



**Modernization Program
Peninsula Corridor Electrification Project
(PCEP)**



**2nd Quarter FY 2016
Progress Report**

December 31, 2015

Peninsula Corridor Electrification Project
DRAFT Monthly Report

Funding Partners



FTA Core Capacity
FTA Section 5307/5337 (Environmental /
Pre Development only)
FTA Section 5307/5337 (EMU only)



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



Prop 1A
High Speed Rail Cap and Trade



Carl Moyer Fund



RM2
RM1
Bridge Tolls



SFCTA



San Mateo (SMCTA) Contribution
SMCTA Measure A



VTA Measure A
Santa Clara (VTA) Contribution



San Francisco Contribution

Peninsula Corridor Electrification Project
2nd Quarter FY 2016 Progress Report

Table of Contents

1.0	PREFACE	1
2.0	EXECUTIVE SUMMARY	3
3.0	ELECTRIFICATION	4
4.0	ELECTRIC MULTIPLE UNITS	4
5.0	TUNNEL NOTCHING	5
6.0	CENTRAL EQUIPMENT MAINTENANCE AND OPERATIONS FACILITY MODIFICATIONS FOR EMUS	5
7.0	ENVIRONMENTAL STATUS	5
8.0	SCHEDULE STATUS	6
9.0	CONTRACT STATUS	7
10.0	FUNDING STATUS	10
11.0	COST STATUS AND EXPENDITURES TO DATE	12
12.0	PROGRAM ISSUES	13
13.0	COMMUNITY RELATIONS AND OUTREACH	13
14.0	UTILITIES	15
15.0	REAL ESTATE STATUS	15
16.0	LABOR STATISTICS	16
17.0	SAFETY STATUS	16
18.0	QUALITY STATUS	16
19.0	PROGRAM RISK MANAGEMENT	16

List of Tables

Table 8-1	Schedule Status	7
Table 9-1	WD/PO Awards & Amendments Issued	8
Table 9-2	WD/PO Awards & Amendments Upcoming	8
Table 10-1	Funding To Date Summary	10
Table 11-1	Cost and Expenditure Summary	12
Table 15-1	Overview Property Status	15

Peninsula Corridor Electrification Project
DRAFT Monthly Report

Table 19-1 Summary of Risks18

List of Figures

Figure 10-1 Funding Plan.....11

List of Appendices

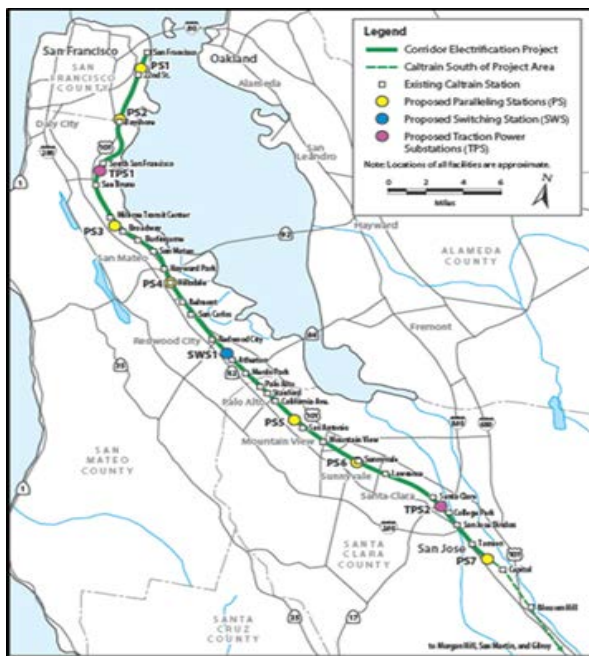
Appendix A– Acronyms.....20
Appendix B - Schedule.....23

1.0 PREFACE

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 2020, will electrify and upgrade the performance, operating efficiency, capacity, safety, and reliability of Caltrain's commuter rail service.

The Peninsula Corridor Electrification Project (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 San Francisco Station (at the intersection of Fourth and King Streets in San Francisco) and Tamien Station in San Jose. The project will entail the installation of new electrical infrastructure and the purchase of electrified vehicles. Caltrain will continue Gilroy service and support existing tenants.

An electrified Caltrain will better address Peninsula commuters' vision of an environmentally friendly, fast, 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 is not only good for our regional air quality, but will also help meet the State's emission reduction goals.

An electrified Caltrain system would set the stage for an enhanced, modern commuter rail service and for future blended California High-Speed Rail (CHSR) service. While this project will not include or study all infrastructure necessary to implement high-speed rail service on the corridor (such as CHSR maintenance facilities, station improvements, or passing tracks), the electrical infrastructure (such as overhead wire systems) will be compatible with later blended service.

