



BOARD OF DIRECTORS 2020

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

JIM HARTNETT
EXECUTIVE DIRECTOR

AGENDA

PENINSULA CORRIDOR JOINT POWERS BOARD

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

Directors, staff and the public may participate remotely online via Zoom at the websites provided below for audio/visual capability or by calling the phone numbers listed below for audio only. The video live stream will be available during or after the meeting at <http://www.caltrain.com/about/bod/video.html>

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

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

June 4, 2020 – Thursday

PART I OF MEETING: 9:00 a.m.

Connect for audio/video capability at <https://zoom.us/j/99173016002>.

Connect for audio capability only by calling 1-669-900-9128, Webinar ID: #991 7301 6002.

1. Call to Order / Pledge of Allegiance
2. Roll Call
3. General Counsel Report
 - a. Closed Session: Conference with Legal Counsel – Anticipated Litigation. Initiation of litigation pursuant to Government Code Section 54956.9(d)(4): One potential case

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

PART II OF MEETING: 10:00 a.m. or upon conclusion of Part I of the Meeting, whichever is later

Connect for audio/video capability at <https://zoom.us/j/99955556937>. Connect for audio capability only by calling 1-669-900-9128, Webinar ID: # 999 5555 6937

- 3. General Counsel Report, continued
 - b. Report from May 7, 2020 Closed Session
 - c. Report from Closed Session during Part I of Meeting

4. Public Comment for Items Not on the Agenda

Comments by each individual speaker shall be limited to two (2) minutes. Items raised that require a response will be deferred for staff reply.

5. Consent Calendar

Members of the Board may request that an item under the Consent Calendar be considered separately

- a. Approve Regular Meeting Minutes of May 7, 2020 MOTION
- b. Receive Key Caltrain Performance Statistics – April 2020 MOTION
- c. Receive State and Federal Legislative Update INFORMATIONAL
- d. Support Barack Obama Boulevard Rename MOTION
- e. Capital Projects Quarterly Status Report – 3rd Quarter Fiscal year 2020 INFORMATIONAL

Approved by the Finance Committee

- f. Accept Statement of Revenues and Expenditures for April 2020 MOTION
 - g. Provide an Extension of the Current Go Pass Term for all Current Go Pass Participants Impacted by the COVID-19 Mandatory Shelter-in-Place Order RESOLUTION
 - h. Award of Contract for Law Enforcement Services RESOLUTION
 - i. Award of Contracts for Provision of Investment Management and Custody and Safekeeping Services RESOLUTION
 - j. Execution of Contracts for Information Technology Licenses, Maintenance Services, and Professional Services RESOLUTION
 - k. Execution of Contracts for Technology-Related Products and Services through Piggybacking Contracts and Cooperative Purchasing Programs RESOLUTION
 - l. Authorize Amendments to Contracts for On-Call Railroad Business Operations and Systems Support Services RESOLUTION
 - m. Authorize Amendment to On-Call Electrification Support Services Contract for the Peninsula Corridor Electrification Project (PCEP) RESOLUTION
 - n. Authorize Amendment to On-Call Program Management Support Services Contract for the Peninsula Corridor Electrification Project (PCEP) RESOLUTION
 - o. Caltrain Business Plan - Update Covering May 2020 INFORMATIONAL
6. Adoption of Fiscal Year 2021 Interim Operating Budget and Fiscal Year 2021 Capital Budget RESOLUTION

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|---|---------------|
| 7. Report of the Chair | INFORMATIONAL |
| a. Governance Ad-Hoc Committee | |
| b. Local Policy Maker Group (LPMG) | |
| 8. Report of the Executive Director | INFORMATIONAL |
| a. COVID – 19 Update | INFORMATIONAL |
| b. Caltrain Positive Train Control (PTC) Project Update – June 2020 | INFORMATIONAL |
| 9. Report of the Finance Committee | INFORMATIONAL |
| 10. Increase Discount for Caltrain Means Based Fare Pilot Program
(materials pending) | RESOLUTION |
| 11. Monthly Peninsula Corridor Electrification Project (PCEP) Report – OCS
(Overhead Contact System) Foundation Completion Status | INFORMATIONAL |
| 12. Report of the Citizens Advisory Committee | INFORMATIONAL |
| 13. Correspondence | |
| 14. Board Member Requests | |
| 15. Date/Time of Next Regular Meeting: Thursday, July 9, 2020 at 9:00
am, via Zoom or at San Mateo County Transit District Administrative
Building, 2nd Floor, 1250 San Carlos Avenue, San Carlos, CA | |
| 16. Adjourn | |

INFORMATION FOR THE PUBLIC

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

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

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

Date and Time of Board and Committee Meetings

JPB Board: First Thursday of the month, 9:00 am; JPB Finance Committee: Fourth Monday of the month, 2:30 pm. Date, time and location of meetings may be changed as necessary. Meeting schedules for the Board and committees are available on the website.

Location of Meeting

Due to COVID-19, the meeting will only be via teleconference as per the information provided at the top of the agenda. The Public may not attend this meeting in person.

Public Comment*

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

Accessible Public Meetings/Translation

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

Availability of Public Records

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

Avenue, San Carlos, CA 94070-1306, at the same time that the public records are distributed or made available to the legislative body.

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

MINUTES OF MAY 7, 2020

MEMBERS PRESENT: D. Pine (Chair), C. Chavez, D. Davis (arrived 9:04am), J. Bruins, R. Collins, S. Heminger, C. Stone (arrived 9:10am), S. Walton, M. Zmuda

MEMBERS ABSENT: None

STAFF PRESENT: J. Hartnett, C. Mau, J. Cassman, M. Bouchard, A. Chan, J. Funghi, D. Hansel, S. Murphy, M. Jones, S. Petty, D. Seamans, S. Wong

1. CALL TO ORDER / PLEDGE OF ALLEGIANCE

Chair Dave Pine called the meeting to order at 9:00 am and led the Pledge of Allegiance.

2. ROLL CALL

District Secretary Seamans called the roll and confirmed a quorum.

3. PUBLIC COMMENT FOR ITEMS NOT ON THE AGENDA

Roland Lebrun, San Jose, commented on dropped ridership and starting hourly baby bullet trains.

Aleta Dupree, Oakland, expressed support for audible public Zoom comments, updating Clipper mobile app, updating vending machines for contact-less payment, Caltrain as a life-line, and keeping the Clipper differential.

Andy Chow, Redwood City, commented on the importance of riders feeling safe on public transit (COVID-wise) as we resume the economy.

4. CONSENT CALENDAR

Public Comment

Roland Lebrun, San Jose, commented on (4e) contracts not needing Finance Committee approval before proceeding and expressed disapproval for four of the six firms.

Motion/Second: Collins/Bruins approved the Consent Calendar

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

Noes: None

Absent: None

- a. Approve Meeting Minutes of April 2, 2020**
- b. Receive Key Caltrain Performance Statistics**
- c. Receive State and Federal Legislative Update**
- d. Accept Statement of Revenues and Expenditures for March 2020**
- e. Award of Contracts for On-Call Transportation Planning & Support Services**
- f. Caltrain Business Plan – Update Covering April 2020**

5. REPORT OF THE CHAIR

Chair Pine reported that the San Mateo County Board of Supervisors and San Mateo County Transit District passed a resolution this week to empower the Joint Powers Board (JPB) to potentially put the one-eighth three county sales tax on the ballot. He noted that the resolution would still need to clear Boards in Santa Clara and San Francisco.

a. Report of the Governance Ad-Hoc Committee

Chair Pine reported that the third meeting was held on May 1st, the Committee has a two part work plan to: [1] Gather facts on JPB's financial relationships, real estate ownership, membership responsibilities and understand base foundational agreements and [2] identify options for direct accountability of the Executive Director and other organizational functions to the JPB and formalizing the evaluation process of the Executive Director within the context of the JPB remaining in place and the San Mateo County Transit District (SMCTD) remaining the managing agency. Remcho Olsen was assigned as the legal counsel to support the Governance Ad-Hoc Committee; they have been reviewing six complicated historical agreements, interviewed those involved in preparing these documents, produced a draft report and walked the Committee through their findings to-date. There has been tremendous headway in ciphering the agreements (on property ownership, right-of-way reimbursement for SMCTD, job training, management, Gilroy service, operating capital costs, and parties' rights to revise or terminate the Joint Powers agreement). Special counsel expects to complete the review of various documents and agreements and interviewing a few more key stakeholders and wrapping up its report and making it available to the Board in June.

Chair Pine provided a brief update on the Organizational Capacity Study, and the extension of the Transit America Services, Inc. (TASI) contract. While both have been slowed down by the pandemic, both will be completed at the later part of the summer and presented to this Board in September.

Chair Pine also noted that the Governance Committee would hold an extra meeting this month for further questions regarding the report and will discuss these accountability measures at the June JPB meeting.

Director Walton asked if the presentation would be shared with colleagues. Chair Pine replied that an updated version of the report and presentation could be done in the future.

Director Cindy Chavez noted that any reports viewed currently could be potentially updated at a later date due to accessibility issues.

Director Charles Stone asked how much of the original budget was still remaining and how much was used up. Michelle Bouchard, Chief Rail Operating Officer, replied that as of April 20, 2020, they have expended about sixty percent of the \$250,000 budget. Director Stone inquired about Special Counsel indicating the need for additional finances. Ms. Bouchard replied that there was no current request to do so. Director Stone inquired about the status of completion for the work for the Governance ad-hoc Committee. Chair Pine said the foundational report is eighty percent complete and the budget would be discussed if subjects went beyond the current work plan.

Public Comment

Roland Lebrun, San Jose, requested that a copy of the Chair report be included in the agenda packet, and commented on the Brown Act in regards to ad-hoc committees, Caltrain and SMCTD management.

6. REPORT OF THE EXECUTIVE DIRECTOR

Jim Hartnett, Executive Director, provided an introduction to the updates.

a. COVID-19 Status Update

Sebastian Petty, Director of Policy Development, provided an update regarding ongoing work in response to the pandemic. He stated that COVID-19 presents a severe and prolonged crisis for Caltrain; they are currently in a phase where they are surviving the pandemic and the trajectory of operations is uncertain. He explained that changes in the economy and in peoples' behavior would indicate how they would move into the stability phase where they would prepare for the next reality. Mr. Petty noted the 95 percent drop in ticket sales, the service reductions, emergency financial measures, and focus on construction and maintenance.

Derek Hansel, Chief Financial Officer, provided an update on the financial implications of COVID-19. He acknowledged that the pandemic dealt an immediate blow to the budget and forecasted a shortfall of farebox and boxing revenue of \$23 million for the fiscal year. Mr. Hansel stated that cash management has been a major challenge and the first tranche of federal funding (\$49 million) will be used to fill Fiscal Year (FY) 2020 budget gap with the balance for use in FY 2021. He said he expects ridership to be substantially depressed for the foreseeable future which presents a huge financial challenge for at least the next fiscal year. Mr. Hansel discussed financial challenges in FY21i with a crisis projection of a \$71 million annual deficit. He outlined the financial sensitivity to ridership would leave a \$22-\$66 million annual gap depending on whether ridership dropped 25-75 percent. Mr. Hansel pointed out that at peak hours, trains would run at 130 percent capacity (780 riders), which would currently be a problem with current physical distancing needs. He advised that it would not just be a FY21 problem, but a problem that would persist for some time.

Mr. Petty noted that Caltrain finished each fiscal year through tight budgeting and strong ridership. He said staff has begun intensive scenario planning to prepare for long term success and are continuing work on Senate Bill (SB) 797, railroad electrification, and the Business Plan.

Mr. Hartnett noted that there has been the railroad here for 150 years and it is not going away anytime soon, that the current financial status is unacceptable and they will have to go through a serious period of evaluation of how things operate and external funding. Although the first tranche of federal funding will be coming soon, more external funding will be needed. He said they will be active in discussions for second tranche of Federal funds and that he has been appointed to the Blue Ribbon Transit Recovery task force to determine allocations for the second tranche.

Director Steve Heminger asked if the current and upcoming tranche of funds would cover the \$80 million in deficit as indicated in the FY20/FY21 slides. Mr. Hansel said that would be very challenging as GoPass losses would affect those pieces and member agencies need to commit to the same level of funding next year, and the remaining

allocation of funds has not yet been determined. Director Heminger asked if there was anything further to be done on the cost side, in particular, decreasing the amount of current trains running. Ms. Bouchard noted that they have been grappling with this issue for some time, in terms of the need to provide service to essential riders while maintaining all of the employees operating on the right-of-way due to the CARES federal funding. Currently they do not see a way to drastically reduce costs. Mr. Hansel said a large portion of their costs are fixed costs and would exist whether they were running 5 or 90 cars a day.

Director Ron Collins asked about organizing social distancing on trains. Ms. Bouchard responded that conductors and rovers would remind people to social distance. Director Collins asked how seats marked as non-sit seats would affect the revenue forecast. Mr. Hansel replied that this scenario could be made in future forecasts.

Director Dev Davis questioned several data points in the presentation: why there was \$11 million deficit in FY20 and an indicated usage of \$24 million from the CARES Act. Mr. Hansel clarified that the \$11 million was a low deficit estimate that may occur and the CARES Act funding can be used to replace lost revenues. Director Davis asked how this changed our budget process and calendar. Mr. Hansel said they are bringing forward in May & June an interim budget for FY21 for the first three months with "lumpy" expenditures (insurance, unfunded liability for pensions, etc.). In August there will be a balance for the FY21.

Director Monique Zmuda asked about different scenarios based on ridership in the interim budget and when does staff reduction decisions have to be made to adjust to circumstances. Mr. Hansel replied that they will be conservative on ridership as a source of revenue. Ms. Bouchard replied that they reduced overtime, enacted a hiring freeze, and that anything further would require action under the Warren Act; she noted that it would take two weeks to see savings accrue due to furloughs and reduced staff.

Director Charles Stone asked if it was correct that if timely payments were made to managing agencies and that most of the CARES Act funding would be used. Mr. Hansel replied a lot of cash would be used, expenses are recognized on a periodic basis, and Samtrans provides \$6.5 million a quarter to Caltrain, but right now, they are not paying Samtrans \$6.5 million per quarter.

Director Jeannie Bruins commented on the Governance ad-hoc committee and other areas where there may be potential savings.

Director Cindy Chavez requested through the Executive Director that a poll be done of the nine Bay Area transportation agencies by (Metropolitan Transportation Authority) MTC. She expressed hope that MTC would play a leadership role in polling members to how riders would come back.

Director Shamann Walton commended staff for their work during this time.

Chair Pine expressed the hope to have more flexibility to reduce service and the ability to work with companies for GoPass revenues.

b. Authorize the Executive Director to Apply for Emergency Funds and Exercise Certain Emergency Powers in Response to the Covid-19 Pandemic

Joan Cassman, General Counsel, introduced the resolutions acknowledging the COVID-19 emergency, the first one would officially designate the Executive Director to seek emergency funds (federal, state, or local), with a life of three years. The second resolution acknowledged the emergency by designating the Executive Director authority to effectively address the pandemic; to waive rules when appropriate in the procurement manual; (e.g. purchasing bulk masks); to take actions to respond to the pandemic in between Board meetings that might otherwise require Board review and approval, though it would be reported back to the Board should any such actions take place. Third, authorize Executive Director to provide mutual aid due to the COVID-19 crises.

Board members had a discussion and staff provided further clarification in response to the Board comments and questions.

Chair Pine announced that public comment would be heard altogether at the end of the consent calendar.

Motion/Second: Bruins/Stone moved approval of Resolutions 2020-18 and 2020-19. Ayes: Bruins, Collins, Heminger, Stone, Walton, Zmuda, Davis, Pine
Noes: None
Absent: Chavez

c. Peninsula Corridor Electrification Project (PCEP) Monthly Progress Report

Mr. Funghi provided an update on the electrification infrastructure and Electric Multiple Unit (EMU) projects. In April, they began working in expanded shifts to take advantage of the expanded work windows. He noted that Balfour Beatty would run out of specific rebar cages on May 8th due to late ordering and late design issue resolution, which would result in Overhead Catenary System (OCS) foundation work being paused until the end of May. He noted that PG&E has retooled their safety plans and re-started work on both substations. The Stadler electric vehicle contract work in Salt Lake City continues to operate a split shift floor schedule to comply with social distancing, and train assemblies are on schedule. He noted that supply chain issues are a concern for the long term.

Chair Davis expressed concern regarding scheduled project completion with 85 percent budget expenditure and 50 percent project completion and questioned how Balfour would increase their production to break even with the projected work completion date. Mr. Funghi replied that past production for the production rate per month does not translate to future foundation completion. He noted that while Balfour is driving the schedule on design and construction elements, the foundation work does not necessarily drive the completion date and the completion of the signal work will be a determining factor too. He noted that Balfour projects that the foundation work will be completed by the end of this year.

Chair Pine support in support of Director Davis' comments regarding Balfour's projected completion date and requested that the PCEP report be pulled from the Executive Director's report as a separate agenda item to be discussed at length at the next Board meeting.

Chair Ron Collins asked if Balfour Beatty's current restocking of rebar cages included enough additional rebar cages to last through the end of the year to prevent additional delays. Mr. Funghi replied that they would order in batches based on available on-site storage.

d. Monthly Report on Positive Train Control Project

Michelle Bouchard, Chief Rail Operating Officer, reported that they have been meeting weekly with the FRA (Federal Railroad Administration) for a strong safety plan submission by early June, and they expect the review to take less than the normal six months for certification. She reported that they are in the process of negotiating a maintenance and service agreement with Wabtec, Inc. for technology that only they can provide for this particular system. Simultaneously they are also working on attracting talent to keep the bulk of this maintenance service internal and in a state of good repair.

Public Comment

Roland Lebrun, San Jose, commented on reducing train seating capacity to 100 seats, transferring all EMU testing to Transportation Technology Center, Inc. (TTCI) and suspending all shell manufacturing from Switzerland until approved by Federal Railroad Association (FRA).

Aleta Dupree, Oakland, commented on foundations logistics and efficient use of time on surveying and potholing.

Adina Levin, Friends of Caltrain, commented on the possibility of a potential shutdown for Caltrain and the hopes that the Bay Area would band together to prevent the gridlock.

Andy Chow, Redwood City, commented on learning from how European and Asian authorities are responding to re-opening their mass transit.

Doug DeLong, Mountain View, commented on how gallery cars are more suited to social distancing than bombardier cars and on transparency for Balfour Beatty foundation subcontractors.

Adrian Brandt commented on reducing operating cost issues and adopting world's best practices for proof of payment. He also voiced electrification concerns.

Jeff Carter, Millbrae, requested the raw data used to create financial charts and encouraged the public to lobby federal legislatures to provide additional stimulus funding to public transit, especially in unprecedented times.

7. REPORT OF THE CITIZENS ADVISORY COMMITTEE (CAC)

Brian Shaw, CAC Chair, reported that there was public comment on staff publishing the raw data on the 2019 customer satisfaction survey and the COVID presentation. He said Committee comments included the following: continued social distancing until a vaccine is developed, Caltrain ridership revenues, reducing TASI staff with upcoming contract, looking at fare inequity among different income and distance groups, moving to distance fare matrix for distance equity in fares, and a request for the number of housing built near each station by city. Mr. Shaw said public comment on Caltrain Business Plan included the following: maximizing passing tracks for mixed service (local, limited, express), discarding zone system for point-to-point fare pricing, and expanding Caltrain lots. He reported that CAC members asked about progress on

the capital project work and the next CAC meeting will be May 20th to hear an update on the Capital Budget, EMU, and grade crossing solutions.

8. REPORT OF THE WORK PROGRAM-LEGISLATIVE-PLANNING (WPLP) COMMITTEE

a. Update on Downtown Extension (DTX) and Related San Francisco Planning Efforts

Sebastian Petty, Director of Policy Development, provided an update on projects and planning efforts related to Caltrain work. He said a Memorandum of Understanding (MOU) was developed between Caltrain and other downtown extension partners (Transbay Joint Powers Board, Metropolitan Transportation Commission, California High Speed Rail Authority, Peninsula Corridor Joint Powers Board, City and County of San Francisco, San Francisco County Transportation Authority). He provided an overview on the following projects: [1] downtown extension underground from Fourth and King to the Salesforce Transit Center, [2] potential for reconstruction and development of Fourth and King railyard, [3] Pennsylvania Ave extension (PAX), and [4] potential changes to 22nd Street station.

Director Zmuda asked about the sequence of projects, which ones will move forward at what rate, the approximate costs, and discussions about possible funding sources. Mr. Petty replied that the downtown extension project is advanced, the 22nd Street project is distinct and dependent on a study; the DTX and PAX costs are approximately \$4 billion and \$2 billion respectively, costs for Fourth and King are unknown currently. Director Zmuda asked if Caltrain has sufficient leadership capabilities to work with various parties. Mr. Hartnett replied that the MOU was dispersed and coordinated decision making are where they need to be with ensuring that everyone knows what the other is doing. The challenge for Caltrain is on the resource side, and they have worked to line up participation from planning partners in San Francisco.

Public Comment

Roland Lebrun, San Jose, commented on the governance structure as a good model for Caltrain and the Transbay Joint Powers Board (TJPB) chair.

Jeff Carter, Millbrae, commented on the necessity of the Pennsylvania Extension project (PAX) as it would be costly and take Caltrain out of the existing right-of-way. He expressed approval of the 22nd Street development.

Aleta Dupree, Oakland, commented on 22nd Street Station not being disability accessible, expressed support for the DTX, voiced concerns regarding not using the northern most tunnel (duplicating tunnels) and following Grand Central Terminal as an example.

9. CORRESPONDENCE

Correspondence was included in the Board's reading folders and is available on line.

10. BOARD MEMBER REQUESTS

Chair Pine requested the PCEP report pulled as its own item for the next meeting.

11. GENERAL COUNSEL REPORT

12. CLOSED SESSION

Joan Cassman, General Counsel, introduced the closed session where the Board would be updated on the status of the lawsuit between the JPB and Parsons Transportation Group regarding the Communication Based Overlay Signal System

(CBOSS) contract termination. She provided clarification on the process where the current Zoom meeting would adjourn at the end of the closed session and a public report would be provided at the next regular JPB meeting regarding any actions taken, but which she anticipates none.

- a. Government Closed Session: Conference with Legal Counsel—Existing Litigation Code Section 54956.9(d)(1)
Parsons Transportation Group v. Peninsula Corridor Joint Powers Board et al; San Mateo County Superior
Court Case No. Case No. 17CIV00786 (lead)

Public Comment

Roland Lebrun, San Jose, commented on not immediately reporting back from closed session.

The Board adjourned the regular meeting and to then reconvene in closed session.

13. DATE/TIME OF NEXT REGULAR MEETING: Thursday, June 4, 2020 at 9:00 am, via Zoom or San Mateo County Transit District Administrative Building, 2nd Floor, 1250 San Carlos Avenue, San Carlos, CA

14. ADJOURN

The meeting adjourned at 11:45 am.

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

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Michelle Bouchard
Chief Operating Officer, Rail

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

ACTION

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

SIGNIFICANCE

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

BUDGET IMPACT

There is no budget impact.

MONTHLY UPDATE

The coronavirus (COVID-19) pandemic has had drastic impacts to Caltrain ridership and revenue. Starting in March 2020 the typical revenue-based methodology of estimating ridership was ineffective. March 2020 ridership was not reported due to several factors including:

- The significant ridership change that occurred in the middle of the month due to the Bay Area and Statewide shelter-in-place orders put in place to prevent the spread of the virus. Factors previously used to estimate Monthly pass and Go Pass usage were no longer valid.
- Use of Monthly Pass – Monthly Pass users are not required to tag on or off for each ride as long as passes are loaded to the Clipper card properly by doing so for the first ride of the month; detailed usage data, including the number of times each Pass holder rides Caltrain, is not collected.
- Characteristics of Go Pass program:
 - It is an annual subscription program with no mid-year refund allowed for unused portion; there is no data available to capture such a significant drop in usage occurred at any point in the middle of the calendar year.
 - It is set up so that participating employers purchase Go Passes not only for employees who would utilize the Passes but for all employees based

locally; there is no data available to accurately capture the baseline usage to compare.

- o Majority of Go Passes issued are stickers to be put on the employee ID; detailed usage data, including number of times each Pass holders ride Caltrain, is not collected.

After review of data and resources available, staff identified a temporary methodology to estimate the ridership starting in April 2020. Staff estimated systemwide daily boardings by comparing requested daily conductor counts at 14 key stations and Clipper tag-ons at these 14 key stations and then estimated number of the non-Clipper customers at other stations where the conductor counts are not performed using the Clipper tag-on counts.

In April 2020, Caltrain's Average Weekday Ridership (AWR) decreased by 97.7 percent to 1,547 from April 2019 AWR of 67,728. The total number of passengers who rode Caltrain in April 2020 decreased by 97.6 percent to 38,858 from 1,593,266 April 2019 ridership. Caltrain experienced a significant decline in ridership due to the COVID-19 pandemic and the implementation of the Bay Area wide and Statewide shelter-in-place orders in mid-March 2020 to prevent the spread of the virus. In order to mitigate significant ridership and fare revenue losses while still providing essential transit services to all stations, Caltrain operated reduced weekday service with all 42 trains providing local service between San Francisco to San Jose and provided two roundtrips to/from Gilroy.

With reduced weekday service, additional track access was provided to capital projects, including 24-hour single tracking for the 25th Avenue Grade Separation Project and the South San Francisco Caltrain Station Improvement Project, to support progress of the capital project delivery and was provided to maintenance activities to catch up with delayed and/or previously deferred maintenance.

This month ticket sales decreased from April 2019 for:

- One Way tickets: 96.8 percent
- ED One Way tickets: 92.9 percent
- Day Passes: 98.2 percent
- ED Day Passes: 96.5 percent
- Monthly Passes: 97.4 percent
- ED Monthly Passes: 91.8 percent

Caltrain Mobile Ticketing accounted for approximately 5.9 percent (2,310 rides) of April 2020 rides and 0.5 percent (\$13,646) of April 2020 monthly ticket sales revenue. The number of Eligible Go Pass Employees increased to 87,204 from 85,060 from April 2019. The number of participating Go Pass Companies decreased to 121 from 128 from April 2019. Total Farebox Revenue decreased by 71.9 percent to \$2,689,917 from \$9,573,402 in April 2019. The decrease in farebox revenue was primarily due to the Bay Area and Statewide shelter-in-place orders as response to the COVID-19 pandemic resulting in significant reductions in ridership.

On-time performance (OTP) for April 2020 was 94.3 percent compared to 93.6 percent OTP for April 2019. In April 2020, there were 197 minutes of delay due to mechanical issues compared to 983 minutes in April 2019.

Looking at customer service statistics, the number of complaints per 100,000 passengers in March 2020 is not provided since numbers are skewed with the significant decrease in ridership due to COVID-19 pandemic. There were 8.1 complaints per 100,000 passengers in April 2019. In lieu of this information, there were a total of 67 complaints in March 2020 vs. a total of 120 complaints in March 2019.

Shuttle ridership for April 2020 decreased 92.7 percent from April 2019. When the Marguerite shuttle ridership is removed, the impact to ridership was decrease of 94.1 percent. For station shuttles:

- Millbrae-Broadway shuttle: 6 average daily riders
- Weekend Tamien-San Jose shuttle: 0 average daily riders

Due to ongoing service issues with the Shuttle Contractor (MV Transportation) as a result of staffing shortage, there were a total of 265 DNOs (Did Not Operate) trips for Caltrain shuttles in April 2020. There is continued service loses beyond previously implemented service reductions and suspensions to match available operator counts. The Menlo Park Midday Shuttle, one of the two Twin Dolphin and one of the two Belle Haven vehicles remain temporarily discontinued.

In addition, due to the COVID-19 pandemic and Bay Area wide and Statewide shelter-in-place orders, the following Caltrain shuttles were suspended/partially suspended in March 2020 which also impacted April 2020 shuttle ridership:

- Belmont/Hillsdale: suspended 3/28/20
 - The shuttle resumed service when the Hillsdale station closed for construction on May 16, 2020
- East Bayshore – Mountain View Caltrain: suspended 3/16/2020
- Electronic Arts – Hillsdale/San Carlos Caltrain: suspended 3/16/2020
- Marsh Road (1 of 2) – Menlo Park Caltrain: reduced 3/30/2020
- Oracle – Hillsdale/San Carlos Caltrain: suspended 3/17/2020
- Pacific Shores – Redwood City Caltrain: suspended 3/19/2020
- West Bayshore – Mountain View Caltrain: suspended 3/16/2020

Table A

April 2020

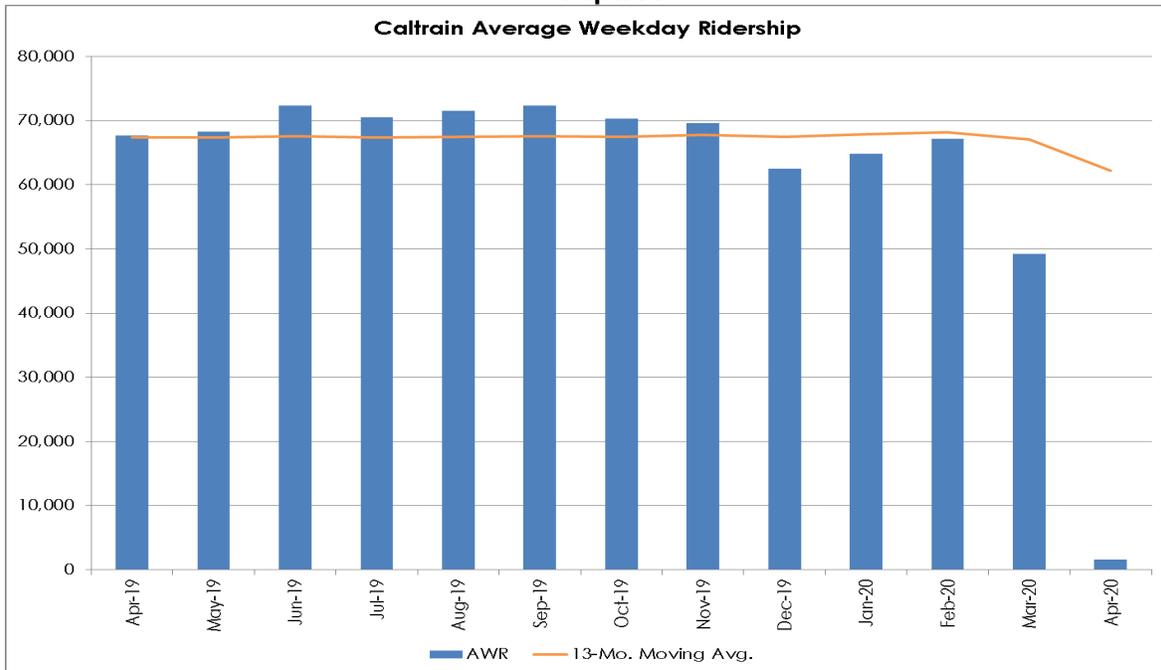
	FY2019	FY2020	% Change
Total Ridership	1,593,266*	38,858	-97.6%
Average Weekday Ridership	67,728*	1,547	-97.7%
Total Farebox Revenue	\$ 9,573,402	\$ 2,689,917	-71.9%
On-time Performance	93.6%	94.3%	0.7%
Average Weekday Caltrain Shuttle Ridership	8,458	616	-92.7%

Fiscal Year to Date

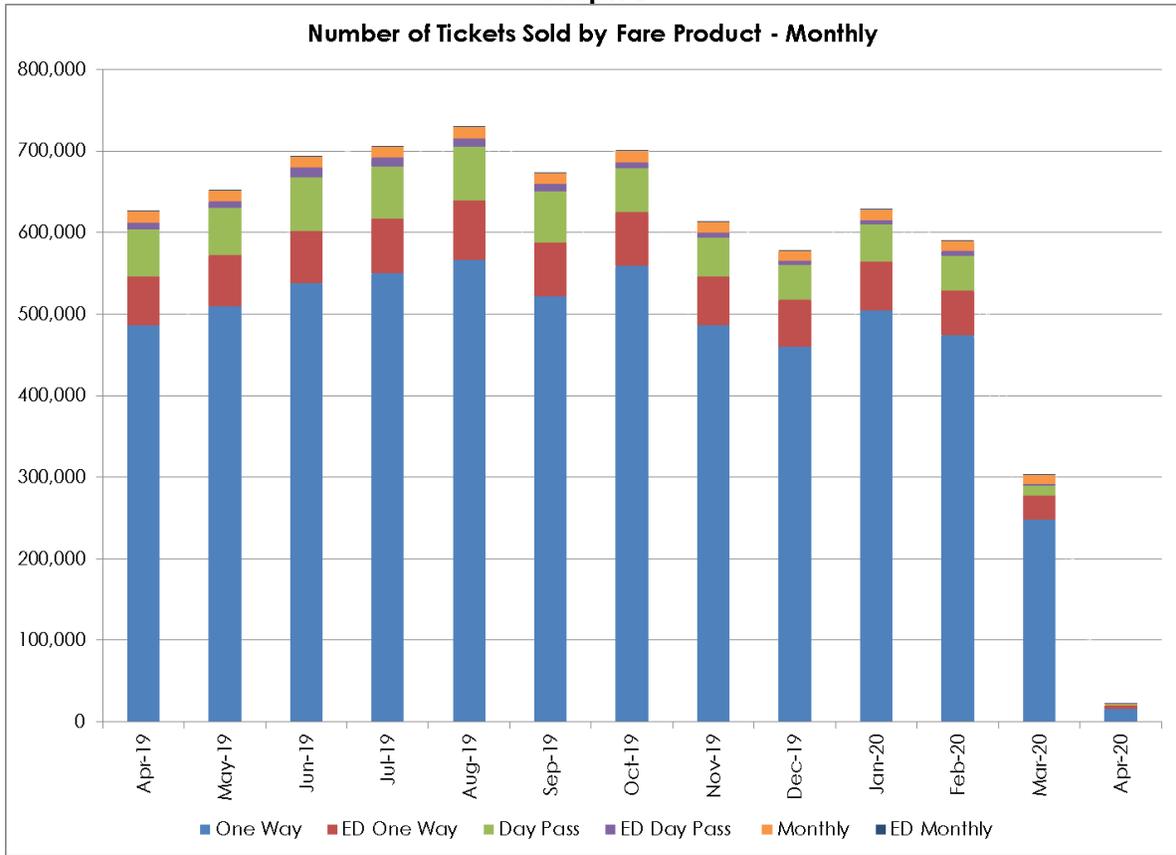
	FY2019	FY2020	% Change
Total Ridership	15,156,011*	13,730,194*	-9.4%
Average Weekday Ridership	73,920*	66,637*	-9.9%
Total Farebox Revenue	\$ 84,793,550	\$ 79,348,545	-6.4%
On-time Performance	93.2%	93.9%	0.8%
Average Weekday Caltrain Shuttle Ridership	8,366	7,334	-12.3%

* = Items revised due to calibration to the ridership model

Graph A

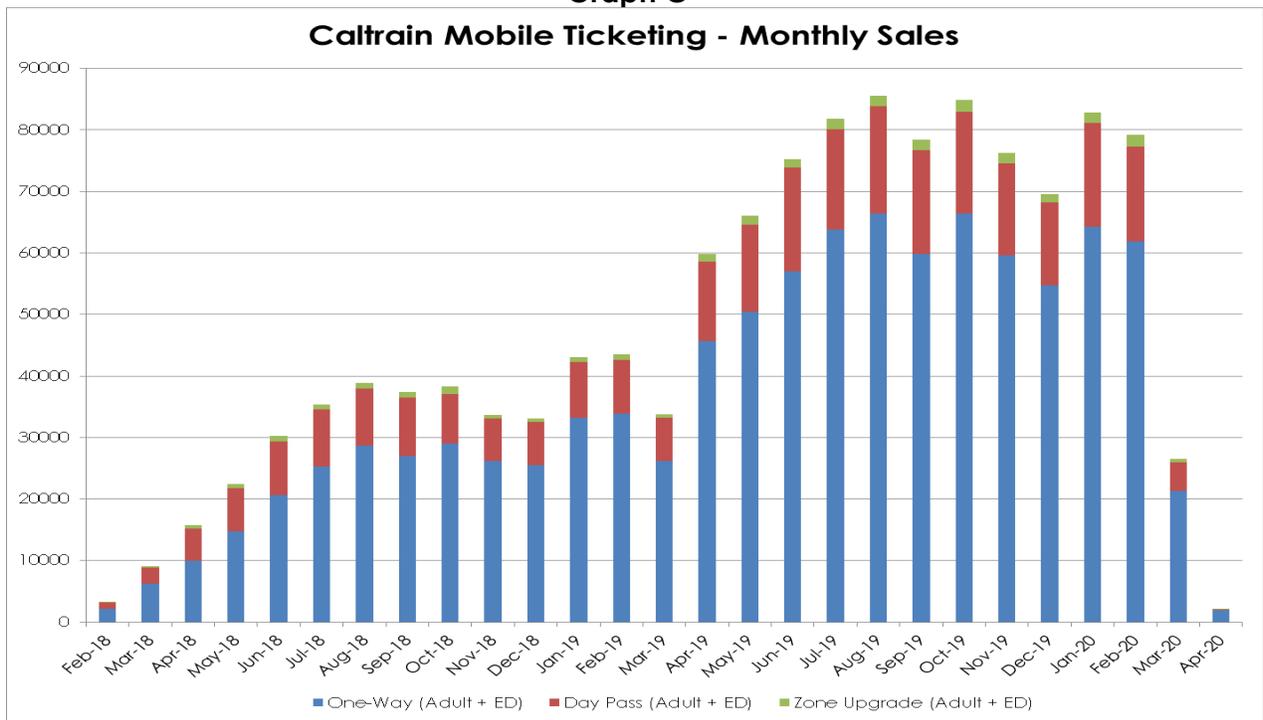


Graph B

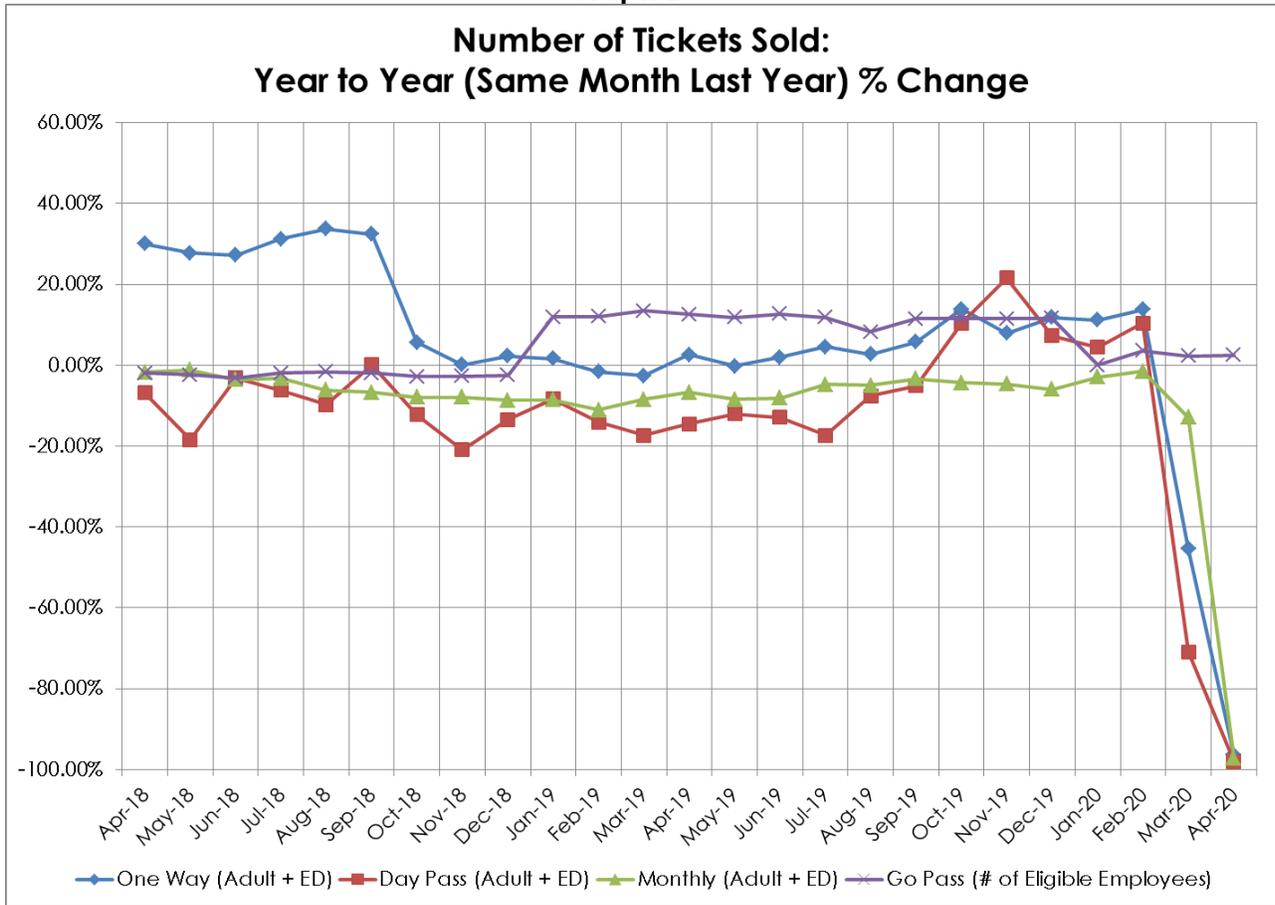


*Go Passes tracked by Monthly Number of Eligible Employees (not by Sales)

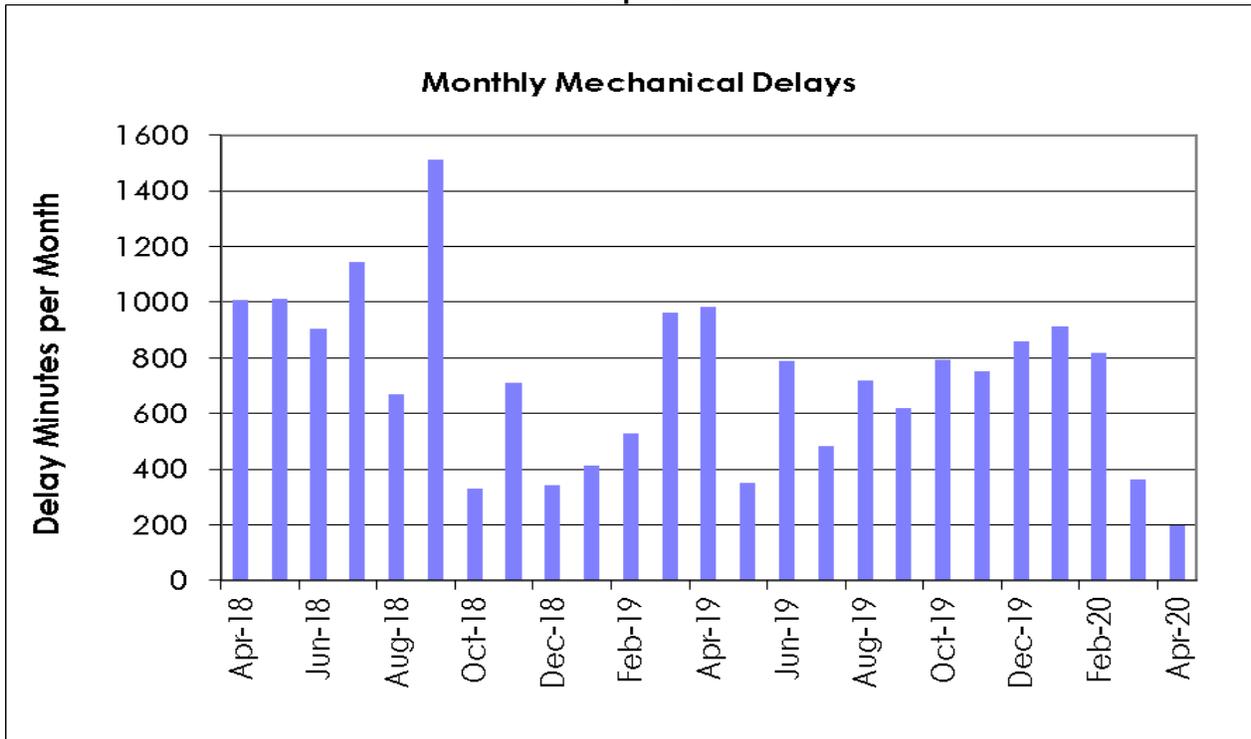
Graph C



Graph D



Graph E



Caltrain Promotions – April 2020

Due to the Bay Area wide and Statewide shelter-in-place orders and significant reductions in ridership resulting from the coronavirus (COVID-19) pandemic, marketing and promotional activities have been suspended.

Caltrain Digital Metrics - APRIL 2020



New Followers

-234

Apr 20 - 179,547

Mar 20 - 179,781

Apr 19 - 177,489

Top Tagged Issues

1. **COVID** (87)

2. **Electrification** (48)

3. **Fare Enforcement** (27)

4. **Hillsdale** (8)

5. **Caltrain Compliment** (6)

Caltrain.com Sessions

Apr 20 - 84,648

Mar 20 - 835,405

Apr 19 - 837,383

Social Engagement

Video Views

881,023 (Mar - 840K)

Content Impressions

1,539,783 (Mar - 2.7M)

Interactions

24,188 (Apr - 47,817)

Monthly Yelp & FB Rating

(2.5 out of 5)

(0 April reviews)



@caltrain, @gocaltrain



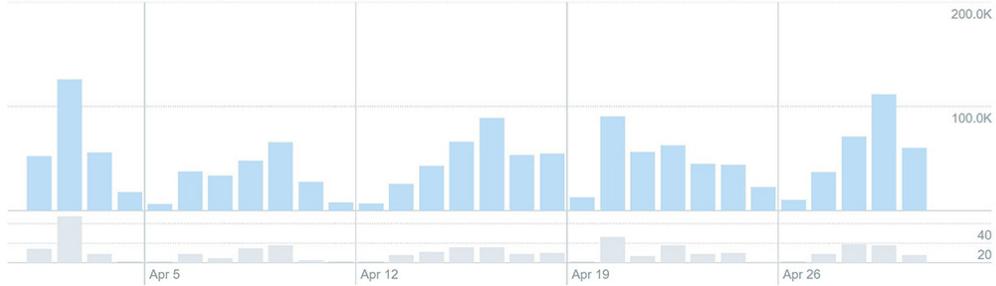
@gocaltrain



@caltrain

Twitter Impression Spikes April, 2020

Your Tweets earned 1.4M impressions over this 30 day period



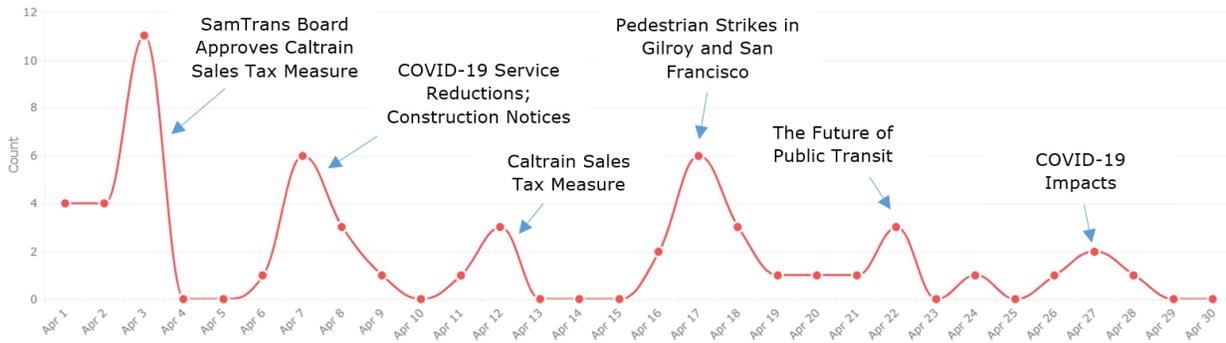
No service related spikes in April

April 2 - Board traffic
April 29 - Viral content.

- Impressions of Tweets
- Paid Impressions
- Tweets Sent

Impressions sometimes appear the day after an incident as Twitter users view the post the next day.

Caltrain News Coverage Report – April 2020



Total # of articles: 56 (compared to 148 in March)

Prepared by:

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

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**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Seamus Murphy
Chief Communications Officer

SUBJECT: **STATE AND FEDERAL LEGISLATIVE UPDATE**

ACTION

Staff Coordinating Council recommends the Board receives the attached memos. Staff will provide regular updates to the Board in accordance with Legislative Program.

SIGNIFICANCE

The 2020 Legislative Program establishes the principles that will guide the legislative and regulatory advocacy efforts. Based on those principles, staff coordinates closely with our Federal and State advocates on a wide variety of issues that are considered in Congress and the State legislature. The attached reports highlight the recent issues and actions that are relevant to the Board.

Prepared By: Casey Fromson, Government and
Community Affairs Director

650-508-6493

May 8, 2020

TO: Peninsula Corridor Joint Powers Board Members

FROM: Mike Robson and Trent Smith, Edelstein Gilbert Robson & Smith, LLC
Joshua W. Shaw and Matt Robinson, Shaw / Yoder / Antwih, Inc.

RE: **STATE LEGISLATIVE UPDATE – May 2020**

Status of the Legislature

The Legislature is returning to the Capitol to conduct policy committee hearings and budget committee hearings. The Assembly returned Monday, May 4 while the Senate will return on May 11.

Each Assembly policy committee is holding one hearing in which all bills for that committee will be heard and voted on. Typically, a committee will hear hundreds of bills over a two or three-month period. Under the Assembly's plan, the committees are scaling back the total number of bills heard to just a couple dozen or less. The hearings are being conducted in one of three large rooms in the Capitol, with one of the "committee rooms" being the floor of the Assembly. This is being done to accommodate social distancing for the legislative members of the committees. Legislators are presenting their bills but are not allowed to bring staff to the committee room. Committee consultants are the only staff allowed in the committee rooms.

Further, there is limited opportunity for public/lobbyist testimony on any given bill. Proponents and opponents are limited to only two speakers per side and the testimony is strongly encouraged to be done via a dedicated teleconference line. Live testimony is allowed from a remote, separate room in the Capitol. However, with public access to the Capitol being limited, not much testimony is being provided in this manner.

With only a fraction of the total bills being heard and voted on, legislators were encouraged by leadership to limit their bill packages to those that are directly related to the COVID-19 emergency, economic recovery from the emergency and to wildfire preparedness and response. To date, that advice and encouragement is not being followed and many legislators are moving bills that are outside this limited scope.

Legislation

AB 2057 (Chiu) – Bay Area Public Transit. Although the bill was recently amended, the author is not moving the bill further this year due the lessened bill load that the

Assembly Transportation Committee is allowing to move forward given the circumstances. Conversations will continue next year when the bill is reintroduced.

AB 2237 (Chiu) Bay Area Transit Contracting. This bill would require each county transportation authority to award contracts for the purchase of supplies, equipment, and materials in excess of \$150,000, rather than \$75,000, either to the lowest responsible bidder or to the responsible bidder whose proposal provides the best value on the basis of the factors identified in the solicitation, except in a declared emergency. Recent amendments clarify that this does not apply to construction contracts.

The bill will not be moving further this year.

AB 3116 (Irwin) – Mobility Devices. This bill would authorize a public agency that issues a permit to an operator for mobility services to require that operator to periodically submit anonymized trip data and would clarify that trip data is electronic device information, as defined in the Electronic Communications Privacy Act. The intent of the bill is to clarify that CalECPA applies to city use of mobility data.

The bill passed out of the Assembly Privacy Committee on May 5 after a debate between the Internet Association and the Electronic Frontier Foundation, the bill's supporters, and the LA Department of Transportation and City of Santa Monica, representing the bill's opposition. The author noted that cities who are making the argument that they can track location information without personal information are disingenuous and that the use of this data violates rider privacy. The opposition pushed back on this claim and argued that the use of this data does not violate the privacy of riders and makes city streets and sidewalks safer and is thus critical. One member of the committee abstained because she believed that the bill should be heard in the Transportation Committee and was not.

The bill passed 9-1 and will be heard next in the Assembly Appropriations Committee.

Free Transit Bills

Multiple bills were introduced this year regarding free transit for various groups:

AB 1350 (Gonzalez) – Free transit for minors. It has been confirmed that this bill is not moving further this year.

AB 2012 (Chu) – Free transit for seniors. It has also been confirmed that this bill is not moving further this year.

AB 2176 (Holden) – Free transit for college students. The author's office has some amendments that are not yet in print, but the bill was not set for the Assembly Transportation Committee's only hearing. The bill will not be moving further this year

Workers' Compensation

On May 6, the Governor signed an Executive order that declares that workers who are required by their employer to go to the workplace, and who tested positive for COVID-19 or were diagnosed by a physician, would be presumed to have contracted

the illness at work and receive worker's compensation benefits. The presumption is rebuttable by the employer within the first 30 days of the claim (as opposed to a "conclusive" presumption that has been proposed in a bill below). Work-from-home employees would not be covered by the order. The order expires 60 days from May 6.

In recent days and weeks, legislators have introduced a number of bills on the subject. It is possible that the Governor wanted to take action to get ahead of those efforts, but it remains to be seen whether legislators will continue to pursue their bills. They include:

AB 196 (Gonzalez)

This bill would conclusively presume that all essential workers who test positive for COVID-19 were exposed at work.

AB 664 (Cooper)

This bill would include COVID-19 infection as an injury for purposes of workers' compensation benefits for state and local firefighting personnel, peace officers, certain hospital employees, and other emergency personnel.

SB 893 (Caballero)

This bill would include infectious disease as an injury for hospital employees and make it a rebuttable presumption that an infectious disease injury occurred at work for purposes workers' compensation.

SB 1159 (Hill)

This bill would define COVID-19 infection as an injury for any critical worker (essentially anybody working during the shelter-in-place order) and make it a "disputable" presumption that such an injury occurred at work.

Statewide Competitive Grant Programs

Below is a list of major competitive grant programs administered by the State from which transit and rail projects are eligible/can be funded.

Transit and Intercity Rail Capital Program (TIRCP)

The TIRCP was created to fund capital improvements to modernize California's intercity rail, bus, ferry, and rail transit systems to reduce emissions, expand and improve transit service and ridership, integrate rail services and improve transit safety. Funds available are estimated at \$450-500 million for Cycle 4 but could change on auction proceeds and changing cash flow requirements of already awarded projects.

Important Dates:

January 2020 – Applications Due

April 2020 – CalSTA Award Announcement

Solutions for Congested Corridors Program (SCCP)

The SCCP provides funding to achieve a balanced set of transportation, environmental, and community access improvements to reduce congestion throughout the state. The

program makes \$250 million available annually (programmed in 2-year increments) for projects that implement specific transportation performance improvements.

Important Dates:

October 2019 – Guidelines Adopted

January 2020 – Applications Due

June 2020 – Program Adoption

Local Partnership Program (LPP)

The LPP is intended to provide local and regional transportation agencies that have passed sales tax measures, developer fees, or other imposed transportation fees with a continuous appropriation of \$200 million annually from the Road Maintenance and Rehabilitation Account to fund road maintenance and rehabilitation, sound walls, and other transportation improvement projects. The Competitive program is funded at \$100 million annually.

Important Dates:

October 2019 – Guidelines Adopted

January 2020 – Applications Due

June 2020 – Program Adoption

Trade Corridor Enhancement Program (TCEP)

The TCEP provides funding for infrastructure improvements on federally designated Trade Corridors of National and Regional Significance, on the Primary Freight Network as identified in California Freight Mobility Plan, and along other corridors that have a high volume of freight movement. There is approximately \$300 million provided per year (programmed in 2-year increments) for the competitive program.

Important Dates:

January 2020 – Guidelines Adopted

March 2020 – Applications Due

June 2020 – Program Adoption

Grade Separation Funding

Below is a list of the funding sources that we are aware of and/or that have been used to fund grade separations in the recent years. The funding sources below are managed across various state agencies and departments, including the Public Utilities Commission (PUC), the California State Transportation Agency (CalSTA), the California Transportation Commission (CTC), and Caltrans.

PUC Section 190 Grade Separation Program – The Program is a [state funding program](#) to grade separate crossings between roadways and railroad tracks and provides approximately \$15 million annually, transferred from Caltrans. Agencies apply to the PUC for project funding.

State Transportation Improvement Program – The STIP, managed by Caltrans and programmed by the CTC, is primarily used to fund highway expansion projects throughout the state, but also supports grade separations. The STIP is programmed every two years (currently the 2018 STIP added \$2.2 billion in new funding). Local agencies receive a share of STIP funding, as does the State. The STIP is funded with gasoline excise tax revenues.

Transit and Intercity Rail Capital Program – The TIRCP is managed by CalSTA and is available to fund rail and transit projects that reduce greenhouse gas emissions. The program receives funding from Cap and Trade and the recently created Transportation Improvement Fee to the tune of approximately \$500 million per year. The TIRCP is programmed over 5 years, with the most recent cycle beginning in May 2018. Caltrain received \$160 million for the CalMod project.

Proposition 1A – This \$9.9 billion Bond Act is the primary funding source for the high-speed rail project and has been used to fund a very limited number of grade separation projects in the past, including in the City of San Mateo.

