



## Caltrain Modernization Program Peninsula Corridor Electrification Project (PCEP)



# November 2021 Monthly Progress Report

November 30, 2021



## 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 2022, 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:

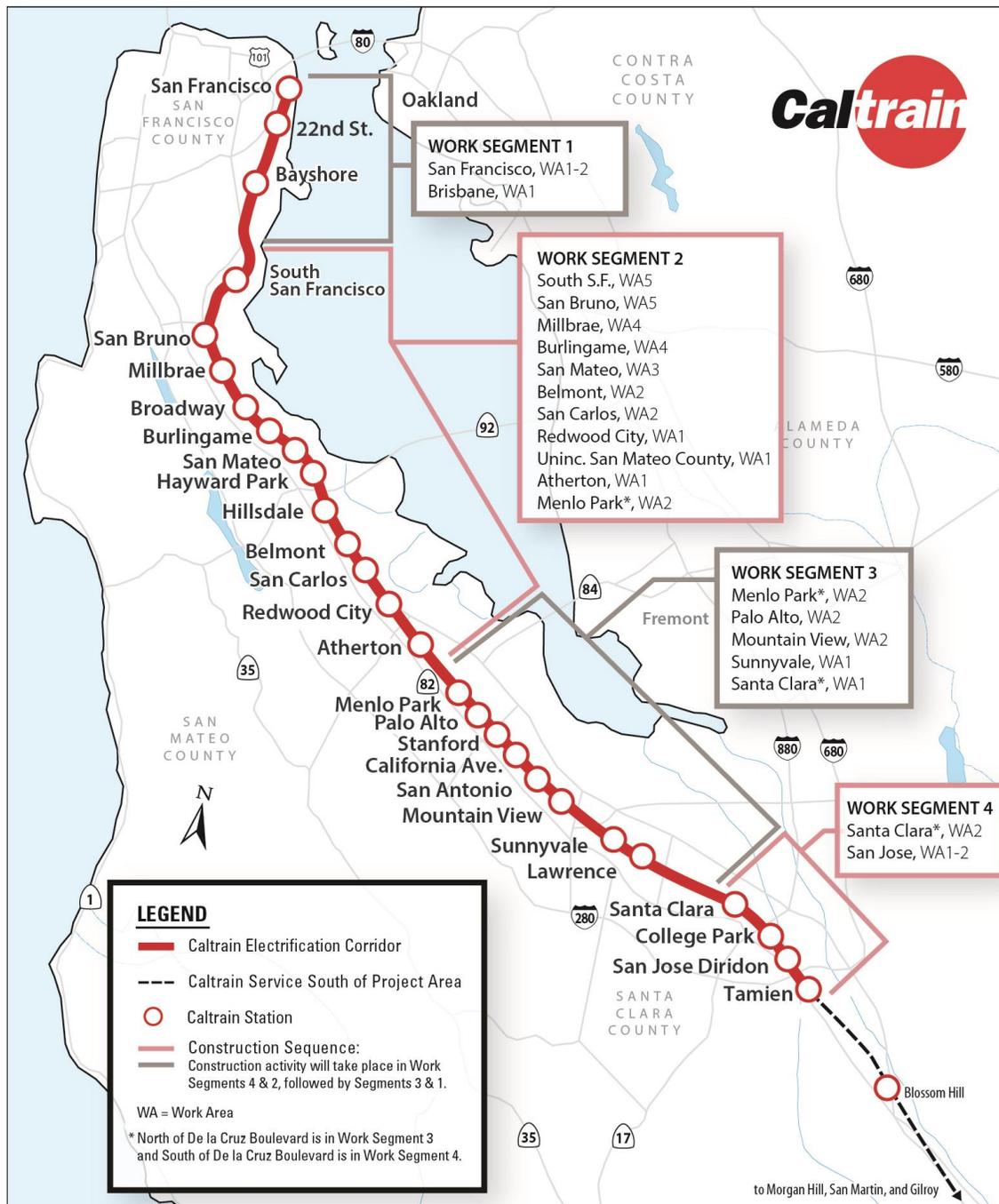
- **Improved Train Performance, Increased Ridership Capacity and Increased Service:** Electrified trains can accelerate and decelerate more quickly than diesel-powered trains, allowing Caltrain to run more efficiently. In addition, because of their performance advantages, electrified trains will enable 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**



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Segment 1 Work Area B foundations have been completed and work has begun in Segment 1 Work Area A. Work at the paralleling stations included termination of low voltage wires, access road build-up and grading, installation of transformer fit up, and removal of abandoned utilities.

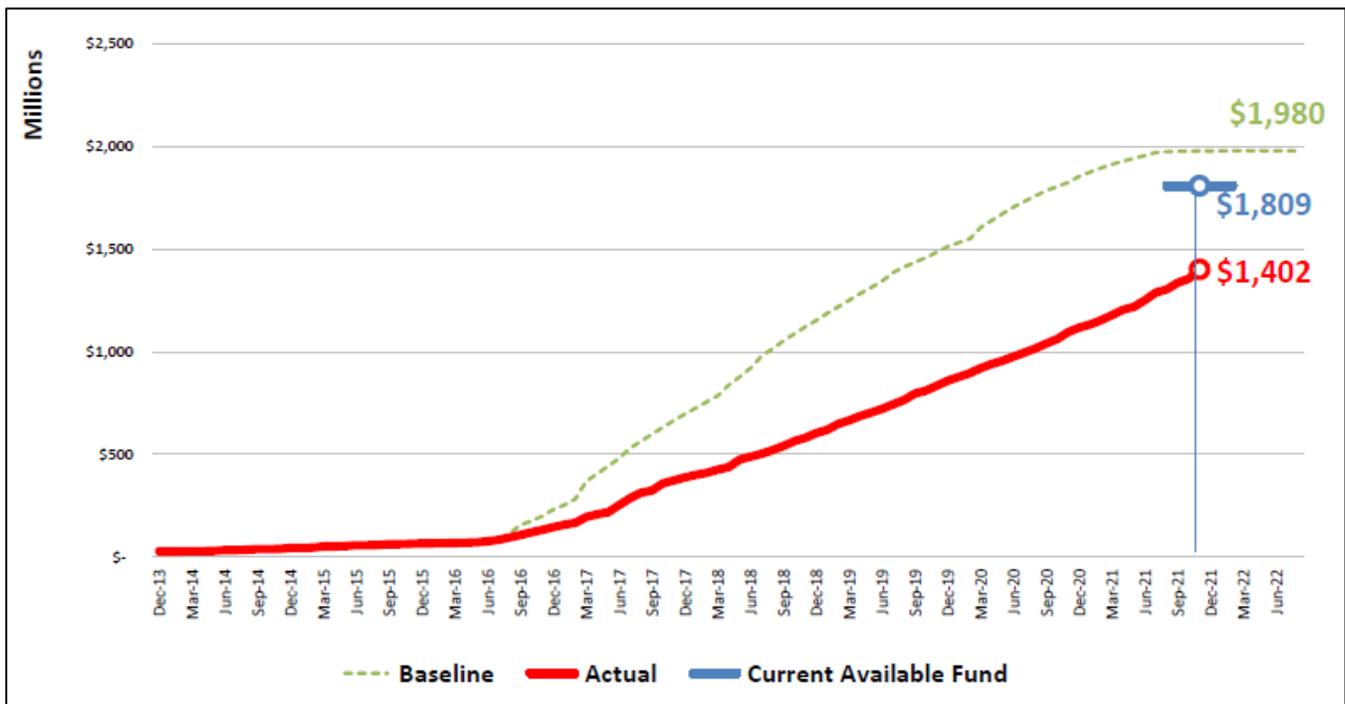
Punch list work continued at the Centralized Equipment Maintenance and Operations Facility (CEMOF). Installation for the exterior window was completed for the Component Test Room, and the fire alarm installation continued at the Part Storage Building.

Trainset 1 is still undergoing dynamic type testing in Pueblo, CO, including 8-car train control, train network, event recorder and monitoring/diagnostic system testing. Routine static and dynamic testing continued on Trainsets 3 – 7.

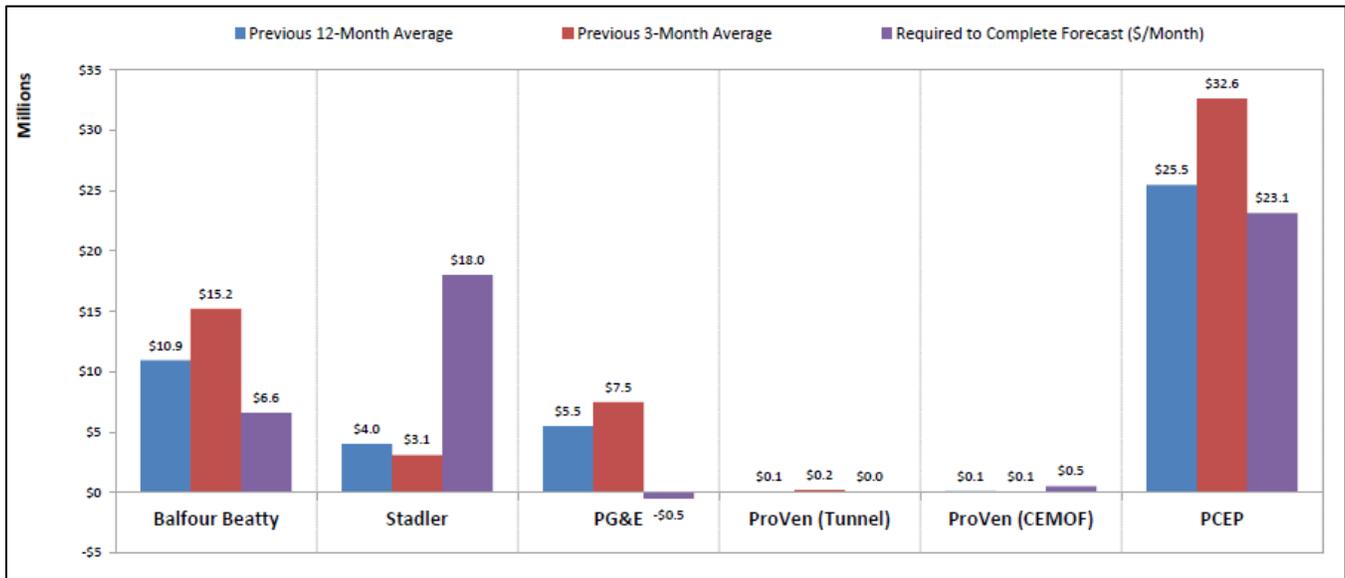
**2.1. Monthly Dashboards**

Dashboard progress charts are included below to summarize construction progress.

