Corridor Joint Powers Board hereby authorizes the Executive Director to execute Amendment Five to the TASI Agreement, extending the Agreement through June 30, 2027, in a form approved by legal counsel and with the understanding that future Agreement costs will be negotiated by the parties and brought to the Board of Directors for approval as part of the annual operating and capital budget process.

Regularly passed and adopted this 7th day of January, 2021 by the following

vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary



Amendment 5 to the Operating Contract with TransitAmerica Services, Inc.

January 7, 2021

Agenda

- Background
- Considerations
- Contract Extension Process
- Proposed Modifications

Background

- JPB awards TransitAmerica, Inc. (TASI) Rail Operator agreement in September, 2011.
- TASI provides a Basic Service Plan (BSP) support for rail operations, maintenance and support services in the following areas:
 - Administration/Safety
 - Operations
 - Maintenance of Equipment
 - Maintenance of Way
 - Stations
- TASI provides support to the Capital/third-party construction projects through the Additional Services portion of the Contract
- 5-year base agreement with option to extend for up to another 5-years.
- TASI contract valid until June 2022.

Background

- Caltrain Business Plan Organizational Assessment, undertaken in 2018 and 2019. Identified changes to the operating contract and overall service delivery model as a major organizational consideration for the railroad
- Report laid out various options for service delivery that were discussed by the JPB at organizational workshop held in Half Moon Bay in November 2019
- FTA approval for this approach has been obtained
- Recommendation to negotiate extension to current contract confirmed at December 2019 JPB Board meeting

Considerations

- Staff proposed contract extension:
 - Significant potential impact with Electrification Program
 - De-risk project completion and transition to operation
 - Focus JPB staff on project rather than re-procurement effort
 - Threat of re-procurement as safety risk during this time
 - Discussed and supported by Transportation Technology Center, Inc. (TTCI) and FTA PMO

Contract Extension Process

- Set Objectives:
 - Safety
 - Reliability
 - Customer Experience
 - Financial Considerations
- Review Contract scope and performance
- Negotiate with TASI
- Formalize modifications

Objectives

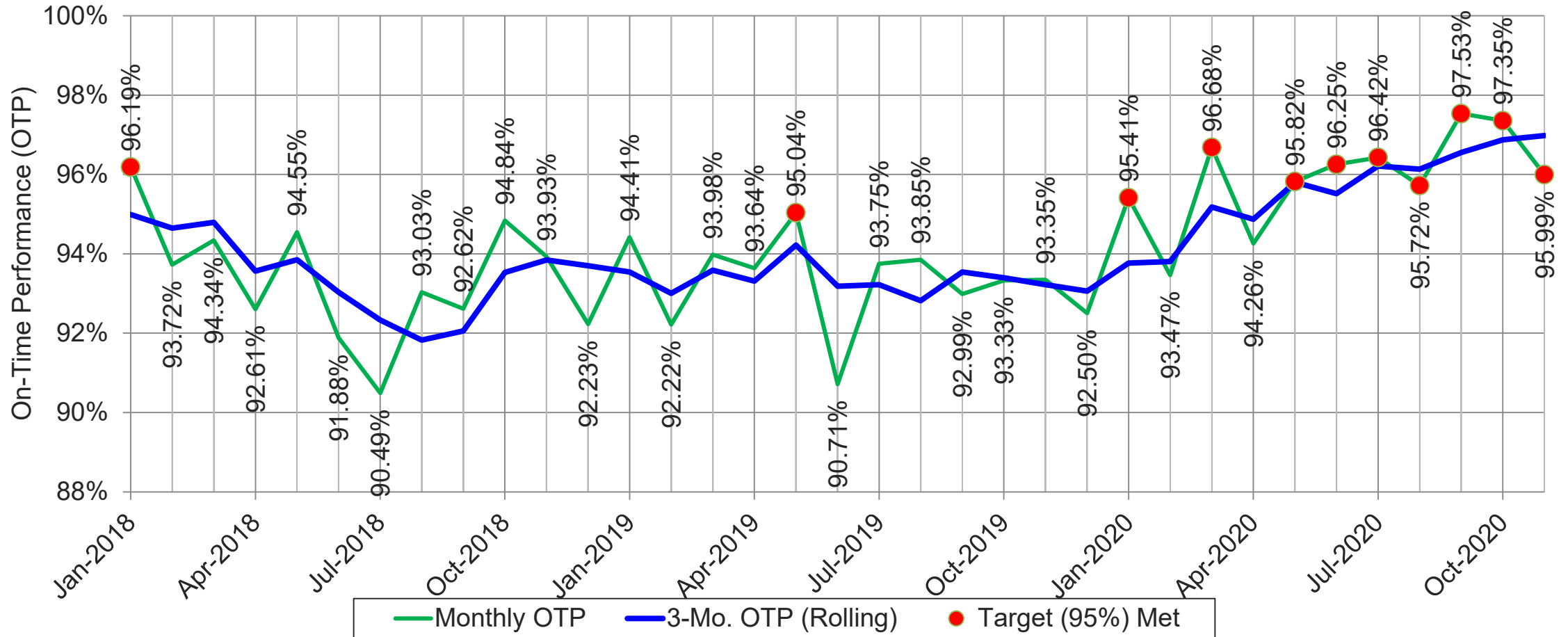
- Commercial
 - increased efficiency
 - better alignment of TASI performance and contractual financial incentives
 - maintain Caltrain decision-making flexibility
 - projected savings
- Operational
 - Smooth transition to expanded electrified service
 - Enhanced safety including operation of PTC

Expenditures FY15-FY20

- Overall \$614.7M expended from FY15-FY20
- Spans categories of Operations & Maintenance (O&M), State of Good Repair (SOGR) and the Capital Program support.

Category	FY15	FY16	FY17	FY18	FY19	FY20	Total
O&M Expense	\$71.1M	\$76.9M	\$79.6M	\$82.4M	\$85.5M	\$81.2M	\$476.8M
SOGR Expenses	\$10.2M	\$6.6M	\$10.3M	\$6.7M	\$5.6M	\$6.4M	\$45.8M
Capital Program	\$11.9M	\$11.3M	\$9.8M	\$13.9M	\$22.3M	\$23.0M	\$92.2M
Total:	\$93.2M	\$94.8M	\$99.8M	\$103.0M	\$113.4M	\$110.6M	\$614.7M

TASI Performance



Negotiated Terms/Positive Outcomes

- Elimination of third conductor requirement
- Revised performance penalty and incentive regime
 - More Base at risk than current regime
- Reduced General and Administrative Overhead (G&A) costs
 - More at a fixed cost than current
- Approval of the Train and Engine crewbook
- Improved ticket checking
- Observe and provide input into labor negotiations process

Staff Recommendation

- Execute Operations and Maintenance Contract for a period of 5 years concluding in FY 2027 with Transit America Services, Inc.

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Derek Hansel
Chief Financial Officer

SUBJECT: **AWARD OF CONTRACT FOR FINANCIAL AUDIT SERVICES**

ACTION

Staff Coordinating Council recommends the Board:

1. Award a contract to Brown Armstrong Accountancy Corporation of Bakersfield, California (Brown Armstrong) for provision of financial audit services (Services) for a five-year base term for a total not-to-exceed amount of \$330,909.
2. Approve up to \$150,000 for additional discrete services or tasks that may arise during or after completion of Brown Armstrong's financial audit(s).
3. Authorize the Executive Director, or his designee, to execute a contract with Brown Armstrong in full conformity with the terms and conditions of the solicitation documents and negotiated agreement.
4. Authorize the Executive Director, or his designee, to exercise one option term for up to five years for a total not-to-exceed amount of \$382,732 for provision of additional Services, if deemed in the best interest of the Peninsula Corridor Joint Powers Board (JPB).

SIGNIFICANCE

Approval of the above actions will provide the JPB with a qualified firm to carry out financial audit services that include but are not be limited to:

- Furnishing independent financial audit services,
- Performing comprehensive reviews of financial statements, compiling related notes and required supplemental information, and

- Rendering opinions on financial statements and submitting a management letter, which offers suggestions for improvement, if any, of financial management and internal controls.

The JPB will compensate Brown Armstrong a total not-to-exceed amount of \$330,909 for a five-year base term as detailed below:

Year 1	\$65,000
Year 2	\$65,000
Year 3	\$65,000
Year 4	\$66,950
Year 5	\$68,959
Total not-to-exceed amount	\$330,909

BUDGET IMPACT

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

BACKGROUND

Pursuant to JPB Board Resolution 2020-42, approved in August 2020, staff issued Request for Proposals (RFP) 21-J-P-021 in September 2020 for procurement of the Services. The RFP was published on the JPB's procurement website, which includes small business enterprises (SBEs) registered in the vendor database. Staff received four proposals.

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

- Approach to Scope of Services 15 points
- Company Qualifications, Experience and References 25 points
- Qualifications and Experience of Key Personnel 40 points
- Reasonableness of Cost 20 points
- SBE Preference 5 points

Following initial proposal review, the Committee found three of the four firms to be within the competitive range and invited the three firms to proceed in the evaluation and selection process, including interviews. Upon completion of interviews, review and rescoring of the three firms' proposals, the Committee determined that Brown Armstrong's proposal was responsive to the RFP requirements and Brown Armstrong could meet the JPB's needs as detailed in the RFP's scope of services, and identified Brown Armstrong as the highest-ranked proposer. The Committee completed reference checks and found Brown Armstrong to be in good standing with its clients. Staff completed negotiations with Brown Armstrong, which reduced the proposed total cost by four percent. Staff conducted a price analysis and determined Brown Armstrong's negotiated cost proposal to be fair and reasonable. Therefore, staff recommends award of a contract to Brown Armstrong.

