Quarterly Capital Program Status Report
and DBE Status Report

Prepared for the December 1, 2016 Caltrain Meeting

1st Quarter FY2017: July 1, 2016 – September 30, 2016

Peninsula Corridor
Joint Powers Board
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## Caltrain - Capital Program - Budget Status Summary

1st Quarter FY2017 - July 1, 2016 to September 30, 2016

All Costs in $1,000's

<table>
<thead>
<tr>
<th>Programs</th>
<th>FY2012</th>
<th>FY2013</th>
<th>FY2014</th>
<th>FY2015</th>
<th>FY2016</th>
<th>FY2017</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Station and Intermodal Access</td>
<td>$400</td>
<td>$710</td>
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<td>$3,483</td>
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<td>$1,450</td>
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<tr>
<td>2. Right of Way / Signal &amp; Communications</td>
<td>$29,653</td>
<td>$23,054</td>
<td>$46,352</td>
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<td>$40,350</td>
<td>$13,871</td>
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<td>3. Rolling Stock</td>
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<td>$7,000</td>
<td>$2,221</td>
<td>$3,900</td>
<td>$4,000</td>
<td>$6,997</td>
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<td>4. Operational Improvements/Enhancements</td>
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<td>$4,423</td>
<td>$2,271</td>
<td>$2,844</td>
<td>$4,723</td>
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<tr>
<td>5. Others</td>
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<td>$1,990</td>
<td>$2,690</td>
<td>$1,740</td>
<td>$4,220</td>
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<td>6. Caltrain Modification Program</td>
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<td>$9,291</td>
<td>$122,529</td>
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<td>7. Legal Mandates &amp; Required Enhancements</td>
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<td>$0</td>
<td>$117,982</td>
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<td>$3,337</td>
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### Total Board Approved Budget by FY (1)

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<tbody>
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<td>$190,565</td>
<td>$44,555</td>
<td>$217,036</td>
<td>$250,949</td>
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### Total Audited Expenditures by FY (2)

<table>
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</thead>
<tbody>
<tr>
<td>$81,375</td>
<td>$87,385</td>
<td>$111,349</td>
<td>$115,225</td>
<td>(3)</td>
<td>(3)</td>
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</tbody>
</table>

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Some of the major projects completed or in progress include, but are not limited to the following:

- 25th Avenue Grade Separation Project
- Caltrain Right of Way Fencing Project
- Jerrold Avenue Bridge Replacement Project
- Los Gatos Bridge Replacement Project
- Narrow Banding Project
- Quint Street Bridge Project
- Rail Operation Control System (ROCS) Project
- Railroad Communications System Project
- Real Time Transit Information Project - Predictive Arrival/Departure System (PADS)
- San Bruno Grade Separation Project
- San Francisco Bridge Replacement Project
- San Mateo Bridges Rehabilitation Project
- Signal Pre-emption Improvement Project
- South San Francisco Station Improvements Project
- South Terminal and Santa Clara Stations Improvements Project
- Systemwide Signal Rehabilitation Project
- Systemwide Station Rehabilitation Project
- Systemwide Track Rehabilitation Project
- Wayside Power at Diridon Station Project

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Note: (1) The “Total Board Approved Budget by FY” reflects the annual fiscal year capital budget approved by the Caltrain Board. This authorizes the amount that can be spent on projects. Unspent budget in a fiscal year may be carried forward to subsequent budget years.

(2) “Total Audited Expenditures by FY” reflects total cost expended in the fiscal year; funding source for the expenditures could be from prior fiscal years.

(3) Expenditures shown for FY2016 and FY2017 have not yet been audited.
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## TRAFFIC LIGHT REPORT

The following projects represent a sub-set of the total Capital Program and have been selected for inclusion into the Quarterly Report due to project value, operational significance, and/or impact on customers.

<table>
<thead>
<tr>
<th>Project Description</th>
<th>SCOPE</th>
<th>SCHEDULE</th>
<th>BUDGET / COST</th>
<th>HSR IMPACT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Atherton Station Improvements Project (Project On hold)</td>
<td>4</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Broadway Station Improvements Project (Project On hold)</td>
<td>6</td>
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<tr>
<td>Crew Facility Rehab at San Francisco Terminal Project</td>
<td>8</td>
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<td>N/A</td>
<td>N/A</td>
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<tr>
<td>CBOSS/PTC Project</td>
<td>10</td>
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<tr>
<td>Grade Crossing Improvements in Redwood City Project</td>
<td>12</td>
<td></td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td>Inward Facing Cameras on Trains Project</td>
<td>14</td>
<td></td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td>Jerrold Avenue North Span Removal Project</td>
<td>16</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Los Gatos Creek Bridge Replacement Project</td>
<td>18</td>
<td></td>
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<td></td>
</tr>
<tr>
<td>Marin Street and Napoleon Avenue Bridge Closure Project</td>
<td>20</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>New Control Point at Brittan Project</td>
<td>22</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Quint Street Bridge Project</td>
<td>24</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Railroad Communications System (SOGR) Project - FY2013</td>
<td>26</td>
<td></td>
<td>N/A</td>
<td>N/A</td>
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<tr>
<td>Railroad Communications System (SOGR) Project - FY 2014</td>
<td>28</td>
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<td>N/A</td>
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<td>Rail Grinding Project - FY2014 &amp; FY2015</td>
<td>30</td>
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<td>N/A</td>
<td>N/A</td>
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<td>San Francisco Roadway Bridges Replacement Project</td>
<td>32</td>
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<td></td>
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<tr>
<td>San Mateo Bridges Replacement Project</td>
<td>34</td>
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<td></td>
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<tr>
<td>South San Francisco Station Improvement Project</td>
<td>36</td>
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<td></td>
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<tr>
<td>South Terminal Phase II Project</td>
<td>38</td>
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<td></td>
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<tr>
<td>Systemwide Signal System Rehab Project - FY2013</td>
<td>40</td>
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<td>N/A</td>
<td>N/A</td>
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<td>Systemwide Signal System Rehab Project - FY2014</td>
<td>42</td>
<td></td>
<td>N/A</td>
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<td>Systemwide Signal System Rehab Project - FY2015</td>
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<td>N/A</td>
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<td>Systemwide Track Rehab Project - FY2015</td>
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<td></td>
<td>N/A</td>
<td>N/A</td>
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<tr>
<td>Train Departure Monitor at Terminal Stations Project</td>
<td>48</td>
<td></td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td>Train Dispatch Voice Communication System Project</td>
<td>50</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>25th Ave. Grade Separation Project</td>
<td>52</td>
<td></td>
<td></td>
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</tr>
</tbody>
</table>

- **W**: Project On-Hold
- **G**: No Issues
- **Y**: Notable Issues
- **R**: Significant Issues
**ATHERTON STATION IMPROVEMENTS PROJECT**

**SCOPE:**
This project provides for the design and construction of new station facilities at Atherton Station (MP 27.80) to eliminate the "hold out rule". The scope of the project includes demolishing the center platform and providing outboard boarding platforms with a center inter-track fence and a signalized/gated pedestrian crossing at the northern end of the platforms.

**Issues:**
Design has been completed; project was placed on hold for further efforts (see note in "Other" section). Scope of project is on hold; Caltrain capital program management team is reviewing the impacts of other improvements in the vicinity of the station to determine the appropriate scope definition for the Atherton Station project.

A Hold-Out Rule Elimination study which includes reviewing and advancing design options is being conducted for the Atherton Station, Broadway Station and South San Francisco Station.