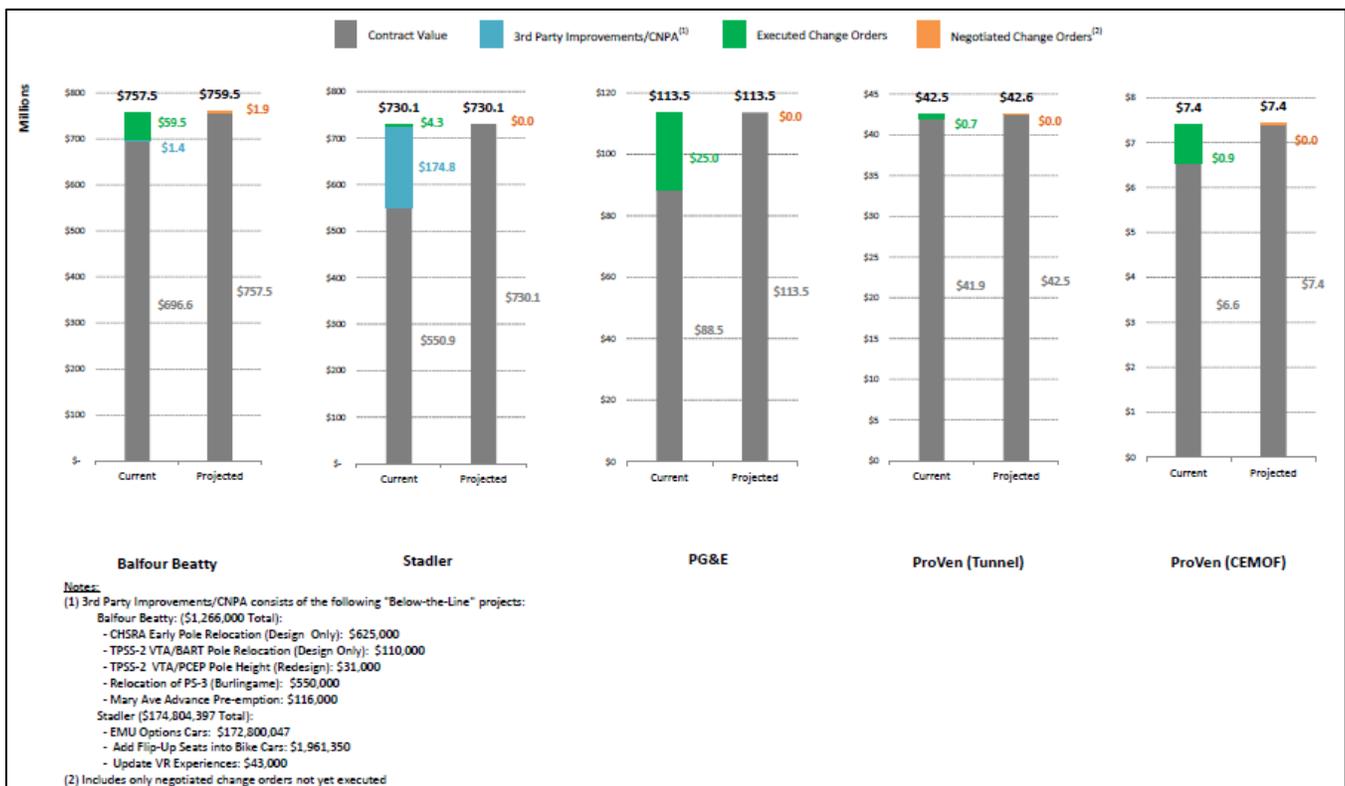
**Figure 2-2 Expenditure – Planned vs. Actual**



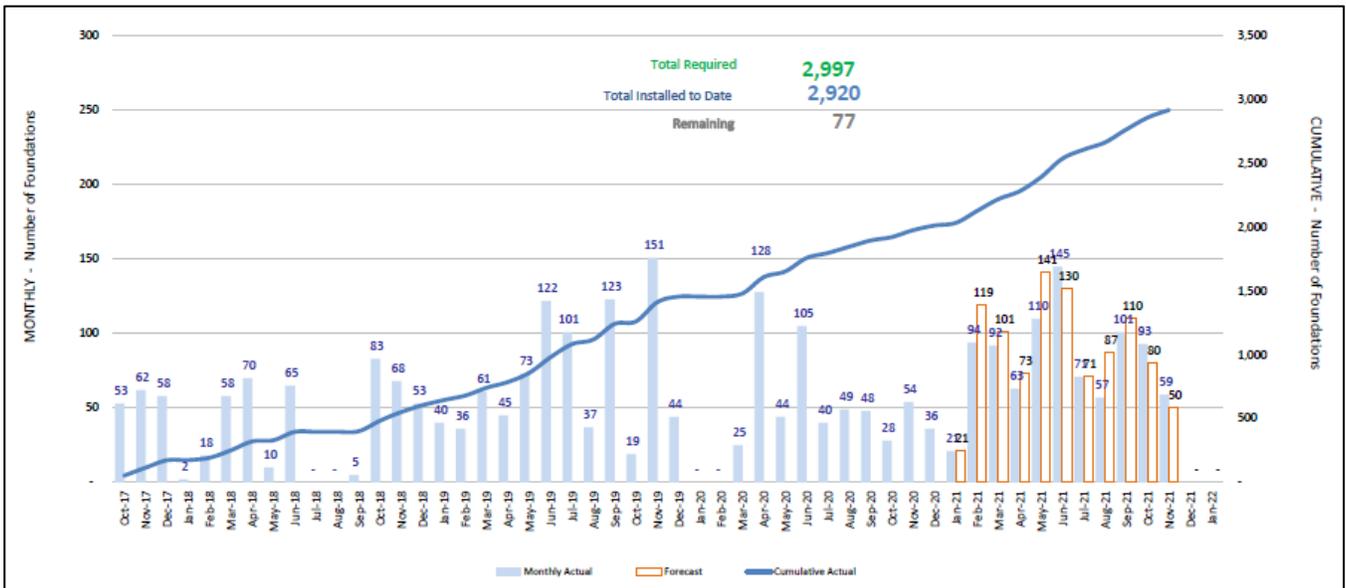
**Figure 2-3 Spending Rate vs. Required**



**Figure 2-4 Construction Contract Budgets**



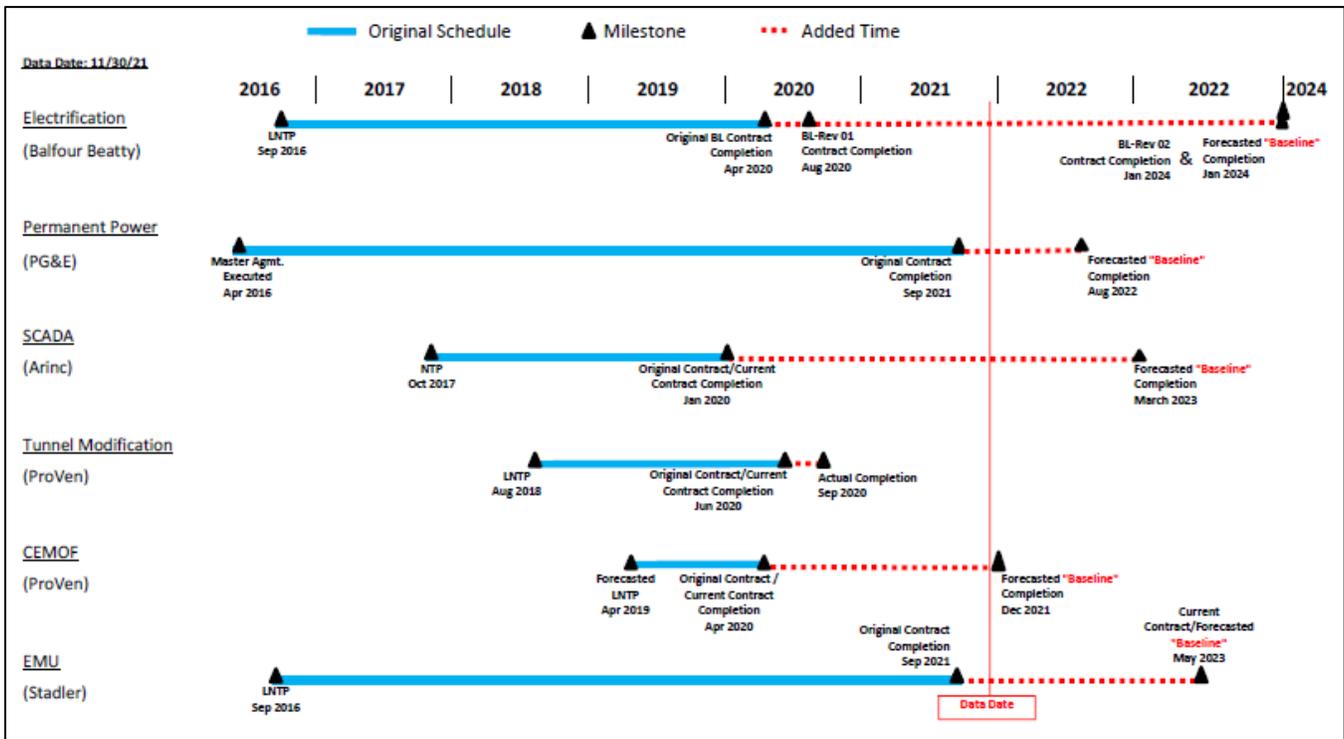
**Figure 2-5 OCS Foundation Production**