Procurement Administrator: Linda Tamtum
 Project Manager: Grace Martinez, Deputy CFO

650.508.7933
 650.508.6274

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

* * *

**AWARDING A CONTRACT TO BROWN ARMSTRONG ACCOUNTANCY CORPORATION FOR
FINANCIAL AUDIT SERVICES FOR A TOTAL AMOUNT OF \$330,909 FOR A FIVE-YEAR TERM**

WHEREAS, the Peninsula Corridor Joint Powers Board (JPB) issued Request for Proposals (RFP) 21-J-P-021 for financial audit services (Services); and

WHEREAS, the Services primarily consist of, but are not limited to: (1) providing independent financial audit services; (2) performing comprehensive reviews of financial statements; and (3) rendering opinions on financial statements and submitting a management letter, which offers suggestions for improvement, if any, of financial management and internal controls; and

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

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

WHEREAS, after interviews, the Committee determined Brown Armstrong Accountancy Corporation of Bakersfield, California (Brown Armstrong) to be highest-ranking firm; and

WHEREAS, the Committee determined that Brown Armstrong possesses the necessary qualifications and requisite experience to successfully perform the Services, and Brown Armstrong has agreed to perform the Services at fair and reasonable prices; and

WHEREAS, staff and legal counsel have reviewed Brown Armstrong's proposal and determined that the proposal complies with the requirements of the solicitation documents; and

WHEREAS, Staff Coordinating Council recommends, and the Executive Director concurs, that the Board of Directors (Board) (1) award a contract to Brown Armstrong for provision of financial audit services for a five-year term for a total not-to-exceed amount of \$330,909; (2) approve up to \$150,000 for additional discrete services or tasks that may arise during or after completion of Brown Armstrong's financial audit(s), and (3) authorize the Executive Director, or his designee, to exercise one option term for up to five years for a total not-to-exceed amount of \$382,732, if it is in the best interest of the JPB.

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby awards a contract for financial audit services to Brown Armstrong Accountancy Corporation for a five-year term for a total not-to-exceed amount of \$330,909; and

BE IT FURTHER RESOLVED that the Board approves up to \$150,000 for additional discrete services or tasks that may arise during or after completion of Brown Armstrong's financial audit(s); and

BE IT FURTHER RESOLVED that the Board authorizes the Executive Director, or his designee, to execute a contract on behalf of the JPB with Brown Armstrong in full conformity with the terms and conditions of the solicitation documents and negotiated agreements, and in a form approved by legal counsel; and

BE IT FURTHER RESOLVED that the Board authorizes the Executive Director, or his designee, to exercise one additional option term for up to five years for provision of additional Services for a total not-to-exceed amount of \$382,732, if deemed in the best interest of the JPB.

Regularly passed and adopted this 7th day of January, 2021 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Michelle Bouchard
Chief Operating Officer, Rail

SUBJECT: **INCREASE THE TOTAL PROJECT BUDGET AUTHORITY BY \$1,250,000 FOR
THE MARIN AND NAPOLEON BRIDGE REPLACEMENT PROJECT (20-J-C-022)**

ACTION

Staff Coordinating Council recommends that the Board of Directors (Board):

1. Authorizes an increase in the total project budget authority by \$1,250,000 for the Marin and Napoleon Bridge Replacement Project, which amount includes an increase to the Executive Director's contract change order authority in an amount not to exceed \$1,000,000, bringing the total project budget authority from \$9,696,000 to \$10,946,000; and
2. Approves the transfer of \$1,250,000 from the Caltrain Capital Contingency Fund to the Marin Napoleon Bridge Replacement Project.

SIGNIFICANCE

In July 2020, the Peninsula Corridor Joint Powers Board (JPB) awarded the Marin and Napoleon Bridge Replacement Project to Proven Management, Inc. (Proven) in an amount not to exceed \$8,907,901 for rehabilitation work at the Marin Bridge and replacement of the Napoleon Bridge located in the City of San Francisco. The Napoleon Bridge was originally constructed in 1907, and retrofitted in 1947. The Napoleon Bridge foundation has varying soil conditions including bay mud approximately 25ft below street level.

The Executive Director's original contract change order authority was established at 10 percent of the total contract amount.

During construction work, it was discovered that there were significant voids below the footings of the Napoleon Bridge. It was also determined that the existing timber piles supporting the footings of the Napoleon Bridge were showing significant levels of rot and deterioration. These unforeseen conditions require immediate action to remedy in order to ensure safety and full operation of the Bridge structure and railroad tracks.

The design for the emergency repair work has been completed, which recommends addressing the emergency repairs in two phases.

The first phase of the design recommendation, consisting of placement of structural concrete fill below the footings, was completed on 12/22/20. The work was performed pursuant to a change order issued to Proven, which costs were covered under the Executive Director's existing contract change order authority.

The second phase of the design recommendation consists of the construction of additional micropiles, and additional rebar work at the footings of piers to provide a long term support system for the foundation and footings.

The complete cost associated with the required repair work is \$1,250,000, which amount includes construction, design and administration costs. The amount of the necessary work and associated costs exceeds the Executive Director's change order authority, requiring Board approval to increase the total project budget authority by \$1,250,000, which amount includes an increase in the Executive Director's contract change order authority in an amount not to exceed \$1,000,000.

BUDGET IMPACT

Every year, the Board approves a Capital Contingency Fund (CCF) as part of the Caltrain Capital Budget. The required Napoleon Bridge change order work and associated costs in the amount of \$1,250,000 will be fully funded by savings from prior years' CCFs.

The Board also requires approval for any transfer of funds within the Caltrain Capital Budget greater than \$250,000. The requested Board approval will increase the total project budget authority of the Marin Napoleon Bridge Replacement project from \$9,696,000 to \$10,946,000.

BACKGROUND

The piers above the footing were inspected in 2015, as a part of the system wide bridge assessment for the Napoleon Street Bridge Replacement. At the time of these inspections and the subsequent annual inspections, no cracks, distress, or settlement was found in the piers and footings. In line with the AREMA Bridge Inspection Handbook and Caltrans Bridge Element Inspection Manual, additional inspection below the footings would only occur if cracks, distress, or settlement was observed on the footing or piers. Pier walls were checked for signs of corrosion, fatigue cracks, connection failure, spalling, cracking, scour or damage. No such signs were observed in 2015. As mentioned above, the foundation issues described herein were discovered in December 2020 during Proven's coring and excavation work on the Project.

Prepared by: Joy Sharma, Project Manager

650.489.8161

RESOLUTION NO. 2021 -

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

* * *

**INCREASING TOTAL PROJECT BUDGET AUTHORITY BY \$1,250,000 FOR THE
MARIN AND NAPOLEON BRIDGE REPLACEMENT PROJECT**

WHEREAS, in July 2020, the Peninsula Corridor Joint Powers Board (JPB) awarded the Marin and Napoleon Bridge Replacement Project to Proven Management, Inc. (Proven) in an amount not to exceed \$8,907,901 for rehabilitation work at the Marin Bridge and replacement of the Napoleon Bridge located in the City of San Francisco; and

WHEREAS, the Executive Director's original contract change order authority was established at 10 percent of the total contract amount; and

WHEREAS, during construction work, it was discovered that there were significant voids below the footings of the Napoleon Bridge and it was also determined that the existing timber piles supporting the footings of the Napoleon Bridge were showing significant levels of rot and deterioration; and

WHEREAS, the JPB has determined that these unforeseen conditions constitute an emergency condition requiring immediate repairs pursuant to contract change orders issued to Proven; and

WHEREAS, the cumulative amount of funding associated with the change order work and associated costs is \$1,250,000, which amount exceeds the Executive Director's contract change order authority; and

WHEREAS, as a result of the change order work and associated costs, the total Project budget authority will increase from \$9,696,000 to \$10,946,000; and

WHEREAS, the Board requires approval of fund transfers within the Caltrain Capital Budget for amounts greater than \$250,000; and

WHEREAS, Staff Coordinating Council recommends that the total project budget authority be increased by \$1,250,000, which amount includes an increase in the Executive Director's contract change order authority in an amount not to exceed \$1,000,000, which will permit execution of essential change orders to complete the required emergency repairs.

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors (Board) of the JPB hereby:

1. Authorizes an increase in the total project budget authority by \$1,250,000 for the Marin and Napoleon Bridge Replacement Project, which amount includes an increase to the Executive Director's contract change order authority in an amount not to exceed \$1,000,000, bringing the total project budget authority from \$9,696,000 to \$10,946,000; and
2. Approves the transfer of \$1,250,000 from the Caltrain Capital Contingency Fund to the Marin Napoleon Bridge Replacement Project.

Regularly passed and adopted this 7th day of January, 2021 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Rona Rios
Acting Chief Communications Officer,

SUBJECT: **STATE AND FEDERAL LEGISLATIVE UPDATE**

ACTION

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

SIGNIFICANCE

The 2021 Legislative Program establishes the principles that will guide the legislative and regulatory advocacy efforts. Based on those principles, staff coordinates closely with our Federal and State advocates on a wide variety of issues that are considered in Congress and the State legislature. The attached reports highlight the recent issues and actions that are relevant to the Board.

