Modernization Program
Peninsula Corridor Electrification Project (PCEP)

May 2019
Monthly Progress Report

May 31, 2019

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.

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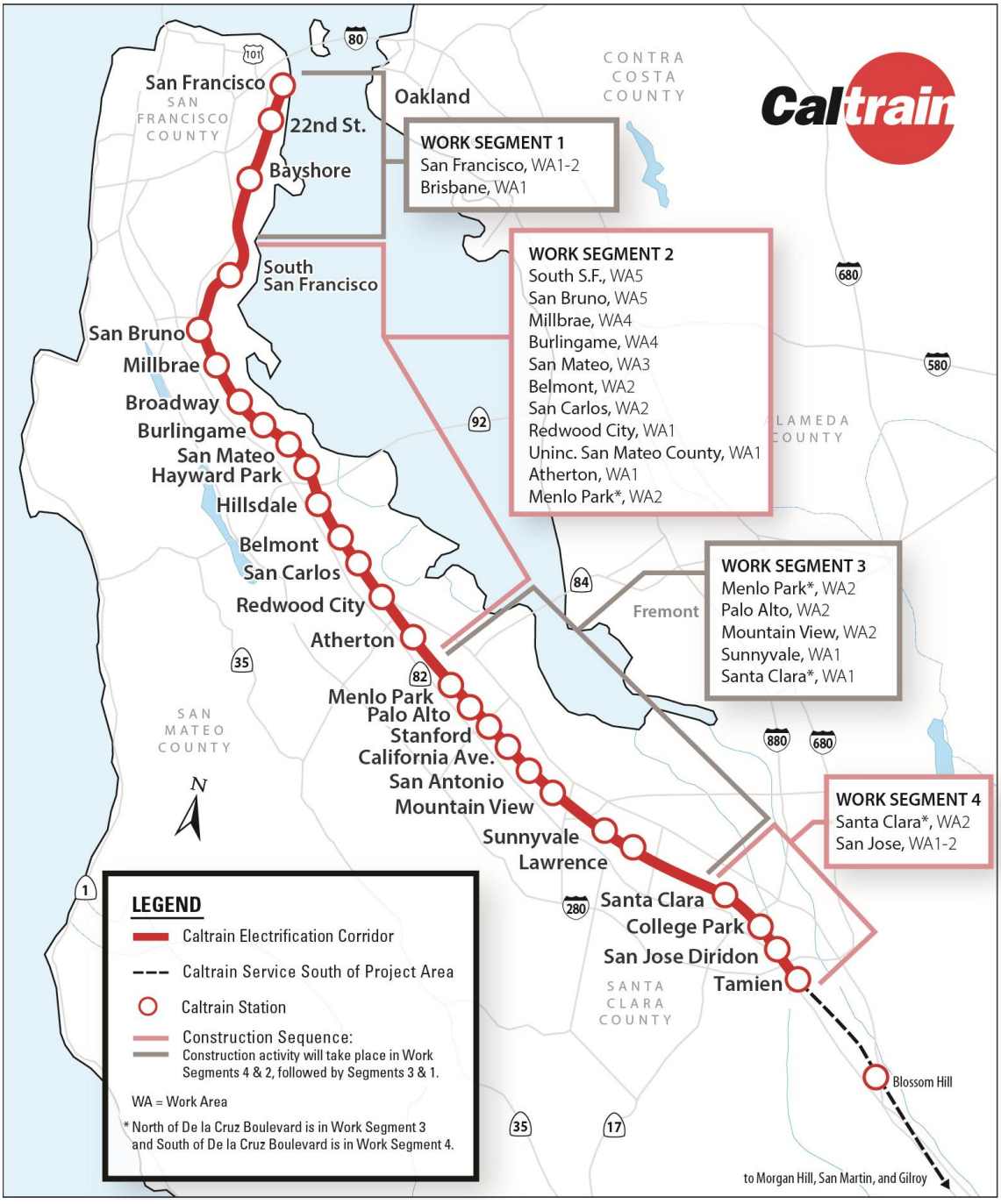
2.0 EXECUTIVE SUMMARY

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

Figure 2-1 PCEP Work Segments



Foundation installation continued in Segment 4 and began in Segment 3. Off-track foundation installation began in Segment 2. Traction Power Substation (TPS) TPS-2 construction continued with the erection of forms and steel. Pacific Gas and Electric began mobilization and site preparation at East Grand and FMC substations for the construction work required at those areas.

Three additional EMU cars have arrived in Salt Lake City to begin the assembly process. Four additional EMUs are en route to Salt Lake City. First Article Inspections continue to be performed.

Tunnel work is nearing completion in preparation for the installation of the overhead catenary system (OCS). Third party notch scanning was conducted in all tunnels, and the fabrication of arch stone blocks for the Historic South Portal reconstruction is underway.

2.1. 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 – Engineering Meeting – Weekly

Purpose: To discuss status, resolution and tracking of Balfour Beatty Infrastructure, Inc. (BBII) and electrification design-related issues, to discuss Supervisory Control and Data Acquisition (SCADA), the Tunnel Modification Project, and monitor the progress of utility relocation compared to schedule, and to discuss third-party coordination activities with Pacific Gas and Electric (PG&E), CHSRA, Union Pacific Rail Road (UPRR), Bay Area Rapid Transit, California State Department of Transportation (Caltrans), Positive Train Control (PTC) and others.

Activity this Month

Funding Partners: CHSRA: Ian Ferrier

Continued discussions on resolution of outstanding issues for the Design-Build (DB) contract such as:

- Grade crossing designs, including progress of design and preparation for meeting with key stakeholders such as the Federal Railroad Administration (FRA), California Public Utilities Commission (CPUC) and local jurisdictions
- Potholing status and foundation installation sequencing
- Review of key actions from weekly Balfour Beatty progress meetings and status of critical submittals or Requests for Information (RFI)

- The progression of the PG&E interconnections design and substations improvement status, including interface with VTA on the design of TPS-2 interconnection into PG&E's FMC Substation
- Key interface points (foundation installation, signal design, etc.) between the PCEP and other major Peninsula Corridor Joint Powers Board (JPB) projects such as South San Francisco Station Project and 25th Avenue Grade Separation
- The utility relocation status
- Critical right of way acquisitions that require technical input and support
- Status of the Tunnel Modification construction
- Updates of the SCADA project
- Updates on DB and program schedule, including key foundation and traction power facility milestones, PG&E Infrastructure buildout and power quality study status
- Upcoming changes to the contract in preparation for the Change Management Board (CMB) and specific contract change orders that require technical review and input

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: CHSRA: Ian Ferrier and Wai-on Siu; SFCTA: Luis Zurinaga

The FTA and Project Management Oversight Consultant (PMOC) were onsite April 29-May 1 for an informal FTA Quarterly update. The next FTA Quarterly meeting is scheduled for July and the CHSRA/Funding Partners Quarterly will be held in May. The agreement for On-Call Construction Management Services is ongoing for review and will be fully executed soon. The AEM-7 units are en route and will be delivered via revenue service. The shipment is currently on schedule with an expected delivery of mid to late May. A walk through with ProVen was held on April 30 at the Centralized Equipment Maintenance and Operations Facility (CEMOF). In Design Build, an Issue for Construction (IFC) for Segment 3 is scheduled for May and the installation of poles, cantilevers, and assemblies continue in Segment 2 Work Areas 4 and 5. Transformers were installed for Paralleling Station (PS) PS-7 and Switching Station (SWS) SWS-1 and an additional three transformers are projected to arrive in May. Two of the additional transformers are scheduled to be installed in PS-4 and PS-6, and one will be stored in the BBII warehouse. A meeting with the FRA was held on May 30 to discuss the progression of the Consistent Warning Time (CWT) design. In Tunnel Modifications, 25 weekend shutdowns and five single tracking work weekends have occurred through May 6. ProVen continues to perform work activities under weekend single-track conditions for continuously welded rail, fencing installation, and punch list activities.

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: CHSRA: Ian Ferrier

Bi-weekly PCEP interface meetings are held to monitor and determine appropriate resolution for systems integration issues. The systems integration database is updated as issues are resolved or new items arise. A spreadsheet for keeping track of Action Items and the individual(s) assigned to these items is also being used. Meetings are also held bi-weekly with the electrification contractor to discuss design and construction integration issues. The Systems Integration Lead also maintains contact with the EMU procurement team. The Traction Power SCADA team also holds bi-weekly status meetings. Coordination with the EMU procurement, 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 as well. Progress on activities including systems integration testing activities, FRA, FTA and safety certification are being tracked. The Systems Integration Testing Plan has been accepted.

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: CHSRA: Ian Ferrier, Wai Siu

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

Funding Partners: CHSRA: Ian Ferrier

No new risks were identified and five risks were retired.

Change Management Board (CMB) – Monthly

Purpose: To review, evaluate and authorize proposed changes to PCEP over $200,000.

Activity this Month

The CMB meeting was held on May 22.

Funding Partners: CHSRA: Bruce Armistead, Boris Lipkin and Simon Whitehorn; Metropolitan Transportation Commission (MTC): Trish Stoops and Kenneth Folan; SFCTA: Luis Zurinaga; VTA: Krishna Davey; SMCTA: Joe Hurley

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.

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.

2.2. Schedule

The overall schedule remains unchanged from last month. The forecasted Revenue Service Date (RSD) remains May 2022. The program critical path runs through the manufacturing and testing of EMU trainsets.

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

Table 2-1 Schedule Status

Milestones	Program Plan	Progress Schedule (May 2019)[1]
Interconnection from PG&E Substation to Traction Power Substation	N/A	04/27/2020[2]
Segment 4 Completion	11/21/2019	05/22/2020[3]
Arrival of First Vehicle in Pueblo, CO	N/A	Fall 2019[4]
Arrival of First Vehicle at JPB	07/29/2019	Spring 2020[4]
PG&E Provides Permanent Power	09/09/2021	09/09/2021
Electrification Substantial Completion	08/10/2020	09/24/2021[3]
Start Phased Revenue Service	N/A	09/27/2021
RSD (w/o Risk Contingency)	12/09/2021	05/06/2022[4]
FFGA RSD (w/ Risk Contingency)	08/22/2022	08/22/2022[4]

Note:

1. Dates may shift slightly as the update of this month's Progress Schedule is still in process.
2. Interconnection effort not included in original Program Plan.
3. See "Notable Variances" in Section 7 for explanation on date shift.
4. Changes caused by the purchase of additional 37 traincars and offsite EMU testing have necessitated a reevaluation of the program schedule. This effort is currently in process.

2.3. 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**	**$13,554,318**	**$550,110,034**	**$766,015,174**	**$1,316,125,208**
EMU Subtotal	**$664,127,325**	**$664,127,325**	**$2,938,133**	**$153,391,476**	**$510,735,849**	**$664,127,325**
PCEP TOTAL	**$1,980,252,533**	**$1,980,252,533**	**$16,492,451**	**$703,501,509**	**$1,276,751,023**	**$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.

2.4. Board Actions

- May
  - Gannett Fleming consultant on-call electrification support services contract amendment

Future anticipated board actions include:

- June
  - Reconfiguration of EMU bike cars, change order for redesign of bike cars, and investment in bike station parking and micromobility improvements
- July
  - None
- August
  - PG&E interconnect construction
  - Shunt wire construction

2.5. Government and Community Affairs

There were 11 outreach events this month.

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3.0 ELECTRIFICATION – INFRASTRUCTURE

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

3.1. Electrification

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

Activity This Month

- Continued to install OCS foundations in Segment 4 and began installation of OCS foundations in Segment 3.
- Completed off-track OCS foundation installation in Segment 2.
- Continued fabrication of OCS cantilevers and brackets in the contractor's South San Francisco warehouse.
- Continued to install OCS cantilever arms, balance weights and OCS assemblies in Segment 2.
- Potholed at proposed OCS locations and utility locations in Segments 3 and 4 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 the installation of foundations at those locations.
- Relocated signal cables found in conflict with planned OCS foundations as conflicts were identified.
- Continued to install forms and erect steel at TPS-2.
- Continued to install ductbank and manholes at TPS-1, PS-6 and SWS-1.
- Continued drainage installation at PS-7.
- Continued to install signal ductbank and conduits in Segment 4 and 2.
- Continued to installed impedance bonds in Segments 1, 2, 3 and 4.
- Begin drilling of rails for impedance bond connections in Segments 1, 2, 3 and 4.
- 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.