Caltrain

State Legislative Matrix 5/12/2020

Active Bills			
Bill Number (Author)	Summary	Location	Position
AB 145 (Frazier D) High-Speed Rail Authority: Senate confirmation.	Existing law creates the High-Speed Rail Authority with specified powers and duties relative to development and implementation of a high-speed train system. The authority is composed of 11 members, including 5 voting members appointed by the Governor, 4 voting members appointed by the Legislature, and 2 nonvoting legislative members. This bill would provide that the members of the authority appointed by the Governor are subject to appointment with the advice and consent of the Senate. Introduced: 12/13/2018	Senate Rules	Watch
AB 664 (Cooper D) Workers' compensation: injury: communicable disease.	Existing law establishes a workers' compensation system, administered by the Administrative Director of the Division of Workers' Compensation, to compensate an employee for injuries sustained in the course of employment. Existing law creates a disputable presumption that specified injuries sustained in the course of employment of a specified member of law enforcement or a specified first responder arose out of and in the course of employment. This bill would define "injury," for certain state and local firefighting personnel, peace officers, certain hospital employees, and certain fire and rescue services coordinators who work for the Office of Emergency Services to include being exposed to or contracting, on or after January 1, 2020, a communicable disease, including coronavirus disease 2019 (COVID-19), that is the subject of a state or local declaration of a state of emergency that is issued on or after January 1, 2020. The bill would create a conclusive presumption, as specified, that the injury arose out of and in the course of the employment. The bill would apply to injuries that occurred prior to the declaration of the state of emergency. The bill would also exempt these provisions from the apportionment requirements. This bill contains other related provisions and other existing laws. Amended: 5/5/202043	Senate L., P.E. & R.	Watch

<p><u>AB 3213 (Rivas, Luz D)</u></p> <p>High-Speed Rail Authority: high-speed rail service: priorities.</p>	<p>Existing law establishes the High-Speed Rail Authority within the state government with various powers and duties related to developing and implementing high-speed passenger rail service. Existing law requires the authority to direct the development and implementation of intercity high-speed rail service that is fully integrated with specified forms of transit. This bill would require the authority, in directing the development and implementation of intercity high-speed rail service, to prioritize projects based on specified criteria.</p> <p>Introduced: 2/21/2020</p>	<p>Assembly Appropriations</p>	<p>Watch</p>
<p><u>AB 2323 Friedman D</u></p> <p><u>California Environmental Quality Act: exemptions.</u></p>	<p>CEQA exempts from its requirements certain residential, employment center, and mixed-use development projects in transit priority project areas if the project is consistent with a specific plan for which an environmental impact report has been certified. This bill would require that the project is undertaken and is consistent with either a specific plan or a community plan, as defined, in order to be exempt.</p>	<p>In the Assembly Natural Resources Committee.</p>	<p>Watch</p>
<p><u>ACA 1 (Aguiar-Curry D)</u></p> <p>Local government financing: affordable housing and public infrastructure: voter approval.</p>	<p>(1)The California Constitution prohibits the ad valorem tax rate on real property from exceeding 1% of the full cash value of the property, subject to certain exceptions.This measure would create an additional exception to the 1% limit that would authorize a city, county, city and county, or special district to levy an ad valorem tax to service bonded indebtedness incurred to fund the construction, reconstruction, rehabilitation, or replacement of public infrastructure, affordable housing, or permanent supportive housing, or the acquisition or lease of real property for those purposes, if the proposition proposing that tax is approved by 55% of the voters of the city, county, or city and county, as applicable, and the proposition includes specified accountability requirements. The measure would specify that these provisions apply to any city, county, city and county, or special district measure imposing an ad valorem tax to pay the interest and redemption charges on bonded indebtedness for these purposes that is submitted at the same election as this measure.This bill contains other related provisions and other existing laws.</p> <p>Amended: 3/18/2019</p>	<p>Assembly Reconsideration</p> <p>5/14/2020 #14 ASSEMBLY MOTION TO RECONSIDER</p>	<p>Watch</p>

Inactive Bills

Bill Number (Author)	Summary	Location	Position
<p><u>AB 1350</u> (<u>Gonzalez D</u>)</p> <p>Free youth transit passes: eligibility for state funding.</p>	<p>Existing law declares that the fostering, continuance, and development of public transportation systems are a matter of state concern. Existing law authorizes the Department of Transportation to administer various programs and allocates moneys for various public transportation purposes. This bill would require transit agencies to offer free youth transit passes to persons 18 years of age and under in order to be eligible for state funding under the Mills-Deddeh Transit Development Act, the State Transit Assistance Program, or the Low Carbon Transit Operations Program. The bill would also require a free youth transit pass to count as a full price fare for purposes of calculating the ratio of fare revenues to operating costs.</p> <p>Amended: 1/15/2020</p>	<p>Failed passage in the Senate Transportation Committee*</p>	<p>Watch</p>
<p><u>AB 1991</u> (<u>Friedman D</u>)</p> <p>Transit and Intercity Rail Capital Program: passenger tramways.</p>	<p>Existing law establishes the Transit and Intercity Rail Capital Program, which is funded in part by a continuously appropriated allocation of 10% of the annual proceeds of the Greenhouse Gas Reduction Fund, to fund transformative capital improvements that will modernize California's intercity, commuter, and urban rail systems and bus and ferry transit systems to achieve certain policy objectives. Existing law requires the Transportation Agency to evaluate applications for funding under the program and to approve a multiyear program of projects, as specified, and requires the California Transportation Commission to allocate funding to applicants pursuant to the program of projects approved by the agency. This bill would expand the purpose of the program to authorize funding for passenger tramway transit systems. By expanding the purposes for which continuously appropriated moneys may be used, the bill would make an appropriation.</p> <p>Introduced: 1/27/2020</p>	<p>Failed passage in the Assembly Transportation Committee*</p>	<p>Watch</p>

Inactive Bills

Bill Number (Author)	Summary	Location	Position
<p><u>AB 1992</u> (<u>Friedman D</u>)</p> <p>Transportation: transportation infrastructure: climate change.</p>	<p>Existing law vests the Department of Transportation with full possession and control of the state highway system. Existing law requires the department, in consultation with the California Transportation Commission, to prepare a robust asset management plan that assesses the health and condition of the state highway system and with which the department is able to determine the most effective way to apply the state's limited resources. This bill would state the intent of the Legislature to enact legislation that would establish a new program to fund climate change adaptation planning for transportation impacts, data collection, modeling, and training. The bill would require the department, in consultation with the commission, to update the asset management plan on or before December 31, 2022, and every 4 years thereafter, and for the updates to take into account the forecasted impacts of climate change on transportation infrastructure. The bill would require the updates to the California Transportation Plan and the Strategic Growth Council's report to include a forecast of the impacts of climate change on transportation infrastructure and measures to address those impacts. The bill would require the commission's revisions to the guidelines for the preparation of regional transportation plans to include a requirement that designated transportation planning agencies take into account the forecasted transportation infrastructure impacts of climate change. By requiring regional transportation plans to take into account this additional factor, the bill would impose a state-mandated local program. This bill contains other existing laws.</p> <p>Amended: 3/11/2020</p>	<p>Failed passage in the Assembly Transportation Committee*</p>	<p>Watch</p>
<p><u>AB 2012</u> (<u>Chu D</u>)</p> <p>Free senior transit passes: eligibility for state funding.</p>	<p>Existing law declares that the fostering, continuance, and development of public transportation systems are a matter of state concern. Existing law authorizes the Department of Transportation to administer various programs and allocates moneys for various public transportation purposes. This bill would require transit agencies to offer free senior transit passes to persons over 65 years of age in order to be eligible for state funding under the Mills-Deddeh Transit Development Act, the State Transit Assistance Program, and the Low Carbon Transit Operations Program. The bill would require those free senior transit passes to count as full price fares for purposes of calculating the ratio of fare revenues to operating costs.</p> <p>Introduced: 1/28/2020</p>	<p>Failed passage in the Assembly Transportation Committee*</p>	<p>Watch</p>

Inactive Bills

Bill Number (Author)	Summary	Location	Position
<p><u>AB 2057</u> (<u>Chiu</u> D) San Francisco Bay area: public transportation.</p>	<p>(1)Existing law creates the Metropolitan Transportation Commission as a local area planning agency for the 9-county San Francisco Bay area with comprehensive regional transportation planning and other related responsibilities. Existing law creates various transit districts located in the San Francisco Bay area, with specified powers and duties relative to providing public transit services. Existing law establishes the Transportation Agency consisting of various state agencies under the supervision of an executive officer known as the Secretary of Transportation, who is required to develop and report to the Governor on legislative, budgetary, and administrative programs to accomplish comprehensive, long-range, and coordinated planning and policy formulation in the matters of public interest related to the agency. This bill would declare the intent of the Legislature to enact subsequent legislation that would create a transportation network manager for the 9-county San Francisco Bay area to, among other things, integrate all aspects of public transit within the 9-county San Francisco Bay area and provide leadership and accountability in planning, coordinating, and financing the transportation network. The bill would establish a 19-member Bay Area Seamless Transit Task Force to recommend to the Legislature the structure, governance, and funding of the transportation network manager and the organizational structure, governance, and funding for San Francisco Bay area transportation agencies, and other reforms to the San Francisco Bay area’s local, regional, and state public agencies, that should be enacted in future legislation to maximize the effectiveness of the public transit system in the San Francisco Bay area. The bill would require the Secretary of Transportation to convene the task force by April 1, 2021. The bill would require the Metropolitan Transportation Commission to provide staffing to the task force to aid it in the performance of its duties, and would require the Legislative Analyst’s Office to advise the task force in the performance of its duties. The bill would require the task force to submit a report to the Legislature on or before January 1, 2023, of its findings and recommendations and a summary of its activities. The bill would repeal these provisions on January 1, 2027. This bill would require the commission, in consultation with transit agencies, on or before January 1, 2022, (A) to create standardized discount categories and eligibility requirements for fare discount programs for seniors, students, youth, and other rider categories, and (B) to create a multimodal, multiagency pilot program to implement an accumulator pass that may be used with one regional rail agency and at least one transit agency. The bill would require the regional rail agency and the transit agency or agencies selected to participate in the pilot program to offer the accumulator pass to the public on or before July 1, 2022. The bill would require the commission to prepare a plan, on or before July 1, 2023, to deploy the Clipper card payment system on passenger trains operated on the Capitol Corridor and on passenger trains operated by the Altamont Corridor Express. The bill would require the commission, in the next upgrade to the Clipper card payment system, to enable customers to pay for paratransit, parking at transit stations, and employer and educational institution transit discount programs. This bill contains other related provisions and other existing laws.</p> <p>Amended: 5/4/2020</p>	<p>Failed passage in the Assembly Transportation Committee*</p>	<p>Watch</p>

Inactive Bills

Bill Number (Author)	Summary	Location	Position
<p>AB 2176 (Holden D)</p> <p>Free student transit passes: eligibility for state funding.</p>	<p>Existing law declares that the fostering, continuance, and development of public transportation systems are a matter of state concern. Existing law authorizes the Department of Transportation to administer various programs and allocates moneys for various public transportation purposes. This bill would require transit agencies to offer free student transit passes to persons attending the California Community Colleges, the California State University, or the University of California in order to be eligible for state funding under the Mills-Alquist-Deddeh Act, the State Transit Assistance Program, or the Low Carbon Transit Operations Program. The bill would also require a free student transit pass to count as a full price fare for purposes of calculating the ratio of fare revenues to operating costs. This bill contains other related provisions and other existing laws.</p> <p>Introduced: 2/11/2020</p>	<p>Failed passage in the Assembly Transportation Committee*</p>	<p>Watch</p>
<p>AB 2237 (Berman D)</p> <p>San Francisco Bay area county transportation authorities: contracting.</p>	<p>The Bay Area County Traffic and Transportation Funding Act authorizes each of the 9 counties in the San Francisco Bay area to impose a 1/2 of 1% or 1% sales tax for transportation purposes, subject to voter approval. Existing law provides for the establishment of a county transportation authority in each county imposing a sales tax under these provisions, requires the development of a county transportation expenditure plan, and specifies the powers and duties of a county board of supervisors and the county transportation authority in this regard. Existing law requires each county transportation authority to award contracts for the purchase of supplies, equipment, and materials in excess of \$75,000 to the lowest responsible bidder after competitive bidding, except in an emergency declared by the vote of 2/3 of the voting membership of the county transportation authority. This bill would require each county transportation authority to award contracts for the purchase of supplies, equipment, and materials in excess of \$150,000, rather than \$75,000, either to the lowest responsible bidder or to the responsible bidder whose proposal provides the best value, as defined, on the basis of the factors identified in the solicitation, except in a declared emergency, as specified. The bill would specify that the requirement does not apply to construction contracts.</p> <p>Amended: 5/4/2020</p>	<p>Failed passage in the Assembly Transportation Committee*</p>	<p>Watch</p>

Inactive Bills

Bill Number (Author)	Summary	Location	Position
<p>AB 2249 (Mathis R)</p> <p>High-speed rail: legislative oversight.</p>	<p>The California High-Speed Rail Act creates the High-Speed Rail Authority to develop and implement a high-speed rail system in the state, with specified powers and duties. Existing law requires the authority, on or before March 1, 2017, and every 2 years thereafter, to provide a project update report, approved by the Secretary of Transportation as consistent with specified criteria, to the budget committees and the appropriate policy committees of both houses of the Legislature, on the development and implementation of intercity high-speed train service, as provided. This bill would create the Joint Legislative Committee on High-Speed Rail Oversight consisting of 3 Members of the Senate and 3 Members of the Assembly and would require the committee to ascertain facts, review documents, and take action thereon, and make recommendations to the Legislature concerning the state's programs, policies, and investments related to high-speed rail, as specified. The bill would require the authority and any entity contracting with the authority to give and furnish to the committee upon request information, records, and documents as the committee deems necessary and proper to achieve its purposes. The bill would require the authority to submit to the committee on a monthly basis certain information relating to the authority's ongoing operations in the development and implementation of intercity high-speed train service, as provided. This bill contains other related provisions and other existing laws.</p> <p>Introduced: 2/13/2020</p>	<p>Failed passage in the Assembly Transportation Committee*</p>	<p>Watch</p>
<p>AB 2943 (Ting D)</p> <p>Surplus property: disposal.</p>	<p>Existing law prescribes requirements for the disposal of surplus land, as defined, by a local agency, as defined. Existing law requires land to be declared surplus land or exempt surplus land, as supported by written findings, before a local agency takes any action to dispose of it consistent with the agency's policies or procedures. This bill would provide that the provisions regulating the disposal of surplus land shall not be construed to require a local agency to dispose of land that is determined to be surplus.</p> <p>Introduced: 2/21/2020</p>	<p>Failed passage in the Assembly Local Government Committee*</p>	<p>Watch</p>
<p>AB 2987 (Flora R)</p> <p>Local agency public contracts: bidding procedures.</p>	<p>The Uniform Public Construction Cost Accounting Act authorizes a public agency to elect to become subject to uniform construction cost accounting procedures. The act authorizes bidding procedures for public projects, as specified. Those bidding procedures include procedures for the publication or posting and electronic transmission of notice inviting formal bids. This bill would authorize a public agency, as an alternative to the publication or posting requirement, to meet the notice inviting formal bids requirement by transmitting notice electronically, as specified, and publishing the notice electronically in a prescribed manner on the public agency's internet website at least 14 calendar days before the date of opening the bids. This bill contains other related provisions and other existing laws.</p> <p>Introduced: 2/21/2020</p>	<p>Failed passage in the Assembly Local Government Committee*</p>	<p>Watch</p>

Inactive Bills

Bill Number (Author)	Summary	Location	Position
<p>AB 3128 (Burke D)</p> <p>Electricity: deenergization events: fuel cells.</p>	<p>Under existing law, the Public Utilities Commission has regulatory authority over public utilities, including electrical corporations. Existing law requires each electrical corporation to annually prepare a wildfire mitigation plan and to submit its plan to the commission for review and approval, as specified. Existing law requires the wildfire mitigation plan to include, among other things, protocols for disabling reclosers and deenergizing portions of the electrical distribution system, also known as public safety power shutoffs, that consider the associated impacts on public safety. This bill would provide that it is the intent of the Legislature to enact legislation that would incentivize the use of fuel cells to address reliability issues associated with public safety power shutoffs.</p> <p>Introduced: 2/21/2020</p>	<p>Failed passage in the Assembly Natural Resources Committee*</p>	<p>Watch</p>
<p>SB 43 (Allen D)</p> <p>Carbon intensity and pricing: retail products.</p>	<p>The California Global Warming Solutions Act of 2006 designates the State Air Resources Board as the state agency charged with monitoring and regulating sources of emissions of greenhouse gases. The state board is required to approve a statewide greenhouse gas emissions limit equivalent to the statewide greenhouse gas emissions level in 1990 to be achieved by 2020 and to ensure that statewide greenhouse gas emissions are reduced to at least 40% below the 1990 level by 2030. This bill would require the state board, no later than January 1, 2022, to submit a report to the Legislature on the findings from a study, as specified, to determine the feasibility and practicality of assessing the carbon intensity of all retail products subject to the tax imposed pursuant to the Sales and Use Tax Law, so that the total carbon equivalent emissions associated with such retail products can be quantified. This bill contains other existing laws.</p> <p>Amended: 7/1/2019</p>	<p>Failed passage in the Assembly Revenue and Taxation Committee*</p>	<p>Watch</p>
<p>SB 50 (Wiener D)</p> <p>Planning and zoning: housing development: streamlined approval: incentives.</p>	<p>(1) Existing law authorizes a development proponent to submit an application for a multifamily housing development that satisfies specified planning objective standards to be subject to a streamlined, ministerial approval process, as provided, and not subject to a conditional use permit. This bill would authorize a development proponent of a neighborhood multifamily project located on an eligible parcel to submit an application for a streamlined, ministerial approval process that is not subject to a conditional use permit. The bill would define a “neighborhood multifamily project” to mean a project to construct a multifamily structure on vacant land, or to convert an existing structure that does not require substantial exterior alteration into a multifamily structure, consisting of up to 4 residential dwelling units and that meets local height, setback, and lot coverage zoning requirements as they existed on July 1, 2019. The bill would also define “eligible parcel” to mean a parcel that meets specified requirements, including requirements relating to the location of the parcel and restricting the demolition of certain housing development that may already exist on the site. This bill contains other related provisions and other existing laws.</p> <p>Amended: 1/6/2020</p>	<p>Failed passage on the Senate Floor</p>	<p>Watch</p>

Inactive Bills			
Bill Number (Author)	Summary	Location	Position
SB 146 (Beall D) Peninsula Rail Transit District.	Existing law, operative under certain conditions, redesignates the Peninsula Corridor Study Joint Powers Board as the Peninsula Rail Transit District, comprised of 9 members appointed from various governing bodies situated in the City and County of San Francisco and the Counties of San Mateo and Santa Clara, with specified powers. This bill would repeal the provisions relating to the Peninsula Rail Transit District. Introduced: 1/18/2019	Failed passage in the Assembly Transportation Committee*	Watch
SB 147 (Beall D) High-Speed Rail Authority.	The California High-Speed Rail Act creates the High-Speed Rail Authority to develop and implement a high-speed train system in the state, with specified powers and duties. Existing law authorizes the authority, among other things, to keep the public informed of its activities. This bill would revise that provision to instead authorize the authority to keep the public informed through activities, including, but not limited to, community outreach events, public information workshops, and newsletters posted on the authority's internet website. Introduced: 1/18/2019	Failed passage in the Assembly Transportation Committee*	Watch
SB 278 (Beall D) Metropolitan Transportation Commission.	The Metropolitan Transportation Commission Act creates the Metropolitan Transportation Commission as a local area planning agency to provide comprehensive regional transportation planning for the region comprised of the 9 San Francisco Bay area counties. The act requires the commission to continue to actively, on behalf of the entire region, seek to assist in the development of adequate funding sources to develop, construct, and support transportation projects that it determines are essential. This bill would also require the commission to determine that those transportation projects are a priority for the region. This bill contains other related provisions and other existing laws. Amended: 3/28/2019	Failed passage in the Assembly Transportation Committee*	Watch

*This bill is not moving forward due to limitations in place on bills under consideration due to COVID-19.

Caltrain As of May 15, 2020 Federal Transportation Report

House Passes HEROES Act

On May 12, House Speaker Nancy Pelosi (D-Calif.) and House Democrats introduced the “Health and Economic Recovery Omnibus Emergency Solutions (HEROES) Act” ([H.R. 6800](#)) to address the evolving impact of COVID-19 on Americans. The House of Representatives is scheduled to vote on this bill on Friday, May 15. The Republican controlled Senate is not planning to pass this legislation and is moving slowly on drafting its version. Senate Republicans would like to see how the existing funding in the CARES Act is allocated and utilized before drafting another COVID-19 funding bill. A final bill will hopefully be negotiated successfully before the July 4th recess. Below are the provisions in the legislation relevant to SamTrans.

Highways

- \$15 billion in highway formula funds (funding is from the Treasury’s General Fund vs. Highway Trust Fund) to mitigate the effects of COVID-19 including staff salaries and other administrative expenses. The funding will be distributed to states in the same way as FY 2020 highway funding was distributed. States may also use their remaining FY 2020 highway funding for administrative and operations expenses.

Transit

- \$15.75 billion operating assistance grants related to COVID-19 response at 100% federal share. Funding can be used for “reimbursement for operating costs to maintain service and lost revenue due to the coronavirus public health emergency, including the purchase of personal protective equipment, and paying the administrative leave of operations or contractor personnel due to reductions in service”.
 - \$11.75 billion will be distributed by formula to “urbanized areas with populations over 3,000,000”: 15 percent distributed under the Section 5307 Urbanized Area Formula and 85 percent under the Section 5337 State Of Good Repair Formula.
 - \$4 billion will be available for “grants to transit agencies that, as a result of coronavirus, require significant additional assistance to maintain basic transit services.” The DOT must issue a Notice of Funding Opportunity (NOFO) within 30 days of bill enactment, and the application deadline will be within 45 days of bill enactment. DOT must award grants no later than 45 days after the application deadline. DOT “shall give priority to transit agencies with the largest revenue loss as a percentage of their operating expenses”.

Local Government Funding – \$375 billion available

- \$250 billion awarded within 30 days of bill enactment to all municipalities and counties.

- \$125 billion to counties based on population.
- \$125 billion to municipalities using a modified Community Development Block Grant (CDBG) formula. This would include:
 - \$87.5 billion awarded to entitlement municipalities (generally defined as those with populations of at least 50,000).
 - \$37.5 billion to non-entitlement municipalities (generally defined as those with populations of less than 50,000). These funds will be awarded to states, which must make awards to non-entitlement cities based solely on population within 30 days of receipt.
- \$125 billion awarded one year after date of bill enactment to all municipalities and counties. This would include:
 - \$62.5 billion to municipalities using a modified CDBG formula.
 - \$43.75 billion to entitlement municipalities (generally defined as those with populations of at least 50,000).
 - \$18.75 billion to non-entitlement municipalities (generally defined as those with populations of less than 50,000). These funds will be awarded to states, which must make awards to non-entitlement cities based solely on population within 30 days of receipt.
 - \$62.5 billion to counties based on population.
- Funds can be used for COVID-related expenses, to replace foregone revenues not projected on January 31, 2020, or to respond to negative economic impacts of COVID.
- Includes amendment to retroactively allow CRF from CARES to be used to address lost revenue not projected on January 31, 2020.

States – \$500 billion available

- \$250 billion awarded within 30 days of enactment to the 50 states and DC.
 - \$51 billion divided equally among 50 states and DC.
 - \$49 billion awarded based on the state's share of COVID cases.
 - \$150 billion awarded based on the state's share of population.
- \$250 billion awarded by May 3, 2021 to the 50 states and DC.
 - \$51 billion divided equally among 50 states and DC.
 - \$199 billion based on the state's share of unemployed individuals.

Highway Trust Fund Revenue

In early May, the Treasury Department released the Highway Trust Fund funding levels. The tax receipts are only down 14 percent from last year, April 2019 totals – \$3.017 billion in April 2020 versus \$3.498 billion in April 2019. Of course, the funding could decrease further next month if vehicle and truck miles traveled further decreases.

Grant Opportunities

- **BUILD**: \$1 billion available. Applications due May 18.
- **Accelerating Innovative Mobility (AIM) Challenge Grants**: \$11 million available. Applications due May 18.
- **CRISI**: \$311.8 million available. Applications due June 19.



May 18, 2020

TO: Peninsula Corridor Joint Powers Board Members

FM: Joshua W. Shaw, Matt Robinson & Michael Pimentel, Shaw Yoder Antwih Schmelzer & Lange
Mike Robson & Trent Smith, Edelstein Gilbert Robson & Smith LLC

RE: UPDATE ON GOVERNOR'S MAY REVISE

On May 14, Governor Newsom released his Administration's [revenue and expenditure revisions to the FY 2020-21 Proposed State Budget](#) which he initially released in January. This annually-required "May Revision" update is always based on the latest economic forecasts available to the Governor and his Department of Finance; today's update of course focusses squarely on the massive adverse economic impacts of the worldwide COVID-19 pandemic to California's revenues.

In the face of a 26.5% reduction this spring in the United States' GDP, the May Revision calls for drastic state spending reductions across most programs, in order to address a projected General Fund shortfall of \$54.3 billion across the current fiscal year and the FY 2020-21 Budget Year.

The May Revision also calls for spending billions from the state's rainy-day fund and from the FY 2019-20 budget surplus and other reserve funds.

These actions are estimated to leave a \$203 billion General Fund spending budget, down 10% from the FY 2019-2020 budget.

While under the May Revision the budget would be balanced next year, a significant structural out-year deficit would remain, increasing to over \$16 billion by FY 2023-24.

Immediate actions to close the Budget Year deficit include:

- Cancel \$6.1 billion in program expansions and spending increases, including canceling or reducing a number of one-time expenditures included in the 2019 Budget Act. It also includes redirecting \$2.4 billion in extraordinary payments to California Public Employees' Retirement System (CalPERS) to temporarily offset the state's obligations to CalPERS in FYs 2020-21 and 2021-22. It further reflects savings from the Administration's direction to agencies to increase efficiency in state operations now and into the future.
- Draw down \$16.2 billion in the Budget Stabilization Account (Rainy Day Fund) over three years, and allocate the Safety Net Reserve to offset increased costs in health and human services programs over the next two years. The May Revision reflects the withdrawal of \$8.3 billion, including \$7.8 billion from the Rainy Day Fund and \$450 million from the Safety Net Reserve in FY 2020-21.

- Borrow and transfer \$4.1 billion from special funds.
- Temporarily suspend net operating losses and temporarily limit to \$5 million the amount of credits a taxpayer can use in any given tax year. These short-term limitations will generate new revenue of \$4.4 billion in FY 2020-21, \$3.3 billion in FY 2021-22, and \$1.5 billion in FY 2022-23 to increase funding for schools and community colleges and maintain other core services.
- Reflect the Administration’s nationwide request of \$1 trillion in flexible federal funds to support all 50 states and local governments, and identifies reductions to base programs and employee compensation that will be necessary if sufficient federal funding does not materialize.

Combined with new Federal relief funds, the May Revision proposes these budget balancing solutions:

May Revision Proposes Balanced Solution	
<i>(dollars in billions)</i>	
Cancelled Expansions & Other Reductions	\$8.4
Reserves	8.8
Borrowing/Transfers/Deferrals	10.4
New Revenues	4.4
Federal Funds	8.3
Triggers	14.0
	\$54.3

The Governor also clarifies his budget proposal contains control language that would reduce the size of some of the proposed spending cuts if Congress passes Speaker Pelosi’s proposed national relief bill, the HEROES Act.

The California Constitution requires the Legislature to pass a balanced State Budget by June 15; and, the Governor must sign the State Budget (and make any concurrent line-item vetoes of new legislative spending proposals in the budget bill that he deems necessary) by July 1. However, while a governor’s May Revision usually contemplates the tax revenues from the April 15 filing deadline, this year, because Governor Newsom used his emergency authority under the health crisis to push back payment deadlines for some taxpayers to July 15, we believe the Administration may release another update to the state revenue picture later this summer, after those new tax receipts come in. That also gives the Administration time to further scope pandemic relief spending needs. We believe this will likely trigger another round of actions by the Governor and Legislature, perhaps in August, to further shore up the State Budget, in terms of either available new spending and/or a new round of expenditure cuts.

The Governor’s May Revision Summary can be found [here](#).

Transportation Funding

As noted above, the updated FY 2020-21 Budget presents a stark contrast to where we were less than six months ago. Revenue from excise and sales taxes on fuels is projected to decrease significantly for the remainder of the current fiscal year and into FY 2020-21. The total estimated state revenues for the various transportation programs is \$11.6 billion for the coming fiscal year, a decrease of approximately \$1.1 billion from January’s estimates. As for the remainder of the current fiscal year, the Administration is estimating a decrease of \$400 million over the January forecast. The Governor’s May Revision summary also notes that, “in the immediate term, Caltrans will accelerate projects to achieve cost savings, support the creation of new jobs in the transportation sector, and improve roads. The Federal Highway Administration estimates that approximately 13,000 jobs are created for every billion dollars spent on

highway infrastructure. While fuel tax revenues used to fund transportation projects are expected to drop by a total of \$1.8 billion through 2024-25, the May Revision maintains current planning and engineering staffing levels to continue developing and designing previously programmed projects. This will support preparedness for when stimulus funding becomes available.”

Transit

Initially, the January Budget estimated the State Transit Assistance (STA) Program would receive approximately \$806 million in FY 2020-21. Now, the Program is projected to see revenues of approximately \$528 million, a decrease of about \$278 million. Intercity and Commuter Rail would receive an estimated \$164 million in the coming fiscal year (a drop of approximately \$106 million). Cap and Trade funding remains stable (but there is some uncertainty in the market) and is estimated to provide an additional \$116 million to the Low-Carbon Transit Operations Program, which is distributed using the STA formula. Lastly, the Transit and Intercity Rail Capital Program is expected to receive approximately \$493 million in FY 2020-21, as transportation improvement fee (TIF) revenues (as well as Cap and Trade) remain steady (if not showing a slight increase over the current year). Please see the table below:

Estimated Transit Funding (May Revise)					
Source	2018-19	2019-20 (GB)	2019-20 (MR)	2020-21 (GB)	2020-21 (MR)
STA					
Base (2.375%)	\$216,984	\$214,941	\$220,636	\$225,281	\$138,012
Gas Tax Swap (1.75%)	\$149,694	\$148,024	\$152,776	\$155,684	\$91,895
SB 1 (3.5%)	\$299,387	\$296,048	\$305,552	\$311,288	\$183,789
STA SGR (TIF)	\$105,000	\$108,900	\$108,900	\$114,600	\$114,600
Total	\$771,065	\$767,913	\$787,864	\$806,853	\$528,296
INTERCITY & COMMUTER RAIL					
Base (2.375%)*	\$216,984	\$214,941	\$220,636	\$225,281	\$138,012
SB 1 (0.5%)	\$42,772	\$42,293	\$43,650	\$44,470	\$26,256
Total	\$259,755	\$257,233	\$264,286	\$269,751	\$164,268
LCTOP					
Cap & Trade (5.0%)	\$146,949	\$137,693	\$144,300	\$114,666	\$115,900
Total	\$146,949	\$137,693	\$144,300	\$114,666	\$115,900
TIRCP**					
Cap & Trade (10.0%)	\$163,029	\$654,750	\$680,600	\$233,408	\$225,400
SB 1 (TIF)	\$245,000	\$254,100	\$254,100	\$267,400	\$267,400
Total	\$408,029	\$908,850	\$934,700	\$500,808	\$492,800
* Funds also used for other Caltrans purposes					
**Funds included as part of five-year programming cycle					

Local Streets and Roads

The FY 2020-21 January Budget estimated approximately \$3 billion in funding to cities and counties for local streets and roads. The estimate has been revised down to \$2.8 billion. Of that amount, approximately \$1.1 billion is a result of SB 1. Over the remainder of the current fiscal year and into FY 2020-21, funding is estimated at approximately \$275 million less than what was expected in January.

STIP / SHOPP

Additionally, the State Transportation Improvement Program (STIP) is now pegged to receive an estimated \$560 million in FY 2020-21. Over the remainder of the current fiscal year and into FY 2020-21, funding is estimated at approximately \$100 million less than what was expected in January. Over the four-year span of the SHOPP (FY 2020-21 through FY 2023-24), the Administration is projecting a decrease of \$850 million compared to what was presented to the CTC in February. Projects in the current SHOPP are not expected to be de-programmed.

Goods Movement

The Trade Corridors Enhancement Program will continue to receive its most of its anticipated share of SB 1 revenues, receiving an estimated \$288 million in FY 2020-21.

Other Competitive Programs

In addition to the TCEP, the May Revision does not anticipate any negative impacts to the Local Partnership Program, Solutions for Congested Corridors Program, or Active Transportation Program. Each is expected to receive their full statutorily directed share of SB 1 revenues (\$200 million, \$250 million, and \$100 million, respectively).

Cap and Trade

In January, the Governor proposed a \$965 million Cap and Trade Expenditure Plan, which continued support for several existing ongoing programs, while prioritizing community air protection. The Governor's Cap and Trade Expenditure Plan included \$150 million for Clean Trucks, Buses, & Off-Road Freight Equipment.

Considering the current economic conditions, there is significant uncertainty surrounding the amount of Cap and Trade proceeds that will be generated in the upcoming auctions, which could result in lower auction proceeds than previously estimated. The May Revision, therefore, maintains the Governor's commitment to his Cap and Trade Expenditure Plan, introduced in January, but establishes a "pay-as-you-go" budget mechanism to authorize expenditures based on actual proceeds received at quarterly actions. These expenditures will prioritize the following investments:

- Air Quality in Disadvantaged Communities: AB 617 Community Air Protection Program and agricultural diesel emission reduction.
- Forest Health and Fire Prevention, including implementation of the requirements of Chapter 391, Statutes 2019 (AB 38).
- Safe and Affordable Drinking Water.

On the issue of climate resiliency, the May Revision withdraws the Climate Catalyst Fund, proposed in the January budget, which would have provided low-interest loans and loan guarantees for various climate-related projects, including infrastructure for zero-emission buses and trucks.

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Transit District

THROUGH: Jim Hartnett
General Manager/CEO

FROM: Seamus Murphy
Chief Communications Officer

SUBJECT: **SUPPORT BARACK OBAMA BOULEVARD RENAME**

ACTION

Staff Coordinating Council proposes the support of the Barack Obama Blvd Committee:

1. Receive the attached Letter from the Barack Obama Blvd Committee and Project Map
2. Support renaming portions of Autumn Street, Bird Avenue, and Montgomery Street in San José, CA to Barack Obama Boulevard.

SIGNIFICANCE

The Barack Obama Boulevard Committee is proposing to rename streets along the Autumn, Montgomery, and Bird street corridor in San José, CA after the 44th president of the United States, Barack Obama. The city of San José's policy requires support from impacted property owners of which the Joint Powers Authority is one.

Senator Jim Beall is serving as the committee's honorary chairperson. The Mayor of San José as well as the several City Council members a local community members are supportive of the rename.

President Barack Obama and his Executive Administration have played an integral part in the Peninsula Corridor Electrification Project (PCEP). In 2016, United States Transportation Secretary Anthony Foxx announced that President Obama is recommending that \$125 million be included in the Fiscal Year 2017 Federal budget to advance the project.

Attached: Map of the proposed renamed street and letter from the Barack Obama Boulevard Committee.

Prepared By: Casey Fromson, Government and
Community Affairs Director

650-508-6493

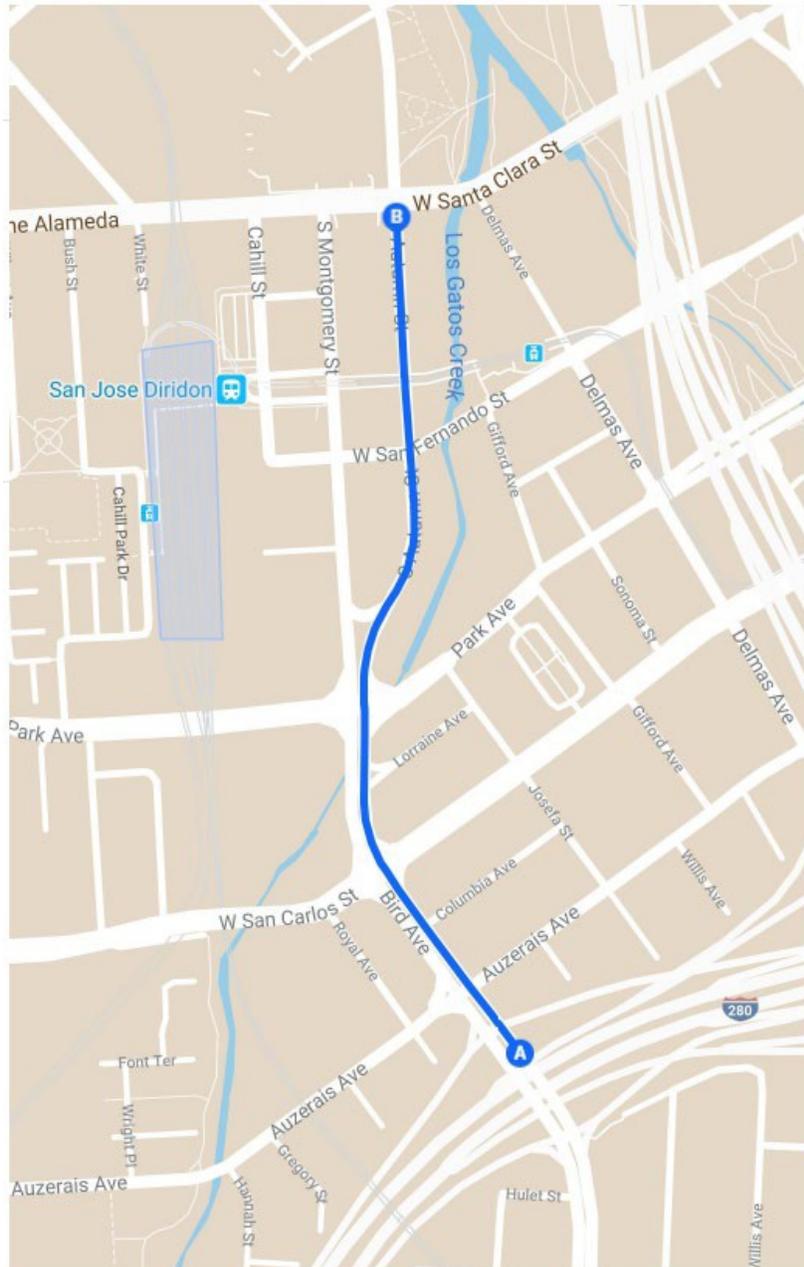


P.O. Box 23515 San José, California 95153

Chairperson: Alex Shoor

Co-Chair: Hellen Sims

Proposed location of Barack Obama Boulevard:





P.O. Box 23515 San José, California 95153

Chairperson: Alex Shoor

Co-Chair: Hellen Sims

Dear Chair Pine:

My name is Cynthia Cooper and I am a member of the Barack Obama Blvd Committee. The Committee is a community interest group with the sole purpose of honoring the legacy of the 44th President of The United States, Barack Obama by naming a street “**Barack Obama Boulevard**” in San José, California.

This effort was started by a group of local residents to honor the 44th President of the United States who made history as the first African American President of the United States. He led the country out of a recession and supported many policies that impacted the city of San José and Santa Clara County. Implementing this proposal will enable generations of people to share in the **recognition of the accomplishments of this inspiring, and positive leader.**

The San José City Council policy requires support from Impacted Property Owners of which the Peninsula Corridor Joint Powers Board (JPB) is one. This proposal is being presented by the Committee and is supported by local and national politicians, labor, community organizations, and members of the public at large. We have obtained over 2,400 petition signatures, 40 letters of support and raised funds for implementation cost.

I am hoping the JPB will support the effort, with (7) votes. We are looking at streets along the Bird/Autumn/Montgomery Street Corridor to rename and currently are asking about the parcels #26134006, 26134012, 26133403, 26134014, 26134018, 26134017, and 26134016. As you requested I am sending you a map highlighted with the renaming area we are seeking. If you have any questions, please do not hesitate to reach to contact me at (408) 460-1203 or cynthiacooper427@gmail.com.

Sincerely,

Cynhia Cooper

Cynthia Cooper, Member, Barack Obama Blvd Committee
Alex Shoor, Barack Obama Blvd Chair
Hellen Sims, Barack Obama Blvd Co-chair

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Michelle Bouchard
Chief Operating Officer, Rail

SUBJECT: **CAPITAL PROJECTS QUARTERLY STATUS REPORT –
3RD QUARTER FISCAL YEAR 2020**

ACTION

Staff Coordinating Council recommends the Board receive the Capital Projects Quarterly Status Report link to report:

[https://www.caltrain.com/Assets/ Finance/Quarterly+Capital+Program+Status+Report/JPB/Quarterly+Report+FY20+Q3.pdf](https://www.caltrain.com/Assets/Finance/Quarterly+Capital+Program+Status+Report/JPB/Quarterly+Report+FY20+Q3.pdf)

SIGNIFICANCE

The Capital Projects Quarterly Status Report is submitted to keep the Board advised as to the scope, budget and progress of current ongoing capital projects.

BUDGET IMPACT

There is no impact on the budget.

BACKGROUND

Staff prepares the Capital Projects Quarterly Status Report for the Board on a quarterly basis. The report is a summary of the scope, budget and progress of capital projects. It is being presented to the Board for informational purposes and is intended to better inform the Board of the capital project status.

Prepared by: Robert Cheung, Project Controls Manager

650.622.8019



Quarterly Capital Program Status Report and DBE Status Report

Prepared for the June 04, 2020 Caltrain Board Meeting

3rd Quarter FY2020: January 01, 2020 – March 31, 2020

Peninsula Corridor Joint Powers Board



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Caltrain - Capital Program - Budget Summary

3rd Quarter FY2020 - January 01, 2020 to March 31, 2020

All Costs in \$1,000's

Programs						
	FY2015	FY2016	FY2017	FY2018	FY2019	FY2020
1. Station and Intermodal Access	\$3,483	\$39,756	\$1,450	\$745	\$6,600	\$4,870
2. Right of Way / Signal & Communications	\$22,275	\$40,350	\$180,232	\$22,438	\$20,072	\$20,877
3. Rolling Stock	\$3,900	\$4,000	\$6,997	\$12,826	\$17,034	\$5,063
4. Operational Improvements/Enhancements	\$2,271	\$2,844	\$4,723	\$31,054	\$2,050	\$3,800
5. Planning and Studies	\$1,740	\$4,220	\$2,756	\$3,040	\$6,425	\$12,290
7. Legal Mandates & Required Enhancements	\$1,595	\$3,337	\$14,721	\$1,220	\$1,327	\$500
Total Board Approved Budget by FY	\$35,264	\$94,507	\$210,879	\$71,323	\$53,508	\$47,400

The Caltrain Modernization Program is reported separately and not included in this quarterly report.

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

Currently in Progress

25th Avenue Grade Separation Project
 Burlingame Broadway Grade Separation Project
 Caltrain Right of Way Fencing Project
 Churchill Avenue Grade Crossing
 Energy Efficient Lighting Retrofit
 F-40 Locomotive Mid-Life Overhaul Project
 Guadalupe River Bridge Replacement and Extension Project
 Marin and Napoleon Bridge Closure Project
 Mary Avenue Traffic Signal Project
 Rengstorff Avenue Grade Separation
 South San Francisco Station Improvements Project
 Station Enhancements and Renovation Project
 Systemwide Communication Rehabilitation Project
 Systemwide Signal Rehabilitation Project
 Systemwide Station Rehabilitation Project
 Systemwide Track Rehabilitation Project

Completed Projects

Grade Crossing Improvement Projects - Various Locations
 Inward Facing Cameras on trains
 Los Gatos Bridge Replacement Project
 Rail Grinding Project
 San Francisco Bridge Replacement Project
 San Mateo Bridges Rehabilitation Project
 Sunnyvale Station Rehabilitation Project
 Train Departure Monitors at Terminal Stations
 Upgrade CCF Equipment Room Cooling

Note: 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.

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.

	SCOPE		SCHEDULE		BUDGET / COST		SAFETY		
	Q2FY20	Q3FY20	Q2FY20	Q3FY20	Q2FY20	Q3FY20	Q2FY20	Q3FY20	
25th Ave. Grade Separation Project									4
Burlingame Broadway Grade Separation Project (Preliminary Design/Environmental Clearance)									6
Churchill Avenue Grade Crossing									8
Energy Efficient Lighting at Caltrain Stations									10
F-40 Locomotive Mid-Life Overhaul Project									12
Guadalupe River Bridges Replacement and Extension Project (Preliminary Design/Environmental Clearance)									14
Marin Street and Napoleon Avenue Bridge Closure Project									16
Mary Avenue Traffic Signal Project									18
MP-36 Locomotive Mid-Life Overhaul Project									20
Railroad Communications System Project - FY2017									22
Railroad Communications System Project - FY2018									24
Railroad Communications System Project - FY2019									26
Rengstorff Avenue Grade Separation									28
Right Of Way Fencing Project									30
South San Francisco Station Improvement Project									32
Station Enhancement and Renovation Project									34
Systemwide Signal System Rehabilitation Project - FY2019									36
Systemwide Track Rehabilitation Project - FY2019									38
Ticket Vending Machine Rehab Program Project									40
Wayside Bike Parking Improvement Project									42



= Project On-Hold



= No Issues



= Notable Issues



= Significant Issues

25th AVENUE GRADE SEPARATION PROJECT



SCOPE:



This project will raise the vertical alignment and provide grade separations between Hillsdale Boulevard and SR-92 in the City of San Mateo, including:

- Grade separating the 25th Avenue at-grade crossing.
- Construction of two new grade separated crossings at 28th and 31st Avenues.
- Perform relocation of the existing Hillsdale Caltrain station. The new station will be an elevated, center-board platform, located south of 28th Avenue.

Scope includes final design/environmental (CEQA and NEPA) clearance work and construction to replace the existing 25th Avenue at-grade crossing with a two-track elevated grade separation. The elevated rail alignment will require the relocation of the existing Hillsdale Caltrain Station northward to a location between 28th and 31st Avenues and will allow for new street connections between El Camino Real and Delaware Street at 28th and 31st Avenues in San Mateo, California.

Issues: None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	Timeline (2014-2021)																											
				2014		2015		2016		2017		2018		2019		2020		2021													
				Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
002088	25th Avenue Grade Separation	16-Jul-14 A	30-Sep-21	[Gantt chart showing project duration from July 2014 to September 2021]																											
	Preliminary Engineering	16-Jul-14 A	31-Oct-15 A	[Gantt chart showing duration from July 2014 to October 2015]																											
	Environmental Clearance	25-Sep-14 A	28-Oct-16 A	[Gantt chart showing duration from September 2014 to October 2016]																											
	Final Design	02-Nov-15 A	09-Dec-16 A	[Gantt chart showing duration from November 2015 to December 2016]																											
	Bid and Award	15-Nov-16 A	09-Aug-17 A	[Gantt chart showing duration from November 2016 to August 2017]																											
	Construction	10-Aug-17 A	30-Jun-21	[Gantt chart showing duration from August 2017 to June 2021]																											
	Project Close Out	01-Jul-21	30-Sep-21	[Gantt chart showing duration from July 2021 to September 2021]																											

Progress:

Jan - Mar 2020

- (1) Continued construction of ramps and stairs.
- (2) Continued splicing copper at 31st for ATT.
- (3) Continued retaining wall 28th Avenue west side.
- (4) Continued retaining walls at 31st avenue - west side.
- (5) Completed all paving at MSE wall.
- (6) Completed fiber splicing for ATT at 31st.
- (7) Completed south side of station platform.
- (8) Completed final LCC at wall C.
- (9) Complete wall D.
- (10) Completed MSE walls.
- (11) City of San Mateo approved site for Parking Track.

Future

Activities:

Apr - Jun 2020

- (1) Continue construction of ramps and stairs.
- (2) Construct MT1 at Grade Separation, and north MT2 Tie-in.
- (3) Remove south bound platform. Begin MT2 South Tie-in.
- (4) Complete splicing copper at 31st for ATT.
- (5) Continue retaining wall 28th Avenue west side.
- (6) Complete retaining walls at 31st avenue - west side.
- (7) Complete north side of station platform.
- (8) Begin single tracking.

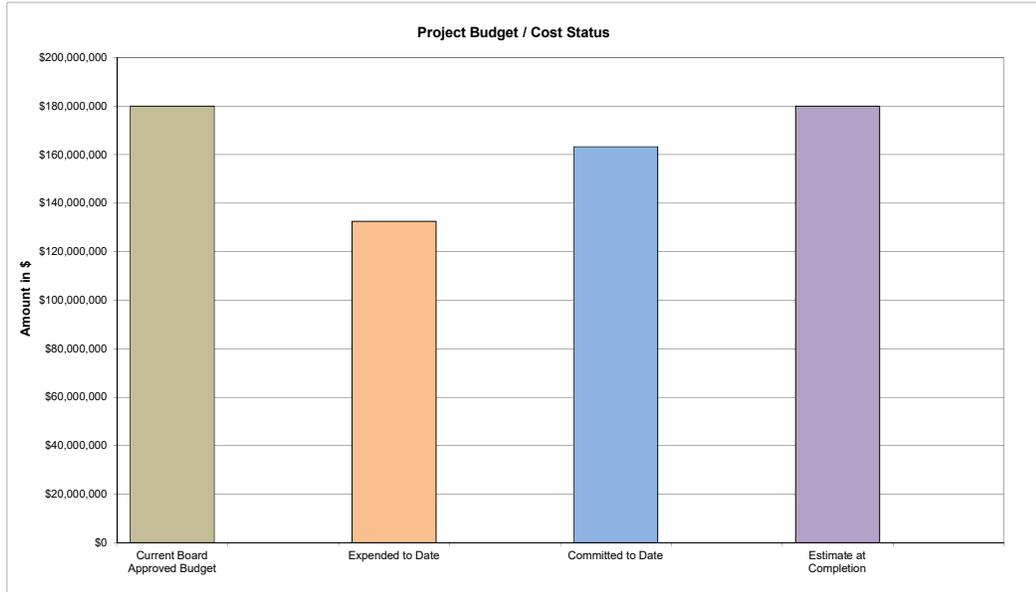
Issues: Project schedule is re-baselined with CCO-080 time extension.

25th AVENUE GRADE SEPARATION PROJECT

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$180,000,000	\$132,479,131	\$163,274,588	\$180,000,000	\$0

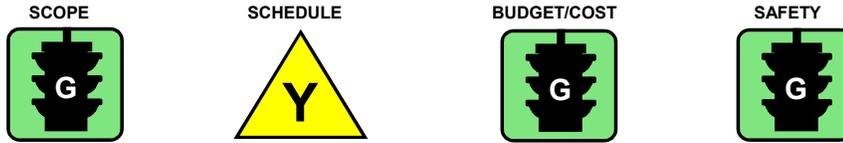


Issues: None.

SAFETY: There were four incident reports written this quarter.



BURLINGAME BROADWAY GRADE SEPARATION PROJECT
(Preliminary Design/Environmental Clearance)



SCOPE:

This project will grade separate the Broadway railroad crossing in the City of Burlingame by partially elevating the rail and partially depressing the roadway. The elevated rail alignment will require the reconstruction of the Broadway Caltrain Station. Reconstruction of the Broadway Caltrain Station will remove the operational requirement of the hold-out rule.

The current scope for this project specifically is to complete the 35% preliminary design and obtain CEQA and NEPA environmental clearance needed to grade separate the Broadway at-grade crossing as described above.

Issues: PCEP PS-3 conflict with shoofly tracks.

SCHEDULE:

Activity ID	Activity Name	Start	Finish	Timeline																		
				2018				2019				2020										
				Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3							
100244	Burlingame Broadway Grade Sep	18-Dec-17 A	01-Aug-20																			
	Preliminary Engineering 35%	18-Dec-17 A	30-Oct-19 A																			
	Environmental Clearance (TBD)	01-Dec-19 A	01-Aug-20																			

Progress:

- Jan - Mar 2020
- (1) Continued meeting with stakeholders.
 - (2) Continued coordination with Electrification project regarding redesign of traction power paralleling station.
 - (3) Working on draft contract for final design services.
 - (4) Responded for community outreach questions held in November 2019.

Future

Activities:

- Apr - Jun 2020
- (1) Continue meeting with stakeholders.
 - (2) Finalize the draft contract for final design services and work with C&P for RFP advertisement.
 - (3) Target Date for RFP issuance for final design procurement.

Issues:

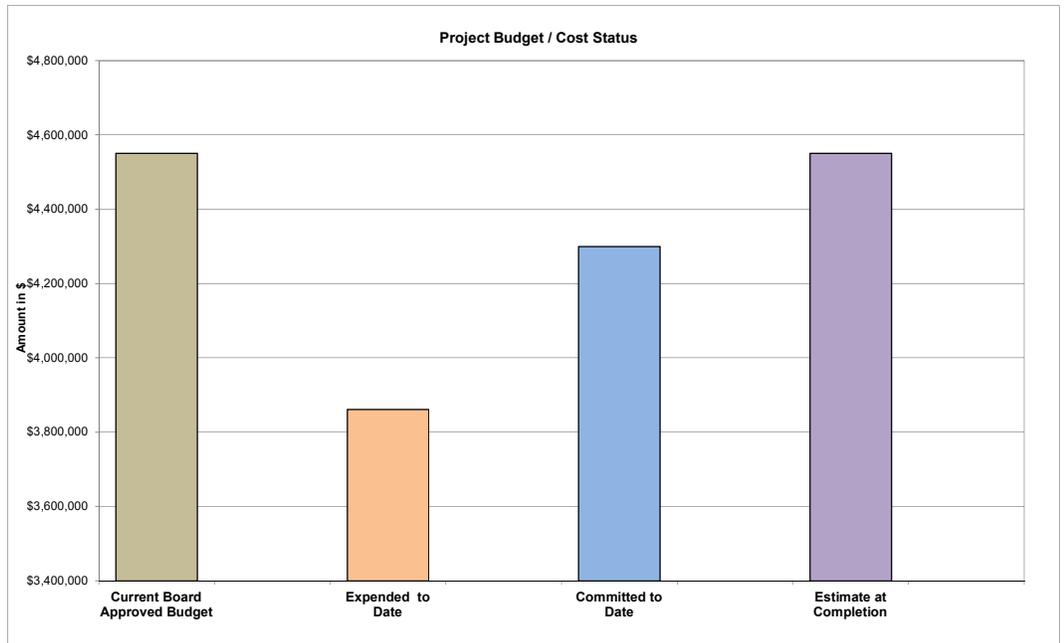
Schedule delay is due to the coordination of an additional environmental clearance community outreach meeting with the City of Burlingame.

**BURLINGAME BROADWAY GRADE SEPARATION PROJECT
(Preliminary Design/Environmental Clearance)**

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$4,550,000	\$3,860,921	\$4,299,673	\$4,550,000	\$0



Issues: None.

SAFETY:



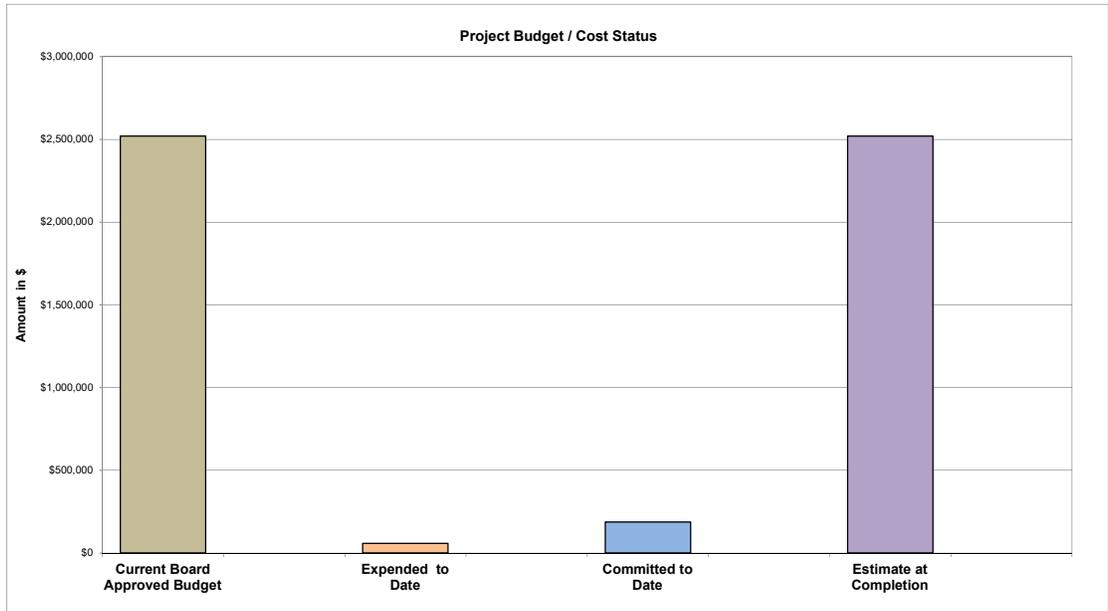
No incidents reported this quarter.

CHURCHILL AVENUE GRADE CROSSING

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$2,520,000	\$57,780	\$186,290	\$2,520,000	\$0



Issues: None.

SAFETY:



No incidents reported this quarter.

ENERGY EFFICIENT LIGHTING AT CALTRAIN STATIONS



SCOPE: The project will retrofit lights located on platforms, passenger shelters, pedestrian underpasses, parking lots and other buildings at 20 Caltrain stations. The efficient light-emitting diode (LED) lights are expected to reduce electricity costs and will reduce maintenance costs due to longer expected product lifetimes.

Issues: None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2019				2020					
				Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
100443 - Energy	Efficient Lighting at Caltrain	01-Jan-19 A	01-May-20										
+ Bid and Award		01-Jan-19 A	13-Jun-19 A										
+ Construction		14-Jun-19 A	31-Dec-19 A										
+ Project Close Out		01-Jan-20 A	01-May-20										

Progress:

Jan - Mar 2020 (1) Close out continued.
 (2) Waiting for final punchlist items to be completed.