Prepared By: Brent Tietjen, Government and Community
Relations Officer

650-508-6495



December 11, 2020

TO: Peninsula Corridor Joint Powers Board Members

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

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

General Update

On December 7th, the Senate and the Assembly convened their organizational sessions. During this time, both bodies elected various officers and leadership positions like the Speaker and Pro Tem, the Chief Clerk/Secretary of the Senate and Sergeant-at-Arms for each house. The new members of each house were also sworn in, and some members introduced the first bills of session. The leadership for this session stayed the same, with Assemblymember Rendon remaining as Assembly Speaker and Senator Atkins holding her post as Senate President Pro Tempore. After this organizational session, the members again returned to their districts and will remain there until the first day of session on January 4th.

Over the weekend, Assembly Speaker Rendon (D-Lakewood) announced the committee assignments for the 2021-22 Legislative Session. Of note, Assembly Member Frazier (D-Oakley) is no longer the Chair of the Assembly Transportation Committee. He is now the Chair of the Assembly Governmental Organization Committee. **Assembly Member Friedman (D-Glendale) was appointed Chair of the Assembly Transportation Committee** (she previously served as Chair of the Assembly Natural Resources Committee). During her time in the Assembly, Assembly Member Friedman has been a vocal supporter of public transit.

On December 14, Senate President pro Tem Atkins (D-San Diego) [announced](#) the new Senate committee chairs and committee members for the 2021-22 session. Of note, **the Senate Transportation Committee will be chaired by Senator Gonzalez (D-Long Beach)** and the Senate Budget Committee will be chaired by Senator Skinner (D-Oakland). **Senator Becker was appointed to the Senate Transportation Committee and as Vice-Chair of the newly-formed Joint Legislative Committee on Climate Change Policies.**

Upon being sworn in, legislators immediately began the bill introduction process which will continue through December and increase closer to the February 19th bill introduction deadline. It remains to be seen if we will see similar reductions in bill volume due to the COVID-19 pandemic as seen in 2020, or if the Legislature will resume its typical high volume of bills.

By January 10th, the Governor will also release the first draft of the 2021-22 budget. This fiscal year will end with a projected \$15 billion surplus as projected by the Governor and a \$26 billion surplus as projected by the Legislative Analyst Office (LAO). While the state's budget outlook has considerably improved, the LAO projects a small operating deficit for the 2021-22 budget. This will create tension between the Legislature and the Governor. Legislative leaders have already indicated that they want to spend the surplus and restore the spending cuts in the 2020-21 budget.

Due to continually high levels of transmission of COVID-19, this upcoming session will continue as it did for much of 2020, with the Capitol closed to the public and most legislative activity happening remotely, aside from floor sessions and committee hearings.

Legislation of Interest

SB 10 (Wiener) – Housing Density. Notwithstanding local restrictions on adopting zoning ordinances, this bill would allow local governments to pass ordinances to zone any parcel for up to 10 units of residential density per parcel if it is located near jobs, transit or an urban infill site.

SB 7 (Atkins) – Jobs and Economic Improvement Through Environmental Leadership Act of 2021. SB 7 is a reintroduced version of SB 995 of 2020, which failed to pass out of the Legislature in time last session. The bill would extend the expedited CEQA administrative and judicial review procedures for housing projects that meet certain environmental and labor requirements.

SB 44 (Allen) – CEQA Streamlining for Transit. This bill would allow certain transit projects that meet environmental and labor requirements to have a streamlined judicial review period for CEQA. This is the new legislative effort after SB 757 (Allen) was vetoed last session because it was tied to SB 995 (Atkins), as discussed above.

AB 5 (Fong) – High-Speed Rail Fund Transfer. Fong, a Republican from Kern County, introduced this bill to propose moving money away from High-Speed rail to instead fund education. This bill is consistent with the broader frustrations in the Assembly over the future of High-Speed Rail and its funding source.

ACA 1 (Aguilar-Curry) Local Government Financing, Voter Approval: This constitutional amendment would lower the necessary voter threshold from a two-thirds supermajority to 55 percent to approve local general obligation bonds and special taxes

for affordable housing and public infrastructure projects, including public transit. Caltrain supported a nearly identical measure, also ACA 1 (Aguiar-Curry), in 2019.

Statewide Competitive Grant Programs

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

Transit and Intercity Rail Capital Program (TIRCP)

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

Important Dates:

April 2020 – CalSTA Awards Announced

Solutions for Congested Corridors Program (SCCP)

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

Important Dates:

October 2019 – Guidelines Adopted

July 2020 – Applications Due

December 2020 – Program Adoption

Local Partnership Program (LPP)

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

Important Dates:

October 2019 – Guidelines Adopted

June 2020 – Applications Due

December 2020 – Program Adoption

Trade Corridor Enhancement Program (TCEP)

The TCEP provides funding for infrastructure improvements on federally designated Trade Corridors of National and Regional Significance, on the Primary Freight Network

as identified in California Freight Mobility Plan, and along other corridors that have a high volume of freight movement. There is approximately \$300 million provided per year (programmed in 2-year increments) for the competitive program.

Important Dates:

January 2020 – Guidelines Adopted

July 2020 – Applications Due

December 2020 – Program Adoption

Grade Separation Funding

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

PUC Section 190 Grade Separation Program – The Program is a state funding program to grade separate crossings between roadways and railroad tracks and provides approximately \$15 million annually, transferred from Caltrans. Agencies apply to the PUC for project funding.

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

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

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

Caltrain

State Legislative Matrix 12/10/2020

Active Bills			
Bill Number (Author)	Summary	Location	Position
AB 5 (Fong R) Greenhouse Gas Reduction Fund: High Speed Rail Authority: K-12 education: transfer and loan.	<p>The California Global Warming Solutions Act of 2006 designates the State Air Resources Board as the state agency charged with monitoring and regulating sources of emissions of greenhouse gases. The act authorizes the state board to include in its regulation of those emissions the use of market-based compliance mechanisms. Existing law requires all moneys, except for fines and penalties, collected by the state board from the auction or sale of allowances as part of a market-based compliance mechanism to be deposited in the Greenhouse Gas Reduction Fund. Existing law continuously appropriates 25% of the annual proceeds of the fund to the High-Speed Rail Authority for certain purposes. This bill would suspend the appropriation to the High-Speed Rail Authority for the 2021-22 and 2022-23 fiscal years and would require the transfer of those amounts from moneys collected by the state board to the General Fund. The bill would specify that the transferred amounts shall be available, upon appropriation, to support K-12 education and to offset any funding reduction for K-12 education. This bill contains other related provisions and other existing laws.</p> <p>Introduced: 12/7/2020</p>	Assembly Print	Watch
SB 7 (Atkins D) Environmental quality: Jobs and Economic Improvement Through Environmental Leadership Act of 2021.	<p>(1)The California Environmental Quality Act (CEQA) requires a lead agency, as defined, to prepare, or cause to be prepared, and certify the completion of an environmental impact report (EIR) on a project that the lead agency proposes to carry out or approve that may have a significant effect on the environment or to adopt a negative declaration if it finds that the project will not have that effect. CEQA also requires a lead agency to prepare a mitigated negative declaration for a project that may have a significant effect on the environment if revisions in the project would avoid or mitigate that effect and there is no substantial evidence that the project, as revised, would have a significant effect on the environment. CEQA authorizes the preparation of a master EIR and authorizes the use of the master EIR to limit the environmental review of subsequent projects that are described in the master EIR, as specified. This bill would require a lead agency to prepare a master EIR for a general plan, plan amendment, plan element, or specific plan for housing projects where the state has provided funding for the preparation of the master EIR. The bill would allow for limited review of proposed subsequent housing projects that are described in the master EIR if the use of the master EIR is consistent with specified provisions of CEQA. This bill contains other related provisions and other existing laws.</p> <p>Introduced: 12/7/2020</p>	Senate Rules	Watch
SB 10 (Wiener D) Planning and zoning: housing development: density.	<p>The Planning and Zoning Law requires a city or county to adopt a general plan for land use development within its boundaries that includes, among other things, a housing element. Existing law requires an attached housing development to be a permitted use, not subject to a conditional use permit, on any parcel zoned for multifamily housing if at least certain percentages of the units are available at affordable housing costs to very low income, lower income, and moderate-income households for at least 30 years and if the project meets specified conditions relating to location and being subject to a discretionary decision other than a conditional use permit. Existing law provides for various incentives intended to facilitate and expedite the construction of affordable housing. This bill would, notwithstanding any local restrictions on adopting zoning ordinances, authorize a local government to pass an ordinance to zone any parcel for up to 10 units of residential density per parcel, at a height specified in the ordinance, if the parcel is located in a transit-rich area, a jobs-rich</p>	Senate Rules	Watch