**SCHEDULE:**

<table>
<thead>
<tr>
<th>Activity ID</th>
<th>Activity Description</th>
<th>Orig Dur</th>
<th>Early Start</th>
<th>Early Finish</th>
</tr>
</thead>
<tbody>
<tr>
<td>01572</td>
<td>Atherton Interim Outboard Platform</td>
<td>100</td>
<td>1JAN2017 A</td>
<td>1FEB2018 A</td>
</tr>
<tr>
<td></td>
<td>+ Preliminary Engineering</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>+ Engineering Design</td>
<td>90</td>
<td>15JAN2017 A</td>
<td>10AUG2018</td>
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</tbody>
</table>

**Progress:**
Project is on hold.

**Future Activities:**
Project is on hold.

**Issues:**
Project is on hold; schedule needs to be redefined and re-baselined.
ATHERTON STATION IMPROVEMENTS PROJECT

**BUDGET:**

<table>
<thead>
<tr>
<th></th>
<th>(a)</th>
<th>(b)</th>
<th>(c)</th>
<th>(d)</th>
<th>(e) = (a - d)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Project</td>
<td>$2,000,000</td>
<td>$522,960</td>
<td>$529,173</td>
<td>$4,285,800</td>
<td>($2,285,800)</td>
</tr>
</tbody>
</table>

**Issues:**

The project was put on hold for any further design efforts. Estimate at Completion will be re-evaluated when project is re-activated.

**HSR IMPACT:**

Project scope, budget and delivery schedule could be impacted by High Speed Rail development along the Caltrain corridor.

**OTHERS:**

Project has been placed on hold; Capital Program Management team is currently reviewing the impact of capital improvements (incl. Dumbarton Rail Extension) in the vicinity of Atherton Station.
**BROADWAY STATION IMPROVEMENTS PROJECT**

**SCOPE:**
This project is to eliminate the "hold out rule", reduce gate down time and provide pedestrian/patron safety by providing outboard boarding platforms at the Broadway Station (MP 15.2). The platforms are to be staggered, the Northbound platform north of Broadway Avenue and the Southbound platforms remaining south of Broadway Avenue. Scope includes track work, signal work, pedestrian active warning devices, lighting and general construction work on platforms and associated amenities. This work shall eliminate the hold out rule and reduce gate downtime. Most of the track rehab work in the vicinity of the Broadway station has been transferred to the Burlingame Outboard Platform Project.

**Issues:**
The project was put on hold for any further design efforts. Scope of project is on hold; Caltrain capital program management team is reviewing the impacts of other improvements in the vicinity of the station to determine the appropriate scope definition for the Broadway Station project.

A Hold-Out Rule Elimination study which includes reviewing and advancing design options is being conducted for the Broadway Station, Atherton Station and South San Francisco Station.

**SCHEDULE:**

<table>
<thead>
<tr>
<th>Activity ID</th>
<th>Activity Description</th>
<th>Orig Dur</th>
<th>Early Start</th>
<th>Early Finish</th>
</tr>
</thead>
<tbody>
<tr>
<td>01574</td>
<td>Broadway Interim Outboard Platform</td>
<td>273</td>
<td>100</td>
<td>15JUN00A</td>
</tr>
<tr>
<td></td>
<td><em>Preliminary Engineering</em></td>
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<td></td>
<td>15JUL04A</td>
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<tr>
<td></td>
<td><em>Engineering Design</em></td>
<td>503</td>
<td>100</td>
<td>15JUL04A</td>
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</table>

**Progress:** Project is on hold.

**Future Activities:** Project is on hold.

**Issues:** Project is on hold; schedule needs to be redefined and re-baselined.
### BUDGET:

<table>
<thead>
<tr>
<th>Project</th>
<th>(a) Current Board Approved Budget</th>
<th>(b) Expended to Date</th>
<th>(c) Committed To Date</th>
<th>(d) Estimate at Completion</th>
<th>(e) Variance at Completion</th>
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<tbody>
<tr>
<td><strong>Total Project</strong></td>
<td>$2,789,341</td>
<td>$1,410,282</td>
<td>$1,417,334</td>
<td>$7,497,100</td>
<td>($4,707,759)</td>
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</tbody>
</table>

#### Issues:

The project was put on hold for any further design efforts. Estimate at Completion will be re-evaluated when project is re-activated.

#### HSR IMPACT:

None, based on the "Blended System" approach.

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**Project Budget / Cost Status**

- Current Board Approved Budget
- Expended to Date
- Committed To Date
- Estimate at Completion

---

**OTHER:**

Project has been placed on hold; Capital Program Management team is currently reviewing the impact of future capital improvements in the vicinity of the Broadway station.
The scope of this project is to repair and upgrade the San Francisco crew facility which is located at Fifth and Townsend in San Francisco and consists of:

1. Re-configuration of the existing rooms and non-functional spaces to meet the current operational needs.
2. Addition of a corridor in the facility to improve circulation.
3. Rehabilitation of the locker rooms, restrooms, shower areas, sleeping quarters, kitchen, lobby and lounge areas.

Issues:
None.

SCHEDULE:

<table>
<thead>
<tr>
<th>Activity ID</th>
<th>Activity Description</th>
<th>Start</th>
<th>Finish</th>
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<tbody>
<tr>
<td>02111</td>
<td>Crew Facility Rehab at San Francisco Terminal Project</td>
<td>02-Sep-14 A</td>
<td>30-Dec-15</td>
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<td></td>
<td>Engineering Design</td>
<td>02-Sep-14 A</td>
<td>30-Apr-15 A</td>
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<td></td>
<td>Bid and Award</td>
<td>01-May-15 A</td>
<td>31-Dec-15 A</td>
</tr>
<tr>
<td></td>
<td>Construction</td>
<td>04-Jan-16 A</td>
<td>30-Sep-16 A</td>
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<tr>
<td></td>
<td>Project Close Out</td>
<td>30-Sep-16 A</td>
<td>30-Dec-15</td>
</tr>
</tbody>
</table>

Progress:

Jul - Sep 2016
   - Completed installation of suspended ceiling tiles.
   - Completed installation of floor coating.
   - Completed installation of plumbing fixtures.
   - Completed installation of cabinets & countertops.
   - Completed installation of water closet partitions.
   - Completed delivery and installation of lockers.
   - Completed clean up and punch list.
   - Completed demobilization.
2. Issued substantial completion.
3. Began close out.

Future Activities:

Oct - Dec 2016
1. Complete as built drawings.
2. Process final progress payment.
3. Complete project close out.

Issues:
None.
CREW FACILITY REHAB AT SAN FRANCISCO TERMINAL PROJECT

BUDGET:

<table>
<thead>
<tr>
<th></th>
<th>Current Board Approved Budget</th>
<th>Expended to Date</th>
<th>Committed to Date</th>
<th>Estimate at Completion</th>
<th>Variance at Completion</th>
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<tr>
<td>Project Total</td>
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<td>$996,206</td>
<td>$1,041,043</td>
<td>$1,075,000</td>
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</table>

Issues: None.
This project includes design of a Communications Based Overlay Signal System Positive Train Control (CBOSS PTC), which will improve rail safety, provide enhanced operational benefits for passenger rail service, and fulfill federally mandated positive train control safety improvements along the Caltrain California High Speed Train (CAHST) San Francisco to San Jose corridor. The CBOSS PTC communication system has been specified to provide a reliable means for PTC information exchange at speeds up to 125 mph between the CBOSS PTC-equipped trains, wayside and mobile assets.

The CBOSS PTC Project will be implemented in three phases:

1. **Phase 1 - Project Administrative Planning**: This phase includes the following:
   - Project administrative planning;
   - Federal Railroad Administration (FRA) documentation deliverables such as the PTC Development Plan (PTCDP), PTC Implementation Plan (PTCIP) Updates and the PTC Safety Plan (PTCSP) Outline;
   - PTC database management plan;

2. **Phase 2**: This phase includes:
   - CBOSS PTC Final Design for all sub-system hardware and software;
   - Completion of Factory Integrated Subsystem/system Demonstration;
   - Commence Installation of Data Communication System (including Fiber);
   - Complete Installation and Verification of Data Communication System (including Fiber);

3. **Phase 3 / 4**: This phase includes:
   - Complete remaining CBOSS PTC subsystem installation activities, including the BCCF;
   - Complete remaining sub-system testing, verification, training, and commissioning;
   - Complete safety certification, system acceptance, and the one year warranty.