Future

Activities:

Apr - Jun 2020 (1) Complete close out.
 (2) Finalize punchlist items.

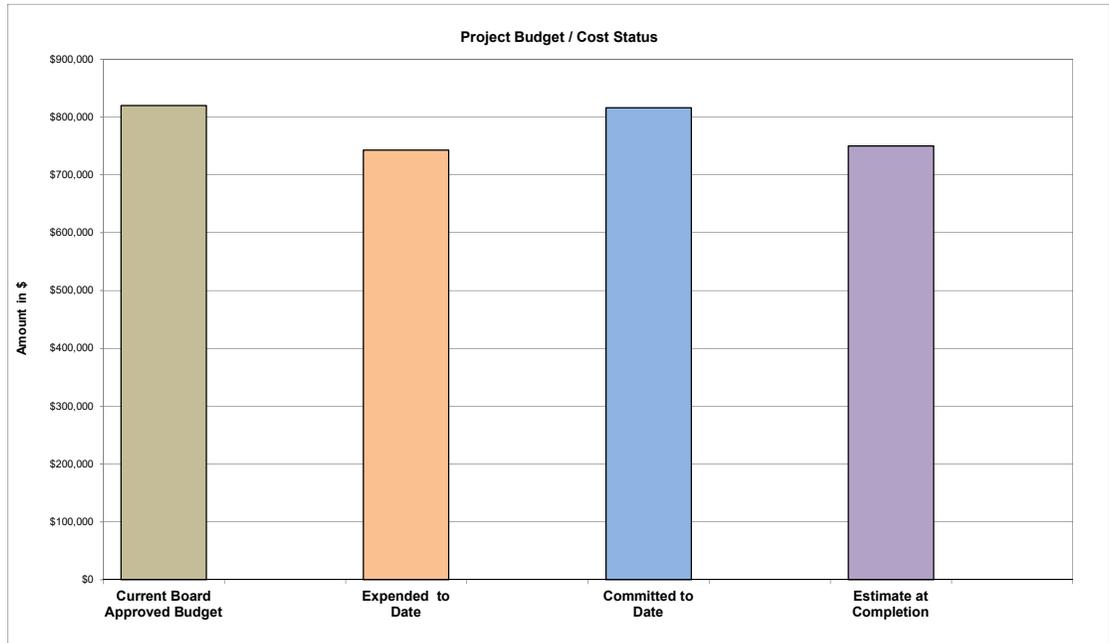
Issues: None.

ENERGY EFFICIENT LIGHTING AT CALTRAIN STATIONS

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$820,000	\$742,641	\$816,058	\$750,000	\$70,000



Issues: The approved budget was increased this quarter to cover anticipated costs overruns to the original budget. The funding for the increase was from savings in past station state of good repair projects.

SAFETY:



No incidents reported this quarter.

F-40 LOCOMOTIVE MID-LIFE OVERHAUL PROJECT



SCOPE:



This project will perform mid-life overhaul of three F40PH2C locomotives. The mid-life overhaul of the locomotives shall include complete disassembly of the main diesel engine, overhauling by reconditioning re-usable main frame components and re-assembly with new engine components and replacement of the Separate Head-End Power (SEP-HEP) unit and all electrical components of the SEP-HEP compartment. All areas of the locomotive carbody, trucks, wheels and electrical components shall be reconditioned to like-new condition or replaced with new material. The work shall be completed off-site at contractor's (Motive Power) facility location at Boise, Idaho. Project also includes onsite inspection and contract management by JPB's vehicle consultant. Final acceptance of the completed locomotive overhaul will be conducted at the JPB's CEMOF facility in San Jose. The three locomotives are:

1. Locomotive # 920
2. Locomotive # 921
3. Locomotive # 922

Issues: None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2017				2018				2019				2020			
				Q1	Q2	Q3	Q4												
100005 - F-40 Locomotive Mid-Life Overhaul		31-Mar-17 A	30-Jul-20																
+ Technical Specs		31-Mar-17 A	31-Mar-17 A																
+ Bid and Award		01-Apr-17 A	02-Oct-17 A																
+ Construction		03-Oct-17 A	30-Apr-20																
+ Project Close Out		01-May-20	30-Jul-20																

Progress:

Jan - Mar 2020 (1) Continued overhaul of locomotive #922.

Future

Activities:

- Apr - Jun 2020
- (1) Complete overhaul of locomotive #922.
 - (2) Put locomotive #922 in service.
 - (3) Begin project closeout.

Issues:

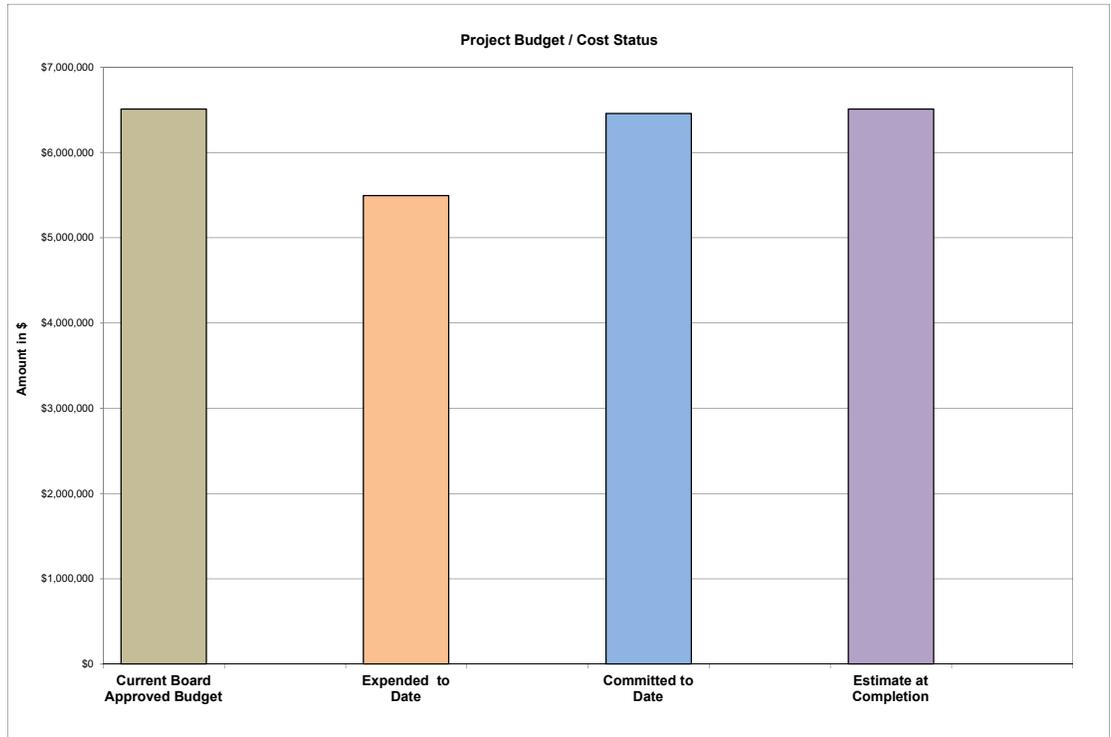
Schedule delay is due to:
 (1) Additional parts needing to be replaced that were not part of the original overhaul scope.
 (2) Resource constraints facing the contractor in hiring qualified workers to perform the locomotive overhauls.

F-40 LOCOMOTIVE MID-LIFE OVERHAUL PROJECT

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$6,510,000	\$5,493,704	\$6,457,036	\$6,510,000	\$0



Issues: None.

SAFETY:



No incidents reported this quarter.

**GUADALUPE RIVER BRIDGES REPLACEMENT AND EXTENSION PROJECT
(Preliminary Design/Environmental Clearance)**



SCOPE:



The purpose of the project is to address the geomorphic instability of the Guadalupe River channel in the vicinity of the two rail bridges, MT1 and MT2, over Guadalupe River in San Jose; and address the structural deficiencies of MT-1 Bridge to provide for long-term public safety and service reliability.

To stabilize the river channel and the structural conditions of the trestle, the project proposes to widen the channel to reduce scour and risk to bridge structures, replace MT1 with new longer bridge and extend MT2 at the south end.

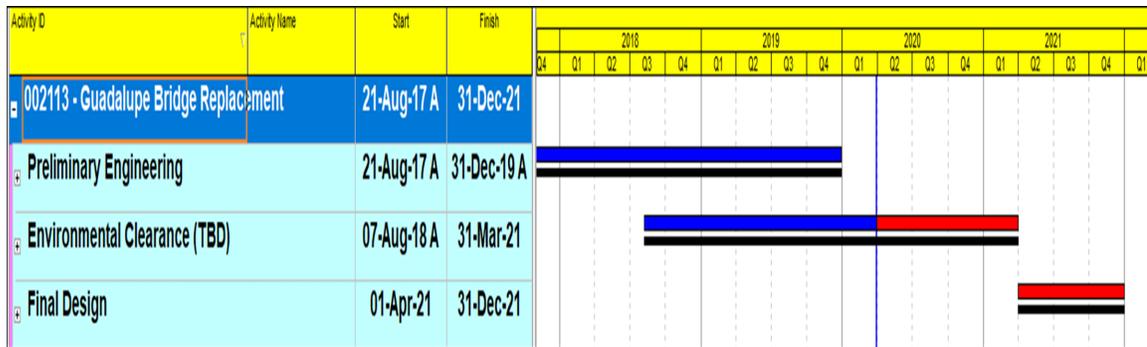
The project is currently in preliminary design (35%) and environmental phase for CEAQ and NEPA clearance.

The current scope is through final design only.

Issues:

None.

SCHEDULE:



Progress:

Jan - Mar 2020

- (1) Submitted final hydraulic/structural memo to SCVWD for review and concurrence.
- (2) Continued to coordinate with ROW team for utility agreement with utility carriers and UPRR for utility relocation needs.
- (3) Circulated 35% package for a full internal review by JPB discipline leads.
- (4) Provided project status update to FTA.
- (5) Continued to prepare technical studies for environmental review, including construction staging and sequencing, utility impact, right-of-way impact, storm water treatment and dewatering strategies.
- (6) Scheduled "Phase Gate" review meeting to advance project to 65% design.
- (7) Circulated a draft utility relocation concept for utility relocation coordination.
- (8) Continued to coordinate with project stakeholders including SCVWD, UPRR, Utility Owners and FTA.
- (9) Continued to coordinate with PCEP project for potential conflicts and project needs, and requested additional design details for the conflicting system.
- (10) Continued to monitor the timely use of federal funds.

Future

Activities:

Apr - Jun 2020

- (1) Complete 35% review and address review comments.
- (2) Continue to prepare technical studies for environmental review, including construction staging and sequencing, utility impact, right-of-way impact, stormwater treatment and dewatering strategies.
- (3) Conduct "Phase Gate" review meeting to advance project to 65% design.
- (4) Schedule for a utility kick-off meeting with UPRR and FO carriers.
- (5) Continue to coordinate with project stakeholders including SCVWD, UPRR, Utility Owners and FTA on project needs.
- (6) Continue to monitor the timely use of federal funds.
- (7) Re-baseline the project scope, budget and schedule.

Issues:

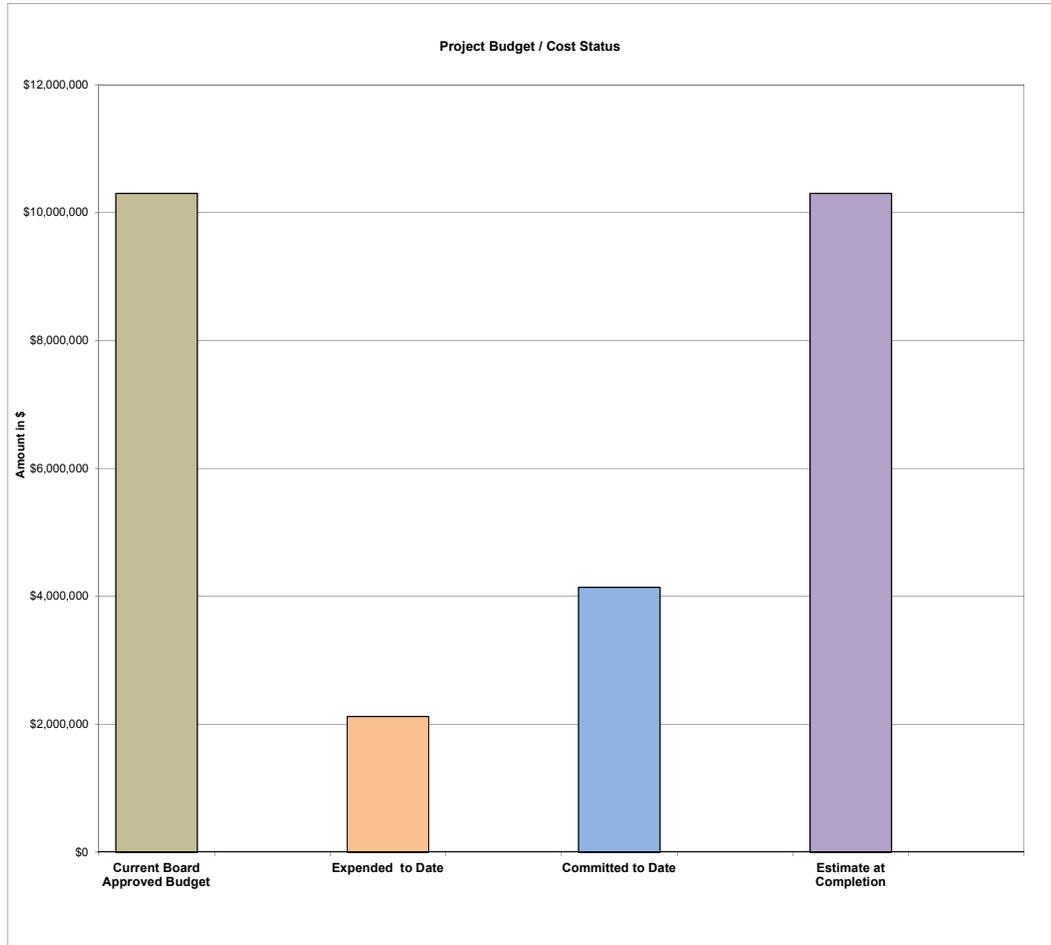
- (1) Potential design contract amendment is needed. The current design contract (Single Source) with HDR was based on the assumption that 65% was completed prior to entering the contract. The previous work only advance to 35% level. A project scope adjustment needs to be done to add 65% design to the current contract.
- (2) Design and relocation of the conflicting OCS poles will add cost and time to the project schedule.

**GUADALUPE RIVER BRIDGES REPLACEMENT AND EXTENSION PROJECT
(Preliminary Design/Environmental Clearance)**

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$10,300,000	\$2,121,035	\$4,141,144	\$10,300,000	\$0



- Issues:**
- (1) The Caltrain Board Approved funding amount includes the original estimated cost authorization through construction.
 - (2) Design and relocation of the conflicting OCS poles will add cost and time to the project schedule.

SAFETY:



No incidents reported this quarter.

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.

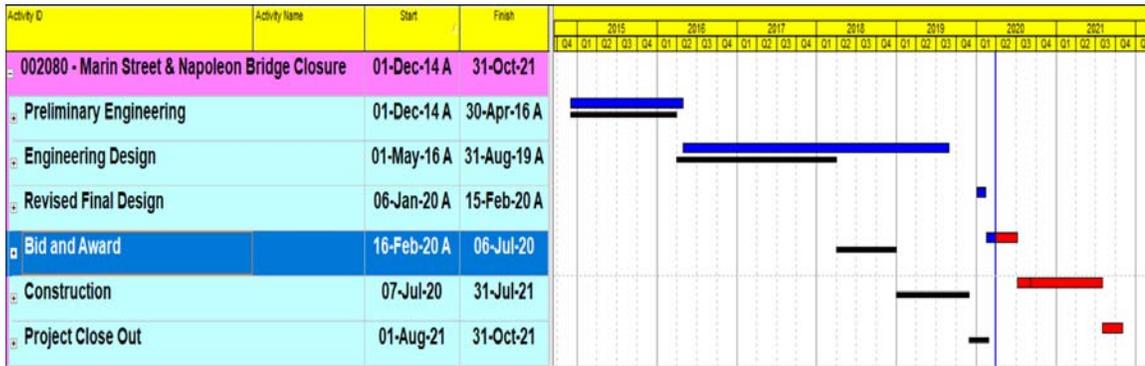
Project Scope is for:

- (1) Marin Street Bridge - Improve safety and security, maintain the bridge at a state of good repair, and improve worker safety.
- (2) Napoleon Street Bridge - improve safety and security, minimize future maintenance repairs, and replace deficient bridge components by removing the four short bridge spans not located over box culvert and replace with light weight fill, replacing the main center steel bridge with precast concrete girders and adding new wing walls.
- (3) Additional trackwork to replace the rail on MT1 and MT2 from approximate MP 2.10 to MP 2.63 (optional work).

Issues:

Re-design of bridge due issues such as PCEP overhead wires and loading on existing box culvert - Completed.

SCHEDULE:



Progress:

Jan - Mar 2020

- (1) Worked with C&P for general provisions.
- (2) Worked with designers, review team, crane vendors regarding the constructability issues
- (3) Worked with City of SF, Legal team regarding "major encroachment permit".
- (4) Worked on Box Culvert structure pre-assessment with SFPUC. Performed initial box culvert assessment.
- (5) Met with PCEP team for the OCS system schedule for work in the vicinity of Napoleon Bridge.
- (6) Completed revised final design.
- (7) IFB was advertised for construction contract.
- (8) Working on Addendums and Bidder Inquiries.
- (9) Pre-Bid Meeting and Jobsite walk with potential bidders.

Future Activities:

Apr - Jun 2020

- (1) Work on addendums and bid inquiries.
- (2) Bid Opening scheduled.

Issues:

Project schedule has been extended due to:

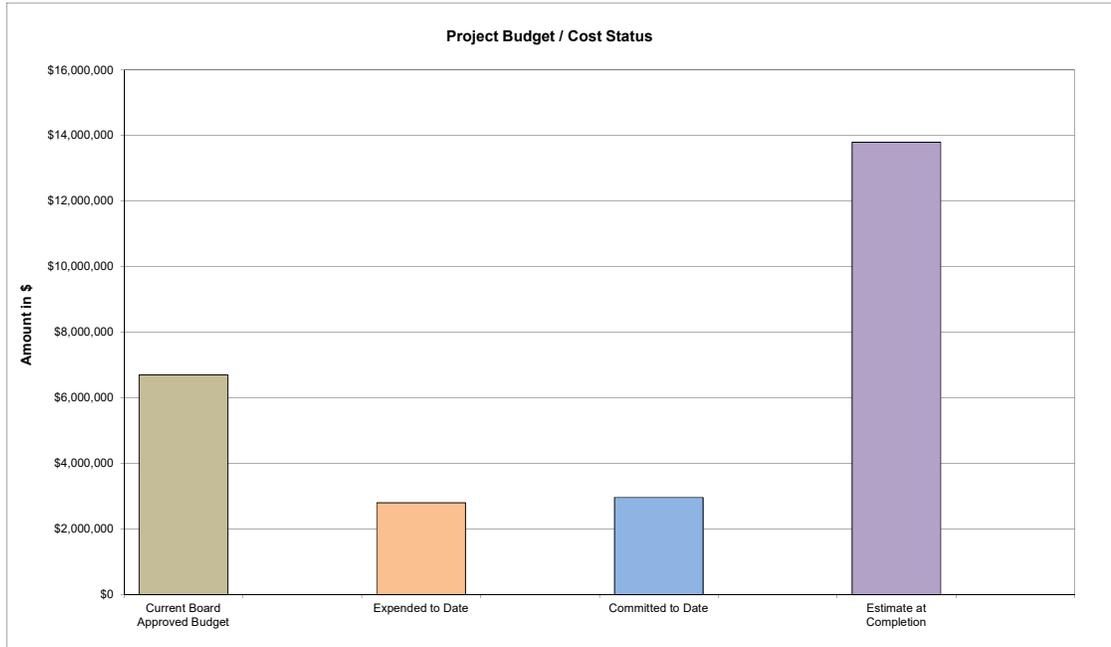
- (1) Existing box culvert coordination at Napoleon Street. - Closed, addressed in IFB package.
- (2) Crane - stage construction issue due to existing constraints. - Closed, addressed in IFB package.
- (3) Existing job site conditions - homeless and DPW on PCJPB right of way. - Ongoing coordination with DPW and Hanson Bridgett.
- (4) Major encroachment permit - requested by City of San Francisco. - Ongoing coordination with DPW and Hanson Bridgett.
- (5) Design modifications for incorporating PCEP OCS components. - Closed, addressed in IFB package.

MARIN STREET AND NAPOLEON AVENUE BRIDGE CLOSURE PROJECT

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$6,704,000	\$2,800,181	\$2,960,876	\$13,800,000	(\$7,096,000)



Issues:

- (1) EAC has been increased this month as per Project Manager latest cost estimate and is due to Risk Register Cost, Box culvert inspection, Permits, Weekend work, Soft cost etc., which were inadvertently missed in the original estimate.
- (2) Additional funding will be needed to complete construction of project.

SAFETY:



No incidents reported this quarter.

MARY AVENUE TRAFFIC SIGNAL PREEMPTION PROJECT

SCOPE	SCHEDULE	BUDGET/COST	SAFETY
			

SCOPE:



Caltrain will install an advance signal preemption system at the Mary Avenue grade crossing to provide additional time for the City's traffic signals at Mary Avenue and Evelyn Avenue to respond to allow Caltrain to pass through.

Issues:

None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2018				2019				2020				2021			
				Q4	Q1	Q2	Q3												
100278 - Mary Avenue Traffic Signal		01-Feb-18 A	31-Oct-21																
Final Design		01-Feb-18 A	30-Apr-20																
Bid and Award		01-May-20	30-Sep-20																
Construction		01-Oct-20	30-Jun-21																
Project Close Out		01-Jul-21	31-Oct-21																

Progress:

- Jan - Mar 2020
- (1) Provided the design for Mary Ave to the Electrification team for review.
 - (2) Met with the Electrification team and decided to install the advance signal preemption at Mary Ave prior to the Electrification work.
 - (3) Advanced to 100% design.

Future

Activities:

- Apr - Jun 2020
- (1) Complete the 100% design of the advance signal preemption.
 - (2) Complete final design. (Based on the current schedule).
 - (3) Begin bid and award cycle. (Based on the current schedule).

Issues:

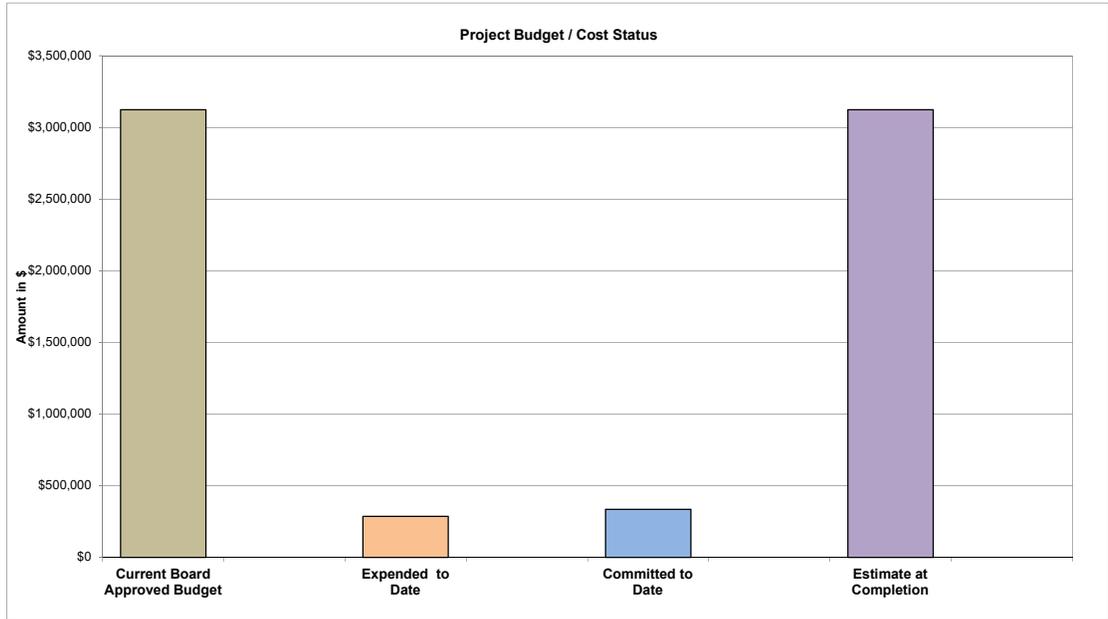
- (1) Due to the coordination issues with the City of Sunnyvale and the Electrification project, the design has been delayed to the end of April 2020.

MARY AVENUE TRAFFIC SIGNAL PREEMPTION PROJECT

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$3,125,000	\$286,871	\$336,072	\$3,125,000	\$0



Issues: None.

SAFETY:



No incidents reported this quarter.

MP-36 LOCOMOTIVE MID-LIFE OVERHAUL PROJECT



SCOPE:

This project will perform mid-life overhaul of six MP-36-3C Locomotives. The mid-life overhaul of the locomotives shall include complete disassembly of the main diesel engine, overhauling by reconditioning re-usable main frame components and re-assembly with new engine components and the replacement of the Separate Head-End Power (SEP-HEP) unit and all electrical components of the SEP-HEP compartment. All areas of the locomotive carbody, trucks, wheels and electrical components shall be reconditioned to like-new condition or replaced with new material. The project work shall be completed off-site at the contractor's facility location. Project also includes onsite inspection and contract management by JPB's vehicle consultant. Final acceptance of the completed locomotive overhaul will be conducted at the JPB's CEMOF facility in San Jose. The six locomotives are:

1. Locomotive # 923
2. Locomotive # 924
3. Locomotive # 925
4. Locomotive # 926
5. Locomotive # 927
6. Locomotive # 928

Issues: None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2017				2018				2019				2020				2021				2022			
				Q1	Q2	Q3	Q4																				
100218 - MP-36	Locomotive Mid-Life Overhaul	01-Apr-17 A	30-Jun-22																								
	Technical Specs	01-Apr-17 A	28-Feb-18 A																								
	Bid and Award	01-Jul-19 A	30-Apr-20																								
	Construction	01-May-20	31-Mar-22																								
	Project Close Out	01-Apr-22	30-Jun-22																								

Progress:

- Jan - Mar 2020
- (1) Completed review and evaluation of the bids.
 - (2) Waiting for award of contract.

Future

Activities:

- Apr - Jun 2020
- (1) Award contract.
 - (2) Begin overhaul process.

Issues:

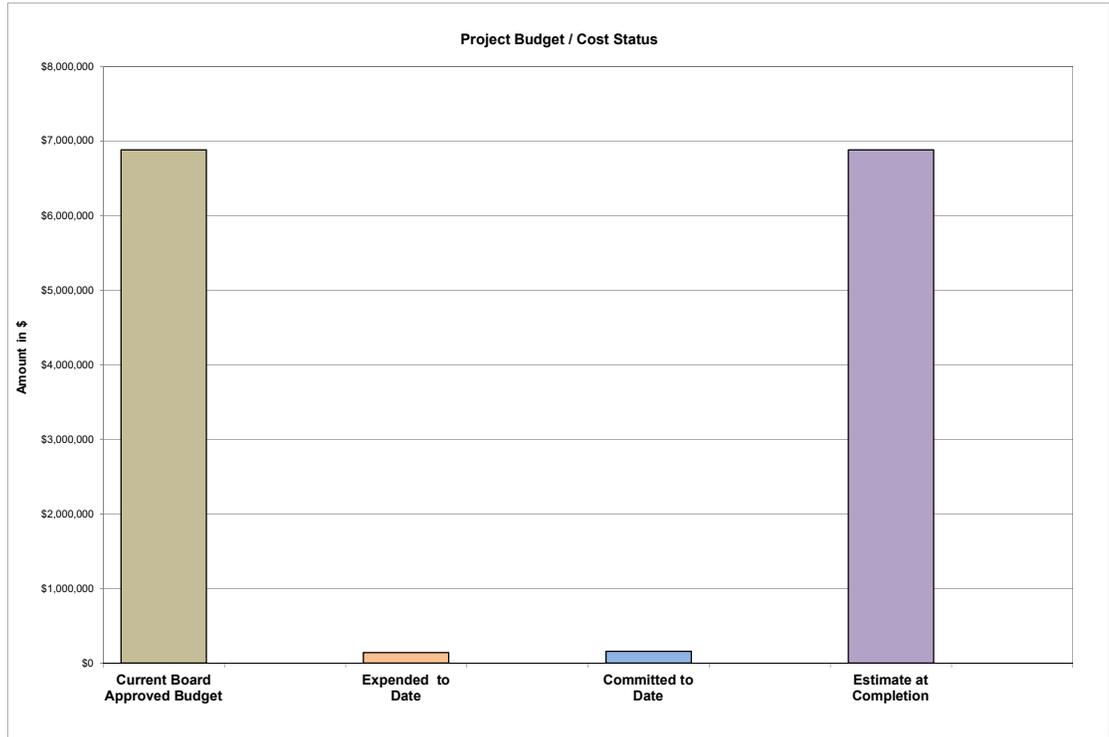
Bids were rejected at the October 04, 2018 Board meeting. Schedule delay is due to re-evaluating and re-issuing the contract for bid. Schedule will be rebaselined when the construction contract has been awarded.

MP-36 LOCOMOTIVE MID-LIFE OVERHAUL PROJECT

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$6,880,614	\$142,276	\$159,247	\$6,880,614	\$0



Issues: None.

SAFETY: No incidents reported this quarter.



RAILROAD COMMUNICATION SYSTEM PROJECT - FY2017



SCOPE: The State of Good Repair (SOG) project consists the following tasks for maintenance of the Caltrain's Communication (COM) Systems.

- Task 1: Improve radio coverage between Train Engineers and Maintenance of Way (MoW) Personnel.
- Task 2: Provide support to manage configuration of communication software.

The current scope is for design only.

Issues: None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2019				2020				2021				
				Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2		
100147 - FY17 Railroad Communication SOG		Sep-01-18 A	Jun-30-21													
+ Final Design		Sep-01-18 A	Jul-31-20													
+ Bid and Award		Aug-01-20	Mar-31-21													
+ Project Close Out		Apr-01-21	Jun-30-21													

Progress:

- Jan - Mar 2020 (1) Continued with design plans & specification.
- (2) Amended Work Directive (WD) for Additional Design Work.

Future

Activities:

- Apr - Jun 2020 (1) Continue with design plans & specifications.

Issues:

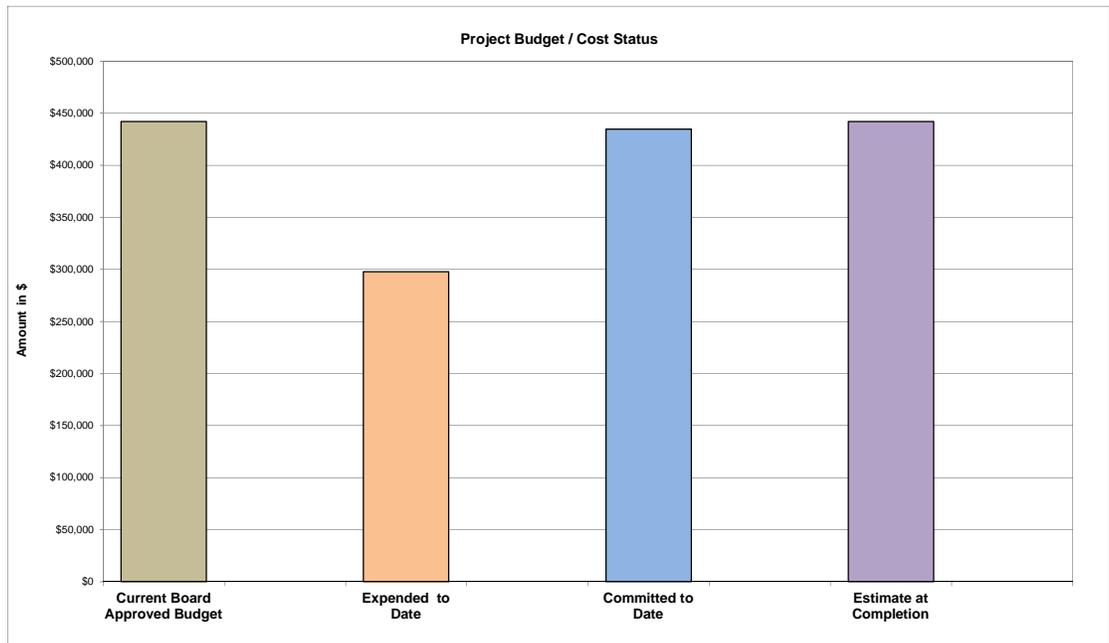
The project schedule has been delayed due to the continuing mitigation of the unforeseen incompatibility issues with the digital signal of radios being considered by Caltrain and the digital signals of radios being used or being considered by the tenants on the right of way.

RAILROAD COMMUNICATION SYSTEM PROJECT - FY2017

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$442,000	\$297,821	\$434,668	\$442,000	\$0



Issues: (1) Current funding is limited to design and bid and award phases only. Construction work will be performed under a separate project due to funding.

SAFETY:



No incidents reported this quarter.

RAILROAD COMMUNICATION SYSTEM PROJECT - FY2018



SCOPE:



This project is the annual state of good repair (SOGR) program for Caltrain’s communication system. It includes a combination of design and construction of various tasks to maintain Caltrain’s communication systems in good repair.

Project will consist of the following tasks:

1. Construction of voice Radio Microwave between Sign Hill and San Bruno Mountain.
2. Purchase five new radios to replace non-supported Motorola radios.

Issues:

None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2019			2020			2021		
				Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2
100228 - FY19 RR Comm System SOGR		May-09-19 A	Jul-31-21	[Gantt chart showing activity bars across quarters]								
+ Procurement		May-09-19 A	Sep-30-19 A	[Gantt chart showing activity bar]								
+ Final Design		Jul-12-19 A	Apr-30-20	[Gantt chart showing activity bar]								
+ Bid and Award		May-01-20	Oct-31-20	[Gantt chart showing activity bar]								
+ Construction		Nov-01-20	Apr-30-21	[Gantt chart showing activity bar]								
+ Project Close Out		May-01-21	Jul-31-21	[Gantt chart showing activity bar]								

Progress:

- Jan - Mar 2020
- (1) Completed microwave design.
 - (2) Distributed the design for review.

Future

Activities:

- Apr - Jun 2020
- (1) Review the design and respond to comments.
 - (2) Begin preparing Invitation for Bid (IFB) package for design.

Issues:

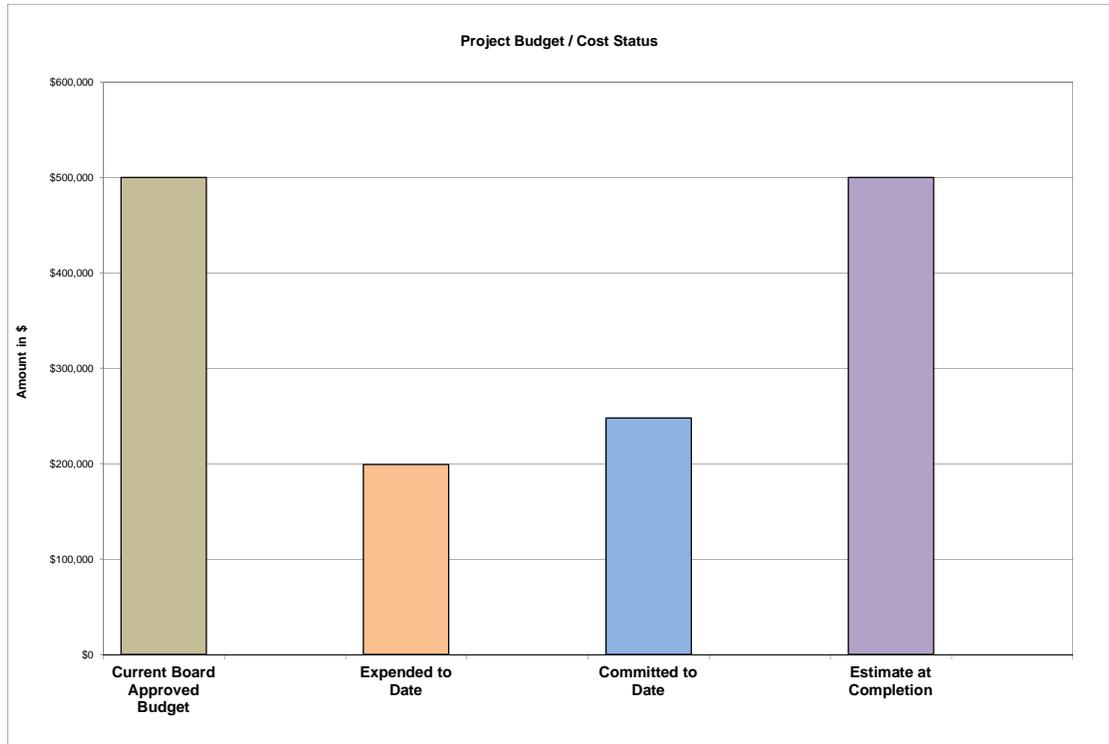
The current schedule delay was due to the late award of the design contract.

RAILROAD COMMUNICATION SYSTEM PROJECT - FY2018

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$500,000	\$199,268	\$247,730	\$500,000	\$0



Issues: None.

SAFETY:



No incidents reported this quarter.

RAILROAD COMMUNICATION SYSTEM PROJECT - FY2019



SCOPE:



This Communication State of Good Repair (SOGR) project will ensure that the Caltrain network and radio systems are in a SOGR for efficient and safe operation. This will be accomplished by testing, inspection, and performing necessary minor and urgent repairs identified.

The project will conduct the following tasks:

- Network Security Intrusion Assessment (NSIA).
- Radio Frequency (RF) Load Test for Microwave, VHF, and ATCS systems.

Issues:

None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2019			2020		
				Q2	Q3	Q4	Q1	Q2	Q3
100406 - FY19 RR Communication System (S)		May-20-19 A	Aug-21-20						
+ Bid and Award		May-20-19 A	Nov-20-19 A	█					
+ Testing		Nov-21-19 A	May-21-20			█			
+ Project Close Out		May-23-20	Aug-21-20					█	

Progress:

- Jan - Mar 2020
- (1) Awarded of network assessment Work Directive (WD).
 - (2) Initiated network assessment test.
 - (3) Continued RF Load Assessment.

Future

Activities:

- Apr - Jun 2020
- (1) Complete Network Security Intrusion Assessment.
 - (2) Complete with RF load assessment.

Issues:

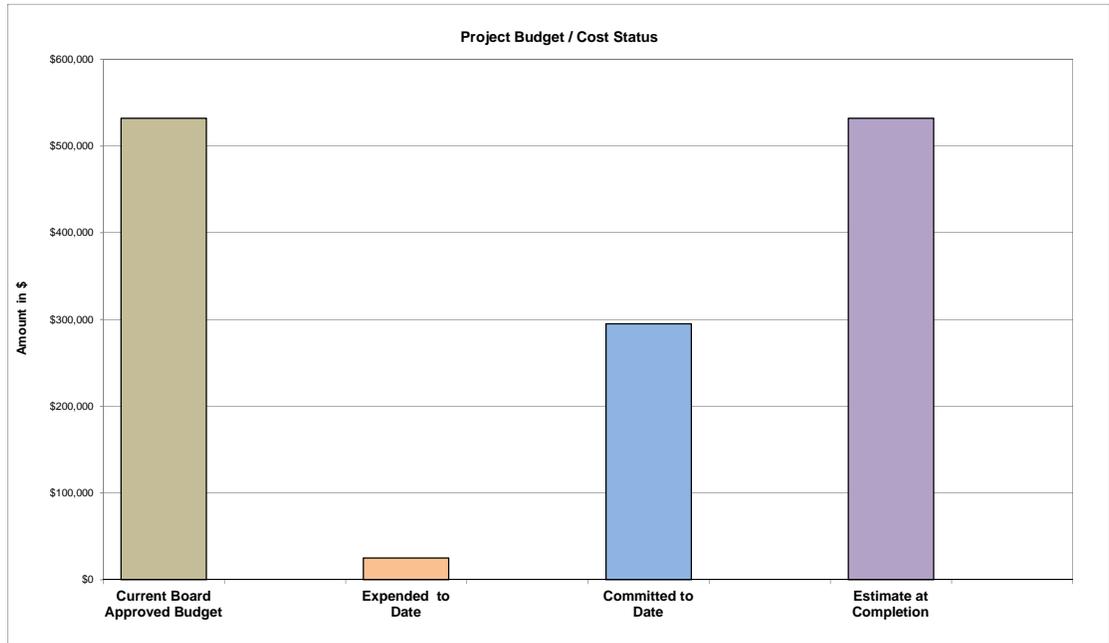
None.

RAILROAD COMMUNICATION SYSTEM PROJECT - FY2019

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$532,000	\$25,011	\$295,044	\$532,000	\$0



Issues: None.

SAFETY:



No incidents reported this quarter.

RENGSTORFF AVENUE GRADE SEPARATION



SCOPE:



The project will replace the existing at-grade train crossing at Renstorff Avenue with a grade separated crossing in the City of Mountain View. In 2014, the City of Mountain View completed a Renstorff Avenue Grade Separation Design Concepts – Final Report. Of the three design concepts that were presented in the Final Report, the City was in favor of the Complete Street Concept which includes a Renstorff Avenue Underpass and the construction of a new elevated pedestrian walkway parallel to the Caltrain tracks connecting Crisanto Avenue to the commercial area east of Rengstorff Avenue. The grade separation will require the lowering of approximately 1,200 feet of Rengstorff Avenue and connecting roadways, including Central Expressway.

The current scope of work includes the evaluation of the design concepts that are presented by the City of Mountain View and preparation of preliminary design at 35% for a design validation and constructability review, and preparation of environmental studies for CEQA and NEPA clearance. The goal of the current preliminary design phase is to reach consensus with the project stakeholders in the project definition and approach to advance the project to final design.

The current phase of the project is fully funded by the City of Mountain View.

Issues: None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2020									
				Q3	Q4	Q1	Q2	Q3	Q4	Q1			
100482 - Rengstorff Avenue Grade Crossing		05-Aug-19 A	28-Feb-21										
Preliminary Engineering		05-Aug-19 A	31-Oct-20										
Environmental Clearance		27-Mar-20 A	28-Feb-21										

Progress:

Jan - Mar 2020

- (1) City completed a draft funding plan for subsequent phases of the project.
- (2) Completed draft Basis of Design and submitted to JPB for review.
- (3) Conducted Planning and Design Coordination Meeting with Caltrain Planning Team to discuss the track design criteria.
- (4) Continued topographic mapping.
- (5) On-going project coordination with the City and conducted monthly Caltrain/City coordination meeting.
- (6) Commenced on geometric design.
- (7) Finalized locations for traffic counts.
- (8) Obtained and reviewed title reports for potential impacted parcels.
- (9) Began assessment of temporary and permanent right-of-way impacts.
- (10) Completed Preliminary Design (Geometric Design Approval) drawings and right-of-way impact exhibits for JPB review.
- (11) Reviewed archeological site map and limits to identify any potential impact caused by the shootfly alignment.
- (12) Obtained additional as-built plans from the Santa Clara County for County owned facilities.

Future

Activities:

Apr - Jun 2020

- (1) Conduct web meeting with the City to review Preliminary Design and ROW plans, and to discuss ROW impacts with the City of Mountain View and JPB team.
- (2) Obtain City's comment on Basis of Design Report.
- (3) Conduct traffic counts in May or June 2020.
- (4) Identify potential utility relocation needs and prepare draft utility plan.

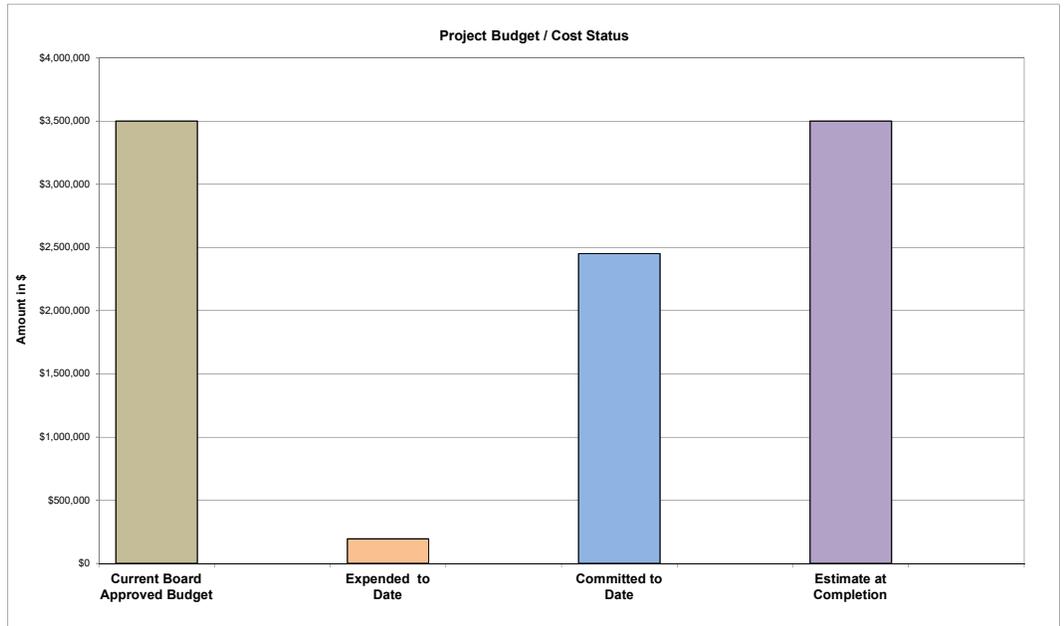
Issues: None.

RENGSTORFF AVENUE GRADE SEPARATION

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$3,500,000	\$194,655	\$2,451,452	\$3,500,000	\$0



Issues: None.

SAFETY:



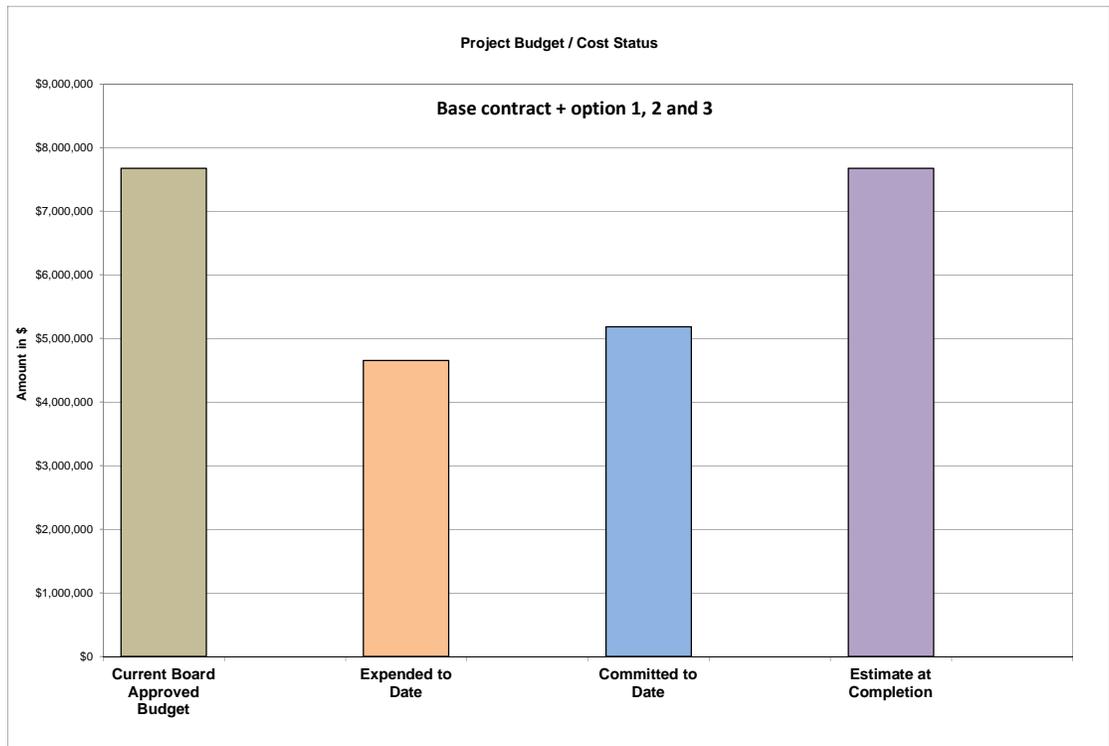
No incidents reported this quarter.

RIGHT OF WAY FENCING PROJECT

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$7,672,958	\$4,653,468	\$5,183,517	\$7,672,958	\$0



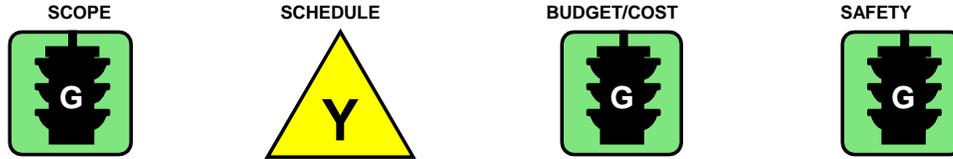
Issues: Current Board approved budget, expended, committed and estimate at completion reflect the base contract and option 1, 2 and 3.

SAFETY:



No incidents reported this quarter.

SOUTH SAN FRANCISCO STATION IMPROVEMENT PROJECT



This project will replace the existing South San Francisco Station. The scope includes 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 project will improve safety by eliminating the hold out rule; in addition, the project provides connectivity along Grand Avenue for the City of South San Francisco (CSSF).

Key elements of the project include:

1. New center platform.
2. New at-grade pedestrian crossing at the north end of station.
3. New pedestrian underpass at the south end of the station.
4. New pedestrian plaza area at west and east end of the pedestrian underpass.
5. Inclusion of CSSF design modifications for the west and east plaza and ramps.
6. Funding of UPRR for replacement of tracks being removed as part of this project.

Issues: None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2015		2016			2017			2018			2019			2020			2021	
				Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
002146 - South San Francisco Station Improv		Apr-01-15 A	Jun-30-21																			
Engineering Design		Apr-01-15 A	Mar-17-17 A																			
Contracts & Procurement (C&P)		Mar-18-17 A	Oct-06-17 A																			
Construction		Oct-09-17 A	Mar-31-21																			
Project Close Out		Apr-01-21	Jun-30-21																			

Progress:

- Jan - Mar 2020
- (1) Continued coordination with electrification on site access for TPSS construction.
 - (2) Completed street improvement work at Poletti Way.
 - (3) Continued construction of ramp 2/stair 2.

Future

Activities:

- Apr - Jun 2020
- (1) Continue coordination with electrification on site access for TPSS construction.
 - (2) Begin construction of ramp 3 and West side storm drain line.
 - (3) Continue construction of ramp 2/stair 2.

Issues:

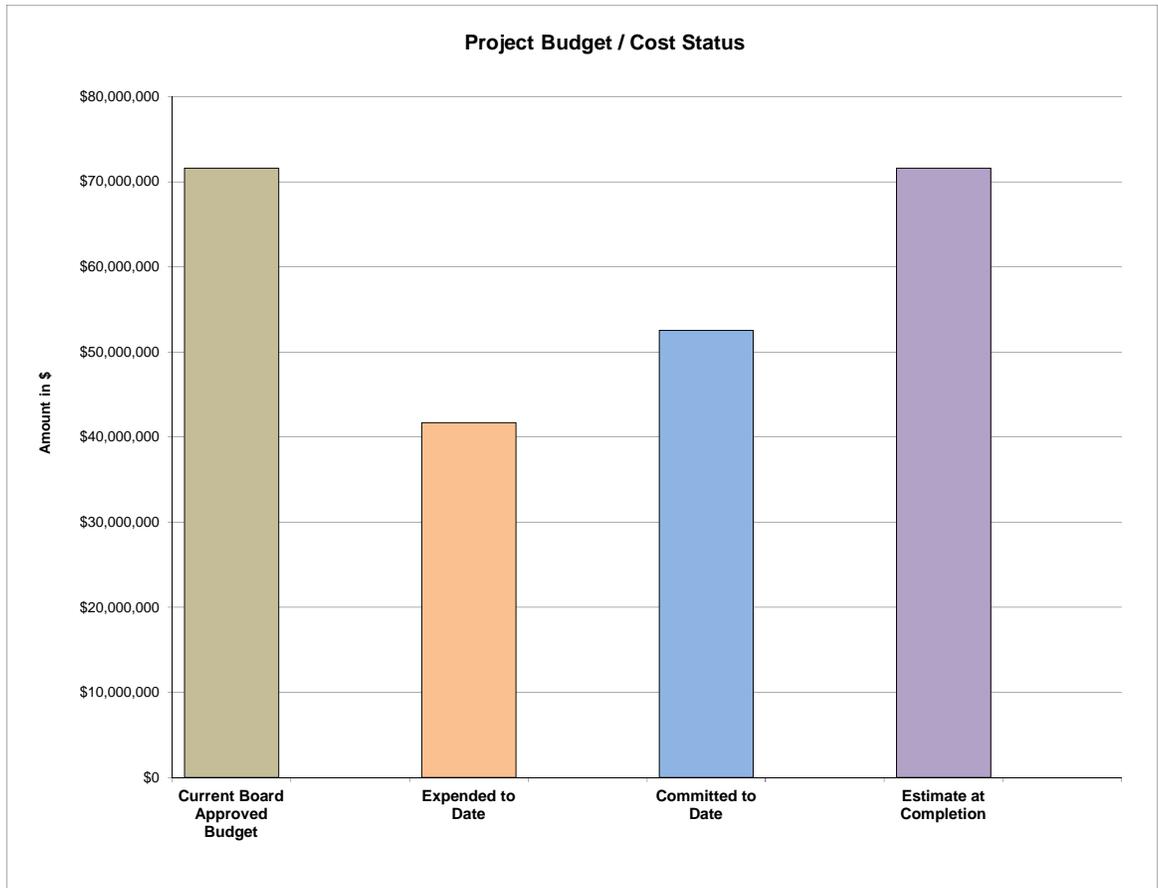
- (1) Project completion and OCS Foundation milestone has been extended due to the suspension of critical path construction activities that was caused by delays in Caltrans permitting and its impact to commencement of 3rd party utility relocation, including PG&E gas and electrical relocation.
- (2) Third party relocation was late and limited ability to prosecute critical path activities (PG&E - gas & electric).
- (3) Schedule was re-baselined this quarter.

SOUTH SAN FRANCISCO STATION IMPROVEMENT PROJECT

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Project Total	\$71,600,000	\$41,683,318	\$52,531,295	\$71,600,000	\$0



Issues: None.

SAFETY: No incidents reported this quarter.



STATION ENHANCEMENT AND RENOVATION



SCOPE: This project will include the following work:



San Francisco Station Restroom Renovation: The San Francisco (4th & King) Station restrooms have been subject to many years of abuse and vandalism. The project would include a full restoration of the restrooms with modern vandal resistant fixtures and finishes.

Issues: None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2018				2019				2020			
				Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
100149 - Station Enhancement and Renovation		Mar-01-18 A	Jan-31-21												
+ Final Design		Mar-01-18 A	Apr-30-19 A												
+ Bid and Award		May-01-19 A	Jun-30-20												
+ Construction		Jul-01-20	Oct-31-20												
+ Project Close Out		Nov-01-20	Jan-31-21												

Progress:

Jan - Mar 2020 (1) Contined reviewing alternative ways to complete the work.

Future

Activities:

Apr - Jun 2020 (1) Complete reviewing alternative ways to complete the work.

Issues:

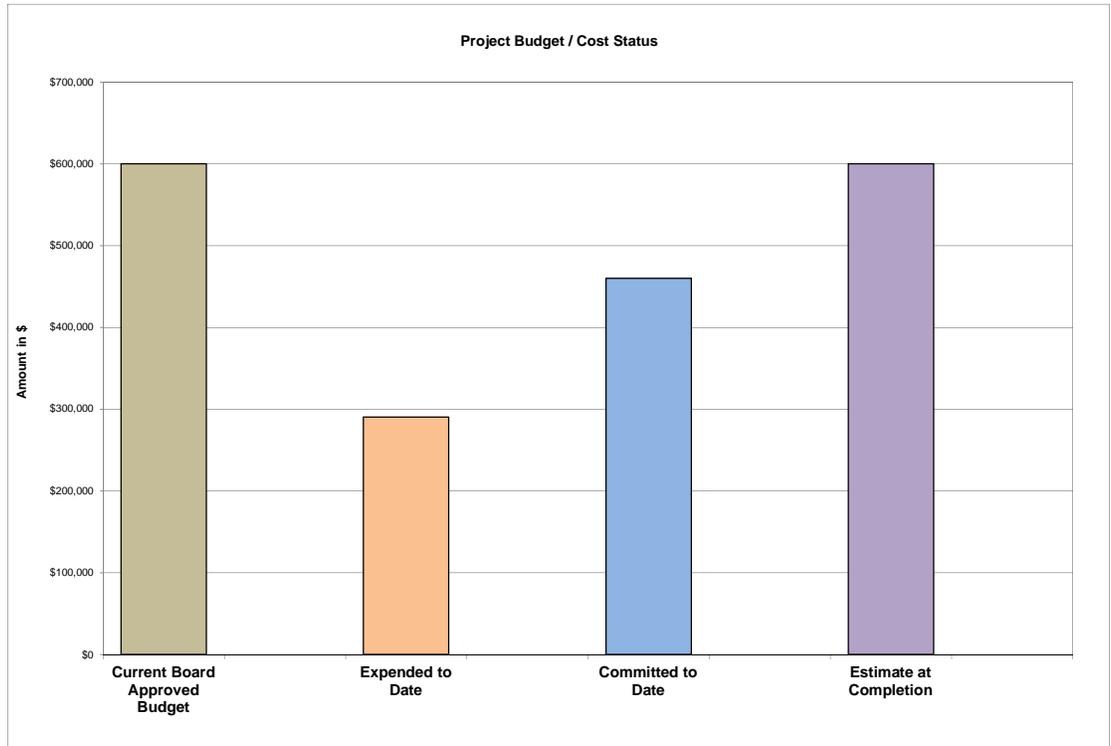
Schedule delay is due to TASI and PCJPB resource issues. Schedule might be further delayed as no bidders showed up for bid walk.