- Met with the city of San Jose to begin discussions about grade crossing design and filings for grade crossings modifications.
- Received and reviewed 60% TPS Interconnection Plans for TPS-1 and TPS-2. The interconnection is between the PG&E substations and future Caltrain main substations.
- Worked with BBII through Site Specific Work Plans (SSWP) for upcoming field work.
- Continued to work with PG&E for the finalization of single phase studies.
- PG&E began mobilization and site preparation 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[ab]	Completed this Month	Completed to Date	Required[b]	Completed this Month	Completed to Date
1	Tunnels	34	0	34	31	0	0
	A	309	0	0	259	0	0
	B	237	0	0	177	0	0
2	5	234	0	184	180	0	160
	4	317	5	243	258	16	186
	3	110	0	60	85	20	20
	2	248	0	74	205	0	0
	1	206	0	78	154	0	0
3	2	530	0	0	460	0	0
	1	397	49	49	313	0	0
4	A	244	13	72	180	0	0
	B	140	6	70	124	0	0
	CEMOF	112	0	0	102	0	0
Total		**3,118**	**73**	**864**	**2,528**	**36**	**366**

Note:

a. Foundations required do not match poles required as guy foundations are needed in some locations for extra support.
b. The number of required poles and foundations fluctuate due to design changes.

Activity Next Month

- Continue installation of foundations in Segments 3 and 4.
- Continue resolution of DSCs.
- Continue to install protective steel plates for protection of utilities during foundation installation.
- Continue to install balance weights and OCS assemblies in Segment 2.
- Continue work with BBII on field investigation activities and designs, which will include the progression of the OCS, traction power, bonding and grounding, signal systems, and other civil infrastructure such as overhead bridge protections.
- Pothole and clear obstructions at proposed OCS locations. Potholing will concentrate in Segments 3 and 4.
- Continue construction at TPS-1 and TPS-2.

- Continue construction at PS-7, PS-4, PS-6, and Switching Station.
- Install 10 MVA transformers at PS-4 and PS-6.
- Continue to install conduit and foundations for signal and wayside power cubicle units in Segments 2 and 4.
- Continue to install impedance bonds and impedance bond connections.
- Continue to coordinate with stakeholders on the CWT solution and advance location-specific design.
- Continue to progress location-specific design for grade crossing system.
- Review BBII work plans for upcoming construction activities.
- Continue to progress design for PG&E interconnection towards 95%.
- Coordinate with PG&E on final design 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.
- Completed 90% of San Jose database and display; pending final points list for all locations.
- Completed functional tests of the following components of the SCADA system:
  - Power Planning
  - Field Power Directors
  - Sequence of Events
  - Plate Orders and Utility Permits
  - Clearance and Switching
  - Shift Change
  - Power General Features
  - San Jose Point-to-Point

Activity Next Month

- Prepare and deliver the Monthly Report and the Monthly Schedule Update.
- Attend project status meetings.
- Support ongoing discussions concerning RFIs.

- When Final Points List is received, complete San Jose to 100% and move on to remaining locations.
- Demonstration of current functionalities to project and Caltrain Staff.

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

- Third party notching scan performed in all tunnels.
- Drainage work completed.
- Tunnel 4 Historic South Portal reconstruction continued with fabrication and approval of test archstone blocks.
- Continue remaining punch list activities.
- Continued coordination of weekly plans for field work activities.

Activity Next Month

- Continue fabrication of Tunnel 4 Historic South Portal archstones for reconstruction.
- Install fencing above tunnel portals.
- Install additional rock bolts for areas with over-notching.
- Begin fabrication of OCS termination structures from steel shop drawings based on as-built survey of foundations and shop drawing approval.
- Review submittals and SSWPs as needed.
- Continue weekly coordination for field activities and associated TransitAmerica Services, Inc (TASI) Protection.
- Prepare and plan for OCS Option Scope, scheduled to begin in October 2019.

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. 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.

Activity This Month

- Final Design Reviews continue to advance. 14 of the 17 major systems completed. Remaining three are conditionally approved. Scheduled for completion in late 2019.
- First Article Inspections (FAIs) continue; 64 total, 44 conducted, 15 closed.
- Caltrain and FRA representatives continue to work toward FRA compliance. Alternate Vehicle Technology (AVT) compliance (crashworthiness) validation analysis scheduled to be submitted to FRA in July 2019.

A summary of the EMU Status by trainset is provided in Table 4-1 below.

Table 4-1 EMU Status by Train Car

Trainset #		Shells Shipped	Salt Lake City In	Salt Lake City Out	Cars at Caltrain
Trainset	1	7	7	0	0
Trainset	2	7	6	0	0
Trainset	3	5	0	0	0
Trainset	4	0	0	0	0
Trainset	5	0	0	0	0
Trainset	19	0	0	0	0
TOTAL		**19/133**	**13/133**	**0/133**	**0/133**

Activity Next Month

- Finalize change order to perform Trainset Level Design Conformance Testing at Pueblo, Colorado test facility.
- Continue truck (bogie) structural and lifecycle testing.
- Continue passenger side door endurance testing.
- Redo passenger table crash test.
- Redo propulsion gearbox endurance test.
- Conduct last of the four floor/ceiling fire endurance tests.

- Negotiate change order with Stadler to install flip-up seats in bike cars.
- Schedule audits of Stadler Salt Lake City facility.

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

- Conducted site visit to verify inputs to shoring design.
- Continued processing submittals and RFIs.
- Roadway Worker Protection training provided to ProVen management
- Container/office site approved.

Activity Next Month

- Finalize specifications and obtain approval for Scissor Lift Work Platform.
- Revise and obtain approval of Automatic Pantograph Inspection System.

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 to provide input and oversight of the contractor SSWP safety provisions and ongoing safety construction oversight and inspections.
- Conducted the monthly project Safety and Security Certification and Fire / Life Safety Meetings.
- Met with FTA PMOC staff to review the status of project safety and security.
- Provided project updates to the JPB safety and security staff.
- Investigated project incident occurrences and worked with the BBII contractor to identify incident root causes and develop safety and security mitigation measures.
- Conducted ongoing safety inspections of contractor field activities.
- Participated in weekly project coordination meetings with the contractor to review open issues and recommended action items.
- Performed contractor equipment inspections of the new work equipment being deployed for the project.
- Continued to provide safety oversight of the tunnel project contract work. Attended weekly project coordination meetings to discuss ongoing safety concerns and recommended improvements.

Activity Next Month

- Monthly safety communication meetings continue to be scheduled for the Project Safety and Security Certification Committee, Fire/Life Safety Committee, Rail Activation Committee, and other project-related contractor and JPB safety meetings to discuss safety priorities.
- Continue focus on performing site safety inspections on the OCS foundation, pole installations, potholing, and tree trimming field work to assess safety work practices and identify additional opportunities for improvement. Conduct contractor equipment inspections.
- Continue to meet with the PCEP contractors, JPB safety, and TASI to identify opportunities to further improve project safety performance and continue to reinforce lessons learned safety mitigation recommendations resulting from prior project incidents.
- Continue to provide safety and security oversight of the ongoing Tunnel Project contract activities and continue to document the Tunnel Project safety and security certification requirements.

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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.
- Continued review of Stadler QA activities including NCR review, Inspection Exception Reports, Car History Reports, and Weekly Status Reports.
- Conducted two audits of PGH Wong Design Packages: OCS Basic Design Assemblies Design Change Notification (DCN) and Signal Systems Ductbanks Segment 4, DCN.
- Reviewed the Stadler response to the Corrective Action Request (CAR) issued in April for inadequate “cause” and “corrective action” on Stadler-generated NCRs. The response was rejected and returned for further actions.
- Issued a CAR to the Tunnel Modification contractor, ProVen, for lack of implementation of non-conformance system to properly document construction discrepancies.

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	2	93
Audit Findings		
Audit Findings Issued	0	60
Audit Findings Open	0	0
Audit Findings Closed	0	60
Non-Conformances		
Non-Conformances Issued	0	8
Non-Conformances Open	0	0
Non-Conformances Closed	0	8

Activity Next Month

- Two design package audits of PGH Wong are planned.
- Audit of L.B. Foster in Pueblo, CO, the manufacturer of insulated joints, is planned.
- Audit of BBII field activities of the installation of OCS assemblies and impedance bonds is planned for second shift.

7.0 SCHEDULE

The overall schedule remains unchanged from last month. The forecasted Revenue Service Date (RSD) remains 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. Added to the milestone table this month is the interconnection that will tie the PG&E substation to the TPS-2. This effort was not originally in the Program Plan, however it is necessary to complete this scope in order to provide electrified power to the Caltrain alignment.

Items listed in Table 7-2 reflect the critical path activities/milestones for the PCEP.

Notable Variances

During this monthly progress reporting period, BBII is currently reporting an overall delay to substantial completion, including the intermediate milestone of Segment 4/Test Track completion. The delay is primarily due to the time it has taken to finalize the modifications required for the grade crossings, the effect that differing site conditions (DSCs) are having on OCS foundation installation and design completion of the Traction Power Substation (TPS) interconnect. JPB continues to work with and is urging BBII to accelerate resolution of these issues.

Table 7-1 Schedule Status

Milestones	Program Plan	Progress Schedule (May 2019)[1]
Interconnection from PG&E Substation to Traction Power Substation	N/A	04/27/2020[2]
Segment 4 Completion	11/21/2019	05/22/2020[3]
Arrival of First Vehicle in Pueblo, CO	N/A	Fall 2019[4]
Arrival of First Vehicle at JPB	07/29/2019	Spring 2020[4]
PG&E Final Design and Construction to provide Permanent Power Complete	09/09/2021	09/09/2021
Electrification Substantial Completion	08/10/2020	09/24/2021[3]
Start Phased Revenue Service	N/A	09/27/2021
RSD (w/o Risk Contingency)	12/09/2021	05/06/2022[4]
FFGA RSD (w/ Risk Contingency)	08/22/2022	08/22/2022[4]

Note:

1. Dates may shift slightly as the update of this month's Progress Schedule is still in process.
2. Interconnection effort not included in original Program Plan.
3. See "Notable Variances" above for explanation on date shift.
4. Changes caused by the purchase of additional 37 traincars and offsite EMU testing have necessitated a reevaluation of the program schedule. This effort is currently in process.

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[1]	05/06/2022	05/06/2022[2]
FFGA RSD w/ Risk Contingency[1]	08/22/2022	08/22/2022[2]

Note:

1. Milestone activity.
2. Changes caused by the purchase of additional 37 traincars and EMU offsite testing have necessitated a reevaluation of the program schedule. This effort is currently in process.

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 1st Trainset in Salt Lake City	02/04/2019 (A)
Arrival of 1st Trainset in Pueblo, CO	Fall 2019
Segment 4 Completion	05/22/2020
Arrival of 1st Trainset at JPB	Spring 2020
Conditional Acceptance of 1st Trainset	11/27/2020
System Electrified	09/24/2021
Begin Phased Revenue Service	09/27/2021
Conditional Acceptance of 14th Trainset	05/06/2022
FFGA RSD w/ Risk Contingency	08/22/2022