	<p>area, or an urban infill site, as those terms are defined. In this regard, the bill would require the Department of Housing and Community Development, in consultation with the Office of Planning and Research, to determine jobs-rich areas and publish a map of those areas every 5 years, commencing January 1, 2022, based on specified criteria. The bill would specify that an ordinance adopted under these provisions is not a project for purposes of the California Environmental Quality Act. The bill would prohibit a residential or mixed-use residential project consisting of 10 or more units that is located on a parcel rezoned pursuant to these provisions from being approved ministerially or by right. This bill contains other related provisions.</p> <p>Introduced: 12/7/2020</p>		
<p>SB 44 (Allen D) California Environmental Quality Act: streamlined judicial review: environmental leadership transit projects.</p>	<p>The California Environmental Quality Act (CEQA) requires a lead agency, as defined, to prepare, or cause to be prepared, and certify the completion of, an environmental impact report (EIR) on a project that it proposes to carry out or approve that may have a significant effect on the environment or to adopt a negative declaration if it finds that the project will not have that effect. CEQA also requires a lead agency to prepare a mitigated negative declaration for a project that may have a significant effect on the environment if revisions in the project would avoid or mitigate that effect and there is no substantial evidence that the project, as revised, would have a significant effect on the environment. CEQA establishes a procedure by which a person may seek judicial review of the decision of the lead agency made pursuant to CEQA. This bill would establish specified procedures for the administrative and judicial review of the environmental review and approvals granted for environmental leadership transit project, as defined, undertaken by a public agency. The bill would require the Judicial Council, on or before April 1, 2022, to adopt rules of court establishing procedures requiring actions or proceedings seeking judicial review pursuant to CEQA or the granting of project approvals, including any appeals to the court of appeal or the Supreme Court, to be resolved, to the extent feasible, within 270 days of the filing of the certified record of proceedings with the court to an action or proceeding seeking judicial review of the lead agency's action related to an environmental leadership transit project. The bill would require the environmental leadership transit project to meet certain labor requirements.</p> <p>Introduced: 12/7/2020</p>	Senate Rules	Watch
<p>ACA 1 Aguiar-Curry D Local government financing: affordable housing and public infrastructure: voter approval.</p>	<p>The California Constitution prohibits the ad valorem tax rate on real property from exceeding 1% of the full cash value of the property, subject to certain exceptions. This measure would create an additional exception to the 1% limit that would authorize a city, county, city and county, or special district to levy an ad valorem tax to service bonded indebtedness incurred to fund the construction, reconstruction, rehabilitation, or replacement of public infrastructure, affordable housing, or permanent supportive housing, or the acquisition or lease of real property for those purposes, if the proposition proposing that tax is approved by 55% of the voters of the city, county, or city and county, as applicable, and the proposition includes specified accountability requirements. The measure would specify that these provisions apply to any city, county, city and county, or special district measure imposing an ad valorem tax to pay the interest and redemption charges on bonded indebtedness for these purposes that is submitted at the same election as this measure. This bill contains other related provisions and other existing laws.</p>	Assembly Print	Watch

Holland & Knight

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Caltrain As of December 18, 2020 - Transportation Report

Conflict Builds Around COVID-19 Economic Stimulus Aid

- Congress is going right up to the midnight shutdown deadline as leaders try to clinch a \$900 billion coronavirus aid package and to keep the government funded. Lawmakers are hoping to use the omnibus bill as a vehicle for more than \$900 billion in coronavirus-related stimulus.
- A deal on the roughly \$900 billion bipartisan, bicameral framework for a coronavirus relief package is reportedly close at hand.
- House Speaker Nancy Pelosi (D-Calif.) and Senate Minority Leader Chuck Schumer (D-N.Y.) threw their support behind the bipartisan pandemic relief proposal as the foundation for a new round of negotiations with Republicans and the Trump administration.
- President-elect Joe Biden voiced his support for the proposal at a virtual event on December 2, saying it would be a “down payment” ahead of a more comprehensive bill once he takes office. Both parties expect Biden to propose a bigger tranche of spending once he takes office on Jan. 20 as the pandemic continues threatening the recovery. On December 3, President Donald Trump said that he would sign a relief measure if Congress can broker a deal in the finale weeks of the year.
- Congressional leaders have struck a deal on the broad outlines of the package that would deliver \$600 stimulus to individuals and children, \$325 billion for small businesses, and a \$300 weekly unemployment boost as well as funding for transportation, vaccine distribution and schools. Of note, the package omits aid to state and local governments as well as lawsuit liability protections, key sticking points between the two parties.
- The bipartisan agreement would include \$15 billion for mass transit. Other transportation provisions include:
 - An extension of the Payroll Support Program (PSP) through March 31, 2021. As in the CARES Act, funds will go directly to frontline aviation workers’ wages, salaries, and benefits. Workers and taxpayers are protected though measures including prohibitions on stock buybacks and dividends, and limitations on executive compensation.

- Funding for airports, including set asides for airport concessionaires, Essential Air Service (EAS), and Small Community Air Service Development Program (SCASDP) through March 31, 2021.
- Funding to support the motorcoach and bus industry as well as others, including passenger ferries and school buses.
- Funding to support public transit systems across the country that will be used to prevent furloughs, meet operating needs, and keep systems running.
- Funding to allow Amtrak to continue to provide existing service and prevent additional furloughs through March 31, 2021.

Shutdown Looms as Deadline Arrives

- Congress faces a midnight deadline on December 18, 2020 to pass a spending bill or rush through another stopgap to keep the government funded through at least the weekend while talks continue.
- Several sticking points on the coronavirus aid package and spending bills have delayed an agreement. Some senators are objecting to certain provisions in the stimulus measure and may not go along with another funding extension if it is needed.
- The federal government faces the possibility of a partial weekend shutdown because of disputes. The government is currently operating on stopgap funding that expires in December 18.
- Current hurdles include a Democratic request for federal funds to match 100% of Federal Emergency Management Agency (FEMA) payouts for pandemic-related disasters, as well as the Republican demand to end the Federal Reserve's emergency lending program by the end of the year. Talks are also hung up on aid for entertainment venues and whether the relief bill needs to extend an existing eviction moratorium if it also includes adequate funds to help renters.
- If the deadline is missed, the White House budget office has some discretion to hold off on shutting federal agencies and furloughing workers over the weekend if a stopgap is expected to pass.
- The House voted 343-67 on December 9 to clear the stopgap legislation that expires tonight. The short-term spending bill was necessary because none of the 12 annual appropriations bills for the fiscal year that began October 1 have been enacted and talks on the omnibus package wrapping them altogether have not yet been completed.

President-Elect Biden's DOT Cabinet Pick

- President-elect Joe Biden has selected Pete Buttigieg to be the Department of Transportation (DOT) Secretary, which could make the former South Bend mayor the

first out gay person to be confirmed by the Senate to be a cabinet post. Biden pledged that the job will be essential to achieving his campaign pledge to “build back better.”

- Buttigieg, the former mayor of South Bend, Indiana, said his experience in that Midwestern city showed him the importance of transportation in a community’s well being.
- Biden ticked of the nation’s critical infrastructure needs, such as rebuilding roads, installing charging stations for electric vehicles and shoring up communities for the impact of climate change. “Buttigieg and Biden will be facing an almost immediate cliff in highway funding -- one of the major elements of any infrastructure plan -- which is currently set to run out in October 2021.

Democrats Plan to Bring Back Earmarks

- House Democrats plan to reintroduce earmarks in the 117th Congress. The practice of allowing individual lawmakers to insert pet projects into bills would help secure votes to pass Biden's legislative agenda and to protect the House majority in 2022.
- House Majority Leader Steny Hoyer (D-Md.) is leading the effort to restore this practice, and has said that earmarks allowed individual lawmakers to advocate for their districts.
 - Additionally, earmarks will be available for Biden's infrastructure bill and annual agency funding bills.
- In an attempt to eliminate earmark scandals, there will be caps on total dollar amounts, including a ban on benefits for for-profit companies. Leader Hoyer said total earmarks would be capped at 1% of the spending level.

Grant Opportunities & Award Announcements

- **Expedited Project Delivery Pilot Program**: FTA continues to announce the availability of \$100 million aimed at expediting delivery of new fixed guideway capital projects, small starts projects, or core capacity improvement projects. Applications will be accepted on a rolling basis until up to eight grants are awarded, subject to funding availability.



FOR IMMEDIATE RELEASE

December 14, 2020

CONTACT: Niesha.Fritz@sen.ca.gov

**Senate Leader Atkins Announces Committee Membership for the
2020-2021 Legislative Session**

SACRAMENTO – California Senate President pro Tempore, Toni G. Atkins (D-San Diego), today announced the Senate’s committee membership assignments for the 2020-2021 Legislative session.