Peninsula Corridor Electrification Project
2nd Quarter FY 2016 Progress Report

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2.0 EXECUTIVE SUMMARY

During the quarter the PCEP team continued to progress the program. Through the second quarter of FY16 responses to the Electrification RFP were reviewed and scored by the evaluation committee. The Best Value combination, 60% technical and 40% price, provided a ranking that resulted in the establishment of a short list of the three Best Value proposers. Discussions were held with short listed proposers to understand their concerns and cost drivers to assist in preparation for the issuance of an addendum requesting a Best and Final Offer (BAFO). The addendum was issued in December with proposals due in February 26 2016.

As part of the initial steps in procurement of Electric Multiple Units, PCEP conducted EMU RFP Pre-Proposal Conference and Site Visit to the vehicle maintenance facility the first week of October. During the quarter five addendums to the EMU RFP were issued with responses to the RFP due February, 2016. The project team continues to work with California High Speed Rail Authority (CHSRA) to identify and reconcile interface issues. As part of PCEP cost containment efforts PCEP contacted Amtrak with interest in purchasing several of its AEM-7 locomotives for use as test trains and backup.

The Tunnel Notching project continued in the preliminary design phase. Progress was made during discussions to include, as an option, the tunnel construction contract to Caltrain Tunnel 1 and Tunnel 4 Drainage Rehab Project. The Central Equipment and Maintenance Operating Facility (CEMOF) modifications design effort was suspended during the quarter. The preliminary design effort proceeded to a stage where detailed information from the EMU manufacturer is required to finalize the design.

During the quarter, one of the traction power facilities sites for paralleling station 7 (PS7) was determined by Caltrans to be unacceptable due to Caltrans officially rejecting the proposed Variant A and Variant B from environmental document for the purpose of their potential future expansion, which caused an addendum to the PCEP FEIR to be prepared and presented to the JPB for adoption in February 2016. The PS7 location is necessary because the 3 options for PS7 analyzed in the PCEP FEIR were no longer viable. The addendum has delayed final confirmation of NEPA by the FTA until the middle of February 2016. This environmental delay will cause Real Estate purchases to also be delayed to remain compliant with FTA criteria.

The project team is in the process of evaluating the delays in conjunction with responses to the electrification and EMU RFPs. The project team anticipates issuing a revised schedule after the issues are finalized in the spring of 2016.

The project team continued to meet with members of the nine party MOU to keep them informed of progress and issues. Negotiations with individual members continued as part of the process to secure funding agreed to in the MOU. In addition, PCEP applied for a \$447M Core Capacity Grant at the end of the last quarter. PCEP has had positive interactions with the FTA and began meeting on a monthly basis.

3.0 ELECTRIFICATION

The project team continued to work through the procurement steps in response to the August 2015 responses to the Electrification RFP. Through the quarter the responses to the Electrification RFP were reviewed and scored by the evaluation committee. The ten (10) member evaluation committee included representatives from SFMTA, VTA, and CHSRA while observers to the final scoring were representatives of our other funding partners. The Best Value combination, 60% technical and 40% price, provided a ranking that resulted in the determination of a short list of the three Best Value proposers. Discussions were held with short listed proposers to understand their concerns and underlying cost drivers to prepare for the issuance of an addendum requesting a Best and Final Offer (BAFO). The addendum was issued in December 2015 with questions from the short listed BAFO proposers expected in January 2016. The BAFO Design-Build (D-B) RFP proposal responses are due in February 2016. The start of construction has been delayed with a new start date to be determined after reception and evaluation of the BAFO.

Ongoing discussions and consultations with PG&E on Power Quality study to determine scope and necessary infrastructure to support Caltrain loads for the Electrification is temporarily on hold as the project team works to resolve outstanding questions with PG&E.

The project team continued to provide technical support for on-going coordination efforts with third party jurisdictions such as California Public Utility Commission (CPUC) and local cities. Agreements for all local jurisdictions were distributed during the reporting period and project team will support upcoming meetings with the cities and counties on an as needed basis.

The base operating system for Caltrain Operations and Control is the ROCS system. If a different system for control of the electrification were to be chosen, a major integration effort between two different systems would be required, thus increasing cost and overall risk to the program. To reduce the risk due to the major integration effort necessary between two different systems, consideration of on-going maintenance in the future and a technical evaluation, the project team recommended the system be implemented by the provider of the existing ROCS system, including the integrated components of CBOSS PTC. In December, the project team requested and received a positive legal opinion on the approach to source sole procurement for the system.

4.0 ELECTRIC MULTIPLE UNITS

The project team continues to work with CHSRA to identify and reconcile multiple technical integration/interface items. Several other technical items are being discussed at the regular monthly review meetings between PCEP project team and CHSRA representatives.