STATION ENHANCEMENT AND RENOVATION

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$600,000	\$290,512	\$459,855	\$600,000	\$0



Issues: None.

SAFETY:



No incidents reported this quarter.

SYSTEMWIDE SIGNAL SYSTEM REHABILITATION PROJECT - FY2019



SCOPE:



This project is a part of an annual program to maintain the Caltrain railroad signal system in a State of Good Repair (SOGR). The project will procure new equipment and replace old signal equipment that is starting to fail and is beyond its useful life, to maintain Caltrain's railroad signal systems in good repair.

FY2019 Signal Rehab Project will replace an existing assortment of solid state controller units that are beyond their useful life with updated controller units. Specifically, the project will:

- Develop a priority list and conduct a survey to collect age of existing controllers to be replaced with Siemens solid state SSCC IIIA controller units.
- Based upon age and importance of unit to Operations, develop a priority list for replacements.
- Procure and replace the oldest 10 SSCC IIIA units controller units.

Issues: None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2019			2020		
				Q2	Q3	Q4	Q1	Q2	Q3
100405 - FY19 Systemwide Signal System Re		May-20-19 A	Oct-20-20						
+ Bid and Award		May-20-19 A	Jul-08-19 A	█					
+ Construction		Jul-09-19 A	Jul-20-20		█	█	█		
+ Project Close Out		Jul-21-20	Oct-20-20					█	█

Progress:

Jan - Mar 2020 (1) Initiated replacement of controllers.

Future

Activities:

Apr - Jun 2020 (1) Continue replacement of controllers.

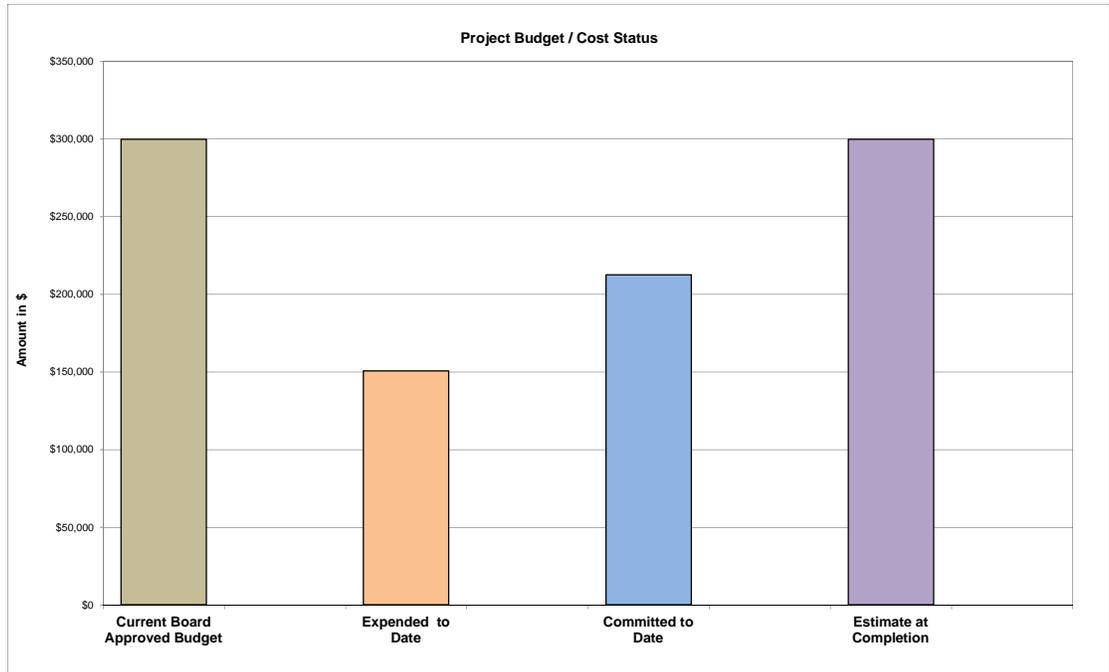
Issues: None.

SYSTEMWIDE SIGNAL SYSTEM REHABILITATION PROJECT - FY2019

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$300,000	\$150,682	\$212,656	\$300,000	\$0



Issues: None.

SAFETY:



No incidents reported this quarter.

SYSTEMWIDE TRACK REHABILITATION PROJECT - FY2019



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 FY2018 system wide track rehabilitation includes the following:

1. Replace Stock Rails Points and Frogs on turnouts per identified needs in the SOGR database and on as-needed basis due to unexpected failures of such components.
2. Perform weldsin the removal of bonded insulated joints, replaced stock rails, points and frogs.
3. Replacement of Standard Ties on manline tracks.
4. Replacement of Switch Ties on Main Tracks and Yards.
5. Surfacing of Curve and Tangent Track, and Turn Outs, various locations determined by geometry car inspections and field track inspections.
6. Upgrade and Maintain rail lubricators.
7. Purchase of Small Tools and Equipment required for track maintenance activities.
8. Work in SSF Yard, install ties, replace rail, install ballast and surface, maintain in a SOGR and in accordance with JPB, CPUC and FRA standards for class of track - billable to UP.
9. Repair track and station platforms at College Park Station.
10. Minor repairs to bridges, culverts and structures – per annual inspection needs.
11. Leased Facilities, Purchase and Rental Equipment.
12. Purchased Services – Rail Detector, Geometry Inspections, Weed Abatement etc.
13. Fence repairs and Graffiti removal.

Issues: None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2019			2020				
				Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1
100230 - FY19 Systemwide Track Rehabilitati		01-Jul-19 A	31-Dec-20								
+ ROW Maintenance		01-Jul-19 A	30-Sep-20								
+ Project Close Out		02-Oct-20	31-Dec-20								

Progress:

Jan - Mar 2020

- | | |
|---|--|
| <ul style="list-style-type: none"> (1) Surfaced 4.42 miles of main line track. (2) Stabilized 3.58 miles of track. (3) Regulated 4.42 miles of ballast. (4) Built up 26 frog inserts. (5) Ground 85 switches. (6) Placed 600 Tons of Ballast in track. (7) FRA conducted visits. (8) CPUC conducted visits. | <ul style="list-style-type: none"> (9) Installed 413 cross ties. (10) Installed 69 switch ties. (11) Performed ultrasonic (UT) weld testing. (12) Installed one isolation joint. (13) Installed three UP cross ties. (14) Installed 17 UP switch ties. (15) Performed tree trimming. (16) Performed fencing. |
|---|--|

Future Activities:

Apr - Jun 2020

- (1) Continue ongoing maintenance work.

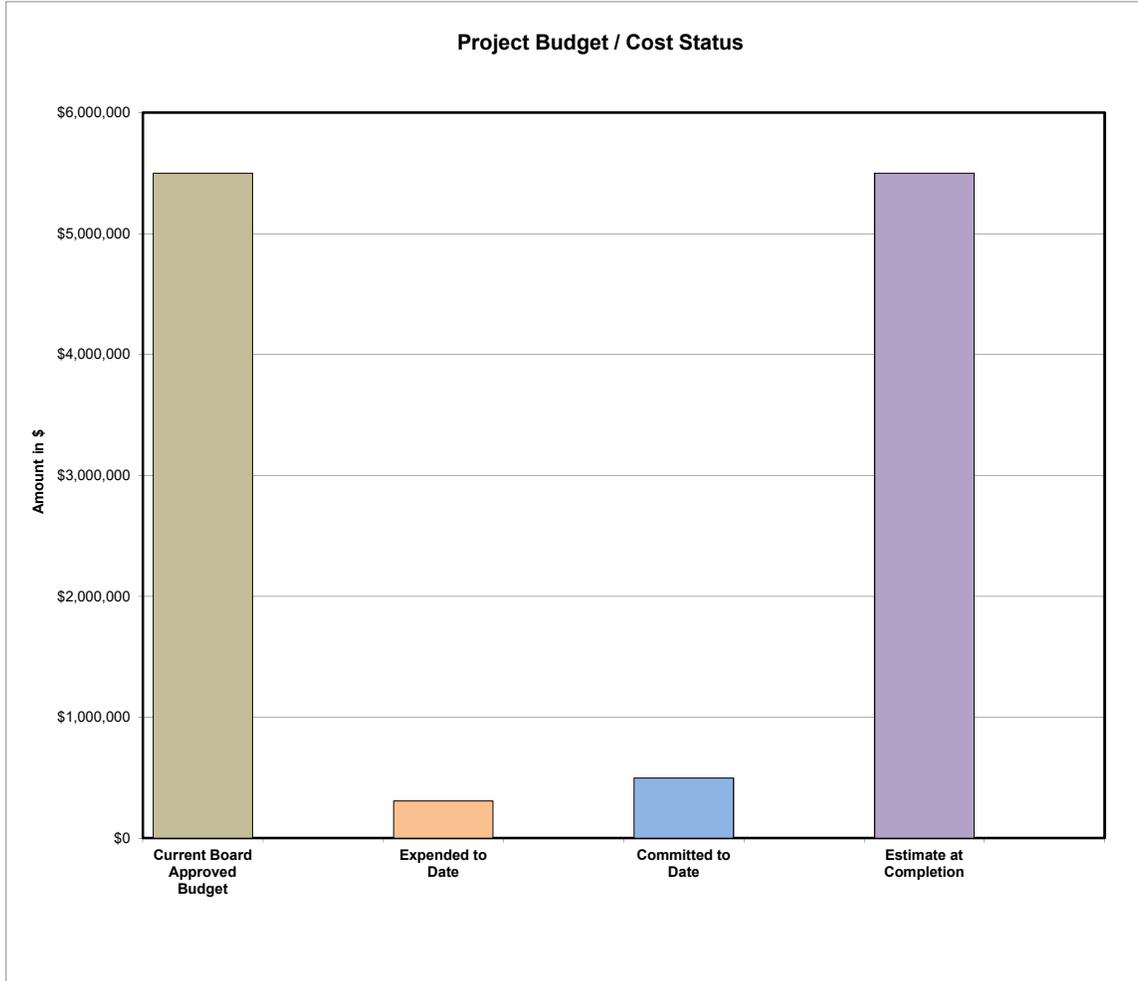
Issues: None.

SYSTEMWIDE TRACK REHABILITATION PROJECT - FY2019

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Project Total	\$5,500,000	\$306,946	\$496,316	\$5,500,000	\$0



Issues: None.

SAFETY:



No incidents reported this quarter.

TICKET VENDING MACHINE REHAB PROGRAM PROJECT



SCOPE:



The project will develop the central back office software necessary to upgrade the TVMs to have Clipper functionality and upgrade components which are obsolete. Additional scope to replace the credit card readers in all existing TVMs has been added to this project.

Two prototype TVM's will be refurbished with Clipper functionality and other upgraded components. The prototypes will be installed at Central for testing and development work. The current scope is through the Phase 2 Option only.

Issues:

None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2018				2019				2020							
				Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1		
100240 - Ticket Vending Machine Rehab Prog		01-Jan-18 A	31-Jan-21																
Final Design		01-Jan-18 A	01-Nov-18 A																
Bid and Award		01-Mar-18 A	30-Apr-19 A																
Construction		01-May-19 A	31-Oct-20																
Project Close Out		01-Nov-20	31-Jan-21																

Progress:

- Jan - Mar 2020
- (1) Ventek worked on the Spanish text for the touchscreen pages.
 - (2) Migrated TVM130 in Central to the Production environment and passed the acceptance testing.
 - (3) Ventek worked on the software for the central server and access to the new database.
 - (4) Continued the TRX reader installations at the stations. Completed a total of 81 TVMs.

Future

Activities:

- Apr - Jun 2020
- (1) Ventek to continue on software development and database development.
 - (2) Finish the rest of the TRX credit card reader installations at the stations. There are eight TVMs remaining.

Issues:

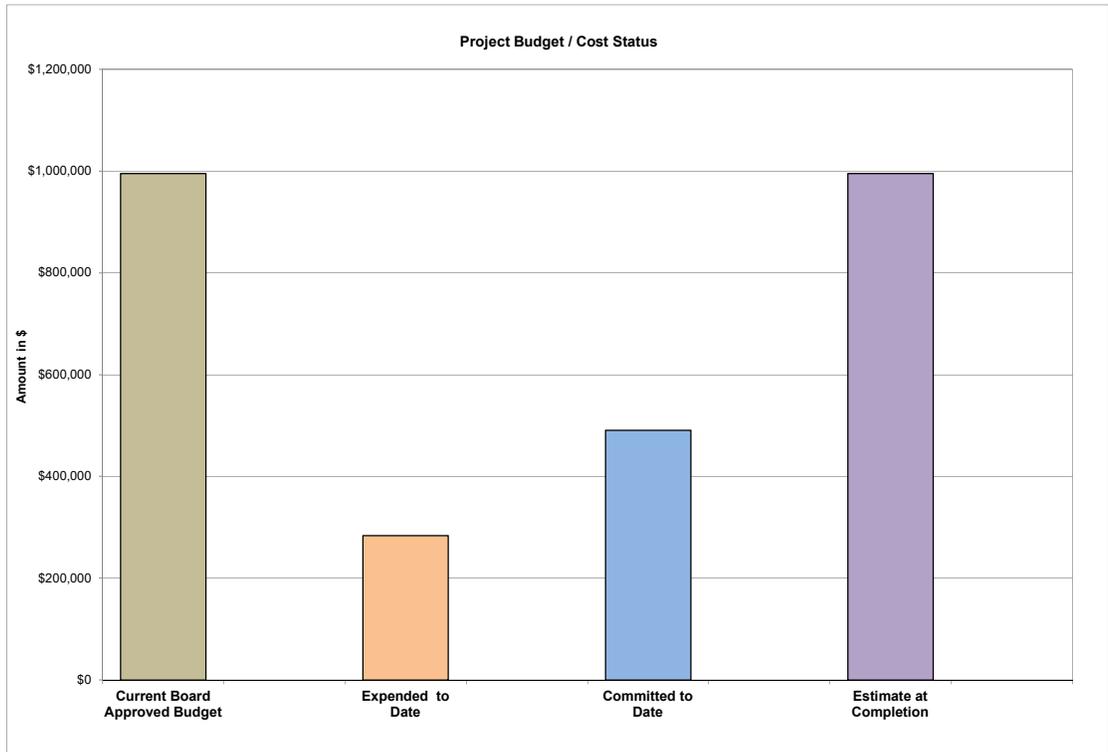
None.

TICKET VENDING MACHINE REHAB PROGRAM PROJECT

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$995,000	\$283,756	\$490,410	\$995,000	\$0



Issues: None.

SAFETY:



No incidents reported this quarter.

WAYSIDE BIKE PARKING IMPROVEMENT PROJECT



SCOPE:



The project will greatly increase the number of bicycle parking spaces provided at Caltrain stations, reducing the demand for on board bike space. The first portion of the project will upgrade the existing individually assigned bicycle lockers to on-demand electronic bicycle lockers (e-lockers). A contract is being prepared to purchase up to 1,000 e-lockers. Other efforts include installing additional bike racks, upgrading bike rooms at some stations and potentially installing modular bike rooms.

Issues:

None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2020				2021				2022				2023			
				Q1	Q2	Q3	Q4												
100479	Wayside Bike Parking Improvement	Jan-01-20 A	Mar-31-24																
	Final Design	Jan-01-20 A	Jun-30-20	█	█														
	Bid and Award	Jul-01-20	Sep-30-20			█	█												
	Construction	Oct-01-20	Dec-31-23					█	█	█	█	█	█	█	█	█	█	█	█
	Project Close Out	Jan-01-24	Mar-31-24																█

Progress:

Jan - Mar 2020

- (1) Began correspondence with eLock Technologies for entering into a contract for procurement of e-lockers.
- (2) Began working on final design.
- (3) Postponed design consultant's visit to stations.

Future

Activities:

Apr - Jun 2020

- (1) Continue correspondence with eLock Technologies for entering into a contract for procurement of e-lockers.
- (2) Design consultant's to visit stations.
- (3) Complete final design.

Issues:

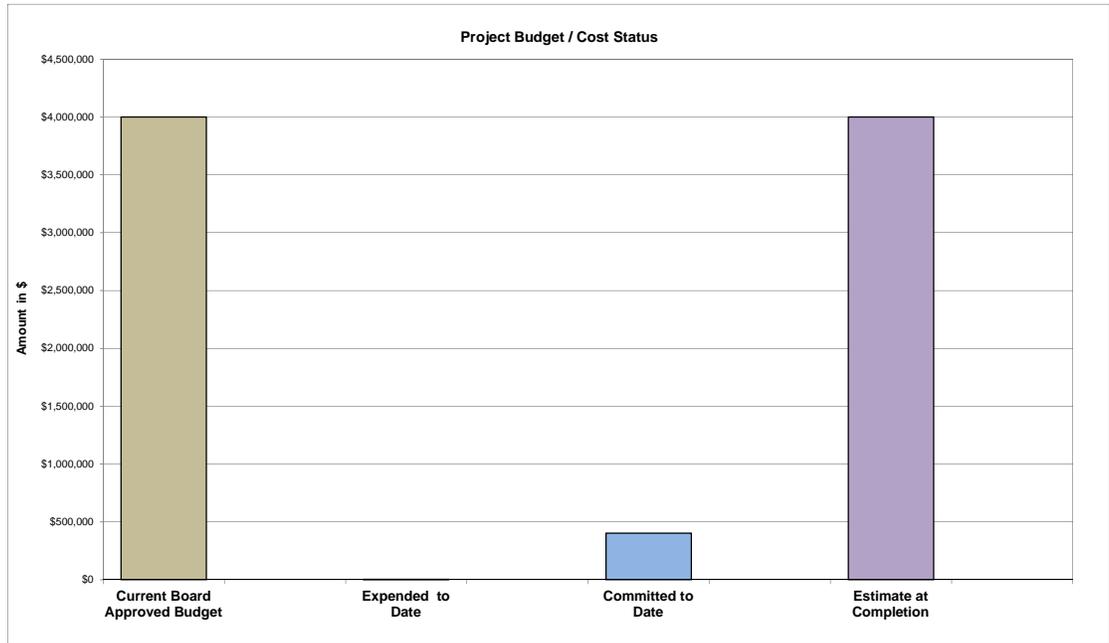
None.

WAYSIDE BIKE PARKING IMPROVEMENT PROJECT

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$4,000,000	\$2,069	\$401,787	\$4,000,000	\$0



Issues: None.

SAFETY:



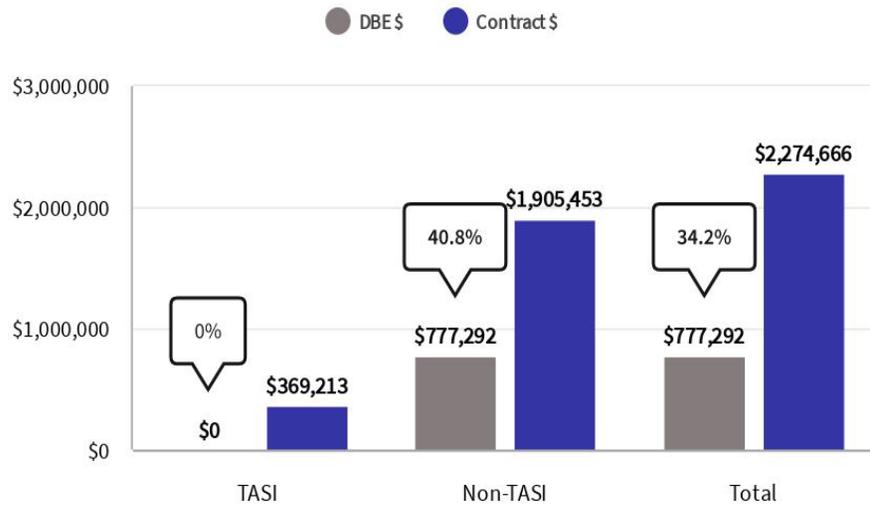
No incidents reported this quarter.

Caltrain : Disadvantaged Business Enterprise (DBE)

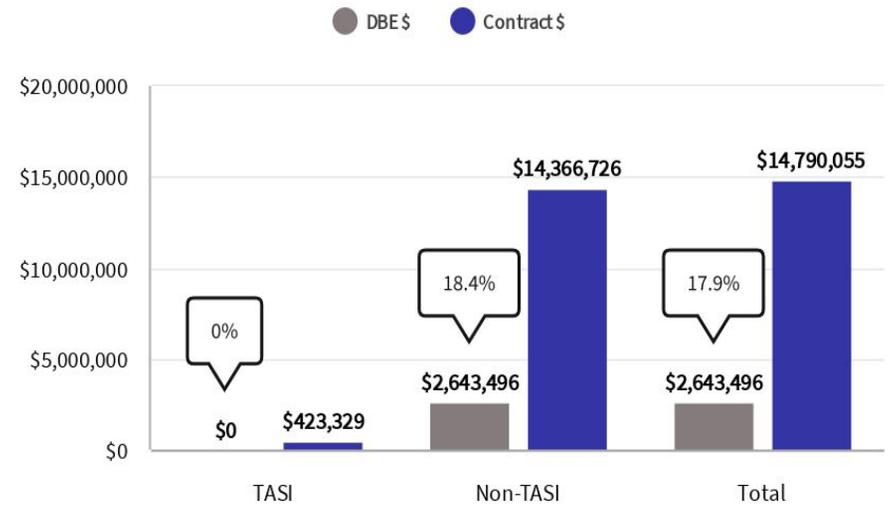
Quarterly Status Report:

- The Caltrain overall DBE goal is 13.5%.
- TASI had zero percent (0%) DBE utilization for the second quarter.
- Amended purchase orders and a PCEP change order led to a variance in the amount reported in Q1.*

FFY20 Q2: January 01, 2020 to March 31, 2020



2020 Federal Fiscal Year to Date:



* PCEP awards were removed from the Q1 report reducing DBE utilization by \$11,929.73 and contract awards by \$2,001,553.42.

Definition of Terms

Committed to Date – The encumbered amount of work directives, contracts, and purchase orders plus any non PO related expenditures.

Current Board Approved Budget – The original budget plus approved budget changes.

Estimate at Completion (EAC) – The estimated final cost of the project.

Expended to Date – The project costs that have been recorded in the financial system plus the accrual cost of work performed through the current period.

Variance at Completion – The difference between the Current Board Approved Budget and the EAC. A positive value reflects a potential underrun whereas a negative amount indicates a possible overrun.

Performance Status (Traffic Light) Criteria

SECTIONS	On Target (GREEN)	Moderate Risk (YELLOW)	High Risk (RED)
1. SCOPE	(a) Scope is consistent with Budget or Funding. (b) Scope is consistent with other projects. (c) Scope change has been mitigated.	(a) Scope is NOT consistent with Budget or Funding. (b) Scope appears to be in conflict with another project. (c) Scope changes have been proposed.	(a) Significant scope changes / significant deviations from the original plan.
2. BUDGET	(a) Estimate at Completion is within plus /minus 5% of the Current Board Approved Budget.	(a) Estimate at Completion exceeds the Current Board Approved Budget by 5% to 10%.	(a) Estimate at Completion exceeds the Current Board Approved Budget by more than 10%.
3. SCHEDULE	(a) Project milestones / critical path are within plus/minus two months of the current baseline schedule. (b) Physical progress during the report period is consistent with incurred expenditures. (c) Schedule has been defined.	(a) Project milestones / critical path show slippage. Project is more than two to six months behind the current baseline schedule. (b) No physical progress during the report period, but expenditures have been incurred. (c) Detailed baseline schedule NOT finalized.	(a) Project milestones / critical path show slippage more than two consecutive months. (b) Forecast project completion is later than the current baseline scheduled completion by more than six months. (c) Schedule NOT defined for two consecutive months.
4. SAFETY	(a) No reported safety related incidents on the project.	(a) One Near Miss or incident requiring written report based on contract requirements.	(a) Injury (worker or passenger) requiring reporting to the Federal Railroad Administration. (b) Two or more Miss or incident requiring written report based on contract requirements.

Schedule Legend

	Completed
	Critical path
	Baseline/target schedule

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

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

ACTION

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

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

SIGNIFICANCE

Year to Date Revenues: As of April year-to-date actual, the Total Revenue (page 1, line 17) is \$2.6 million lower than the prior year. This is primarily driven by Farebox Revenue (page 1, line 1) and Operating Grants (page 1, line 11), partially offset by increases in JPB Member Agencies Contributions (page 1, line 12).

Year to Date Expenses: As of April year-to-date actual, the Grand Total Expense (page 1, line 49) is \$3.5 million higher than the prior year-to-date actual. This is primarily due to increases in Rail Operator Service (page 1, line 23), Wages and Benefits (page 1, line 38), Professional Services (page 1, line 41), and Long Term Debt Expense (page 1, line 47). The increases are partially offset by decreases in Claims, Payments, and Reserves (page 1, line 30), Managing Agency Admin OH Cost (page 1, line 39), and Other Office Expenses and Services (page 1, line 43).

Other Information: Starting in January 2019, the Agency modified the basis of reporting from accrual basis to modified cash basis (only material revenues and expenses are accrued) in monthly financial statements. The change in the accounting basis is not retroactively reflected in the prior year actual. As such, the monthly variance between the prior year and the current year actual may show noticeable variances for some line items on the financial statements.

Due to the impact of Covid-19 pandemic in the farebox revenues and other major line items in the financial statements, the forecast column was eliminated from the

reports until more information are available for accurate revenue and expense forecast.

BUDGET IMPACT

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

STRATEGIC INITIATIVE

This item does not achieve a strategic initiative.

Prepared By : Danny Susantin, Accountant III

650-622-8073

Jennifer Ye, Manager, General Ledger

650-622-7890

PENINSULA CORRIDOR JOINT POWERS BOARD

STATEMENT OF REVENUE AND EXPENSE

Fiscal Year 2020

April 2020

% OF YEAR ELAPSED

83.3%

	YEAR TO DATE					ANNUAL
	PRIOR	CURRENT	\$	%	CURRENT	APPROVED
	ACTUAL	ACTUAL	VARIANCE	VARIANCE	AS A % OF BUDGET	BUDGET
REVENUE						
OPERATIONS:						
1 Farebox Revenue	84,793,550	79,348,545	(5,445,006)	(6.4%)	74.9%	106,000,000
2 Parking Revenue	4,417,731	3,655,591	(762,140)	(17.3%)	68.5%	5,335,000
3 Shuttles	1,632,850	1,670,612	37,761	2.3%	66.7%	2,503,200
4 Rental Income	1,568,094	1,956,714	388,620	24.8%	95.0%	2,060,540
5 Other Income	2,143,230	2,809,059	665,828	31.1%	160.2%	1,753,450
6						
7 TOTAL OPERATING REVENUE	94,555,456	89,440,520	(5,114,936)	(5.4%)	76.0%	117,652,190
8						
CONTRIBUTIONS:						
9 AB434 Peninsula & TA Shuttle Funding	1,440,488	2,115,793	675,306	46.9%	121.7%	1,737,950
10 Operating Grants	5,475,506	4,335,253	(1,140,253)	(20.8%)	81.4%	5,327,497
12 JPB Member Agencies	22,165,000	25,104,921	2,939,921	13.3%	83.9%	29,921,971
13 Use of Reserves	-	-	-	0.0%	0.0%	1,064,614
14						
15 TOTAL CONTRIBUTED REVENUE	29,080,993	31,555,967	2,474,974	8.5%	82.9%	38,052,032
16						
17 GRAND TOTAL REVENUE	123,636,450	120,996,487	(2,639,963)	(2.1%)	77.7%	155,704,222
18						
EXPENSE						
OPERATING EXPENSE:						
23 Rail Operator Service	70,571,335	73,460,584	2,889,249	4.1%	80.9%	90,817,696
24 Positive Train Control	34,988	344,375	309,387	884.3%	14.3%	2,400,000
25 Security Services	5,289,405	4,872,062	(417,343)	(7.9%)	74.4%	6,544,183
26 Shuttles Services	3,300,159	3,349,034	48,875	1.5%	63.3%	5,290,100
27 Fuel and Lubricants	8,672,856	8,265,007	(407,849)	(4.7%)	75.1%	11,003,417
28 Timetables and Tickets	87,245	58,099	(29,147)	(33.4%)	40.5%	143,500
29 Insurance	3,498,105	3,605,396	107,291	3.1%	80.0%	4,506,064
30 Claims, Payments, and Reserves	599,870	(69,829)	(669,699)	(111.6%)	(7.3%)	951,794
31 Facilities and Equipment Maint	1,763,869	1,900,378	136,509	7.7%	56.9%	3,339,391
32 Utilities	1,571,427	1,571,664	237	0.0%	74.6%	2,105,422
33 Maint & Services-Bldg & Other	786,037	1,117,688	331,651	42.2%	71.3%	1,567,930
34						
35 TOTAL OPERATING EXPENSE	96,175,296	98,474,458	2,299,162	2.4%	76.5%	128,669,496
36						
ADMINISTRATIVE EXPENSE						
37 Wages and Benefits	8,520,172	9,873,027	1,352,854	15.9%	81.9%	12,061,633
38 Managing Agency Admin OH Cost	5,805,634	3,598,588	(2,207,046)	(38.0%)	70.6%	5,098,065
40 Board of Directors	16,795	10,024	(6,770)	(40.3%)	68.7%	14,600
41 Professional Services	1,896,116	3,789,504	1,893,389	99.9%	88.6%	4,275,583
42 Communications and Marketing	230,395	239,720	9,325	4.0%	79.5%	301,500
43 Other Office Expenses and Services	2,704,408	1,560,402	(1,144,006)	(42.3%)	59.0%	2,643,572
44						
45 TOTAL ADMINISTRATIVE EXPENSE	19,173,520	19,071,266	(102,253)	(0.5%)	78.2%	24,394,953
46						
47 Long Term Debt Expense	886,412	2,186,864	1,300,452	146.7%	82.8%	2,639,773
48						
49 GRAND TOTAL EXPENSE	116,235,228	119,732,589	3,497,361	3.0%	76.9%	155,704,222
50						
51 NET SURPLUS / (DEFICIT)	7,401,222	1,263,899	(6,137,323)	(82.9%)		(0)

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
General Manager/CEO

FROM: Derek Hansel
Chief Financial Officer

SUBJECT: **PROVIDE AN EXTENSION OF THE CURRENT GO PASS TERM FOR ALL
CURRENT GO PASS PARTICIPANTS IMPACTED BY THE COVID-19
MANDATORY SHELTER-IN-PLACE ORDER**

ACTION

Staff proposes the Committee recommend that the Board:

1. Approve the extension of the term of all 2020 Go Pass Participant agreements, week for week, to compensate Participant Companies for the loss of use of Caltrain over the mandatory COVID-19 Shelter-in-Place order period.

SIGNIFICANCE

On March 17, 2020, the three Counties served by Caltrain issued shelter-in-place orders severely limiting Go Pass Participants' ability to access Caltrain for their employees. Several Go Pass Participants have requested a discount or other form of compensation for this break in service dictated by County Health Officials and then further required by the State of California.

Staff recommends the Board authorize a week for week extension of the current 2020 Go Pass contracted termination period (December 31, 2020) mirroring the term of the Shelter In Place Orders (currently March 17, 2020 through May 31, 2020). Staff would work with all current Go Pass Participants to provide an extension to their current program documents which will enable Participants' employees to access Caltrain under their existing contract for the matching period (currently mid-March 2021).

Our Go Pass program currently serves 121 participants with over 87,000 eligible users. The primary goal for this initiative is to provide a continuity of service into 2021 and provide financial relief due to COVID-19 to Go Pass participants that have been prohibited from using our service by the shelter-in-place orders.

BUDGET IMPACT

With 121 current participants and 87,206 eligible users, the Go Pass program generates approximately \$30 million in annual revenues for the Agency. The budget impact of the proposed action will be approximately \$6.3 million – reflecting the current 10 week Shelter In Place order period and resulting in lost revenues for FY2020. If this action is approved by the Board, Caltrain will seek reimbursement for this lost revenue from the approximately \$49.3 million that has been allocated to Caltrain from the first tranche of CARES Act funding.

BACKGROUND

The Caltrain Go Pass program allows companies, educational institutions and residential complexes ("Participants") to purchase annual unlimited-ride passes for all eligible employees, residents or students ("Users"). The Go Pass ticket is provided in the form of either a sticker that is affixed to an approved Participant Company identification badge or, in a current pilot program, on a Clipper card. The user presents the ID badge upon request or tags on and off at the appropriate Clipper card readers at train stations as proof-of-payment.

Prepared By: Jayden Sangha – Treasury Manager

650-508-6405

RESOLUTION NO. 2020 –

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

*** * ***

**APPROVING EXTENSIONS TO THE TERMS OF ALL 2020 GO PASS PARTICIPANT
AGREEMENTS TO COMPENSATE PARTICIPANTS FOR THE LOSS OF USE OF CALTRAIN
DURING THE MANDATORY COVID-19 SHELTER-IN-PLACE ORDER PERIOD**

WHEREAS, a novel coronavirus (COVID-19) was first detected in Wuhan, China, in late 2019 and has spread throughout the world and the United States at alarming rates; and

WHEREAS, the Governor of the State of California declared a State of Emergency as a result of the COVID-19 pandemic on March 4, 2020 and issued Executive Order No. N-33-20 (State Order) requiring all individuals to stay in their places of residence, except as needed to maintain continuity of operations of essential critical infrastructure sectors, on March 19, 2020; and

WHEREAS, City and County of San Francisco, San Mateo County and Santa Clara County each have proclaimed the existence of a Local Emergency throughout their respective counties as a result of the COVID-19 pandemic; and

WHEREAS, the County Health Officers of the City and County of San Francisco, San Mateo County and Santa Clara County then declared a Local Health Emergency due to the introduction of COVID-19 in their respective counties, and issued orders (collectively "County Orders") on March 16, March 31 and April 29, 2020, directing, among other things, all individuals living in the county to shelter at their place of residence except to provide or receive essential services or engage in certain essential activities and work for essential businesses and governmental services, and

effective May 3 select outdoor activities, with the latest County Order in effect through May 31, 2020; and

WHEREAS, the Peninsula Corridor Joint Powers Board (JPB) operates the Caltrain Go Pass program, which is a fare product that allows companies, educational institutions and residential complexes (Participants) to purchase annual unlimited-ride passes for all eligible employees, residents or students (Users) on a calendar year basis; and

WHEREAS, the COVID-19 preventative measures, including the State Order, the County Orders, and social distancing protocols, has dramatically reduced the ability of Go Pass Users to ride Caltrain and benefit from their 2020 Go Passes; and

WHEREAS, the Board of Directors desires to compensate Participants and Users for their loss of access to Caltrain for the duration of the State Order and County Orders.

NOW, THEREFORE BE IT RESOLVED that the Board of Directors of the Peninsula Corridor Joint Powers Board that:

1. The Executive Director, or his designee, is authorized to execute documents necessary to extend the duration of current 2020 Go Pass Participant Agreements for an equitable period to compensate Go Pass Participants for their Users' loss of use of Caltrain for the duration of the State Order or the County Orders.
2. The Executive Director is directed to report back to the Board on the agreements reached and the financial impact on the JPB.

Regularly passed and adopted this 4th day of June, 2020 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Derek Hansel Chief Financial Officer
Carter Mau Deputy Executive Director

SUBJECT: **AWARD OF CONTRACT FOR LAW ENFORCEMENT SERVICES**

ACTION

Staff Coordinating Council recommends the Board:

1. Award a contract to the San Mateo County Sheriff's Office (SMCSO) for transit law enforcement services (Services) for a not-to-exceed amount of \$34,632,000 for a five-year base term.
2. Authorize the Executive Director, or his designee, to execute a contract with SMCSO in full conformity with the terms and conditions of the solicitation documents and negotiated agreement, and in a form approved by legal counsel.
3. Authorize the Executive Director, or his designee, to exercise one additional five-year option term with SMCSO, provided it is in the best interest of the Peninsula Corridor Joint Power Board (JPB), for a not-to-exceed amount of \$43,134,000.

SIGNIFICANCE

The Services are for both Caltrain rail operations for the JPB and SamTrans bus operations for the San Mateo County Transit District (District). The Services will be provided to Caltrain's 32 stations along its 77-mile corridor, and approximately 90-weekday trains. The requested Services include, but are not limited to, patrol services within the Caltrain service areas, coordination of all requests for police service, collision investigations, and police reports. Additionally, explosive-detecting K9 units, crime scene investigation and criminal forensics, coroner's services, coverage for special events and backup personnel will be provided, as required.

BUDGET IMPACT

The JPB's share of the total cost of the Services will be available in the proposed Fiscal Year (FY) 2021 and future year operating budgets. The proposed JPB costs for FY2021 are not-to-exceed \$6,161,335.

BACKGROUND

The SMCSO has provided the Services for rail operations since 2004. The existing agreement was authorized by the Board of Directors by Resolution 2015-25. Costs of the Services under the current contract were allocated between the two agencies, with the JPB paying 78 percent and the District paying 22 percent of the total costs. The JPB's cost-share is higher than the District's because of the highly-specialized nature of the SMCSO's rail response services, requiring significantly more of the SMCSO's Services than bus operations, as well as the broader geographical area the SMCSO covers for Caltrain.

Prior to issuance of a Request for Proposals (RFP), Staff conducted extensive outreach and contacted the law enforcement agencies locally – San Mateo County Sheriff, Santa Clara County Sheriff, San Francisco County Sheriff, Alameda County Sheriff, Marin County Sheriff, Redwood City Police, Belmont Police, San Carlos Police, and the California Highway Patrol. They were informed of the upcoming solicitation and were asked whether they would be interested. Only two of the nine indicated interest.

The RFP was issued on the JPB's procurement portal. In accordance with the JPB Disadvantaged Business Enterprise Program, a preference for Small Business Enterprises (SBEs) was included in this RFP. A pre-proposal conference was held and two interested law enforcement agencies attended. Only one proposal, from SMCSO, was received.

A Selection Committee composed of qualified staff from Safety and Security, Bus Operations, and Rail Operations reviewed and evaluated the SMCSO proposal according to the following weighted criteria outlined in the RFP:

- Understanding of Scope of Services and Management Plan 30 points
- Qualifications and Experience of Firm 30 points
- Qualifications and Experience of Key Personnel 20 points
- Reasonableness of Cost 20 points
- SBE Preference 5 points

The parties engaged in negotiations regarding the scope of services and contract provisions, and fair and reasonable fees. SMCSO has provided satisfactory services since 2004. As only one proposal was received, staff conducted a price analysis by comparing cost elements paid by sister agencies and determined costs are similar to those paid by other agencies for the same services. Staff believes costs are fair and reasonable.

The SMCSO will provide the Services through a combination of highly-trained personnel comprised of a Lieutenant, a Sergeant, a part-time Captain, 11 Deputies, including three canine units and a Detective, four Community Services Officers and a Management Analyst.

Staff surveyed the one other interested law enforcement agency and determined it did not submit a proposal because it would not be able to provide the required Services at this time.

The existing law enforcement services agreement with the SMCSO was awarded in August 2015 for a three-year base term, with two one-year option terms. Both option year terms were exercised, and the agreement is due to expire June 30.

Procurement Manager: Concepcion Gayotin

650.622.8011

Project Manager: Victoria O'Brien, Deputy Director, Safety and Security

650.622.8045

RESOLUTION NO. 2020 –

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

**AWARDING A CONTRACT TO THE SAN MATEO COUNTY SHERIFF'S OFFICE
FOR THE PROVISION OF LAW ENFORCEMENT SERVICES FOR
A NOT-TO-EXCEED AMOUNT OF \$34,362,000 FOR A FIVE-YEAR BASE TERM**

WHEREAS, the San Mateo County Sheriff's Office (SMCSO) has provided law enforcement services for SamTrans bus operations for the San Mateo County Transit District (District) and Caltrain rail operations for the Peninsula Corridor Joint Power Board (JPB) since 2004; and

WHEREAS, the existing law enforcement services agreement with the SMCSO was awarded in August 2015 for a three-year base term, with two one-year options; and

WHEREAS, the existing agreement was authorized by the Boards of Directors of both the District and the JPB (Agencies), and costs of services were allocated between the Agencies, with the JPB paying 78 percent and the District paying 22 percent of the total costs; and

WHEREAS, the existing agreement is set to expire on June 30, 2020, and the Agencies issued a Request for Proposals (RFP) for transit law enforcement services (Services); and

WHEREAS, in response to the RFP, the Agencies received only one proposal, from the SMCSO; and

WHEREAS, a Selection Committee reviewed the proposal, the parties engaged in negotiations regarding the scope of services and contract provisions, and fair and reasonable fees were negotiated; and

WHEREAS, the Executive Director recommends and the Staff Coordinating Council concurs, that the Board of Directors award a contract to the SMCSO for the provision of Services for a five-year base term for a not-to-exceed amount of \$34,632,000, with a five-year option term for a not-to-exceed amount of \$43,134,000.

NOW, THEREFORE, BE IT RESOLVED that the Peninsula Corridor Joint Powers Board hereby awards a contract to the San Mateo County Sheriff's Office for transit law enforcement services for a not-to-exceed amount of \$34,362,000 for a five-year base term; and

BE IT FURTHER RESOLVED, that the Executive Director, or his designee, is authorized to execute a contract on behalf of the JPB with the SMCSO in full conformity with the terms and conditions of the solicitation documents and negotiated agreement, and in a form approved by legal counsel; and

BE IT FURTHER RESOLVED that the Executive Director, or his designee, is authorized to exercise up to one additional five-year option term with the SMCSO, provided it is in the best interest of the Peninsula Corridor Joint Powers Board, for a not-to-exceed amount of \$43,134,000.

Regularly passed and adopted this 4th day of June, 2020 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Board of Directors

THROUGH: Jim Harnett
Executive Director

FROM: Derek Hansel
Chief Financial Officer

SUBJECT: **AWARD OF CONTRACTS FOR PROVISION OF INVESTMENT MANAGEMENT
AND CUSTODY AND SAFEKEEPING SERVICES**

ACTION

Staff Coordinating Council recommends the Board:

1. Award a contract to PFM Asset Management, LLC (PFM) of San Francisco, California to provide investment management services (Investment Services) for a five-year term for a not-to-exceed amount of \$425,000.
2. Award a contract to U.S. Bank N.A. (U.S. Bank) of San Francisco, California to provide custody and safekeeping services (Custodial Services) for a five-year term for a not-to-exceed amount of \$50,000.
3. Authorize the Executive Director, or his designee, to execute contracts with PFM and U.S. Bank in full conformity with the terms and conditions of the solicitation documents and negotiated agreements, and in forms approved by legal counsel.

SIGNIFICANCE

Approval of the above actions will provide the Peninsula Corridor Joint Powers Board (JPB) with Investment and Custodial Services for its anticipated investment portfolios. The Investment Services will be provided in full accordance with applicable California law governing the investment of local agency funds and the JPB's current Statement of Investment Policy, which provides for the protection of principal, liquidity, and appropriate yield on excess JPB funds.

BUDGET IMPACT

Funds to support the award of these contracts are included in the proposed Fiscal Year 2021 operating budget and will be included in future year operating budgets.

BACKGROUND

Staff determined that a joint solicitation with the JPB, the San Mateo County Transit District and the San Mateo County Transportation Authority (Agencies) was a cost-

effective approach to procure Investment Services and Custodial Services. A Request for Proposals (RFP) detailing the scope of services was issued on the Agencies' procurement portal. In accordance with the JPB Disadvantaged Business Enterprise Program, the RFP contained a 5 percent preference for Small Business Enterprises (SBEs). The Agencies received a total of eight proposals, seven for Investment Services and one for Custodial Services.

A Selection Committee (Committee) comprised of qualified staff from the Finance Division reviewed and ranked proposals separately for each service category, and for each Agency, according to the following weighted criteria outlined in the RFP:

- Approach to Scope of Services 25 points
- Company Qualifications, Experience, and References 25 points
- Qualifications and Experience of Key Personnel 30 points
- Reasonableness of Cost 20 points
- SBE Preference 5 points

All eight firms were found to be in the competitive range and participated in interviews. Upon completion of the interviews, references checks, financial review, and final scoring of the proposals, the Committee reached a final consensus scoring. PFM received the highest ranking for the provision of Investment Services for the JPB. The Committee determined the proposal submitted by U.S. Bank for the provision of Custodial Services was acceptable.

The not-to-exceed amount of \$425,000 for the Investment Services contract is based on the anticipated JPB portfolio and PFM's fee schedule, which includes 0.06% (6 basis points) for the first \$100 million under management and 0.05% for amounts greater than \$100 million. This fee structure will be in effect when funds become available in the JPB portfolio. The not-to-exceed amount of \$50,000 for the Custodial Services contract is based on the JPB's anticipated portfolio and U.S. Bank's 0.005% (half a basis point) fee assessed on the assets in the portfolio. This fee will be in effect when funds become available in the JPB portfolio.

Services are currently provided by PFM and U.S. Bank pursuant to contracts awarded under Resolution 2014-61. The firms' performance to-date has been acceptable and in conformance with contractual requirements, terms and conditions. The contract for PFM expired on February 29, 2020, whereas the contract for US Bank was extended and is due to expire on June 30, 2020.

Procurement Administrator II: Mary Garcia 650.622.7893
Project Manager: Jayden Sangha, Manager, Treasury 650.508.6274

RESOLUTION NO. 2020 –

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

AWARDING A CONTRACT TO PFM ASSET MANAGEMENT LLC FOR THE PROVISION OF INVESTMENT MANAGEMENT SERVICES FOR A NOT-TO-EXCEED AMOUNT OF \$425,000 FOR A FIVE-YEAR TERM AND A CONTRACT TO U.S. BANK N.A. FOR THE PROVISION OF CUSTODY AND SAFEKEEPING SERVICES FOR A NOT-TO-EXCEED AMOUNT OF \$50,000 FOR A FIVE-YEAR TERM

WHEREAS, the Peninsula Corridor Joint Powers Board (JPB), jointly with the San Mateo County Transit District and the San Mateo County Transportation Authority, issued a Request For Proposals (RFP) for investment management services (Investment Services) and custody and safekeeping services (Custodial Services); and

WHEREAS, seven firms submitted proposals for Investment Services and one firm submitted a proposal for Custodial Services; and

WHEREAS, a Selection Committee (Committee) composed of qualified Finance Division staff reviewed the proposals and scored them in accordance with the evaluation criteria set forth in the RFP; and

WHEREAS, upon completion of proposal evaluation and negotiations, the Committee determined the proposal submitted by PFM Asset Management, LLC (PFM) of San Francisco, California was the highest ranked proposal for Investment Services for the JPB, and the proposal submitted by U.S. Bank N.A. (U.S. Bank) of San Francisco, California for Custodial Services was acceptable; and

WHEREAS, the Staff Coordinating Council recommends and the Executive Director concurs, that the Board of Directors award a contract to PFM for a five-year term for a not-to-exceed amount of \$425,000 and a contract to U.S. Bank for a five-year for a not-to-exceed amount of \$50,000.

NOW, THEREFORE, BE IT RESOLVED that the Peninsula Corridor Joint Powers Board hereby awards a contract to PFM Asset Management, LLC to provide investment management services for a five-year term for a not-to-exceed amount of \$425,000; and

BE IT FURTHER RESOLVED that the Peninsula Corridor Joint Powers Board awards a contract to U.S. Bank N.A. to provide custody and safekeeping services for a five-year term for a not-to-exceed amount of \$50,000; and

BE IT FURTHER RESOLVED that the Executive Director, or his designee, is authorized to execute contracts with PFM and U.S. Bank in full conformity with the terms and conditions of the solicitation documents and negotiated agreements, and in forms approved by legal counsel.

Regularly passed and adopted this 4th day of June, 2020 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary

PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT

TO: Board of Directors

THROUGH: Jim Hartnett
Executive Director

FROM: Derek Hansel
Chief Financial Officer

SUBJECT: **EXECUTION OF CONTRACTS FOR INFORMATION TECHNOLOGY LICENSES,
MAINTENANCE SERVICES, AND PROFESSIONAL SERVICES**

ACTION

Staff Coordinating Council recommends the Board authorize the Executive Director, or his designee, to enter into contracts greater than \$150,000 with original equipment manufacturers, product licensors and their distributors or consultants, directly and without the utilization of cooperative purchasing agreements, if not available, or competitive solicitations, if not applicable, to procure new software licenses, maintenance, and support services, recurring maintenance services and license renewals necessary to permit continued effective use and upkeep of Peninsula Corridor Joint Powers Board (JPB) information technology hardware and software used for the management and oversight of Caltrain. The proposed action also will apply to contracts for the provision of single/sole source professional services necessary to expand or modify previously competitively procured proprietary software when an original provider is the only source of such services. Expenditures with manufacturers, vendors, and consultants under this authority will not exceed the budgeted amount of \$1 million throughout Fiscal Year (FY) 2021.

SIGNIFICANCE

Delegation of contract approval authority will allow the JPB to pay for new software licenses, maintenance and support services, recurring maintenance services, additional licenses, license renewal fees, and professional services for proprietary software greater than \$150,000 without bringing individual actions before the Board for approval. This delegation would not eliminate the requirement that other procurement policies and procedures be followed. A quarterly report indicating contracts awarded during the prior quarter will be submitted to the Board.

Recurring support and license agreements are, by their nature, repetitive and routine, and are required to ensure the continued and effective operation of information technology assets owned by the JPB. The sole source purchase of additional modules to existing software or professional services to modify existing proprietary software will allow the JPB's changing business needs to be met in a timely manner.

Delegating this authority expedites the JPB's ability to continue needed operations and services in the management of Caltrain and reduces the time and resources otherwise required to obtain individual approval of such support and license agreements.

BUDGET IMPACT

Funds for these purchases are programmed in the proposed FY 2021 capital and operating budgets.

BACKGROUND

Software and hardware are typically sold with licenses and maintenance agreements that require periodic renewal. Failing to renew maintenance support means loss of software updates, and problems obtaining resolution assistance and repair services typically needed to keep a product in good operating order. In some cases, the product may not be legally used if maintenance and license renewals have not been obtained.

It is not always possible to find cooperative purchasing agreements with contracts for the necessary maintenance support and license renewals. This is particularly true for transit industry-specific information technology products. The types of licensing and maintenance agreements contemplated are generally unobtainable under any other method because they are proprietary to the manufacturers of the software. Similarly, many manufacturers do not allow third-parties to access source code or provide services. As a result, professional services to upgrade, modify, or add to existing software must be performed by the original manufacturer.

JPB assets requiring payment of recurring annual or multi-year maintenance services, support and license fees over \$150,000 that may need to be accommodated in FY21 outside of cooperative purchase agreements or other pre-existing contracts include, but are not necessarily limited to, documentation management and collaboration software for construction and engineering management, such as:

- ARINC
- Penta
- Ventek (Caltrain TVM upgrade)

Contract Administrator: Shruti Ladani

650.622.7857

Project Manager: Edward Kelly, IT Manager, Information Technology

650.622.8002

RESOLUTION NO. 2020 –

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

**AUTHORIZING EXECUTION OF CONTRACTS FOR INFORMATION TECHNOLOGY LICENSES,
MAINTENANCE SERVICES AND PROFESSIONAL SERVICES FOR AN AGGREGATE
NOT-TO-EXCEED AMOUNT OF \$1 MILLION FOR FISCAL YEAR 2021**

WHEREAS, the Peninsula Corridor Joint Powers Board (JPB) will require continuing product support and licenses for information technology hardware and software throughout Fiscal Year (FY) 2021 to permit the continued effective use and upkeep of information technology assets owned by the JPB; and

WHEREAS, maintenance support and software license agreements for the information technology assets in use are, by their nature, repetitive and routine; and

WHEREAS, the JPB will also require professional services necessary to expand or modify previously competitively procured proprietary software when an original provider is the only source of such services; and

WHEREAS, Staff Coordinating Council recommends, and the Executive Director concurs, that the Executive Director, or his designee, be authorized to execute contracts greater than \$150,000 with original equipment manufacturers, product licensors, and their authorized distributors and consultants to meet the JPB's technology requirements for FY 2021, pursuant to the JPB's procurement authority and policy, up to an aggregate not-to-exceed amount of \$1 million.

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby takes the following actions:

1. Authorizes the procurement of new software licenses, maintenance, and support services agreements for information technology, pursuant to the JPB's

procurement authority and policy, in an aggregate not-to-exceed amount of \$1 million for Fiscal Year 2021; and

2. Authorizes the Executive Director, or his designee, to enter into contracts exceeding \$150,000 with original equipment manufacturers, product licensors, or their authorized distributors for recurring product support and additional licenses, and license renewals necessary to permit continued effective use and upkeep of JPB-owned information technology hardware and software; and

3. Authorizes the Executive Director, or his designee, to enter into contracts greater than \$150,000 with original equipment manufacturers, product licensors, or their authorized consultants for the provision of single/sole source professional services necessary to expand or modify previously competitively procured proprietary software when an original provider is the only source of such services; and

4. Authorizes the Executive Director or his designee to execute all necessary purchase orders, contracts, and other documents and to take such other actions as may be necessary to give effect to this Resolution; and

5. Requests the Executive Director, or his designee, to provide a report to the Board of Directors on a quarterly basis advising of actions taken pursuant to the authority conferred by this Resolution.

Regularly passed and adopted this 4th day of June, 2020 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Board of Directors

THROUGH: Jim Hartnett
Executive Director

FROM: Derek Hansel
Chief Financial Officer

SUBJECT: **EXECUTION OF CONTRACTS FOR TECHNOLOGY-RELATED PRODUCTS AND SERVICES THROUGH PIGGYBACKING CONTRACTS AND COOPERATIVE PURCHASING PROGRAMS**

ACTION

Staff Coordinating Council recommends the Board authorize the Executive Director, or his designee, to enter into contracts greater than \$150,000 with vendors through piggybacking contracts and cooperative purchasing agreements, as required, for the purchase, lease and/or rental of computer and telecommunications equipment and related services, digital reprographic equipment, hardware, software, licensing, installation and configuration of telecommunications equipment, maintenance agreements, computer peripherals, and temporary technology consultants. Expenditures with vendors under these programs will not exceed the budgeted amount of \$1 million throughout Fiscal Year (FY) 2021. Cooperative agreements used may include, but are not limited to:

- California Integrated Information Network (CALNET)
- Sourcewell
- State of California Department of General Services (DGS)/California Multiple Award Schedule (CMAS)
- National Association of State Procurement Officials (NASPO) Valuepoint
- National Cooperative Procurement Partners (NCP)
- Federal General Services Administration (GSA)
- OMNIA Partners
- The Interlocal Purchasing System (TIPS Purchasing Cooperative)

SIGNIFICANCE

Approval of this contracting authority will provide the Peninsula Corridor Joint Powers Board (JPB) with a cost-effective means to support its standardization policy and provide the latest technology and related services through cooperative intergovernmental purchasing programs. Contracts issued under this authority will address the JPB's requirements for equipment, hardware, software, services, licensing, maintenance agreements, and programmed replacement of equipment that has

reached the end of its useful life or has become unsuited to address the JPB's future needs. A quarterly report indicating contracts awarded during the prior quarter will be submitted to the Board.

BUDGET IMPACT

Funds for these purchases are programmed in the proposed FY 2021 capital and operating budgets.

BACKGROUND

Given the rapidly changing technology of information system hardware, software, and related services, various cooperative purchasing programs and piggyback purchasing are available to provide these products and services. The JPB follows the San Mateo County Transit District's procurement policy and manual, which allow for the use of cooperative purchasing programs and piggyback purchasing. Special districts are given statutory permission to procure competitively-priced goods and services arising out of these vendor agreements. The Federal Government's own General Services Administration Schedules (also referred to as Multiple Award Schedules and Federal Supply Schedules) also can be utilized. By utilizing such cooperative purchasing programs and piggyback purchasing, the JPB saves considerable time and expense associated with independent procurements, which would be unlikely to yield more favorable pricing or service.

All vendors selected will hold valid agreements under the corresponding cooperative purchasing programs. Contracts will be executed only with vendors whose contracts were awarded under a cooperative buying agreement on a basis that complies with the JPB's procurement authority and policy, and will include the JPB's terms and conditions, as appropriate. Other cooperative purchasing consortia may be added to this program and utilized for the acquisition of technology items during FY 2021, but only to the extent each fully complies with the JPB's procurement authority and policy.

Contracts issued by individual governmental entities that allow other jurisdictions to use the contract they establish are called piggybacking contracts because they allow the agency to "piggyback" on the other governmental entities' solicitation process, contract terms and pricing. Contracts will be executed only with vendors whose contracts include piggybacking language on a basis that complies with the JPB's procurement authority and policy.