Standing Committees

Agriculture

- **Senator Andreas Borgeas (R-Fresno), Chair.**
- Senator Melissa Hurtado (D-Sanger), Vice Chair.
- Senator Anna M. Caballero (D-Salinas)
- Senator Susan Talamantes Eggman (D-Stockton)
- Senator Steven M. Glazer (D-Contra Costa)

Appropriations

- **Senator Anthony J. Portantino (D-La Cañada-Flintridge), Chair.**
- Senator Patricia C. Bates (R-Laguna Niguel), Vice Chair.
- Senator Steven Bradford (D-Gardena)
- Senator Brian W. Jones (R-Santee)
- Senator John Laird (D-Santa Cruz)
- Senator Bob Wieckowski (D-Fremont)
- *Vacancy

Banking and Financial Institutions

- **Senator S. Monique Limón (D-Santa Barbara), Chair.**
- Senator Rosilicie Ochoa-Bogh (R-Yucaipa), Vice Chair.
- Senator Steven Bradford (D-Gardenia)
- Senator Anna M. Caballero (D-Salinas)
- Senator Brian Dahle (R-Bieber)
- Senator Maria Elena Durazo (D-Los Angeles)
- Senator Ben Hueso (D-San Diego)
- Senator Dave Min (D-Irvine)
- Senator Anthony J. Portantino (D-La Cañada Flintridge)

Budget and Fiscal Review

- **Senator Nancy Skinner (D-Berkeley), Chair.**
- Senator Jim Nielsen (R-Tehama), Vice Chair.
- Senator Anna M. Caballero (D-Salinas)
- Senator Dave Cortese (D-San Jose)
- Senator Brian Dahle (R-Bieber)
- Senator Maria Elena Durazo (D-Los Angeles)
- Senator Susan Talamantes Eggman (D-Stockton)
- Senator John Laird (D-Santa Cruz)
- Senator Mike McGuire (D-Healdsburg)
- Senator Melissa Melendez (R-Lake Elsinore)
- Senator Dave Min (D-Irvine)
- Senator Josh Newman (D-Fullerton)
- Senator Rosilicie Ochoa-Bogh (R-Yucaipa)
- Senator Richard Pan (D-Sacramento)
- Senator Henry I. Stern (D-Canoga Park)
- Senator Bob Wieckowski (D-Fremont)
- Senator Scott Wilk (R-Santa Clarita)
- *Vacancy

Business, Professions and Economic Development

- **Senator Richard D. Roth (D-Riverside), Chair.**
- Senator Melissa Melendez (R-Lake Elsinore), Vice Chair.
- Senator Bob Archuleta (D-Pico Rivera)
- Senator Patricia C. Bates (R-Laguna Niguel)
- Senator Josh Becker (D-Menlo Park)
- Senator Bill Dodd (D-Napa)
- Senator Susan Talamantes Eggman (D-Stockton)
- Senator Melissa Hurtado (D-Sanger)
- Senator Connie M. Leyva (D-Chino)

- Senator Dave Min (D-Irvine)
- Senator Josh Newman (D-Fullerton)
- Senator Rosilicie Ochoa-Bogh (R-Yucaipa)
- Senator Richard Pan (D-Sacramento)
- Senator Scott Wilk (R-Santa Clarita)

Education

- **Senator Connie M. Leyva (D-Chino), Chair.**
- Senator Scott Wilk (R-Santa Clarita), Vice Chair.
- Senator Dave Cortese (D-San Jose)
- Senator Steven M. Glazer (D-Contra Costa)
- Senator Mike McGuire (D-Healdsburg)
- Senator Rosilicie Ochoa-Bogh (R-Yucaipa)
- Senator Richard Pan (D-Sacramento)

Elections and Constitutional Amendments

- **Senator Steven M. Glazer (D-Contra Costa), Chair.**
- Senator Jim Nielsen (R-Tehama), Vice Chair.
- Senator Robert M. Hertzberg (D-Los Angeles)
- Senator Connie M. Leyva (D-Chino)
- Senator Josh Newman (D-Fullerton)

Energy, Utilities and Communications

- **Senator Ben Hueso (D-San Diego), Chair.**
- Senator, Brian Dahle (R-Bieber), Vice Chair.
- Senator Josh Becker (D-Menlo Park)
- Senator Andres Borgeas (R-Fresno)
- Senator Steven Bradford (D-Gardena)
- Senator Bill Dodd (D-Napa)
- Senator Susan Talamantes Eggman (D-Stockton)
- Senator Lena A. Gonzalez (D-Long Beach)
- Senator Robert M. Hertzberg (D-Los Angeles)
- Senator Mike McGuire (D-Healdsburg)
- Senator Dave Min (D-Irvine)
- Senator Susan Rubio (D-Baldwin Park)
- Senator Henry I. Stern (D-Canoga Park)
- Senator Scott Wilk (R-Santa Clarita)

Environmental Quality

- **Senator Benjamin Allen (D-Santa Monica), Chair.**
- Senator Patricia C. Bates (R-Laguna Niguel), Vice Chair.
- Senator Brian Dahle (R-Bieber)
- Senator Lena A. Gonzalez (D-Long Beach)
- Senator Nancy Skinner (D-Berkeley)
- Senator Henry I. Stern (D-Canoga Park)
- Senator Bob Wieckowski (D-Fremont)

Governance and Finance

- **Senator Mike McGuire (D-Healdsburg), Chair.**
- Senator Jim Nielsen (R-Tehama), Vice Chair.
- Senator Maria Elena Durazo (D-Los Angeles)
- Senator Robert M. Hertzberg (D-Los Angeles)
- Senator Scott D. Wiener (San Francisco)

Governmental Organization

- **Senator Bill Dodd (D-Napa), Chair.**
- Senator Scott Wilk (R-Santa Clarita), Vice Chair.
- Senator Benjamin Allen (D-Santa Monica)
- Senator Bob Archuleta (D-Pico Rivera)
- Senator Josh Becker (D-Menlo Park)
- Senator Andreas Borgeas (R-Fresno)
- Senator Steven Bradford (D-Gardena)
- Senator Steven M. Glazer (D-Contra Costa)
- Senator Ben Hueso (D-San Diego)
- Senator Brian W. Jones (R-Santee)
- Senator Jim Nielsen (R-Tehama)
- Senator Anthony J. Portantino (D-La Cañada Flintridge)
- Senator Susan Rubio (D-Baldwin Park)
- *Vacancy

Health

- **Senator Richard Pan (D-Sacramento), Chair.**
- Senator Melissa Melendez (R-Lake Elsinore) Vice Chair.
- Senator Susan Talamantes Eggman (D-Stockton)
- Senator Lena A. Gonzalez (D-Long Beach)
- Senator Shannon Grove (R-Bakersfield)
- Senator Melissa Hurtado (D-Sanger)
- Senator Connie M. Leyva (D-Chino)
- Senator S. Monique Limón (D-Santa Barbara)

- Senator Richard D. Roth (D-Riverside)
- Senator Susan Rubio (D-Baldwin Park)
- Senator Scott D. Wiener (D-San Francisco)

Housing

- **Senator Scott D. Wiener (D-San Francisco), Chair.**
- Senator Patricia C. Bates (R-Laguna Niguel), Vice Chair.
- Senator Anna M. Caballero (D-Salinas)
- Senator Dave Cortese (D-San Jose)
- Senator Mike McGuire (D-Healdsburg)
- Senator Rosilicie Ochoa-Bogh (R-Yucaipa)
- Senator Nancy Skinner (D-Berkeley)
- Senator Thomas J. Umberg (D-Santa Ana)
- Senator Bob Wieckowski (D-Fremont)

Human Services

- **Senator Melissa Hurtado (D-Sanger), Chair.**
- Senator Brian W. Jones (R-Santee), Vice Chair.
- Senator Dave Cortese (D-San Jose)
- Senator Richard Pan (D-Sacramento)
- *Vacancy

Insurance

- **Senator Susan Rubio (D-Baldwin Park), Chair.**
- Senator Brian W. Jones (R-Santee), Vice Chair.
- Senator Bob Archuleta (D-Pico Rivera)
- Senator Patricia C. Bates (R-Laguna Niguel)
- Senator Andreas Borgeas (R-Fresno)
- Senator Bill Dodd (D-Napa)
- Senator Steven M. Glazer (D-Contra Costa)
- Senator Ben Hueso (D-San Diego)
- Senator Melissa Hurtado (D-Sanger)
- Senator Melissa Melendez (R-Lake Elsinore)
- Senator Anthony J. Portantino (D-La Cañada Flintridge)
- Senator Richard D. Roth (D-Riverside)

Judiciary

- **Senator Thomas J. Umberg (D-Santa Ana), Chair.**
- Senator Andreas Borgeas (R-Fresno), Vice Chair.
- Senator Anna M. Caballero (D-Salinas)
- Senator Maria Elena Durazo (D-Los Angeles)

- Senator Lena A. Gonzalez (D-Long Beach)
- Senator Robert M. Hertzberg (D-Los Angeles)
- Senator Brian W. Jones (R-Santee)
- Senator John Laird (D-Santa Cruz)
- Senator Henry I. Stern (D-Canoga Park)
- Senator Bob Wieckowski (D-Fremont)
- Senator Scott D. Wiener (D-San Francisco)

Labor, Public Employment and Retirement

- **Senator Dave Cortese (D-San Jose), Chair.**
- Senator Rosilicie Ochoa-Bogh (R-Yucaipa), Vice Chair.
- Senator Maria Elena Durazo (D-Los Angeles)
- Senator John Laird (D-Santa Cruz)
- Senator Josh Newman (D-Fullerton)

Natural Resources and Water

- **Senator Henry I. Stern (D-Canoga Park), Chair.**
- Senator Brian W. Jones (R-Santee), Vice Chair.
- Senator Benjamin Allen (D-Santa Monica)
- Senator Andreas Borgeas (R-Fresno)
- Senator Susan Talamantes Eggman (D-Stockton)
- Senator Robert M. Hertzberg (D-Los Angeles)
- Senator Ben Hueso (D-San Diego)
- Senator John Laird (D-Santa Cruz)
- Senator S. Monique Limón (D-Santa Barbara)

Public Safety

- **Senator Steven Bradford (D-Gardena), Chair.**
- Senator Rosilicie Ochoa-Bogh (R-Yucaipa), Vice Chair.
- Senator Nancy Skinner (D-Berkeley)
- Senator Scott D. Wiener (San Francisco)
- *Vacancy