Notes regarding tables above:

- BBII is reporting a delay in the completion date for the OCS foundations. PCEP's own projection of BBII's productivity estimates the completion date to be in November, reflected in Figure 2-5. The monthly forecast is revised at the end of ongoing OCS foundation workshops, which are held to determine the level of effort necessary for each of the activities prior to foundation installation. The delay to the OCS foundation completion date does not change the substantial completion date of the BBII contract.

**Figure 2-6 Contractor Completion Schedule**



## **2.2. Funding Partners Participation in PCEP**

The PCEP has a series of weekly, biweekly, monthly and quarterly meetings to coordinate all aspects of the program. The meetings are attended by project staff with participation by our funding partners in accordance with the Funding Partners Oversight Protocol. A summary of funding partner meetings and invitees can be found in Appendix B.

This section of the report provides a summary of the discussions and decisions made at the meetings and a list of funding partners who attended the meetings.

### **Electrification – Weekly Discipline-Specific Meetings**

Purpose: To replace the previous weekly Engineering Meeting with three discipline-specific meetings for the three major categories of work under the Electrification Design Build (DB) contract: Overhead Contact System (OCS) Foundation, Traction Power Facilities (TPF), and Signals. Each meeting will focus on the status, resolution and tracking of Balfour Beatty Infrastructure, Inc. (BBII) and Electrification design- and construction-related issues.

#### Activity this Month

##### **OCS Foundation Meeting**

Funding Partners: None

- Review of upcoming foundation design and installation schedule for Segment 1
- Discussion of open issues impacting foundations design and installation for Segment 1
- Discussion of outstanding Requests for Information (RFI)
- Review of outstanding Field Orders or Change Notices required for foundation installation in Segment 1 to continue

##### **TPF Meeting**

Funding Partners: None

- Review of outstanding items as they relate to the design and construction of the PG&E Interconnection
- Review of PG&E Substation improvement and Interconnection schedules
- Discuss progress and next steps for the Single-Phase Study
- Discuss outstanding comments on the interconnection agreement
- Review and resolve open issues on the construction and design of the TPFs (paralleling stations, traction power substations, switching station)

### **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: SFCTA: Luis Zurinaga; MTC: Trish Stoops; CHSRA: Sharath Murthy; VTA: James Costantini

In public outreach, a public meeting was successfully held for Segment 4 energization. A field Quality Assurance surveillance was scheduled for the week of November 29. An Emergency Preparedness Drill was held on November 14 for an OCS de-energization scenario that involved various Fire/Police departments participating in the drill. In EMU testing and manufacturing, testing took place for Train 1 which included network and monitoring/diagnostic testing. Train 1 will likely stay in Pueblo past the end of November to finish up all testing. Car F for Train 2 is in Pueblo for 8-car testing. First Article Inspections (FAIs) for the remaining luggage racks are now complete. The Federal Railroad Administration (FRA) sample car inspection is targeted for January 2022 in Salt Lake City, UT. In design build activities, on-track foundation installation and off-track foundation installation for OCS foundations are ongoing in Segment 1. Pole and cantilever installation are ongoing in Segment 2 and poles/wires work are continuing in Segments 3 and 4. East Grand Substation (EGS) Vaults #1 and #2 have been delivered this month. The Prysmian cable delivery is expected on December 13 with construction to start on January 7. For utility coordination, AT&T has completed all but one location for relocation. For Supervisory Control and Data Acquisition (SCADA), TransitAmerica Services, Inc. (TASI) will be performing training to individual dispatchers.

### **Systems Integration Meeting – 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: Sharath Murthy

PCEP System Integration meetings are held to identify, monitor and determine appropriate resolution(s) for systems integration issues, and are chaired by the Systems Integration Director. These meetings have been made weekly given the importance of integration going forward as we enter the testing and commissioning phase of the PCEP project, with an emphasis on surfacing and resolving technical issues amongst sub-systems. Issues are tracked and followed-up in individual meetings through the course of the week.

The Testing and Commissioning meeting is comprised of a smaller group to determine and track testing and resources that will need to be coordinated among the various contracts and suppliers. This meeting is the primary interface to the PCEP Design-Build team at this time.

Additionally, a weekly Project Schedule meeting has been set up to ensure all the sub-system leads are on the same page regarding upcoming dates and have the latest

information to work with during the week. This regular coordination has improved the communication within the team. Work to define dependencies for completion of Segment 4 (Intermediate Milestone #1) is ongoing with the Testing and Commissioning discussion. The schedule fragnet for the achievement of Intermediate Milestone #1 has been largely developed, and the group continues to refine and monitor progress toward achievement of the milestone. This group will report back to the System Integration meeting with their findings.

Further, the Systems Integration Director also maintains contact with the EMU procurement team. Coordination with the EMU procurement and Caltrain Capital Project managers responsible for other capital projects on the corridor is ongoing. The Traction Power SCADA team also holds bi-weekly status meetings. There is coordination with PG&E for providing low voltage power drops to various railroad facilities.

Finally, there is a strong focus on ensuring that documentation is in place before testing is performed onsite, and the team is working closely with the Contractor on this subject.

### **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: SFCTA: Luis Zurinaga; CHSRA: Sharath Murthy; MTC: Trish Stoops

The Electrification substantial completion date is forecasted to occur between January 1, 2024 and April 1, 2024. When six to nine months of schedule contingency is included, the Revenue Service Date is targeted in second quarter of 2024, and the project completion date of September 26, 2024 remains unchanged as the FTA Risk Refresh Revenue Service Completion Date.

JPB has approved BBII's July 2021 revised baseline schedule as part of the global settlement with a forecast substantial completion date of April 1, 2024 with 90 days of BBII schedule contingency. The master program schedule critical path remains unchanged and continues to run through the signal system design, installation and cutovers, followed by the integrated testing.

COVID-19 and supply chain challenges continue to impact Stadler's November progress schedule update, resulting in a 19-day schedule delay on the 1st trainset arrival at the JPB site, the new forecast date is March 25, 2022. The conditional acceptance of the 14th trainset is May 9, 2023. JPB needs to evaluate the current baseline schedule revision process as per Stadler's contract.

### **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.

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### Activity this Month

Funding Partners: SFCTA: Luis Zurinaga; CHSRA: Sharath Murthy; MTC: Trish Stoops; FTA: Mike Eidlin

A Risk Assessment Committee meeting was held on November 10, 2021. Four risks were retired. Three risks were regraded.

### **Change Management Board (CMB) – Monthly**

Purpose: To review, evaluate and authorize proposed changes to PCEP over \$200,000. The CMB discusses major topics including potential changes to PCEP contracts, contingency usage, track access delays and Differing Site Conditions (DSC) field order updates. Potential contract changes will follow the PCEP Change Order Procedure. Once approved changes are executed, they will be reported in the Change Management section (Section 9) of this report.

### Activity this Month

The November CMB was rescheduled for early December.

### BBII Contract

No changes were identified for consideration.

### CEMOF Contract

No changes were identified for consideration.

### Stadler Contract

No changes were identified for consideration.

### SCADA Contract

No changes were identified for consideration.

### Tunnel Modification Contract

No changes were identified for consideration.

### Amtrak Contract

No changes were identified for consideration.

### PG&E Contract

One change was considered and approved.

Other

No changes were identified for consideration.

**2.3. Schedule**

The Electrification substantial completion date is forecasted to occur between January 1, 2024 and April 1, 2024. When six to nine months of schedule contingency is included, the Revenue Service Date is targeted in second quarter of 2024, and the project completion date of September 26, 2024 remains unchanged as the FTA Risk Refresh Revenue Service Completion Date.