Contract Administrator: Shruti Ladani	650.622.7857
Project Manager: Edward Kelly, IT Manager, Information Technology	650.622.8002

RESOLUTION NO. 2020 –

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

AUTHORIZING EXECUTION OF CONTRACTS FOR TECHNOLOGY-RELATED PRODUCTS AND SERVICES THROUGH PIGGYBACK CONTRACTS AND COOPERATIVE PURCHASING PROGRAMS FOR AN AGGREGATE NOT-TO-EXCEED AMOUNT OF \$1 MILLION FOR FISCAL YEAR 2021

WHEREAS, the Peninsula Corridor Joint Powers Board (JPB) will require new personal computers, computer, and telecommunications equipment and related services, digital reprographic equipment, software, hardware, licensing and maintenance agreements, computer peripherals, and temporary technology consultants throughout Fiscal Year (FY) 2021, to fulfill new technology requirements, to support the JPB's standardization policy, and to replace technology equipment that has reached the end of its useful life; and

WHEREAS, in light of the need to standardize, update and purchase the latest technology in personal computers, telecommunications equipment, and other related equipment and services in the most cost-effective manner, the JPB has determined that an independent JPB-initiated solicitation process for the procurements described above is unlikely to be in the JPB's best interest; and

WHEREAS, piggybacking on other agencies' procurements as well as participating in cooperative purchasing consortia including, but not limited to, the California Integrated Information Network (CALNET), the State of California Department of General Services (DGS)/California Multiple Award Schedule (CMAS), Sourcewell, the National Association of State Procurement Officials (NASPO) Valuepoint, the National Cooperative Procurement Partners (NCP), the Federal General Services Administration

(GSA), OMNIA Partners, and the Interlocal Purchasing System (TIPS Purchasing Cooperative), allows the JPB to procure favorably-priced technology systems equipment and related services; and

WHEREAS, the Staff Coordinating Council (SCC) recommends, and the Executive Director concurs, that the JPB participate in the above-mentioned programs, as well as additional cooperative purchasing programs and piggyback purchasing, to the extent such programs fully comply with the JPB's procurement authority and policy; and

WHEREAS, SCC also recommends, and the Executive Director concurs, that the Executive Director, or his designee, be authorized to enter into contracts greater than \$150,000 with vendors under JPB-approved cooperative purchasing programs and piggyback purchasing to meet its personal computer, telecommunications equipment, and other related technology equipment and services requirements for FY 2021, pursuant to the terms and conditions of each program's vendor agreements, up to an aggregate not-to-exceed amount of \$1 million.

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby takes the following actions:

1. Determines that an independent JPB-initiated solicitation process for each purchase, lease and/or rental of new personal computers, computer and telecommunications equipment and services, digital reprographic equipment, hardware, software, licensing and maintenance agreements, computer peripherals and temporary technology consultants is unlikely to be in the JPB's best interest; and
2. Authorizes the procurement of technology systems equipment and related services through JPB-approved cooperative purchasing programs and piggyback contracts to meet its technology equipment and services requirements for

FY 2021 pursuant to the terms and conditions of each vendor agreement and to the extent that each cooperative purchasing program and each vendor agreement fully complies with the JPB's procurement authority and policy; and

3. Authorizes the Executive Director or his designee to enter into contracts greater than \$150,000 with vendors under the JPB-approved cooperative purchasing programs and piggyback purchasing up to an aggregate, not-to-exceed, amount of \$1 million for FY 2021; and

4. Authorizes the Executive Director, or his designee, to execute all necessary purchase orders, contracts and other documents to effectuate this resolution, including any agreements with other agencies' cooperative purchasing programs and piggyback purchasing for administrative fees for processing these purchases; and

5. Requests the Executive Director, or his designee, to provide a report to the Board of Directors on a quarterly basis advising of actions taken pursuant to the authority conferred by this resolution.

Regularly passed and adopted this 4th day of June, 2020 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Michelle Bouchard
Chief Operations Officer, Rail

SUBJECT: **AUTHORIZE AMENDMENTS TO CONTRACTS FOR ON-CALL RAILROAD BUSINESS OPERATIONS AND SYSTEMS SUPPORT SERVICES**

ACTION

Staff Coordinating Council recommends the Board:

1. Authorize amendments to the on-call railroad business operations and systems support services contracts to increase the base contract term not-to-exceed amounts of Category 1 Railroad Operations Planning Support Services by \$1,260,000, from \$5,500,000 to \$6,760,000, and Category 4 Rail Safety & Security Services by \$2,630,000, from \$4,486,200 to \$7,116,200, to be shared as a pool for authorized tasks amongst the consultant firms and contract numbers listed below:
 - a. B&G Transportation Group, LLC (15-J-P-031A) (Category 4)
 - b. CDM Smith, Inc. (15-J-P-031B) (Category 1)
 - c. HDR Engineering, Inc. (15-J-P-031C) (Category 1)
 - d. LTK Engineering Services (15-J-P-031D) (Category 1)
 - e. WSP USA, Inc. (15-J-P-031E, formerly Parsons Brinckerhoff, Inc.) (Category 1)
 - f. Stantec Consulting Services, Inc. (15-J-P-031F) (Category 1 and Category 4)
2. Authorize the Executive Director, or designee, to execute the contract amendments in a form approved by legal counsel.

SIGNIFICANCE

Execution of these amendments will provide the Peninsula Corridor Joint Powers Board (JPB) with uninterrupted services in connection with JPB current and upcoming on-call operations planning, and safety & security efforts. Operations Planning has exhausted its contract budget capacity by \$260,000, due to various needs since contract inception pursuant to twenty work directives, and now requires an unplanned addition of one seconded staff person to provide Director of Rail Integration services at a cost totaling ~\$1.0 million through the end of the base contract term (i.e., April 13, 2022). Safety & Security has exhausted its contract budget capacity by \$2,047,000, due to numerous unanticipated capital project safety needs and a \$583,000 independent review of engineering practices due to derailments in February 2019. Safety & Security will continue to need support for capital projects.

BUDGET IMPACT

Funds for the proposed contract amendments are available in the current-year Board-approved capital and operating budgets, and will be included in future year capital and/or operating budgets. A variety of funding sources is used for each project and may include Federal, State and local funds.

BACKGROUND

Pursuant to Resolution No. 2016-17, the Board awarded six-year base term contracts in an aggregate not-to-exceed amount of \$36,086,200 with two 2-year option terms for an aggregate not-to-exceed amount of \$17,990,800 to be shared as a pool among six firms for authorized tasks in four categories of services. The table below shows the categories, category description, firms, base term amounts per category, each two-year option amounts per category, monetary amount of work directives issued through April 2020, contract capacity remaining for the base contract term, and the amounts for the proposed amendments.

Category 1, Railroad Operations Planning Support Services, primarily provides rail operations with seconded staff support. Previous support provided under this category totaled \$2,447,860 and included the following seconded staff: the Construction Coordinator, Customer Experience – Communications Lead, Operations Planner, and Senior Planner Rail Operations. Current support being provided totals \$3,095,024 and includes the following seconded staff: the Construction Coordinator, Customer Experience – Communications Lead, PTC Program Management Services, EMU Program Support, MP36 Mid-Life Overhaul Support, and Director of Rail Integration. Future required support is budgeted at \$1,217,116 and includes, but is not limited to, the continuation of the Director of Rail Integration position through the end of the base term.

Category 4, Rail Safety & Security Services, primarily provides rail safety support. Previous support provided under this category totaled \$1,805,224 and included seconded staff and support services as follows: the System Safety Specialist; Construction Safety; Acting Co-Director, Safety & Security; and Safety Compliance Support. Current support being provided totals \$2,333,748 and includes seconded staff and support services as follows: the TTCI Independent Review, Safety Compliance, Construction Safety, System Safety Specialist, Security Project Specialist, PTC Safety Support, and Rail Activation Support Services. Future required support is budgeted at \$2,977,228 and includes the Rail Activation Support Services (\$486,609), Security Project Specialist (\$523,701), and Construction Safety (2 full-time equivalent positions for two years totaling \$1,966,918) for the following four projects: 25th Avenue Grade Separation, South San Francisco Station Replacement, Marin Napoleon Bridge Rehabilitation, and Bayshore Station Overpass Pedestrian Bridge Rehabilitation.

Category	1	2	3	4	
Description	Railroad Operations Planning Support Services	Railroad Business Planning Support Services	Railroad Operations Systems Support Services	Rail Safety & Security Services	Total
Firms	HDR, Stantec,	HDR, Stantec, LTK	Stantec, WSP, LTK	Stantec, B&G	

	CDM, WSP, LTK				
Base Term (6 years)	\$5,500,000	\$2,100,000	\$20,000,000	\$4,486,200	\$32,086,200
Each of two Two-Year Options	\$1,800,000	\$700,000	\$5,000,000	\$1,495,400	\$8,995,400
Total (Base + Options: 10 years)	\$9,100,000	\$3,500,000	\$30,000,000	\$7,477,000	\$50,077,000
Work Directives Issued	\$5,475,699	\$1,927,029	\$10,867,008	\$4,138,972	\$22,408,709
Base Term Contract Capacity Remaining	\$24,301	\$172,971	\$9,132,992	\$347,228	\$9,677,491
Proposed Amendment 1	\$1,260,000			\$2,630,000	\$3,673,162
Total (Base + Amendment 1 + Options)	\$10,360,000	\$3,500,000	\$30,000,000	\$10,107,000	\$53,750,162

Project Manager: Danielle Stewart, Director, Rail Contracts & Budget 650.508.7975

Contract Administrator: Lawrence Leung, Manager, Rail Contracts & Budget 650.508.6328

RESOLUTION NO. 2020 – 26

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

*** * ***

AUTHORIZING AMENDMENT OF CONTRACTS FOR ON-CALL RAILROAD BUSINESS OPERATIONS AND SYSTEMS SUPPORT SERVICES TO INCREASE CATEGORY 1 AMOUNT BY \$1,260,000 AND CATEGORY 4 AMOUNT BY \$2,630,000 FOR THE BASE CONTRACT TERM

WHEREAS, pursuant to Resolution No. 2016-17, the Board of Directors (Board) of the Peninsula Corridor Joint Powers Board (JPB) awarded contracts for on-call railroad business operations and systems support services to B&G Transportation Group, LLC , CDM Smith, Inc. , HDR Engineering, Inc., LTK Engineering Services, WSP USA, Inc. (formerly Parsons Brinckerhoff, Inc.), and Stantec Consulting Services, Inc. (collectively, the "Consultants") for a six-year base term with two, two-year option terms; and

WHEREAS, the contract awards consisted of four potential separate categories of services, one of which (Category 1: Railroad Operations Planning Support Services) was awarded to five firms, while the other three categories were awarded to two or three of the firms; and

WHEREAS, additional base term contract capacity in two of the contracts' scope of services categories (Category 1: Railroad Operations Planning Support Services and Category 4: Rail Safety & Security Services) is required due to increased scope of services for existing and new projects, which were not anticipated when the contracts were awarded; and

WHEREAS, the Executive Director recommends, and the Staff Coordinating Council concurs, that the Board authorize amendments:

1. For Category 1: Railroad Operations Planning Support Services, to the contracts with CDM Smith Inc., HDR Engineering, Inc., LTK Engineering Services,

WSP USA, Inc., and Stantec Consulting Services, Inc. to increase the base contract term amounts by \$1,260,000, from \$5,500,000 to \$11,070,000, to be shared in the aggregate amongst the five firms, and

2. For Category 4: Rail Safety & Security Services, to the contracts with B&G Transportation Group, LLC and Stantec Consulting Services, Inc., to increase the base contract term amounts by \$2,630,000, from \$4,486,200 to \$7,116,200, to be shared in the aggregate amongst the two firms, and
3. With the understanding that increasing the total contract authority will not obligate the JPB to purchase any specific level of services from any firm, as services are provided on an as-needed basis.

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the Peninsula Joint Powers Board hereby authorizes amendments to the contracts for on-call railroad business operations and systems support services with CDM Smith Inc., HDR Engineering, Inc., LTK Engineering Services, WSP USA, Inc., and Stantec Consulting Services, Inc. for Category 1, Railroad Operations Planning Support Services, as set forth above; and with B&G Transportation Group, LLC and Stantec Consulting Services, Inc. for Category 4, Rail Safety & Security Services, as set forth above; and

BE IT FURTHER RESOLVED that the Board authorizes the Executive Director, or his designee, to execute the amendments detailed above in a form approved by legal counsel.

Regularly passed and adopted this 4th day of June, 2020 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers
Board

ATTEST:

JPB Secretary

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board
THROUGH: Jim Hartnett
Executive Director
FROM: John Funghi
Chief Officer, CalMod Program
SUBJECT: **AUTHORIZE AMENDMENT TO ON-CALL ELECTRIFICATION SUPPORT SERVICES
CONTRACT FOR THE PENINSULA CORRIDOR ELECTRIFICATION PROJECT**

ACTION

Staff Coordinating Council recommends the Board:

1. Approve an amendment to the contract with Gannett Fleming Transit and Rail Systems, a division of Gannett Fleming, Inc. (Gannett Fleming) for On-Call Electrification Support Services for the Peninsula Corridor Electrification Project (PCEP) to increase the contract total amount by \$7,540,000, from \$60,203,400 to \$67,743,400 (a 13 percent increase), subject to approval by the Change Management Board (CMB) at their meeting on May 27.
2. Authorize the Executive Director, or his designee, to execute the contract amendment in a form approved by legal counsel.

SIGNIFICANCE

Approval of the above actions will ensure uninterrupted services for tasks related to providing electrification support services for PCEP, such as:

- Design-Build Electrification Contract Project Management
- Electrification Systems Integration/Coordination
- Electrification Technical Support

The services to be provided pursuant to the contract amendment will be performed under Work Directives (WDs) issued on an on-call, as-needed basis.

BUDGET IMPACT

The \$7.54M amendment to the Gannett Fleming Contract will be funded as follows: \$3.09M from the current PCEP budget for Electrification Engineering and Management, as shown on Section 8.0 Budget and Expenses of the Monthly Progress Report; and \$4.45M from PCEP budget contingency. The PCEP budget contingency fund balance remains above the Federal Transit Administration's recommended minimum levels.

BACKGROUND

Pursuant to Resolution No. 2014-24, the Peninsula Corridor Joint Powers Board (JPB) Board of Directors (Board) awarded a contract to Gannett Fleming for a six-year base term in

an amount of \$38,575,000, with up to two, 2-year option terms for a total aggregate not to-exceed amount of \$3,341,000, and contingency authority of up to 15 percent of the total Board-authorized contract amount to address unanticipated tasks assigned under authorized WDs. The option terms have been exercised, bringing the contract total to \$48,203,400 (including \$6,287,400 in contingency authority). The contract is set to expire in April 2024.

Pursuant to Board Resolution No. 2019-13, the Board approved an amendment to the Gannett Fleming contract to increase the contract authority in an amount of \$12 million to correct the underestimated level of effort required from Gannett Fleming to oversee the PCEP design-build contractor's design and construction work, and for extended support services for design and construction oversight due to the design-build contractor's reported overall delay to substantial completion.

Gannett Fleming acts as JPB's project manager and technical expert providing support for PCEP procurement, design, construction, testing, commissioning, safety, warranty and related systems integration matters. The contract includes coordination and support for the PCEP Electrification Project Management, PCEP Electrification Systems Integration, PCEP Electrification Technical Support, and PCEP Design Build Oversight and Construction on planning and scheduling, risk management, project cost estimating, contract administration, document control, and quality control and assurance for complex PCEP projects.

Based on Gannett Fleming's current level of effort, the contract total of \$60,203,400 will be expended earlier than anticipated, because the JPB's estimated level of effort required from Gannett Fleming is correlated to the progress of the design-build contractor's design and construction work. As the design-build contractor has reported unforeseen delays, additional extended support for design and construction oversight from Gannett Fleming is now required. PCEP Staff is working closely with the design-build contractor to prevent additional delays to the design-build contract.

An increase of \$7,540,000, from \$60,203,400 to \$67,743,400, in contract authority is therefore needed for Gannett Fleming to perform electrification support services to bring PCEP to completion. Due to the current economic downturn, the JPB will execute a one-year freeze to the current prices paid to Gannett Fleming and will ensure prices remain consistent with those paid by other public agencies in the Bay Area for similar services. Increasing the contract total will not obligate the JPB to purchase any specific level of service from Gannett Fleming as WDs are issued on a project and as-needed basis.

Gannett Fleming's performance to date has been satisfactory and in accordance with the requirements of the contract.

Project Manager: Liria Larano, Deputy Chief, CalMod

650.508.7976

RESOLUTION NO. 2020- 27

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

* * *

**AUTHORIZING AMENDMENT OF CONTRACT WITH GANNETT FLEMING TRANSIT AND
RAIL SYSTEMS FOR ON-CALL ELECTRIFICATION SUPPORT SERVICES FOR
THE PENINSULA CORRIDOR ELECTRIFICATION PROJECT
TO INCREASE THE CONTRACT TOTAL AMOUNT BY \$7,540,000**

WHEREAS, pursuant to Resolution No. 2014-24, the Board of Directors (Board) of the Peninsula Corridor Joint Powers Board (JPB) awarded a contract for on-call electrification support services for the Peninsula Corridor Electrification Project (PCEP) to Gannett Fleming Transit and Rail Systems, a division of Gannett Fleming, Inc. (Gannett Fleming) for a six-year base term in an amount of \$38,575,000, with up to two, 2-year option terms for a total not-to-exceed amount of \$3,341,000, including contingency authority of up to 15 percent of the total Board-authorized contract amount to address unanticipated tasks; and

WHEREAS, pursuant to Resolution No. 2019-13, the Board approved an amendment to the Gannett Fleming contract to increase the contract authority in an amount of \$12 million, from \$48,203,400 to a new contract total amount of \$60,203,400, due to unforeseen delays with the design-build construction; and

WHEREAS, the design-build contractor has reported additional unforeseen delays and based on Gannett Fleming's current level of effort, the JPB now requires an increase in contract authority to perform electrification support services to bring PCEP to completion; and

WHEREAS, the Staff Coordinating Council recommends, and the Executive Director concurs that the Board authorize an amendment to the contract with Gannett

Fleming to increase the contract total amount by \$7,540,000, from \$60,203,400 to a new contract total amount not to exceed \$67,743,400, with the understanding that increasing the contract total will not obligate the JPB to purchase any specific level of service from Gannett Fleming, as services are provided on an as-needed basis.

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby authorizes an amendment to the contract with Gannett Fleming Transit and Rail Systems, a division of Gannett Fleming, Inc. for on-call electrification support services for the Peninsula Corridor Electrification Project to increase the contract total amount by \$7,540,000 from \$60,203,400 to a new contract total amount of \$67,743,400; and

BE IT FURTHER RESOLVED that the Board authorizes the Executive Director, or his designee, to execute an amendment to the contract with Gannett Fleming in a form approved by legal counsel.

Regularly passed and adopted this 4th day of June, 2020 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board
THROUGH: Jim Hartnett
Executive Director
FROM: John Funghi
Chief Officer, CalMod Program
SUBJECT: **AUTHORIZE AMENDMENT TO ON-CALL PROGRAM MANAGEMENT SUPPORT SERVICES CONTRACT FOR THE PENINSULA CORRIDOR ELECTRIFICATION PROJECT**

ACTION

Staff Coordinating Council recommends the Board:

1. Approve an amendment to the contract with URS Corporation Americas, Inc. (URS) for On-Call Program Management Support Services for the Peninsula Corridor Electrification Project (PCEP) to extend the contract term through February 28, 2023; and to increase the contract total not-to-exceed amount by \$7,350,000 from \$29,011,332 to \$36,361,332 (a 25 percent increase), subject to the approval of the Change Management Board (CMB) at their meeting on May 27.
2. Authorize the Executive Director, or his designee, to execute the contract amendment in a form approved by legal counsel.

SIGNIFICANCE

Approval of the above actions will ensure uninterrupted services for tasks related to program management support services for PCEP, in coordination with California High Speed Rail for Caltrain blended system projects, such as:

- Design-Build Electrification Contract Support
- Electric Multiple Units (EMU) Rail Vehicle Support
- Tunnel Modification Contract Support
- Centralized Equipment & Maintenance Facility (CEMOF) Modification Contract Support

The services to be provided pursuant to the contract amendment will be performed under Work Directives (WDs) issued on an on-call, as-needed basis.

BUDGET IMPACT

The contract amendment will be funded by the current PCEP budget for Project Management Services, as shown in Section 8.0, Budget and Expenses, of the Monthly Progress Report.

BACKGROUND

Pursuant to Resolution No. 2014-04, after a competitive procurement process, the Peninsula Corridor Joint Powers Board (JPB) Board of Directors (Board) awarded a contract to URS for a three-year base term in an amount of \$10,167,109, with up to two, 2-year option terms for a total not-to-exceed amount of \$10,227,123, and contingency authority of up to 15 percent of the total Board-authorized contract amount to address unanticipated tasks assigned under authorized WDs.

Pursuant to Board Resolution No. 2016-60, the Board approved an amendment to the URS contract to increase the contract authority in an amount of \$5.5 million to restore the contract authority originally intended for PCEP, but which was used for estimating support and quality assurance services required for the Communications-based Overlay Signal System/Positive Train Control (CBOSS/PTC) Project, which at that time was a part of the Caltrain Modernization Program.

URS serves as PCEP's program manager and is an integral member of the Caltrain Modernization Program (CalMod) owner's representative team, and works closely with JPB staff and other JPB consultants to support PCEP delivery and execution. The program management support services for PCEP includes, but is not limited to, program planning and scheduling, program project controls, program change management, program cost estimating, program risk management, quality assurance, program document controls, and additional tasks for complex projects related to PCEP. Given that URS has provided program management support services for PCEP for the last six years, URS is the only firm that is uniquely qualified with the specific knowledge and experience required to continue undertaking and delivering the program management support services needed to fulfill the requirements of PCEP in a cost-effective and expeditious manner during this stage of the program.

At this time, the option terms have been exercised, bringing the contract total to \$29,011,332 (including \$3,117,100 in contingency authority) and the contract is set to expire in January 2021. Based on URS's current level of effort, the contract total of \$29,011,332 will be expended by January 2021, which aligns with the contract expiration date for the total seven-year contract term. In order to accommodate PCEP's current program schedule, a contract term extension from January 31, 2021 to February 28, 2023 is now needed to provide the necessary time required to bring the project to completion. The time extension would bridge the approximate two-year gap needed for URS to continue to provide associated procedures and functional work that relates to program management of time, budget/cost, contingency and change management for PCEP to fulfill the program's requirements as required by the Federal Transit Administration.

With the extended term, an increase of \$7,350,000, from \$29,011,332 to \$36,361,332, in contract authority is therefore needed for URS to perform program management support services. Due to the current economic downturn, the JPB will execute a one-year freeze to the current prices paid to URS and will ensure prices remain consistent with those paid by other public agencies in the Bay Area for similar services. Increasing the contract total will not obligate the JPB to purchase any specific level of service from URS as WDs are issued on a project and as-needed basis.

URS's performance to date has been satisfactory and in accordance with the requirements of the contract.

Project Manager: Liria Larano, Deputy Chief Officer, CalMod

650.508.7976

RESOLUTION NO. 2020 -

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

* * *

**AUTHORIZING AMENDMENT OF CONTRACT WITH URS CORPORATION AMERICAS, INC. FOR
ON-CALL PROGRAM MANAGEMENT SUPPORT SERVICES FOR THE PENINSULA CORRIDOR
ELECTRIFICATION PROJECT TO EXTEND THE TERM AND INCREASE
THE CONTRACT TOTAL AMOUNT BY \$7,350,000**

WHEREAS, pursuant to Resolution No. 2014-04, the Board of Directors (Board) of the Peninsula Corridor Joint Powers Board (JPB) awarded a contract for on-call program management support services for the Peninsula Corridor Electrification Project (PCEP) to URS Corporation Americas, Inc. (URS) for a three-year base term in an amount of \$10,167,109, with up to two, 2-year option terms for a total not-to-exceed amount of \$10,227,123, including contingency authority of up to 15 percent of the total Board-authorized contract amount to address unanticipated tasks; and

WHEREAS, pursuant to Resolution No. 2016-60, the Board approved an amendment to the URS contract to increase the contract authority in an amount of \$5.5 million to restore the contract authority originally intended for PCEP, but which was used for estimating support and quality assurance services required for the Communications-based Overlay Signal System/Positive Train Control (CBOSS/PTC) Project, which at that time was a part of the Caltrain Modernization Program; and

WHEREAS, in order to accommodate PCEP's current program schedule, a contract term extension from January 31, 2021 to February 28, 2023 is now needed to provide the necessary time required to bring the project to completion; and

WHEREAS, with the extended term, an increase of \$7,350,000, from \$29,011,332 to a new total amount not to exceed \$36,361,332 in contract authority, is therefore needed for URS to perform program management support services; and

WHEREAS, the Staff Coordinating Council recommends, and the Executive Director concurs, that the Board authorize an amendment to the contract with URS to extend the contract term through February 28, 2023, and increase the contract total amount by \$7,350,000, from \$29,011,332 to a new contract total amount of \$36,361,332, with the understanding that increasing the contract total will not obligate the JPB to purchase any specific level of service from URS, as services are provided on an as-needed basis.

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby authorizes an amendment to the contract with URS Corporation Americas, Inc. for on-call program management support services for the Peninsula Corridor Electrification Project to increase the contract total amount by \$7,350,000, from \$29,011,332 to a new contract total amount of \$36,361,332; and

BE IT FURTHER RESOLVED that the Board authorizes the Executive Director, or his designee, to execute an amendment to the contract with URS in a form approved by legal counsel.

Regularly passed and adopted this 4th day of June, 2020 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Michelle Bouchard
Chief Operating Officer, Caltrain

SUBJECT: **CALTRAIN BUSINESS PLAN – UPDATE COVERING MAY 2020**

ACTION

Staff Coordinating Council recommends the Board of Directors (Board) receive a memo providing an update on Caltrain Business Plan activities and progress during April of 2020.

SIGNIFICANCE

Peninsula Corridor Joint Powers Board (JPB) staff has prepared the attached memo describing analysis and project activities related to the Caltrain Business Plan that have been ongoing in May of 2020.

Staff will provide the JPB with written updates or presentation materials on a monthly basis throughout the duration of the Business Plan project. These written updates will periodically be supplemented by a full presentation to the Board.

BUDGET IMPACT

There is no budget impact associated with receiving this memo.

BACKGROUND

In 2017, the JPB secured full funding for the Peninsula Corridor Electrification Project and issued notices to proceed to its contractors for corridor electrification and purchase of Electric Multiple Unit railcars. Now that construction on this long-awaited project is underway, the agency has the opportunity to articulate a long-term business strategy for the future of the system.

The initial concept for a Caltrain “Business Plan” was brought to the Board in April of 2017. The Board reviewed a draft scope of work for the Business Plan in December of 2017 and adopted a final Business Strategy and Scope of Work in February of 2018. Technical work on the Plan commenced in the summer of 2018. The Business Plan has been scoped to include long-range demand modeling, and service and infrastructure planning, as well as organizational analysis and an assessment of Caltrain’s interface with the communities it traverses. In October of 2019, the JPB marked a major milestone

in the Business Plan process with its adoption of a "2040 Service Vision" for the Caltrain system. This action sets long-range policy guidance for the future of the Caltrain service and allows staff to move forward with completion of the overall plan by summer of 2020

Prepared by: Sebastian Petty, Deputy Chief, Caltrain Planning

650.622.7831

PROJECT UPDATE

The following is one in a series of monthly project updates for the Caltrain Business Plan. These updates provide a high level summary of project activities and progress and are paired, when applicable, with a presentation that reflects project materials and messaging shared with stakeholder groups during the subject month. The following “April” update covers work completed in late April and May of 2020.

ONGOING TECHNICAL WORK

In April and May of 2020 the team focused on ongoing technical work on the Business Plan as well as documentation and reporting as the planning process moves towards completion. Work on the plan is ongoing but has been delayed by COVID-19 due to staff bandwidth issues and the need to focus on the immediate crisis. Given this, the schedule of work for the plan has been delayed by a month and staff is assessing the timeline for completion.

Ongoing work during May has continued work that was occurring in April with a focus on;

- Completion of a 2040 Funding Strategy for the overall Long Range Service Vision
- Completion of the Equity Assessment and development of recommendations
- Documentation of the Business Plan process and development of summary and technical reports

The funding and equity analyses described above will be presented to stakeholder groups in June for comment and refinement. These items represent the final pieces of technical work to be completed in the Business Plan and will be followed by the release of a draft summary report and accompanying technical documents in summer for 2020.

MEETINGS AND OUTREACH

No outreach activities occurred during May of 2020

NEXT STEPS

The first part of the Business Plan is focused on the development of a long-range service vision for the railroad accompanied by an assessment of the community-corridor interface and the Caltrain organization. The plan will be completed in summer of 2020.

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

FROM: Jim Harnett
Executive Director

Michelle Bouchard
Chief Operating Officer

Derek Hansel
Chief Financial Officer

SUBJECT: **ADOPTION OF FISCAL YEAR 2021 INTERIM OPERATING BUDGET AND
FISCAL YEAR 2021 CAPITAL BUDGET**

ACTION

Staff Coordinating Council (SCC) recommends the Board:

1. Adopt a Fiscal Year 2020-21 (FY2021) Interim, First Quarter Operating Budget of \$42,989,267
2. Adopt an FY2021 Interim Capital Budget of \$19,119,479

SIGNIFICANCE

In the development of the interim Operating and annual Capital Budgets for the Peninsula Corridor Joint Powers Board for FY2021, COVID-19 has had a dramatic impact on the operations and finances of local governments.

As the full effects of this pandemic are still unfolding, staff proposes that the Board of Directors (Board) approve interim budgets for the first quarter of FY2021. Staff anticipates having more clarity on the financial impact of the pandemic and the federal government's responses thereto in advance of the September 3, 2020 Board meeting, when staff plans to present a budget for the remaining quarters of FY2021.

Broadly speaking, the JPB's staff has faced the uncertainties that came with the COVID-19 pandemic head-on, changing its financial goal from achieving structural balance to a new goal of staying in operation.

The impact of COVID-19 includes an unprecedented decline in ridership from 65,000 passengers per day to 1,300 passengers per day. This situation compounds the JPB's existing challenges associated with the continuing costs of mandates including Positive Train Control (PTC), risks associated with an unstable global oil industry, and the JPB's lack of a dedicated non-fare revenue stream.

To date, the JPB has adopted and implemented measures to mitigate some of these challenges.

- In April 2020, the Board approved a new diesel fuel hedging program and a statement of policy and strategy to maintain a futures account to acquire, hold and dispose of diesel futures contracts, and authorized establishment of commodity futures accounts.
- The Caltrain schedule was reduced from 92 trains per day to 70 trains, and subsequently to the current 42 trains.
- At JPB direction, TASI has shifted a number of its staff from traditional operations maintenance to deferred maintenance and support of capital improvements.
- The JPB is continually reevaluating its operations, some of which may subsequently result in cost reductions or cost shifting.

In summary, the goals and challenges addressed through the proposed actions are:

- To obtain budget appropriations for the period of July through September 2020. The proposed budgets reflect expenditures for essential services and include contractual obligations that must be met in the first quarter of FY2021.
- To define and implement a Caltrain schedule that will meet the changing behavior of the riding public during the gradual lift of the Shelter In Place (SIP) orders established at the State and local levels to halt the unmitigated spread of COVID-19.
- The JPB does not yet have enough data to project revenue and train schedules through FY2021. The JPB must monitor Caltrain ridership levels and set revenue projections that also reflect the impact of available funding from federal and state agencies as well.

The proposed interim operating budget and the interim capital budget allow the JPB to be nimble and adapt operations to changing conditions, meet its financial obligations for the first quarter of FY2021 and set the stage to be ready to meet the challenges for the remainder of the fiscal year.

FY2021 Interim First Quarter Operating Budget Overview

The FY2021 Interim, First Quarter Operating Budget, outlined below and detailed in Attachment A, assumes that the return to pre-COVID ridership levels will not be quick, easy or entirely predictable. Jobs throughout the Caltrain service area have been lost, and may not return. As companies in the Caltrain service area have experienced various levels of comfort with employees working remotely, their return to pre-COVID levels of on-site employment will vary. Schools and other institutions may or may not re-open during the same days and times as they operated pre-COVID.

In this interim budget, Caltrain cautiously assumes that passengers will start riding again, albeit at a lower level and with a slower rate of increase in the first quarter. Consequently, this interim budget does not assume a full-service 92-train schedule, but instead assumes a schedule closer to 70 trains.

In the interim budget, the expenditures estimates are calculated based on a monthly spread of annual costs plus identified costs that must be paid lump-sum in the first quarter of the year (e.g., insurance premiums, retiree medical costs and CalPERS retirement contributions).

Also on the expense side of the budget, a number of costs are projected to increase due to inflation and contractual requirements. Operating costs associated with PTC implementation are projected to increase to \$7.2 million, as it moves from a capital project to operating maintenance. Labor cost assumptions include a hiring freeze and no universal wage increase. The budget includes an assumption of some stability in fuel costs under the JPB's newly-adopted diesel fuel hedging program.

On the revenue side, farebox revenue is relying heavily on the GoPass fare, and the interim budget assumes the operating funding contributions from the JPB member agencies will remain the same as in FY2020. The proposed revenues and expenditures will result in a budget deficit of approximately \$20.4 million for the first quarter.

To alleviate this deficit, the JPB will prudently use funding provided by the recently enacted Coronavirus Aid, Relief, and Economic Security Act, also known as the CARES Act. This federal law addresses the economic fallout of the COVID-19 pandemic in our country. CARES Act funding will help the transit industry to recoup some of the losses resulting from the lower ridership. The proposed FY2021 Interim, First Quarter Operating Budget will allow the JPB to be nimble and enable it to adapt to the changing conditions.

FY2021 Capital Budget Overview

This period in the evolution of Caltrain demonstrates the resiliency and perseverance of staff and the agency to take important steps towards a future that enables Caltrain to continue to serve as a critical mobility asset for the Peninsula and the broader San Francisco Bay region.

During the FY2020 Shelter In Place period, the 42-train schedule has increased right of way access and allowed the JPB to perform some critical work relative to rolling stock "state-of-good-repair." As the JPB looks ahead to FY2021, the proposed Capital Budget, described below and set forth in Attachment B, focuses on projects that can be supported by redirecting funds that have become available following completion of other projects that have been completed under budget, or can be postponed.

BUDGET IMPACT

FY2021 Interim, First Quarter Operating Budget Impact

Revenue Projections

Total revenues for the first quarter of FY21 are projected at \$22.8 million, a decrease of \$20.1 million or 46.9% over the first quarter of the FY20 Operating Budget.

Revenue from Operations for the first quarter of FY21 is projected at \$9.2 million, a decrease of \$20.1 million or 68.6% over the first quarter of the FY20 Operating Budget.

Revenue from Contributions for the first quarter of FY21 is projected at \$13.6 million, a decrease of \$19,500 or 0.1% lower than the first quarter of the FY20 Operating Budget.

Operating Revenue:

Line 1 **Farebox Revenue:** \$8.0 million, a decrease of \$18.5 million or 69.8% lower the first quarter of the FY2020 Operating Budget.

Farebox revenue includes fare receipts collected directly from rail passengers or through pass sales. Caltrain has one of the highest recovery rates from its farebox, averaging 65%. The proposed budget reflects a 97% decline in ridership. This revenue estimate is supported principally by Go Pass, which is purchased for 12 months in January and so carries into FY2021. GoPass revenues average \$2.5 million a month.

Line 2 **Parking Revenue:** \$126,800, a decrease of \$1.2 million or 90.5% lower the first quarter of the FY2020 Operating Budget.

Parking revenue is generated from fees at parking lots at various passenger stations and from a parking lot located at the SAP Center adjacent to the San Jose Diridon station. Parking revenues fall when ridership declines, as happened with the spread of COVID-19 and the Shelter in Place Orders in the last several months of FY 2020.

Line 3 **Shuttle Revenue:** \$368,000, a decrease of \$257,800 or 41.2% lower than the first quarter of the FY2020 Operating Budget.

The Shuttle Program is funded by participating employers, the San Mateo County Transportation Authority (TA), Bay Area Air Quality Management District (BAAQMD) and JPB operating funds. This line item refers only to the revenue generated from participating local area employers who provide rail passengers the last-mile connections between Caltrain stations and work sites. As with

parking, shuttle revenues fall with ridership declines.

Line 4 **Rental Income:** \$343,000, a decrease of \$172,100 or 33.4% lower than the first quarter of the FY2020 Operating Budget.

Rental income is generated from Caltrain right of way properties and from bike locker rentals.

Line 5 **Other Income:** \$382,100, a decrease of \$15,000 or 3.8% less than the first quarter of the FY2020 Operating Budget.

Other Income consists of income earned on invested funds, shared track usage maintenance fees, and advertising income and mobile transaction fees.

Operating Contributions:

Line 9 **AB434 & TA Shuttle Funding:** \$431,300, a decrease of \$3,200 or 0.7% lower than the first quarter FY2020 Operating Budget.

As addressed above, the JPB shuttle program has multiple funding streams. Contributions for the service come from State and local sources. In 1991, through Assembly Bill (A.B.) 434, the State Legislature authorized a \$4 surcharge on cars and trucks to fund projects that reduce on-road motor vehicle emissions. A.B. 434 revenues provide partial funding for the JPB shuttle program through a competitive grant process managed by BAAQMD. The TA also funds shuttle services with revenues of the Measure A San Mateo County-wide sales tax.

Line 10 **Operating Grants:** \$1.1 million, a decrease of \$196,000 or 14.7% from the first quarter of the FY2020 Operating Budget.

State Transit Assistance (STA) revenue generated from the statewide sales tax on diesel fuel is allocated to the region's transit operators by formula. The formula allocates funds on the basis of population, amount of passenger fares and local support revenues collected by transit operators. The State sends out projections assuming a growth rate and adjusts these throughout the year.

For FY2021, the Metropolitan Transportation Commission (MTC) recently revised its STA estimates downwards as sales tax is projected to decline by 75% in the Bay Area, and vehicle miles travelled has decreased due to the SIP orders.

Line 11 **JPB Member Agencies:** \$12.0 million, an increase of \$446,000 or 3.9% more than the first quarter FY2020 Operating Budget.

The JPB has three member agencies: the City and County of San Francisco, the San Mateo County Transit District and the Santa Clara Valley Transportation

Authority. Contributions from the JPB's member agencies are calculated in accordance with an allocation methodology based on the average mid-weekday boarding data including Gilroy and adjusted for FY2020 to reflect passenger data collected in FY2019. The FY2021 Interim, First Quarter Operating Budget includes an insurance premium increase on the expense side, which is funded by the member agencies.

Expense Projections

Grand Total Expense for the first quarter of FY21 is projected at \$43.0 million, a decrease of \$315,294 or 0.7% lower than the first quarter of FY20 budget.

Operating Expense for the first quarter of FY21 is projected at \$36.5 million, an increase of \$1.5 million or 4.2% over the first quarter of FY20 budget.

Administrative Expense for the first quarter of FY21 is projected at \$5.9 million, a decrease of \$1.7 million or 22.5% less than the first quarter of FY20 Budget.

Operating Expenses

Line 21 **Rail Operator Service:** \$24.9 million, a 9.5% increase or \$2.1 million higher than the first quarter of the FY2020 Operating Budget.

The JPB contracts out for rail operator service. The current operator contract is with Transit America Services, Inc. (TASI). TASI was awarded the contract on September 1, 2011 for a five year term which expired on June 30, 2017, with an option to extend for up to five additional years. On February 2, 2017, the Board approved an amendment to exercise the five one-year options to extend the contract through June 30, 2022.

TASI provides rail operations, maintenance and support services in the following areas: Administration/Safety; Operations and Dispatch; Maintenance of Equipment, Track, Communications and Signals, Stations; Construction Support and State of Good Repair (SOGR). TASI is paid on a cost plus performance fee contract structure.

The primary drivers of the TASI contract costs are the built-in salary increase in the labor contracts and changes in the contractual General and Administration rate. In FY2021, a new cost component in the TASI contract negotiations is the inclusion of the maintenance of the Positive Train Control system. In FY2020, PTC was a capital project.

Line 22 **Security Services:** \$1.7 million, a decrease of \$69,431 or 4.2% less than the first quarter FY2020 Operating Budget.

Security services are provided through a law enforcement contract and a communications services contract with the San Mateo County Sheriff's Office (SMCSO), and a security guard contract. The SMCSO contract supports Rail

operations. For the FY21 first quarter there is no provision for special events coverage.

Line 23 **Shuttles:** \$694,000, a decrease of \$629,000 or 47.5% from the first quarter of the FY2020 Operating Budget.

The Shuttle service program provides last-mile connections for Caltrain passengers. The proposed budget is based on a minimum service schedule option.

Line 24 **Fuel and Lubricants:** \$1.7 million, a decrease of \$1.2 million or 42.4 % less than the first quarter of the FY2020 Operating Budget.

The proposed budget covers the cost of diesel fuel for JPB locomotive operations, including the associated taxes. In response to the impact of COVID-19 on the oil industry, Caltrain entered into a new diesel fuel hedging program. The cost of fuel used in the proposed budget is \$1.20 per gallon. In the last three years, the lowest price of fuel was \$2.20 per gallon. The budget estimate assumes a 72-train schedule.

Line 25 **Timetables and Tickets:** \$22,500, a decrease of \$13,400 or 37.3% less than the first quarter of the FY2020 Operating Budget.

Timetables and Tickets includes the cost of designing, updating and printing of Time Tables, Schedules, Maps and the Caltrain tickets.

Line 26 **Insurance:** \$5.1 million, an increase of \$600,000 or 13.2% over the first quarter of the FY2020 Operating Budget.

The Insurance budget includes premiums, deductibles, adjuster fees, broker fees and other insurance costs. Rates reflect costs for property, casualty, and liability insurance. This proposed budget amount is a placeholder estimate as the JPB's insurance contracts are under re-negotiation to reflect the impact of low ridership.

Line 27 **Claims, Reserves and Payments:** \$200,000, reflecting no change over the first quarter of the FY2020 Operating Budget.

This budget item covers the cost of claims, reserves and payments, and the associated legal fees.

Line 28 **Facilities and Equipment Maintenance:** \$1.2 million, an increase of \$300,000 or 38.2% over the first quarter of the FY2020 Operating Budget.

This budget covers expenses related to Clipper Operator charges, revenue collection services, ticket vending machines, AT&T data line services and other

contract services.

Line 29 **Utilities:** \$674,000, an increase of \$147,000 or 28.0% over the first quarter of the FY2020 Operating Budget.

This line covers the cost of gas & electric, telephone, water, trash & sewer. The budget also includes utility costs of PTC maintenance such as ATT CalNet circuits, radio license fees and spectrum lease.

Line 30 **Maintenance & Services – Building and Other:** \$431,000, an increase of \$39,000 or 9.9% over the first quarter of the FY2020 Operating Budget.

This item covers the cost of building maintenance services, printing and information services, and repair and maintenance of computers and office equipment.

Administrative Expenses

Line 34 **Wages & Benefits:** \$3.3 million, a decrease of \$1.1 million or 24.3% lower than the first quarter of the FY2020 Operating Budget.

The proposed budget includes existing positions, an administrative staff hiring freeze, a lower benefits rate, no universal wage increase, no new FTEs and lower agency allocations to the retiree medical, health and pension plans.

Line 35 **Managing Agency Admin OH Cost:** \$1.3 million.

Managing Agency Administrative Overhead (OH) Cost reflects the cost of personnel dedicated to the Caltrain business (as opposed to Caltrain operations). The proposed budget assumes the same Admin OH cost as during FY2020, pending results of the study of the Internal Cost Allocation Plan (ICAP).

The ICAP calculates the indirect cost rate used to recover overhead costs related to agency indirect administrative overhead and capital projects. The District procured the assistance of an outside consulting firm to develop a methodology that equitably allocates the costs incurred by the District for services and functions shared by the different agencies administered by District staff. The consultant team was chosen for its experience and knowledge in developing allocation methodologies for governmental and public entities.

The ICAP is prepared in accordance with the principles and guidelines set forth in the Office of Management and Budget (OMB) Circular A-87 "Cost Principles for State, Local and Indian Tribal Governments" and ASMB C-10 "Cost Principles and Procedures for Developing Cost Allocation Plans and Indirect Cost Rates for Agreements with the Federal Government."

The ICAP calculates two components:

- Agency Indirect Administration (AIA) – The pool of costs that cannot be directly attributed to a specific agency.

This consists of labor and non-labor support functions that benefit each of the three agencies managed by the District. Examples include the time charged by the Payroll Department to process the biweekly payroll or the time charged by the Human Resource Department to post recruitments on industry websites. These costs are distributed to each department based on specific statistics. The payroll department costs, for example, are distributed to each department based on the number of FTEs. The District incurs all of the AIA costs and then recovers appropriate shares of the costs from the District's Capital budget, JPB Operating and Capital budgets and the TA Budget.

- Capital Overhead – The pool of costs that support capital projects and cannot be directly attributed to a specific capital project.

The capital overhead rate is calculated for each agency. An example of a capital overhead cost would be the time charged by an administrative assistant who supports multiple capital project engineers. The capital overhead costs are tracked and included in the ICAP rate that is charged to each capital project.

Line 36 **Board of Directors:** \$11,000, an increase of \$7,400 over the first quarter of the FY2020 Operating Budget.

This covers director compensation, seminars and training, and meetings for the Board of Directors. Cost increases result from new standing committees and ad hoc committees.

Line 37 **Professional Services:** \$645,000, a decrease of \$574,000 or 47.1% lower than the first quarter of the FY2020 Operating Budget.

This covers the cost of consultants for legal services, audit services and legislative advocacy and technical services. The proposed budget for professional services also includes additional operating maintenance of PTC related to rail friction, electronic recording, measuring and communications systems and communications data security.

Line 38 **Communications and Marketing:** \$75,400

This covers the cost of promotional advertising for fares, schedule changes and the cost of providing the riding public with a mobile app.

Line 39 **Other Office Expense and Services:** \$570,000, a decrease of \$85,000 or 13.0% lower than the first quarter of the FY2020 Operating Budget.

This covers license renewal, bank fees, office vehicle maintenance, property taxes, software maintenance, and leases for properties along the Right of Way (ROW) in support of commuter services. These ROW leases include critical facilities for radio transmission antennas, and real estate for storage of train equipment and spare parts.

Line 42 **Long Term Debt Expense:** \$595,000, a decrease of \$65,000 or 9.8% less than the first quarter of the FY2020 Operating Budget.

This covers the cost and principal retirement of debt incurred for the acquisition and rehabilitation of passenger rail cars, for the acquisition of real property, and for maintenance of a revolving line of credit.

In February 2019, the JPB refunded bonds issued in 2007 and 2015 to achieve interest savings and restructure debt, and issued additional bonds to purchase two pieces of real property previously leased by the JPB.

Line 47 **Application of CARES Act Fund/Reserves:** \$20.2 million reflects use of this fund to alleviate the projected deficit for the first quarter of FY21.

The Coronavirus Aid, Relief, and Economic Security Act, also known as the CARES Act was enacted to help the transit industry to recoup some of the losses resulting from the lower ridership.



FY2021 Capital Budget Impact

As shown in Attachment B, the initial Capital Budget FY2021 totals \$19,119,479. The proposed Capital Budget only includes those capital projects that currently has funding but required the board approved budget authority to incur the expenditures. This capital budget as presented does not include any FY2021 Federal funds, FY2021 State or FY2021 Member Agency funds. Similar to the operating budget, staff anticipates having more clarity in advance of the September 3, 2020 Board meeting, when staff plans to present a more robust amended FY2021 capital budget.

Elements of the proposed Capital Budget include:

STATE OF GOOD REPAIR (SOGR) – \$11,611,000

1. Marin Street and Napoleon Street Bridges – Request: \$9,696,000
The Project's scope of work consists of furnishing all labor, equipment, and materials required for:
 - Marin Street Bridge: reconstruction of the walkways on both sides of the structure and repair of existing cracks and spalls within the superstructure.

- Napoleon Street Bridge: removal of the two outer structure spans of the bridge and replacement with elevated soil berms. The middle span will be reconstructed using new girders with new micropiles next to existing pile foundations.

2. Fencing - Request: \$915,000

Continue to install vandal-resistant fencing at key locations along the PCJPB main line rail corridor to deter trespassing. This contract will terminate at the end of November 2020.

3. Fiber Optic Corrective Repair - Request: \$1.0 million

This project will assess and determine known and unknown defects in the fiber for rehab and to bring known defects into a state of good repair.

OPERATIONAL IMPROVEMENTS / ENHANCEMENTS - \$6,949,322

4. Positive Train Control – Request: \$6.6 million

Litigation costs related to Positive Train Control (PTC) project. The expenses were funded from Operating Reserves since FY2017. Through February 2020, \$4.2 million has been spent on litigation costs. Based on current spending, \$2.4 million would provide sufficient budget authority until June 30, 2020. Moving the PTC legal expenses to the Capital Budget will allow the JPB to track the full costs of the capital project.

5. Wayside Bike Parking Improvements - Request: \$349,322

To purchase and set in place electronic bike lockers at 6 Caltrain stations and will provide 40 lockers spaces.

PLANNING/STUDIES - \$559,157

6. 22ND St. ADA Feasibility Study – Request: \$50,000

Investigate feasibility, cost effectiveness, funding, and construction timeline needed to make improvements to the 22nd Street Station. Options for improvements include ramps, escalators or elevators.

7. Business Plan – Request: \$509,157

Continue planning and outreach work to complete the final phase of work for the Caltrain Business Plan, an effort to develop a comprehensive long-range plan for the railroad. The final phase of work includes completing remaining analysis and outreach, as well as developing and finalizing the Caltrain Business Plan report.

Prepared by: Cynthia Scarella, Manager, Budgets 650-508-6230

RESOLUTION NO. 2020-

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

*** * ***

**ADOPTING FISCAL YEAR 2021 INTERIM, FIRST QUARTER OPERATING BUDGET IN THE
AMOUNT OF \$42,989,267 AND FISCAL YEAR 2021 CAPITAL BUDGET IN THE AMOUNT
OF \$19,119,479**

WHEREAS, the Joint Powers Agreement of the Peninsula Corridor Joint Powers Board (JPB) requires the Board of Directors (Board) to approve annual operating and capital budgets; and

WHEREAS, a novel coronavirus (COVID-19) was first detected in Wuhan, China, in late 2019 and has spread throughout the world and the United States at alarming rates; and

WHEREAS, the Governor of the State of California declared a State of Emergency as a result of the COVID-19 pandemic on March 4, 2020 and issued Executive Order No. N-33-20 (State Order) requiring all individuals to stay in their places of residence, except as needed to maintain continuity of operations of essential critical infrastructure sectors, on March 19, 2020; and

WHEREAS, City and County of San Francisco, San Mateo County and Santa Clara County each have proclaimed the existence of a Local Emergency throughout their respective counties as a result of the COVID-19 pandemic; and

WHEREAS, the County Health Officers of the City and County of San Francisco, San Mateo County and Santa Clara County then declared a Local Health Emergency due

to the introduction of COVID-19 in their respective counties, and issued orders (collectively "County Orders") on March 16, March 31 and April 29, 2020, directing, among other things, all individuals living in the county to shelter at their place of residence except to provide or receive essential services or engage in certain essential activities and work for essential businesses and governmental services, and effective May 3 select outdoor activities, with the latest County Order in effect through May 31, 2020; and

WHEREAS, COVID-19 has had a dramatic impact on the operations and finances of local government, and the full effects of this pandemic are still unfolding; and

WHEREAS, staff proposes the Board of Directors (Board) approve interim Operating Budget for the first quarter of the Fiscal Year 2020-2021 and annual Capital Budget for the JPB for the Fiscal Year 2020-2021 (FY 2021), with the understanding that the Board will consider adoption of Operating and Capital Budgets for the remainder of FY 2021 at the JPB's September 3, 2020 Board meeting; and

WHEREAS, the adoption of an interim operating budget is necessary for obtaining both Federal and State funds to support the Peninsula Commute Service operation known as Caltrain; and

WHEREAS, the adoption of an interim capital budget complements the JPB's strategic planning process; and

WHEREAS, the Executive Director and the Staff Coordinating Council recommend that the Board adopt the FY 2021 Interim, First Quarter Operating Budget shown as Attachment A, and the FY2021 Capital Budget shown as Attachment B; and

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby adopts the Fiscal Year 2021 Interim, First Quarter

Operating Budget, a copy of which is attached hereto and incorporated herein as Attachment A, in the amount of \$42,989,267

BE IT FURTHER RESOLVED that the Board adopts the FY2021 Capital Budget in the amount of \$19,119,479, attached hereto and incorporated herein as Attachment B, and

BE IT FURTHER RESOLVED that the Executive Director, or his designee, is requested to forward a copy of the FY2021 Interim Operating Budget and the FY2021 Capital Budget to the JPB member agencies at the earliest practicable date; and

BE IT FURTHER RESOLVED that the Board authorizes the Executive Director, or his designee, to take such additional actions as may be necessary to give effect to this resolution, including executing funding agreements, amendments, and submitting required documents to granting agencies to receive the funding identified in the Capital Budget.