Rules

- **Senate President pro Tempore Toni G. Atkins (D-San Diego), Chair.**
- Senator Scott Wilk (R-Santa Clarita), Vice Chair.
- Senator Patricia C. Bates (R-Laguna Niguel)
- Senator Robert M. Hertzberg (D-Los Angeles)
- Senator John Laird (D-Santa Cruz)

Transportation

- **Senator Lena A. Gonzalez (D-Long Beach), Chair.**
- Senator Patricia C. Bates (R-Laguna Niguel), Vice Chair.
- Senator Benjamin Allen (D-Santa Monica)
- Senator Bob Archuleta (D-Pico Rivera)
- Senator Josh Becker (D-Menlo Park)
- Senator Dave Cortese (D-San Jose)
- Senator Brian Dahle (R-Bieber)
- Senator Bill Dodd (D-Napa)
- Senator Mike McGuire (D-Healdsburg)
- Senator Melissa Melendez (R-Lake Elsinore)
- Senator Dave Min (D-Irvine)
- Senator Josh Newman (D-Fullerton)
- Senator Susan Rubio (D-Baldwin Park)
- Senator Nancy Skinner (D-Berkeley)
- Senator Thomas J. Umberg (D-Santa Ana)
- Senator Bob Wieckowski (D-Fremont)
- Senator Scott Wilk (R-Santa Clarita)

Military and Veterans Affairs

- **Senator Bob Archuleta (D-Pico Rivera), Chair.**
- Senator Shannon Grove (R-Bakersfield), Vice Chair.
- Senator Susan Talamantes Eggman (D-Stockton)
- Senator Melissa Melendez (R-Lake Elsinore)
- Senator Josh Newman (D-Fullerton)
- Senator Richard D. Roth (D-Riverside)
- Senator Thomas J. Umberg (D-Santa Ana)

Budget Sub-Committees

Budget Subcommittee #1 on Education

- **Senator John Laird (D-Santa Cruz), Chair.**
- Senator Dave Min (D-Irvine)
- Senator Rosilicie Ochoa-Bogh (R-Yucaipa)

Budget Subcommittee #2 on Resources, Environmental Protection and Energy

- **Senator Bob Wieckowski (D-Fremont), Chair.**
- Senator Brian Dahle (R-Bieber)
- Senator Mike McGuire (D-Healdsburg)
- Senator Henry I. Stern (D-Canoga Park)

Budget Subcommittee #3 on Health and Human Services

- **Senator Susan Talamantes Eggman (D-Stockton), Chair.**
- Senator Melissa Melendez (R-Lake Elsinore)
- Senator Richard Pan (D-Sacramento)

Budget Subcommittee #4 on State Administration and General Government

- **Senator Anna M. Caballero (D-Salinas), Chair.**
- Senator Jim Nielsen (R-Tehama)
- *Vacancy

Budget Subcommittee #5 on Corrections, Public Safety, Judiciary, Labor and Transportation

- **Senator Maria Elena Durazo (D-Los Angeles), Chair.**
- Senator Dave Cortese (D-San Jose)
- Senator Josh Newman (D-Fullerton)
- Senator Scott Wilk (R-Santa Clarita)

Joint Committees

Joint Legislative Audit Committee

- **Senator John Laird (D-Santa Cruz), Vice Chair.**
- Senator Josh Becker (D-Menlo Park)
- Senator Andreas Borgeas (R-Fresno)
- Senator Steven M. Glazer (D-Contra Costa)
- Senator Robert M. Hertzberg (D-Los Angeles)
- Senator Connie M. Leyva (D-Chino)
- Senator Jim Nielsen (R-Tehama)

Joint Committee on the Arts

- **Senator Benjamin Allen (D-Santa Monica), Chair.**
- Senator Richard Pan (D-Sacramento)
- Senator Henry I. Stern (D-Canoga Park)
- Senator Scott Wilk (R-Santa Clarita)
- *Vacancy

Joint Legislative Committee on Climate Change Policies

- **Senator Josh Becker (D-Menlo Park), Vice Chair.**
- Senator Benjamin Allen (D-Santa Monica)
- Senator Nancy Skinner (D-Berkeley)

- Senator Henry I. Stern (D-Canoga Park)

Joint Legislative Committee on Emergency Management

- **Senator Henry I. Stern (D-Canoga Park), Chair.**
- Senator Patricia C. Bates (R-Laguna Niguel)
- Senator Bill Dodd (D-Napa)
- Senator S. Monique Limón (D-Santa Barbara)
- Senator Mike McGuire (D-Healdsburg)
- Senator Josh Newman (D-Fullerton)
- Senator Richard Pan (D-Sacramento)

Joint Committee on Fisheries and Aquaculture

- **Senator Mike McGuire (D-Healdsburg), Chair**
- Senator Ben Hueso (D-San Diego)
- Senator Jim Nielsen (R-Tehama)
- *Vacancy

Joint. Committee on Fairs Allocation and Classification

- **Senator Anna M. Caballero (D-Salinas), Vice Chair.**
- Senator Steve Bradford (D-Gardenia)
- Senator Brian Dahle (R-Bieber)
- Senator Bill Dodd (D-Napa)
- Senator Jim Nielsen (R-Tehama)
- Senator Richard Pan (D-Sacramento)
- *Vacancy

Joint Legislative Budget Committee

- **Senator Nancy Skinner (D-Berkeley), Chair**
- Senator Patricia C. Bates (R-Laguna Niguel)
- Senator Anna M. Caballero (D-Salinas)
- Senator Maria Elena Durazo (D-Los Angeles)
- Senator John Laird (D-Santa Cruz)
- Senator Jim Nielsen (R-Tehama)
- Senator Richard Pan (D-Sacramento)
- Senator Anthony J. Portantino (D-La Cañada Flintridge)

Joint Committee on Rules

- Senate President pro Tempore Toni G. Atkins (D-San Diego)
- Senator Patricia C. Bates (R-Laguna Niguel)
- Senator Maria Elena Durazo (D-Los Angeles)

- Senator Robert M. Hertzberg (D-Los Angeles)
- Senator Melissa Hurtado (D-Sanger)
- Senator John Laird (D-Santa Cruz)
- Senator Connie M. Leyva (D-Chino)
- Senator Mike McGuire (D-Healdsburg)
- Senator Jim Nielsen (R-Tehama)
- Senator Richard Pan (D-Sacramento)
- Senator Richard D. Roth (D-Riverside)
- Senator Susan Rubio (D-Baldwin Park)
- Senator Nancy Skinner (D-Berkeley)
- Senator Thomas J. Umberg (D-Santa Ana)
- Senator Scott Wilk (R-Santa Clarita)

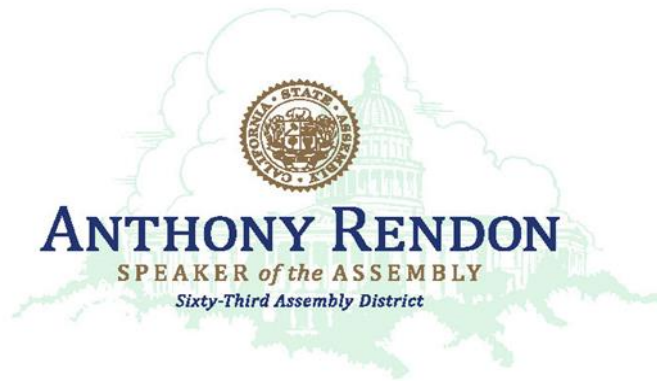
Special Committee

Special Committee on Pandemic Emergency Response

- **Senator Josh Newman (D-Fullerton), Chair.**
- Senator Patricia C. Bates (R-Laguna Niguel), Vice Chair
- Senator Andreas Borgeas (R-Fresno)
- Senator Lena A. Gonzalez (D-Long Beach)
- Senator S. Monique Limón (D-Santa Barbara)
- Senator Mike McGuire (D-Healdsburg)
- Senator Richard Pan (D-Sacramento)
- Senator Richard D. Roth (R-Riverside)

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Website of President pro Tempore Toni G. Atkins: www.senate.ca.gov/Atkins.



December 12, 2020

Sue Parker
Chief Clerk of the Assembly
State Capitol, Room 3196
Sacramento, California

Dear Ms. Parker:

Please be advised that I have made appointments to the following committees for the 2021-22 Regular Session:

Accountability and Administrative Review

Assemblymember Cottie Petrie-Norris, Chair
Assemblymember Jim Patterson, Vice Chair
Assemblymember Autumn Burke
Assemblymember Adam Gray
Assemblymember Tom Lackey
Assemblymember Jose Medina
Assemblymember Freddie Rodriguez

Aging and Long-Term Care

Assemblymember Adrin Nazarian, Chair
Assemblymember Randy Voepel, Vice Chair
Assemblymember Tasha Boerner Horvath
Assemblymember Lisa Calderon
Assemblymember Tom Lackey
Assemblymember Eloise Reyes
Assemblymember Blanca Rubio

Agriculture

Assemblymember Robert Rivas, Chair
Assemblymember Devon Mathis, Vice Chair
Assemblymember Cecilia Aguiar-Curry
Assemblymember Jordan Cunningham
Assemblymember Heath Flora
Assemblymember Adam Gray
Assemblymember Jacqui Irwin
Assemblymember Reginald Jones-Sawyer

Agriculture (continued)

Assemblymember Marc Levine
Assemblymember Carlos Villapudua
Assemblymember Jim Wood

Appropriations

Assemblymember Lorena Gonzalez, Chair
Assemblymember Frank Bigelow, Vice Chair
Assemblymember Richard Bloom
Assemblymember Rob Bonta
Assemblymember Lisa Calderon
Assemblymember Wendy Carrillo
Assemblymember Ed Chau
Assemblymember Megan Dahle
Assemblymember Laurie Davies
Assemblymember Vince Fong
Assemblymember Jesse Gabriel
Assemblymember Eduardo Garcia
Assemblymember Sydney Kamlager
Assemblymember Marc Levine
Assemblymember Bill Quirk
Assemblymember Robert Rivas

I have decreased the size of the committee from 18 to 16 members.