Note: "(A)" denotes an actual completion

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 8-1 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	$717,524,857	$6,913,643	$311,921,410	$405,603,447	$717,524,857
SCADA	$0	$3,446,917	$0	$1,934,371	$1,512,546	$3,446,917
Tunnel Modifications	$11,029,649	$42,073,942	$47,549	$22,770,840	$19,303,102	$42,073,942
Real Estate	$28,503,369	$28,503,369	$2,184,149	$20,145,341	$8,358,028	$28,503,369
Private Utilities	$63,515,298	$94,051,380	$601,716	$45,901,932	$48,149,448	$94,051,380
Management Oversight [5]	$141,506,257	$140,822,289	$2,291,116	$114,153,905	$26,668,384	$140,822,289
Executive Management	$7,452,866	$6,214,226	$189,320	$6,649,075	($434,849)	$6,214,226
Planning	$7,281,997	$7,281,997	$22,163	$5,616,680	$1,665,317	$7,281,997
Community Relations	$2,789,663	$2,789,663	$15,078	$1,398,041	$1,391,622	$2,789,663
Safety & Security	$2,421,783	$2,421,783	$86,306	$2,335,188	$86,595	$2,421,783
Project Management Services	$19,807,994	$19,807,994	$116,457	$11,097,210	$8,710,784	$19,807,994
Engineering & Construction	$11,805,793	$11,805,793	$543,451	$7,260,236	$4,545,557	$11,805,793
Electrification Eng & Mgmt	$50,461,707	$50,461,707	$915,937	$39,883,223	$10,578,484	$50,461,707
IT Support	$312,080	$331,987	($157)	$407,170	($75,183)	$331,987
Operations Support	$1,445,867	$1,980,632	$49,418	$2,137,479	($156,847)	$1,980,632
General Support	$4,166,577	$4,166,577	$134,424	$4,354,776	($188,198)	$4,166,577
Budget / Grants / Finance	$1,229,345	$1,229,345	$34,791	$1,234,493	($5,148)	$1,229,345
Legal	$2,445,646	$2,445,646	$119,769	$3,597,315	($1,151,669)	$2,445,646
Other Direct Costs	$5,177,060	$5,177,060	$64,159	$3,475,140	$1,701,920	$5,177,060
Prior Costs 2002 - 2013	$24,707,878	$24,707,878	$0	$24,707,878	$0	$24,707,878
TASI Support	$55,275,084	$55,275,084	$1,420,306	$24,793,729	$30,481,354	$55,275,084
Insurance	$3,500,000	$4,305,769	$0	$3,558,530	$747,238	$4,305,769
Environmental Mitigations	$15,798,320	$14,972,644	$0	$715,411	$14,257,234	$14,972,644
Required Projects	$17,337,378	$15,257,378	$5,544	$735,880	$14,521,498	$15,257,378
Maintenance Training	$1,021,808	$1,021,808	$0	$0	$1,021,808	$1,021,808
Finance Charges	$5,056,838	$6,137,156	$90,294	$3,478,684	$2,658,472	$6,137,156
Contingency	$276,970,649	$192,732,615	$0	$0	$166,528,762	$166,528,762
Forecasted Costs and Changes	$0	$0	$0	$0	$26,203,853	$26,203,853
ELECTRIFICATION SUBTOTAL	**$1,316,125,208**	**$1,316,125,208**	**$13,554,318**	**$550,110,034**	**$766,015,174**	**$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 April 2019 and accrued for May 2019.

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	$550,899,459	$550,792,469	$2,275,151	$114,973,296	$435,819,173	$550,792,469
CEMOF Modifications	$1,344,000	$6,550,777	$0	$0	$6,550,777	$6,550,777
Management Oversight [4]	$64,139,103	$63,379,937	$662,983	$35,900,625	$27,479,312	$63,379,937
Executive Management	$5,022,302	$4,263,136	$113,032	$4,149,429	$113,707	$4,263,136
Community Relations	$1,685,614	$1,685,614	$9,241	$543,035	$1,142,579	$1,685,614
Safety & Security	$556,067	$556,067	$9,342	$436,246	$119,822	$556,067
Project Mgmt Services	$13,275,280	$13,275,280	$69,999	$7,237,105	$6,038,175	$13,275,280
Eng & Construction	$89,113	$89,113	$0	$23,817	$65,296	$89,113
EMU Eng & Mgmt	$32,082,556	$32,082,556	$303,725	$16,729,834	$15,352,723	$32,082,556
IT Support	$1,027,272	$1,027,272	$12,211	$482,205	$545,067	$1,027,272
Operations Support	$1,878,589	$1,878,589	$0	$277,200	$1,601,388	$1,878,589
General Support	$2,599,547	$2,599,547	$59,293	$1,905,697	$693,850	$2,599,547
Budget / Grants / Finance	$712,123	$712,123	$42,977	$795,256	($83,133)	$712,123
Legal	$1,207,500	$1,207,500	$4,645	$1,215,716	($8,216)	$1,207,500
Other Direct Costs	$4,003,139	$4,003,139	$38,518	$2,105,085	$1,898,054	$4,003,139
TASI Support	$2,740,000	$2,740,000	$0	$0	$2,740,000	$2,740,000
Required Projects	$4,500,000	$4,500,000	$0	$491,250	$4,008,750	$4,500,000
Finance Charges	$1,941,800	$3,761,482	$0	$2,026,305	$1,735,177	$3,761,482
Contingency	$38,562,962	$32,402,659	$0	$0	$25,690,231	$25,690,231
Forecasted Costs and Changes	$0	$0	$0	$0	$6,712,428	$6,712,428
EMU SUBTOTAL	**$664,127,325**	**$664,127,325**	**$2,938,133**	**$153,391,476**	**$510,735,849**	**$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 April 2019 and accrued for May 2019.

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**	**$13,554,318**	**$550,110,034**	**$766,015,174**	**$1,316,125,208**
EMU Subtotal	**$664,127,325**	**$664,127,325**	**$2,938,133**	**$153,391,476**	**$510,735,849**	**$664,127,325**
PCEP TOTAL	**$1,980,252,533**	**$1,980,252,533**	**$16,492,451**	**$703,501,509**	**$1,276,751,023**	**$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	$28,125	$669,026	$330,974	$1,000,000
PS-3 Relocation (Design)	$500,000	$500,000	$0	$150,000	$350,000	$500,000
TPSS-2 Pole Relocation (Design)	$110,000	$110,000		$66,000	$44,000	$110,000
EMU Option Cars	$172,800,047	$172,800,047	$0	$32,280,005	$140,520,042	$172,800,047
CNPA TOTAL	**$174,410,047**	**$174,410,047**	**$28,125**	**$33,165,031**	**$141,245,016**	**$174,410,047**

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 Pole Relocation (Design): Design changes due to the relocation of VTA/BART Pole at TPSS-2 location. 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.

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.

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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 five PCEP contracts are BBII, CEMOF, Stadler, SCADA and Tunnel Modifications.

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	Change Order Authority Usage
05/30/2019	BBI-053-CCO-044	Additional Daytime Potholing (Increase Quantity by 500 in S4)	$150,000	$150,000
		Total	**$150,000**	**$150,000**

[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	Change Order Authority Usage
	None			
		Total	**$0**	**$0**

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

CEMOF 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
	None			
		Total	**$0**	**$0**

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

SCADA Contract

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

Date	Change Number	Description	CCO Amount	Change Order Authority Usage
	None		$0	$0
		Total	**$0**	**$0**

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

Tunnel Modification Contract

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

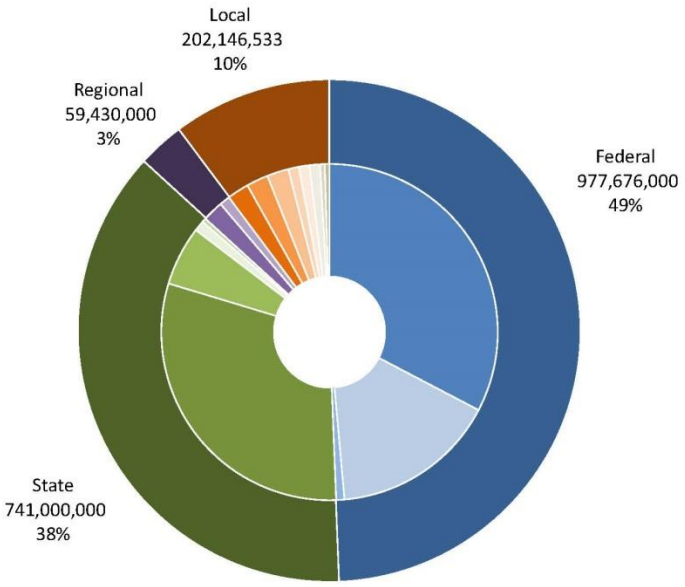
Date	Change Number	Description	CCO Amount	Change Order Authority Usage
	None			
		Total	**$0**	**$0**

[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).

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. During the last month, the FTA released the Fiscal Year 2019 apportionments and JPB staff is in the process of working with FTA and the MTC to award both formula funds, which are part of MTC's $315 million commitment to the project, and the next $100 million in Core Capacity funds to the project.

Figure 10-1 Funding Plan



Fund Source	Amount	%
FTA Core Capacity	$647,000,000	32.67%
FTA Section 5307 (EMU only)*	$315,000,000	15.91%
FTA Section 5307 (Environmental / Pre Development only)	$15,676,000	0.79%
Prop 1A	$600,000,000	30.30%
High Speed Rail Cap and Trade	$113,000,000	5.71%
Transit & Intercity Rail Capital Program	$20,000,000	1.01%
Prop 1B (Public Transportation Modernization & Improvement Account)	$8,000,000	0.40%
Bridge Toll Funds (RM1/RM2)	$39,430,000	1.99%
Carl Moyer	$20,000,000	1.01%
SFCTA/SFMTA**	$41,382,178	2.09%
SMCTA Measure A	$41,382,178	2.09%
VTA Measure A	$41,382,177	2.09%
Santa Clara (VTA) 7-Party MOU Contribution	$20,000,000	1.01%
San Francisco 7-Party MOU Contribution	$20,000,000	1.01%
San Mateo (SMCTA) 7-Party MOU Contribution	$20,000,000	1.01%
Caltrain Low Carbon Transit Operations Cap and Trade	$9,000,000	0.45%
Prior Local Contribution	$9,000,000	0.45%
Total	**$1,980,252,533**	

Notes:
*Includes necessary fund transfer with SMCTA
**Includes $4M CMAQ Transfer considered part of SF local contribution

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11.0 RISK MANAGEMENT

The risk management process is conducted in an iterative fashion throughout the life of the project. During this process, new risks are identified, other risks are resolved or managed, and potential impacts and severity modified based on the current situation. The Risk Management team's progress report includes a summary on the effectiveness of the Risk Management Plan, any unanticipated effects, and any correction needed to handle the risk appropriately.

The Risk Management team meets monthly to identify risks and corresponding mitigation measures. Each risk is graded based on the potential cost and schedule impacts they could have on the project. This collection of risks has the greatest potential to affect the outcome of the project and consequently is monitored most closely. For each of the noted risks, as well as for all risks on the risk register, mitigation measures have been identified and are being implemented. Progress in mitigating these risks is confirmed at monthly risk assessment meetings attended by project team management and through continuous monitoring of the Risk Management Lead.

The team has identified the following items as top risks for the project (see Appendix F for the complete Risk Table):

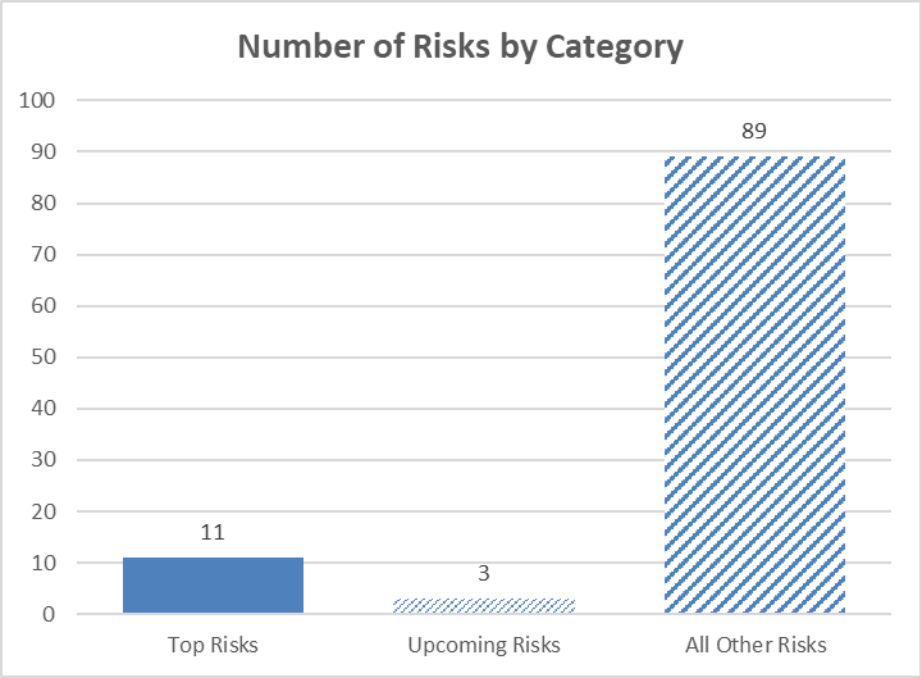
1. BBII may be unable to develop grade crossing modifications that meet stakeholder and regulatory requirements.
2. Contractor sequencing of foundation construction may result in inefficiencies in construction, redesign, and reduced production rates.
3. Extent of differing site conditions and delays in resolving differing site conditions delays completion of electrification and increases program costs.
4. Track access does not comply with contractor-stipulated work windows.
5. Major program elements may not be successfully integrated with existing operations and infrastructure in advance of revenue service.
6. Potential that modifications to the PTC database and signal software are not completed in time for cutover and testing.
7. Decisions on stakeholder requested changes to the vehicles (e.g., high-level doors in lieu of windows as emergency exits) could result in a schedule delay or increased costs.
8. JPB will delay decision to remove seats before vehicles arrive to comply with FRA waiver denial resulting in removal of seats upon arrival at increased cost and delay to RSD.
9. Additional property acquisition may be necessitated by design changes.
10. Rejection of Design Variance Request for autotransformer feeder and static wires may result in cost and schedule impacts to PCEP.
11. Changes to PTC implementation schedule could delay completion of electrification work.