### Issues:

- None
CBOSS PTC Project

Progress:
This Period:
Jul - Sep 2016
1) Continued Book 3 and 4 testing with the test train.
2) Ran revenue service operations out of the BCCF.
3) Continued interoperability planning.
4) Continued to work with PTC220 and TTCI to finalize Spectrum Slot Planning.
5) Completed PTC-related work at CCF and cut revenue operations back to CCF.
6) Initiated production testing of Federated Link to freight railroad production network (UPRR)

Future Activities:
Oct - Dec 2016
1) Review and plan to submit draft RSD application.
2) Review safety case information to be provided in support of PTC Safety Plan.
3) Continue interoperability planning.
4) Continue to work with PTC220 and TTCI to finalize Spectrum Slot Planning.
5) Complete punch list items on all base station related activities.
6) Continue receipt and review of project as-built drawings.
7) Hold design workshop for onboard translator.
8) Continue connection of Federated Link to freight railroad production network.

Issues: Onboard software development delays continue and will delay the October 2016 RSD date.

BUDGET:

<table>
<thead>
<tr>
<th>Phase 1, 2, &amp; 3 / 4 Cost Analysis</th>
<th>Original Budget</th>
<th>Current Board Approved Budget</th>
<th>Expended to Date</th>
<th>Committed to Date</th>
<th>Estimate at Completion</th>
<th>Variance at Completion</th>
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</thead>
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<tr>
<td>Owner's Cost</td>
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<td>$66,030,056</td>
<td>$65,677,426</td>
<td>$66,665,027</td>
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<td>($13,353,137)</td>
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<tr>
<td>Design Build Contract</td>
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<td>$155,940,840</td>
<td>$133,028,676</td>
<td>$133,321,323</td>
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<td>Options/ Allowance</td>
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<td>Contingency</td>
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<td>$0</td>
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<td>$203,312,555</td>
<td>$247,847,806</td>
<td>($2,538,018)</td>
</tr>
</tbody>
</table>

Issues: Additional Budget of $14.3M for FY17 Capital Budget Call for Project approval was approved at the June 2016 Board meeting. The project is in the process of evaluating rebaseline schedule as well as commercial discussion with the prime contractor PTG. The Total Installed Cost (TIC) will be updated once subject effort is concluded in the future month.

HSR IMPACT: None
Grade Crossing Improvements in Redwood City Project

SCOPE:
This project will make improvements to three grade crossings (Whipple Ave, Main St. and Broadway) in Redwood City according to the scope defined in the CPUC Section 130 program. The grade crossing improvements will cover railroad, traffic, and roadway safety systems. The design components at each grade crossing include but are not limited to the following:

- Replacing vehicle gate arms
- Channelized pedestrian crossing with fencing & rails
- Improve sidewalk markings
- Improve pavement markings (striping, stop bars, etc.)
- Install standalone pedestrian gates
- Upgrade traffic signal interconnect

Issues: None.

SCHEDULE:

<table>
<thead>
<tr>
<th>Activity Description</th>
<th>Start</th>
<th>Finish</th>
</tr>
</thead>
<tbody>
<tr>
<td>Engineering Design</td>
<td>01-Feb-16 A</td>
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<tr>
<td>Bid and Award</td>
<td>01-Nov-16</td>
<td>30-Apr-17</td>
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<tr>
<td>Construction</td>
<td>01-May-17</td>
<td>31-Jan-18</td>
</tr>
<tr>
<td>Project Close Out</td>
<td>01-Feb-18</td>
<td>31-May-18</td>
</tr>
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Progress:
Jul - Sep 2016

1. Received comments from Redwood City on the 65% design.
2. Incorporated comments and began developing the 95% design package.
3. Received the 95% design package.
4. Distributed the 95% design package for review.

Future Activities:
Oct - Dec 2016

1. Receive comments for the 95% design package.
2. Finalize the design package.
3. Begin Bid and Award cycle.

Issues: None.
## Grade Crossing Improvements in Redwood City Project

<table>
<thead>
<tr>
<th></th>
<th>Current Board Approved Budget</th>
<th>Expended + Accrual to Date</th>
<th>Committed to Date</th>
<th>Estimated at Completion</th>
<th>Variance at Completion</th>
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### Issues:

None.
Inward Facing Cameras on Trains Project

**SCOPE:**
This project will install one inward facing camera and one interior microphone on Caltrain locomotives and cab cars to capture in-cab action during critical incidents based on recent NTSB recommendations. The cameras and microphones will be compatible with the existing system installed in 2013.

In 2013, Caltrain installed outward facing cameras and exterior microphones in its locomotives and cab cars to provide the agency with a tool for post incident investigation. The existing system includes a digital video recorder (DVR) and 500 GB hard drive which can store up to 28 days of video footage.

**Issues:**
None.

**SCHEDULE:**

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<td></td>
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<td>15-Jun-16</td>
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<tr>
<td></td>
<td>Construction</td>
<td>01-Feb-17</td>
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</tr>
<tr>
<td></td>
<td>Project Close Out</td>
<td>01-Jul-17</td>
<td>31-Jul-17</td>
</tr>
</tbody>
</table>

**Progress:**
Jul - Sep 2016  (1) Continued procurement process.

**Future Activities:**
Oct - Dec 2016  (1) Continue procurement process.

**Issues:**
Project delayed due to unavailable funding.
## Inward Facing Cameras on Trains Project

### Issues:
None.

### BUDGET:

<table>
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<tr>
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### Project Budget / Cost Status

- **Current Board Approved Budget**: $500,000
- **Expended + Accrual to Date**: $2,786
- **Committed to Date**: $2,786
- **Estimated at Completion**: $522,000
- **Variance at Completion**: ($22,000)
JERROLD AVENUE NORTH SPAN REMOVAL PROJECT

SCOPE:

This State of Good Repair project entails retrofitting the existing pier for seismic loading, removal of the existing north span of the Jerrold Avenue Bridge (Span 1), and replacement of the span with an elevated soil berm structure.

The scope of work includes:

1. Retrofit of unstable structural member.
2. Removal of unsafe footing condition created by temporary construction measure to retain ballast to restore minimum safety levels for roadway workers and train crews.
3. Removal of insufficient structural member.
4. Elimination of attractive trespasser encampment location.
5. Elimination of frequent trash dumping location.

Construction will be performed under two phases:

1. Phase 1 of Construction will consist of pier retrofit and will be executed through the San Francisco Roadway Bridges construction contract.
2. Phase 2 of Construction will consist of span removal and will be executed through the Quint Street Bridge Replacement construction contract.

Issues:

None.

SCHEDULE:

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</table>

Progress:

Jul - Sep 2016
(1) Completed project close-out.

Future Activities:
Oct - Dec 2016
None.

This will be the last Quarterly report for the project.

Issues:
None.
### JERROLD AVENUE NORTH SPAN REMOVAL PROJECT

#### BUDGET:

<table>
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<tr>
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#### Issues:

- None.

#### HSR IMPACT:

- None
**LOS GATOS CREEK BRIDGE REPLACEMENT PROJECT**

**SCOPE:**
Scope of the Los Gatos Creek Bridge Replacement Project includes:
Preliminary Design, Environmental Document, Final Design and Construction for removal and replacement of the existing MT-1 and MT-2 bridges crossing the Los Gatos Creek. As recommended in the PSR, the new replacement structure is to be a pre-stressed / pre-cast concrete bridge with new foundations and a new widened bridge deck that allows construction for a permanent tail track and signal work. The permanent tail track and signal work is being covered under the South Terminal Phase 3 project. Environmental Clearance is obtained through the National Environmental Policy Act (NEPA) and California Environmental Quality Act (CEQA) process.

**Issues:** None.

**SCHEDULE:**

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**Progress:**
Jul - Sep 2016
(1) Continued Real Estate Acquisition process.
(2) Continued C&M agreement negotiations with the City of San Jose.
(3) Continued negotiations with the UPRR.
(4) Continued utility relocation process.
(5) Caltrain board awarded the construction contract.