The project team has continued discussions with Amtrak's interest in selling several of its AEM-7 locomotives to Caltrain. These locomotives will be used for testing the electrification system and will serve as back up. In its May 2015 response letter, Amtrak noted that it would wait to put the AEM-7 units up for sale until acceptance of the new Siemens locomotives is complete. In their initial letter the target date for acceptance of the new locomotives had been indicated to be December 1, 2015, however the overall

delivery of the new locomotives to Amtrak by Siemens has been delayed resulting in the sale date of their locomotives to be moved out to March 1, 2016.

The PCEP project team continued participation with all Caltrain departments in follow-up ITS workshops covering EMU technology and associated wayside requirements for full implementation of these technologies. Meetings with Caltrain Operations and IT were conducted and follow-up actions were taken that involved participation from both Operations and the EMU Team that affected both the EMU and Design-Build contracts. Future meetings will be coordinated to bring remaining items to closure.

Caltrain received a letter on October 6, 2015 from the Federal Railway Administration (FRA) acknowledging receipt of Caltrain's request to renew, and amend a waiver of compliance from specific provisions, of 49 Code of Federal Regulations (CFR) 238, Passenger Equipment Safety Standards. Approval was provided from FRA to the expended waiver request in November 2015.

5.0 TUNNEL NOTCHING

Tunnel notching will be required on the four tunnels located in San Francisco. This is required to accommodate the required clearance for the overhead catenary system to support the electrification of the corridor. The PCEP project team continued work on preliminary design for the Tunnel Modification including design plans and specification, construction schedule, construction estimate and overall constructability of the project. Preliminary cost estimate and construction schedules were submitted for review to the project team and Caltrain Engineering and Construction. Work continues on the overall constructability of the project including a review of the necessary weekend shutdowns of Caltrain operation required to complete the project.

Caltrain Engineering and Construction group has requested PCEP project team to manage completion of design and construction management for Tunnel 1 and Tunnel 4 Drainage Rehab Project. This project is separate and distinct from the PCEP electrification project and would have its own budget and funding source. The Tunnel Modifications and Tunnel 1 and 4 Drainage Rehab Project contract will be included in a separate comprehensive Design-Bid-Build package for coordination and cost reduction. This project will not be a part of the Electrification D-B contract.

6.0 CENTRAL EQUIPMENT MAINTENANCE AND OPERATIONS FACILITY MODIFICATIONS FOR EMUS

The design package for CEMOF has been suspended and will resume when a car body around which all maintenance platforms will be designed is selected. Resumption of further design will be after the award of an EMU contract.

7.0 ENVIRONMENTAL STATUS

NEPA: The FTA issued a Finding of No Significant Impact (FONSI) in 2009. FTA and CalMod planning staff have continued to coordinate regarding the FTA re-evaluation of the 2009 FONSI. Prior to the conclusion of the re-evaluation process, Section 106 and Section 7 Federal consultation processes must be completed. This is expected to be completed the winter 2016.

CEQA: An additional location for one of the traction power facilities PS7 is being analyzed. The PS 7 location is no longer viable due to the shortening of the project limits. Shortening the project limits meant that the PS-7 location was outside of the project limits. An addendum to the PCEP FEIR will be prepared and presented to the JPB for adoption.

Permit Activity:

- Section 106 National Historic Preservation Act (NHPA) process has concluded.
- Section 7 of the Endangered Species Act (ESA) process has concluded.
- The target completion date for completing the United States Army Corps of Engineers, (USACE), San Francisco Regional Water Quality Control Board, (SFRWQCB), California Department of Fish and Wildlife, (CDFW) and the San Francisco Bay Conservation Development Commission, (SF BCDC) is March 2016.

PCEP Mitigation Program: The JPB has prepared a Mitigation Monitoring and Reporting Program (MMRP) to ensure that mitigation measures identified in the PCEP EIR are fully implemented during project implementation. The JPB will implement the mitigation measures through its own actions, those of the design-build contractor and actions taken in cooperation with other agencies and entities.

Comprehensive Agreements: The purpose of the comprehensive agreements are to memorialize the parties' consultation and cooperation, designate their respective rights and obligations and ensure cooperation between the JPB and the cities and counties in connection with the design and construction of the PCEP. A comprehensive agreement is planned for each of the 17 cities and three counties along the Caltrain ROW, within the PCEP limits. The target date for executing all of the comprehensive agreements is spring 2016.

8.0 SCHEDULE STATUS

Award of the Electrification contract is anticipated in the Summer/Fall 2016. Award of the EMU contract is to be determined (TBD). Electrification and EMU activity has been filtered out of the Master Program Schedule pending further analysis. This analysis is due to two reasons: (one) the slip to Electrification and EMU contract awards from November 2015 and January 2016, respectively, and; (two) the impact of changes that have been made to the RFPs via addendum.

A Critical Path analysis will be shown after the evaluation of the impacts to the Electrification and EMU efforts is complete.

A summary of the overall schedule status for the PCEP is provided in Table 8-1 below.

