TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Michelle Bouchard
Chief Operating Officer, Rail

SUBJECT: CALTRAIN POSITIVE TRAIN CONTROL PROJECT UPDATE - APRIL 2018

ACTION
Caltrain staff recommends that the Board receive the Positive Train Control (PTC) report for April, 2018.

SIGNIFICANCE
On March 1, 2018, the JPB Board of Directors approved the award of a contract to Wabtec Corporation for the purposes of completing the implementation of Caltrain’s PTC system, replacing the previous systems integrator whose contract was terminated in February, 2017. Notice to Proceed (NTP) was issued to Wabtec on the same day (March 1, 2018).

In conjunction with this action, Staff committed to the full implementation of the Funding Partners’ Protocol including providing monthly reports to the Board. This staff report provides an update on project activities and is unique in its format due to the newness of the project. In future months, the monthly update will contain information regarding scope, schedule, budget, project risk and other data relevant to attaining critical 2018 milestones and beyond.

The monthly report format and contents will be vetted with the Board PTC Ad Hoc Committee and presented in future agendas.

BUDGET IMPACT
There is no budget impact related to this informational report. Staff will provide no later than June/July 2018 a revised PTC program budget accompanied by a budget plan.

APRIL UPDATE

Current Activities

Since Notice To Proceed, the Caltrain project team has been moving quickly to re-start and re-energize activities, focusing foremost on the work required to meet the FRA
mandate and apply for an extension beyond December 2018. These activities are focused on on-board installations and getting Caltrain operations into Revenue Service Demonstration (RSD) by December 2018. Gaining FRA approval to enter RSD in 2018 will both meet the federal mandate as well as drive the success of the 2019-2020 interoperability activities.

1. **Establishment of Caltrain project delivery team**—The delivery team features Caltrain PTC team members as augmented by contracted subject matter experts and administrative support. This will be critical to building internal subject matter knowledge, regulatory interface and support for on-going maintenance of interoperability and SOGR.

2. **Colocation of project teams**—Wabtec already has multiple personnel working on the property with the Wabtec team currently working out of the San Carlos headquarters. They will be moved to the Backup Central Control Facility (BCCF) in early April, which will serve as their testing and base of work location. The vehicle installation teams will be located at the CEMOF Yard in San Jose.

3. **Day long Kick off March 13**—In early March, an extensive kick-off meeting between Caltrain and Wabtec laid the groundwork to move quickly in both the technical and management areas of the project. Multiple workshops covering data communications, vehicle installations and field testing have occurred to establish working relationships on both sides while clarifying questions and gaining agreements on many design and implementation aspects. Formal and informal communication channels to be employed at all levels of the project where established during the kick-off meeting to ensure that clear and transparent discussions are held on a regular basis to mitigate issues and any potential delays.

4. **Commencement of Vehicle surveys**—Wabtec performed vehicle surveys on Caltrain locomotives and cab cars to initiate the pilot designs of the on board equipment.

5. **Commencement of field testing**—Field testing verification efforts were started, including the delivery of a Wabtec hi-rail dedicated to PTC testing.

6. **Initial RSD segment agreement**—A key agreement was reached late in the month. Caltrain and Wabtec have mutually determined the area of track that will be proposed to the FRA as the Caltrain ‘Designated RSD’ segment to be used to run in PTC mode and meet the mandate requirements. Caltrain will now propose this segment to the FRA to gain their approval for use.

7. **Baseline Schedule**—Wabtec has formally submitted a baseline schedule to Caltrain, which the project team is currently reviewing. It is the goal of both the project team and Wabtec to lock down the baseline schedule in April, as it is a key tool in measuring and managing the progress of the project. In addition, the Caltrain team is working with Wabtec to initiate the monthly joint risk management sessions in April.

8. **Oversight Protocol Implementation**—The project team is also reinitiating the project oversight protocols. Due to the accelerated mobilization, oversight activities are expected to be identified and rolled out through the month of April.

9. **Securement of non-WABTEC contracts**—The Caltrain project team is working with ARINC / Rockwell Collins to determine the scope and cost required to support
the Wabtec BOS upgrade as related to the ROCS systems. The expectation is to close the agreement by the end of April.

Non-Contract Activities

1. **Secure FTA/FRA grants**: Caltrain project team continued to support the JPB Grants group in finalizing information requests in order to secure multiple federal grants to be used on the PTC project. The funds will be used for vehicle installs, testing, BOS upgrades and interoperability support. As of March 29th it was confirmed that the FRA interoperability grant for $21.6M was secured and will be available for use on this project. The team is also preparing a grant application for the recently announced FRA CRISI grant program that is due in June 2018.

2. **Configuration management (CM)** - The Caltrain project team has been expanded to include an internal JPB resource to coordinate and implement the configuration management tool to be used on this project as well as future Caltrain CM needs as PTC is maintained as a key component of everyday Caltrain operation. Configuration management processes and procedures have been developed and are being trained internally as well as with TASI.

3. **Interoperability Coordination** - The team has maintained its regional interoperability development connection via the monthly MTA04 meetings. These meetings ensure the appropriate regional radio coverage and slot planning and allocation among operators. Staff will further strengthen its tenants and UPRR relationship by meeting directly with all in the coming months to insure the linkage required to successfully deploy interoperability is maintained.

Future Activities

In April the team expects to have Wabtec completely mobilized on site and actively working through the Wabtec submittals as Wabtec fully engages in its design and testing efforts. The team will also engage the FRA to discuss its plan to achieve RSD, the result being a formal application to the FRA including the designated RSD segment and vehicle install plan.

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