Regularly passed and adopted this 4th day of June, 2020 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary

**PENINSULA CORRIDOR JOINT POWERS BOARD
FY2021 INTERIM OPERATING BUDGET**

	FY2020 ADOPTED BUDGET <u>1ST QUARTER</u> A	FY2021 PROPOSED <u>1ST QUARTER</u> B	FY2021 PROPOSED TO FY2020 ADOPTED <u>1st Quarter</u> C = B - A	BUDGET % CHANGE <u>1st Quarter</u> D = C/A		
REVENUE						
OPERATIONS:						
1	Farebox Revenue	26,500,000	8,015,496	(18,484,504)	-69.8%	1
2	Parking Revenue	1,333,750	126,782	(1,206,968)	-90.5%	2
3	Shuttles	625,800	368,000	(257,800)	-41.2%	3
4	Rental Income	515,135	343,026	(172,109)	-33.4%	4
5	Other Income	397,113	382,137	(14,976)	-3.8%	5
6	TOTAL OPERATING REVENUE	<u>29,371,798</u>	<u>9,235,441</u>	<u>(20,136,357)</u>	<u>-68.6%</u>	6
7						7
8	CONTRIBUTIONS:					8
9	AB434 & TA Shuttle Funding	434,488	431,300	(3,188)	-0.7%	9
10	Operating Grants	1,331,874	1,135,439	(196,435)	-14.7%	10
11	JPB Member Agencies	11,573,886	12,020,136	446,250	3.9%	11
12	Use of Reserves	266,154		(266,154)	-100.0%	12
13	TOTAL CONTRIBUTED REVENUE	<u>13,606,402</u>	<u>13,586,875</u>	<u>(19,527)</u>	<u>-0.1%</u>	13
14						14
15	GRAND TOTAL REVENUE	<u>42,978,199</u>	<u>22,822,316</u>	<u>(20,155,883)</u>	<u>-46.9%</u>	15
16						16
17						17
18	EXPENSE					18
19						19
20	OPERATING EXPENSE:					20
21	Rail Operator Service	22,704,424	24,850,000	2,145,576	9.5%	21
22	Security Services	1,636,046	1,705,477	69,431	4.2%	22
23	Shuttle Service	1,322,525	694,000	(628,525)	-47.5%	23
24	Fuel and Lubricants	2,863,824	1,650,270	(1,213,554)	-42.4%	24
25	Timetables and Tickets	35,875	22,500	(13,375)	-37.3%	25
26	Insurance	4,506,064	5,100,000	593,936	13.2%	26
27	Claims, Reserves, and Payments	237,948	237,948	-	0.0%	27
28	Facilities and Equipment Maint	834,848	1,153,630	318,782	38.2%	28
29	Utilities	526,355	673,675	147,320	28.0%	29
30	Maint & Services-Bldg & Other	391,983	430,873	38,891	9.9%	30
31	TOTAL OPERATING EXPENSE	<u>35,059,891</u>	<u>36,518,373</u>	<u>1,458,482</u>	<u>4.2%</u>	31
32						32
33	ADMINISTRATIVE EXPENSE					33
34	Wages and Benefits	4,357,141	3,299,828	(1,057,313)	-24.3%	34
35	Managing Agency Admin OH Cost	1,274,516	1,274,516	-	-	35
36	Board of Directors	3,650	11,025	7,375	202.1%	36
37	Professional Services	1,218,896	644,633	(574,263)	-47.1%	37
38	Communications and Marketing	75,375	75,375	-	0.0%	38
39	Other Office Expense and Services	655,149	570,079	(85,070)	-13.0%	39
40	TOTAL ADMINISTRATIVE EXPENSE	<u>7,584,727</u>	<u>5,875,456</u>	<u>(1,709,271)</u>	<u>-22.5%</u>	40
41						41
42	Long-term Debt Expense	659,943	595,438	(64,505)	-9.8%	42
43						43
44						44
45	GRAND TOTAL EXPENSE	<u>43,304,561</u>	<u>42,989,267</u>	<u>(315,294)</u>	<u>-0.7%</u>	45
46						46
47	Application of CARES Act Fund / Reserves	-	20,166,951	20,166,951		47
48						48
49	PROJECTED SURPLUS / (DEFICIT)	(326,362)	-	326,362		49



Item #	PROJECT NAME	PREVIOUSLY APPROVED	PROPOSED BUDGET	Federal Funds	State Funds	STA SOGR Funds	Member Funds Total	Other				Other Funds Total	Total Funding
								Project Savings	AB664	Regional Funds	Others		
i. SOGR													
Right of Way													
	Marin Street and Napoleon Street Bridges ¹	6,704,000	9,696,000	4,965,021		1,350,915		2,740,064	640,000			3,380,064	9,696,000
	Fencing - ROW		915,000	-	915,000	-	-					-	915,000
Signal & Communication													
	Fiber Optic Corrective Repair ²		1,000,000	-		-	-					1,000,000	1,000,000
	Total SOGR		11,611,000	4,965,021	915,000	1,350,915	-	2,740,064	640,000	-	1,000,000	4,380,064	11,611,000
ii. LEGAL MANDATES AND REQUIRED ENHANCEMENTS													
iii. OPERATIONAL IMPROVEMENTS/ENHANCEMENTS													
	Positive Train Control ³		6,600,000				-				6,600,000	6,600,000	6,600,000
	Wayside Bike Parking Improvements ⁴		349,322	-		-	-			200,000	149,322	349,322	349,322
			6,949,322	-		-	-			200,000	6,749,322	6,949,322	6,949,322
iv. PLANNING/STUDIES													
	22nd St. ADA Feasibility Study ⁵	300,000	50,000	-		-	-	50,000			50,000	50,000	50,000
	Business Plan ⁶	5,537,118	509,157								509,157	509,157	509,157
			559,157	-		-	-				559,157	559,157	559,157
			19,119,479	4,965,021	915,000	1,350,915	-	2,740,064	640,000	200,000	8,308,479	11,888,543	19,119,479

¹ Other funds includes project savings from the Los Gatos Bridge Replacement project (\$2,102,558) and from the San Mateo Bridge Replacement project (\$456,881) made up of Federal Section 5337 funds (\$1,421,946), prior years VTA funds (\$901,073) and SM funds (\$236,402) and deobligated Prop K funds (\$180,624)

² Insurance proceeds and/or Operating funds

³ Litigation costs funded by operating funds

⁴ San Carlos Transit Village LLC (\$149,322) and Bay Area Air Quality Management District (BAAQMD \$200,000)

⁵ Prior year SF member funds

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



FY2021 Proposed Interim Operating and Capital Budgets

**Board of Directors
June 4, 2020
Agenda Item #6**

Approach to the FY21 Budgets

CHALLENGES

- Unprecedented decline in ridership from 65,000 passengers per day to 1,300 per day
- Lack of a dedicated non-fare revenue stream
- Full implementation of mandated Positive Train Control
- Unstable global oil industry

Approach to the FY21 Budgets

MITIGATING MEASURES

- Board approved a new diesel fuel hedging program
- Caltrain schedule was reduced from 92 trains per day to 70 trains per day and subsequently to 42 trains per day.
- Focus shifted from traditional operations and maintenance to deferred maintenance and support of capital improvements
- Constraints on hiring / wage increases / other discretionary expenditures

Approach to the FY21 Budgets

PROPOSED ACTIONS

Operating Budget Interim – June

- **Obtain budget authority for the period of July 1 through September 30, 2020 (1st quarter of FY2021)**
- **Estimated expenditures plus identified costs that must be paid lump-sum in the first quarter of the year**
- **Identify cost savings in labor such as a hiring freeze, no new FTEs, maintain baseline levels in non-labor costs**

Approach to the FY21 Budgets

Operating Budget – August/September

- Obtain board authority for the remainder of FY21
- Develop a budget based on the impact of the assessment of ridership changes
- Finalize use of the CARES Act Fund
- Finalize Member agency obligations for the balance of FY21

Approach to the FY21 Budgets

Capital Budget – June

- Seek board authority only for capital projects that currently have funding to spend down

Capital Budget Amendment – August/September

- Develop a more robust capital budget to include identified additional funding from the federal and state agencies
- Finalize Member agency investments



FY2021 PROPOSED INTERIM OPERATING BUDGET



Key Assumptions

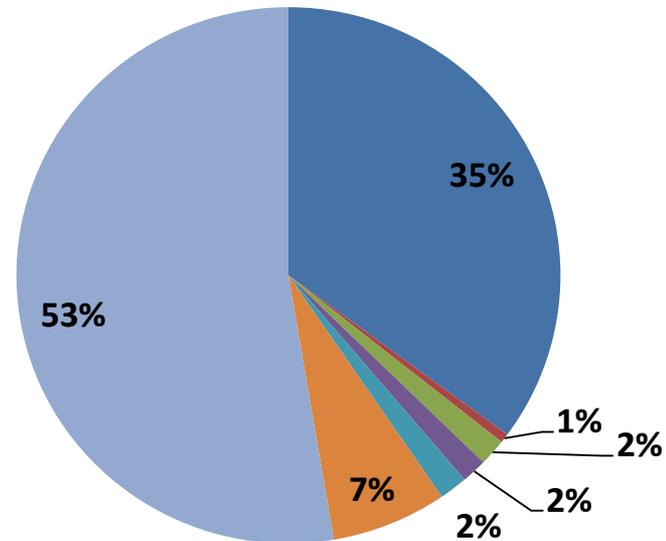
- Farebox revenue is mostly Go Pass revenue
- Ridership decrease of 97%
- Full JPB Operating Member agency obligations
- STA funds reduced substantially

- Rail operator contract budget authority reflects 92 train schedule
- Includes operating costs of PTC implementation
- Fuel budget assumes 70 train schedule
- Only existing FTEs, no new FTEs and no universal wage increase, continuation of hiring freeze

FY2021 Interim Operating Revenues

(in \$ millions)

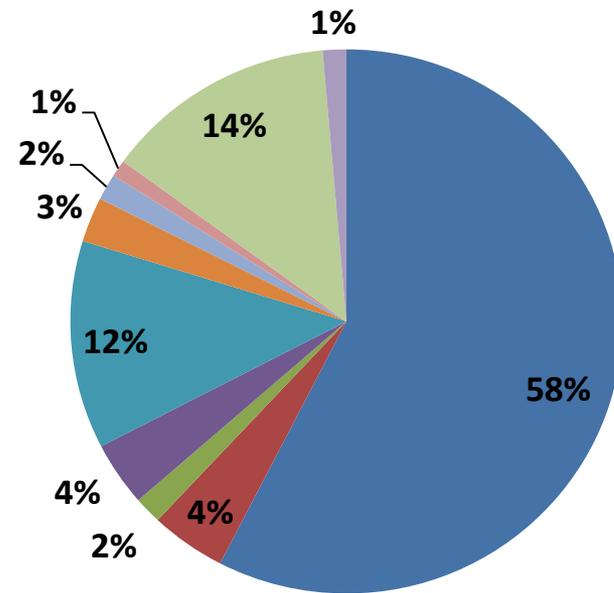
Fares	\$8.0
Parking	0.1
Shuttles	0.4
Rental Income	0.3
Other Income	0.4
AB434 & Grants	1.6
Member Agencies	<u>12.0</u>
Total Revenue	<u><u>\$22.8</u></u>



- Fares
- Shuttles
- Other Income
- Member Agencies
- Parking
- Rental Income
- AB434 & Grants

FY2021 Interim Operating Expenses (in \$millions)

Rail Ops & PTC	\$24.9
Security Services	1.7
Shuttle Services	0.7
Fuel	1.6
Insurance	5.3
Facilities and Equip Maint	1.2
Utilities	0.7
Maintenance & Services	0.4
Administrative	5.9
Long-term debt	<u>0.6</u>
Total Expenses	<u>\$43.0</u>



- Rail Ops & PTC
- Security Services
- Shuttle Services
- Fuel
- Insurance
- Facilities and Equip Maint
- Utilities
- Maint & Services
- Administrative
- Long-term debt

FY2021 PROPOSED CAPITAL BUDGET

Overview of FY2021 Capital Budget

(in \$ millions)

SOGR

Right of Way/ Signals &
Communications

\$11.6

Operational
Improvements/Enhancements

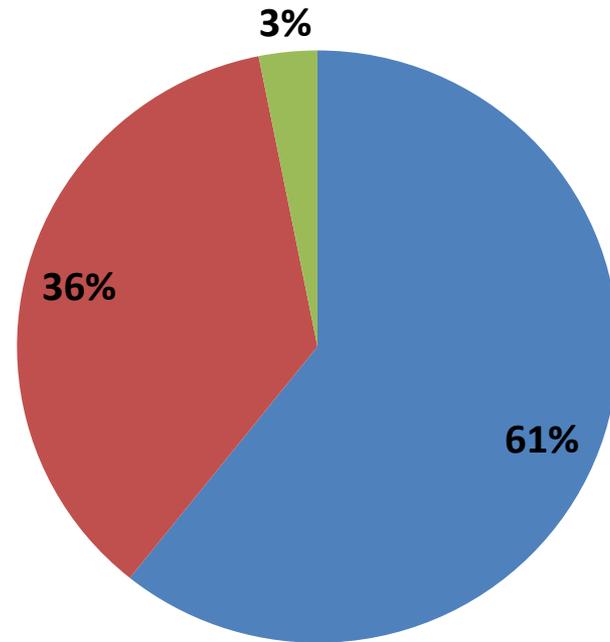
6.9

Planning/Studies

0.6

Total

\$19.1

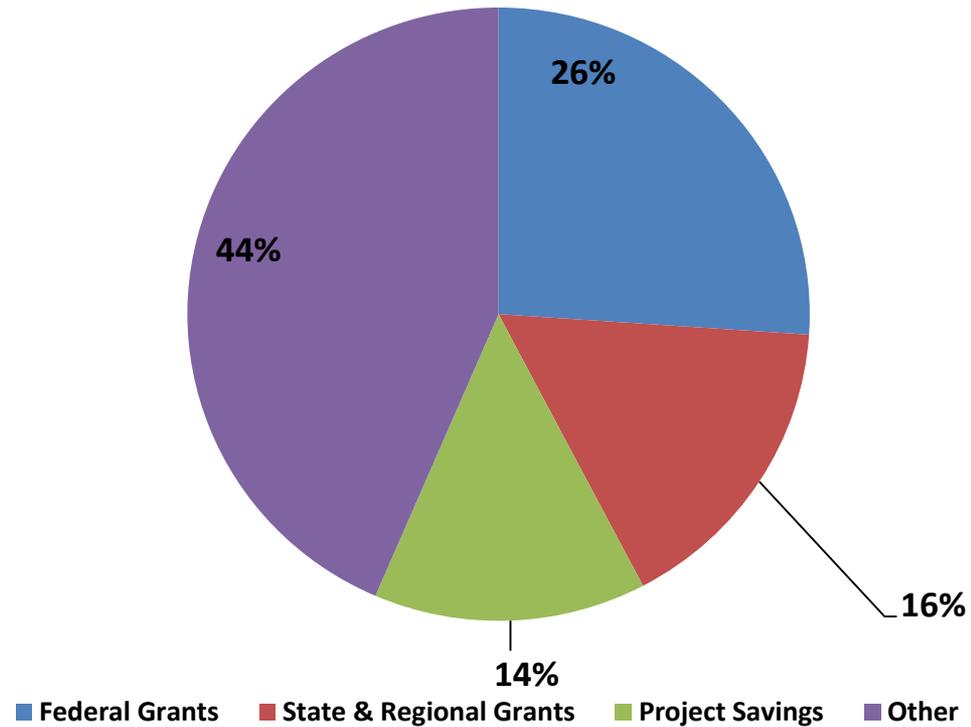


- Right of Way/ Signals & Communications
- Operational Improvements/Enhancements
- Planning/Studies

FY2021 Capital Funding Sources

(in \$ millions)

Federal Grants	\$5.0
State & Regional Grants	3.1
Project Savings	2.7
Other	<u>8.3</u>
Total	<u>\$19.1</u>



Next Steps

- **Staff to present the FY2021 Preliminary Operating Budget and Capital Budget at the August Board**
- **Staff to request approval of the FY2021 Proposed Operating and Capital budgets at the September Board**
- **Work with Members to finalize the operating member agency obligations and the capital investments for FY2021**
- **Continue to work with the Board to study and address the funding gaps for FY2021 and beyond**



Memorandum

BOARD OF DIRECTORS 2020

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

JIM HARTNETT
EXECUTIVE DIRECTOR

Date: May 26, 2020
To: Board of Directors
From: Jim Hartnett, Executive Director
Subject: June 4, 2020 JPB Board Meeting Executive Director's Report

- **On-time Performance –**
 - **Through May 25:** The preliminary May 2020 OTP was 95.2 percent compared to 95 percent for May 2019.
 - **Trespasser Strikes –** There were two trespasser strikes on May 4 and May 16, both resulting in fatalities.
 - **April:** The April 2020 OTP was 94.3 percent compared to 93.6 percent for April 2019.
 - **Trespasser Strike –** There was one trespasser strike on April 17, resulting in a fatality.
- **Hillsdale Station Temporary Closure –** Starting Saturday May 16, 2020 the Hillsdale Station was closed for up to six months as part of the 25th Avenue Grade Separation Project.
 - The closure is required to:
 - Transition ground-level tracks to elevated tracks
 - Create east-west connection at 28th Avenue
 - Build new elevated center-boarding platform at Hillsdale Station (closer to 28th) allowing for safer, more convenient pedestrian access
 - Caltrain Timetable Update:
 - Due to the shelter-in-place order and low ridership, Caltrain continued to operate reduced weekday service with all trains making local stops. Weekend Baby Bullet service moved from Hillsdale to the

Belmont Station. Departure times at all other stations remained the same. Updated weekday and weekend timetables effective May 16, 2020 are available online at www.caltrain.com/Schedules.

- Customers are advised to plan accordingly as the temporary station closure may add additional time to their commute.
- Rider Closure Plan (All plans are subject to change based on COVID-19 service changes and funding):
 - During the closure, trains that normally stop at the Hillsdale Station will serve the Belmont Station instead
 - Free parking at Belmont Station for Caltrain customers until the newly constructed Hillsdale Station opens
 - Free SamTrans ECR bus service between Belmont and San Mateo Stations
 - Free SamTrans Route 292 bus service between Hillsdale Shopping Center and San Mateo Station
 - Free SamTrans bus service on all routes (except FCX) for riders with the Caltrain Clipper monthly pass 2+ zones
 - Free peak period Belmont/Hillsdale Shuttle service
 - Caltrain is coordinating with existing public and private shuttles serving the Hillsdale and Belmont stations
- Rider Communication
 - Signage: Visual Messaging, A-frames, Info boards, Banner
 - Take-ones, Parking lot Windshield Drops
 - Ambassadors at stations, conductor announcements, customer support
 - Advertising
- Community Communication
 - Newsletters, mailers to community, email distribution list
 - Regular communication to electeds and organizations
 - Social Media, dedicated webpage
 - Virtual Town Hall: April 9, 2020

For more information, visit: www.caltrain.com/HillsdaleTempClosure

- **CAC Meeting** – The Citizens Advisory Committee met on Wednesday, May 20 via teleconference. Robert Tam, Manager – Technology Research & Development, provided a presentation on Grade Crossing Improvements. Joe Navarro, Deputy Chief – Rail Operations, provided a presentation on the EMU update. Joe also provided the Staff Report. The next CAC meeting is scheduled for Wednesday, June 17, via teleconference or in San Carlos.
- **BAC Meeting** – The Bicycle Advisory Committee met on Thursday, May 21 via teleconference. Sebastian Petty, Deputy Chief – Caltrain Planning, provided

a presentation on the Caltrain Business Plan. Dan Provence, Principal Planner – CalMod Planning, provided an update on the Bicycle E-Locker Contract. Lori Low, Public Affairs Officer, provided the Bike Bump presentation 2019. Lori also presented the Staff Report. The next BAC meeting is scheduled for Thursday, July 16, via teleconference or in San Carlos.

- **Special Event Train Service** – Caltrain is closely monitoring continued efforts by local, state and federal health organizations and governments to prevent the spread of the coronavirus (COVID-19) along with impacted cancelled or postponed major events at venues in San Francisco, San Mateo and Santa Clara counties as it relates to Caltrain Special Event service.

Services Provided:

- **Memorial Day Service** – On Monday, May 25, Caltrain operated a Sunday schedule in observance of the Memorial Day holiday. The weekend Tamien-San Jose Diridon shuttle also operated that day.

Services Scheduled:

- **San Jose Sharks Regular Season** – Due to the COVID-19 pandemic and efforts to prevent the spread of COVID-19, the NHL has put the 2019-2020 season on pause.
 - **Warriors Regular Season** – Due to the COVID-19 pandemic and efforts to prevent the spread of COVID-19, the NBA has suspended the season until further notice.
 - **Giants Baseball** – Due to the COVID-19 pandemic and efforts to prevent the spread of COVID-19, the MLB has delayed the start of the 2020 regular season.
 - **SF Pride Parade & Celebration** – Due to uncertainty surrounding the COVID-19 pandemic and risks to public health of a large-scale gathering the SF Pride 50th year Parade and Celebration, originally scheduled for Saturday & Sunday, June 27-28, will not take place as planned. Virtual celebrations will take place that weekend.
- **Capital Projects** –

The Capital Projects information is current as of May 15, 2020 and is subject to change between May 15 and June 4, 2020 (Board Meeting).

- **San Mateo 25th Avenue Grade Separation Project:** Raise the elevation of the alignment from Hillsdale Boulevard to south of the Highway 92

Overcrossing in the city of San Mateo. The project creates a grade separation at 25th Avenue, relocates the Hillsdale Station to the north, and creates two new east-west street grade-separated connections at 28th and 31st Avenues in San Mateo.

Trackwork and signals for the new elevated southbound track (MT2) was being completed and train operations is forecast to begin on the new elevated MT2 track on May 26. Work is proceeding to complete structures and trackwork for the new elevated MT1 track.

The concrete work for the platform for the relocated Hillsdale station near 28th Avenue and the associated ramps and stairs were completed. The retrofit of the existing bridge over Hillsdale Boulevard to accommodate a new track alignment was also completed.

The temporary closure of the Hillsdale Station, to allow completion of the project, began on May 16, 2020 and will continue until Fall of 2020 to allow construction of the new grade separations. During the temporary closure trains that normally stopped at Hillsdale will stop at Belmont, and bus and shuttle service between Belmont and Hillsdale Station will be provided to minimize the temporary passenger inconvenience.

The original San Mateo Parking Track (i.e., Bay Meadows Set-Out track) was removed to support the construction of the grade separation. On February 18, 2020, the San Mateo City Council selected the location for the replacement parking track to be from 10th to 14th Avenues. An online survey was issued on March 5 to gather community preferences for various types of enhancements and treatments in lieu of chain link fencing on the east side of Railroad Avenue. Due to COVID-19 restrictions, community open houses that were originally scheduled for April 7 and April 28 to show survey results, display visual renderings and obtain feedback on proposed enhancements for selection to proceed to final design were instead available online. Submission of survey feedback was extended to April 15. The survey results for community preferences for treatments and enhancements is complete, and, the project is now proceeding to developing final designs for the new parking track and appurtenances to be publicly presented for community viewing .

Adjunct to this project is a new contract to relocate and improve the storm drain system along Delaware Street adjacent to the new station and new parking lots on the east side of the project. This work was to be undertaken by the City of San Mateo. This work is now being performed by Caltrain at the request of the City. The design for this work is currently being finalized and advertisement for bids is imminent with the work to take place beginning this Fall and completing in early-2021.

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

In May, construction of the west plaza at the intersection of Airport Boulevard and Grand Avenue, and the connecting west ramps and stairway continued. Also, the construction of the center platform and the Storm drain work in this area are in progress. Preparations for the new realigned southbound MT2 trackway have started, which will accommodate future cutover from outboard to centerboard platform. Due to the contractor caused delays, the project completion date is expected to extend from November 2020 until March 2021.

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

The contract was advertised for bids on March 13, 2020. Four bids were received on April 28, 2020. The bids have been evaluated and the award of the construction contract is on the agenda for board approval of award on July 9, 2020. Construction is planned to occur from summer of 2020 to summer of 2021.

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

The upgrading to new credit card readers has been completed at stations except for 8 remaining TVMs that were suspended due to COVID-19 restrictions. Resumption of this activity is expected in June. This first phase of the project is expected to complete in the summer. Full funding for the option for retrofitting 12 additional TVM's has now been secured and the option has been executed. There is an additional phase for the rehabilitation of 22 TVM's that was approved in the FY20 Capital Budget.

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

The 100% crossing design by the Electrification project is still not yet available for design coordination and a timeframe for its receipt is to be determined. The project is now proceeding to complete its own design without this information from the Electrification project. The 100% design is under review and the construction is scheduled to take place from summer 2020 until end of 2020.

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

The 100% final design submittal was received at the end of April and is under review now. Public outreach with neighboring businesses and residents at the various crossings was conducted in March to obtain comments and feedback for the proposed improvements and treatments. Advertisement of the construction contract is planned for the Fall of 2020 with construction beginning in early 2021 and lasting until Fall of 2021.

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

The project began in December 2019. The 35% design received in March is under review including the review by the City of Palo Alto. The City of Palo Alto is rethinking the scope of work for the project and is in discussion with CPUC and Caltrans to modify the scope. Design is currently on hold until the City of Palo Alto decides on the scope and proceed with their design work. Advertisement for construction will be early 2021 and construction is scheduled to occur in late 2021.

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

The project is currently continuing the planning/design phase that began in November 2019. The current schedule calls for the planning/design efforts to complete by the fall of 2020.

- **F-40 Locomotive Mid-Life Overhaul Project:** Perform mid-life overhaul of three F40PH2C locomotives. The mid-life overhaul of the locomotives includes the complete disassembly of the main diesel engine, overhauling by reconditioning re-usable main frame components and re-assembly with new engine components and replacement of the Separate Head-End Power (SEP-HEP) unit and all electrical components of the SEP-HEP compartment. All areas of the locomotive car body, trucks, wheels and electrical components shall be reconditioned to like-new condition or replaced with new material. The work will be completed off-site at contractor's (Motive Power) facility location at Boise, Idaho. The three locomotives are Locomotive #'s 920, 921 and 922.

Locomotives #'s 920 and 921 were shipped to the vendor's facility in Idaho in February and March of 2018, and, #922 was shipped in April 2019. Locomotive 920 and 921 have been returned to service. Locomotive #922 has been returned in May to CEMOF in San Jose and is undergoing acceptance testing. Upon completion of acceptance tests, locomotive #922 will be returned to service and the contract will become complete.

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

The overhaul contract was awarded to Alstom Transportation, Inc. (Alstom) in April 2020. The contract has been executed with the vendor and a kickoff meeting has been held. The next action will be to transport the first vehicle to the vendor's facility to commence overhauling.

PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Michelle Bouchard
Chief Operating Officer, Rail

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

ACTION

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

SIGNIFICANCE

Staff will provide monthly updates covering PTC related activities during the previous month and provide a preview of activities anticipated to take place during the current month.

BUDGET IMPACT

There is no budget impact.

MONTHLY UPDATE

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

<u>Key Project Activity</u>	<u>Expected Completion</u>	<u>Progress as of 05/12/20</u>	<u>Progress On Track?</u>	<u>Mitigation Required or Approvals Needed</u>
Approval of Designated Revenue Service Demonstration (RSD) Test Request	May 31 st	Completed	Completed	Formal conditional approval received on September 10. Team incorporating FRA conditions in test plan to ensure compliance to approval.
Approval of revised project PTC Implementation Plan (PTCIP) and Request for Amendment (RFA)	May 31 st	Completed	Completed	Formal approval received on May 16, 2019 for PTCIP and RFA Rev. 10.
Pilot Installations (4) Completed	June 20 th	Completed	Completed	All pilots completed
Submit Designated RSD Application	Oct 15 th	Completed	Completed	RSD Application submitted and in review by FRA.
Submit Full Track RSD Application	June 7 th	Completed	Completed	Formal RSD request for full track was submitted to the FRA on June 14, 2019
Complete Critical Feature Verification & Validation (V&V) for Designated Track RSD	Oct 30 th	Completed	Completed	
Complete Designated RSD Training	Nov 14 th	Completed	Completed	Training for designated RSD personnel completed
Complete Required Vehicle Installations	Dec 3 rd	Completed	Completed	(44) Installs required for RSD completed, punch list items were completed by Wabtec.
Meet FRA Statutory Requirements and Substitute Criteria	Dec 31	Completed	Completed	Met FRA December 31, 2018 deadline
Obtain Alternative Schedule approval from FRA	Mar 15 th 2019	Completed	Completed	Received FRA's approval on February 6, 2019.
Completion of Remaining Vehicle Installation (all 66 units)	April 30, 2019	Completed (65 Units)	Completed (65 Units)	Except one F40PH 3C Rehab vehicle, just back from overhaul and currently being scheduled for installation.
Full RSD - Complete Remaining Critical Feature V&V	Jan 2019	Completed	Completed	
Full RSD – Complete Wayside Interface Unit (WIU) V&V	March 15, 2019	Completed	Completed	Completed on March 15, 2019

Key Project Activity	Expected Completion	Progress as of 05/12/20	Progress On Track?	Mitigation Required or Approvals Needed
Full RSD – Complete Lab Integrated End to End Testing (LIEE)	June 30, 2019	Completed	Completed	LIEE Cycle 3 was completed ahead of schedule on June 12, 2019
Full RSD – Complete Field Integrated Testing (FIT)	August 2019	Completed	Completed	Full track FIT has completed on June 30, 2019
Full RSD – Complete Field Qualification Testing (FQT)	September 2019	Completed	Completed	Full track FQT has completed on July 14, 2019
*Commence Full RSD – Caltrain ROW	October 2019	Completed	Completed	Caltrain has successfully entered RSD on September 07, 2019.
Complete Lab Integrated End to End Testing for Interoperability with UPRR (LIEE-I)	October 2019	Completed	Completed	LIEE-I with UPRR was completed on October 15.
*Complete Interoperability Testing with UPRR - Both ROW	December 2019	Completed	Completed	Interoperable Test with UPRR on both territories were completed on Nov 5 th , 2019
*Complete Interoperability Testing with Tenant Railroads - ACE	April 30 2020	Completed	Completed	Interoperable Test with ACE was completed on Nov 17, 2019.
*Complete Interoperability Testing with Tenant Railroads - AMTRAK	April 30 2020	Completed	Completed	Interoperable field testing was concluded on Feb 8, 2020
Achieve Interoperability with UPRR	Dec 31, 2019	Completed	Completed	Accomplished on December 9, 2019
Achieve Interoperability with other Tenants	April 30, 2020	Completed	Completed	Accomplished Interoperable with ACE on December 9, 2019. Interoperable Operation with Amtrak was achieved on Feb 26, 2020.
Submit Caltrain PTC Safety Plan to the FRA	June 30, 2020	Plan	Yes	Project is targeting to submit PTCSP in mid-June 2020.
Complete Caltrain PTC Implementation	December 2020	Plan	Yes	

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

1. Major Wabtec activities for May 2020:

- o Caltrain commenced Revenue Service Demonstration (RSD) since September 7, 2019. As of Feb 26, 2020 Caltrain has achieved interoperability requirements and is interoperable with all tenants (UPRR, ACE, and Amtrak/Capitol Corridor).
- o Continued to provide technical support for RSD trouble shooting and addressed defect items with support from WABTEC PTC help-desk.
- o Completed all Federation 8-Tunnel configuration effort with remaining railroads including six third party railroads as part of interoperable Operation with UPRR.
- o Completed 25th Ave Grade Separation CFV Field V&V and WIU V&V Plan for FRA approval
- o Continued BCCF/CCF Cutover planning effort and finalization of cutover plan and procedure.
- o Commenced on-board software 6.3.17.4.3 LD1 deployment effort for all trains
- o Continued and extended field on-site Warranty support for on-board subsystem
- o Deployed PTC subdiv file version 9025 for non-comm areas and UP MT1 speed changes into production.
- o Finalized PTC Track data changes design document in support of Caltrain 25th Ave Grade Separation and South SF Capital Improvement Project.
- o Continued to support Caltrain on Network Virtualization effort.
- o Continued LIEE-I Testing with UPRR third party railroads (6 total) for interoperable Operations.
- o Continued planning and coordination effort for field initiation testing with UPRR third party railroads (six total).
- o Continued development of PTC Safety Plan (PTCSP) and associated risk assessment effort in support of Caltrain PTC safety certification. PTCSP is 75% complete.
- o Finalize SOW for I-ETMS maintenance agreement and performed reviews with Caltrain.

2. Vehicle Installation:

Wabtec completed installation of (44) I-ETMS modules on the Caltrain locomotives and cab cars as required in Caltrain's Implementation Plan and statutory criteria requirements in early November of 2018. Wabtec has completed installations on the remaining Caltrain fleet (22 additional locomotives and cab cars) except one F40, which is scheduled for installation in late May of 2020. Caltrain has decided not to installed PTC equipment on a damaged Gallery Cab car, therefore total equipment count is 66.

I-ETMS On-Board Installation Progress (As of 5/12/20)			
Equipment	Completed	In Progress	Pending
F40	22	0	1
MP36	6	0	0
Bombardier Cab	9	0	0
NS Gallery Cab	26	0	0
MP1500	2	0	0
Total	65	0	1
%	98%	0%	2%

3. Other Key Activities for May of 2020:

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

- o Caltrain has received approval from the FRA to enter extended Revenue Service Demonstration (RSD) on January 7, 2020 after initial RSD commenced on September 7, 2019. Caltrain is currently running all revenue trains with PTC.
- o Caltrain commenced interoperable operations with UPRR and ACE on December 9, 2019, and with Amtrak/Capitol Corridor since February 26, 2020. Caltrain is interoperable with all tenants.
- o Herzog Technologies Incorporated (HTI) data collection team and PTC project team are producing PTC weekly and monthly reporting to the FRA per the RSD conditional approval requirements for the extended RSD.
- o PTC helpdesk continues to support PTC operation since commencement of RSD with support from Tier 1 and Tier 2 systems support staff for daily PTC operations.
- o Defect-tracking meetings are held to continue monitoring reliability of the PTC system and address any critical anomalies and defects by system engineering (Tier 2) and WABTEC/ARINC (Tier 3) as needed.
- o Caltrain is meeting with UPRR and other tenants on bi-weekly basis to address any technical and operational issues related to PTC interoperable operations.
- o Weekly ARINC coordination meeting is held to address operational systems maintenance and modification work, the live operational systems are Rail Operations Control System (ROCS), Passenger Predictive Train Arrival/Departure System (PADS) and Voice Radio Dispatching System (RDS), which are residing in the CCF and BCCF to support rail operations.
- o Issued all ARINC work directives on BCCF/CCF cutover and ROCS software modification effort.
- o The PTC project continues its coordination efforts with the Electrification and EMU programs via regularly scheduled coordination meetings. Ad hoc meetings to discuss topics requiring in-depth or immediate decisions are held as needed. PTC system team is working with PCEP

team and assessing systems impact due to upcoming electrification project segment 4 signal cutover effort.

- o Caltrain Configuration Control Board (CCB) continued review and approval of configuration changes that affect rail operations systems and infrastructure by following Caltrain Configuration Management plan and process. Currently, CCB is finalizing systems impact due to 25th Ave Grade Separation, South San Francisco Crossover and its detail cutover plan.
- o Caltrain Systems team actively involved in PTC Interoperable Change Management process through Interoperable Change Approval Board (ICAB).
- o Caltrain team is continue working with Wabtec, district procurement and legal to establish long-term maintenance agreement for I-ETMS PTC system.

4. Change Order Log:

The additional scope items negotiated with Wabtec totaling \$1.42 M are needed to support the new milestone schedule approved by FRA in December. They relate to interoperability and the communications system. The funds for this scope were taken from potential change budget as part of original board approved \$89.41M project budget. This is the only change order executed for this contract. This change order was approved by the Change Management Board (CMB) in May 2019. The contract amendment one (1) that reflects this change order was executed. Project has performed evaluation and negotiation of two new change order proposals received in March 2020 for the work related to 1) UPRR third party railroad interoperable testing (6 railroads total); 2) the diverse redundant network path between CCF & BCCF datacenters. These two change orders for total of 0.72 M will be submitted to CMB for approval in upcoming May 27, 2020 CMB Meeting.

5. Risk Management:

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

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

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

Risk Item	Type	Mitigation Action
FRA process changes	External	Maintain close and open relationship with key FRA contacts to ensure all submittals are done correctly and within required time frame to achieve approvals required to achieve full system certification.
Interoperability delays	External	Caltrain is working with UPRR and tenants to ensure agreed to interoperability schedule dates are maintained – Risks were mitigated, Interoperability with UPRR, Amtrak, and ACE were achieved.
Track access delays	Internal	Ensure field test schedule is maintained by coordinating all fieldwork in combination with other capital project's needs, particularly the PCEP project – Risk were

Risk Item	Type	Mitigation Action
		mitigated, Caltrain has entered RSD and achieved interoperability with all tenants.
Back Office Server (BOS) documentation scope creep	Internal	Risk is mitigated by working with Wabtec to ensure future BOS software releases meet requirements of Caltrain PTC operations. Caltrain subscribes standard Interface Control Documentation (ICD) through AAR for future BOS release.
Key Exchange Server Solution	Internal	Implementation of Caltrain Key Exchange Server timely to support Interoperability Testing with UPRR. KES production test was completed in October 2019. Caltrain has been interoperable with all tenants. The Long-term communication MPLS solution was finalized and installation is scheduled once travel restriction is lifted due to COVID 19.
Maintenance of existing Assets Data Communications, Wayside Infrastructure and on-board equipment	Internal	Coordinated with Operations and TASI to ensure all assets including all documentation were done and handed off to Operations/TASI. PTC infrastructure are maintained by TASI and Project team continue to provide support as Tier 2/Tier 3 to ensure PTC is reliable for PTC Revenue Service Operations.

6. FRA Coordination Status:

- o Continued weekly calls with FRA review team
- o Continued RSD Weekly and Monthly Reports to the Test Monitor
- o Received approval of CFV Plan and WIU V&V in support of 25th Ave Grade Separation Project

7. Caltrain Roadmap to Full RSD and Interoperability:

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

11. Caltrain has completed interoperability testing with ACE and started PTC operations on December 9, 2019. Caltrain commenced interoperability operations with Amtrak on February 26, 2020. Caltrain achieved interoperability requirements with all tenants.
12. Caltrain will complete submission of the final PTC Safety Plan (PTCSP) by June 2020 and receive full system certification by December 2020.

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

	(A)	(B)	(C)	(D)	(E)	(F) = (C - E)	(G) = (D / E)
Project Cost Analysis	Original Budget (US\$MM)	Approved Changes (Contractor) (US\$MM)	Project Current Budget (US\$MM)	Expended and Accruals To-Date (US\$MM)	Estimated at Completion (EAC) (US\$MM)	Variance at Completion (US\$MM)	% Expended of EAC
CBOSS PTC Project (Jan 2008 - Feb 2018)	\$ 231.00		\$ 239.88	\$ 202.26	\$ 202.26		
Caltain PTC Project (March 1, 2018 - June 30,2020):							
Integrator WABTEC Contract	\$ 43.01	\$ 1.42	\$ 44.44	\$ 35.17	\$ 44.44	\$ -	79.14%
Other Contractors	\$ 6.00	\$ -	\$ 6.00	\$ 2.09	\$ 6.00	\$ -	34.75%
Potential Changes	\$ 2.00	\$ (1.42)	\$ 0.58		\$ 0.72	\$ (0.14)	
Potential Incentive - WABTEC	\$ 2.00	\$ -	\$ 2.00	\$ 2.00	\$ 2.00	\$ -	100.00%
Other Program Costs	\$ 30.34	\$ -	\$ 30.34	\$ 17.95	\$ 27.26	\$ 3.09	65.86%
Project Contingency	\$ 6.06	\$ -	\$ 6.06		\$ 5.05	\$ 1.01	
Total PTC Project	\$ 89.41	\$ -	\$ 89.41	\$ 57.20	\$ 85.46	\$ 3.95	66.93%
Note:							
1). Expended and Accruals To-Date is through April 30 2020;							
2). Integrator Wabtec Contract Value includes Shared Risk with Not to Exceed Total of \$1.91MM;							
3). Other Contractors amount includes ROCS Modification and potential fiber fixes;							
4). Potential Changes amount is set for future project change orders as result of WABTEC assessment and survey for the communications and office subsystems; Currently we are evaluating two change order proposals received from WABTEC in March 2020.							
5). Potential incentive amount reflects what is in the WABTEC conformed agreement;							
6). Other Program Costs includes JPB project oversight costs, TASI support and Other Direct Cost for PTC project delivery;							
7). Project contingency includes a) contingencies for WABTEC contract per Board Staff Report; b) JPB project team cost contingency;							
8). CBOSS PTC project budget and actual cost are highlighted to reflect prior March 1st, 2018 CBOSS project financial data.							
9). Negotiated additional scope items are included in WABTEC's contract amendment 1. There is no budget impact since project has budgeted adequate potential change for the amount of \$2MM (note no. 4 above) for added scope items. Current Project budget for WABTEC contract is updated to reflect added scope items.							

9. Upcoming Key Activities in June 2020:

- o Continue to support PTC RSD with operations and TASI.
- o Continue BCCF/CCF cutover technical coordination with all parties.
- o Continue data collection and PTC log analysis for PTC RSD weekly report to the FRA following RSD conditional approval requirements.
- o Continue to provide Tier 2 PTC system engineering support for tracking anomalies and addressing defect resolutions with Tier 3.
- o Continue interoperability operational coordination with all tenants via weekly calls.
- o Continue perform LIEE-I and field-testing with UPRR third party railroads (6 total). Lab and field initialization testing are scheduled from April through June of 2020.
- o Continue PTC Virtualization and ATCS work. Fieldwork has been on hold due travel restriction.
- o Complete CFV Field Validation and WIU V&V in support of 25th Ave Grade Separation Project.
- o Complete deployment of on-board software 6.3.17.4.3 LD1.
- o Complete KES long-term MPLS/Cell installation effort for sprint circuit installation once travel restriction is lifted.
- o Complete PTCSP for official FRA submission.
- o Continue to perform railroad specific hazard analyses required for PTC system certification.
- o Continue working with all parties on I-ETMS long-term maintenance service agreement effort.

- Commence work to diverse redundant network path between CCF & BCCF datacenters once CMB approves the change order.

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

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: John Funghi
Chief Officer, Caltrain Modernization Program

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

ACTION

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

SIGNIFICANCE

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

BUDGET IMPACT

There is no impact on the budget.

BACKGROUND

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



Caltrain Modernization Program Peninsula Corridor Electrification Project (PCEP)



April 2020 Monthly Progress Report

April 30, 2020

Funding Partners



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



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



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



Carl Moyer Fund



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



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



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



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



City and County of San Francisco (CCSF) Contribution

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1.0 BACKGROUND

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

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

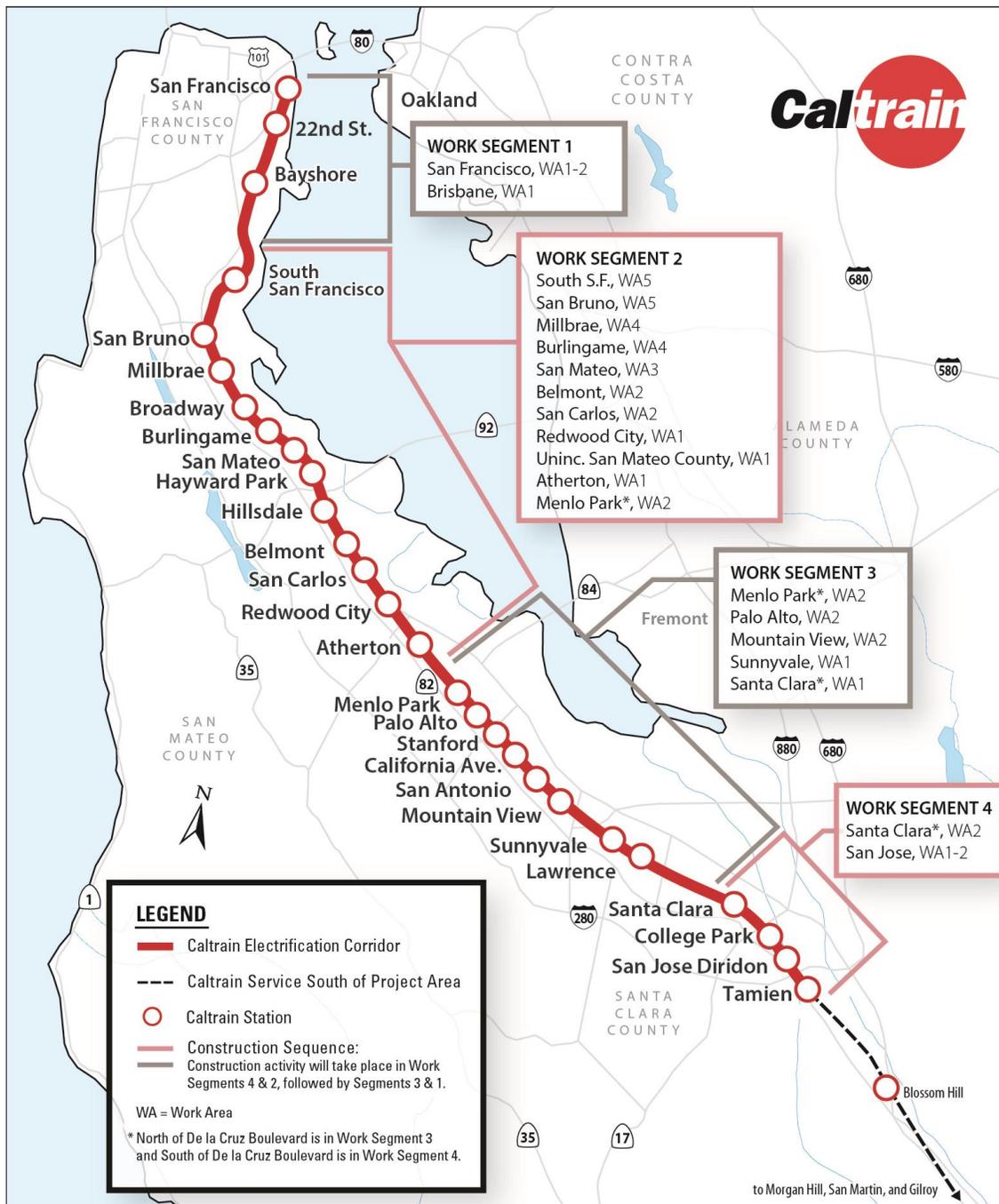
An electrified Caltrain will better address Peninsula commuters' vision of environmentally friendly, fast and reliable service. Electrification will modernize Caltrain and make it possible to increase service while offering several advantages in comparison with existing diesel power use, including:

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

2.0 EXECUTIVE SUMMARY

The Monthly Progress Report is intended to provide an overview of the PCEP and provide funding partners, stakeholders, and the public an overall update on the progress of the project. This document provides information on the scope, cost, funding, schedule, and project implementation. Work along the Caltrain Electrification Corridor has been divided into four work segments and respective work areas (WA) as shown in Figure 2-1. PCEP activities are described and summarized by segments and work areas.

Figure 2-1 PCEP Work Segments



Peninsula Corridor Electrification Project
Monthly Progress Report

On- and off-track foundations were installed and feeder and static wires were strung in Segment 3 for the Overhead Catenary System (OCS). The contractor, Balfour Beatty Infrastructure, Inc. (BBII), and PCEP staff strategized how to take better advantage of the additional work windows created by the reduction in service as a result of the shelter-in-place order due to Coronavirus Disease 2019 (COVID-19). A total of 128 foundations were installed this month. BBII intends to complete foundation installation by the end of this year. In addition, two signal houses were installed, as well as overhead bridge attachments at various locations in Segments 2 and 3.

The effects of COVID-19 on EMU production have not changed. Production in Switzerland is near normal and shell and frame shipments are on schedule with 33 shells total shipped, 28 of which are on site at Stadler’s Salt Lake City facility. The testing of Trainset No. 1 is still on hold pending the lifting of travel restrictions for testing personnel. Supply chains are still challenged to meet demands.

The tunnel shutdowns for the Tunnel Modification Project are complete, and work continues during this shelter-in-place period. Fencing and conductor rail installation were completed this month, and other work is ongoing.

The Centralized Equipment Maintenance and Operations Facility (CEMOF) work focused largely on the parts storage warehouse, where progress was made to begin the foundation for the structure.

2.1. Monthly Dashboards

Dashboard progress charts are included below to summarize construction progress.

Figure 2-2 Expenditure – Planned vs. Actual

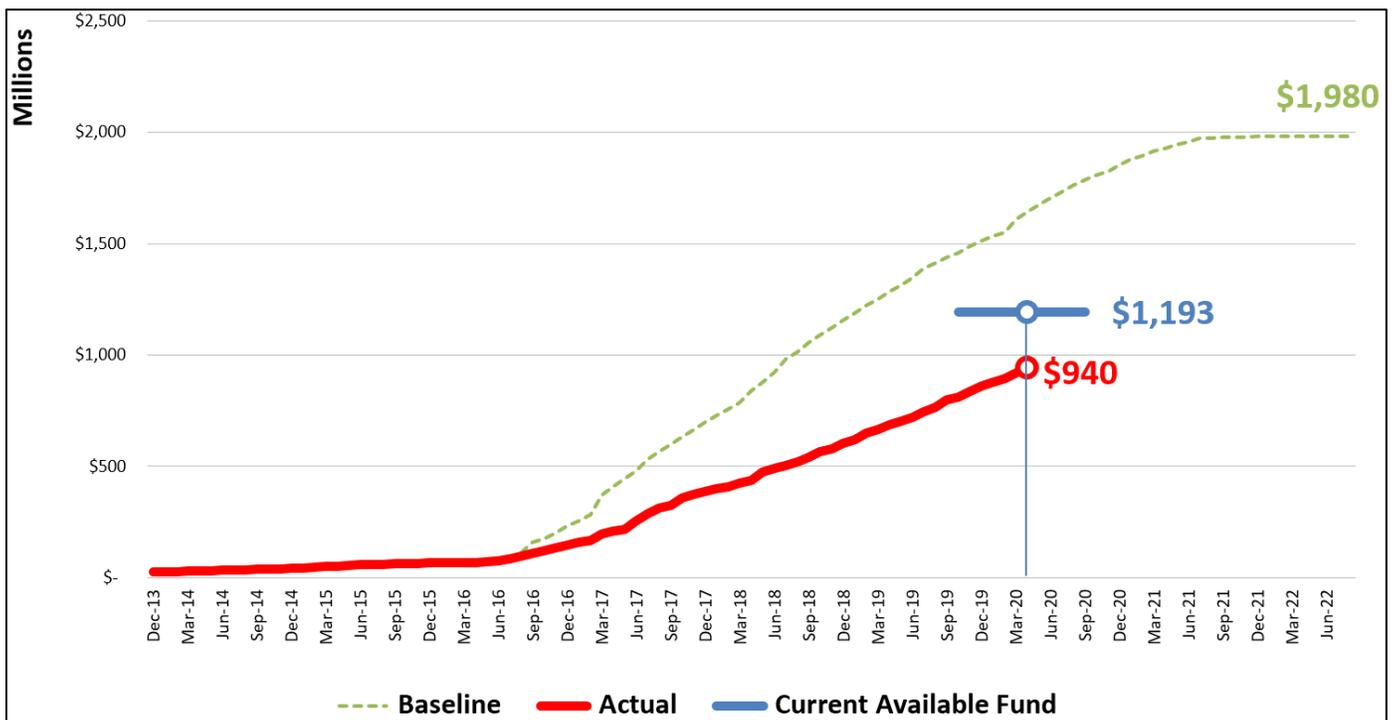


Figure 2-3 Spending Rate vs. Required

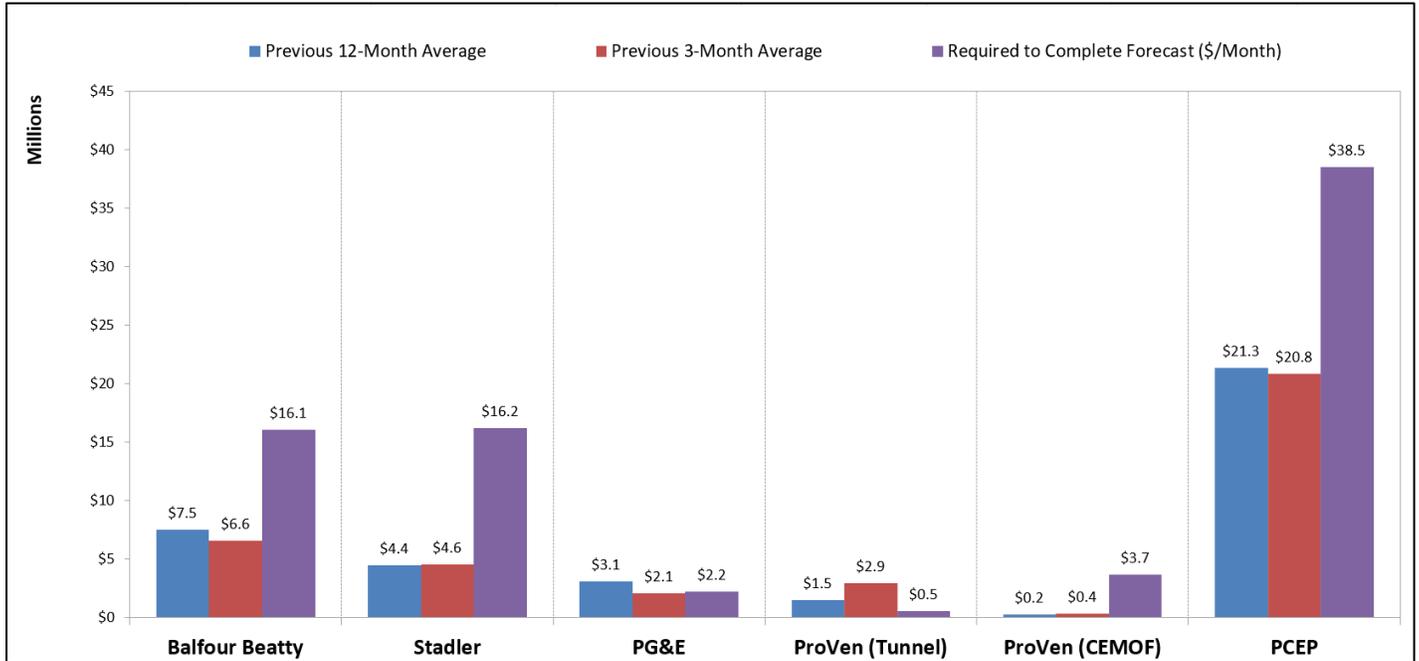


Figure 2-4 Construction Contract Budgets



Notes:
 (1) 3rd Party Improvements/CNPA consists of the following "Below-the-Line" projects:
 Balfour Beatty: (\$1,266,000 Total):
 - CHSRA Early Pole Relocation (Design Only): \$625,000
 - TPSS-2 VTA/BART Pole Relocation (Design Only): \$110,000
 - TPSS-2 VTA/PCEP Pole Height (Redesign): \$31,000
 - Relocation of PS-3 (Burlingame): \$500,000
 Stadler (\$174,761,397 Total):
 - EMU Options Cars: \$172,800,047
 - Add Flip-Up Seats into Bike Cars: \$1,961,350
 (2) Includes only negotiated change orders not yet executed

Figure 2-5 OCS Foundation Production

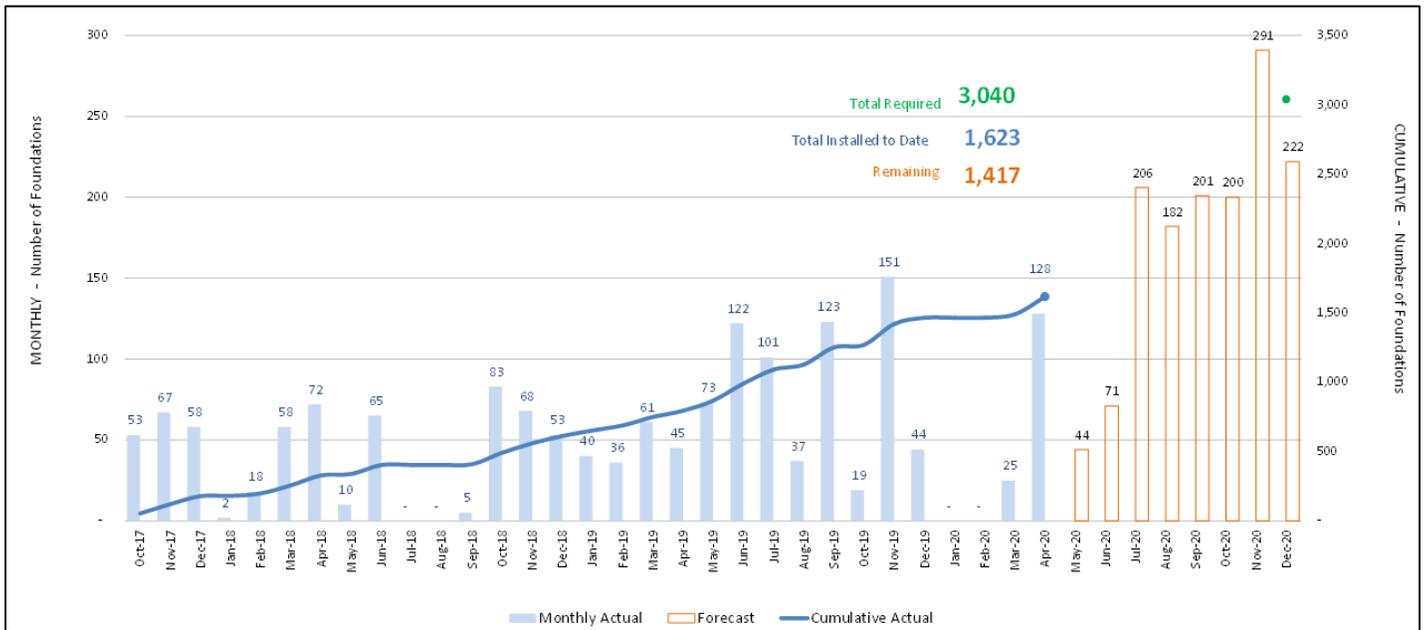
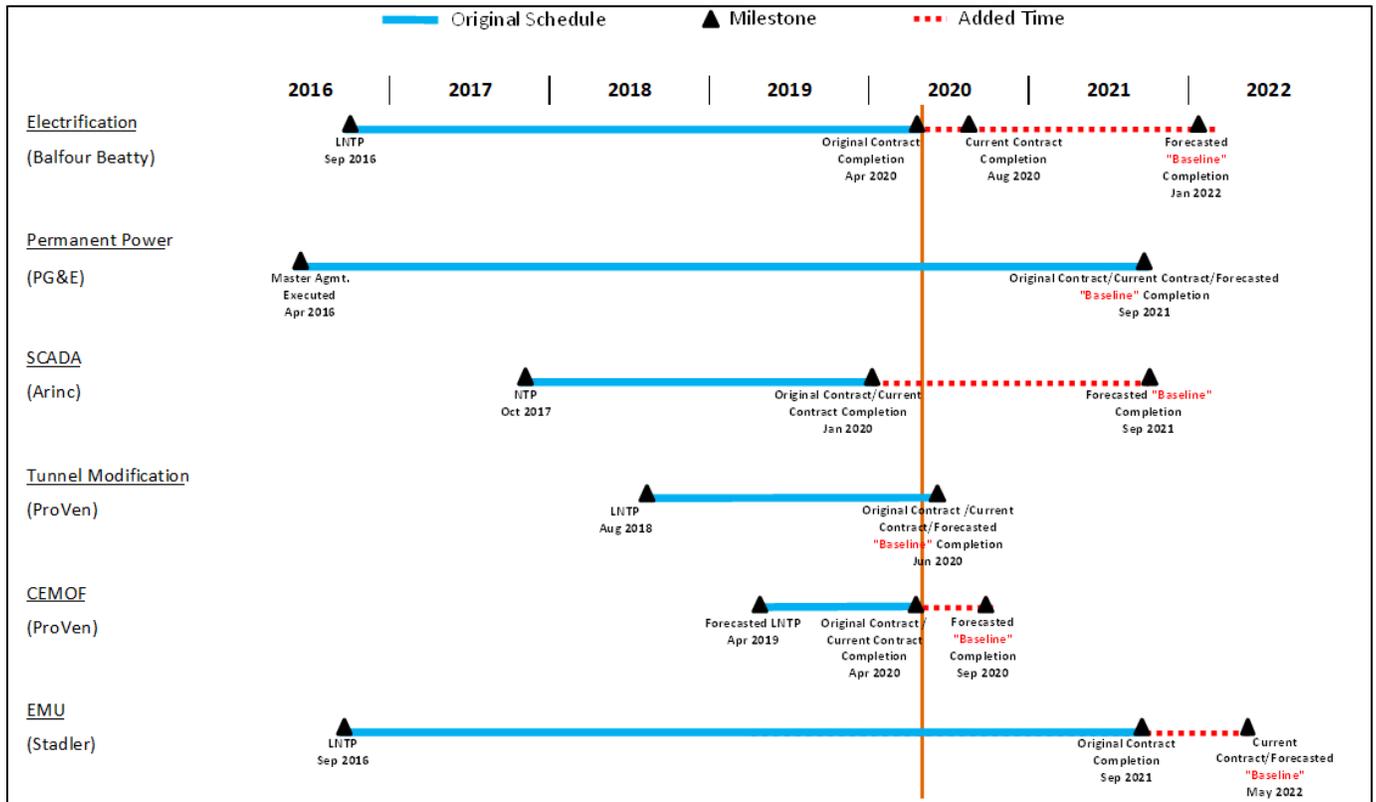


Figure 2-6 Contractor Completion Schedule



2.2. Funding Partners Participation in PCEP

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

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

Electrification – Weekly Discipline-Specific Meetings

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

Activity this Month

OCS Foundation Meeting

Funding Partners: None

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

TPF Meeting

Funding Partners: None

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

Signal Meeting

Funding Partners: None

- Discussion of design, installation and testing of the signal and communication modifications to the Caltrain system
- Discussion of outstanding comments and responses to comments on signal and communication design packages
- Review of schedule for signal and communication cutover plans
- Discuss and resolve RFIs

PCEP Delivery Coordination Meeting – Bi-Weekly

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

Activity this Month

Funding Partners: VTA: Edwin Castillo; SFCTA: Luis Zurinaga

The JPB has received concurrence from the San Francisco City Administrator and City Health Director for the PCEP essential project designation, allowing construction work to continue. In environmental and planning, a Western Burrowing Owl and a Coopers Hawk nest were found as part of the ongoing surveys. The project is complying with the distance needed to protect this wildlife while conducting work and is continually monitoring for any disturbed behavior. In contracts and procurement, two sole-source contract amendments, On-Call Program Management Support Services and On-Call Electrification Support Services, are projected to go to the June JPB Board meeting. The Caltrain On-Track Safety Rules (OTS) revision will be effective April 20, and training for the contractor was conducted in mid-April. For EMU design and manufacturing, truck frames and carshells production are on schedule. Salt Lake City (SLC) testing and commissioning of Trainset 1 is on hold due to Coronavirus Disease 2019 (COVID-19) travel restrictions, and the shipment of Trainset 1 to Pueblo is now scheduled for October 1. The two-person table test was conducted on April 20 with encouraging results. The Stadler SLC activities and facilities received a satisfactory report from the Project Management Oversight Consultant (PMOC) visit on April 13. In design build activities, foundation work has restarted in Segment (S) S3 with on-tracking through April 20 and off-tracking on April 22. BBII projects 140 foundations to be completed by the end of the month with a target completion for all foundations at the end of the year. Installation of poles and assemblies continue in S4 and S3, and Overhead Catenary System (OCS) wiring is ongoing in S4. Utility coordination of corridor-wide relocations is being monitored for any impacts due to COVID-19. The pre-Factory Acceptance Test (FAT) for the Supervisory Control and Data Acquisition (SCADA) has commenced.