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

**Table 2-1 Schedule Status**

Milestones	Program Plan	Progress Schedule (November 2021) <sup>1</sup>
Milestone #1 Segment 4 Construction Completion	11/21/2019	02/15/2022 <sup>1</sup>
Arrival of First Vehicle at JPB	N/A	03/25/2022 <sup>1,2</sup>
PG&E Provides Permanent Power	09/09/2021	08/13/2022
FFGA RSD	08/22/2022	08/22/2022
Acceptance of 14 <sup>th</sup> Trainset	08/20/2021	05/09/2023 <sup>2,3</sup>
Electrification Substantial Completion	08/10/2020	01/01/2024
Forecasted Revenue Service Date (RSD) – Period Range	12/09/2021	01/02/2024 – 04/01/2024
Proposed Revenue Service Completion with Contingency	N/A	09/26/2024

Note:

- <sup>1</sup> Dates may shift slightly in the upcoming progress schedule update due to holidays.
- <sup>2</sup> Dates are expected to be delayed due to COVID-19 impact on subcontractor schedules and supply chain challenges.
- <sup>3</sup> Dates require JPB approval as per contractual extension of time process.
- <sup>A</sup> Completed Milestone.

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**2.4. Budget**

In December 2020, the FTA conducted a risk refresh that reviewed the existing delays, updated contractor schedules, and independent schedules prepared by the JPB. On June 17, 2021, a draft FTA-led Risk Refresh Report was issued forecasting an additional budget need of \$333M. At the June 3, 2021 JPB Board meeting, in alignment with the FTA report, PCEP proposed a \$333M budget increase consisting of \$161M in known and allocated costs and \$172M in reserve.

In order to achieve cost and schedule certainty to complete the project, the JPB commenced a global negotiation with BBII in July 2021, and a global settlement with BBII was reached along with the Contractor’s rebaseline. The JPB also settled outstanding change orders as of October 31, 2021. The PCEP team conducted a full Budget Scrub for the CalMod Program and incorporated the outcome of the Global Settlement with BBII resulting in a total additional budget need of \$462M. The additional budget need of \$462M has been incorporated into the estimate to complete (ETC) at the bottom of budget Table 8-3 for a total estimate at completion (EAC) of \$2.443B and Appendix D for an FTA project EAC of \$2.393B. The revised EAC of \$2.443B was submitted for the December JPB Board Adoption. The December MPR and tables will reflect the approved re-baseline 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) <sup>1</sup>	Cost This Month (C) <sup>2</sup>	Cost To Date (D) <sup>3</sup>	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
Electrification Subtotal	\$1,316,125,208	\$1,316,125,208	\$38,595,734	\$1,084,939,492	\$251,185,716	\$1,336,125,208
EMU Subtotal	\$664,127,325	\$664,127,325	\$6,686,809	\$317,117,736	\$327,009,589	\$644,127,325
<b>Additional Budget Need<sup>4</sup></b>					\$462,438,164	\$462,438,164
<b>PCEP TOTAL</b>	<b>\$1,980,252,533</b>	<b>\$1,980,252,533</b>	<b>\$45,282,542</b>	<b>\$1,402,057,228</b>	<b>\$1,040,633,468</b>	<b>\$2,442,690,696</b>

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. Additional Budget Need includes additional budget need of \$462M in the estimate at completion (EAC) as presented to the December CMB and JPB Board. The detail by MPR category will be provided in the December report to reflect December JPB Board approvals.

**2.5. Board Actions**

- Authorize Amendment to Supplemental Agreement No. 2 with PG&E for Construction of 115 Kilovolt Interconnections.
- Authorize Increase in Contract Change Order Authority for ARINC for SCADA Database Changes

**Future anticipated board actions include:**

- Change orders as needed

**2.6. Government and Community Affairs**

There was one outreach event this month.

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### 3.0 ELECTRIFICATION – INFRASTRUCTURE

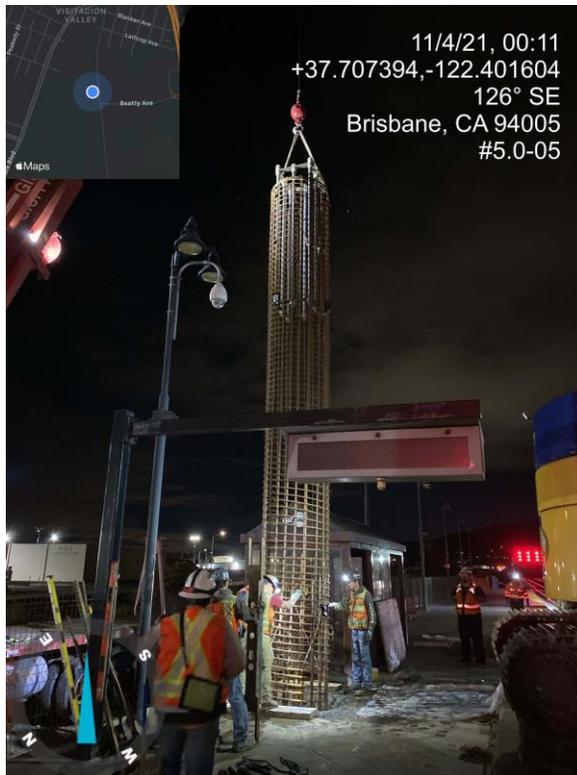
This section reports on the progress of the Electrification, SCADA, and Tunnel Modification components. A brief description on each of the components is provided below.

#### 3.1. Electrification

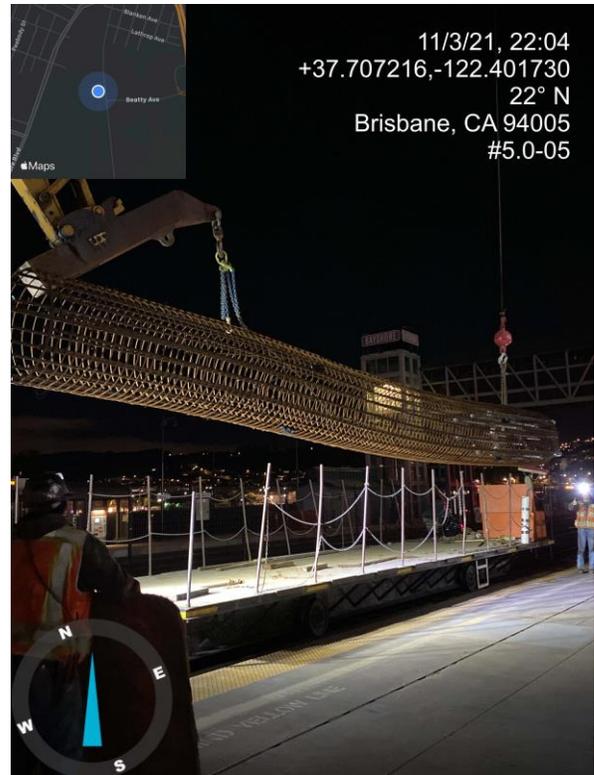
The Electrification component of the PCEP includes installation of 138 miles of wire and overhead catenary system (OCS) for the distribution of electrical power to the EMUs. The OCS will be powered from a 25 kilovolt (kV), 60-Hertz, single phase, alternating current supply system consisting of two traction 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 installation of on-track foundations in Segment 1. Segment 1 Work Area B foundations are complete, and work has begun in Segment 1 Work Area A. All foundations are projected to be completed by the middle of January 2022.



Installing Rebar Cage in Segment 1B

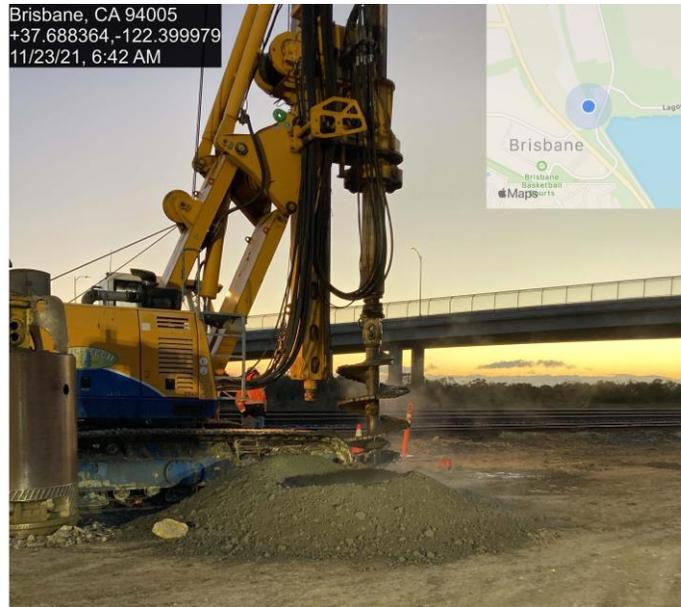


Preparing to Set Rebar Cage in Segment 1B

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North of Tunnel Ave Pile #6.4-02 - Drilling for Foundation

- Continued installation of off-track foundations in Segment 1.
- Continued installation of OCS poles, cantilevers, and wires in Segment 4.
- Continued regulation of OCS wires (sagging the wires) in Segments 3 and 4.
- Performed hi-pot/loop test of OCS wires in Segment 4.
- Continued installation of OCS poles and cantilevers in Segment 2.
- Continued to pothole at proposed OCS locations and utility locations in Segment 1.
- Continued to resolve conflicts found during the potholing process, such as loose concrete, asphalt, and other debris, and continued designing solutions for those conflicts that cannot be avoided. The conflicts must be resolved before installation of foundations at those locations.
- Relocated signal cables and removed abandoned facilities found in conflict with planned OCS foundations as conflicts were identified.
- Performed platform utility relocations at 4th and King.
- PS-1:
  - Continued cable pulls and terminations.
  - Continued access road build-up and grading.
- PS-2: Continued PG&E power drop redesign.
- PS-3:
  - Progressed on manufacturing of main gantry.
  - Procured isolation casing material.
  - Installed transformer fit up.
  - Procured precast drainage.