**Future Activities:**
Oct - Dec 2016
(1) Continue Real Estate Acquisition process.
(2) Continue C&M agreement negotiations with the City of San Jose.
(3) Continue negotiations with the UPRR.
(4) Continue utility relocation process.
(5) Issue LNTP to contractor.

**Issues:** None.
## LOS GATOS CREEK BRIDGE REPLACEMENT PROJECT

### BUDGET:

<table>
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<tr>
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**Issues:**

1. Additional funding will be requested as a part of the future capital budgeting process.

**HSR IMPACT:** None.
MARIN STREET AND NAPOLEON AVENUE BRIDGE CLOSURE PROJECT

SCOPE:
Marin Street and Napoleon Avenue bridges are located at MP 2.35 and MP 2.45 respectively in the City and County of San Francisco.
(1) Project Scope was revised due to the discovery of a city facility below the planned elevated berm that prohibits the original planned scope. The scope was revised so that instead of removing the existing bridges entirely, the revised work scope is to rehabilitate and replace the bridge components that are in need of repair, as well as remove several short spans that are no longer needed functionally.
(2) Track Geometry will not be altered; tracks will be reconstructed to the current alignment and profile.

Issues: None.

SCHEDULE:

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<td>01-Jun-17</td>
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<td>Project Close Out</td>
<td>01-Apr-18</td>
<td>31-May-18</td>
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</table>

Progress:
(1) Began 95% design.

Future Activities:
(1) Complete 95% design.
(2) Begin bid and award cycle.

Issues: Project schedule has been extended this quarter due to waiting for design approval from the phase gate meeting.
MARIN STREET AND NAPOLEON AVENUE BRIDGE CLOSURE PROJECT

BUDGET:

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<td>$379,298</td>
<td>$522,217</td>
<td>$3,000,000</td>
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Issues: (1) Additional funding will be requested as a part of the future capital budgeting process.

HSR IMPACT: None.
NEW CONTROL POINT AT BRITTAN PROJECT

SCOPE:
This project will design, procure and construct one new Control Point (CP) adjacent to the Brittan Avenue Underpass (MP 23.90). This CP will include a universal #20 crossover, two new signal houses, and the associated track and signal improvements. The new CP will increase operational flexibility system wide.

The new CP will help reduce delays due to single tracking and allow the Caltrain capital program to maximize operating flexibility for construction and emergency activities while maintaining public timetable commitments, both peak and off-peak, weekdays and weekends.

Issues:
None.

SCHEDULE:

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<td>Project Close Out</td>
<td>01-Feb-18</td>
<td>30-Mar-18</td>
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</table>

Progress:
(1) Continued 95% design/estimate.
(2) Continued procurement of universal #20 crossover and signal houses.

Future Activities:
(1) Complete final design.
(2) Continue procurement of universal #20 crossover and signal houses.
(3) Begin bid and award cycle.

Issues:
Project schedule has been extended to coordinate with owner furnished signal house and to secure project funding for construction.
### NEW CONTROL POINT AT BRITTAN PROJECT

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#### Issues:
1. Additional funding will be requested as a part of the future capital budgeting process.

#### HSR IMPACT:
None
QUINT STREET BRIDGE PROJECT

SCOPE:
1. Close Quint Street crossing permanently to vehicular traffic. Remove the Quint Street Bridge, fill the bridge opening with an embankment and construct new tracks on the embankment.
2. Perform other related work such as utility protection, trackwork and street utilities.

The Quint Street bridge replacement with tracks on embankment will enable completion of the project within the approved budget without compromising the JPB goals on seismic vulnerability, state of good repair and safety and will not preclude the potential construction of a station in the vicinity.

Issues:
The bridge over Quint Street is not perpendicular to the street, but has a significant "skew". The high skew and complex geometry, combined with the "age" of the structure, may render the bridge vulnerable during significant magnitude earthquakes.

Final design was based on Street Closure and Berm Construction as selected by the San Francisco County Transportation Commission & Board of Supervisors in July 2013.

Berm Construction consists of two retaining walls approximately 325 feet in length. The placement of cellular concrete fill, which is prior to the superstructure removal & reconstruction of the track, will be completed in a single cutover event.

Schedule:

Progress:
(1) Contractor fully demobilized from the site.
(2) Completed final acceptance submittals/deliverables and issued final acceptance letter .
(3) Continued processing of final documents.
(4) Continued project close-out.

Future
Activities:
(1) Complete processing of final documents.
(2) Complete project close-out.

Issues:
None.
**Caltrain Quarterly Report**

**Quint Street Bridge Project**

**Budget:**

<table>
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<tr>
<th></th>
<th>(a)</th>
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</table>

**Issues:**

Note: $2M was transferred to another capital project this quarter. Project EAC has been reduced by $1.7M this quarter as construction is completed.

**HSR Impact:**

None.
SCOPE:
The State of Good Repair (SOGR) project includes eight upgrades / replacement tasks of Caltrain's communication systems or subsystems.

The eight upgrades / replacement tasks are:

- Task 1. Assessment of Back Office Train Control Systems at Central Control Facility (CCF).
- Task 3. Assessment and Optimization of Caltrain's Telephone Lines used for Communication and Signal (C&S) functions.
- Task 4. Increase voice radio coverage around Sunnyvale / Mountain View area.
- Task 5. Remote reboot capability of channel 5 radio at Monument Peak.
- Task 6. Develop standardized drawings and configuration management for railroad communication system.
- Task 8. Design and install a monitoring system for the following:
  - Operation of the red obstruction light on top of the CCF antenna tower.

Issues:
None.

SCHEDULE:

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<th>Activity</th>
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<td>Close Out</td>
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<td>31-Jul-17</td>
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Progress:
Jun - Sep 2016
(1) Prepared construction contract documents.
(2) Awaited the October 2016 Board meeting to award the contract.

Future Activities:
Oct - Dec 2016
(1) Award construction contract at October 2016 Board meeting.
(2) Issue Limited Notice to Proceed (LNTP) and Notice to Proceed (NTP) for construction.

Issues:
Schedule will be re-baselined after award of construction contract.
BUDGET:

<table>
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<tr>
<th></th>
<th>(a)</th>
<th>(b)</th>
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### Railroad Communication System (SOGR) Project - FY2013

**Current Board Approved Budget:**
- $724,033

**Expenditure and Accrual to Date:**
- $739,330

**Committed to Date:**
- Estimated at Completion:
  - $1,021,500

**Variance at Completion:**
- $0

### Issues:

None.
Railroad Communication System (SOGR) Project - FY2014

**SCOPE:**
The State of Good Repair (SOGR) project consists of four tasks for maintenance of the PCJPB's Communication (COM) Systems.

**Task 1:** Sunnyvale / Mountain View Radio Base
Install a new radio base station to improve voice radio coverage in the Mountain View and Sunnyvale area. (Design is to be completed as part of FY2013 COM SOGR Project).

**Task 2:** Brisbane Radio Base
Design improvements of voice radio coverage in the Brisbane area by developing radio coverage models for a new base station. This task also includes analyzing current conditions at nearby Sign Hill base station and identifying potential improvements.

**SCHEDULE:**

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</table>

Progress:
Jul - Sep 2016
(1) Prepared construction contract documents.
(2) Awaited the October 2016 Board meeting to award the contract.

Future Activities:
Oct - Dec 2016
(1) Award construction contract at October 2016 Board meeting.
(2) Issue Limited Notice to Proceed (LNTP) and Notice to Proceed (NTP) for construction.