Table 8-1 Schedule Status

MILESTONES	PROGRAM PLAN	LAST QUARTER	THIS QUARTER
NEPA Reevaluation	08/31/2015	10/30/2015	02/15/2016
EMU Proposals Due	05/04/2015	12/18/2015	02/17/2016
Electrification BAFO Proposals Due	N/A	N/A	02/26/2016
Request Entry into Engineering	N/A	N/A	04/01/2016

9.0 CONTRACT STATUS

Contract Activity:

- Real estate contracts were approved by the JPB Board in November.

Invitation for Bids/RFQ/RFP Advertised this Quarter:

- EMU RFP - Pre-Proposal Meeting in San Carlos and Site Visit to the central maintenance facility was attended by carbuilders and manufacturers on October 6, 2015 at the District office and CEMOF facility.

Bids/Qualifications/Proposals Received this Quarter:

- Electrification Design-Build RFP follow up meetings with the short listed firms was held October 20, 2015
- Electrification - BAFO Addendum No. 1 & Q&A No. 1 issued December 18, 2015 to the short listed Design-Build Teams

Upcoming Bids/Qualifications/Proposals:

- Electrification – Addendum No. 2 & Q&A No. 2 - Work in progress
- Electrification – BAFO Proposals due February 26, 2016
- EMU – Addendum No. 6 & 7 - Work in progress. Q&A No. 3 Work in progress

Work Directive/Purchase Order Awards and Amendments:

Table 9-1 shows Work Directive/Purchase Order awards and amendments issued during the reporting period.

Peninsula Corridor Electrification Project
2nd Quarter FY 2016 Progress Report

Table 9-1 WD/PO Awards & Amendments Issued

Work Directive No.	Task Description	WDPO Date	Firm	Cost
8071	EMU Consultant Service	10/1/2015	LTK	\$611,943.00
8086	Electrification Support	10/1/2015	GFI	\$1,585,240.41
8091	PM Services	10/1/2015	AECOM/URS	\$1,136,516.00
8298	PG& System Impact Study	10/1/2015	PG&E	\$150,000.00
8296	Rent – San Mateo Office	10/2/2015	NC 2121 SEC Ventures LLC	\$165,688.80
8297	Parking – San Mateo Office	10/2/2015	NC 2121 SEC Ventures LLC	\$1,200.00
8299	IT App Support	11/1/2015	COMPUCOM	\$24,559.92
7785A	Tunnel Modification	11/20/2015	Gannett Fleming	\$882,369.32
7806A	Utility & ROW Survey	11/20/2015	Gannett Fleming	\$202,368.96
7693A	EIP Vehicle Consultant	11/20/2015	AECOM/URS	\$184,964.00
7405A	Outreach Support	11/23/2015	Fehr & Peers	\$100,000.00
8323A	PRISM Software	12/27/2015	Ares Prism	\$97,560.00
7692XX	Onsite Services - Signals	12/28/2015	Xorail	\$3,000.00

Table 9-2 shows Work Directive/Purchase Order awards and amendments to be issued for the 3rd and 4th Quarters of FY16.

Table 9-2 WD/PO Awards & Amendments Upcoming

Work Directive No.	Task Description	Firm	Cost (Thousands)
5490B	System Safety (January – June, 2016)	B&G	\$142
7806A3	ROW Survey	GFI	\$536
7966	TASI Foreman/Flagman	TASI	\$108
8091A2	PM Services (January – March, 2016)	AECOM/URS	\$1,124
8091A3	PM Services (April – June, 2016)	AECOM/URS	\$1,045

Peninsula Corridor Electrification Project
2nd Quarter FY 2016 Progress Report

Work Directive No.	Task Description	Firm	Cost (Thousands)
8173	Tree Mitigation	ICF	\$271
8008	Transportation Consultant	Burns	\$32
8071A1	EMU Vehicle Support (January – March, 2016)	LTK	\$320
8071A2	EMU Vehicle Support (April - June, 2016)	LTK	\$320
8075	EIP Vehicle Support (L. Welch) (January – March, 2016)	AECOM/URS	\$118
8075A1	EIP Vehicle Support (L. Welch) (April - June, 2016)	AECOM/URS	\$111
8086A1	Electrification Support (January – March, 2016)	GFI	\$1,210
8086A2	Electrification Support (January – March, 2016)	GFI	\$1,210
8278A1	EIP Delivery Director (January – March, 2016)	DCI	\$138
8278A2	EIP Delivery Director (April – June, 2016)	DCI	\$138
8299A1	IT Support (January – March, 2016)	CompuCom	\$36
8299A2	IT Support (April – June, 2016)	CompuCom	\$36
8337	PG&E 115kV Design	PG&E	\$800
8165	Real Estate Appraisal/Specialist	TBD	\$53
8166	Real Estate Appraisal/Specialist	TBD	\$80
TBD	Real Estate Transaction Cost	Consultant	\$58

10.0 FUNDING STATUS

In July PCEP began providing documentation to the Federal Transit Administration (FTA) and on September 29, 2015 PCEP submitted the remaining documents in support of a Core Capacity grant application for \$447M. PCEP continued through the quarter providing the FTA and PMOC with additional documentation for their review as part of a future authorization to move from the Project Development phase into the Engineering Phase.