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 monthly Risk Assessment Committee meeting.
- Advanced contractor risk management program through inquiries to JPB subject matter experts.
- Drafted risk analysis report to identify potential impact of risk on budget and schedule.

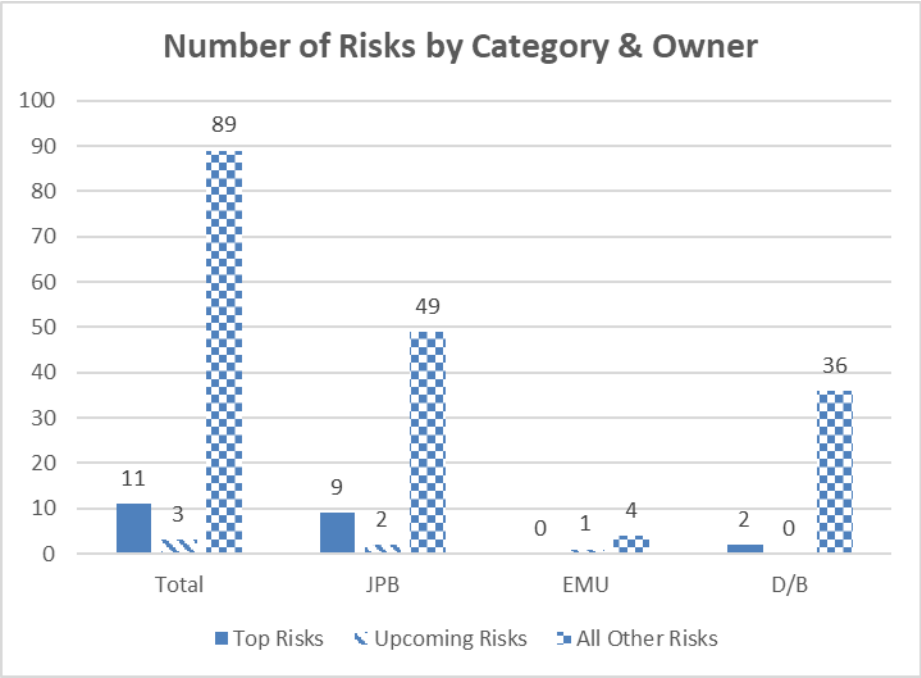
Figures 11-1 and 11-2 show the risks identified for the program. Risks are categorized as top risk, upcoming risk, and all other risks. The categories are based on a rating scale composed of schedule and cost factors. Top risks are considered to have a significantly higher than average risk grade. Upcoming 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 = 103

Figure 11-2 Risk Classification



Total Number of Active Risks = 103

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.
- Update contractor-owned risks and return to BBII for review.
- Convene Risk Assessment Committee meeting.
- Complete risk analysis report for cost and schedule impacts based on updated risk register and finalize Risk Register Refresh Technical Memorandum.

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12.0 ENVIRONMENTAL

12.1. Permits

The PCEP has obtained the required environmental permits from the following agencies/federal regulations: Section 106 of the National Historic Preservation Act of 1966 (NHPA), Section 7 of the Endangered Species Act (ESA), United States Army Corps of Engineers, San Francisco Bay Regional Water Quality Control Board (SFWQCB), the California Department of Fish and Wildlife, and the San Francisco Bay Conservation Development Commission.

Activity This Month

- None

Activity Next Month

- None

12.2. Mitigation Monitoring and Reporting Program (MMRP)

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

Activity This Month

- Environmental compliance monitors were present during project activities (OCS pole foundation installation, potholing for utility location, duct bank and manhole installation, utility relocation, excavation, tree trimming/removal, conduit installation, etc.) occurring in areas that required environmental compliance monitoring. The monitoring was conducted in accordance with measures in the MMRP in an effort to minimize potential impacts on sensitive environmental resources.
- Tree trimming and removal in Segments 2, 3, and 4.
- 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) staking and/or fencing occurred to delineate jurisdictional waterways and other potentially sensitive areas that should be avoided during upcoming construction activities, and wildlife exclusion fencing installation and monitoring occurred adjacent to portions of the alignment designated for wildlife exclusion fencing.
- Protocol-level surveys for sensitive avian species continued at previously identified potential habitat locations.

- Best management practices (BMP) installation (e.g., silt fencing, straw wattles, soil covers) occurred at equipment staging areas and other work areas throughout the alignment in accordance with the project-specific Stormwater Pollution Prevention Plan (SWPPP).

Activity Next Month

- Environmental compliance monitors will continue to monitor project activities (OCS pole foundation installation, potholing for utility location, duct bank and manhole installation, tree trimming/removal, conduit installation, 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.
- Tree trimming and removal will continue in Segments 2, 3, and 4.
- 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 a sensitive avian species will continue for the 2019 breeding season at previously identified potential habitat locations.
- BMPs installation will continue in accordance with the project-specific SWPPP.
- ESA staking 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 prior to upcoming construction activities adjacent to potentially suitable habitat for sensitive wildlife species.
- Preparation of the Sea Level Rise Vulnerability Assessment and Sea Level Rise Adaptation Plan is pending site access and is anticipated to begin in mid-2019.

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.
- Worked on relocation design review for PG&E and coordinated with PG&E on permitting and work planning.
- Begin relocation work for Silicon Valley Power (SVP).
- Continued to plan relocation work for SVP and Palo Alto Power facilities.
- Continued to coordinate relocation by communication cable owners such as AT&T and Comcast.
- Continued PG&E relocations and relocation corrections in Segments 2 and 4.
- Conducted weekly utility coordination meeting to discuss overall status and areas of potential concern from the utilities.

Activity Next Month

- Coordinate with utility owners on the next steps of relocations, including support of any required design information.
- Update the relocation schedule as information becomes available from the utility owners.
- Continue to review relocation design from PG&E, SVP, Palo Alto Power, and communications companies and coordinate relocation field work.
- Continue PG&E and communication relocations in all Segments.
- Continue SVP and Palo Alto Power relocations in Segment 3.
- Conduct monthly and weekly utility meeting with utility owners.

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14.0 REAL ESTATE

The PCEP requires the acquisition of a limited amount of real estate. In general, Caltrain uses existing Right of Way (ROW) for the PCEP, but in certain locations, will need to acquire small portions of additional real estate to expand the ROW to accommodate installation of OCS supports (fee acquisitions or railroad easements) and associated Electrical Safety Zones (easements). There are two larger full acquisition areas required for wayside facilitates. 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 seven owners from whom the agency requires possession:

- One for which the appraisal has been completed and the offer is pending.
    - BBII need date is October 2019.
- One in Segment 3 for which offer was recently made.
- One parcel in Segment 2 needed as soon as possible.
    - The site is owned by UPRR, which has agreed to issue an early entry permit.
- Four that are in redesign.
    - SWS-1, needed in February 2019.
        - Owned by SamTrans, which has agreed to issue a permit upon approval of design.
    - One parcel in Segment 3, needed in June 2019.
    - Two parcels in Segment 4, needed in February 2019.

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

- Actively negotiating with Willowbend Apartments while concurrently preparing record of negotiation documents for August hearing.
- Staff reviewing potential new pole locations and providing feedback to the design team.
- Working with property owners for Segment 4 to enable potholing.

- Prepared First Written Offer (FWO) packages and currently in legal review for Diridon Hospitality and Oyster Point.
- Staff is actively working with PG&E and VTA to gain access to their properties for potholing.
- Working with UPRR on encroachment permit and/or easement.
- Worked with relocation to review claims for Loop Transportation. Reached settlement for Alves Alongi parcel.

Activity Next Month

- Continue to negotiate for all open parcels.
- Present FWO to the city of Belmont.
- Continue to negotiate a settlement with Willowbend Apartments, with intention of obtaining Possession and Use Agreement.
- Present FWO to Diridon Hospitality.
- Continue to work with Segment 4 owners for early access to pothole.
- 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.
- Map 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.

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16.0 GOVERNMENT AND COMMUNITY AFFAIRS

The Community Relations and Outreach team coordinates all issues with all jurisdictions, partner agencies, government organizations, businesses, labor organizations, local agencies, residents, community members, other interested parties, and the media. In addition, the team oversees the BBII's effectiveness in implementing its Public Involvement Program. The following PCEP-related external affairs meetings took place this month:

Presentations/Meetings

- San Francisco Community Meeting
- Santa Clara Community Meeting
- Mission Bay Construction Group Update
- High Speed Rail Community Working Group Update – San Mateo
- High Speed Rail Community Working Group Update – Santa Clara
- High Speed Rail Community Working Group Update – San Jose
- High Speed Rail Community Working Group Update – Gilroy
- High Speed Rail Community Working Group Update – San Francisco
- San Francisco Station Outreach Event
- Redwood City Station Outreach Event
- Mountain View Station Outreach Event

Third Party/Stakeholder Actions

- Issued for Construction Bridge Attachments – Santa Clara County

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17.0 DISADVANTAGED BUSINESS ENTERPRISE (DBE) PARTICIPATION AND LABOR STATISTICS

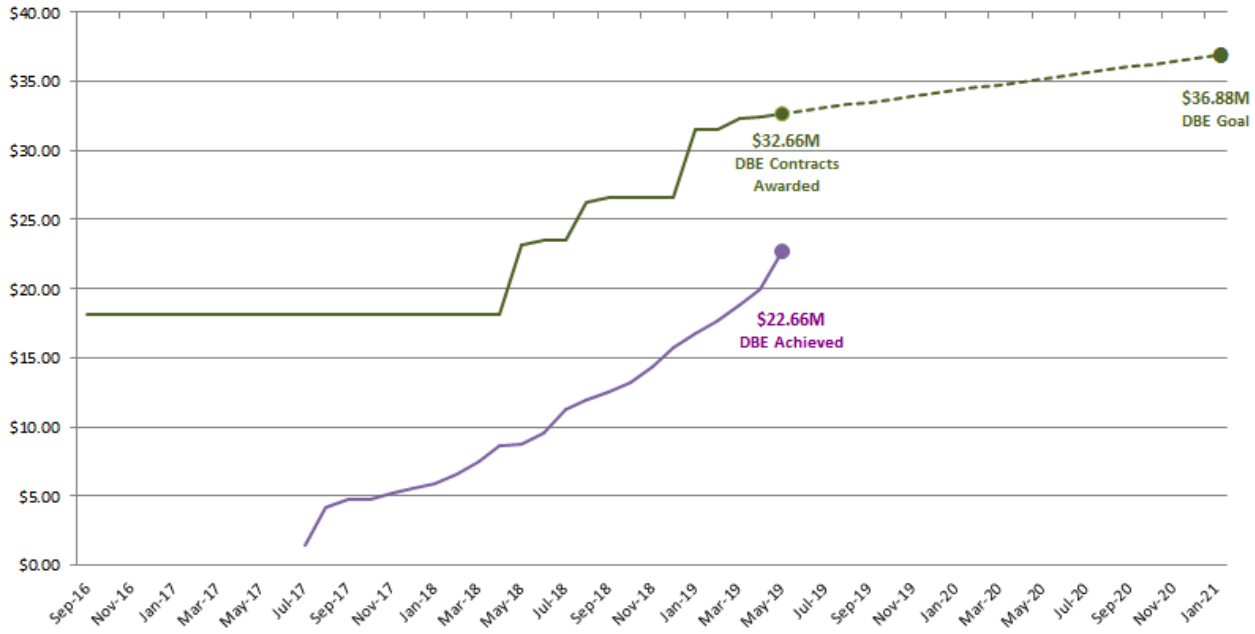
BBII proposed that 5.2% ($36,884,154) of the total DB contract value ($709,310,651) would be subcontracted to DBEs.

Activity This Month

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

- **$22,659,408** has been paid to DBE subcontractors.
- **3.2%** 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 June, 2019, we continue to anticipate increasing our DBE commitments to firms who we are currently negotiating pricing on proposed work or Professional Services Agreements. We also anticipate that the existing project work will increase resulting in expanded work for current DBE subcontractors.”