Issues:
Schedule will be re-baselined after award of construction contract.
Caltrain Quarterly Report
Railroad Communication System (SOGR) Project - FY2014

BUDGET:

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<th>(c) Committed to Date</th>
<th>(d) Estimated at Completion</th>
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<td>$200,553</td>
<td>$208,844</td>
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Issues: None.
This project will provide rail grinding services to both production and spot rail grinding as set forth in the rail grinding Work Plan, to be developed by the Contractor and approved by the JPB. The services will be provided on an annual basis and will include management of the rail grinding application, documentation and measurement of the completed grinding process, and program evaluation. The services include:

(1) Identify a preferred rail grinding template or templates by evaluating JPB rolling stock and rail infrastructure.
(2) Recommend design modifications for rail profile to improve the ride quality and steering characteristics, and to reduce noise levels.
(3) Perform a computer analysis of the interaction characteristics between:
   a) the worn wheel profile and the existing rail profile, and
   b) the desired new rail profile and desired wheel profile.
(4) Determine the status of rail profile in track and the rail grinding requirements to modify the rail to desired profile specifications.
(5) Plan and program the application of production rail grinding so that any impact on the current JPB operations is minimized and the use of its infrastructure and resources are optimized.

Issues: The PCJPB rejected all proposals submitted for the Rail Grinding contract because they did not meet the minimum requirements. The proposal documents have been revised and re-advertised.

SCHEDULE:

<table>
<thead>
<tr>
<th>ActivityID</th>
<th>Activity Description</th>
<th>Start</th>
<th>Finish</th>
</tr>
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<tbody>
<tr>
<td>02931 - FY2014 &amp; FY2015 Rail Grinding</td>
<td>01-Sep-14 A</td>
<td>30-Sep-17</td>
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<td>Engineering Design</td>
<td>01-Jan-17</td>
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<td>Bid and Award</td>
<td>01-Sep-14 A</td>
<td>31-Dec-16</td>
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<td>Construction</td>
<td>01-Jan-17</td>
<td>30-Jun-17</td>
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</tr>
<tr>
<td>Project Close Out</td>
<td>01-Jul-17</td>
<td>30-Sep-17</td>
<td></td>
</tr>
</tbody>
</table>

Progress: Jul - Sep 2016
(1) Continued the re-advertisement process with the goal of PCJPB Board award in December 2016.

Future Activities:
Oct - Dec 2016
(1) Prepare staff report for contract award at the December 2016 Caltrain Board meeting.

Issues:
(1) Project has been delayed because of the need to re-advertise the rail grinding services contract.
(2) Engineering Design in the schedule is for next years Rail Grinding program.
(3) Schedule will be re-baselined after award of contract in December 2016.
### FY2014 & FY2015 RAIL GRINDING PROJECT

**BUDGET:**

<table>
<thead>
<tr>
<th>Project Total</th>
<th>Current Board Approved Budget</th>
<th>Expended to Date</th>
<th>Committed to Date</th>
<th>Estimate at Completion</th>
<th>Variance at Completion</th>
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**Issues:** None.
The San Francisco Roadway Bridges Replacement project upgrades the Caltrain owned vehicular bridges located at 22nd Street, 23rd Street and Paul Avenue and includes:

1. Remove and replace the existing two-span steel-through girder superstructures as the bridges have reached the end of their useful lives, allowing sufficient vertical clearance to accommodate future projects such as electrification.
2. Remove and reconstruct the existing utility lines attached to the bridges. Provide temporary supports until the bridges are reconstructed.

Issues:
None.

Future Activities:
Oct - Dec 2016
1. Complete CCSF water line commissioning at Paul Avenue.
2. Complete bridge demolition at 22nd Street.
3. Mobilize for CIDH Pile installation at Paul Avenue.
4. Complete site work at Paul Avenue.

Issues:
The project schedule has been extended due to a utility relocation (AT&T) at 22nd Street. The utility relocation has taken longer than anticipated.
SAN FRANCISCO ROADWAY BRIDGES REPLACEMENT PROJECT

BUDGET:

<table>
<thead>
<tr>
<th></th>
<th>(a)</th>
<th>(b)</th>
<th>(c)</th>
<th>(d)</th>
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<td>Committed to Date</td>
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<td>Estimate at Completion</td>
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<td>Variance at Completion</td>
<td></td>
<td></td>
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</tbody>
</table>

Issues: None.

HSR IMPACT: None.
SAN MATEO BRIDGES REPLACEMENT PROJECT

SCOPE: The project will improve structural integrity and improve roadway clearances of four railroad bridges that are approximately 100-years old. The project consists of the following phases:

Phase I: Foundation Improvements to strengthen the existing foundations and construct new abutments for the future replacement of the bridge spans. Phase I was completed in 2011 (Project 1755).

Phase II: Utility relocation - relocate all utilities that have potential impact to the bridge construction. Phase II and Phase III will be performed at the same time.

Phase III: Bridge Replacement - remove and replace of the existing steel girder superstructure and timber deck spans for the four San Mateo bridges (Poplar Avenue, Santa Inez Avenue, Monte Diablo Avenue and Tilton Avenue); raising the track level and establishing 15’ track centers through the project limits; install associated utility work; and increase clearance between the railroad bridge and the street below.

Issues: None.

SCHEDULE:

--- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
02023 - San Mateo Bridges Replacement | 27-Feb-13 A | 31-Dec-16 |
| Advance Site Preparation (ASP) Package | 24-May-13 A | 30-May-14 A |
| Engineering Design | 27-Feb-13 A | 24-May-14 A |
| Contracts & Procurement (C&P) | 01-Apr-14 A | 08-Aug-14 A |
| Construction | 27-Aug-14 A | 30-Sep-15 A |
| Project Close Out | 01-Oct-16 | 31-Dec-16 |

Progress:

Jul - Sep 2016

1) Completed receiving required contract documents from contractor.
2) Completed public outreach.
3) Completed fence installation along right of way.
4) Completed final trackwork.
5) Completed final clean up.
6) Began punch list work.

Future

Activities: Oct - Dec 2016

1) Complete punch list work.
2) Complete change order negotiations.
3) Complete project close out.

Issues: None.
SAN MATEO BRIDGES REPLACEMENT PROJECT

BUDGET:

<table>
<thead>
<tr>
<th>Current Board Approved Budget</th>
<th>Expended to Date</th>
<th>Committed to Date</th>
<th>Estimate at Completion</th>
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<td>$40,736,398</td>
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Issues: None.

HSR IMPACT:

None.
### SOUTH SAN FRANCISCO STATION IMPROVEMENT PROJECT

**SCOPE:**
This project consists of track work, signal work, a new 700 foot center board platform with new amenities, new shuttle drop-off, and connectivity to a new pedestrian underpass from the platform to Grand Avenue/Executive Drive.

This will replace the existing South San Francisco Station with a new center boarding platform connecting to a new pedestrian underpass. The project improves safety by eliminating the hold out rule; in addition, the project provides connectivity along Grand Avenue for the City of South San Francisco.

**Issues:**
None.

**SCHEDULE:**

<table>
<thead>
<tr>
<th>Activity ID</th>
<th>Activity Description</th>
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<td>31-Jan-17</td>
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<tr>
<td></td>
<td>Project Close Out</td>
<td>01-Jul-19</td>
<td>30-Sep-19</td>
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</table>

**Progress:**
Jul - Sep 2016
(1) Continued discussions with the Positive Train Control (PTC) team.
(2) Continued discussions with the City of South San Francisco (CSSF).
(3) Continued incorporating field data into design package.
(4) Continued coordination with third party utilities.
(5) Continued coordination on the cooperative agreement with Caltrans.
(6) Continued production of the Issue for Bid (IFB) package.
(7) Caltrain met with CSSF to evaluate station modifications to the IFB package.
(8) Incorporated CSSF design modifications into advertisement package.

**Future Activities:**
Oct - Dec 2016
(1) Continue coordination on the cooperative agreement with Caltrans.
(2) Continue incorporating field data into design package.
(3) Continue discussions with the PTC team.
(4) Continue discussions with the CSSF.
(5) Continue coordination with third party utilities.
(6) Continue production of the IFB package.
(7) JPB and CSSF to develop Memo of Understanding (MOU) related to additional costs associated with CSSF’s design modifications.