Systems Integration Meeting – Bi-Weekly

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

Activity this Month

Funding Partners: None

Bi-weekly PCEP interface meetings are held to monitor and determine appropriate resolution for systems integration issues. All information from the systems integration database was recovered, is now in an Excel spreadsheet and individual items are being updated. The Action Items spreadsheet is the primary tracking method while review and System Integration matrix updates are in progress. The electrification contractor now has a representative invited to attend the Bi-Weekly Systems Integration Meeting. The Systems Integration Lead also maintains contact with the EMU procurement team. The Traction Power SCADA team also holds bi-weekly status meetings. Coordination with the EMU procurement, PTC and Caltrain Capital Project managers responsible for delivery of the 25th Avenue Grade Separation Project, Marin Napoleon Bridge Rehabilitation Project, and the South San Francisco Station Project is ongoing. There is coordination with the Tunnel Modification Project and the CEMOF upgrades as well. Progress on activities including systems integration testing activities, FRA, FTA and safety certification are being tracked. Systems Integration is working with the JPB Rail Activation Committee. A smaller “breakout” group is meeting to determine and track what testing and with which resources will need to be coordinated among the various contracts and suppliers. This group will report back to the System Integration meeting group with their findings.

Master Program Schedule (MPS) Meeting – Monthly

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

Activity this Month

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

The overall schedule remains unchanged from last month. The forecasted Revenue Service Date (RSD) remains May 2022. The addition of approximately three and a half months of contingency yields an RSD of August 2022. The program critical path runs through the manufacturing and testing of EMU trainsets.

Risk Assessment Meeting – Monthly

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

Activity this Month

No Risk Assessment Committee Meeting was held in the month of April.

Change Management Board (CMB) – Monthly

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

Activity this Month

The CMB meeting occurred on April 7.

Funding Partners: CHSRA: Boris Lipkin and Simon Whitehorn; VTA: Edwin Castillo; SFCTA: Luis Zurinaga and Anna Harvey; SMCTA: Joe Hurley; MTC: Kenneth Folan and Trish Stoops; FTA: Mike Eidlin (PMOC)

BBII Contract

No changes were identified for consideration.

CEMOF Contract

No changes were identified for consideration.

Stadler Contract

No changes were identified for consideration.

SCADA Contract

No changes were identified for consideration

Tunnel Modification Contract

No changes were identified for consideration.

Amtrak Contract

No changes were identified for consideration.

Other

Two changes were approved.

2.3. Schedule

The overall schedule remains unchanged from last month. The forecasted Revenue Service Date (RSD) remains as May 2022. The program critical path runs through the manufacturing and testing of EMU trainsets.

BBII continues to report an overall delay to substantial completion. JPB is working with BBII on the issue and is urging BBII to accelerate resolution.

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

Table 2-1 Schedule Status

Milestones	Program Plan	Progress Schedule (April 2020) ¹
Arrival of First Vehicle in Pueblo, CO	N/A	09/01/2020
Arrival of First Vehicle at JPB (after Pueblo Testing)	N/A	02/26/2021
Segment 4 Completion	11/21/2019	03/25/2021 ²
o Interconnection from PG&E Substation to Traction Power Substation (TPS)	N/A	12/10/2020 ²
PG&E Provides Permanent Power	09/09/2021	09/09/2021
Electrification Substantial Completion	08/10/2020	01/31/2022 ²
Start Phased Revenue Service	N/A	02/01/2022 ²
RSD (w/o Risk Contingency)	12/09/2021	05/06/2022
FFGA RSD (w/ Risk Contingency)	08/22/2022	08/22/2022

Note:

1. Dates may shift slightly as the update of this month's Progress Schedule is still in process.
2. See "Notable Variances" in Section 7 for explanation on date shift.

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2.4. Budget

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

Table 2-2 Budget and Expenditure Status

Description of Work	Budget (A)	Current Budget (B) ¹	Cost This Month (C) ²	Cost To Date (D) ³	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
Electrification Subtotal	\$1,316,125,208	\$1,316,125,208	\$10,604,859	\$724,645,724	\$591,479,484	\$1,316,125,208
EMU Subtotal	\$664,127,325	\$664,127,325	\$8,599,858	\$215,429,095	\$448,698,230	\$664,127,325
PCEP TOTAL	\$1,980,252,533	\$1,980,252,533	\$19,204,717	\$940,074,818	\$1,040,177,714	\$1,980,252,533

Notes regarding tables above:

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

2.5. Board Actions

- One-year lease extension for PCEP office space

Future anticipated board actions include:

- Shunt wire construction
- EMU Pantograph Inspection & Monitoring System contract
- On-call program management and electrification support services contract amendments

2.6. Government and Community Affairs

There was one outreach event this month.

3.0 ELECTRIFICATION – INFRASTRUCTURE

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

3.1. Electrification

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

Activity This Month

- Installed on-track and off-track foundations in Segment 3.
- Strung OCS feeder and static wires in Segment 3.
- Potholed at proposed OCS locations and utility locations in all Segments in advance of foundation installation. BBII and PCEP also continued to resolve conflicts found during the potholing process, such as loose concrete, asphalt, and other debris, and continued designing solutions for those conflicts that cannot be avoided. The conflicts must be resolved before installation of foundations at those locations.
- Held meetings with BBII to update schedule of foundation installations, including design and potholing with a goal to complete all foundations by the end of the year. Also discussed the potential to utilize more available work windows due to a reduction in service.
- Relocated signal cables and remove abandoned facilities found in conflict with planned OCS foundations as conflicts were identified.
- Continued to install formwork, rebar and high-voltage cable at TPS-2.
- Continued to install ductbank and manholes, drainage, and form and rebar work at TPS-1.
- Continued clearing and grubbing at PS-4.
- Begin mobilization and site work at PS-5.
- Installed signal ductbank, conduits, and cables in Segment 2.
- Continued to install signal ductbank, conduits, and cables in Segment 4.
- Performed case installation at Control Point (CP) Bird and signal equipment kit installation at CP Coast.
- Set signal houses at 45.21 and 45.57.
- Continued drilling of rails for impedance bond connections in Segments 1, 2, 3 and 4 at various control points and crossings.
- Continued installation of insulated joints (IJs) in Segment 3.

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- Install overhead bridge attachments at various locations in Segment 2 and 3.
- Progressed the OCS design with BBII in all segments, which included submittal and review of Design Change Notices for revised foundation locations.
- Coordinated design review with local jurisdictions for the OCS, traction power facilities, and bridge attachments design, including responses to comments from jurisdictions.
- Continued to review and coordinate signal and communication design submittals with BBII.
- Continued discussions with FRA and CPUC on grade crossing design.
- Continued to progress the TPS interconnection design for TPS-1 and TPS-2. Received and reviewed redundant fiber design at TPS-2. IFC for TPS-2 will be submitted in May. Progress TPS-1 interconnection design towards IFC.
- Worked with BBII through Site Specific Work Plans (SSWP) for upcoming field work.
- Continued to work with PG&E and Silicon Valley Power (SVP) for the finalization of single phase studies. Began data conversion and model validation.
- PG&E continued work at East Grand and FMC substations.

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

Table 3-1 Work Progress by Segment

Segment	Work Area	Foundations			Poles		
		Required ^{abc}	Completed this Month	Completed to Date	Required ^{ab}	Completed this Month	Completed to Date ^d
1	Tunnels	32	0	32	32	0	32
	A	309	0	0	259	0	0
	B	237	0	0	177	0	0
2	5	244	0	184	209	0	160
	4	314	0	239	254	1	187
	3	174	0	63	141	0	36
	2	247	0	78	205	0	60
	1	207	0	79	154	0	33
3	2	510	121	338	443	21	114
	1	391	7	360	310	15	220
4	A	241	0	156	177	0	107
	B	139	0	87	123	0	70
	CEMOF	95	0	0	81	0	0
Total		3,140	128	1,616	2,565	37	1019

Note:

- Foundations required do not match poles required as guy foundations are needed in some locations for extra support.
- The number of required poles and foundations fluctuate due to design changes.
- 55 foundations in S2WA5 will be installed by South San Francisco and 64 foundations in S2WA3 will be installed by 25th Avenue.
- Additional 14 poles in S3WA1 were unreported to be installed during March 2020

Activity Next Month

- Continue foundation installation in Segment 3, both on-track and off-track.
- Continue resolution of DSCs.
- Continue to install protective steel plates for protection of utilities during foundation installation.
- Continue to install OCS poles and assemblies in all Segments where available.
- Continue wire installation in Segments 3 and 4.
- Continue work with BBII on field investigation activities and designs, which will include the progression of the OCS, traction power, bonding and grounding, signal systems, and other civil infrastructure such as overhead bridge protections.
- Pothole and clear obstructions at proposed OCS locations. Potholing will concentrate in Segments 3 and 4, as well areas of potential ROW needs in Segments 1 and 2.
- Continue construction at TPS-1 and TPS-2.
- Continue construction at PS-7, PS-5, PS-6, and the Switching Station.
- Continue to install conduit and foundations for signal and wayside power cubicle (WPC) units in Segment 4 and Segment 2.
- Continue to install impedance bond connections.
- Continue to install IJs.
- Continue to install bridge attachments.
- Continue to coordinate with stakeholders on the consistent warning time solution and advance location-specific design.
- Continue to progress location-specific design for grade crossing system.
- Continue planning process for signal cutovers.
- Review BBII work plans for upcoming construction activities.
- Review TPS-2 Issued for Construction Design (IFC) and progress TPS-1 to IFC.
- Coordinate with PG&E on final design and construction for PG&E infrastructure.
- Coordinate with local jurisdictions to review designs.
- Continue tree pruning and removals.

3.2. Supervisory Control and Data Acquisition

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

Activity This Month

- Submitted formal schedule for review and Monthly Progress Report.
- Received responses from comments relating to test procedures. Provided contractor statements of no objection or comments to all 34 test procedures.
- ARINC completed work on 2 additional test procedures and receiving comments.

Activity Next Month

- Prepare and deliver the Monthly Report and the Monthly Schedule Update.
- Attend project status meetings (virtually).
- Support ongoing discussions concerning RFIs.
- Deliver Installation Plan and complete pre-FAT at 95%.

3.3. Tunnel Modification

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

Activity This Month

- Continued review of and prepared responses for submittals and RFIs.
- Completed Installation fencing for Tunnel 1 North, Tunnel 4 North, and Tunnel 4 South.
- Completed Conductor Rail installation.
- Completed Right of Way (ROW) fence signage.

Activity Next Month

- Review and respond to submittals, RFIs, and SSWPs as needed.
- Feeder cable reinstallation.
- Terminate feeder wire, contact wire, and conductor rail.
- Install signage inside all tunnels.
- Install Post insulator.
- Prepare OCS testing plan.
- Review Spare Parts transmittal.

4.0 ELECTRIC MULTIPLE UNITS

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

4.1. Electric Multiple Units

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

Activity This Month

- COVID-19 continued for the second month to cause mixed disruptions of Stadler's Activities:
 - Switzerland-based management, administrative and engineering personnel continued to work from home.
 - Switzerland-based production continued to operate near normal. Car shells and truck frames shipments on schedule.
 - Salt Lake City-based management, administrative and engineering personnel worked from home alternate days.
 - Salt Lake City-based testing of Trainset No. 1 halted since key Stadler and sub-supplier personnel cannot travel to Salt Lake City. The current delay is estimated at a day for each day of COVID-19 restrictions.
 - Stadler has material for about 3 trainsets, but the disrupted supply chain will likely create shortages and delays.
 - PCEP oversight and administration of Project unaffected.
 - PCEP QA representatives are onsite in Altenrhein and Salt Lake City facilities.
- Final Design Reviews remain to be completed for three systems. These software-based systems include 'Train Control,' 'Monitoring and Diagnostics,' and 'Car Control.' Completion is scheduled for early '2020 and must be performed before design conformance Type Testing commences in June 2020.
- FAIs continue to have their paperwork formalized and closed out.
- 33 car shells have been shipped from Stadler - Switzerland with 28 onsite in Stadler's Salt Lake City facility.
- Two waiver requests remain with the FRA for review and disposition. One pertains to train alternate crashworthiness design standards and the other for a passenger emergency door opening system that is safer for the Caltrain System. No change from last month.
- Quality Assurance audits of USA-based sub-suppliers were halted in mid-March due to COVID-19 travel restriction. Audits will commence when travel permitted.

- PCEP, FRA and Caltrain Management meeting in Salt Lake City postponed to June.

Activity Next Month

- Continue to close out system level FDRs and FAIs.
- Work with the FRA on closing out remaining waiver requests and open items.
- Re-baseline Stadler trainset delivery and testing schedule on Caltrain property.

4.2. Centralized Equipment Maintenance and Operations Facility Modifications

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

Activity This Month

- Continued processing submittals, RFIs, and SSWPs.
- Installed conduit at the maintenance building near Track 5.
- Parts Storage Warehouse (PSW) work:
 - Tested soil.
 - Off-hauled hazardous Class I soil.
 - Compacted subgrade.
 - Installed baserock.
 - Installed sand and 10 mil membrane.
 - Installed rebar.
 - Poured concrete for the footing and building footprint/pad.
 - Saw cut the concrete and remove forms.
- Started shoring for the catch basins at the maintenance pit.
- Poured concrete for wall infill at the Component Test Room (CTR), and removed CAT 6 Cables at the CTR.

Activity Next Month

- Install catch basins at the maintenance pit.
- Continue to install conduit and pull wire at the maintenance building at Track 5.
- Off-haul the last of the soil from the area of the PSW.
- Install the catch basins at the north maintenance pit.
- Begin trenching for the storm drain line.
- Begin north maintenance pit shoring.

5.0 SAFETY

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

Activity This Month

- Project staff provided input and continued its participation in the BBII contractor workforce safety meetings. Project incidents continue to be reviewed with project staff to reinforce the application of recommended safety mitigation measures.
- Continued follow-up reviews of 2019 employee injury incidents with BBII Safety in conjunction with its annual safety incentive submittal.
- Continued to provide input and oversight of the contractor SSWP safety provisions and ongoing safety construction oversight and inspections.
- Continued the reviews with the contractor of the updated project Preliminary Hazard Analysis (PHA), Threat & Vulnerability Assessment (TVA), Safety & Security Certification Plan (SSCP), and System Safety Plan (SSP).
- Conducted the monthly project Safety and Security Certification and Fire/Life Safety Meetings.
- Participated with internal stakeholders in Rail Activation Committee meetings.
- Investigated project incident occurrences and worked with the contractor representatives to identify incident root causes and develop and implement safety and security mitigation measures.
- Conducted ongoing safety inspections of contractor field activities and performed pre-work site hazards assessment walks with BBII and subcontractor staff.
- Participated in weekly project coordination meetings with the contractor to review open issues and recommended action items.
- Reviewed the FTA Safety & Security Checklist items with Project Management Oversight staff and identified documents to be reviewed by the PMOC.
- Continued to coordinate with JPB Safety and the project contractors with the application of mitigation measures in response to the evolving COVID-19 virus.

Activity Next Month

- Monthly safety communication meetings (via Webex) continue to be scheduled for the Project Safety and Security Certification Committee, Fire/Life Safety Committee, Rail Activation Committee, and other project-related contractor and JPB safety meetings to discuss safety priorities.
- Continue focus on performing site safety inspections on the OCS foundations, pole installations, potholing, Tunnel, and CEMOF work to assess safety work practices and identify additional opportunities for improvement. Conduct contractor equipment inspections as needed.
- Continue to meet with the PCEP contractors, JPB safety, and TransitAmerica Services, Inc. (TASI) to identify opportunities to further improve project safety

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- performance and continue to reinforce lessons learned safety mitigation recommendations resulting from prior project incidents.
- Reinforce the ongoing application of recommended mitigation measures in response to the evolving COVID-19 virus.

6.0 QUALITY ASSURANCE

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

Activity This Month

- Staff meetings with BBII QA/Quality Control (QC) management representatives continue weekly.
- Continued review of BBII-generated Nonconformance Reports (NCR) and Construction Discrepancy Reports for proper discrepancy condition, cause, disposition, corrective and preventive action and verification of closure.
- Continued review and approval of Design Variance Requests for BBII and PGH Wong for QA/QC and inspection issues/concerns.
- Continued review of BBII QC Inspectors Daily Reports, Construction QC Reports and Surveillance Reports for work scope, performance of required duties, adequacy, non-conformances, test/inspection results, follow-up on unresolved issues, and preciseness.
- Continued review of BBII Material Receipt Reports, Certificates of Conformance, Certified Tests Reports, and Certificates of Analysis to ensure delivered project materials conform to specifications, and that contractually required quality and test support documents are adequate and reflect concise conditions per the purchase order requirements.
- Continued regularly scheduled design reviews and surveillances on project design packages.
- Finalized the audit of BBII Field Activities Rail Welding on second shift. Audit report issued. The following 115 welds were good.
- Conducted three design package audits of PGH Wong with no Findings.

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

Table 6-1 Quality Assurance Audit Summary

Quality Assurance Activity	This Reporting Period	Total to Date
Audits Conducted	3	115
Audit Findings		
Audit Findings Issued	0	68
Audit Findings Open	0	0
Audit Findings Closed	3	68
Non-Conformances		
Non-Conformances Issued	0	10
Non-Conformances Open	0	1
Non-Conformances Closed	0	9

Activity Next Month

- Conduct audits of three PGH Wong design packages.
- Conduct field surveillances at PS-4, PS-5, and PS-7.

7.0 SCHEDULE

The overall schedule remains unchanged from last month. The forecasted Revenue Service Date (RSD) remains as May 2022. The program critical path runs through the manufacturing and testing of EMU trainsets.

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

Table 7-1 Schedule Status

Milestones	Program Plan	Progress Schedule (April 2020) ¹
Arrival of First Vehicle in Pueblo, CO	N/A	05/29/2020
Arrival of First Vehicle at JPB (after Pueblo testing)	N/A	09/01/2021
Segment 4 Completion	11/21/2019	03/25/2021 ²
o Interconnection from PG&E Substation to Traction Power Substation (TPS)	N/A	12/10/2020 ²
PG&E Provides Permanent Power	09/09/2021	09/09/2021
Electrification Substantial Completion	08/10/2020	01/31/2022 ²
Start Phased Revenue Service	N/A	02/01/2022 ²
RSD (w/o Risk Contingency)	12/09/2021	05/06/2022
FFGA RSD (w/ Risk Contingency)	08/22/2022	08/22/2022

Note:

1. Dates may shift slightly as the update of this month's Progress Schedule is still in process.
2. See "Notable Variances" for explanation on date shift.

Notable Variances

BBII continues to report an overall delay to substantial completion. JPB is working with BBII on the issue and is urging BBII to accelerate resolution.

Within the month of April, the variances relative to the BBII schedule are due to signal design progressing slower than baseline, slow progress on Traction Power Facilities design and construction, and slow progress on OCS foundations design resolution and installations.

Additionally, the program schedule has been updated to reflect the decision to have PG&E perform the interconnection construction. The PG&E-provided schedule has been incorporated into the program schedule. This update results in a delay in Segment 4 completion from February 14, 2021 to March 25, 2021.

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Items listed in Table 7-2 reflect the critical path activities/milestones for the PCEP.

Table 7-2 Critical Path Summary

Activity	Start	Finish
Manufacturing, Testing & Acceptance of Trainsets 1 - 14	08/13/2018	05/06/2022
RSD w/out Risk Contingency	05/06/2022	05/06/2022
FFGA RSD w/ Risk Contingency	08/22/2022	08/22/2022

Schedule Hold Points

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

Table 7-3 Schedule Hold Points

Schedule Hold Point (SHP)	Date
FTA/PMOC Risk Refresh	08/30/2016 (A)
Begin EMU Manufacturing	12/04/2017 (A)
Arrival of 1 st Trainset in Salt Lake City	02/04/2019 (A)
Arrival of 1 st Trainset in Pueblo, CO	09/01/2020
Arrival of 1 st Trainset at JPB	02/26/2021
Segment 4 Completion	03/25/2021
Conditional Acceptance of 1 st Trainset	04/09/2021
System Electrified	01/31/2022
Begin Phased Revenue Service	02/01/2022
Conditional Acceptance of 14th Trainset	05/06/2022
FFGA RSD w/ Risk Contingency	08/22/2022

Note: “(A)” denotes an actual completion

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8.0 BUDGET AND EXPENDITURES

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

Table 8-1 Electrification Budget & Expenditure Status

Description of Work	Budget (A)	Current Budget (B) ¹	Cost This Month (C) ²	Cost To Date (D) ³	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
ELECTRIFICATION						
Electrification ⁽⁴⁾	\$696,610,558	\$729,633,117	\$6,667,610	\$391,994,228	\$337,638,889	\$729,633,117
SCADA	\$0	\$3,446,917	\$0	\$1,934,371	\$1,512,546	\$3,446,917
Tunnel Modifications	\$11,029,649	\$41,408,610	\$227,011	\$40,873,345	\$535,265	\$41,408,610
Real Estate	\$28,503,369	\$28,503,369	\$48,139	\$21,159,675	\$7,343,694	\$28,503,369
Private Utilities	\$63,515,298	\$117,451,380	\$884,884	\$82,346,940	\$35,104,440	\$117,451,380
Management Oversight ⁽⁵⁾	\$141,506,257	\$150,143,604	\$1,737,106	\$137,324,872	\$12,818,732	\$150,143,604
Executive Management	\$7,452,866	\$9,214,226	\$137,186	\$8,231,876	\$982,350	\$9,214,226
Planning	\$7,281,997	\$6,281,997	\$9,714	\$5,804,240	\$477,757	\$6,281,997
Community Relations	\$2,789,663	\$1,789,663	\$5,447	\$1,570,248	\$219,415	\$1,789,663
Safety & Security	\$2,421,783	\$3,691,387	\$74,370	\$3,316,644	\$374,743	\$3,691,387
Project Management Services	\$19,807,994	\$16,807,994	\$153,331	\$12,777,001	\$4,030,993	\$16,807,994
Engineering & Construction	\$11,805,793	\$12,372,460	\$246,730	\$10,481,564	\$1,890,897	\$12,372,460
Electrification Eng & Mgmt	\$50,461,707	\$50,461,707	\$413,253	\$47,887,185	\$2,574,523	\$50,461,707
Construction Management	\$0	\$4,499,776	\$488,985	\$3,752,054	\$747,723	\$4,499,776
IT Support	\$312,080	\$407,170	\$0	\$407,170	\$0	\$407,170
Operations Support	\$1,445,867	\$2,380,632	\$53,896	\$2,658,973	(\$278,341)	\$2,380,632
General Support	\$4,166,577	\$5,566,577	\$85,436	\$5,562,283	\$4,294	\$5,566,577
Budget / Grants / Finance	\$1,229,345	\$1,429,345	\$1,680	\$1,353,070	\$76,275	\$1,429,345
Legal	\$2,445,646	\$4,755,731	\$3,966	\$4,509,783	\$245,948	\$4,755,731
Other Direct Costs	\$5,177,060	\$5,777,060	\$63,113	\$4,304,903	\$1,472,156	\$5,777,060
Prior Costs 2002 - 2013	\$24,707,878	\$24,707,878	\$0	\$24,707,878	\$0	\$24,707,878
TASI Support	\$55,275,084	\$57,475,084	\$997,032	\$38,931,249	\$18,543,835	\$57,475,084
Insurance	\$3,500,000	\$4,543,588	\$0	\$4,543,588	\$0	\$4,543,588
Environmental Mitigations	\$15,798,320	\$14,972,644	\$0	\$756,777	\$14,215,868	\$14,972,644
Required Projects	\$17,337,378	\$14,253,335	\$32,398	\$910,456	\$13,342,879	\$14,253,335
Maintenance Training	\$1,021,808	\$1,021,808	\$0	\$0	\$1,021,808	\$1,021,808
Finance Charges	\$5,056,838	\$6,137,156	\$10,679	\$3,870,223	\$2,266,933	\$6,137,156
Contingency	\$276,970,649	\$147,134,595	N/A	N/A	\$74,764,862	\$74,764,862
Forecasted Costs and Changes	\$0	\$0	N/A	N/A	\$72,369,733	\$72,369,733
ELECTRIFICATION SUBTOTAL	\$1,316,125,208	\$1,316,125,208	\$10,604,859	\$724,645,724	\$591,479,484	\$1,316,125,208

Notes regarding tables above:

1. Column B "Current Budget" includes executed change orders and awarded contracts.
2. Column C "Cost This Month" represents the cost of work performed this month.
3. Column D "Cost To Date" includes actuals (amount paid) and accruals (amount of work performed) to date.
4. Cost To Date for "Electrification" includes 5% for Contractor's retention until authorization of retention release.
5. The agency labor is actual through March 2020 and accrued for April 2020.

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Table 8-2 EMU Budget & Expenditure Status

Description of Work	Budget (A)	Current Budget (B) ¹	Cost This Month (C) ²	Cost To Date (D) ³	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
EMU						
EMU	\$550,899,459	\$554,659,915	\$7,394,240	\$165,951,562	\$388,708,353	\$554,659,915
CEMOF Modifications	\$1,344,000	\$6,654,353	\$536,470	\$2,999,433	\$3,654,920	\$6,654,353
Management Oversight ⁽⁴⁾	\$64,139,103	\$62,557,957	\$648,645	\$43,386,787	\$19,171,170	\$62,557,957
Executive Management	\$5,022,302	\$6,263,136	\$73,046	\$5,085,615	\$1,177,521	\$6,263,136
Community Relations	\$1,685,614	\$985,614	\$3,338	\$653,447	\$332,167	\$985,614
Safety & Security	\$556,067	\$765,296	\$17,219	\$550,488	\$214,808	\$765,296
Project Mgmt Services	\$13,275,280	\$11,275,280	\$75,832	\$8,268,274	\$3,007,006	\$11,275,280
Eng & Construction	\$89,113	\$89,113	\$0	\$23,817	\$65,296	\$89,113
EMU Eng & Mgmt	\$32,082,556	\$29,981,014	\$307,094	\$20,026,130	\$9,954,883	\$29,981,014
Construction Management	\$0	\$1,501,543	\$74,803	\$639,964	\$861,579	\$1,501,543
IT Support	\$1,027,272	\$952,089	\$12,090	\$614,746	\$337,344	\$952,089
Operations Support	\$1,878,589	\$1,878,589	\$11,601	\$385,341	\$1,493,248	\$1,878,589
General Support	\$2,599,547	\$2,599,547	\$32,597	\$2,395,962	\$203,585	\$2,599,547
Budget / Grants / Finance	\$712,123	\$1,012,123	\$1,415	\$899,431	\$112,692	\$1,012,123
Legal	\$1,207,500	\$1,251,473	\$1,353	\$1,234,220	\$17,253	\$1,251,473
Other Direct Costs	\$4,003,139	\$4,003,139	\$38,256	\$2,609,351	\$1,393,788	\$4,003,139
TASI Support	\$2,740,000	\$2,789,493	\$13,958	\$142,699	\$2,646,794	\$2,789,493
Insurance	\$0	\$38,263	\$0	\$38,263	\$0	\$38,263
Required Projects	\$4,500,000	\$3,927,821	\$0	\$538,280	\$3,389,541	\$3,927,821
Finance Charges	\$1,941,800	\$3,761,482	\$6,545	\$2,372,072	\$1,389,410	\$3,761,482
Contingency	\$38,562,962	\$29,738,041	N/A	N/A	\$25,921,009	\$25,921,009
Forecasted Costs and Changes	\$0	\$0	N/A	N/A	\$3,817,032	\$3,817,032
EMU SUBTOTAL	\$664,127,325	\$664,127,325	\$8,599,858	\$215,429,095	\$448,698,230	\$664,127,325

Notes regarding tables above:

1. Column B "Current Budget" includes executed change orders and awarded contracts.
2. Column C "Cost This Month" represents the cost of work performed this month.
3. Column D "Cost To Date" includes actuals (amount paid) and accruals (amount of work performed) to date.
4. The agency labor is actual through March 2020 and accrued for April 2020.

Table 8-3 PCEP Budget & Expenditure Status

Description of Work	Budget (A)	Current Budget (B) ¹	Cost This Month (C) ²	Cost To Date (D) ³	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
Electrification Subtotal	\$1,316,125,208	\$1,316,125,208	\$10,604,859	\$724,645,724	\$591,479,484	\$1,316,125,208
EMU Subtotal	\$664,127,325	\$664,127,325	\$8,599,858	\$215,429,095	\$448,698,230	\$664,127,325
PCEP TOTAL	\$1,980,252,533	\$1,980,252,533	\$19,204,717	\$940,074,818	\$1,040,177,714	\$1,980,252,533

Notes regarding tables above:

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

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

Description of Work	Budget (A)	Current Budget (B) ¹	Cost This Month (C) ²	Cost To Date (D) ³	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
CHSRA Early Pole Relocation	\$1,000,000	\$1,000,000	\$26,333	\$941,706	\$58,294	\$1,000,000
PS-3 Relocation (Design)	\$500,000	\$500,000	\$0	\$150,000	\$350,000	\$500,000
TPSS-2 VTA/PCEP Pole Relocation (Design)	\$110,000	\$110,000	\$0	\$93,500	\$16,500	\$110,000
TPSS-2 VTA/PCEP Pole Height (Redesign)	\$31,000	\$31,000	\$0	\$0	\$31,000	\$31,000
EMU Option Cars	\$172,800,047	\$172,800,047	\$0	\$53,292,490	\$119,507,557	\$172,800,047
Add Flip-Up Seats into Bike Cars	\$1,961,350	\$1,961,350	\$0	\$980,675	\$980,675	\$1,961,350
CNPA TOTAL	\$176,402,397	\$176,402,397	\$26,333	\$55,458,372	\$120,944,025	\$176,402,397

Notes regarding tables above:

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

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

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

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

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

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

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

Table 8-5 Budget Transfers of Contingency

Transfer	Description	Contingency¹
ELECTRIFICATION		
BBI-CCO-077A	Contaminated Soil (Class 1) at TPS-1	\$701,780
BBI-CCO-066B	Increase Quantity for Contaminated Soils (Bid Item #1)	\$926,273
BBI-CCO-090A	Signal Cable Relocation (Field Order No. 340)	\$47,258
BBI-CCO-091A	Signal Cable Relocation (Field Order No. 340)	\$131,663
BBI-CCO-080A	Steel Plates to Protect Utilities (DTDS)	\$135,128
BBI-CCO-081A	Steel Plates to Protect Utilities (DTDS)	\$95,474
BBI-CCO-071	Increase Quantity for Tree Pruning (Bid Unit Price Item #4d)	\$375,000
BT-005B	Budget Allocation for Jacobs CM Services for FY20 #2	\$1,709,168
BT-028A	RSE Utility Locating Support for FY20	\$566,667
BT-027A	Legal Support FY20 #1	\$2,310,085
PG&E-BT-002	PG&E Interconnect Construction Supplemental Agreement No 2 Amemdment No 2	\$25,000,000
	ELECTRIFICATION SUBTOTAL	\$31,998,496
EMU		
Stadler-CCO-025	Removal of Vandal Film from Windows	(\$374,994)
BT-027A	Legal Support FY20 #1	\$43,973
	EMU SUBTOTAL	(\$331,021)
	PCEP TOTAL	\$31,667,475

Notes regarding tables above:

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

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

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

9.0 CHANGE MANAGEMENT

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

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

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

Executed Contract Change Orders (CCO) This Month

Electrification Contract

Change Order Authority (5% of BBII Contract)			5% x \$696,610,558 = \$34,830,528
Date	Change Number	Description	CCO Amount
4/21/2020	BBI-053-CCO-077A	Contaminated Soil (Class 1) at TPS-1	\$701,780
4/27/2020	BBI-053-CCO-066B	Increase Quantity for Contaminated Soils (Bid Item #1)	\$926,273
4/27/2020	BBI-053-CCO-090A	Signal Cable Relocation (Field Order No. 340)	\$47,258
4/27/2020	BBI-053-CCO-091A	Signal Cable Relocation (Field Order No. 340)	\$131,663
4/29/2020	BBI-053-CCO-080A	Steel Plates to Protect Utilities (DTDS)	\$135,128
4/29/2020	BBI-053-CCO-081A	Steel Plates to Protect Utilities (DTDS)	\$95,474
4/29/2020	BBI-053-CCO-071	Increase Quantity for Tree Pruning (Bid Unit Price Item #4d)	\$375,000
Total			\$2,412,576

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

EMU Contract

Change Order Authority (5% of Stadler Contract)			5% x \$550,899,459 = \$27,544,973
Date	Change Number	Description	CCO Amount
4/21/2020	STA-056-CCO-025	Removal of Vandal Film from Windows	(\$374,994)
Total			(\$374,994)

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

SCADA Contract

Change Order Authority (15% of ARINC Contract)			15% x \$3,446,917 = \$517,038
Date	Change Number	Description	CCO Amount
	None		\$0
Total			\$0

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

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Tunnel Modification Contract

Change Order Authority (10% of ProVen Contract)²

10% x \$38,477,777 = \$3,847,778

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

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

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

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

CEMOF Contract

Change Order Authority (10% of ProVen Contract)

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

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

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

Amtrak AEM-7 Contract

Change Order Authority (Lump Sum)

Up to \$150,000

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

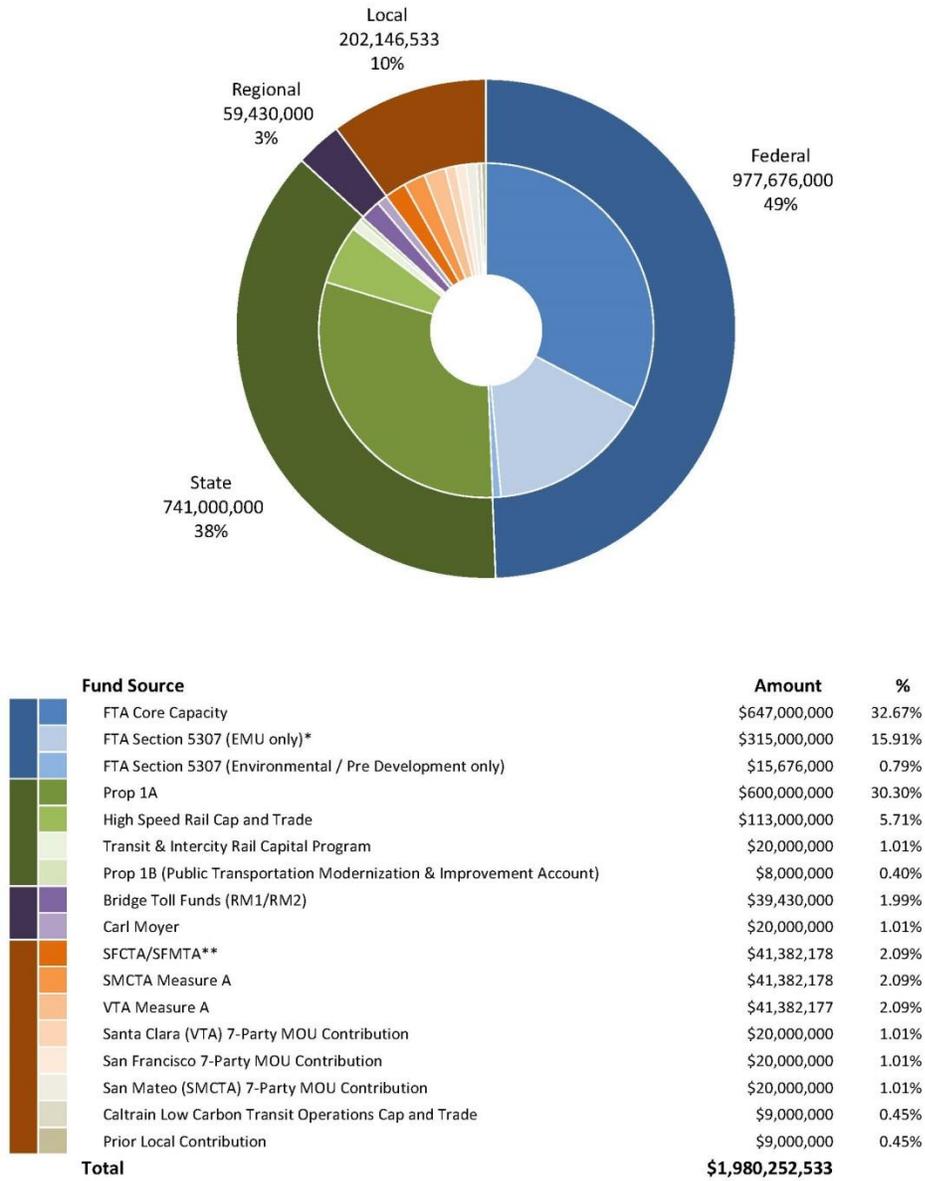
Notes:

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

10.0 FUNDING

Figure 10-1 depicts a summary of the funding plan for the PCEP. It provides a breakdown of the funding partners as well as the allocated funds. In the last month, staff was working with MTC and FTA to award \$97 million in Section 5307 funding as well as the next \$100 million in Core Capacity funding for the project.

Figure 10-1 Funding Plan



Notes:

*Includes necessary fund transfer with SMCTA

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

11.0 RISK MANAGEMENT

The risk management process is conducted in an iterative fashion throughout the life of the project. During this process, new risks are identified, other risks are resolved or managed, and potential impacts and severity modified based on the current situation. The Risk Management team's progress report includes a summary on the effectiveness of the Risk Management Plan, any unanticipated effects, and any correction needed to handle the risk appropriately.

The Risk Management team meets monthly to identify risks and corresponding mitigation measures. Each risk is graded based on the potential cost and schedule impacts they could have on the project. This collection of risks has the greatest potential to affect the outcome of the project and consequently is monitored most closely. For each of the noted risks, as well as for all risks on the risk register, mitigation measures have been identified and are being implemented. Progress in mitigating these risks is confirmed at monthly risk assessment meetings attended by project team management and through continuous monitoring of the Risk Management Lead.

The team has identified the following items as top risks for the project (see Appendix F for the complete Risk Table):

1. The contractor may not complete and install signal design including two-speed check (2SC) modifications within budget and schedule.
2. Extent of differing site conditions and associated redesign efforts results in delays to the completion of the electrification contract and increases program costs.
3. Sub-optimal contractor sequencing, when progressing design and clearing foundation locations may result in construction inefficiencies.
4. Additional property acquisition is necessitated by change in design.
5. TASI may not have sufficient number of signal maintainers for testing.
6. Contractor generates hazardous materials that necessitate proper removal and disposal in excess of contract allowances and expectations.
7. Rejection of Design Variance Request for Automatic Transformer Feeder and static wires results in cost and schedule impacts to PCEP.
8. Potential for Stadler's sub-suppliers to fall behind schedule or delays in parts supply chain result in late completion of vehicles.
9. Major program elements may not be successfully integrated with existing operations and infrastructure in advance of revenue service.
10. Property not acquired in time for contractor to do work.
11. Collaboration across multiple disciplines to develop a customized rail activation program may fail to comprehensively address the full scope of issues required to operate and maintain an electrified railroad and decommission the current diesel fleet.

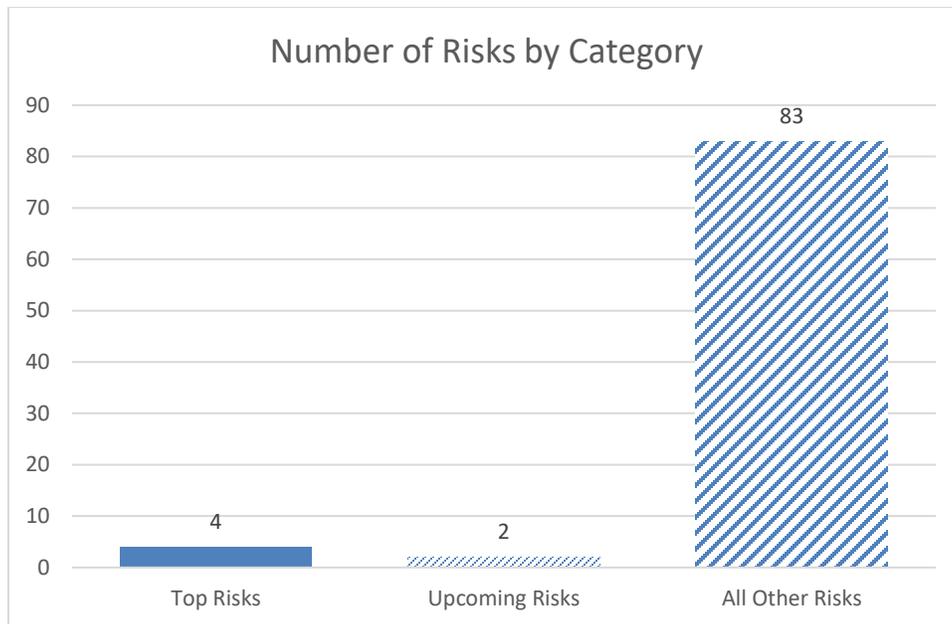
Activity This Month

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

- Updated risk retirement dates based upon revisions to the project schedule and input from risk owners.
- Continued weekly monitoring of risk mitigation actions and publishing of the risk register.
- The Risk Management team attended Project Delivery, Electrification, and Systems Integration meetings to monitor developments associated with risks and to identify new risks.
- Conducted risk refresh workshop of full risk register.
- Summarized cost of risk analysis in summary document.
- Participated in Rail Activation Committee risk workshop.

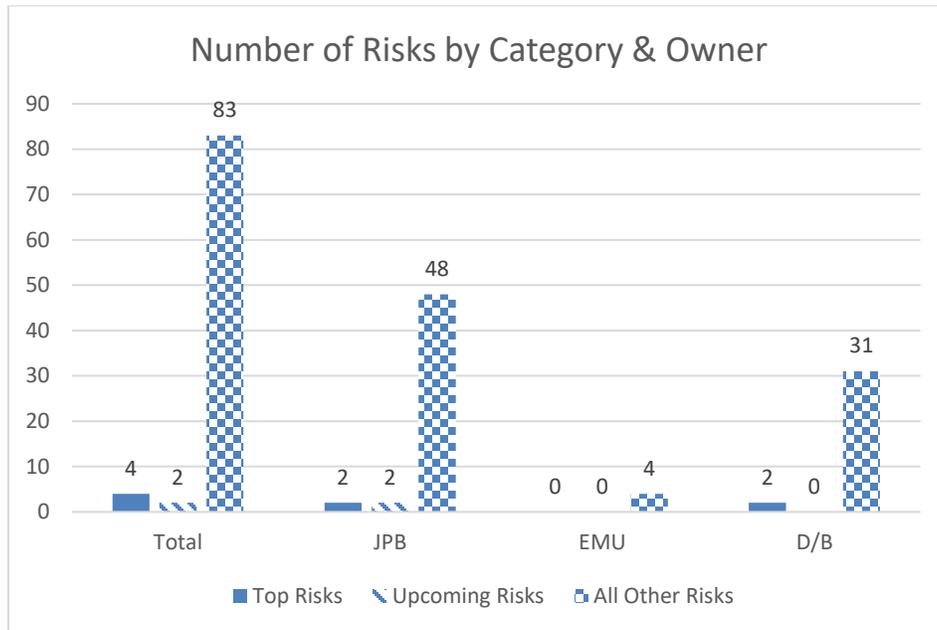
Figures 11-1 and 11-2 show the risks identified for the program. Risks are categorized as top risk, upcoming risk, and all other risks. The categories are based on a rating scale composed of schedule and cost factors. Top risks are considered to have a significantly higher than average risk grade. Upcoming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

Figure 11-1 Monthly Status of Risks



Total Number of Active Risks = 89

Figure 11-2 Risk Classification



Total Number of Active Risks = 89

Activity Next Month

- Conduct weekly monitoring of risk mitigation actions and continue publishing risk register.
- Update risk descriptions, effects, mitigations and retirement dates based on weekly monitoring and attendance at key project meetings.
- Convene Risk Assessment Committee meeting.
- Complete risk analysis summary report.
- Advance Rail Activation risk register.

12.0 ENVIRONMENTAL

12.1. Permits

The PCEP has obtained the required environmental permits from the following agencies/federal regulations: Section 106 of the National Historic Preservation Act of 1966 (NHPA), Section 7 of the Endangered Species Act (ESA), United States Army Corps of Engineers, San Francisco Bay Regional Water Quality Control Board (SFWQCB), the California Department of Fish and Wildlife, and the San Francisco Bay Conservation Development Commission.

Activity This Month

- None

Activity Next Month

- None

12.2. Mitigation Monitoring and Reporting Program (MMRP)

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

Activity This Month

- Environmental compliance monitors were present during project activities (OCS pole foundation installation, potholing for utility location, grading, tree trimming/removal, conduit installation, abandoned signal cable removal) occurring in areas that required environmental compliance monitoring. The monitoring was conducted in accordance with measures in the MMRP in an effort to minimize potential impacts on sensitive environmental resources.
- Noise and vibration monitoring also occurred during project activities, and non-hazardous soil was removed from the right of way (ROW).
- Environmentally Sensitive Area (ESA) delineation (staking and/or fencing) occurred to delineate jurisdictional waterways and other potentially sensitive areas that should be avoided during upcoming construction activities. Pre-construction nesting bird surveys during the nesting bird season continued (nesting bird season is defined as February 1 through September 15), and protocol-level surveys for a sensitive avian species continued at previously identified potential habitat locations. Wildlife exclusion fencing installation and monitoring occurred adjacent to portions of the alignment designated for wildlife exclusion fencing. Protocol-level surveys for a sensitive avian species were initiated at previously identified potential habitat locations.

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- Best management practices (BMPs) installation and maintenance (e.g., silt fencing, straw wattles with no monofilament netting per wildlife agency permit requirements, soil covers, etc.) occurred at equipment staging areas and other work areas throughout the alignment in accordance with the project-specific Stormwater Pollution Prevention Plan (SWPPP). In addition, an asbestos pipe was safely removed and disposed of by a certified asbestos contractor, under the supervision of a certified asbestos consultant.

Activity Next Month

- Environmental compliance monitors will continue to monitor project activities (OCS pole foundation installation, pot holing for utility location, tree trimming/removal, conduit installation, utility removal, abandoned signal cable removal, etc.) occurring in areas that require environmental compliance monitoring in an effort to minimize potential impacts on sensitive environmental resources in accordance with the MMRP.
- Noise and vibration monitoring of project activities will continue to occur and non-hazardous soil will continue to be removed.
- Biological surveyors will continue to conduct pre-construction surveys for sensitive wildlife species ahead of project activities. Pre-construction nesting bird surveys during the nesting bird season will continue (nesting bird season is defined as February 1 through September 15), and protocol-level surveys for sensitive avian species will continue for the 2020 breeding season at previously identified potential habitat locations. BMPs.
- BMPs installation will continue in accordance with the project-specific SWPPP, and ESA staking and fencing will continue to occur, to delineate jurisdictional waterways, and other potentially sensitive areas, that should be avoided during upcoming project activities.
- Wildlife exclusion fencing will continue to be installed and maintained prior to upcoming construction activities adjacent to potentially suitable habitat for sensitive wildlife species.
- In accordance with the specifications provided by a certified Asbestos Consultant during the previous reporting periods, the removal and disposal of subsurface piping by a certified Asbestos Contractor, as well as the associated monitoring by the certified Asbestos Consultant, is anticipated to occur next reporting period.

13.0 UTILITY RELOCATION

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

Activity This Month

- Worked with all utilities on review of overhead utility line relocations based on the current design.
- Coordinated with individual utility companies on relocation plans and schedule for incorporation with Master Program Schedule.
- Coordinated work with communications utilities on review of relocation design and prioritization of relocations.
- Continued to coordinate relocation work for SVP and Palo Alto Power facilities. Palo Alto is projecting to complete their relocations in September of 2020.
- Continued to coordinate relocation by communication cable owners such as AT&T and Comcast.
- Conducted utility coordination meeting to discuss overall status and areas of potential concern from the utilities.

Activity Next Month

- Coordinate with individual utility owners on the next steps of relocations, including support of any required design information.
- Update the relocation schedule as information becomes available from the utility owners.
- Continue to review relocation design SVP, Palo Alto Power, and communications companies and coordinate relocation field work.
- Continue communication relocations in all Segments.
- Continue SVP and Palo Alto Power relocations in Segment 3.

14.0 REAL ESTATE

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

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

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

- Staff has defined a process to ensure that BBII conveys new needs as soon as possible.
 - BBII must justify and JPB must approve all new parcels.
- Design needs to progress to enable BBII to identify exact acquisition areas.
- Staff is conducting pre-acquisition activities as appropriate.
- JPB has approved four new parcels to date.

Activity This Month

- Reached settlement agreement with Willowbend Apartment's legal counsel.
- Staff continues to review potential new pole locations and provide feedback to the design team.
- Staff continues to work with PCEP's internal signal team and BBII signal team to determine potential Real Estate interests.
- Staff completed review of all potential ESZs in Segments 3 and 4 and started review of Segment 2. This process has identified a handful of potential ESZ acquisitions to discuss with the contractor.
- Finalized ESZ requirements for KB Homes to confirm acquisition area to make First Written Offer to KB Homes and Google.
- Discussed pre-acquisition possession terms with Google.
- Submitted Diridon Hospitality Resolution of Necessity (RON) package to VTA for their review.
- Completed appraisal of PG&E property and engaged in discussions for early acquisition.
- Finalized appraisal map for Britannia Gateway, and achieved PG&E approval.

Activity Next Month

- Continue to negotiate for all open parcels.
- Continue review of ESZ needs and work with BBII to finalize.
- Continue to meet with internal signal team and BBII signal team to determine potential Real Estate needs.
- Make offer to PG&E and negotiate for early possession.
- Continue negotiations with Diridon Hospitality and prepare for VTA June board meeting to approve the RON.
- Work with Britannia Gateway for potholing access. Establish contact with Britannia Gateway.
- Make offers on the parcel for which appraisals have been completed.
- Actively participate in Foundation/Pothole and Gannett Fleming weekly meetings.
- Continue to work with project team to identify and analyze new potential parcels and thereafter newly identified parcels.

15.0 THIRD PARTY AGREEMENTS

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

Table 15-1 Third-Party Agreement Status

Type	Agreement	Third-Party	Status
Governmental Jurisdictions	Construction & Maintenance ¹	City & County of San Francisco	Executed
		City of Brisbane	Executed
		City of South San Francisco	Executed
		City of San Bruno	Executed
		City of Millbrae	Executed
		City of Burlingame	Executed
		City of San Mateo	Executed
		City of Belmont	Executed
		City of San Carlos	Executed
		City of Redwood City	Executed
		City of Atherton	In Process
		County of San Mateo	Executed
		City of Menlo Park	Executed
		City of Palo Alto	Executed
		City of Mountain View	Executed
		City of Sunnyvale	Executed
		City of Santa Clara	Executed
	County of Santa Clara	Executed	
	City of San Jose	Executed	
	Condemnation Authority	San Francisco	In Process
San Mateo		Executed	
Santa Clara		Executed	
Utilities	Infrastructure	PG&E	Executed
	Operating Rules	CPUC	Executed
Transportation & Railroad	Construction & Maintenance	Bay Area Rapid Transit	Executed ²
	Construction & Maintenance	California Dept. of Transportation (Caltrans)	Not needed ³
	Trackage Rights	UPRR	Executed ²

Notes regarding table above:

1. Agreements memorialize the parties' consultation and cooperation, designate respective rights and obligations and ensure cooperation between the JPB and the 17 cities and three counties along the Caltrain ROW and within the PCEP limits in connection with the design and construction of the PCEP.
2. Utilizing existing agreements.
3. Caltrans Peer Process utilized. Formal agreement not needed.

16.0 GOVERNMENT AND COMMUNITY AFFAIRS

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

Presentations/Meetings

- Redwood City Chamber

Third Party/Stakeholder Actions

- None

17.0 DISADVANTAGED BUSINESS ENTERPRISE (DBE) PARTICIPATION AND LABOR STATISTICS

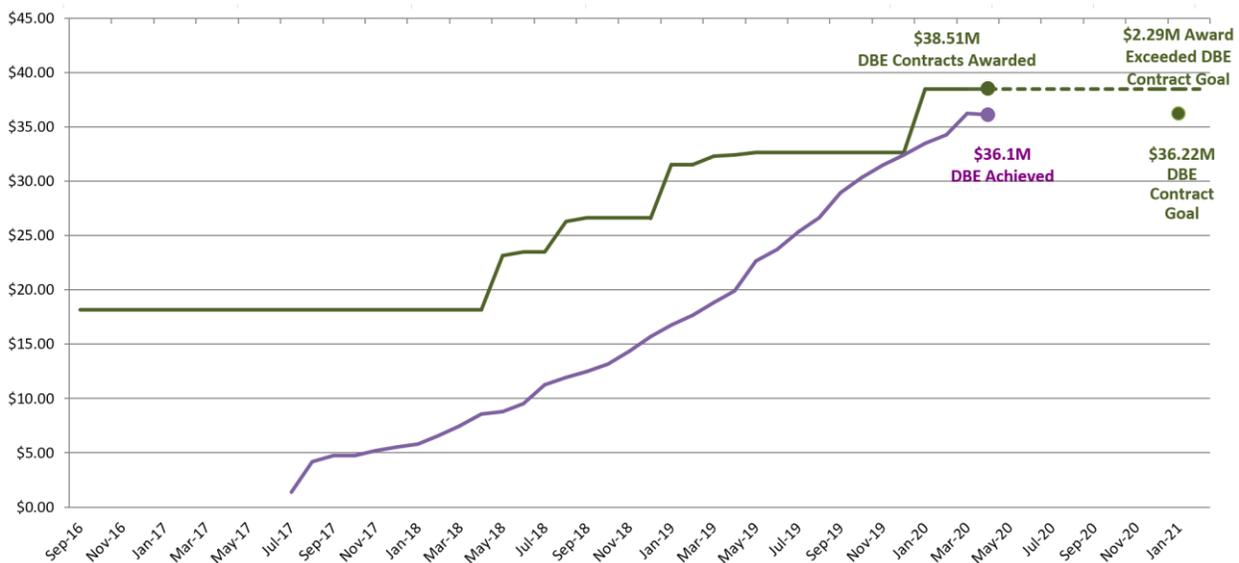
BBII proposed that 5.2% (\$36,223,749) of the total DB base contract value (\$696,610,558) would be subcontracted to DBEs.

Activity This Month

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

- **\$36,126,546** has been paid to DBE subcontractors.
- BBII reports that \$38.51 million of DBE contracts have been awarded (to be verified).
- **5.186%** has been achieved.