Arts, Entertainment, Sports, Tourism, and Internet Media

Assemblymember Sharon Quirk-Silva, Chair
Assemblymember Suzette Valladares, Vice Chair
Assemblymember David Chiu
Assemblymember Steven Choi
Assemblymember Laura Friedman
Assemblymember Sydney Kamlager
Assemblymember Adrin Nazarian

Banking and Finance

Assemblymember Timothy Grayson, Chair
Assemblymember Phillip Chen, Vice Chair
Assemblymember Rebecca Bauer-Kahan
Assemblymember Autumn Burke
Assemblymember Sabrina Cervantes
Assemblymember Steven Choi
Assemblymember Jesse Gabriel
Assemblymember Cristina Garcia
Assemblymember Janet Nguyen
Assemblymember Mark Stone
Assemblymember Shirley Weber
Assemblymember Buffy Wicks

Budget

Assemblymember Phil Ting, Chair
Assemblymember Vince Fong, Vice Chair
Assemblymember Joaquin Arambula
Assemblymember Steve Bennett
Assemblymember Richard Bloom
Assemblymember Wendy Carrillo
Assemblymember David Chiu
Assemblymember Jim Cooper
Assemblymember Jim Frazier
Assemblymember James Gallagher
Assemblymember Cristina Garcia
Assemblymember Reginald Jones-Sawyer
Assemblymember Kevin Kiley
Assemblymember Tom Lackey
Assemblymember Alex Lee
Assemblymember Devon Mathis
Assemblymember Kevin McCarty
Assemblymember Jose Medina
Assemblymember Kevin Mullin
Assemblymember Adrin Nazarian
Assemblymember Patrick O'Donnell
Assemblymember Jim Patterson
Assemblymember James Ramos
Assemblymember Eloise Reyes
Assemblymember Luz Rivas
Assemblymember Blanca Rubio
Assemblymember Thurston "Smitty" Smith
Assemblymember Mark Stone
Assemblymember Suzette Valladares
Assemblymember Shirley Weber
Assemblymember Jim Wood

Budget Subcommittee No. 1 on Health and Human Services

Assemblymember Joaquin Arambula, Chair
Assemblymember Jim Frazier
Assemblymember Devon Mathis
Assemblymember Jim Patterson
Assemblymember James Ramos
Assemblymember Blanca Rubio
Assemblymember Jim Wood
Assemblymember Phil Ting, Democratic Alternate
Assemblymember Vince Fong, Republican Alternate

Budget Subcommittee No. 2 on Education Finance

Assemblymember Kevin McCarty, Chair
Assemblymember James Gallagher
Assemblymember Alex Lee
Assemblymember Jose Medina
Assemblymember Patrick O'Donnell
Assemblymember Eloise Reyes
Assemblymember Suzette Valladares
Assemblymember Phil Ting, Democratic Alternate
Assemblymember Vince Fong, Republican Alternate

Budget Subcommittee No. 3 on Climate Crisis, Resources, Energy, and Transportation

Assemblymember Richard Bloom, Chair
Assemblymember Steve Bennett
Assemblymember Cristina Garcia
Assemblymember Kevin Mullin
Assemblymember Jim Patterson
Assemblymember Luz Rivas
Assemblymember Thurston "Smitty" Smith
Assemblymember Phil Ting, Democratic Alternate
Assemblymember Vince Fong, Republican Alternate

Budget Subcommittee No. 4 on State Administration

Assemblymember Wendy Carrillo, Chair
Assemblymember David Chiu
Assemblymember Jim Cooper
Assemblymember Tom Lackey
Assemblymember Adrin Nazarian
Assemblymember Phil Ting, Democratic Alternate
Assemblymember Vince Fong, Republican Alternate

Budget Subcommittee No. 5 on Public Safety

Assemblymember Shirley Weber, Chair
Assemblymember Reginald Jones-Sawyer
Assemblymember Tom Lackey
Assemblymember Mark Stone
Assemblymember Suzette Valladares
Assemblymember Phil Ting, Democratic Alternate
Assemblymember Vince Fong, Republican Alternate

Budget Subcommittee No. 6 on Budget Process, Oversight and Program Evaluation

Assemblymember Phil Ting, Chair
Assemblymember Joaquin Arambula
Assemblymember Richard Bloom
Assemblymember Wendy Carrillo
Assemblymember Vince Fong

Budget Subcommittee No. 6 on Budget Process, Oversight and Program Evaluation
(continued)

Assemblymember Kevin Kiley
Assemblymember Kevin McCarty
Assemblymember Thurston “Smitty” Smith
Assemblymember Shirley Weber

Business and Professions

Assemblymember Evan Low, Chair
Assemblymember Heath Flora, Vice Chair
Assemblymember Joaquin Arambula
Assemblymember Marc Berman
Assemblymember Richard Bloom
Assemblymember Phillip Chen
Assemblymember David Chiu
Assemblymember Jordan Cunningham
Assemblymember Megan Dahle
Assemblymember Vince Fong
Assemblymember Mike Gipson
Assemblymember Timothy Grayson
Assemblymember Chris Holden
Assemblymember Jacqui Irwin
Assemblymember Kevin McCarty
Assemblymember Jose Medina
Assemblymember Kevin Mullin
Assemblymember Rudy Salas
Assemblymember Phil Ting

Communications and Conveyance

Assemblymember Miguel Santiago, Chair
Assemblymember Jim Patterson, Vice Chair
Assemblymember Tasha Boerner Horvath
Assemblymember Rob Bonta
Assemblymember Sabrina Cervantes
Assemblymember Laurie Davies
Assemblymember Eduardo Garcia
Assemblymember Chris Holden
Assemblymember Sydney Kamlager
Assemblymember Evan Low
Assemblymember Sharon Quirk-Silva
Assemblymember Freddie Rodriguez
Assemblymember Suzette Valladares

Education

Assemblymember Patrick O'Donnell, Chair
Assemblymember Kevin Kiley, Vice Chair
Assemblymember Steve Bennett
Assemblymember Megan Dahle
Assemblymember Alex Lee
Assemblymember Kevin McCarty
Assemblymember Shirley Weber

Elections

Assemblymember Marc Berman, Chair
Assemblymember Kelly Seyarto, Vice Chair
Assemblymember Steve Bennett
Assemblymember Evan Low
Assemblymember Chad Mayes
Assemblymember Kevin Mullin
Assemblymember Shirley Weber

Emergency Management

Assemblymember Freddie Rodriguez, Chair
Assemblymember Kelly Seyarto, Vice Chair
Assemblymember Cecilia Aguiar-Curry
Assemblymember Lisa Calderon
Assemblymember James Gallagher
Assemblymember Adam Gray
Assemblymember Christopher Ward

Environmental Safety and Toxic Materials

Assemblymember Bill Quirk, Chair
Assemblymember Thurston "Smitty" Smith, Vice Chair
Assemblymember Joaquin Arambula
Assemblymember Rebecca Bauer-Kahan
Assemblymember Megan Dahle
Assemblymember Cristina Garcia
Assemblymember Chris Holden
Assemblymember Devon Mathis
Assemblymember Al Muratsuchi

Governmental Organization

Assemblymember Jim Frazier, Chair
Assemblymember Frank Bigelow, Vice Chair
Assemblymember Cecilia Aguiar-Curry
Assemblymember Marc Berman
Assemblymember Rob Bonta
Assemblymember Ken Cooley
Assemblymember Jim Cooper

Governmental Organization (continued)

Assemblymember Tom Daly
Assemblymember Laurie Davies
Assemblymember James Gallagher
Assemblymember Eduardo Garcia
Assemblymember Mike Gipson
Assemblymember Reginald Jones-Sawyer
Assemblymember Tom Lackey
Assemblymember Evan Low
Assemblymember Devon Mathis
Assemblymember Sharon Quirk-Silva
Assemblymember James Ramos
Assemblymember Robert Rivas
Assemblymember Blanca Rubio
Assemblymember Rudy Salas
Assemblymember Thurston "Smitty" Smith
I have increased the size of the committee from 21 to 22 members.