- PS-5:
  - Removed abandoned utilities.
  - Began work on drainage ditch.
- PS-6: Began access ramp grading.
- PS-7: Continued low voltage wire terminations in the control building.
- TPS-1: Set 25 kV enclosure house.
- TPS-2:
  - Continued metering house battery replacement procurement.
  - Installed OCS gantry interface.
  - Reconfigured relay panel.
- SWS-1: Pulled and terminated wire to PG&E 400 AMP service panel.
- Continued to install signal kits, AFTAC boxes, battery cases and signal houses in Segment 2.
- Performed cable pulling in Segment 2.
- Installed communication equipment and spliced fiber in Segment 2 at signal and traction power facility locations. Continued sub-system network component testing in Segment 4.
- Installed fire alarm and wiring, intrusion detection equipment, and VoIP infrastructure in Segment 2.
- Continued to install signal ductbank, conduits, and pull boxes in Segments 1, 2, 3, and 4.
- Performed signal system pretesting in Segment 2.
- Installed insulated joints in Segment 2.
- Performed track bonding and impedance bond installation in Segment 4.
- Installed overhead bridge attachments at various locations in Segment 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.
- Continued Right of Way acquisition for TPS-1 interconnection.
- 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 internal discussions about design, installation and testing of signal and communications modifications to the Caltrain system and schedule for cutover plans.
- Continued discussions with VTA on Right of Way acquisition for TPS-2 interconnection.

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- Worked with BBII through Site Specific Work Plans (SSWP) for upcoming field work.
- Continued model validation for the single-phase study.
- PG&E continued work at East Grand and FMC substations.
- PG&E continued TPS-2 and TPS-1 Interconnection work.

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 <sup>abc</sup>	Completed this Month	Completed to Date	Required <sup>ab</sup>	Completed this Month	Completed to Date
1	Tunnels	32	0	32	32	0	32
	A	299	45	223	259	0	0
	B	228	14	227	183	0	0
2	5	246	0	246	212	0	160
	4	317	0	317	253	0	253
	3	177	0	177	140	0	125
	2	237	0	237	205	0	73
	1	200	0	200	161	0	44
3	2	509	0	509	445	0	445
	1	392	0	392	310	0	310
4	A	242	0	242	180	0	179
	B	128	0	128	124	1	123
	CEMOF	85	0	85	83	0	83
<b>Total</b>		<b>3,092</b>	<b>59</b>	<b>3,015</b>	<b>2,587</b>	<b>1</b>	<b>1,827</b>

Note:

- <sup>a</sup>. Foundations required do not match poles required as guy foundations are needed in some locations for extra support.
- <sup>b</sup>. Reported number of required poles and foundations fluctuate due to Design changes.
- <sup>c</sup>. Update: To-date, 30 foundations have been installed by the South San Francisco in S2WA5 and 65 have been installed by the 25<sup>th</sup> Ave projects in S2WA3.

**Activity Next Month**

- Continue OCS foundation installations in Segment 1A.
- Continue resolution of foundation conflicts.
- Continue to install protective steel plates for protection of utilities during foundation installation.
- Continue to install OCS poles and assemblies in all Segments where available.
- Continue wire installation and regulation in Segments 2, 3 and 4.
- Continue shunt wire installation.
- Continue poles and cantilever installation in Segment 2.
- Begin OCS acceptance measurements and testing in Segment 4.
- Continue work with BBII on field investigation activities and designs, which will include the progression of the OCS, traction power, bonding and grounding, signal systems, and other civil infrastructure such as overhead bridge protections.
- Pothole and clear obstructions at proposed OCS locations.

- Continue construction at TPS-1 and TPS-2.
- PS-1: Complete access road.
- PS-2: Continue construction of 400 AMP panel.
- PS-3: Continue process for PG&E low voltage drop.
- PS-4:
  - Complete PG&E inspections.
  - Install bollards.
- PS-5:
  - Continue drainage installation.
  - Install top 6” crushed rock.
- PS-6:
  - Set gantry steel.
  - Install gantry interface.
  - Place fill and install curb.
- PS-7:
  - Continue high voltage cable fit-up for the 25kV enclosure.
  - Install OCS gantry interface.
- SWS-1: Complete PG&E low voltage power drop.
- Continue to install conduit and foundations for signal and wayside power cubicle (WPC) units in all Segments.
- Continue cross bonding cable installation and connection in Segment 4.
- Continue preparation for the upcoming signal cutovers in Segment 2.
- Perform network testing in Segment 4.
- Continue conduit installations in Segments 1, 2, 3, and 4.
- Continue to install impedance bond connections.
- Continue neutral return conduit and cabling installation.
- Perform signal wire terminations in Segment 2.
- Continue to install bridge attachments.
- Continue to progress location-specific design for grade crossing system.
- Continue planning process for signal cutovers.
- Review BBII work plans for upcoming construction activities.
- Coordinate with PG&E on construction for PG&E infrastructure.
- Coordinate with local jurisdictions to review designs.
- Continue tree pruning and removals.
- Continue progress on single-phase study.

### **3.2. Supervisory Control and Data Acquisition**

SCADA is a system that monitors and controls field devices for electrification, including traction power substations (TPS), switching stations (SWS), paralleling stations (PS), and wayside power cubicles (WPC). SCADA will be integrated with the base operating system for Caltrain Operations and Control, which is the Rail Operations Control System (ROCS). A separate control console will be established for the Power Director. The newly integrated system will be referred to as ROCS 3.

#### **Activity This Month**

- Submitted Monthly Progress Report.
- Completed October Schedule Update.
- Completed SCADA 3.0 Regression Testing.
- Completed R12 (Point Listing Version 12) Testing
- Completed latest Version Description Document (VDD) for latest release and submitted for approval.
- Delivered Field Equipment Operation Test (FEOT) procedures.

#### **Activity Next Month**

- Prepare and deliver the Monthly Report and the Monthly Schedule Update.
- Attend project status meetings (virtually).
- Submit field installation, cutover plan, and field test procedures
- Submit updates to the as-builts based on Caltrain comments.
- Readiness Release Review (RRR) will be held to release the final version to Caltrain Production.

### **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**

- Reconciled Change Orders.
- Progressed As-Built Drawings.

#### **Activity Next Month**

- Reconcile Change Orders.
- Receive As-Built Drawings from ProVen.
- Closeout Contract documents – RFIs, submittals, and letters.

### **3.4. Interconnection Construction**

The PCEP will require a 115-kV interconnection to supply power from the PG&E substations to the Caltrain substations in San Jose and South San Francisco. Construction of the interconnections will be performed by PG&E under an amendment to Supplemental Agreement No. 2.

#### **Activity This Month**

- EGS – TPS-1:
  - Completed installation of all East Grand Substation (EGS) vaults.
  - TRC subcontractor mobilized on TPS-1 site to install TSP foundations.
  - Progressed UECCo Phase 2B construction in the HealthPeak parking lot.



Backfilling Circuit #2 ductbank with slurry in the HealthPeak parking lot

- Progressed Circuit #1 installation at EGS.



TRC placing encasement for Circuit #1 at EGS

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- FMC – TPS-2:
  - Rescheduled Circuit #2 and redundant fiber highway crossing to July 2022.
  - Conducted TPS-2 Civil Punchlist walk.
  - Progressed BBII/EPS testing and commissioning.

**Activity Next Month**

- EGS – TPS-1:
  - Restore Gateway and Grand Avenue intersection.
  - Complete Underground Phase 2B – HealthPeak parking lot construction.
  - Install TSP structures at TPS-1 site and HealthPeak parking lot.
  - Receive TPS-1 enclosure house delivery.
- FMC – TPS-2:
  - Install Circuit #1 redundant fiber.
  - Install PG&E metering house battery.
  - Complete EPS testing and commissioning.

## 4.0 ELECTRIC MULTIPLE UNITS

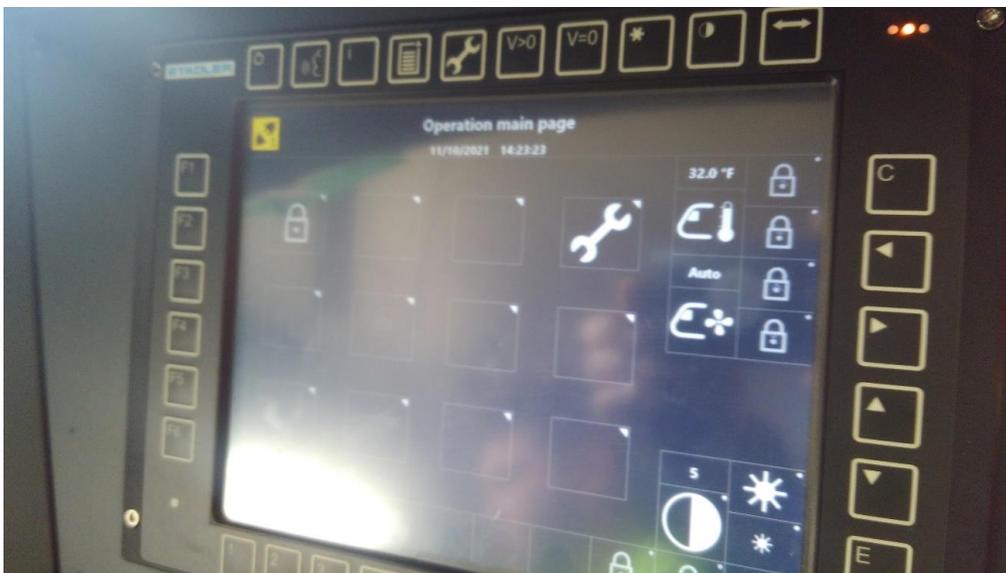
This section reports on the progress of the Electric Multiple Units (EMU) procurement and the Centralized Equipment Maintenance and Operations Facility (CEMOF) modifications.