The FTA appointed a Project Management Oversight Consultant (PMOC) and the PCEP project team has begun regular meetings with them to enhance cooperation and ensure smooth lines of communications. The coordination meetings with the PMOC are scheduled monthly with the purpose of reviewing the status of the project. These regular meetings have also been the venue to discuss the various documents that are required for submission to FTA for full review and to achieve the Entry into Engineering milestone.

The PCEP project team's grants staff finalized a funding agreement with the Bay Area Air Quality Management District (BAAQMD) for a \$20M Carl Moyer grant. Negotiations continue during the quarter with the San Francisco Municipal Transportation Agency (SFMTA) for \$39M in general obligation bond funds.

The funding from SFMTA and BAAQMD is included in the nine-party funding Memorandum of Understanding (MOU). The \$39M from SFMTA is included in the City and County of San Francisco's \$60M obligation to the project. Approximately \$21M has already been provided by the San Francisco County Transportation Authority (SFCTA).

Negotiations continue with California High Speed Rail Authority regarding oversight and technical issues. These negotiations are in support of finalizing the CHSRA's \$600M grant which is included in the nine-party funding Memorandum of Understanding (MOU).

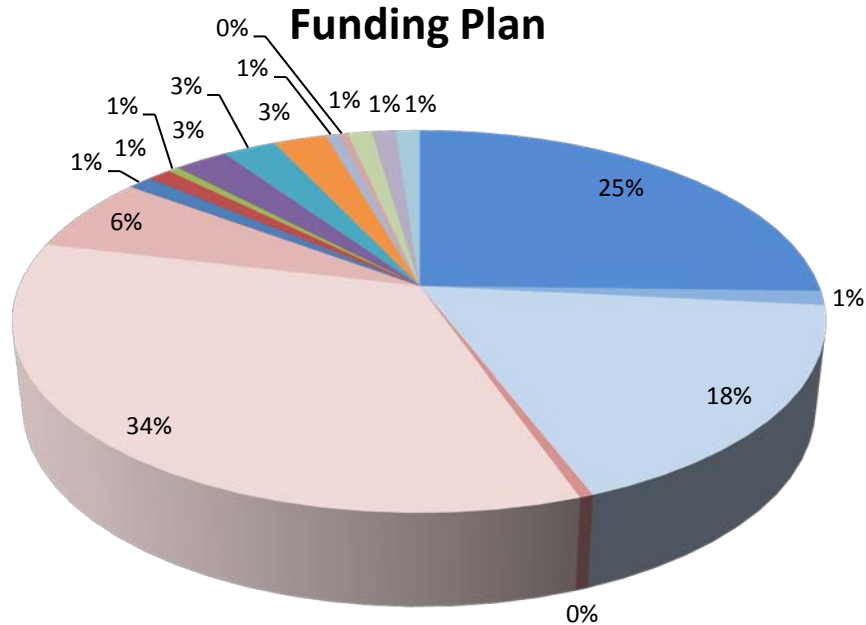
Table 10-1 presents a summary of JPB Board approved funding to date.

Table 10-1 Funding To Date Summary

Source	Board Approved Funding	Available	Unavailable
Federal	\$24,911,583	\$24,905,089	\$6,494
State	\$7,930,000	\$7,930,000	\$0
Local	\$38,907,803	\$38,889,179	\$18,624
Other	\$119,150,027	\$3,240,000	\$115,910,027
Total	\$190,899,413	\$74,964,268	\$115,935,145

Figure 10-1 shows the percentage of contributions from the various sources that comprise the total \$1.758B funding plan.

Figure 10-1 Funding Plan



- FTA Core Capacity
- FTA Section 5307/5337 (Environmental / Pre Development only)
- FTA Section 5307/5337 (EMU only)
- Prop 1B (Public Transportation Modernization & Improvement Account)
- Prop 1A
- High Speed Rail Cap and Trade
- Carl Moyer
- RM2
- RM1
- SFCTA
- SMCTA Measure A
- VTA Measure A
- Bridge Tolls
- Caltrain Low Carbon Transit Operations Cap and Trade
- Santa Clara (VTA) Contribution
- San Francisco Contribution
- San Mateo (SMCTA) Contribution

Peninsula Corridor Electrification Project
2nd Quarter FY 2016 Progress Report

11.0 COST STATUS AND EXPENDITURES TO DATE

A summary of the overall cost status for the PCEP is provided in Table 11-1 below.