Health

Assemblymember Jim Wood, Chair
Assemblymember Chad Mayes, Vice Chair
Assemblymember Cecilia Aguiar-Curry
Assemblymember Frank Bigelow
Assemblymember Rob Bonta
Assemblymember Autumn Burke
Assemblymember Wendy Carrillo
Assemblymember Heath Flora
Assemblymember Brian Maienschein
Assemblymember Kevin McCarty
Assemblymember Adrin Nazarian
Assemblymember Luz Rivas
Assemblymember Freddie Rodriguez
Assemblymember Miguel Santiago
Assemblymember Marie Waldron

Higher Education

Assemblymember Jose Medina, Chair
Assemblymember Steven Choi, Vice Chair
Assemblymember Joaquin Arambula
Assemblymember Richard Bloom
Assemblymember Jesse Gabriel
Assemblymember Jacqui Irwin
Assemblymember Kevin Kiley
Assemblymember Marc Levine
Assemblymember Evan Low
Assemblymember Miguel Santiago

Higher Education (continued)

Assemblymember Suzette Valladares
Assemblymember Shirley Weber

Housing and Community Development

Assemblymember David Chiu, Chair
Assemblymember Kelly Seyarto, Vice Chair
Assemblymember Jesse Gabriel
Assemblymember Ash Kalra
Assemblymember Kevin Kiley
Assemblymember Brian Maienschein
Assemblymember Sharon Quirk-Silva
Assemblymember Buffy Wicks

Human Services

Assemblymember Lisa Calderon, Chair
Assemblymember Janet Nguyen, Vice Chair
Assemblymember Joaquin Arambula
Assemblymember Steven Choi
Assemblymember Mike Gipson
Assemblymember Mark Stone
Assemblymember Carlos Villapudua
Assemblymember Christopher Ward

Insurance

Assemblymember Tom Daly, Chair
Assemblymember Chad Mayes, Vice Chair
Assemblymember Marc Berman
Assemblymember Frank Bigelow
Assemblymember Phillip Chen
Assemblymember Ken Cooley
Assemblymember Jim Cooper
Assemblymember Jim Frazier
Assemblymember Mike Gipson
Assemblymember Timothy Grayson
Assemblymember Sydney Kamlager
Assemblymember Freddie Rodriguez
Assemblymember Randy Voepel
Assemblymember Jim Wood

Jobs, Economic Development, and the Economy

Assemblymember Sabrina Cervantes, Chair
Assemblymember Jordan Cunningham, Vice Chair
Assemblymember Tasha Boerner Horvath
Assemblymember Ed Chau
Assemblymember Sharon Quirk-Silva

Jobs, Economic Development, and the Economy (continued)

Assemblymember James Ramos
Assemblymember Thurston “Smitty” Smith

Judiciary

Assemblymember Mark Stone, Chair
Assemblymember James Gallagher, Vice Chair
Assemblymember Ed Chau
Assemblymember David Chiu
Assemblymember Laurie Davies
Assemblymember Lorena Gonzalez
Assemblymember Chris Holden
Assemblymember Ash Kalra
Assemblymember Kevin Kiley
Assemblymember Brian Maienschein
Assemblymember Eloise Reyes

Labor and Employment

Assemblymember Ash Kalra, Chair
Assemblymember Heath Flora, Vice Chair
Assemblymember Lorena Gonzalez
Assemblymember Reginald Jones-Sawyer
Assemblymember Eloise Reyes
Assemblymember Kelly Seyarto
Assemblymember Christopher Ward

Local Government

Assemblymember Cecilia Aguiar-Curry, Chair
Assemblymember Tom Lackey, Vice Chair
Assemblymember Richard Bloom
Assemblymember Tasha Boerner Horvath
Assemblymember James Ramos
Assemblymember Luz Rivas
Assemblymember Robert Rivas
Assemblymember Randy Voepel

Military and Veterans Affairs

Assemblymember Jacqui Irwin, Chair
Assemblymember Randy Voepel, Vice Chair
Assemblymember Tasha Boerner Horvath
Assemblymember Tom Daly
Assemblymember Jim Frazier
Assemblymember Devon Mathis
Assemblymember Al Muratsuchi
Assemblymember Cottie Petrie-Norris
Assemblymember James Ramos

Military and Veterans Affairs (continued)

Assemblymember Rudy Salas
Assemblymember Thurston “Smitty” Smith

Natural Resources

Assemblymember Luz Rivas, Chair
Assemblymember Heath Flora, Vice Chair
Assemblymember Ed Chau
Assemblymember Laura Friedman
Assemblymember Cristina Garcia
Assemblymember Devon Mathis
Assemblymember Kevin McCarty
Assemblymember Al Muratsuchi
Assemblymember Kelly Seyarto
Assemblymember Mark Stone
Assemblymember Jim Wood

Privacy and Consumer Protection

Assemblymember Ed Chau, Chair
Assemblymember Kevin Kiley, Vice Chair
Assemblymember Rebecca Bauer-Kahan
Assemblymember Steve Bennett
Assemblymember Wendy Carrillo
Assemblymember Jordan Cunningham
Assemblymember Jesse Gabriel
Assemblymember James Gallagher
Assemblymember Jacqui Irwin
Assemblymember Alex Lee
Assemblymember Buffy Wicks

Public Employment and Retirement

Assemblymember Jim Cooper, Chair
Assemblymember Randy Voepel, Vice Chair
Assemblymember Lisa Calderon
Assemblymember Sabrina Cervantes
Assemblymember Ken Cooley
Assemblymember Patrick O'Donnell
Assemblymember Kelly Seyarto

Public Safety

Assemblymember Reginald Jones-Sawyer, Chair
Assemblymember Tom Lackey, Vice Chair
Assemblymember Rebecca Bauer-Kahan
Assemblymember Sydney Kamlager
Assemblymember Bill Quirk

Public Safety (continued)

Assemblymember Miguel Santiago
Assemblymember Kelly Seyarto
Assemblymember Buffy Wicks

Revenue and Taxation

Assemblymember Autumn Burke, Chair
Assemblymember Janet Nguyen, Vice Chair
Assemblymember Adam Gray
Assemblymember Timothy Grayson
Assemblymember Marc Levine
Assemblymember Chad Mayes
Assemblymember Kevin Mullin
Assemblymember Cottie Petrie-Norris
Assemblymember Bill Quirk
Assemblymember Luz Rivas
Assemblymember Kelly Seyarto

Rules

Assemblymember Ken Cooley, Chair
Assemblymember Jordan Cunningham, Vice Chair
Assemblymember Steve Bennett
Assemblymember Heath Flora
Assemblymember Mike Gipson
Assemblymember Sydney Kamlager
Assemblymember Alex Lee
Assemblymember Marc Levine
Assemblymember Brian Maienschein
Assemblymember Devon Mathis
Assemblymember James Ramos
Assemblymember Carlos Villapudua
Assemblymember Blanca Rubio, Democratic Alternate
Assemblymember Suzette Valladares, Republican Alternate

Transportation

Assemblymember Laura Friedman, Chair
Assemblymember Vince Fong, Vice Chair
Assemblymember Marc Berman
Assemblymember Jordan Cunningham
Assemblymember Tom Daly
Assemblymember Laurie Davies
Assemblymember Mike Gipson
Assemblymember Ash Kalra
Assemblymember Alex Lee
Assemblymember Jose Medina
Assemblymember Adrin Nazarian

Transportation (continued)

Assemblymember Janet Nguyen
Assemblymember Patrick O'Donnell
Assemblymember Christopher Ward
Assemblymember Buffy Wicks

Utilities and Energy

Assemblymember Chris Holden, Chair
Assemblymember Jim Patterson, Vice Chair
Assemblymember Rebecca Bauer-Kahan
Assemblymember Autumn Burke
Assemblymember Wendy Carrillo
Assemblymember Phillip Chen
Assemblymember Jordan Cunningham
Assemblymember Cristina Garcia
Assemblymember Eduardo Garcia
Assemblymember Chad Mayes
Assemblymember Al Muratsuchi
Assemblymember Bill Quirk
Assemblymember Eloise Reyes
Assemblymember Miguel Santiago
Assemblymember Phil Ting

Water, Parks, and Wildlife

Assemblymember Eduardo Garcia, Chair
Assemblymember Megan Dahle, Vice Chair
Assemblymember Steve Bennett
Assemblymember Frank Bigelow
Assemblymember Laura Friedman
Assemblymember Cristina Garcia
Assemblymember Ash Kalra
Assemblymember Marc Levine
Assemblymember Al Muratsuchi
Assemblymember Janet Nguyen
Assemblymember Blanca Rubio
Assemblymember Rudy Salas
Assemblymember Thurston "Smitty" Smith
Assemblymember Carlos Villapudua
Assemblymember Christopher Ward
I have increased the size of the committee from 14 to 15 members.

Joint Legislative Audit

Assemblymember Rudy Salas, Chair
Assemblymember Tasha Boerner Horvath
Assemblymember Kevin Kiley
Assemblymember Jim Patterson

Joint Legislative Audit (continued)

Assemblymember Blanca Rubio
Assemblymember Randy Voepel
Assemblymember Jim Wood

Joint Legislative Budget

Assemblymember Phil Ting, Vice Chair
Assemblymember Joaquin Arambula
Assemblymember Richard Bloom
Assemblymember Vince Fong
Assemblymember Kevin Kiley
Assemblymember Kevin McCarty
Assemblymember Luz Rivas
Assemblymember Shirley Weber

Legislative Ethics

Assemblymember Buffy Wicks, Co-Chair
Assemblymember Jordan Cunningham, Co-Chair
Assemblymember Marc Berman
Assemblymember Steven Choi
Assemblymember Heath Flora
Assemblymember Eloise Reyes

Sincerely,



ANTHONY RENDON
Speaker of the Assembly