### 4.1. Electric Multiple Units

The procurement of EMUs, or trainsets, from Stadler consists of a Base Order of 96 railcars, plus an Option Order of an additional 37 railcars, for a total of 133 railcars. The cars from these two orders will be combined and delivered as 19 seven-car Trainsets. The Base Order is funded from PCEP, and Option Order funded by a Transit and Intercity Rail Capital Program (TIRCP) grant. One more Option for additional cars is available.

#### Activity This Month

- Continued dynamic type testing on Train 1 at TTCL in Pueblo, CO, including 8-car train control, train network, event recorder and monitoring/diagnostic system testing. Began the 4,000-mile simulated service test with a 7-car train.



Monitoring/Diagnostic System Testing at TTCL



Preparation for the 4,000-mile Test at TTCI

- Continued routine static and dynamic testing on Trainsets 3 through 7.
- Continued production on Trainsets 3 through 16.
- COVID-19 related actions continued for the 21st month causing mixed disruptions to Stadler's activities:
  - Stadler's manufacturing facilities in Switzerland supporting the Caltrain Project have returned to normal levels of activity.
  - The Switzerland-based manufacturing of car shells and trucks frames is on schedule.
  - Salt Lake City-based manufacturing is delayed due to previously incurred and ongoing person-power limitations and sub-supplier parts shortages.
  - On multiple occasions since the start of the pandemic, a spike in positive COVID-19 cases has reduced man-hours in SLC.
  - Stadler has submitted multiple requests for 'excusable delays' due to COVID-19. The extent of the continuing delay is being evaluated and Stadler is developing a rebaselined schedule. Currently, delivery of the first trainset to Caltrain has been delayed 11.5 months to February 2021.
  - Due to supplier bankruptcies, Stadler is now assembling all luggage racks and ceiling panels themselves.
- First Article Inspections (FAI) continue to have their paperwork formalized and closed out. The individual car FAIs remain and are scheduled for February 2022.

- 93 carshells have been shipped from Stadler Switzerland, with 89 arriving at Stadler's Salt Lake City facility (Four shells are in transit/holding).
- Quality Assurance audits of USA-based sub-suppliers were halted in mid-March 2020 due to COVID-19 travel restrictions. Stadler has submitted a draft schedule for resuming supplier audits and it is under review.
- A Buy America interim audit was conducted in Salt Lake City. The findings will be reported in December.

**Activity Next Month**

- Continue to close out FAIs.
- Continue to support Caltrain/PCEP system integration and rail startup activation activities.
- Support type testing in SLC and at TTCI. Complete testing at TTCI.
- Provide quality reps in SLC (final assembly), Altenrhein (carshells) and Winterthur (trucks).

**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**

- North Pit and South Pit:
  - Continued north pit elevation discrepancies investigation.



North Pit

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- Component Test Room:
  - Paused hairline crack repair.
  - Completed exterior window installation.
  - Completed PTAC unit.



Component Test Room

- Part Storage Building:
  - Continued fire alarm installation.
  - Completed site cleanup including staging area.



Part Storage Building

### **Activity Next Month**

- North Pit and South Pit:
  - Install extension piece for WSP handhole.
  - Implement north pit repairs.
  - Procure materials required for remedial work.
- Component Test Room:
  - Install furniture.
  - Install interior glass.

- Schedule punch list site walk.
- Part Storage Building:
  - Complete fire alarm.
  - Schedule punch list site walk.

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## **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.
- Conducted follow-up meeting on the Operating Hazard Analysis (OHA) with TASI Operations and Maintenance (O&M) subject matter experts to discuss potential hazards and mitigation measures associated with their interface within the electrification systems.
- Coordinated with Segment 4 (Santa Clara County) emergency responders in preparation of electrification system familiarization activities. Supported Caltrain annual emergency preparedness exercise, that was conducted on November 14, which included an OCS related scenario for Segment 4 emergency responder representatives.
- Continued to perform reviews and provide comments on the BBII Safety and Security Certification Design Criteria Conformance Checklists (DCCC) and Construction Specification Conformance Checklist (CSCC) submittals.
- Participated with internal stakeholders in Rail Activation Committee meetings.
- Investigated project incident occurrences and worked with the contractor representatives to identify incident root causes and develop and implement safety and security mitigation measures.
- Continued coordination with the PMOC in support of the FTA Oversight Procedure 54 (OP-54) readiness review of Segment 4 Milestone 1 activation.
- 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.

### **Activity Next Month**

- Conduct monthly virtual safety communication meetings for the Project Safety and Security Certification Committee, Rail Activation Committee, and other project-related contractor and JPB safety meetings to discuss safety priorities.
- Finalize project emergency responder presentations and schedule Segment 4 systems familiarization online presentations.

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- Participate with JPB Safety and Operations in the development of a Table Top exercise to test Lock-out/Tag-out procedures for the OCS.
- Continue to finalize safety and security certification documentation requirements in coordination with project testing and commissioning activities.
- Continue to coordinate with the PMOC on the ongoing OP-54 Segment 4 readiness review.
- Continue focus on performing site safety inspections on the OCS foundations, pole installations, potholing, and CEMOF work activities to assess safety work practices and identify additional opportunities for improvement. Conduct contractor equipment inspections as needed.
- Update the initial OHA document to reflect the input provided from TASI subject matter experts. Next steps are to identify proposed mitigation measures.
- Continue to reinforce the ongoing application of recommended mitigation measures in response to the COVID-19 virus.
- Investigate project incident occurrences as needed and work with the contractor representatives to identify incident root cause, contributing factors and safety mitigation measures.

## **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**

- Reviewed BBII submittals of Inspector Daily Reports (IDR) and Contractor Quality Control Report (CQCR).
- Provided QA review of BBII submittals of Material Review Reports (MRR) to ensure that purchase order quality and test document requirements are met and included in the receiving inspection document package.
- Provided QA review of BBII submittals of Certificates of Conformance (C of C) and Certificates of Analysis (C of A).
- Provided QA review of BBII Non-Conformance Reports (NCR) and Construction Discrepancy Reports (CDR) to assure that in-process discrepancies are processed as required.
- Provided review of BBII QA Audit Surveillance Reports.
- Provided QA review of Supplier Certified Test Reports (CTR), and Certified Material Tests Reports (CMTR).
- Prepared for upcoming audits for design, quality audits, quality records and training.
- Continued review of BBII record set of As-Built Drawings related to open NCRs.
- Continued review of BBII Material Receiving Reports to verify compliance with Buy America requirements.
- Continued Caltrans Source Inspection QA oversight of BBII OCS pole installation and structural attachments to Caltrans bridges.
- Performed field QA surveillance audits of BBII work activities the week of November 29.

### **Activity Next Month**

- Review BBII quality records and prepare for upcoming audits for design, quality audits, quality records and training.
- Perform field QA surveillance audits of BBII work activities the week of December 27.

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	1	138
<b>Audit Findings</b>		
Audit Findings Issued	0	81
Audit Findings Open	0	0
Audit Findings Closed	0	81
<b>Non-Conformances</b>		
Non-Conformances Issued	1	16
Non-Conformances Open	7	7
Non-Conformances Closed	0	9

**7.0 SCHEDULE**

The Electrification substantial completion date is forecasted to occur between January 1, 2024 and April 1, 2024. When six to nine months of schedule contingency is included, the Revenue Service Date is targeted in second quarter of 2024, and the project completion date of September 26, 2024 remains unchanged as the FTA Risk Refresh Revenue Service Completion Date.

JPB has approved BBII’s July 2021 revised baseline schedule as part of the global settlement with a forecast substantial completion date of April 1, 2024 with 90 days of BBII schedule contingency. The master program schedule critical path remains unchanged and continues to run through the signal system design, installation and cutovers, followed by the integrated testing.

COVID-19 and supply chain challenges continue to impact Stadler’s November progress schedule update, resulting in a 19-day schedule delay on the 1st trainset arrival at the JPB site, the new forecast date is March 25, 2022. The conditional acceptance of the 14th trainset is May 9, 2023. JPB needs to evaluate the current baseline schedule revision process as per Stadler’s contract.

Shown below, Table 7-1 indicates major milestone dates for the MPS.