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18.0 PROCUREMENT

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

- None

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

- 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:

- Contract Amendment 14-PCJPB-P-007 (Gannett Fleming) – On-Call Electrification Support Services for CalMod

Upcoming Contract Awards/Contract Amendments:

- None

Upcoming IFB/RFQ/RFP to be Issued:

- RFQ – Scissor Lift Work Platform
- RFP – Pantograph Inspection Camera and System

Existing Contracts Amendments Issued:

- None

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19.0 TIMELINE OF MAJOR PROJECT ACCOMPLISHMENTS

Below is a timeline showing major project accomplishments from 2001 to 2017:

Date	Milestone
2001	Began federal National Environmental Policy Act (NEPA) Environmental Assessment (EA) / state EIR clearance process
2002	Conceptual Design completed
2004	Draft NEPA EA/EIR
2008	35% design complete
2009	Final NEPA EA/EIR and Finding of No Significant Impact (FONSI)
2014	RFQ for electrification RFI for EMU
2015	JPB approves final CEQA EIR JPB approves issuance of RFP for electrification JPB approves issuance of RFP for EMU Receipt of proposal for electrification FTA approval of Core Capacity Project Development
2016	JPB approves EIR Addendum #1: PS-7 FTA re-evaluation of 2009 FONSI Receipt of electrification best and final offers Receipt of EMU proposal Application for entry to engineering to FTA Completed the EMU Buy America Pre-Award Audit and Certification Negotiations completed with Stadler for EMU vehicles Negotiations completed with BBII, the apparent best-value electrification firm JPB approves contract award (LNTP) to BBII JPB approves contract award (LNTP) to Stadler FTA approval of entry into engineering for the Core Capacity Program Application for FFGA
2017	FTA finalized the FFGA for $647 million in Core Capacity funding, met all regulatory requirements including end of Congressional Review Period (February) FTA FFGA executed, committing $647 million to the project (May) JPB approves $1.98 billion budget for PCEP (June) Issued NTP for EMUs to Stadler (June 1) Issued NTP for electrification contract to BBII (June 19) Construction began (August) EMU manufacturing began (October) Issued NTP for SCADA to Rockwell Collins (ARINC) (October) Issued NTP for CEMOF Facility Upgrades to HNTB (November)

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)

APPENDICES

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Appendix A – Acronyms

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

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

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

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Appendix B – Funding Partner Meetings

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Funding Partner Meeting Representatives

Updated May 31, 2019

Agency	CHSRA	MTC	SFCTA/SFMTA/CCSF	SMCTA	VTA
FTA Quarterly Meeting	• Bruce Armistead • Boris Lipkin • Simon Whitehorn • Ian Ferrier (info only) • Wai Siu (info only)	• Anne Richman	• Luis Zurinaga	• April Chan • Peter Skinner	• Jim Lawson
Funding Partners Quarterly Meeting	• Bruce Armistead • Boris Lipkin • Simon Whitehorn • John Popoff	• Trish Stoops	• Luis Zurinaga	• April Chan • Peter Skinner	• Krishna Davey
Funding Oversight (monthly)	• Kelly Doyle	• Anne Richman • Kenneth Folan	• Anna LaForte • Maria Lombardo • Luis Zurinaga • Monique Webster • Ariel Espiritu Santo	• April Chan • Peter Skinner	• Jim Lawson • Marcella Rensi • Michael Smith
Change Management Board (monthly)	• Bruce Armistead • Boris Lipkin • Simon Whitehorn	• Trish Stoops • Kenneth Folan	• Luis Zurinaga • Tilly Chang (info only)	• Joe Hurley	• Krishna Davey • Jim Lawson • Nuria Fernandez (info only)
Master Program Schedule Update (monthly)	• Ian Ferrier • Wai Siu	• Trish Stoops	• Luis Zurinaga	• Joe Hurley	• Jim Lawson
Risk Assessment Committee (monthly)	• Ian Ferrier • Wai Siu	• Trish Stoops	• Luis Zurinaga	• Joe Hurley	• Krishna Davey
PCEP Delivery Coordination Meeting (bi-weekly	• Ian Ferrier	• Trish Stoops	• Luis Zurinaga	• Joe Hurley	• Krishna Davey
Systems Integration Meeting (bi-weekly	• Ian Ferrier • Wai Siu	• Trish Stoops	• Luis Zurinaga	• Joe Hurley	• Krishna Davey

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Appendix C – Schedule

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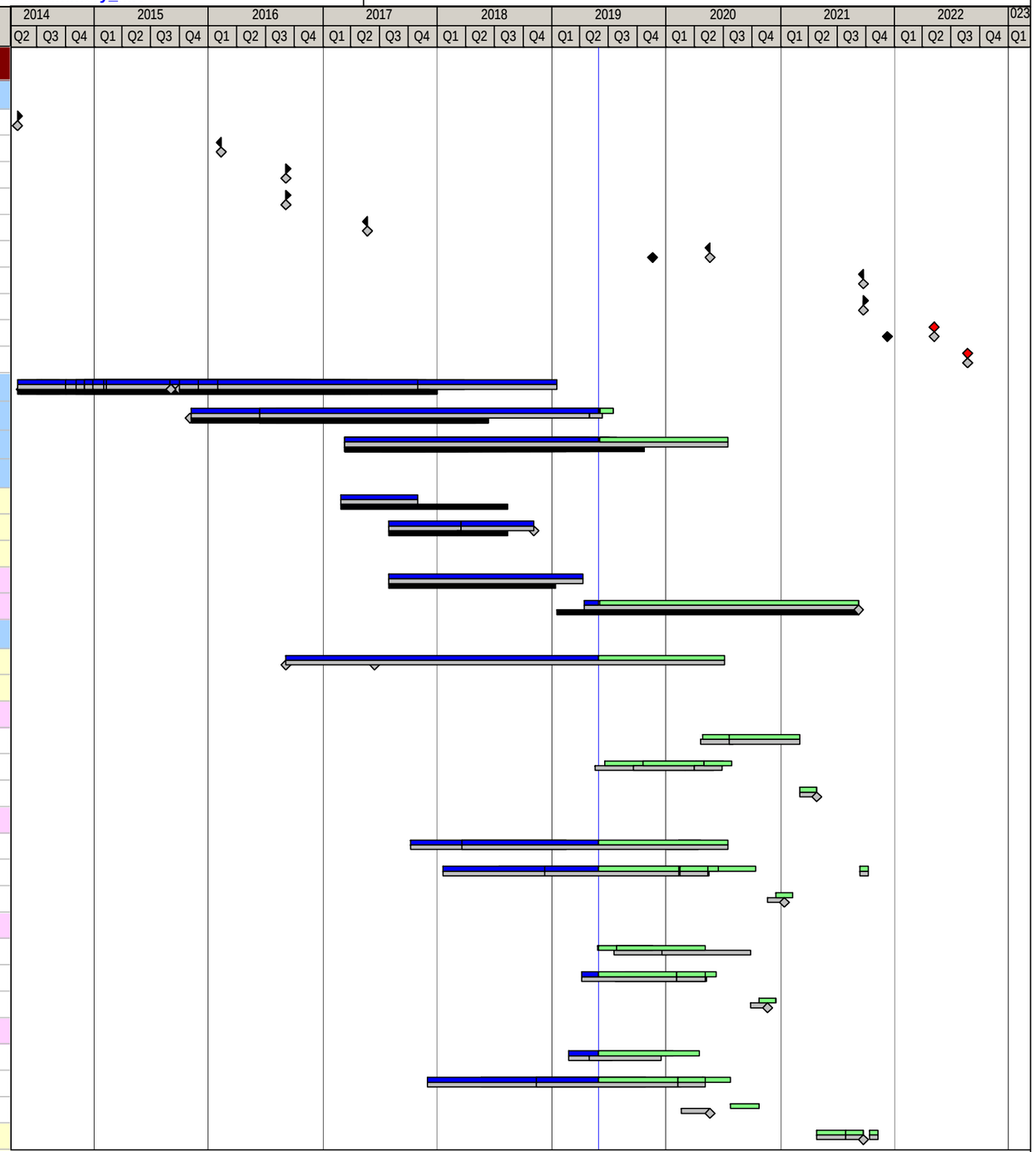
#	Activity Name	Duration	Start	Finish
1	**MASTER PROGRAM SCHEDULE C18.04**	2168d	05-01-14 A	08-22-22
2	**MILESTONES**	2168d	05-01-14 A	08-22-22
3	Start	0d	05-01-14 A	
4	NEPA Reevaluation Complete	0d		02-11-16 A
5	LNTP to Electrification Contractor	0d	09-06-16 A	
6	LNTP to Vehicle Manufacturer	0d	09-06-16 A	
7	FTA Issues FFGA	0d		05-23-17 A
8	Segment 4 (incl. Test Track) Complete	0d		05-22-20
9	Electrification Substantial Completion	0d		09-24-21
10	Start Phased Revenue Service	0d	09-24-21	
11	Revenue Service Date (RSD) w/out Risk Contingency	0d		05-06-22
12	Revenue Service Date (RSD) w/ Risk Contingency (FFGA RSD)	0d		08-22-22
13	**PLANNING / APPROVALS**	1230d	05-01-14 A	01-16-19 A
14	**REAL ESTATE ACQUISITION**	936d	11-05-15 A	07-15-19
15	**OVERHEAD UTILITY RELOCATION (Various)**	852d	03-10-17 A	07-17-20
16	**PG&E INFRASTRUCTURE**	1151d	03-01-17 A	09-09-21
17	**INTERCONNECT (Feasibility Study)**	171d	03-01-17 A	10-31-17 A
18	**INTERIM POWER**	322d	08-01-17 A	11-05-18 A
19	**PERMANENT POWER**	1044d	08-01-17 A	09-09-21
20	***DESIGN & PERMITTING***	431d	08-01-17 A	04-12-19 A
21	***CONSTRUCTION***	612d	04-15-19 A	09-09-21
22	**ELECTRIFICATION (BBII)**	1351d	09-06-16 A	11-09-21
23	**DESIGN**	999d	09-06-16 A	07-05-20
24	**CONSTRUCTION**	1463d	10-09-17 A	10-10-21
25	***Segment 1***	676d	06-21-19	04-26-21
26	**OCS**	309d	04-29-20	03-03-21
27	**Traction Power**	406d	06-21-19	07-30-20
28	**Segment Testing**	54d	03-04-21	04-26-21
29	***Segment 2***	1463d	10-09-17 A	10-10-21
30	**OCS**	1015d	10-09-17 A	07-19-20
31	**Traction Power**	1361d	01-19-18 A	10-10-21
32	**Segment Testing**	54d	12-19-20	02-11-21
33	***Segment 3***	621d	04-09-19 A	12-19-20
34	**OCS**	344d	05-28-19 A	05-05-20
35	**Traction Power**	430d	04-09-19 A	06-11-20
36	**Segment Testing**	54d	10-27-20	12-19-20
37	***Segment 4***	1061d	12-01-17 A	10-26-20
38	**OCS**	416d	02-25-19 A	04-15-20
39	**Traction Power**	969d	12-01-17 A	07-26-20
40	**Segment Testing**	92d	07-27-20	10-26-20
41	**TESTING**	197d	04-26-21	11-09-21