Figure 17-1 DBE Participation



Activity Next Month

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

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

18.0 PROCUREMENT

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

- None

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

- None

Contract Awards this Month:

- None

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

- Multiple WDs & POs issued to support the program needs

In Process IFB/RFQ/RFP/Contract Amendments:

- None

Upcoming Contract Awards/Contract Amendments:

- Contract Amendment – On-Call Program Management Services for CalMod
- Contract Amendment – On-Call Electrification Support Services for CalMod

Upcoming IFB/RFQ/RFP to be Issued:

- RFQ – Scissor Lift Work Platform

Existing Contracts Amendments Issued:

- None

19.0 TIMELINE OF MAJOR PROJECT ACCOMPLISHMENTS

Below is a timeline showing major project accomplishments from 2001 to 2017:

Date	Milestone
2001	Began federal National Environmental Policy Act (NEPA) Environmental Assessment (EA) / state EIR clearance process
2002	Conceptual Design completed
2004	Draft NEPA EA/EIR
2008	35% design complete
2009	Final NEPA EA/EIR and Finding of No Significant Impact (FONSI)
2014	RFQ for electrification RFI for EMU
2015	JPB approves final CEQA EIR JPB approves issuance of RFP for electrification JPB approves issuance of RFP for EMU Receipt of proposal for electrification FTA approval of Core Capacity Project Development
2016	JPB approves EIR Addendum #1: PS-7 FTA re-evaluation of 2009 FONSI Receipt of electrification best and final offers Receipt of EMU proposal Application for entry to engineering to FTA Completed the EMU Buy America Pre-Award Audit and Certification Negotiations completed with Stadler for EMU vehicles Negotiations completed with BBII, the apparent best-value electrification firm JPB approves contract award (LNTP) to BBII JPB approves contract award (LNTP) to Stadler FTA approval of entry into engineering for the Core Capacity Program Application for FFGA
2017	FTA finalized the FFGA for \$647 million in Core Capacity funding, met all regulatory requirements including end of Congressional Review Period (February) FTA FFGA executed, committing \$647 million to the project (May) JPB approves \$1.98 billion budget for PCEP (June) Issued NTP for EMUs to Stadler (June 1) Issued NTP for electrification contract to BBII (June 19) Construction began (August) EMU manufacturing began (October) Issued NTP for SCADA to Rockwell Collins (ARINC) (October) Issued NTP for CEMOF Facility Upgrades to HNTB (November)

Peninsula Corridor Electrification Project
Monthly Progress Report

Date	Milestone
2018	Completed all PG&E agreements JPB approves contract award to Mitsui for the purchase of electric locomotives and Amtrak for overhaul services, storage, acceptance testing, training, and shipment of locomotive to CEMOF JPB approves authorization for the Executive Director to negotiate final contract award to ProVen for tunnel modifications and track rehabilitation project JPB approves contract award (LNTP) to ProVen for tunnel modifications Issued NTP to ProVen for tunnel modifications (October) Amended contract with ProVen to include OCS in the tunnels (November)
2019	JPB approves contract award to ProVen for CEMOF modifications (February) JPB approves LNTP to ProVen for CEMOF modifications (April) JPB approves NTP to ProVen for CEMOF modifications (September)
2020	JPB approves agreement amendment to PG&E for interconnection construction

APPENDICES

Appendix A – Acronyms

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

Peninsula Corridor Electrification Project
Monthly Progress Report

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

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

Appendix B – Funding Partner Meetings

Funding Partner Meeting Representatives
Updated April 21, 2020

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

Appendix C – Schedule

Appendix D – Standard Cost Codes

Peninsula Corridor Electrification Project Monthly Progress Report

Description of Work	FFGA Baseline Budget (A)	Approved Budget (B)	Cost This Month (C)	Cost To Date (D)	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
10 - GUIDEWAY & TRACK ELEMENTS	\$14,256,739	\$27,308,610	\$17,860	\$24,937,345	\$2,844,760	\$27,782,105
10.02 Guideway: At-grade semi-exclusive (allows cross-traffic)	\$2,500,000	\$2,500,000	\$17,860	\$129,453	\$2,370,547	\$2,500,000
10.07 Guideway: Underground tunnel	\$8,110,649	\$24,808,610	(\$0)	\$24,807,892	\$474,213	\$25,282,105
10.07 Allocated Contingency	\$3,646,090	\$0	\$0	\$0	\$0	\$0
30 - SUPPORT FACILITIES: YARDS, SHOPS, ADMIN. BLDGS	\$2,265,200	\$6,654,353	\$536,470	\$2,999,433	\$4,895,272	\$7,894,705
30.03 Heavy Maintenance Facility	\$1,344,000	\$6,654,353	\$536,470	\$2,999,433	\$4,895,272	\$7,894,705
30.03 Allocated Contingency	\$421,200	\$0	\$0	\$0	\$0	\$0
30.05 Yard and Yard Track	\$500,000	\$0	\$0	\$0	\$0	\$0
40 - SITEWORK & SPECIAL CONDITIONS	\$255,072,402	\$270,728,484	\$4,848,458	\$172,099,895	\$101,851,246	\$273,951,140
40.01 Demolition, Clearing, Earthwork	\$3,077,685	\$3,077,685	\$1,254,000	\$5,330,000	(\$2,252,315)	\$3,077,685
40.02 Site Utilities, Utility Relocation	\$62,192,517	\$93,328,599	\$817,527	\$81,928,728	\$12,399,871	\$94,328,599
40.02 Allocated Contingency	\$25,862,000	(\$0)	\$0	\$0	(\$0)	(\$0)
40.03 Haz. mat'l, contam'd soil removal/mitigation, ground water treatments	\$2,200,000	\$4,923,924	\$1,628,052	\$6,378,052	(\$1,454,128)	\$4,923,924
40.04 Environmental mitigation, e.g. wetlands, historic/archeologic, parks	\$32,579,208	\$32,954,208	\$38,250	\$1,943,370	\$31,010,838	\$32,954,208
40.05 Site structures including retaining walls, sound walls	\$568,188	\$568,188	\$0	\$0	\$568,188	\$568,188
40.06 Pedestrian / bike access and accommodation, landscaping	\$804,933	\$764,933	\$0	\$0	\$764,933	\$764,933
40.07 Automobile, bus, van accessways including roads, parking lots	\$284,094	\$284,094	\$0	\$0	\$284,094	\$284,094
40.08 Temporary Facilities and other indirect costs during construction	\$107,343,777	\$114,216,852	\$1,110,629	\$76,519,744	\$41,090,812	\$117,610,556
40.08 Allocated Contingency	\$20,160,000	\$20,610,000	\$0	\$0	\$19,438,953	\$19,438,953
50 - SYSTEMS	\$504,445,419	\$522,921,080	\$3,820,001	\$164,225,721	\$373,755,092	\$537,980,812
50.01 Train control and signals	\$97,589,149	\$100,749,268	\$3,638,312	\$31,594,586	\$70,046,220	\$101,640,805
50.01 Allocated Contingency	\$1,651,000	\$0	\$0	\$0	\$0	\$0
50.02 Traffic signals and crossing protection	\$23,879,905	\$23,879,905	\$0	\$0	\$23,879,905	\$23,879,905
50.02 Allocated Contingency	\$1,140,000	\$1,140,000	\$0	\$0	\$1,140,000	\$1,140,000
50.03 Traction power supply: substations	\$69,120,009	\$97,744,787	\$1,825,778	\$34,627,756	\$63,354,326	\$97,982,082
50.03 Allocated Contingency	\$31,755,013	\$2,990,895	\$0	\$0	\$2,763,958	\$2,763,958
50.04 Traction power distribution: catenary and third rail	\$253,683,045	\$276,175,519	(\$1,644,090)	\$97,945,389	\$204,900,086	\$302,845,476
50.04 Allocated Contingency	\$18,064,000	\$12,677,408	\$0	\$0	\$165,288	\$165,288
50.05 Communications	\$5,455,000	\$5,455,000	\$0	\$57,989	\$5,397,011	\$5,455,000
50.07 Central Control	\$2,090,298	\$2,090,298	\$0	\$0	\$2,090,298	\$2,090,298
50.07 Allocated Contingency	\$18,000	\$18,000	\$0	\$0	\$18,000	\$18,000
60 - ROW, LAND, EXISTING IMPROVEMENTS	\$35,675,084	\$35,675,084	\$48,139	\$19,000,340	\$16,674,745	\$35,675,084
60.01 Purchase or lease of real estate	\$25,927,074	\$25,927,074	\$48,139	\$18,871,765	\$7,055,309	\$25,927,074
60.01 Allocated Contingency	\$8,748,010	\$8,748,010	\$0	\$0	\$8,748,010	\$8,748,010
60.02 Relocation of existing households and businesses	\$1,000,000	\$1,000,000	\$0	\$128,574	\$871,426	\$1,000,000
70 - VEHICLES (96)	\$625,544,147	\$624,682,944	\$7,972,212	\$202,926,356	\$420,299,935	\$623,226,291
70.03 Commuter Rail	\$589,167,291	\$591,396,094	\$7,972,212	\$202,388,076	\$391,584,698	\$593,972,774
70.03 Allocated Contingency	\$9,472,924	\$6,455,098	\$0	\$0	\$2,421,765	\$2,421,765
70.06 Non-revenue vehicles	\$8,140,000	\$8,067,821	\$0	\$538,280	\$7,529,541	\$8,067,821
70.07 Spare parts	\$18,763,931	\$18,763,931	\$0	\$0	\$18,763,931	\$18,763,931
80 - PROFESSIONAL SERVICES (applies to Cats. 10-50)	\$323,793,010	\$333,280,065	\$1,944,352	\$298,061,837	\$56,019,794	\$354,081,632
80.01 Project Development	\$130,350	\$130,350	\$0	\$280,180	(\$149,830)	\$130,350
80.02 Engineering (not applicable to Small Starts)	\$180,227,311	\$188,028,865	\$225,138	\$195,668,453	(\$3,572,198)	\$192,096,255
80.02 Allocated Contingency	\$1,866,000	(\$74,955)	\$0	\$0	\$21,942	\$21,942
80.03 Project Management for Design and Construction	\$72,029,265	\$74,932,188	\$1,070,846	\$75,357,909	\$22,866,642	\$98,224,551
80.03 Allocated Contingency	\$9,388,080	\$8,000,396	\$0	\$0	(\$0)	(\$0)
80.04 Construction Administration & Management	\$23,677,949	\$27,056,839	\$644,402	\$17,029,245	\$21,026,275	\$38,055,520
80.04 Allocated Contingency	\$19,537,000	\$16,158,109	\$0	\$0	\$5,159,428	\$5,159,428
80.05 Professional Liability and other Non-Construction Insurance	\$3,500,000	\$4,581,851	\$0	\$4,581,851	\$0	\$4,581,851
80.06 Legal; Permits; Review Fees by other agencies, cities, etc.	\$7,167,275	\$8,651,684	\$3,966	\$5,104,341	\$4,892,656	\$9,996,996
80.06 Allocated Contingency	\$556,000	\$0	\$0	\$0	\$0	\$0
80.07 Surveys, Testing, Investigation, Inspection	\$3,287,824	\$3,388,781	\$0	\$39,858	\$3,348,923	\$3,388,781
80.08 Start up	\$1,797,957	\$1,797,957	\$0	\$0	\$1,797,957	\$1,797,957
80.08 Allocated Contingency	\$628,000	\$628,000	\$0	\$0	\$628,000	\$628,000
Subtotal (10 - 80)	\$1,761,052,001	\$1,821,250,620	\$19,187,492	\$884,250,925	\$976,340,844	\$1,860,591,769
90 - UNALLOCATED CONTINGENCY	\$162,620,295	\$99,521,675	\$0	\$0	\$60,180,527	\$60,180,527
Subtotal (10 - 90)	\$1,923,672,296	\$1,920,772,296	\$19,187,492	\$884,250,925	\$1,036,521,371	\$1,920,772,296
100 - FINANCE CHARGES	\$6,998,638	\$9,898,638	\$17,224	\$6,242,295	\$3,656,343	\$9,898,638
Total Project Cost (10 - 100)	\$1,930,670,934	\$1,930,670,934	\$19,204,717	\$890,493,220	\$1,040,177,714	\$1,930,670,934

Appendix E – Change Order Logs

Peninsula Corridor Electrification Project
Monthly Progress Report

Change Order Authority (5% of BBII Contract)

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

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

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Change Order Authority (5% of BBII Contract)

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

Date	Change Number	Description	CCO Amount	Change Order Authority Usage ¹	Remaining Authority
4/29/2020	BBI-053-CCO-081A	Steel Plates to Protect Utilities (DTDS)	\$95,474	0.27 %	\$18,369,157
4/29/2020	BBI-053-CCO-071	Increase Quantity for Tree Pruning (Bid Unit Price Item #4d)	\$375,000	1.08 %	\$17,994,157
Total			\$34,288,557	48.34 %	\$17,994,157

Notes:

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

EMU Contract

Change Order Authority (5% of Stadler Contract)

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

Date	Change Number	Description	CCO Amount	Change Order Authority Usage ¹	Remaining Authority
09/22/2017	STA-056-CCO 001	Contract General Specification and Special Provision Clean-up	\$0	0.00%	-
10/27/2017	STA-056-CCO 002	Prototype Seats and Special Colors	\$55,000	0.20%	\$27,489,973
11/02/2017	STA-056-CCO 003	Car Level Water Tightness Test	\$0	0.00%	-
12/05/2017	STA-056-CCO-004	Onboard Wheelchair Lift 800 Pound Capacity Provisions	\$848,000	3.08%	\$26,641,973
11/03/2017	STA-056-CCO 005	Design Progression (multiple)	\$0	0.00%	-
12/12/2017	STA-056-CCO 006	Prototype Seats and Special Colors	(\$27,500)	(0.10%)	\$26,669,473
01/17/2018	STA-056-CCO 007	Multi-Color Destination Signs	\$130,760	0.47%	\$26,538,713
02/09/2018	STA-056-CCO-008	Adjustment to Delivery and LDs due to delayed FNTF	\$490,000	0.00% ²	-
02/12/2018	STA-056-CCO-009	Ship Cab Mock-up to Caltrain	\$53,400	0.19%	\$26,485,313
04/17/2018	STA-056-CCO-010	Onboard Wheelchair Lift Locations	(\$1,885,050)	(6.84%)	\$28,370,363
04/17/2018	STA-056-CCO-011	Multiple Change Group 3 and Scale Models	\$0	0.00%	-
10/29/2018	STA-056-CCO-012	Multiple Change Group 4	\$0	0.00%	-
10/29/2018	STA-056-CCO-013	Wheelchair Lift Installation Redesign	\$228,400	0.83%	\$28,141,963
12/14/2018	STA-056-CCO-014	PTC System Change	\$0	0.00%	-
12/22/2018	STA-056-CCO-015	EMU Option Cars	\$172,800,047	0.00% ^{2,3}	-
6/26/2019	STA-056-CCO-016	Testing at TTCI (Pueblo Facility) - First Trainset	\$3,106,428	11.28 %	\$25,035,535
8/27/2019	STA-056-CCO-017	Virtual Reality Experience	\$400,000	1.45 %	\$24,635,535
8/21/2019	STA-056-CCO-018	EMI Conducted Emissions Limits	\$0	0.00%	\$24,635,535
8/8/2019	STA-056-CCO-019	Option Car Payment Milestones	\$0	0.00%	\$24,635,535
8/21/2019	STA-056-CCO-020	Multiple No Cost No Schedule Impact Changes Group 5	\$0	0.00%	\$24,635,535
10/28/2019	STA-056-CCO-021	Plugging of High-Level Doorways	\$736,013	2.67%	\$23,899,523

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Change Order Authority (5% of Stadler Contract)				5% x \$550,899,459 = \$27,544,973	
Date	Change Number	Description	CCO Amount	Change Order Authority Usage¹	Remaining Authority
11/13/2019	STA-056-CCO-022	Add Flip-Up Seats into Bike Cars (CNPA: \$1.96M funded by Non-PCEP)	\$1,961,350	7.12% ³	\$21,938,173
4/21/2020	STA-056-CCO-025	Removal of Vandal Film from Windows	(\$374,994)	(1.36)%	\$22,313,167
Total			\$178,521,853	18.99 %	\$22,313,167

Notes:

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

SCADA Contract

Change Order Authority (15% of ARINC Contract)				15% x \$3,446,917 = \$517,038	
Date	Change Number	Description	CCO Amount	Change Order Authority Usage¹	Remaining Authority
None to date					
Total			\$0	0.00%	\$517,038

Notes:

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

Tunnel Modifications Contract

Change Order Authority (10% of ProVen Contract¹)				10% x \$55,077,777 = \$5,507,778	
Date	Change Number	Description	CCO Amount	Change Order Authority Usage²	Remaining Authority
3/27/2019	PROV-070-CCO-003	Track Access Delay	\$25,350	0.46 %	\$5,482,428
3/27/2019	PROV-070-CCO-004	Additional OCS Potholing Due to Conflict with Existing Utilities	\$70,935	1.29 %	\$5,411,493
3/27/2019	PROV-070-CCO-005	Install Tie Backs and Piles in Boulders at Tunnel 4	\$29,478	0.54 %	\$5,382,015
3/28/2019	PROV-070-CCO-001	Partnering Meetings (50% PCEP)	\$14,443	0.26 % ⁴	\$5,367,572
4/25/2019	PROV-070-CCO-002	Furnish Galvanized E-clips	\$37,239	0.68 %	\$5,330,333
4/30/2019	PROV-070-CCO-006	Additional Rock Bolts and Testing	\$22,549	0.41 %	\$5,307,784
5/23/2019	PROV-070-CCO-013	Late Removal of Leaky Feeder Tunnel 4 (T-4)	\$21,225	0.39 %	\$5,286,559
5/28/2019	PROV-070-CCO-014	OCS Piles Utility Conflict at Tunnel-1 South (T-1S)	\$16,275	0.30 %	\$5,270,284
5/29/2019	PROV-070-CCO-012	OCS Piles Utility Conflict at T-4S	\$6,871	0.12 %	\$5,263,413
5/31/2019	PROV-070-CCO-016A	Portal Structure Detailing Changes	\$84,331	1.53 %	\$5,179,082
6/18/2019	PROV-070-CCO-009	Creosote Ties Covering (CNPA - Drainage \$3,116.00)	\$3,116	0.06 % ⁴	\$5,175,966
6/28/2019	PROV-070-CCO-008	Micropiles at South Tunnel-2 South (T-2S)	\$41,322	0.75 %	\$5,134,644
6/28/2019	PROV-070-CCO-010	Salvage Transition Panels (CNPA - Drainage \$6,144.00)	\$6,144	0.11 % ⁴	\$5,128,500
6/28/2019	PROV-070-CCO-011	Demo PVC and Plug Tunnel-1 South (T-1S) (CNPA - Drainage \$4,035.00)	\$4,035	0.07 % ⁴	\$5,124,465
6/28/2019	PROV-070-CCO-020	Unidentified SD Conflict with Junction Inlet (CNPA - Drainage \$1,976.00)	\$1,976	0.04 % ⁴	\$5,122,489
9/26/2019	PROV-070-CCO-007	Canopy Tube Drilling	\$89,787	1.63%	\$5,032,702

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Change Order Authority (10% of ProVen Contract¹)

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

Date	Change Number	Description	CCO Amount	Change Order Authority Usage ²	Remaining Authority
9/26/2019	PROV-070-CCO-023	Over-excavate Trapezoidal Ditch at T-1N (CNPA - Drainage \$46,914.00)	\$46,914	0.85% ⁴	\$4,985,788
10/4/2019	PROV-070-CCO-029	Additional DryFix Pins	\$105,000	1.91%	\$4,880,788
10/4/2019	PROV-070-CCO-021	Out of Sequence Piles	\$185,857	3.37 %	\$4,694,931
10/30/2019	PROV-070-CCO-017	Hard Piping in T-4 (CNPA - Drainage \$2,200.00)	\$2,200	0.04 % ⁴	\$4,692,731
1/25/2020	PROV-070-CCO-027	Grout Quantity Underrun	(\$1,216,000)	(22.08)%	\$5,908,731
1/29/2020	PROV-070-CCO-026	HMAC Quantity Overrun (CNPA - Drainage \$160,000.00)	\$160,000	2.9 %	\$5,748,731
Total			(\$240,953)	(4.37)%	\$5,748,731

Notes:

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

CEMOF Modifications Contract

Change Order Authority (10% of ProVen Contract)

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

Date	Change Number	Description	CCO Amount	Change Order Authority Usage ¹	Remaining Authority
1/16/2020	PROV-071-CCO-001	Change Casing Size of Siphon Line to Schedule 80 PVC Pipe	\$3,849	0.59 %	\$651,229
1/13/2020	PROV-071-CCO-002	Leakage test for IW line	\$1,339	0.20 %	\$649,890
1/15/2020	PROV-071-CCO-003	Roughen surface of existing concrete	\$3,159	0.48 %	\$646,731
1/9/2020	PROV-071-CCO-004	Change Catch Basin Size from 24"X24" to 36" Round	\$14,415	2.20 %	\$632,316
1/15/2020	PROV-071-CCO-005	Hand Dig around Communication Lines	\$906	0.14 %	\$631,410
1/17/2020	PROV-071-CCO-008	Change Storm Drain Line A Material from 12-inch RCP Pipe to 12-inch PVC Pipe	\$3,583	0.55 %	\$627,827
1/16/2020	PROV-071-CCO-009	Demolition of Existing Exterior Light	\$1,558	0.24 %	\$626,269
2/13/2020	PROV-071-CCO-010	Deletion of Plastic Bollards Around New Inspection Pit	(\$3,324)	(0.51)%	\$629,593
2/13/2020	PROV-071-CCO-011	Fixing Broken Conduit in Concrete Slab North of Maintenance Building	\$4,286	0.65 %	\$625,307
2/13/2020	PROV-071-CCO-012	Epoxy Dowels at New Stairwells	\$3,526	0.54 %	\$621,781
2/13/2020	PROV-071-CCO-013	Deletion of the Removal and Replacement of Pump Disconnect Switches	(\$7,007)	(1.07)%	\$628,788
2/13/2020	PROV-071-CCO-014	Recycled Base Rock for Backfill at Pressurized Water Line at Parts Storage Warehouse	\$1,411	0.22 %	\$627,377
2/20/2020	PROV-071-CCO-015	Cut and Cap Oil Line	\$1,002	0.15 %	\$626,375
2/25/2020	PROV-071-CCO-016	Installation of Homerun Conduit	\$27,404	4.18 %	\$598,971
2/25/2020	PROV-071-CCO-017	Potholing for Boosted Water Line	\$18,476	2.82 %	\$580,495
2/28/2020	PROV-071-CCO-018	Cap Compressed Air Line	\$9,519	1.45 %	\$570,976
2/28/2020	PROV-071-CCO-019	Acoustic Ceiling Removal at Component Test Room	\$4,253	0.65 %	\$566,723

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3/5/2020	PROV-071-CCO-020	Ground Wire Relocation	\$14,117	2.16 %	\$552,606
3/13/2020	PROV-071-CCO-021	Zurn Drain Assembly in Lieu of Fibrelyte	\$1,104	0.17 %	\$551,502
Total			\$103,576	15.81 %	\$551,502

Notes:

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

AMTRAK AEM-7 Contract

Change Order Authority (Lump Sum)			Up to \$150,000		
Date	Change Number	Description	CCO Amount	Change Order Authority Usage¹	Remaining Authority
10/25/2019	AMTK-066-CCO-001	Change to Amtrak Contract for Test Locomotives	(72,179)	(48.12%)	222,179
Total			(72,179)	(48.12%)	\$222,179

Notes:

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

Appendix F – Risk Table

Listing of PCEP Risks and Effects in Order of Severity

ID	RISK DESCRIPTION	EFFECT(S)
314	The contractor may not complete and install signal design including Two-speed check (2SC) modifications within budget and schedule.	Delay and additional cost for rework.
303	Extent of differing site conditions and associated redesign efforts results in delays to the completion of the electrification contract and increases program costs.	<p>Extends construction of design-build contract with associated increase in project costs</p> <ul style="list-style-type: none"> • DSC design cost • Inefficiencies • Construction costs related to DSCs (i.e., larger foundations) • Additional potholing
313	Sub-optimal contractor sequencing, when progressing design and clearing foundation locations may result in construction inefficiencies	Contractor claims for increase in construction and design costs, and reduced production rates extending construction duration
267	Additional property acquisition is necessitated by change in design.	New project costs and delays to schedule.
209	TASI may not have sufficient number of signal maintainers for testing.	<ul style="list-style-type: none"> • Delays to construction/testing. • Delays to completion of infrastructure may delay acceptance of vehicles
273	Contractor generates hazardous materials, that necessitates proper removal and disposal in excess of contract allowances and expectations.	Delay to construction while removing and disposing of hazardous materials resulting in schedule delay, increased construction costs, and schedule delay costs.
308	Rejection of DVR for ATF and static wires results in cost and schedule impacts to PCEP.	Delay and delay claims
010	Potential for Stadler's sub-suppliers to fall behind schedule or delays in parts supply chain result in late completion of vehicles.	<ul style="list-style-type: none"> • Delay in obtaining parts / components. • Cost increases. (See Owner for allocation of costs) • Schedule increase - 3 months (See Owner for allocation of damages associated with this Risk)
223	Major program elements may not be successfully integrated with existing operations and infrastructure in advance of revenue service.	<p>Proposed changes resulting from electrification may not be fully and properly integrated into existing system.</p> <p>Rework resulting in cost increases and schedule delays</p>

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ID	RISK DESCRIPTION	EFFECT(S)
240	<p>Property not acquired in time for contractor to do work.</p> <p>Property Acquisition not complete per contractor availability date</p> <p><>Fee</p> <p><>Easement</p> <p><>Contract stipulates that if parcels are not available by contract date, there is only a delay if parcels are not available by the time contractor completes the Segment</p>	<ul style="list-style-type: none"> • Potential delays in construction schedule
263	<p>Collaboration across multiple disciplines to develop a customized rail activation program may fail to comprehensively address the full scope of issues required to operate and maintain an electrified railroad and decommission the current diesel fleet.</p>	<p>Delay in testing of EMUs. Delay in Revenue Service Date. Additional costs for Stadler and BBII due to overall schedule delays.</p>
318	<p>Change of vehicle suppliers results in additional first article inspections at cost to JPB</p>	<p>PCEP incurs additional cost to validate supplier and product, including repeat FAls as needed</p>
244	<p>Delays to completion of Segment 4 and then the entire alignment would create storage issues and impede the ability to exercise (power up and move) EMUs and delay testing of the delivered EMUs.</p>	<p>Delay claims from the EMU contractor (Stadler) and expiration of the EMU 2 year warranty before putting significant mileage on the EMUs. Inability to exercise EMUs</p>
296	<p>PG&E needs to complete interconnection to be sufficiently complete to accept interim power</p>	<p>Delay in testing and increased costs</p>
319	<p>Failure of BBI to order cages in advance results in delays to foundation installation</p>	<p>Delays in installation of catenary system and additional cost for track protection and oversight.</p>
322	<p>BBII needs to complete traction power substations to be sufficiently complete to accept interim power</p>	<p>Delay in testing and increased costs</p>
013	<p>Vehicle manufacturer could default.</p>	<p>Prolonged delay to resolve issues (up to 12 months)</p> <p>Increase in legal expenses</p> <p>Potential price increase to resolve contract issue</p>
067	<p>Relocation of overhead utilities must precede installation of catenary wire and connections to TPSs. Relocation work will be performed by others and may not be completed to meet BBII's construction schedule.</p>	<p>Delay in progress of catenary installation resulting in claims and schedule delay</p>

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ID	RISK DESCRIPTION	EFFECT(S)
242	Track access does not comply with contract-stipulated work windows.	Contractor claims for delays, schedule delays and associated costs to owner's representative staff.
253	Permits for bridges may not be issued in a timely manner.	Delays to issuance of permit for construction while negotiating and executing an operation and maintenance agreement for equipment installed on bridges; existing bridge deficiencies could result in additional costs to PCEP.
261	Although EMUs meets their electromagnetic emissions limits and wayside signal system track circuits meet their susceptibility requirements there are still compatibility issues leading to improper signal system operation	Changes on the EMU and/or signal system require additional design and installation time and expense.
285	Potential for inflation, (except with respect to Maintenance Option) to increase contractor costs.	Higher cost
286	Potential for wage escalation, (except for Maintenance Option) to increase contractor costs.	Higher cost
309	Potential that vehicles will not receive timely notification from FRA of compliance with acceptable alternate crash management standards	Delays to completion of construction and additional cost to changes in design.
056	Lack of operations personnel for testing.	<ul style="list-style-type: none"> • Testing delayed. • Change order for extended vehicle acceptance.
115	Other capital improvement program projects compete with PCEP for track access allocation and requires design coordination (design, coordination, integration).	Schedule delay as resources are allocated elsewhere, won't get track time, sequencing requirements may delay PCEP construction, track access requirements must be coordinated.
190	Track roughness and cant could present problems for European vehicles which are accustomed to a higher class of track bed maintenance. Becomes problematic with concept of specifying "off-the-shelf" design.	<p>Vehicle cost increase.</p> <p>Vehicle delivery delay.</p>
321	Single Phase Study and interconnection agreement may be delayed preventing energization of Segment 4 for milestone 1	

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ID	RISK DESCRIPTION	EFFECT(S)
082	Unexpected restrictions could affect construction progress: <> night work <> noise <> local roads <> local ordinances	<ul style="list-style-type: none"> • Reduced production rates. • Delay
270	OCS poles or structures as designed by Contractor fall outside of JPB row	Additional ROW Take, additional cost and time
011	Risks in achieving acceptable vehicle operations performance: <> software problems <> electrical system problems <> mechanical problems <> systems integration problems Increased issues lately with vehicles regarding system integration and compatibility.	Cost increase. Delays vehicle acceptance Potential spill-over to other program elements
012	Potential for electromagnetic interference (EMI) to private facilities with sensitive electronic equipment caused by vehicles.	<ul style="list-style-type: none"> • Increased cost due to mitigation • Potential delay due to public protests or environmental challenge.
014	Contractor's proposal on stakeholder requested changes to the vehicles (e.g., High Level Doors in lieu of windows as emergency exits) may significantly exceed JPB authorized amount.	Schedule delay. Cost increase.
078	Need for unanticipated, additional ROW for new signal enclosures.	Delay while procuring ROW and additional ROW costs.
088	Construction safety program fails to sufficiently maintain safe performance.	Work stoppages due to safety incidents resulting in schedule delay and additional labor costs.
171	Electrification facilities could be damaged during testing.	Delay in commencing electrified operations.
247	Timely resolution of 3rd party design review comments to achieve timely approvals	Delay to completion of design and associated additional labor costs.
251	Subcontractor and supplier performance to meet aggressive schedule <>Potential issue meeting Buy America requirements	Delay to production schedule resulting in increased soft costs and overall project schedule delay.
272	Final design based upon actual Geotech conditions	Could require changes
287	Design changes may necessitate additional implementation of environmental mitigations not previously budgeted.	Increased cost for environmental measures and delays to construct and overall delay in construction schedule

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ID	RISK DESCRIPTION	EFFECT(S)
289	Coordination and delivery of permanent power for power drops for everything except traction power substations along alignment	Can't test resulting in delays to schedule and associated additional project costs.
291	Order/manufacture of long lead items prior to 100% IFC design document that proves to be incorrect	Design change and/or delays
292	Potential that UPS will not fit in the spaces allotted to communications work within the buildings.	Requisite backup capacity units under design criteria could result in the need for larger unit than originally planned resulting in design and fabrication changes and associated schedule delays and costs.
304	Solution to FRA concerns over bike storage impeding path to emergency exit windows path results in increased costs and potential rework.	Protracted negotiations with FRA to achieve original design
317	JPB may not make timely acquisition of resources to staff rail activation plan with key personnel.	Delay in operating electrified railroad - delay of RSD.
320	Balfour may not complete O&M Manuals and testing and commissioning plan and schedule in time for start-up of Segment 4.	Delay to energization of Segment 4 and therefore testing of EMUs
323	FRA concerns require re-design	
019	Potential for vehicle delivery to be hampered by international conflict; market disruption; labor strikes at production facility.	Delay in production of vehicle with associated cost implications.
021	EMU production delay. Possible that there are quality issues, failed factory tests, poor integration / control of suppliers.	Schedule Increase
027	Vehicle power consumption may not meet requirements. <>System impact study and load flow show no issues	Issue with PG&E. Can't run full acceleration.
031	New cars possibly not reliable enough to be put into service as scheduled	Operating plan negatively impacted
042	Full complement of EMUs not available upon initiation of electrified revenue service	Late delivery impacts revenue service date.
055	Failure to pass Qualification Testing.	Cost Increase - minimal Schedule delay

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ID	RISK DESCRIPTION	EFFECT(S)
061	Latent defects in EMU vehicles.	Unbudgeted costs incurred from legal actions. Repairs take trains out-of-service.
101	PG&E may not be able to deliver permanent power for the project within the existing budget and in accordance with the project schedule	Additional project costs; potential delay to revenue service date
150	Number of OCS pole installation is significant. Any breakdown in sequencing of operations or coordination of multiple crews will have a substantial effect on the project.	Delay.
245	Failure of BBI to submit quality design and technical submittals in accordance with contract requirements <ul style="list-style-type: none"> • \$3-\$5M/month burn rate for Owner’s team during peak 	Delays to project schedule and additional costs for preparation and review of submittals.
252	Failure of BBI to order/manufacture long lead items prior to 100% IFC design document approval by JPB	Delays to project schedule and additional cost for contractor and JPB staff time.
271	Need for additional construction easements beyond that which has been provided for Contractor proposed access and staging	Additional cost and time
306	Possible legal challenge and injunction to any changes in PCEP requiring subsequent CEQA or NEPA environmental clearance documentation/actions.	Worst case: a judge issues an injunction, which would prohibit any work ONLY on the project scope of the environmental document. Impact to the project from cost and schedule impact depends on if work is on the critical or becomes on the critical path.
008	Requests for change orders after vehicles are in production	Delays to manufacturing of vehicles and additional design and manufacturing costs.
016	Inter-operability issues with diesel equipment.	Cost increase.
023	Manufacturer cannot control vehicle weight to meet specifications.	Increased operating cost.
025	Potential that vehicles cannot meet requirements for "Mean Time to Repair" (MTTR).	Increased maintenance cost.
032	Failure to come up to speed on stakeholder safety requirements: <> FTA <> FRA <> CPUC	Takes longer than expected to gain FRA/FTA concurrence on waiver and/or level boarding requirements.

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ID	RISK DESCRIPTION	EFFECT(S)
051	Damage during delivery of first six EMUs.	Schedule delay
053	Failure to meet Buy America requirements. (Contractor definition of component v. sub-component may not be accepted by Caltrain / FTA.)	Potential need for negotiations that might lead to delay of project award. (BA is not negotiable)
054	Infrastructure not ready for vehicles (OCS, TPS, Commissioning site / facility).	Increases cost if done off property
069	Potential need for additional construction easements. Especially for access and laydown areas. Contractor could claim project is not constructible and needs more easements after award.	Increased cost Delay
087	Unanticipated HazMat or contaminated hot spots encountered during foundation excavations for poles, TPSS, work at the yards.	Increased cost for clean-up and handling of materials and delay to schedule due to HazMat procedures.
106	Potential that DB contractor will have insufficient field resources (personnel or equipment) to maintain aggressive schedule. Multiple segments will need to be under design simultaneously. Labor pool issue. 32 qualified linemen will be needed. Potential there is not enough available. Big storm damage anywhere in US will draw from the pool to make line repairs. Possible shortages with other specialty crafts as well.	Delay.
151	Public could raise negative concerns regarding wheel/rail noise.	Increased cost to mitigate: <> grind rails <> reprofile wheels <> sound walls
161	Unanticipated costs to provide alternate service (bus bridges, etc.) during rail service disruptions.	Cost increase.

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ID	RISK DESCRIPTION	EFFECT(S)
182	<p>Compliance with Buy America requirements for 3rd party utility relocations.</p> <p><>Utility relocations covered under existing Caltrain agreements that require utilities to move that will not have effect on project cost - will not be Buy America</p> <p><>Installation of new equipment inside PG&E substations that will provide all PG&E customers, about 1/6 of that provides power to our system - is upgrade that benefits all customers subject to Buy America requirements, is it 1/6th, or 100%</p> <p><>Risk is substation not relocations</p> <p><>Substation equipment is available domestically, has 6 month longer lead time and increased cost of 20%</p>	<ul style="list-style-type: none"> • Increased cost • Delay
192	<p>Environmental compliance during construction.</p> <ul style="list-style-type: none"> - Potential impact to advancing construction within the vicinity of any cultural finds that are excavated. - Failure to meet the commitments contained within the PCEP EA, FEIR and permit conditions 	<ul style="list-style-type: none"> • Delay • Cost increase
195	<p>Introduction of electrified train service will require training of first responders in working in and around the rail corridor. The new vehicles will be considerably quieter than the existing fleet and the presence of high voltage power lines will require new procedures for emergency response. A new training program will need to be developed and disseminated for:</p> <ul style="list-style-type: none"> • Fire, police, and first responders • Local communities • Schools 	<p>Safety hazards resulting in incidents that delay construction and increase labor cost. Delays in RSD until training is completed as requirement of safety certification process.</p>

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

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

Appendix G – MMRP Status Log

Mitigation Monitoring and Reporting

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

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Mitigation Monitoring and Reporting

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

Mitigation Monitoring and Reporting

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

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						record. In addition, pre-construction surveys of the potential BUOW habitat areas in Segment 4 are ongoing, as needed, and if required, they occur no more than 7 days prior to the onset of new ground-disturbing of construction activities. Surveys for the 2020 breeding season will commenced in March 2020. On March 24, 2020, two burrowing owls were observed adjacent to the Caltrain ROW, near MP 44.6. The owls were located approximately 150 feet away from the Caltrain ROW. Subsequent site visits during this reporting period have shown continued use of a potential burrow by at least one owl, and a 200-meter buffer has been implemented. Any future work scheduled to occur within the 200-meter buffer will be coordinated with the Qualified Biologist, in consultation with the JPB and the CDFW, as needed.
BIO-1g: Implement northern harrier, white-tailed kite, American peregrine falcon, saltmarsh common yellowthroat, purple martin, and other nesting bird avoidance measures.	X	X			Ongoing	Nesting Bird and raptor surveys were conducted from February 1 through September 15, in 2017, 2018 and 2019, prior to project-related activities with the potential to impact nesting birds. Nesting Bird Surveys recommenced on February 1, 2020 for the 2020 nesting season (February 1, 2020). During this reporting period, an active Cooper's hawk (COHA) nest was observed in a tree adjacent to the tracks near MP 33.5. A 250-foot buffer was established around the nest, and any work that occurred within the buffer area was monitored full-time by a qualified biologist. No impacts to the

Mitigation Monitoring and Reporting

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

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
BIO-3: Avoid or compensate for impacts on wetlands and waters.	X	X	X		Complete	The JPB has compensated for unavoidable wetland impacts by purchasing adequate credits from a wetlands mitigation bank approved by USACE and SFRWQCB.
BIO-5: Implement Tree Avoidance, Minimization, and Replacement Plan.	X	X	X		Ongoing	Tree removal and pruning activities were initiated in August 2017, and are ongoing, under the guidance of the BBI Arborist, and in accordance with the Tree Avoidance, Minimization, and Replacement Plan. Tree Removal and Pruning status is provided to the JPB on a regular basis.
BIO-6: Pay <i>Santa Clara Valley Habitat Plan</i> land cover fee (if necessary).	X				Complete	Not applicable. The SCVHP does not apply to the Project because TPS2, Option 1 was not selected and OCS does not extend to Communication Hill. This measure is not needed.
CUL-1a: Evaluate and minimize impacts on structural integrity of historic tunnels.	X				Upcoming	To be implemented prior to construction in tunnels.
CUL-1b: Minimize impacts on historic decorative tunnel material.	X				Upcoming	To be implemented prior to construction in tunnels. Historic American Engineering Record (HAER) documentation was completed in October 2018, pursuant to this measure.

Mitigation Monitoring and Reporting

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

Mitigation Monitoring and Reporting

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

Mitigation Monitoring and Reporting

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

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

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
GEO-4b: Mitigation of expansive soils.	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design by the D-B as described. Geotechnical studies are being conducted by Parikh under subcontract with PGH Wong. Studies and results are submitted to JPB as completed.
HAZ-2a: Conduct a Phase II Environmental Site Assessment prior to construction.	X				Complete	A Phase II Environmental Assessment was completed prior to construction by the JPB consultant, and the results were provided to BBI, and the required mitigation is being implemented prior to the initiation of construction activities.
HAZ-2b: Implement engineering controls and best management practices during construction.	X	X			Ongoing	D-B field activities are being monitored daily for significant color changes or odors which may indicate contamination. In addition, assessments of existing subsurface pipes by a certified Asbestos Consultant are occurring as needed throughout the project as they are observed. Following the assessments, a specification describing the methods for removal and disposal are provided to the certified asbestos contractor. The removal and disposal work performed by the certified asbestos contractor is monitored by the certified asbestos consultant.
HYD-1: Implement construction dewatering treatment, if necessary.	X	X			Ongoing	Facilities & BMPs are in place to deal with this requirement should it arise in the OCS foundations.

Mitigation Monitoring and Reporting

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

Mitigation Monitoring and Reporting

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

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

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

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
as feasible between San Jose and Bayshore.						
AES-2a: Minimize OCS construction activity on residential and park areas outside the Caltrain ROW.	X	X			Ongoing	The OCS proposed construction schedule has been provided to the JPB. OCS construction began the week of October 2, 2017. The D-B has used the potholing process to assist in locating conflicts in the 35% design and attempting to relocate OCS pole locations within the ROW, thereby avoiding parks and residential areas.
AES-2b: Aesthetic treatments for OCS poles, TPFs in sensitive visual locations, and Overbridge Protection Barriers.	X				Ongoing	The design requirements indicated in the measure have been implemented as described, and coordination with the specific jurisdictions regarding pole colors and design, TPFs, and Overbridge Protection Barriers, is ongoing.
AES-4a: Minimize spillover light during nighttime construction.		X			Ongoing	OCS construction began the week of October 2, 2017. The BBI community relations lead has notified nearby residents of upcoming construction. During construction, lighting is faced inward, towards the railroad tracks, and any complaints will be documented and addressed by the BBI community relations lead.
AES-4b: Minimize light spillover at TPFs.	X				Upcoming	The design requirements indicated in the measure are being used in the design process of the TPFs.

Mitigation Monitoring and Reporting

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

Mitigation Monitoring and Reporting

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

Mitigation Monitoring and Reporting

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

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

Mitigation Monitoring and Reporting

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

Mitigation Monitoring and Reporting

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

Mitigation Monitoring and Reporting

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

Mitigation Monitoring and Reporting

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

Mitigation Monitoring and Reporting

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

Peninsula Corridor Electrification Project
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Mitigation Monitoring and Reporting

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

Mitigation Monitoring and Reporting

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

Peninsula Corridor Electrification Project
Monthly Progress Report

Mitigation Monitoring and Reporting

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

Mitigation Monitoring and Reporting

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

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Mitigation Monitoring and Reporting

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

Mitigation Monitoring and Reporting

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

**CITIZENS ADVISORY COMMITTEE (CAC)
PENINSULA CORRIDOR JOINT POWERS BOARD (JPB)
SAN MATEO COUNTY TRANSIT DISTRICT ADMINISTRATIVE BUILDING**
Bacciocco Auditorium, 2nd Floor
1250 San Carlos Avenue, San Carlos CA 94070

Draft

MINUTES OF MAY 20, 2020

MEMBERS PRESENT: A. Brandt, A. Dagum, L. Klein, M. Romo, P. Leung, P. Flautt, R. Kutler, R. Valenciana (Vice Chair), B. Shaw (Chair)

MEMBERS ABSENT: None

STAFF PRESENT: R. Bartholomew, R. McCauley, J. Navarrete, J. Navarro, R. Tam

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

Chair Brian Shaw called the meeting to order at 5:43 p.m. and led the Pledge of Allegiance.

APPROVAL OF MINUTES OF APRIL 15, 2020

Motion/Second: Klein / Kutler

Ayes: Brandt, Flautt, Leung, Romo, Valenciana, Shaw

Absent: Dagum

A. Dagum joined the meeting at 5:57 pm

PUBLIC COMMENT

Public Comment received via email at cacsecretary@caltrain.com

Raymond Chang emailed the following:

Hi,

I have some public comments I would like to share before the CAC meeting today.

1. I've written to Caltrain several times about the constant idling of trains at the 4th and King Station, and I was wondering if there are any actionable items that Caltrain can take to reduce the amount of idling? It's both a constant source of noise and air pollution to those that live nearby (and I am one of those people). Can there be limitations on the number of trains that are idling at once? And in cases where idling is required for daily train inspections, can those be performed elsewhere? Shouldn't this work be done at a service yard? If the service yard is unavailable, there are tracks at the corner of 7th and Townsend, which is mostly non-residential. The idling at times goes

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on past 1am and starts again at 4am in the morning (which makes staying at home absolutely unbearable at times).

2. Are there further considerations to reduce the current amount of service / replace some of the service with buses (ex: have a bus bridge from 4th and King to Millbrae, where passengers can connect to the SamTrans ECR)? I don't have exact ridership numbers post-COVID-19, but from what I've seen from my apartment, I see trains with 2-5 people TOTAL during non-commute hours. Given the fact that most of Caltrain's passengers pre-COVID-19 are commuters that mostly have the ability to telework (including many of my coworkers), does it still make sense to keep the current train schedule? I understand that there is still a need for essential workers to commute, but I believe adjustments can be made for non-commute hours. From what I can tell, there has been no service adjustments since late March, and the weekend schedule hasn't been modified at all.

As an example, BART is no longer running trains past 9pm - does it make sense to have empty trains run at 12:05 am? I understand that running trains is a low percentage of the overall cost of operating Caltrain, but given the dire financial situation due to the drastic drop in ridership, I would imagine any money saved would be helpful for Caltrain's long-term outlook. This would also have the side benefit of reducing idling trains.

Thanks,

-Raymond

Jeff Carter, via Zoom Q&A, reiterated his comments from last month's meeting regarding the charts which show the ridership post-COVID. He stated that it would be very helpful to the public and to the CAC if the spreadsheet, that produces those charts, could be presented as well. He requested the CAC to discuss or staff to reply. He also stated that obtaining this information through PRA request is very difficult.

CHAIRPERSON'S REPORT

None

COMMITTEE COMMENTS

None

FY20 GRADE CROSSING IMPROVEMENTS PROJECT

Robert Tam Manager, Technology Research & Development presented the Grade Crossing Improvements Project presentation.

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

Committee Comments:

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Vice Chair Adrian Brandt asked about the status of deployment of the solar powered flashing light box dots and the brightly painted box that would cover the entire intersection. Joe Navarro, Deputy Chief, Rail Operations, responded that the reflector turtles are in stock, in house, and are being charged up. Staff will choose an ideal location to test the prototype, however considering waiting until service resumes. Caltrain has been working with our Government Outreach team to talk to legislation as well as the CPUC and Federal Highway Commission about painting the intersection red and staff is making progress. Regarding the reflector turtles, targeting mid-June for deployment. Vice Chair Brandt then asked whether there has been thought given to making any of these Quiet Zone compliant that may meet the criteria of the supplemental safety measures that are laid out with quiet zone requirements. Mr. Tam responded that funding is an issue and is working with the City of San Mateo for Fourth Avenue and Fifth Avenue and would begin planning stage once that project is fully funded and approved. Lastly Vice Chair Brandt commented that WAZE, a navigation system for drivers, has added a feature of grade crossing notifications built into their software/database. He stated that WAZE may provide a good example and inspiration to the competitors. Mr. Tam responded that staff is open to working with the Googles and the WAZE to provide the locations of Caltrain's crossings.

Member Patrick Flautt thanked Robert for the presentation and asked what the average cost is to improve grade crossings and how many are remaining to improve. Mr. Tam responded that with medians, marking and markers, the average is about \$100K - \$150K per crossing. He also stated that there are five crossings planned for next year and about four or five other grade crossings that do not have medians. He stated that staff may capture those in the next cycle, dependent on funding, which would complete all grade crossing improvements. Mr. Tam stated that there are 42 grade crossings and the majority will have medians. Member Flautt asked for clarification regarding the cycle and Mr. Tam stated that it is a 3-year cycle, year one is for design, year two is to obtain the contractor and year three is for construction.

Member Larry Klein stated that he has been advocating with Google about the WAZE changes implemented and was happy to see the implementation. He stated that he is currently doing the same thing with Apple and similar warnings. He then asked when the next cycle for the next set of improvements would begin, next year, or when everything is completed at the end of September of 2021. Mr. Tam responded that the budget cycle is July to June, so next year will be construction and the following year, 2022, staff will be asking for design funding. Mr. Tam stated that there is no guarantee that funding will be granted/approved. Member Klein suggested not going through it in a sequential fashion and conceivably overlap those efforts.

Chair Brian Shaw stated that Santa Clara County has several grade crossings that are as problematic as any others and asked whether staff is limited to completing these improvements only in San Mateo County. Mr. Tam responded that in the last cycle, Caltrain completed a lot of grade crossing improvements in Santa Clara. He stated that the pictures from the presentation were from Sunnyvale and that crossings in Palo

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Alto were part of the last cycle. Lastly, he stated that two mediums were implemented in San Jose two years ago.

Vice Chair Brandt asked staff the ballpark amount for switching to quad gates. Mr. Tam responded about \$2M. Mr. Brandt requested to briefly touch on the duo speed tech solution versus the constant warning time. Mr. Navarro stated that staff has been working with the FRA and the CPUC for almost a year and are in the final stages of agreement to testing of possibilities with the system, gate downtime and the methodology of how it will work. Mr. Navarro stated that he would provide further information at a later date. Mr. Brandt then asked about the rollout schedule. Rick Bartholomew, Manager, Engineering Signal and Grade Crossing, stated that the reason it will start in San Jose is because that section will be electrified first. Vice Chair Brandt then asked whether it has already been deployed and what is the schedule anticipated to be. Mr. Bartholomew stated that Caltrain is still installing the equipment and not quite there yet. He stated that Caltrain is about six months away from initiating.

Member Rosalind Kutler asked whether staff knows about the plans for construction of the housing at Bayshore and whether that funding would include pedestrian crossings as part of that project. Mr. Navarro stated it is not being considered at the present time.

Chair Brian Shaw pointed out that there were different types of treatments, concrete and plastic dome with pylon. He asked whether one was more cost effective than the other, or whether one was proven more effective from keeping cars from getting around the gates or used for aesthetic reasons. Mr. Tam responded that it is the city's call. They specify what they normally do on their city streets. Chair Shaw asked whether there will be a report to indicate the performance of the new type of crossing technology. Mr. Tam stated that Mr. Navarro keeps record of cars stopping and turning onto the tracks and will continue looking at that. He also stated that staff is hoping to get funds to update the hazard analysis report, including data collection, having video cameras mounted at the grade crossings to collect the data and if that happens, in a year or two, staff may be able to come back to the group with empirical data.

Public Comments:

Jeff Carter, via Zoom Q&A, asked why the three-year cycle for grade crossing improvements takes so long.

Thomas Weissmiller, via Zoom Q&A (San Mateo), stated that there is a grade separation on East Bellevue Avenue and stated that he is unaware of its benefits, but it seems like it is probably more of a safety hazard. Mr. Navarro stated that he would have staff take a closer look and take pictures.

CALTRAIN EMU UPDATE

Joe Navarro, Deputy Chief, Rail Operations, presented the Caltrain EMU Update.

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

Committee Comments:

Vice Chair Adrian Brandt suggested the power outlets, currently showing in front of passenger's knees, to instead be placed underneath the seat edge under the passenger's legs to avoid bumping the adapters and pulling out the cords. He then asked whether the bungee cords/hooks for the bike racks will be coated with rubber or plastic. Mr. Navarro stated he is waiting to hear back from the EMU team. Mr. Brandt then suggested signs inside of the cars with the car location so that the passenger is aware in case they need to call/text for help. He also suggested larger font at the intercom so that it is easy to see. Lastly, Mr. Brandt asked whether the train driver will be able to see the second train set, if there was a double train set. Mr. Navarro stated that there would need to be an additional person in the cab to see the second part. Vice Chair Brandt then suggested to have the warning tone, a pleasant chime and to keep the verbal announcements to a minimum, regulations allowing. Mr. Navarro responded that noise pollution is critical and agrees, if possible, to keep it minimal. Lastly, Mr. Brandt asked whether the virtual reality walk through tool can be put on the websites for the public to walk through the trains by clicking. Mr. Navarro stated that the Outreach group will promote that soon.

Member Anna Dagum asked, because there is such limited bike seating in the bike cars, if the adjacent cars will allow passengers to be in view of their bikes. Mr. Navarro responded that there will not be as there will be a vestibule, mid-level, blocking from view.

Chair Brian Shaw asked whether the final fit, electrical seats and passenger related functionalities are done in Salt Lake City. Mr. Navarro confirmed and stated that Salt Lake City is the total assembly of the train and then train cars will need to be shipped to Colorado next. Chair Shaw then asked whether Colorado is the national test center for trains. Mr. Navarro confirmed.

Vice Chair Brandt suggested that the window mounted destination signs be placed in the upstairs windows.

Member Anna Dagum suggested having good labeling for the outside of the cars so that passengers can easily identify bicycle cars, accessible cars and bathroom cars and/or any other specialty cars. Mr. Navarro stated that the Government Outreach team is working on special labeling. Additionally, there are the FRA requirements that need to be met.

Member Rosalind Kutler commented as a follow-up to Anna's point, to consider passengers with English as a second language. Mr. Navarro indicated that all items run through an accessibility team as well as the FRA and the FTA to ensure Caltrain is abiding by regulations.

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Chair Shaw asked whether, due to the COVID crisis, there have been delays. Mr. Navarro responded that in some areas, there is about a month delay, however, is confident that once Shelter in Place is lifted, things will pick back up. Mr. Navarro stated that in Salt Lake City, work continues and staff there has split shifts to share office space.

Vice Chair Brandt asked about the high platform doors that will not be used until High Speed Rail arrives. Mr. Navarro stated that the original doors that have been paid for will be shipped to Caltrain and will be stored until they are needed to be installed. He also stated that there is no additional cost and that, if needed, door replacements will be completed inhouse and not sent to Salt Lake City.

Public Comments:

Jeff Carter, via Zoom Q&A, stated that High Speed Rail is dictating the higher fifty-inch platforms and is based on equipment that High Speed Rail anticipates on using. He suggested staff's goal should be for Caltrain to have level boarding at twenty-five inches and to use the lower set of doors. He then stated that with only one bathroom per train, it could negatively impact Caltrain in the future. Especially after ball games or after special events when a lot of people are not in sound mind. Lastly, he mentioned that there continues to be concern regarding bike security and passengers not being able to keep their eyes on their bikes.

Doug DeLong, via Zoom Q&A, advised that where the outlets currently reside, passengers would get hurt. He suggested to mount them underneath the seat. Mr. DeLong then asked for clarification because in the presentation it was said that it is a seven car train set, however the graphic reflects a six car train. Mr. Navarro stated that the graphics were not up to date. He stated that the coach car is the car type that gets duplicated in the seven car train set.

STAFF REPORT UPDATE

Joe Navarro, Deputy Chief, Rail Operations, reported:
(The full report can be found on caltrain.com)

On-time Performance (OTP) –

- **April:** The April 2020 OTP was 94.3% compared to 93.6% for April 2019.
 - **Mechanical Delays** – In April 2020 there were 197 minutes of delay due to mechanical issues compared to 983 minutes in April 2019.
 - **Trespasser Strikes** – There were two trespasser strikes on April 17, one resulting in a fatality.

May 20, 2020

- **March:** The March 2020 OTP was 96.7% compared to 94% for March 2019
 - **Trespasser Strike** – There was one trespasser strike on March 1, resulting in a fatality.

COVID-19 Public Health Emergency Orders – On April 17, 2020 San Mateo County and San Francisco County Health Officers, in coordination with other Bay Area health officials, issued new public health emergency orders in connection with COVID-19 protections. The order requires residents to cover their nose and mouth with a face covering, such as a bandana, scarf, towel, or other piece of cloth or fabric, when leaving home in many situations. These include doctor appointments, grocery shopping, pharmacy visits, and riding on public transit, among others.

This rule took effect at 11:59 p.m. on April 17, 2020. Enforcement did not take place until 8 a.m. on April 22, 2020 to allow time to for obtaining face coverings.

Starting Wednesday April 22, 2020 Caltrain passengers were required to wear a face covering on Caltrain. Also when possible, passengers are requested to maintain social distancing.

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

Committee Comments:

Vice Chair Brandt requested staff to comment on public comment from Mr. Chang about idling locomotives. Mr. Navarro stated that on March 17, Caltrain went to 70 trains a day and then on the 30th, went to 42 trains a day. He stated that this interrupted the cycles. He then advised that on May 18th, staff sent a team to observe and made sure that the policy was being adhered to. It was found that with the reduction to 42 trains a day, there were areas to be improved. The team at 4th and King are back on track and as of May 19th, should not happen again. Lastly, Vice Chair Brandt asked what air filtration is being used on the Caltrain equipment and whether staff would have promotional face covering give-a-ways. Mr. Navarro stated that he is looking into the air circulation and how many times it filters through the trains per hour. He also stated he would look at disinfectant for the filters. He stated that once the plan/process and procedure is finalized, he would release this information to the public, very soon.

Member Rosalind Kutler shared that any positive social media is going to be a great thing.

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Public comments:
None

JPB CAC Work Plan

June 17, 2020

- Regional Fare Integration Study / Distance Based Fares
- Financial Overview

July 15, 2020

- Industry Safe Functionality
- Brown Act Training
- Mobile Parking App

August 19, 2020

-
-

September 16, 2020

- FY 2021 JPB Operating & Capital Budgets
-

Items to be scheduled

- Schedule Audit – requested by Member Lauren Fernandez on 3/6/18
- Go Pass cost per ride factors – requested by Chair, Brian Shaw on 6/19/19
- San Mateo County Climate Action Plan – requested by Member Rosalind Kutler on 10/16/19
- MTC Means-Based Discount Fare program update
- Caltrain connections with other agencies – requested by Member Rosalind Kutler on 12/18/19
- Update on grade crossing pilot six months after installation – requested by Member, Patrick Flautt on 12/18/19
- Summary video of the CAC meetings by the Social Media Officer – requested by Chair, Brian Shaw on 12/18/19
- Grade Crossing Improvements to be scheduled for a future meeting
- Operating Costs – requested by Member Adrian Brandt on 2/13/20

DATE, TIME AND LOCATION OF NEXT REGULAR MEETING:

May 20, 2020

June 17, 2020 at 5:40 p.m., San Mateo County Transit District Administrative Building,
2nd Floor Bacciocco Auditorium, 1250 San Carlos Avenue, San Carlos, CA.

Adjourned at 7:13 pm