**Table 7-1 Schedule Status**

Milestones	Program Plan	Progress Schedule (November 2021) <sup>1</sup>
Milestone #1 Segment 4 Construction Completion	11/21/2019	02/15/2022 <sup>1</sup>
Arrival of First Vehicle at JPB	N/A	03/25/2022 <sup>1,2</sup>
PG&E Provides Permanent Power	09/09/2021	08/13/2022
FFGA RSD	08/22/2022	08/22/2022
Acceptance of 14 <sup>th</sup> Trainset	08/20/2021	05/09/2023 <sup>2,3</sup>
Electrification Substantial Completion	08/10/2020	01/01/2024
Forecasted Revenue Service Date (RSD) – Period Range	12/09/2021	01/02/2024 – 04/01/2024
Proposed Revenue Service Completion with Contingency	N/A	09/26/2024

Note:

- <sup>1</sup> Dates may shift slightly in the upcoming progress schedule update due to holidays.
- <sup>2</sup> Dates are expected to be delayed due to COVID-19 impact on subcontractor schedules and supply chain challenges.
- <sup>3</sup> Dates require JPB approval as per contractual extension of time process.
- <sup>A</sup> Completed Milestone.

**Notable Variances**

As a result of the global settlement, the electrification baseline schedule has been revised. The JPB incorporated BBII's electrification rebaseline schedule into the MPS November update. The new forecast construction completion date for the OCS system is December 5, 2022 and the new traction power completion date is May 28, 2022.

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Due to the schedule delay and readiness of the 1st trainset arrival at the JPB site, EMU testing in Segment 4 will be available on April 14, 2022. This schedule delay has pushed back the integrated testing by 39-calendar days with a new forecast completion date of May 12, 2022.

COVID-19 continues to impact Stadler’s productivity on sub-contractor schedules, and the supply chain challenges resulted in a further 25-calendar days schedule delay to the 1st trainset arrival at the JPB site. The new forecast completion date is on March 25, 2022.

There was a 10-day schedule delay in the SCADA/ROCS SW installation and equipment cutover due to delay in point-to-point testing. The new forecast completion date is now January 11, 2021.

Note: This period’s schedule revisions impacted Segment 4 Milestone # 1, but not the Revenue Service Date (RSD).

**Table 7-2 Critical Path Summary**

<b>Activity</b>	<b>Start</b>	<b>Finish</b>
Signals System Design, Installation & Cutover, and Integration Testing	05/01/2020 <sup>A</sup>	01/01/2024
Forecast Revenue Service Date - RSD / Period Range	01/02/2024	04/01/2024

**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 will result in consuming program schedule contingency.

Table 7-3 below reflects the SHPs for the PCEP Master Program Schedule. The dates indicate the planned completion dates for each SHP.

**Table 7-3 Schedule Hold Points**

Schedule Hold Point (SHP)	Date
Segment 4 Construction Completion	02/15/2022 <sup>1</sup>
Arrival of 1 <sup>st</sup> Trainset at JPB	03/25/2022 <sup>1,2</sup>
Conditional Acceptance of 14th Trainset	05/09/2023 <sup>2,3</sup>
Signal system Installation & Cutover – Segment 2	10/30/2022
Signal system Installation & Cutover – Segment 3	04/20/2023
Signal system Installation & Cutover – Segment 1	09/19/2023
System-Wide Integrated Testing	01/01/2024
Forecasted Revenue Service Date (RSD) – Period Range	01/02/ 2024- 04/01/2024

Note:

- <sup>1</sup>. Dates may shift slightly in the upcoming progress schedule update due to holidays.
- <sup>2</sup>. Dates are expected to be delayed due to COVID-19 impact on subcontractor schedules and supply chain challenges.
- <sup>3</sup>. Dates require JPB approval as per contractual extension of time process.
- <sup>A</sup>. Completed Milestone.

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## **8.0 BUDGET AND EXPENDITURES**

The summary of overall budget and expenditure status for the PCEP and Third Party Improvements is shown in the following tables. Table 8-1 reflects the Electrification budget, Table 8-2 the EMU budget, Table 8-3 the overall PCEP budget, and Table 8-4 Third Party Improvements budget. Table 8-5 summarizes the budget transfers of contingency completed this month.

In order to achieve cost and schedule certainty to complete the project, the JPB commenced a global negotiation with BBII in July 2021, and a global settlement with BBII was reached along with the Contractor's rebaseline. The JPB also settled outstanding change orders as of October 31, 2021. The PCEP team conducted a full Budget Scrub for the CalMod Program and incorporated the outcome of the Global Settlement with BBII resulting in a total additional budget need of \$462M. The additional budget need of \$462M has been incorporated into the estimate to complete (ETC) at the bottom of budget Table 8-3 for a total estimate at completion (EAC) of \$2.443B and Appendix D for an FTA project EAC of \$2.393B. The revised EAC of \$2.443B was submitted for the December JPB Board Adoption. The December MPR and tables will reflect the approved re-baseline budget.

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**Table 8-1 Electrification Budget & Expenditure Status**

Description of Work	Budget (A)	Current Budget (B) <sup>1</sup>	Cost This Month (C) <sup>2</sup>	Cost To Date (D) <sup>3</sup>	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
<b>ELECTRIFICATION</b>						
Electrification <sup>4</sup>	\$696,610,558	\$756,115,982	\$19,584,696	\$591,257,386	\$164,858,596	\$756,115,982
SCADA	\$0	\$4,187,731	\$0	\$2,863,940	\$1,323,791	\$4,187,731
Tunnel Modifications	\$11,029,649	\$42,533,099	\$75,817	\$42,366,240	\$166,858	\$42,533,099
Real Estate	\$28,503,369	\$28,503,369	\$45,453	\$23,405,070	\$5,098,299	\$28,503,369
Private Utilities <sup>5</sup>	\$63,515,298	\$117,906,334	\$8,607,767	\$168,215,986	(\$50,309,652)	\$117,906,334
Management Oversight	\$141,506,257	\$179,313,572	\$8,618,057	\$176,692,021	\$2,621,551	\$179,313,572
Executive Management	\$7,452,866	\$10,155,509	\$76,907	\$9,674,228	\$481,281	\$10,155,509
Planning	\$7,281,997	\$6,281,997	\$5,725	\$6,045,424	\$236,573	\$6,281,997
Community Relations	\$2,789,663	\$1,789,663	\$8,768	\$1,524,435	\$265,227	\$1,789,663
Safety & Security	\$2,421,783	\$5,823,965	\$82,408	\$5,027,293	\$796,672	\$5,823,965
Project Management Services	\$19,807,994	\$17,526,725	\$114,400	\$15,058,880	\$2,467,845	\$17,526,725
Engineering & Construction	\$11,805,793	\$15,455,709	\$207,506	\$14,163,355	\$1,292,354	\$15,455,709
Electrification Eng & Mgmt	\$50,461,707	\$57,850,417	\$257,917	\$54,752,988	\$3,097,429	\$57,850,417
Construction Management	\$0	\$15,158,605	\$460,633	\$14,520,548	\$638,057	\$15,158,605
IT Support	\$312,080	\$507,170	\$8,654	\$441,376	\$65,795	\$507,170
Operations Support	\$1,445,867	\$3,337,383	\$22,914	\$3,238,739	\$98,645	\$3,337,383
General Support	\$4,166,577	\$7,451,503	\$20,070	\$7,013,242	\$438,261	\$7,451,503
Budget / Grants / Finance	\$1,229,345	\$1,638,553	\$526	\$1,633,875	\$4,678	\$1,638,553
Legal	\$2,445,646	\$5,542,712	\$69,543	\$5,660,570	(\$117,858)	\$5,542,712
Other Direct Costs	\$5,177,060	\$6,085,783	\$51,121	\$5,998,225	\$87,558	\$6,085,783
Prior Costs 2002 - 2013	\$24,707,878	\$24,707,878	\$0	\$24,707,878	\$0	\$24,707,878
Caltrain Capital Overhead <sup>6</sup>	\$0	\$0	\$7,230,966	\$7,230,966	(\$7,230,966)	\$0
TASI Support	\$55,275,084	\$81,913,660	\$1,577,759	\$68,108,355	\$13,805,305	\$81,913,660
Insurance	\$3,500,000	\$4,543,588	\$0	\$4,543,588	\$0	\$4,543,588
Environmental Mitigations	\$15,798,320	\$14,438,866	\$0	\$1,090,079	\$13,348,787	\$14,438,866
Required Projects	\$17,337,378	\$10,358,703	\$86,185	\$1,589,216	\$8,769,487	\$10,358,703
Maintenance Training	\$1,021,808	\$1,021,808	\$0	\$0	\$1,021,808	\$1,021,808
Finance Charges	\$5,056,838	\$6,137,156	\$0	\$4,807,611	\$1,329,545	\$6,137,156
Contingency	\$276,970,649	\$69,151,341	N/A	N/A	(\$17,295,305)	(\$17,295,305)
Forecasted Costs and Changes	\$0	\$0	N/A	N/A	\$106,446,645	\$106,446,645
<b>ELECTRIFICATION SUBTOTAL</b>	<b>\$1,316,125,208</b>	<b>\$1,316,125,208</b>	<b>\$38,595,734</b>	<b>\$1,084,939,492</b>	<b>\$251,185,716</b>	<b>\$1,336,125,208</b>

Notes regarding tables above:

- Column B "Current Budget" includes executed change orders and awarded contracts.
- Column C "Cost This Month" represents the cost of work performed this month.
- Column D "Cost To Date" includes actuals (amount paid) and accruals (amount of work performed) to date.
- Cost To Date for "Electrification" includes 5% for Contractor's retention until authorization of retention release.
- Private utilities cost to date includes the unbudgeted upfront cost for PG&E's share of substation improvements prior to PG&E reimbursement.
- Caltrain Capital Overhead includes actuals to date new method ICAP as reported in Budget Scrub.