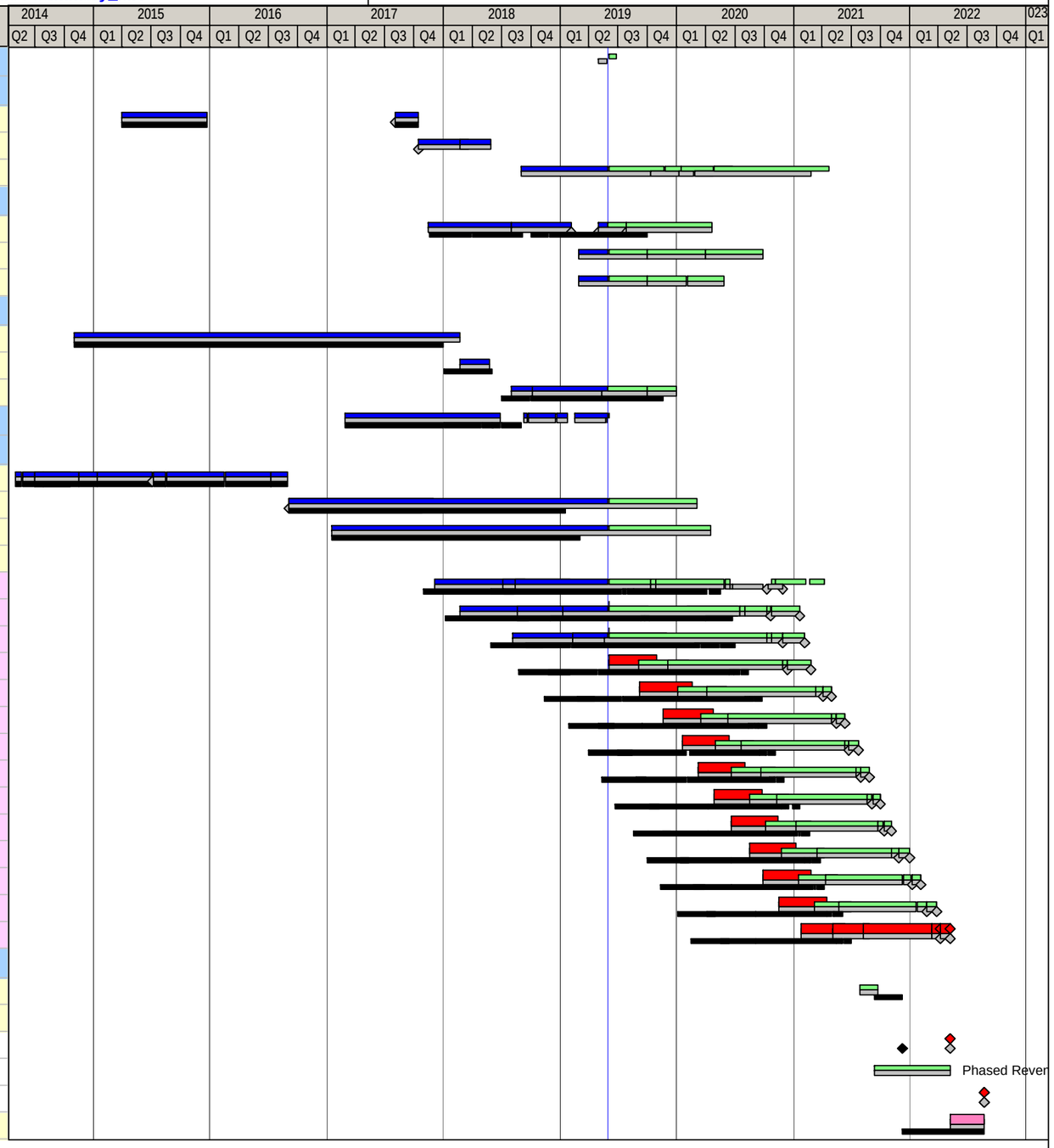


Actual Level of Effort | Progress | Critical | Prog Plan (C16.00) | Risk Contingency
Prog Plan (C16.00) | Remaining | Start Milestone | Last Months Update
Last Months Update | Near Critical | Finish Milestone | Critical Milestone

Filename: _C18.04 062019

MAY 2019 SCHEDULE UPDATE IS DRAFT UNTIL FINALIZED AT JUNE 2019 MONTH END

#	Activity Name	Duration	Start	Finish
42	**DRILL TRACK (TASI)**	20d	06-03-19	06-28-19
43	**SCADA (Arinc)**	1543d	03-30-15 A	04-23-21
44	**PREPARE SOLE SOURCE & AWARD**	649d	03-30-15 A	10-16-17 A
45	**DESIGN**	157d	10-16-17 A	05-31-18 A
46	**IMPLEMENTATION, TEST, INSTALL & CUTOVER**	671d	09-04-18 A	04-23-21
47	**CEMOF (Various)**	750d	11-16-17 A	09-30-20
48	**CEMOF MODIFICATIONS (ProVen)**	633d	11-16-17 A	04-20-20
49	**PANTORGRAPH INSPECTION & MONITORING SYSTEM (Ctr TBD)**	404d	03-01-19 A	09-30-20
50	**SCISSOR LIFT WORK PLATFORM (Ctr TBD)**	318d	03-01-19 A	05-29-20
51	**TUNNEL MODIFICATION (ProVen)**	1348d	10-31-14 A	12-31-19
52	**DESIGN**	840d	10-31-14 A	02-22-18 A
53	**BID & AWARD**	66d	02-23-18 A	05-25-18 A
54	**CONSTRUCTION**	370d	08-01-18 A	12-31-19
55	**ELECTRIC LOCOMOTIVE (Amtrak / Mitsui)**	589d	03-01-17 A	06-04-19
56	**EMU (Stadler)**	2092d	05-01-14 A	05-06-22
57	**DEVELOP RFP, BID & AWARD**	612d	05-01-14 A	09-02-16 A
58	**DESIGN**	913d	09-06-16 A	03-05-20
59	**PROCUREMENT (Material)**	849d	01-16-17 A	04-16-20
60	**MANUFACTURING & TESTING**	1155d	12-04-17 A	05-06-22
61	***TRAINSET 1***	875d	12-04-17 A	04-09-21
62	***TRAINSET 2***	762d	02-22-18 A	01-22-21
63	***TRAINSET 3***	655d	08-06-18 A	02-05-21
64	***TRAINSET 4***	455d	06-03-19	02-26-21
65	***TRAINSET 5***	430d	09-09-19	04-30-21
66	***TRAINSET 6***	410d	11-18-19	06-11-21
67	***TRAINSET 7***	395d	01-20-20	07-23-21
68	***TRAINSET 8***	385d	03-09-20	08-27-21
69	***TRAINSET 9***	375d	04-27-20	10-01-21
70	***TRAINSET 10***	360d	06-22-20	11-05-21
71	***TRAINSET 11***	360d	08-17-20	12-31-21
72	***TRAINSET 12***	355d	09-28-20	02-04-22
73	***TRAINSET 13***	355d	11-16-20	03-25-22
74	***TRAINSET 14***	335d	01-25-21	05-06-22
75	**TESTING & STARTUP (JPB)**	280d	07-26-21	08-22-22
76	**PRE-REVENUE TESTING**	61d	07-26-21	09-24-21
77	**REVENUE OPERATIONS**	243d	09-10-21	08-22-22
78	Revenue Service Date (RSD) w/out Risk Contingency	0d		05-06-22
79	Phased Revenue Service	167d	09-10-21	05-06-22
80	Revenue Service Date (RSD) w/ Risk Contingency (FFGA RSD)	0d		08-22-22
81	**RISK CONTINGENCY**	108d	05-07-22	08-22-22



Actual Level of Effort | Progress | Critical | Prog Plan (C16.00) | Risk Contingency
Prog Plan (C16.00) | Remaining | Start Milestone | Last Months Update
Last Months Update | Near Critical | Finish Milestone | Critical Milestone

Filename: _C18.04 062019

MAY 2019 SCHEDULE UPDATE IS DRAFT UNTIL FINALIZED AT JUNE 2019 MONTH END

Appendix D – Standard Cost Codes

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Description of Work	Approved Budget (A)	Cost This Month (B)	Cost To Date (C)	Estimate To Complete (D)	Estimate At Completion (E) = (C) + (D)
10 - GUIDEWAY & TRACK ELEMENTS	**$27,973,942**	**$47,549**	**$22,770,840**	**$5,303,102**	**$28,073,942**
10.02 Guideway: At-grade semi-exclusive (allows cross-traffic)	$2,500,000	$0	$0	$2,600,000	$2,600,000
10.07 Guideway: Underground tunnel	$25,473,942	$47,549	$22,770,840	$2,703,102	$25,473,942
10.07 Allocated Contingency	$0	$0	$0	$0	$0
30 - SUPPORT FACILITIES: YARDS, SHOPS, ADMIN. BLDGS	**$7,050,777**	**$0**	**$0**	**$7,050,777**	**$7,050,777**
30.03 Heavy Maintenance Facility	$6,550,777	$0	$0	$6,550,777	$6,550,777
30.03 Allocated Contingency	$0	$0	$0	$0	$0
30.05 Yard and Yard Track	$500,000	$0	$0	$500,000	$500,000
40 - SITEWORK & SPECIAL CONDITIONS	**$267,024,916**	**$2,239,446**	**$114,406,276**	**$148,345,640**	**$262,751,916**
40.01 Demolition, Clearing, Earthwork	$3,077,685	($47,500)	$2,833,500	$244,185	$3,077,685
40.02 Site Utilities, Utility Relocation	$92,728,599	$745,805	$43,016,747	$45,438,852	$88,455,599
40.02 Allocated Contingency	($0)	$0	$0	($0)	($0)
40.03 Haz. mat'l, contam'd soil removal/mitigation, ground water treatments	$2,200,000	$61,337	$2,692,823	($492,823)	$2,200,000
40.04 Environmental mitigation, e.g. wetlands, historic/archeologic, parks	$32,679,208	$63,375	$1,343,420	$31,335,788	$32,679,208
40.05 Site structures including retaining walls, sound walls	$568,188	$0	$0	$568,188	$568,188
40.06 Pedestrian / bike access and accommodation, landscaping	$764,933	$0	$0	$764,933	$764,933
40.07 Automobile, bus, van accessways including roads, parking lots	$284,094	$0	$0	$284,094	$284,094
40.08 Temporary Facilities and other indirect costs during construction	$114,112,209	$1,416,429	$64,519,787	$49,792,422	$114,312,209
40.08 Allocated Contingency	$20,610,000	$0	$0	$20,410,000	$20,410,000
50 - SYSTEMS	**$519,533,064**	**$5,559,061**	**$77,787,007**	**$449,432,824**	**$527,219,832**
50.01 Train control and signals	$99,483,668	$431,202	$10,252,992	$89,230,676	$99,483,668
50.01 Allocated Contingency	$0	$0	$0	$0	$0
50.02 Traffic signals and crossing protection	$23,879,905	$0	$0	$23,879,905	$23,879,905
50.02 Allocated Contingency	$1,140,000	$0	$0	$1,140,000	$1,140,000
50.03 Traction power supply: substations	$71,086,729	$1,296,456	$19,871,806	$65,207,844	$85,079,649
50.03 Allocated Contingency	$28,048,952	$0	$0	$27,941,351	$27,941,351
50.04 Traction power distribution: catenary and third rail	$272,124,429	$3,831,403	$47,662,210	$228,875,945	$276,538,154
50.04 Allocated Contingency	$16,206,081	$0	$0	$5,593,805	$5,593,805
50.05 Communications	$5,455,000	$0	$0	$5,455,000	$5,455,000
50.07 Central Control	$2,090,298	$0	$0	$2,090,298	$2,090,298
50.07 Allocated Contingency	$18,000	$0	$0	$18,000	$18,000
60 - ROW, LAND, EXISTING IMPROVEMENTS	**$35,675,084**	**$2,184,149**	**$18,027,112**	**$17,647,972**	**$35,675,084**
60.01 Purchase or lease of real estate	$25,927,074	$2,184,149	$17,898,538	$8,028,537	$25,927,074
60.01 Allocated Contingency	$8,748,010	$0	$0	$8,748,010	$8,748,010
60.02 Relocation of existing households and businesses	$1,000,000	$0	$128,574	$871,426	$1,000,000
70 - VEHICLES (96)	**$625,755,807**	**$2,908,788**	**$145,111,438**	**$480,644,368**	**$625,755,807**
70.03 Commuter Rail	$588,301,135	$2,908,788	$144,620,188	$450,393,375	$595,013,563
70.03 Allocated Contingency	$10,550,740	$0	$0	$3,838,312	$3,838,312
70.06 Non-revenue vehicles	$8,140,000	$0	$491,250	$7,648,750	$8,140,000
70.07 Spare parts	$18,763,931	$0	$0	$18,763,931	$18,763,931
80 - PROFESSIONAL SERVICES (applies to Cats. 10-50)	**$329,356,410**	**$3,463,164**	**$270,312,247**	**$63,363,210**	**$333,675,457**
80.01 Project Development	$130,350	$0	$280,180	($149,830)	$130,350
80.02 Engineering (not applicable to Small Starts)	$186,457,254	$1,367,364	$191,679,547	($1,150,556)	$190,528,990
80.02 Allocated Contingency	$299,308	$0	$0	$546,619	$546,619
80.03 Project Management for Design and Construction	$72,987,401	$1,504,985	$59,702,537	$13,284,864	$72,987,401
80.03 Allocated Contingency	$9,270,000	$0	$0	$9,270,000	$9,270,000
80.04 Construction Administration & Management	$22,557,063	$465,501	$10,948,113	$19,307,421	$30,255,534
80.04 Allocated Contingency	$20,657,886	$0	$0	$12,959,415	$12,959,415
80.05 Professional Liability and other Non-Construction Insurance	$4,305,769	$0	$3,558,530	$747,238	$4,305,769
80.06 Legal; Permits; Review Fees by other agencies, cities, etc.	$6,341,599	$119,769	$4,116,838	$2,224,761	$6,341,599
80.06 Allocated Contingency	$556,000	$0	$0	$556,000	$556,000
80.07 Surveys, Testing, Investigation, Inspection	$3,367,824	$5,544	$26,501	$3,341,322	$3,367,824
80.08 Start up	$1,797,957	$0	$0	$1,797,957	$1,797,957
80.08 Allocated Contingency	$628,000	$0	$0	$628,000	$628,000
Subtotal (10 - 80)	**$1,812,370,000**	**$16,402,157**	**$648,414,921**	**$1,171,787,894**	**$1,820,202,815**
90 - UNALLOCATED CONTINGENCY	**$108,402,296**	**$0**	**$0**	**$100,569,481**	**$100,569,481**
Subtotal (10 - 90)	**$1,920,772,296**	**$16,402,157**	**$648,414,921**	**$1,272,357,375**	**$1,920,772,296**
100 - FINANCE CHARGES	**$9,898,638**	**$90,294**	**$5,504,989**	**$4,393,649**	**$9,898,638**
Total Project Cost (10 - 100)	**$1,930,670,934**	**$16,492,451**	**$653,919,910**	**$1,276,751,024**	**$1,930,670,934**