Table 11-1 Cost and Expenditure Summary

	Baseline Budget ⁽¹⁾	Current Budget/EAC	Committed ⁽²⁾	Incurred-to-Date ⁽²⁾
Electrification	\$565,903,563	\$565,903,563	\$497,378	\$497,378
EMU	\$462,248,000	\$462,248,000	\$0	\$0
Tunnel Notching	\$14,108,500	\$14,108,500	\$0	\$0
CEMOF Modifications	\$1,344,000	\$1,344,000	\$0	\$0
Real Estate	\$26,885,586	\$26,885,586	\$3,687,833	\$2,827,532
Private Utilities	\$10,530,000	\$10,530,000	\$4,458,027	\$1,824,420
Project / Design / Construction Management Support	\$166,824,489	\$166,824,489	\$69,702,429	\$64,943,610
TASI Support	\$55,515,084	\$55,515,084	\$246,419	\$246,419
RRP Insurance	\$5,833,864	\$5,833,864	\$0	\$0
Environmental Mitigations	\$17,686,958	\$17,686,958	\$0	\$0
Required Projects	\$19,508,500	\$19,508,500	\$0	\$0
Maintenance Training	\$1,021,808	\$1,021,808	\$0	\$0
Finance Charges	\$5,110,000	\$5,110,000	\$0	\$0
Contingency	\$405,756,105	\$405,756,105	\$0	\$0
Owner's Reserve	\$0	\$0	\$0	\$0
Total	\$1,758,276,457	\$1,758,276,457	\$74,904,254	\$70,339,359

Notes:

1. The budget was re-baselined on September 28, 2015 at the time of the Core Capacity Grant application.
2. Based on the status of the PeopleSoft 9.1 data available, the above table is an estimate of the current cost.

12.0 PROGRAM ISSUES

- **Issue:** The base operating system for Caltrain Operations and Control is the Aeronautical Radio, Inc. (ARINC) Advanced Information Management (AIM) Rail Operations Center System (ROCS) system for control of the electrification equipment were chosen; a major integration between two different systems would be necessary.
 - **Action:** The AIM system has a module that is available for installation and activation that would not require integration and would allow for future upgrades without reworking the interface with a different system. It would also eliminate the need for two maintenance contracts and would eliminate program schedule impacts if a different system were chosen. A legal opinion was received that sole source procurement was acceptable for this contract. Following negotiation the contract will be presented to the Board for approval.

- **Issue:** Final results of the Power System study show significant design and construction work is required for PG&E to support Caltrain loads. This PG&E work could potentially have an impact on the construction schedule of the design build contractor. However, alternative power supply connections are under discussion with PG&E to mitigate any delay.
 - **Action:** The work for PG&E is on hold until finalization of the contract. After finalization of the overall scope and terms and conditions, the project team will begin coordination and discussion on the specifics of the study, scope and timing of deliverables.

13.0 COMMUNITY RELATIONS AND OUTREACH

Activity This Quarter:

- Table at Bayshore Multi-Modal Facility Location Study Public Meeting
- Table at High-Speed Rail (HSR) Blended System Open House in Burlingame
- Electronic-Update to City/County Staff Coordinating Group and Local Policy Maker Group
- Electronic-Update to the Peninsula Corridor Electrification Working Group
- Meeting with the Menlo Park Chamber
- Meeting with Metropolitan Transportation Commission (MTC) staff about Legislative Priorities
- Meeting at Millbrae City Council re: Approval of Agreement
- Presentation at America Public Transportation Association Annual Conference
 - Innovative Ideas for the Bay Area
 - First Mile-Last Mile Creating a Complete trip
- Presentation at San Mateo County Economic Development Association (SAMCEDA) Housing and Transportation Committee

Peninsula Corridor Electrification Project
2nd Quarter FY 2016 Progress Report

- Presentation at CEMOF Citizen Advisory Group
- Presentation at the Redwood City / San Mateo County Chamber
- Presentation at Beresford Hillsdale Neighborhood Association
- Presentation at SAMCEDA Housing and Transportation Committee
- Quarterly call with staff delegation staff
- Quarterly call with federal delegation staff
- Meeting with Friends of Caltrain

Board Actions

On October 1, 2015, the Caltrain Board took action on one item related to the PCEP.

- The PCEP will require connection and support infrastructure from PG&E to implement the project. The Board approved execution of an Agreement to memorialize the parties' consultation and cooperation, designate their respective rights and obligations, and ensure cooperation between the JPB and PG&E in the next phase of work for the PCEP.

On November 5, 2015, the Caltrain Board received one informational item and took action on one item related to the PCEP.