**Issues:**
(1) Schedule will be re-baselined after scope issues are resolved with UPRR and City of South San Francisco.
SOUTH SAN FRANCISCO STATION IMPROVEMENT PROJECT

BUDGET:

<table>
<thead>
<tr>
<th>Current Board Approved Budget</th>
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Issues: (1) Additional funding will be requested as a part of the future capital budgeting process.

HSR: None.
SOUTH TERMINAL PHASE II PROJECT

SCOPE: This project will include planning, design and construction of a 4th mainline track, new signal controls, and new cross overs and slip switches, between the south end of Centralized Equipment Maintenance and Operation Facility (CEMOF) and the north end of the South Terminal Diridon Station.

The purpose of this additional track is to increase corridor flexibility and capacity, increase reliability of service which will allow more frequent non-revenue operations between the South Terminal and CEMOF.

Issues: Current scope is for Preliminary Engineering only.

SCHEDULE:

<table>
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<th>Activity ID</th>
<th>Activity Description</th>
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<td>31-Oct-16</td>
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</table>

Progress:

Jul - Sep 2016
(1) Continued coordination with project teams who are planning to do work at Diridon, similar to HSR and BART.
(2) Obtained Caltrain board approval for California Environmental Quality Act (CEQA) Initial Study / Mitigated Negative Declaration (IS/MND).

Future Activities:
Oct - Dec 2016
(1) Continue coordination with project teams who are planning to do work at Diridon, similar to HSR and BART.
(2) Advance effort to obtain National Environmental Policy Act (NEPA) clearance with FTA.
(3) Complete preliminary engineering.

Issues: Additional time needed to support environmental clearance and to coordinate train simulations with Rail Operations has extended Preliminary Engineering schedule.
SOUTH TERMINAL PHASE II PROJECT

<table>
<thead>
<tr>
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<td>Variance at Completion</td>
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</table>

Issues: None.

HSR IMPACT: None
SYSTEMWIDE SIGNAL REHABILITATION PROJECT - FY2013

**SCOPE:**
This project provides for the maintenance oversight by Caltrain to ensure that the signal system is maintained in a State of Good Repair (SOGR) and complies with all required regulations.

Design and construction components are as follows:

**Design:**
1) Design to retrofit the signal bridge at South San Francisco with safety improvements.
2) Design to retrofit all railroad signal lights (including replacement of the current outdated unilense signal lights) with LEDs.
3) Design to rehab Control Point (CP) Stockton signal house, update equipment & replace low speed switch machines with high speed machines.

**Construction:**
1) Procure LED signal light retrofit kits.
2) Retrofit all incandescent railroad signal lights with LEDs. (By TASI).
3) Additional scope - separate pedestrian gates arms from vehicular gates to meet CPUC standards at five stations.

**Issues:**
None.

**SCHEDULE:**

<table>
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<th>Activity ID</th>
<th>Activity Description</th>
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<td>Project Close Out</td>
<td>02-Jan-17</td>
<td>31-Mar-17</td>
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</tbody>
</table>

**Progress:**
Jul - Sep 2016
(1) Completed 100% design revision of pedestrian gates.

**Future Activities:**
Oct - Dec 2016
(1) Complete installation of pedestrian gates.

**Issues:**
None.
BUDGET:

<table>
<thead>
<tr>
<th></th>
<th>Current Board Approved Budget</th>
<th>Expended to Date</th>
<th>Committed to Date</th>
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Issues: None.
SYSTEMWIDE SIGNAL REHABILITATION PROJECT - FY2014

SCOPE: This project provides for the maintenance oversight by Caltrain to ensure that the signal system is maintained in a State of Good Repair (SOGR) and complies with all required regulations for FY2014.

Design and construction components are as follows:

1. Procure and replace eight gate mechanisms at eight grade crossings.
2. Replace rectifiers at seven Control Points.
3. Retrofit gate savers at twelve of Caltrain’s busiest vehicular crossings.
4. Design and strengthen the signal cantilever at MP 0.52, in the San Francisco yard.

Issues: Due to issues implementing the Electronic Gate Management System (EGMS) Caltrain is evaluating its use in the new gate mechanisms.

<table>
<thead>
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<th>Activity</th>
<th>Activity Description</th>
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<td>Construction</td>
<td>06-Jun-14</td>
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</table>

Progress:
Jul - Sep 2016
1. Completed punch list work.
2. Continued testing of the Electronic Gate Management System (EGMS) on the new pedestrian gates.
3. Contacted manufacturer on the EGMS issue.

Future Activities:
Oct - Dec 2016
1. Continue testing and resolving issue with the EGMS.
2. Manufacturer to hold a field visit to inspect the gate EGMS.
3. Resolve EGMS issue.
4. Begin project close out.

Issues: The EGMS contained a defective component which was falsely dropping the pedestrian gates. This issue is currently being evaluated.
SYSTEMWIDE SIGNAL REHABILITATION PROJECT - FY2014

BUDGET:

<table>
<thead>
<tr>
<th>Project Total</th>
<th>Current Board Approved Budget</th>
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Issues: None.
SYSTEMWIDE SIGNAL REHABILITATION PROJECT - FY2015

**SCOPE:**
The fiscal year 2015 (FY15) Signal Rehab Project is a part of the ongoing program to keep Caltrain's signal system at a State of Good Repair (SOGR).

The scope of this project is to locate the underground signal cables in the field and then survey and plot their locations using Global Position System (GPS) devices. This will include underground railroad signal cables from San Francisco - MP 0.2 to San Jose - MP 51.6. The signal cable locations will be incorporated into PCJPB's master CADD file. These signal records will help mitigate signal cable conflicts during design and construction.

**Issues:**
None.

**SCHEDULE:**

<table>
<thead>
<tr>
<th>Activity</th>
<th>Start</th>
<th>Finish</th>
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<tbody>
<tr>
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<tr>
<td>Project Close Out</td>
<td>16-Sep-15A</td>
<td>30-Nov-16</td>
</tr>
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</table>

**Progress:**

Jul - Sep 2016

1. Completed revising Cadd files for final submittal.
2. Submitted final Cadd files.
3. Provided user training on Cadd files.
4. Began project close out.

**Future Activities:**

Oct - Dec 2016

1. Complete project close out.

**Issues:**
None.
### SYSTEMWIDE SIGNAL REHABILITATION PROJECT - FY2015

**Issues:** None.

#### BUDGET:

<table>
<thead>
<tr>
<th></th>
<th>Current Board Approved Budget</th>
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</table>

![Project Budget / Cost Status](image-url)
SYSTEM WIDE TRACK REHABILITATION PROJECT - FY2015

SCOPE:
The System Wide Track Rehabilitation Program covers the work required to keep the Caltrain railroad in a state of good repair. The type and scope of work scheduled for each fiscal year is based upon the condition of the railroad as reflected in Caltrain’s State of Good Repair database. This database is updated regularly with input from track inspections and tests that are performed throughout the year. Each fiscal year, a new project is set up to cover the track work performed that year. The scope proposed for Fiscal Year 2015 system wide track rehabilitation includes the following:

1. Replace stock rails and points on an as-needed basis.
2. Production rail joint replacement at approximately 50 locations.
3. Remove old or bonded over insulated joints at about 50 locations, approximately 100 welds.
4. Replacement of standard ties and switch ties on main tracks and yards, approximately 1,500 ties.
5. Surfacing 30 miles of curve and tangent track, 25 turnouts at various locations.
6. Upgrade rail lubricators.
7. Purchase of small tools and equipment required for track maintenance activities.
8. Work in South San Francisco Yard, billable to UP.
9. Minor repairs to bridges, culverts and structures.
10. Leased equipment and facilities.
11. Purchased services – rail detector, geometry inspections, weed abatement.
12. Fence repairs and graffiti removal.

Issues:
None.