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Appendix E – Change Order Logs

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Change Order Logs

Electrification Contract

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

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

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)	$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
		Total	**$21,547,389**	**14.70 %**	**$29,710,325**

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%[2]	-
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%[2]	-
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%[2]	-
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 FNTP	$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%[2]	-
10/29/2018	STA-056-CCO-012	Multiple Change Group 4	$0	0.00%[2]	-
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]	-
		Total	**$172,693,057**	**(2.17%)**	**$28,141,963**

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 Usage[1]	Remaining Authority
	None to date				
		Total	**$0**	**0.00%**	**$517,038**

Notes:

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

Tunnel Modifications Contract

Change Order Authority (10% of ProVen Contract[1]) **10% x $55,077,777 = $5,507,778**

Date	Change Number	Description	CCO Amount	Change Order Authority Usage[2]	Remaining Authority
3/27/2019	PROV-070-CCO-003	Track Access Delay	$25,350	0.46 %	$5,482,428
3/27/2019	PROV-070-CCO-004	Additional OCS Potholing Due to Conflict with Existing Utilities	$70,935	1.29 %	$5,411,493
3/27/2019	PROV-070-CCO-005	Install Tie Backs and Piles in Boulders at Tunnel 4	$29,478	0.54 %	$5,382,015
3/28/2019	PROV-070-CCO-001	Partnering Meetings (50% PCEP)	$14,443	0.26 %	$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
		Total	**$199,994**	**3.63%**	**$5,307,784**

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.

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
	None to date				
		Total	**$0**	**0.00%**	**$655,078**

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.

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Appendix F – Risk Table

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Listing of PCEP Risks and Effects in Order of Severity

ID	RISK DESCRIPTION	EFFECT(S)
279	BBII may be unable to develop grade crossing modifications that meets stakeholder and regulatory requirements within the program schedule.	Delay to revenue service and associated costs for delay.
313	Contractor sequencing of early utility location, preliminary design, and foundation construction may result in inefficiencies in construction, redesign, and reduced production rates.	Delay and additional cost for rework.
303	Extent of differing site conditions and delays in resolving differing site conditions delays completion of electrification increases program costs. Contractor is encountering more DSCs than anticipated and taking longer to resolve.	More differing site conditions and longer to resolve. Extends construction of foundations and the OCS system and results in less efficient construction of foundations.
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.
223	Major program elements may not be successfully integrated with existing operations and infrastructure in advance of revenue service.	Proposed changes resulting from electrification may not be fully and properly integrated into existing system. Rework resulting in cost increases and schedule delays
257	Potential that modifications to the PTC database and signal software are not completed in time for cutover and testing.	Failure to follow the Configuration Management process will result in delays to completing PCEP signal cutovers. This could delay milestone completion as well as project substantial completion.
268	Decisions on stakeholder requested changes to the vehicles (e.g., High Level Doors in lieu of windows as emergency exits) delays revenue service date.	Delays to completion of construction and additional cost to changes in design.
14	JPB will delay timely decision to reconfigure seats and upper level doors to comply with FRA waiver denial, resulting in increased cost and delay to RSD.	Schedule delay. Cost increase.
267	Additional property acquisition is necessitated by change in design.	New project costs and delays to schedule.
308	Rejection of DVR for ATF and static wires results in cost and schedule impacts to PCEP.	Delay and delay claims

ID	RISK DESCRIPTION	EFFECT(S)
298	Changes to PTC implementation schedule could delay completion of the electrification work. Cost and schedule of BBII contract could increase as a result of change in PTC system	1. Changes in data files could affect what Balfour provides; could delay timing for testing; could change books that FRA had to review. 2. Full integrated testing between EMU and wayside cannot be conducted without PTC in place. 3. Delays to completion of signal system could result in conflicts with PTC testing and PCEP construction and integrated testing. 4. Potential for track access impacts due to PTC testing.
209	TASI may not have sufficient number of signal maintainers for testing.	• Delays to construction/testing. • Delays to completion of infrastructure may delay acceptance of vehicles
302	May not have a 110-mph electrified section of track that will be ready for testing for final acceptance of vehicle.	Contract with Stadler implies readiness of Electrification Project and track upgrades for EMU testing Delays in testing may increase Caltrain costs.
240	Property not acquired in time for contractor to do work. Property Acquisition not complete per contractor availability date <>Fee <>Easement <>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	• Potential delays in construction schedule
263	Collaboration across multiple disciplines to develop a customized rail activation program may fail to comprehensively address the full scope of issues required to operate and maintain an electrified railroad and decommission the current diesel fleet.	Delay in testing of EMUs. Delay in Revenue Service Date. Additional costs for Stadler and BBII due to overall schedule delays.
304	FRA has concerns in how bikes are placed on new EMUs.	Protracted negotiations with FRA to achieve original design
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.

ID	RISK DESCRIPTION	EFFECT(S)
312	Project executed the OCS Option; increase procurement durations for necessary OCS Parts (Conductor Rail) has led to an associated increase in costs and schedule duration for the overall project. This	Additional cost to project, primarily from additional bus bridges.
67	Relocation of overhead utilities must precede installation of catenary wire and connections to TPSs. Relocation work will be performed by others and may not be completed to meet BBII's construction schedule.	Delay in progress of catenary installation resulting in claims and schedule delay
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.
136	UP reviews of BBI design may extend project duration.	Delays to completion of design and claims for delay.
261	EMU electromechanical emissions and track circuit susceptibility are incompatible.	Changes on the EMU and/or signal system require additional design and installation time and expense.
276	BBII may be unable to get permits required by jurisdictions for construction in a timely manner.	Additional cost and time resulting from delays to construction
277	Inadequate D-B labor to support multiple work segments	Additional cost and time
280	Field equipment installed by D/B contractor may not communicate with the Central Control Facility (CCF), the Back-Up Central Control Facility (BCCF) through SCADA and function as designed.	Could require the acquisition and installation of additional equipment at BCCF and CCF. Could therefore require additional cost and time
281	Additional work in the form of signal/pole adjustments may be required to remedy sight distance impediments arising from modifications to original design.	Add repeater signals, design duct bank would result in increased design and construction costs.
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
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

ID	RISK DESCRIPTION	EFFECT(S)
295	Contractor may not be able to complete tunnel work within contractual requirement to complete within the 28 scheduled weekends due to the extent and complexity of the work and need to coordinate civil/structural work with electrical work. • Contractor may not be able to complete notching and grouting work during 24 weekend shutdowns • Notching work could adversely affect radio communication equipment in the tunnels; solution to avoid impact may not be developed in time to implement. • Resolution of utility conflicts at portal structures.	Delays to completion of construction and associated claims costs.
296	BBII needs to complete interconnection and traction power substations be sufficiently complete to accept interim power	Delay in testing and increased costs
307	Potential for Stadler's sub-suppliers to fall behind schedule	Late delivery of vehicles, which could delay testing of the electrification system, commissioning of the vehicles, and RSD.
13	Vehicle manufacturer could default.	Prolonged delay to resolve issues (up to 12 months) Increase in legal expenses Potential price increase to resolve contract issue
10	Delays in parts supply chain result in late completion of vehicles.	• 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)
12	Potential for electromagnetic interference (EMI) to private facilities with sensitive electronic equipment caused by vehicles.	• Increased cost due to mitigation • Potential delay due to public protests or environmental challenge.
56	Lack of operations personnel for testing.	• Testing delayed. • Change order for extended vehicle acceptance.
88	Construction safety program fails to sufficiently maintain safe performance.	Work stoppages due to safety incidents resulting in schedule delay and additional labor costs.

ID	RISK DESCRIPTION	EFFECT(S)
161	Unanticipated costs to provide alternate service (bus bridges, etc.) during rail service disruptions.	Cost increase.
183	Installation and design of new duct bank takes longer because of UP coordination	Schedule - Delay. May need to use condemnation authority to acquire easement. Cost - Additional cost for PG&E to make connections increasing project costs
247	Timely resolution of 3rd party design review comments to achieve timely approvals	Delay to completion of design and associated additional labor costs.
270	OCS poles or structures as designed by Contractor fall outside of JPB row	Additional ROW Take, additional cost and time
294	UP does not accept catenary pole offsets from centerline of track necessitating further negotiation or relocation of poles	Delay to construction and additional costs for redesign and ROW acquisition.
82	Unexpected restrictions could affect construction progress: <> night work <> noise <> local roads <> local ordinances	• Reduced production rates. • Delay
119	Coordination of electrification design with Operations	• Qualified individuals may not be available. • Training may take longer than anticipated.
241	Segment 4 substantially complete (Segment 4, TPS-2, Interconnect) may not be installed prior to scheduled exercising of EMUs	Inability to exercise EMUs
253	Risk that existing conditions of Caltrans-owned bridges will not support bridge barriers. The existing bridge conditions and structural systems are unknown and may not support mounting new work Design will need to prove new barriers will not impact existing capacity of the bridges prior to Caltrans's approval for construction. Without approval of design and issuance of permit, there is risk to the schedule for the work and also budget if during design existing bridge will require some upgrades due to the introduction of new attachments.	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.

ID	RISK DESCRIPTION	EFFECT(S)
11	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
16	Inter-operability issues with diesel equipment.	Cost increase.
31	New cars possibly not reliable enough to be put into service as scheduled	Operating plan negatively impacted
78	Need for unanticipated, additional ROW for new signal enclosures.	Delay while procuring ROW and additional ROW costs.
171	Electrification facilities could be damaged during testing.	Delay in commencing electrified operations.
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.	Vehicle cost increase. Vehicle delivery delay.
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.
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.
259	Work on 25th Avenue Grade Separation Project could delay Balfour construction schedule.	• Increased cost for BBI as catenary construction in this section was anticipated to be constructed under the 25th Avenue Grade Separation Project. • Potential delays in construction schedule • Risk is delay to BBI
271	Need for additional construction easements beyond that which has been provided for Contractor proposed access and staging	Additional cost and time
272	Final design based upon actual Geotech conditions	Could require changes
288	Independent checker finds errors in signal design and technical submittals	Additional cost and time

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.
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.
19	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.
21	EMU production delay. Possible that there are quality issues, failed factory tests, poor integration / control of suppliers.	Schedule Increase - up to 6 months (6 months float already built into 36 month schedule)
27	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.
42	Full complement of EMUs not available upon initiation of electrified revenue service	Late delivery impacts revenue service date.
55	Failure to pass Qualification Testing.	Cost Increase - minimal Schedule delay
61	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

ID	RISK DESCRIPTION	EFFECT(S)
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 • $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.
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.
8	Requests for change orders after vehicles are in production	Delays to manufacturering of vehicles and additional design and manufacturing costs.
23	Manufacturer cannot control vehicle weight to meet specifications.	Increased operating cost.
25	Potential that vehicles cannot meet requirements for "Mean Time to Repair" (MTTR).	Increased maintenance cost.
32	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.
51	Damage during delivery of first six EMUs.	Schedule delay
53	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)
54	Infrastructure not ready for vehicles (OCS, TPS, Commissioning site / facility).	Increases cost if done off property