- The city and county of San Francisco (CCSF) is providing a \$60 million contribution to the CalMod Program under the CalMod nine-party regional funding Memorandum of Understanding (MOU). The CCSF contribution consists of up to \$39 million from General Obligation (GO) Bond proceeds for both CBOSS/PTC and PCEP. The remaining balance of CCSF's contribution, approximately \$21 million, was provided by the San Francisco County Transportation Authority (SFCTA) and was included in prior year Caltrain capital budgets.

No PCEP actions were taken at the Caltrain Board meeting on December 3, 2015.

14.0 UTILITIES

The project team completed review of the PG&E System Power study and continued work on the Power Quality study to determine transmission capacity to support Caltrain loads for the Electrification component of the project. Review with PG&E in support of overhead utility relocations in all segments of the project is work that is on hold until the agreement with PG&E is finalized.

Utility Coordination meetings were held during the quarter with all Telecom carriers within the JPB ROW. The meetings introduced the carriers to the project and identify all known and documented overhead utility crossing either laterally or running parallel within the ROW. These meetings starting early next quarter will be held monthly to continue the identification and relocation of overhead utilities, which do not meet the requirements of CPUC’s Electrification rules.

15.0 REAL ESTATE STATUS

The PCEP project team continued production of appraisal maps, plats and legal descriptions in support of the ROW acquisition efforts for segments 1, 2, and 3. Offer packages are being prepared in preparation of the ROW acquisition for segment 4 as the NEPA process is expected to be complete by mid-February 2016.

The team is continuing work on Phase II environmental investigations in support of ROW acquisition efforts. Hazardous materials Phase II studies will be determined based on the Phase 1 results in support of ROW segment 4 acquisition efforts. Development of Phase I draft reports for segments 1, 2 and 3 will continue through the end of 2016.

The project team completed evaluation of proposals for new professional services contracts to provide real estate services including: appraisals, review of appraisals and real estate acquisition, relocation assistances, loss of business goodwill and furniture, fixtures and equipment assessment support services. At the November Board meeting the professional services contracts were approved.

Table 15-1 provides an overview of property status.

Table 15-1 Overview Property Status

Segment	Appraisal Packages ⁽¹⁾	Appraisals Completed	Acquisition Offers	Public Permits/Easements Cities/Caltrans Needed / Obtained	
Segment 4	19	14	0	9	0
Segment 2	29	0	0	6	0
Segment 1	TBD	0	0	TBD	0
Segment 3	TBD	0	0	TBD	0
Total	48	14	0	15	0

Notes:

1. Appraisal Packages include Plat Map, Legal Description and Appraisal Map.

16.0 LABOR STATISTICS

Contractors have not been selected, and, as a result, no construction labor has been performed. Labor statistics will be reported after construction has commenced.

17.0 SAFETY STATUS

- Seven (7) of the twenty-four (24) safety tasks identified in the PCEP Safety and Security Management Plan (SSPM), including Preliminary Hazard Analysis (PHA), Threat & Vulnerability Assessment (TVA) were completed, and the Safety and Security Certification Plan (SSCP) project required documents were completed during the reporting period. These tasks were finalized in close coordination and support of the Director of Safety & Security.
- The Project team is in the process of developing a project specific Hazard Management Plan as a means to provide additional guidance in addressing project hazards consistent with the Caltrain System Safety Program Plan (SSPP) hazard management element processes.
- The remaining designated SSMP safety and security tasks are scheduled to be completed in later in coordination with the selected D-B contractor.
- Project safety staff continues to coordinate with the JPB Safety Director to provide open dialogue between PCEP regarding project updates, review project document deliverables, and initiated changes as directed.

18.0 QUALITY STATUS

Quality Management continues to coordinate with the project team via training, audits and technical support

Activity this Quarter

- Issued no Non Conformance Reports (NCRs) during the reporting period
- Performed four scheduled Quality Audits during the reporting period
- The single outstanding NCR was successfully closed this reporting period
- Performed QA reviews of PMP sub-plan submittals and monthly reports
- Participated in a “Construction Field Tools” requirements session

19.0 PROGRAM RISK MANAGEMENT

Risk Management continues to actively monitor the Risk Register originally produced in 2014. This active monitoring consists of updating risk descriptions, effects, and mitigations based upon weekly input from risk owners and through a monthly cycle of risk updating based on schedule established in the Risk Identification and Mitigation Plan. An updated risk register is based on decisions made at Risk Assessment Committee meeting. Selected risks are forwarded to risk owners for grading and planning of mitigation measures.

The following are the top 10 risks at the end of the quarter:

- Power upgrades to the PG&E system are required. Power requirements are not finalized and therefore the scope of any upgrades is unknown. The technical issues cannot be finalized until the PG&E agreement is finalized.