SCHEDULE:

<table>
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<th>Activity ID</th>
<th>Activity Description</th>
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<td>Project Close Out</td>
<td>01-Nov-16</td>
<td>31-Dec-16</td>
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</tr>
</tbody>
</table>

Progress:

Jul - Sep 2016
(1) Surfaced 1.9 miles of main line track.
(2) Stabilized 0.8 miles of track.
(3) Regulated 1.2 miles of ballast.
(4) Surfaced 22 turnouts.
(5) Built up 39 frog inserts.
(6) Ground 39 switches.
(7) Performed 11 thermite welds.
(8) Changed out two switch points.
(9) Installed four insulated joints
(10) Installed 140 pandrols.
(11) Changed out 330 feet of rail.
(12) Replaced 518 cross ties.
(13) Replaced 55 switch ties.
(14) Performed 11 ultrasonic tests.
(15) Ran the geometry car.
(16) FRA visited the site.
(17) CPUC visited the site.
(18) Performed tree trimming.

Note 1: A frog is a mechanical device to allow trains to cross over rails in turnouts and crossings.

Future Activities:
Oct - Dec 2016
(1) Continue ongoing maintenance work.

Issues:
None.
SYSTEMWIDE TRACK REHABILITATION PROJECT - FY2015

BUDGET:

<table>
<thead>
<tr>
<th></th>
<th>Current Board Approved Budget</th>
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<td>Project Total</td>
<td>$11,447,402</td>
<td>$9,329,186</td>
<td>$9,571,379</td>
<td>$9,587,414</td>
<td>$1,859,988</td>
</tr>
</tbody>
</table>

A new FY2017 SOGR project has been opened but currently there is no available funding in the project. When the FY2017 funds become available the costs and encumbrances will be collected against the new FY2017 project.
SCOPE: Installation of Train Departure Monitors will replace the existing wooden "dog bone" signs and station stop posters at the doors to the San Francisco platforms. For the San Jose Diridon station, the monitors will be installed at the station lobby and in the pedestrian underpass. The monitors will replace the track departure posters at the Diridon station.

Issues: None.

SCHEDULE:

<table>
<thead>
<tr>
<th>Activity ID</th>
<th>Activity Description</th>
<th>Start</th>
<th>Finish</th>
</tr>
</thead>
<tbody>
<tr>
<td>12089</td>
<td>Train Departure Monitors at Terminal Stat.</td>
<td>03-Feb-16</td>
<td>15-Apr-16</td>
</tr>
<tr>
<td></td>
<td>Engineering Design</td>
<td>03-Feb-16</td>
<td>30-Sep-16</td>
</tr>
<tr>
<td></td>
<td>Bid and Award</td>
<td>01-Oct-16</td>
<td>15-Jun-16</td>
</tr>
<tr>
<td></td>
<td>Construction</td>
<td>16-Jun-16</td>
<td>15-Jan-17</td>
</tr>
<tr>
<td></td>
<td>Project Close Out</td>
<td>16-Jan-17</td>
<td>15-Apr-17</td>
</tr>
</tbody>
</table>

Progress: Jul - Sep 2016

(1) Issued NTP on July 25th, 2016.
(2) Received submittals from contractor.
(3) Reviewed submittals and responded to Request For Information (RFI).
(4) Continued PADS software development.
(5) Began installation of conduits at the San Jose Diridon station.
(6) Began installation of conduits at San Francisco 4th & King station.

Future Activities: Oct - Dec 2016

(1) Continue installation of conduits at San Francisco 4th & King station.
(2) Complete installation of conduits at San Jose Diridon station and pull wires.
(3) Continue to review submittals and respond to RFI’s.

Issues: None.
Caltrain Quarterly Report

Train Departure Monitor at Terminal Stations Project

BUDGET:

<table>
<thead>
<tr>
<th>(a)</th>
<th>(b)</th>
<th>(c)</th>
<th>(d)</th>
<th>(e) = (a - c)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Current Board Approved Budget</td>
<td>Expended + Accrual to Date</td>
<td>Committed to Date</td>
<td>Estimated at Completion</td>
<td>Variance at Completion</td>
</tr>
<tr>
<td>$1,530,000</td>
<td>$448,120</td>
<td>$924,081</td>
<td>$1,530,000</td>
<td>$0</td>
</tr>
</tbody>
</table>

**Issues:**
FY2017 capital budget authorized an increase in the current Board approved budget.
TRAIN DISPATCH VOICE COMMUNICATION SYSTEM PROJECT

SCOPE:
Train Dispatch Voice Communication System Project will replace the obsolete Digital Touch Exchange (DTX) system in the Central Control Facility (CCF) in San Jose and the DTX system in the San Francisco 4th & King station. The project consists of the following tasks: (1) Design and specify the requirements of a new DTX system; (2) Develop an Invitation for Bid (IFB) to procure and install the new system at CCF; (3) Test and validate the new system; (4) Train the dispatchers on the new system; (5) Cutover to the new system and perform an acceptance test; (6) Remove and dispose the old DTX system.

This equipment is mission critical to effectively operate the railroad for communications between the dispatcher and the train and for post incident investigations.

Issues: None.

SCHEDULE:

<table>
<thead>
<tr>
<th>Activity Description</th>
<th>Start</th>
<th>Finish</th>
</tr>
</thead>
<tbody>
<tr>
<td>021616 - Train Dispatch Voice Communication Sy...</td>
<td>01-Oct-13 A</td>
<td>20-Feb-17 A</td>
</tr>
<tr>
<td>Milestone</td>
<td>02-Apr-13 A</td>
<td>02-Apr-13 A</td>
</tr>
<tr>
<td>Engineering Design</td>
<td>01-Oct-13 A</td>
<td>20-Feb-13 A</td>
</tr>
<tr>
<td>Procurement/Bid &amp; Awards</td>
<td>01-Mar-13 A</td>
<td>30-Dec-14 A</td>
</tr>
<tr>
<td>Construction</td>
<td>02-Jan-16 A</td>
<td>30-Nov-16 A</td>
</tr>
<tr>
<td>Project Closure</td>
<td>01-Dec-16 A</td>
<td>20-Feb-17 A</td>
</tr>
</tbody>
</table>

Progress:
(1) Installed the DTX equipment in the CCF.
(2) Installed the new radio dispatch workstations at San Carlos central building and San Francisco 4th & King station.
(3) Cutover rail operations to the BCCF and completed testing of the new DTX system at CCF.
(4) Rail operations were moved back to CCF and began testing the new DTX system under revenue service.
(5) Began mitigating issues with the new DTX system.

Future Activities:
(1) Resolve the issues with the new DTX system at CCF.
(2) Complete testing of the new DTX system at CCF.
(3) Begin project close out.

Issues: Project schedule was originally extended due to the negotiations with the stakeholders and vendor did not result in an agreement for maintaining the system and PCJPB rejected all proposals. A change order was then issued to PTG under the CBOSS contract to replace the DTX system at CCF. Because the CBOSS project was installing an identical system in the BCCF, Project was waiting for the opportunity to cutover to the new train voice dispatch system when the CCF is unoccupied during the CCF shutdown and trains are dispatched from the BCCF as part of the CBOSS project.
Caltrain Quarterly Report

Active Capital Projects

Jul 1, 2016 - Sep 30, 2016

TRAIN DISPATCH VOICE COMMUNICATION SYSTEM PROJECT

BUDGET:

<table>
<thead>
<tr>
<th></th>
<th>(a)</th>
<th>(b)</th>
<th>(c)</th>
<th>(d)</th>
<th>(e) = (a - d)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Current Board Approved</td>
<td>$2,428,000</td>
<td>$1,211,174</td>
<td>$1,491,698</td>
<td>$2,578,000</td>
<td>($150,000)</td>
</tr>
<tr>
<td>Total Project</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Issues:
1. Total Project estimate at completion increased by $50K this quarter based on the latest forecast.
2. Additional funding will be requested in the future budgeting process.