ID	RISK DESCRIPTION	EFFECT(S)
69	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
87	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
182	Compliance with Buy America requirements for 3rd party utility relocations. <>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 <>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% <>Risk is substation not relocations <>Substation equipment is available domestically, has 6 month longer lead time and increased cost of 20%	• Increased cost • Delay

ID	RISK DESCRIPTION	EFFECT(S)
192	Environmental compliance during construction. - Potential impact to advancing construction within the vicinity of any cultural finds that are excavated. - Failure to meet the commitments contained within the PCEP EA, FEIR and permit conditions	• Delay • Cost increase
195	Introduction of electrified train service will require training of first responders in working in and around the rail corridor. The new vehicles will be considerably quieter than the existing fleet and the presence of high voltage power lines will require new procedures for emergency response. A new training program will need to be developed and disseminated for: • Fire, police, and first responders • Local communities • Schools	Safety hazards resulting in incidents that delay construction and increase labor cost. Delays in RSD until training is completed as requirement of safety certification process.
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.
244	Determine that there is sufficient storage for both EMU and Diesel fleets while maintaining Yard/Vehicle operability.	Potential delay in completion of Test & Commissioning due to vehicle movements & logistics
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.
249	Coordination and delivery of permanent power for power drops along alignment	Delays in completion of construction and testing with associated increase in costs.
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

ID	RISK DESCRIPTION	EFFECT(S)
273	Contractor generates new hazardous materials, necessitates proper removal and disposal of existing hazardous materials identified in the Contract for D-B remediation.	Delay to construction while removing and disposing of hazardous materials resulting in schedule delay, increased construction costs, and schedule delay costs.
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.
283	Fluctuation in foreign currency v US dollar	Increase in costs
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
297	Cost and schedule of Stadler contract could increase as a result of this change in PTC system Delay of PTC may delay acceptance of EMUs.	1) Full integrated testing between EMU and wayside cannot be conducted without PTC in place. 2) Delay in EMU final design for PTC and potential PTC interfaces. Need to finalize braking system sequence priority.

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Appendix G – MMRP Status Log

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Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
AES-2a: Minimize OCS construction activity on residential and park areas outside the Caltrain ROW.	**X**	**X**			Ongoing	The OCS proposed construction schedule has been provided to the JPB. OCS construction began the week of October 2, 2017. The D-B has 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.
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.

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. 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. It should be noted that during this reporting period, a voluntary refresher training was performed by the Qualified Biologist, in regards to environmentally sensitive areas that are delineated for avoidance along the alignment. These refresher trainings occur periodically as part of the regular all-hands safety meetings that are conducted by BBII staff.
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 was submitted for Segments 1 and 3 and approved during this reporting period. The plan will be implemented prior to initiation of construction activities in those portions of segments 1 and 3 that require wildlife exclusion fencing.
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 commenced in 2018. Prior to construction activities in Segment 4, pre-construction surveys of the potential habitat areas occured 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. No Burrowing Owls were observed during the 2018 surveys. Protocol surveys for Western Burrowing Owl were initiated once again in March 2019 in Segment 4, and will continue through July 2019 (with a total of four surveys occurring at each habitat location during the survey effort, in accordance with CDFW protocol). No Burrowing Owls were observed during the surveys that occurred during this reporting period. No Burrowing Owls 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-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. Nesting bird surveys were initiated once again on February 1st, 2019, and continued during this reporting period. Three new active nests (dark-eyed junco, hummingbird, and swallow) were observed during this reporting period, and no-disturbance buffers were placed around the nests in the field. One previously identified nest (Killdeer) was determined to be inactive during this reporting period, after it was observed that the nestlings had fledged. In addition, another nest (dark-eyed junco) which was identified during this reporting period, was determined to be inactive after it was observed the nestlings had fledged. In both cases, the no-disturbance buffers were subsequently removed. As of the end of the reporting period, there are two active nests, which are being monitored as needed to determine when the nestlings have fledged, and the nests are no longer considered active.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
BIO-1h: Conduct biological resource survey of future contractor-determined staging areas.	**X**	**X**			Ongoing	The agency-approved Qualified Biologist has conducted surveys of the staging areas currently being used for construction activities. No special-status species or other potentially sensitive biological resources were observed. The agency-approved Qualified Biologist will continue to survey ahead of the initiation of activities at planned staging areas as the Project moves into new construction areas.
BIO-1i: Minimize impacts on Monarch butterfly overwintering sites.	**X**	**X**			Ongoing	The agency-approved Qualified Biologist has periodically monitored the project limits to evaluate the presence of Monarch butterfly overwintering sites. No Monarch butterfly overwintering sites have been observed on the Project to date.
BIO-1j: Avoid nesting birds and bats during vegetation maintenance.				**X**	Upcoming	To be completed during Project operation.
BIO-2: Implement serpentine bunchgrass avoidance and revegetation measures.	**X**	**X**	**X**		Complete	Not applicable. Subsequent habitat assessment and avoidance of Communication Hill eliminated any potential to affect serpentine bunchgrass. This measure is no longer needed.
BIO-3: Avoid or compensate for impacts on wetlands and waters.	**X**	**X**	**X**		Complete	The JPB has compensated for unavoidable wetland impacts by purchasing adequate credits from a wetlands mitigation bank approved by USACE and SFRWQCB.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
BIO-5: Implement Tree Avoidance, Minimization, and Replacement Plan.	**X**	**X**	**X**		Ongoing	Tree removal and pruning activities were initiated in August 2017 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 *Santa Clara Valley Habitat Plan* land cover fee (if necessary).	**X**				Complete	Not applicable. The SCVHP does not apply to the Project because TPS2, Option 1 was not selected and OCS does not extend to Communication Hill. This measure is not needed.
CUL-1a: Evaluate and minimize impacts on structural integrity of historic tunnels.	**X**				Upcoming	To be implemented prior to construction in tunnels.
CUL-1b: Minimize impacts on historic decorative tunnel material.	**X**				Upcoming	To be implemented prior to construction in tunnels. Historic American Engineering Record (HAER) documentation was completed in October 2018, pursuant to this measure.
CUL-1c: Install project facilities in a way that minimizes impacts on historic tunnel interiors.	**X**				Upcoming	To be implemented prior to construction in tunnels.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
CUL-1d: Implement design commitments at historic railroad stations	**X**				Complete	The Qualified Architectural Historian completed and submitted the HABS Level III documents to the JPB for all seven of the historic stations. Pole placement has been designed to minimize the visual impact to historic stations and all design changes are reviewed by the Environmental Compliance Lead to ensure the mitigation measure is being implemented as the design of the project progresses.
CUL-1e: Implement specific tree mitigation considerations at two potentially historic properties and landscape recordation, as necessary.	**X**	**X**			Complete	It was determined that the project is not acquiring any ROW at either of the subject properties so all tree effects would be within the JPB ROW. Therefore, the APE does not include these two historic properties. This measure is no longer needed.
CUL-1f: Implement historic bridge and underpass design requirements.	**X**				Ongoing	This measure is being implemented as described during the design process and will be incorporated into the final design. The four bridges that are included in the MMRP are rail bridges crossing over another feature. Design of the OCS system is taking into account that there are requirements that restrict the design. Thus far, the designs for Construction Segments 2 & 4 are in process and designs are not yet complete. The D-B will forward to the Architectural Historian once complete.
CUL-2a: Conduct an archaeological resource survey and/or monitoring of the removal of pavement or other obstructions to determine if historical resources under CEQA or	**X**				Ongoing	Periodic inspections of ground surface areas along the alignment, in conjunction with cultural monitoring as-needed of project activities in culturally sensitive areas are ongoing. The Archaeological Final Report will be provided at the

Mitigation Monitoring and Reporting

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

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						present for all exploratory trenching and subsurface testing work.
CUL-2e: Stop work if cultural resources are encountered during ground-disturbing activities.	**X**	**X**			Ongoing	No prehistoric or historic-period cultural materials have been observed during cultural monitoring.
CUL-2f: Conduct archaeological monitoring of ground-disturbing activities in areas as determined by JPB and SHPO.		**X**			Ongoing	Cultural monitoring as-needed of project activities in culturally sensitive areas is ongoing. The Archaeological Final Report will be provided at the conclusion of construction activities.
CUL-3: Comply with state and county procedures for the treatment of human remains discoveries.		**X**			Ongoing	No human remains have been observed to date on the Project.

Mitigation Monitoring and Reporting

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

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
HAZ-2a: Conduct a Phase II Environmental Site Assessment prior to construction.	**X**				Complete	A Phase II Environmental Assessment was completed prior to construction by the JPB consultant, and the results were provided to BBI, and the required mitigation is being implemented prior to the initiation of construction activities.
HAZ-2b: Implement engineering controls and best management practices during construction.	**X**	**X**			Ongoing	Field activities are being monitored daily for significant color changes or odors which may indicate contamination.
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 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.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
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.
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.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
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.
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

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
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 Caltrain's Bicycle Access and Parking Plan.				**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 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.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	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 16th 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 as feasible between San Jose and Bayshore.				**X**	Upcoming	This measure will be implemented during project 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 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.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
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.
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.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
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.
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

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						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.
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

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						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 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.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
BIO-1i: Minimize impacts on Monarch butterfly overwintering sites.	**X**	**X**			Ongoing	The agency-approved Qualified Biologist has periodically monitored the project limits to evaluate the presence of Monarch butterfly overwintering sites. No Monarch butterfly overwintering sites have been observed on the Project to date.
BIO-1j: Avoid nesting birds and bats during vegetation maintenance.				**X**	Upcoming	To be completed during Project operation.
BIO-2: Implement serpentine bunchgrass avoidance and revegetation measures.	**X**	**X**	**X**		Complete	Not applicable. Subsequent habitat assessment and avoidance of Communication Hill eliminated any potential to affect serpentine bunchgrass. This measure is no longer needed.
BIO-3: Avoid or compensate for impacts on wetlands and waters.	**X**	**X**	**X**		Complete	The JPB has compensated for unavoidable wetland impacts by purchasing adequate credits from a wetlands mitigation bank approved by USACE and SFRWQCB.
BIO-5: Implement Tree Avoidance, Minimization, and Replacement Plan.	**X**	**X**	**X**		Ongoing	Tree removal and pruning activities were initiated in August 2017 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 *Santa Clara Valley Habitat Plan* 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.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
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.
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.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
CUL-1e: Implement specific tree mitigation considerations at two potentially historic properties and landscape recordation, as necessary.	X	X			Complete	It was determined that the project is not acquiring any ROW at either of the subject properties so all tree effects would be within the JPB ROW. Therefore, the APE does not include these two historic properties. This measure is no longer needed.
CUL-1f: Implement historic bridge and underpass design requirements.	X				Ongoing	This measure is being implemented as described during the design process and will be incorporated into the final design. The four bridges that are included in the MMRP are rail bridges crossing over another feature. Design of the OCS system is taking into account that there are requirements that restrict the design. Thus far, the designs for Construction Segments 2 & 4 are in process and designs are not yet complete. The D-B will forward to the Architectural Historian once complete.
CUL-2a: Conduct an archaeological resource survey and/or monitoring of the removal of pavement or other obstructions to determine if historical resources under CEQA or 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.

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

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
CUL-2e: Stop work if cultural resources are encountered during ground-disturbing activities.	**X**	**X**			Ongoing	No prehistoric or historic-period cultural materials have been observed during cultural monitoring.
CUL-2f: Conduct archaeological monitoring of ground-disturbing activities in areas as determined by JPB and SHPO.		**X**			Ongoing	Cultural monitoring as-needed of project activities in culturally sensitive areas is ongoing. The Archaeological Final Report will be provided at the conclusion of construction activities.
CUL-3: Comply with state and county procedures for the treatment of human remains discoveries.		**X**			Ongoing	No human remains have been observed to date on the Project.
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.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
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.
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.
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.

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

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
NOI-1b: Conduct site-specific acoustical analysis of ancillary facilities based on the final mechanical equipment and site design and implement noise control treatments where required.	**X**				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. Design is still in process and a noise study is currently being performed.
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 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				**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

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
following guidance in Caltrain's Bicycle Access and Parking Plan.						wayside bike parking facilities along 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 16th Street crossing. This measure no longer applies.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
Mitigation Measure TRA-CUMUL-3: As warranted, Caltrain and freight operators will partner to provide Plate H clearance as feasible between San Jose and Bayshore.				**X**	Upcoming	This measure will be implemented during project operation.