- Wayside signal / pole adjustments to avoid sighting distance problems.
- TASI ability to deliver sufficient resources to support construction and testing for the electrification contract.
- Rigid internal processes (SSWP and others) are not all consistent; subject to interpretation; may not be suited for a project of this magnitude.
- JPB is responsible for system Integration/configuration activities (interaction between existing and new systems):
 - Need appropriate agency and contractor staffing in terms of expertise and availability aware of the process and prepared to implement
 - Need a systems (including SCADA) and O&M subject matter expert with knowledge of federal program process. Must have supervisory responsibility over operating staff in order to test and integrate system elements, develop O&M
- Power upgrades to the PG&E system are required. Power requirements are not finalized and therefore the scope of any upgrades is unknown. The technical issues cannot be finalized until the PG&E agreement is finalized.
- Proposing to run new duct bank from Caltrain ROW to proposed TPS1 site which runs under UPRR rails. Requires coordination with UPRR.
- Final commitment to full funding plan by all funding partners is not complete:
 - Parties to Nine-Party MOU have not been approved by respective agency boards
 - FTA Core Capacity FFGA has not been issued
 - Funding agreements with CHSRA are not complete
 - Risk of legal challenges associated with the use of CHSRA funding is high
- Potential delay in UG utility relocation or encountering unidentified utilities. Parallel fiber optic (UPRR) and fuel line must also be accommodated. Fiber optic lines carry long lead times for relocation. Conflicts between existing signal cables and pole locations, particularly in Segment 4.
- JPB does not have authority to condemn. Must go through VTA, SMCTA and SFCTA.
- Agency internal issues including:
 - Key staff vacancies
 - Unfamiliarity with D-B delivery
 - Dealing with multiple prime contracts
 - Resource shortages
 - No delegation of authority
 - Managing TASI

Peninsula Corridor Electrification Project
2nd Quarter FY 2016 Progress Report

Table 19-1 provides insight into the number of risks in each classification and the changes for the previous quarter.

Table 19-1 Summary of Risks

Risk Classification	Original (August 2014)	Last Quarter (ending 9/30/15)	This Quarter (ending 12/31/15)
Significant Risks	5	4	3
High Risks	79	64	58
Low Risks	80	73	64
Subtotal	164	141	125
Retired Risks	35 ¹	71	88
Total Risks	199	212	213

Note:

1. After initial identification 35 risks were deemed to be similar enough with other risks to either be retired or combined with another risk to add additional context.

APPENDICIES

Appendix A - Acronyms

Appendix B - Schedule

Appendix A– Acronyms

AIM	Advanced Information Management	FTA	Federal Transit Administration
ARINC	Aeronautical Radio, Inc.		
BAAQMD	Bay Area Air Quality Management District	GO-26D	General Order 26D
CalMod	Caltrain Modernization Program	ITS	Intelligent Transportation System
CDFW	California Department of Fish and Wildlife	JPB	Peninsula Corridor Joint Powers Board
CEMOF	Centralized Equipment Maintenance and Operations Facility	MMRP	Mitigation, Monitoring, and Reporting Program
CEQA	California Environmental Quality Act (State)	MOU	Memorandum of Understanding
CHSR	California High-Speed Rail	NCR	Non Conformance Report
CIP	Capital Improvement Plan	NEPA	National Environmental Policy Act (Federal)
CPUC	California Public Utilities Commission	NHPA	National Historic Preservation Act
D-B	Design-Build	NMFS	National Marine Fisheries Service
DEMP	Design, Engineering, and Management Planning	NTP	Notice to Proceed
EA	Environmental Assessment	OCS	Overhead Contact System
EAC	Expenditure at Completion	PCEP	Peninsula Corridor Electrification Project
EIR	Environmental Impact Report	PG&E	Pacific Gas and Electric
EMU	Electric Multiple Unit	PHA	Preliminary Hazard Analysis
ESA	Endangered Species Act	QMP	Quality Management Plan
FEIR	Final Environmental Impact Report	QMS	Quality Management System
FONSI	Finding of No Significant Impact	RAMP	Real Estate Acquisition Management Plan
FRA	Federal Railway Administration	RE	Real Estate
		RFP	Request for Proposals
		RFQ	Request for Qualifications

Peninsula Corridor Electrification Project
2nd Quarter FY 2016 Progress Report

ROCS	Rail Operations Center System
ROW	Right-of-Way
RRP	Railroad Protective Liability Insurance
SamTrans	San Mateo County Transit District
SCADA	Supervisory Control and Data Acquisition
SCC	Standard Cost Code
SFBCDC	San Francisco Bay Conservation Development Commission
SFCTA	San Francisco County Transportation Authority
SFMTA	San Francisco Municipal Transportation Authority
SFRWQCB	San Francisco Regional Water Quality Control Board
SOGR	State of Good Repair
TASI	Transit America Services Inc.
TBD	To Be Determined
UPRR	Union Pacific Railroad
USACE	United States Army Corp of Engineers
USFWS	U.S. Fish and Wildlife Service
VTA	Santa Clara Valley Transportation Authority

Appendix B - Schedule