HSR IMPACT: None
### 25th AVENUEGRADE SEPARATION PROJECT

**SCOPE:**
This project will provide grade separation between Hillsdale Boulevard and SR-92, including:
- Grade separating the 25th Avenue on-grade crossing.
- Construction of two (2) new grade separated crossings at 28th and 31st Avenues.
- Perform Relocation of the Hillsdale station.

**Scope of the current phase includes:**
1. Perform Final Design.
2. Prepare Environmental Clearance documents: California Environmental Quality Act (CEQA) and National Environmental Policy Act (NEPA) which are required for grade separation.
3. Perform Right of way (ROW) surveys & appraisals.
4. Coordination with affected utility companies.

**Issues:**
None.

### SCHEDULE:

<table>
<thead>
<tr>
<th>Activity ID</th>
<th>Activity Name</th>
<th>Start</th>
<th>Finish</th>
</tr>
</thead>
<tbody>
<tr>
<td>92088</td>
<td>25th Ave Grade Separation</td>
<td>18-Jul-14</td>
<td>31-Jan-20</td>
</tr>
<tr>
<td>92089</td>
<td>Preliminary Engineering</td>
<td>18-Jul-14</td>
<td>31-Oct-16</td>
</tr>
<tr>
<td>92090</td>
<td>Environmental Clearance</td>
<td>28-Sep-14</td>
<td>28-Oct-16</td>
</tr>
<tr>
<td>92091</td>
<td>Final Design</td>
<td>02-Nov-15</td>
<td>30-Nov-16</td>
</tr>
<tr>
<td>92092</td>
<td>Bid and Award</td>
<td>01-Dec-16</td>
<td>28-Apr-17</td>
</tr>
<tr>
<td>92093</td>
<td>Construction</td>
<td>01-May-17</td>
<td>31-Oct-16</td>
</tr>
<tr>
<td>92094</td>
<td>Project Close Out</td>
<td>01-Nov-16</td>
<td>31-Jan-20</td>
</tr>
</tbody>
</table>

**Progress:**
- (1) Completed review of 95% PSE.
- (2) Completed required NEPA documentation.
- (3) Developed outreach plan.
- (4) Continued meeting with stakeholders.
- (5) Continued appraisals for ROW.
- (6) Continued discussion with property owners.

**Future Activities:**
- (1) Continue meeting with Stakeholders.
- (2) Continue appraisals for ROW.
- (3) Continue discussion with property owners.
- (4) Complete 100% design.
- (5) Begin bid and award cycle.

**Issues:**
None.
### 25th AVENUE GRADE SEPARATION PROJECT

<table>
<thead>
<tr>
<th></th>
<th>(a)</th>
<th>(b)</th>
<th>(c)</th>
<th>(d)</th>
<th>(e) = (a - d)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Current Board</td>
<td>$14,700,000</td>
<td>$7,596,821</td>
<td>$8,976,248</td>
<td>$14,700,000</td>
<td>$0</td>
</tr>
<tr>
<td>Approved Budget</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Expended to Date</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Committed to Date</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Estimate at</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Completion</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Variance at</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Completion</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**BUDGET:**

**Issues:** (1) Additional funding will be requested as a part of the future capital budgeting process.

**HSR IMPACT:** None.
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Caltrain

Disadvantaged Business Enterprise (DBE) Quarterly Status Report

As of: Q4 Federal Fiscal Year (FFY) 2016
(From July 1, 2016 to September 30, 2016)

The following is a summary of Caltrain’s DBE Status:

<table>
<thead>
<tr>
<th>Status</th>
<th>Q4 FFY16</th>
</tr>
</thead>
<tbody>
<tr>
<td>Amount of Contracts Awarded</td>
<td>$14,561,721</td>
</tr>
<tr>
<td>Amount of Contracts Awarded to DBEs</td>
<td>$1,396,793</td>
</tr>
<tr>
<td>Overall Annual Goal in %</td>
<td>12.0%</td>
</tr>
<tr>
<td>% DBE Attainment</td>
<td>9.7%</td>
</tr>
<tr>
<td>% Over/(Under) Goal</td>
<td>-2.3%</td>
</tr>
</tbody>
</table>

The DBE Attainment percentage was increased by 7.8% this quarter primarily due to the award of the Los Gatos Creek Bridge Replacement Project. The Los Gatos project attained the assigned 9% DBE goal.

<table>
<thead>
<tr>
<th>DBE Goals &amp; Achievements in $ and %</th>
</tr>
</thead>
<tbody>
<tr>
<td>Amount of Contracts Awarded This Quarter</td>
</tr>
<tr>
<td>Amount of PO's Awarded</td>
</tr>
<tr>
<td>Amount of DBE Contract Awarded This Quarter</td>
</tr>
<tr>
<td>Overall Annual DBE Goal in %</td>
</tr>
<tr>
<td>% DBE Attained To Date</td>
</tr>
</tbody>
</table>
Definition of Terms

Committed to Date - The committed to date amount includes all actual expenditure of agency labor, other direct costs, the awarded amount of a work directive, a contract, or a purchase order which have been committed in the PeopleSoft accounting system.

Current Board Approved Budget - The current board approved budget includes the original board approved budget plus approved change orders or internal budget transfers which have been approved by the board.

Estimate at Completion - The forecasted final cost of the project. The estimate at completion can be different from the Current Board Approved Funding, which indicates a variance at completion.

Expended to Date - The cumulative project costs that have been expended through the current reporting period as reported in PeopleSoft + the accrual cost of the work performed that has not been recorded in PeopleSoft.

Variance at Completion - The difference between the Current Board Approved Funding and the Estimate at Completion. A negative variance indicates that additional funding is needed.
## Performance Status (Traffic Light) Criteria

<table>
<thead>
<tr>
<th>SECTIONS</th>
<th>On Target (GREEN)</th>
<th>Moderate Risk (YELLOW)</th>
<th>High Risk (RED)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. SCOPE</td>
<td>(a) Scope is consistent with Budget or Funding.</td>
<td>(a) Scope is NOT consistent with Budget or Funding.</td>
<td>(a) Significant scope changes / significant deviations from the original plan.</td>
</tr>
<tr>
<td></td>
<td>(b) Scope is consistent with other projects.</td>
<td>(b) Scope appears to be in conflict with another project.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>(c) Scope change has been mitigated.</td>
<td>(c) Scope changes have been proposed.</td>
<td></td>
</tr>
<tr>
<td>2. BUDGET</td>
<td>(a) Estimate at Completion forecast is within plus /minus 5% of the Current Approved Budget.</td>
<td>(a) Estimate at Completion forecast exceeds Current Approved Budget between 5% to 10%.</td>
<td>(a) Estimate at Completion forecast exceeds Current Approved Budget by more than 10%.</td>
</tr>
<tr>
<td>3. SCHEDULE</td>
<td>(a) Project milestones / critical path are within plus/minus two months of the current baseline schedule.</td>
<td>(a) Project milestones / critical path show slippage. Project is more than two to six months behind the current baseline schedule.</td>
<td>(a) Project milestones / critical path show slippage more than two consecutive months.</td>
</tr>
<tr>
<td></td>
<td>(b) Physical progress during the report period is consistent with incurred expenditures.</td>
<td>(b) No physical progress during the report period, but expenditures have been incurred.</td>
<td>(b) Forecast project completion date is later than the current baseline scheduled completion date by more than six months.</td>
</tr>
<tr>
<td></td>
<td>(c) Schedule has been defined.</td>
<td>(c) Detailed baseline schedule NOT finalized.</td>
<td>(c) Schedule NOT defined for two consecutive months.</td>
</tr>
<tr>
<td>4. HIGH SPEED RAIL (HSR) IMPACT</td>
<td>(a) No potential impact.</td>
<td>(a) Potential impact.</td>
<td>(a) Significant impact.</td>
</tr>
</tbody>
</table>

### Schedule Legend

- **Completed**
- **Critical path**
- **Baseline/target schedule**