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**Table 8-2 EMU Budget & Expenditure Status**

Description of Work	Budget (A)	Current Budget (B) <sup>1</sup>	Cost This Month (C) <sup>2</sup>	Cost To Date (D) <sup>3</sup>	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
<b>EMU</b>						
EMU	\$550,899,459	\$555,247,601	\$4,495,786	\$248,979,454	\$306,268,148	\$555,247,601
CEMOF Modifications	\$1,344,000	\$7,404,023	\$89,861	\$6,803,925	\$600,098	\$7,404,023
Management Oversight	\$64,139,103	\$62,783,401	\$2,106,705	\$57,185,198	\$5,598,203	\$62,783,401
Executive Management	\$5,022,302	\$6,615,622	\$47,224	\$6,168,935	\$446,687	\$6,615,622
Community Relations	\$1,685,614	\$975,782	\$5,374	\$716,274	\$259,507	\$975,782
Safety & Security	\$556,067	\$1,117,978	\$15,325	\$834,599	\$283,378	\$1,117,978
Project Mgmt Services	\$13,275,280	\$11,275,280	\$113,800	\$9,448,279	\$1,827,001	\$11,275,280
Eng & Construction	\$89,113	\$89,113	\$0	\$23,411	\$65,702	\$89,113
EMU Eng & Mgmt	\$32,082,556	\$29,981,014	\$344,750	\$26,547,346	\$3,433,667	\$29,981,014
Construction Management	\$0	\$1,841,395	\$41,379	\$1,808,244	\$33,151	\$1,841,395
IT Support	\$1,027,272	\$852,089	\$5,238	\$806,886	\$45,204	\$852,089
Operations Support	\$1,878,589	\$781,858	\$5,090	\$453,922	\$327,936	\$781,858
General Support	\$2,599,547	\$3,138,784	\$9,916	\$2,942,565	\$196,220	\$3,138,784
Budget / Grants / Finance	\$712,123	\$1,050,507	\$382	\$1,043,883	\$6,624	\$1,050,507
Legal	\$1,207,500	\$1,369,563	\$1,542	\$1,269,344	\$100,219	\$1,369,563
Other Direct Costs	\$4,003,139	\$3,694,416	\$49,775	\$3,654,599	\$39,817	\$3,694,416
Caltrain Capital Overhead <sup>4</sup>	\$0	\$0	\$1,466,910	\$1,466,910	(\$1,466,910)	\$0
TASI Support	\$2,740,000	\$2,789,493	(\$5,544)	\$489,962	\$2,299,532	\$2,789,493
Insurance	\$0	\$38,263	\$0	\$38,263	\$0	\$38,263
Required Projects	\$4,500,000	\$1,063,821	\$0	\$674,280	\$389,541	\$1,063,821
Finance Charges	\$1,941,800	\$3,761,482	\$0	\$2,946,655	\$814,827	\$3,761,482
Contingency	\$38,562,962	\$31,039,241	N/A	N/A	\$3,172,741	\$3,172,741
Forecasted Costs and Changes	\$0	\$0	N/A	N/A	\$7,866,499	\$7,866,499
<b>EMU SUBTOTAL</b>	<b>\$664,127,325</b>	<b>\$664,127,325</b>	<b>\$6,686,809</b>	<b>\$317,117,736</b>	<b>\$327,009,589</b>	<b>\$644,127,325</b>

Notes regarding tables above:

- Column B "Current Budget" includes executed change orders and awarded contracts.
- Column C "Cost This Month" represents the cost of work performed this month.
- Column D "Cost To Date" includes actuals (amount paid) and accruals (amount of work performed) to date.
- Caltrain Capital Overhead includes actuals to date new method ICAP as reported in Budget Scrub.

**Table 8-3 PCEP Budget & Expenditure Status**

Description of Work	Budget (A)	Current Budget (B) <sup>1</sup>	Cost This Month (C) <sup>2</sup>	Cost To Date (D) <sup>3</sup>	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
Electrification Subtotal	\$1,316,125,208	\$1,316,125,208	\$38,595,734	\$1,084,939,492	\$251,185,716	\$1,336,125,208
EMU Subtotal	\$664,127,325	\$664,127,325	\$6,686,809	\$317,117,736	\$327,009,589	\$644,127,325
<b>Additional Budget Need<sup>4</sup></b>					\$462,438,164	\$462,438,164
<b>PCEP TOTAL</b>	<b>\$1,980,252,533</b>	<b>\$1,980,252,533</b>	<b>\$45,282,542</b>	<b>\$1,402,057,228</b>	<b>\$1,040,633,468</b>	<b>\$2,442,690,696</b>

Notes regarding tables above:

- Column B "Current Budget" includes executed change orders and awarded contracts.
- Column C "Cost This Month" represents the cost of work performed this month.
- Column D "Cost To Date" includes actuals (amount paid) and accruals (amount of work performed) to date.
- Additional Budget Need includes additional budget need of \$462M in the estimate at completion (EAC) as presented to the December CMB and JPB Board. The detail by MPR category will be provided in the December report to reflect December JPB Board approvals.

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**Table 8-4 Third Party Improvements/CNPA Budget & Expenditure Status**

Description of Work	Budget (A)	Current Budget (B) <sup>1</sup>	Cost This Month (C) <sup>2</sup>	Cost To Date (D) <sup>3</sup>	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
CHSRA Early Pole Relocation	\$1,000,000	\$941,706	\$0	\$941,706	\$0	\$941,706
PS-3 Relocation (Design)	\$500,000	\$500,000	\$0	\$150,000	\$350,000	\$500,000
PS-3 Relocation (FEMA, BGSP Design Coord.)	\$50,000	\$50,000	\$0	\$0	\$50,000	\$50,000
TPSS-2 VTA/PCEP Pole Relocation (Design)	\$110,000	\$110,000	\$0	\$110,000	\$0	\$110,000
TPSS-2 VTA/PCEP Pole Height (Redesign)	\$31,000	\$31,000	\$0	\$31,000	\$0	\$31,000
Mary Avenue Advance Pre-emption	\$116,000	\$116,000	\$0	\$0	\$116,000	\$116,000
EMU Option Cars	\$172,800,047	\$172,800,047	\$933,120	\$62,399,053	\$110,400,994	\$172,800,047
Add Flip-Up Seats into Bike Cars	\$1,961,350	\$1,961,350	\$0	\$980,675	\$980,675	\$1,961,350
Update Virtual Reality Experience	\$43,000	\$43,000	\$0	\$43,000	\$0	\$43,000
<b>CNPA TOTAL</b>	<b>\$176,611,397</b>	<b>\$176,553,103</b>	<b>\$933,120</b>	<b>\$64,655,434</b>	<b>\$111,897,669</b>	<b>\$176,553,103</b>

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.

**PS-3 Relocation (FEMA, BGSP Design Coord.): PS-3 Relocation FEMA Update and Design Coordination:** Perform incremental design effort related to the 2019 FEMA requirement update to the flood plain map and design coordination with the BGSP. This scope is funded by the BGSP.

**TPSS-2 VTA/PCEP Pole Relocation and Height (Design):** Design changes due to the relocation of VTA/BART Pole at TPSS-2 location and pole height redesign for live line clearances. This scope is funded by the VTA.

**Mary Avenue Advance Pre-emption:** JPB changed the Mary Avenue grade crossing from simultaneous pre-emption to have 24 seconds of advance pre-emption.

**EMU Option Cars:** Exercise Stadler Contract Option for 37 additional EMUs. This scope is funded with a combination of TIRCP and matching local funds.

Add Flip-Up Seats into Bike Cars: Stadler contract change order to add four additional flip-up seats in each of the two unpowered (bike) cars per trainset (eight total per trainset). This scope is funded by Caltrain outside of the PCEP.

Update Virtual Reality Experience: Stadler contract change order to update the virtual reality experience to reflect the latest configuration of the trainsets. This scope is funded by Caltrain outside of the PCEP.

**Table 8-5 Budget Transfers of Contingency**

Transfer	Description	Contingency <sup>1</sup>
<b>ELECTRIFICATION</b>		
BBI-053-CCO-066C	Contaminated Soils Increase in Unit Price (Bid Item #1)	\$1,384,802
PROV-070-CCO-054	Procure Surge Arrestors	\$10,580
PROV-070-CCO-055	Cantilever Drop Tubes	\$27,409
ARINC-061-CCO-003	Traction Power Facility SCADA Database Changes - Rev - 12	\$170,360
	<b>ELECTRIFICATION SUBTOTAL</b>	<b>\$1,593,151</b>
<b>EMU</b>		
	<b>EMU SUBTOTAL</b>	<b>\$0</b>
	<b>PCEP TOTAL</b>	<b>\$1,593,151</b>

Notes regarding tables above:

Budget amount transferred from project contingency. A negative amount represents a credit to contingency.

Table 8-5 shows budget transfers of project contingency implemented during the current monthly reporting period. This table includes contingency transfers for both executed contract change orders as covered under Section 9.0 and uses of contingency for Program budget line items outside the five PCEP contracts.

Appendix D includes costs broken down by Standard Cost Code (SCC) format. This format is required for reporting of costs to the FTA. The overall project total in the SCC format is lower than the project costs in table 8-3. This is due to the exclusion of costs incurred prior to the project entering the Project Development phase.

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

A log of all executed change orders can be found in Appendix E.

**Executed Contract Change Orders (CCO) This Month**

Electrification Contract

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

Date	Change Number	Description	CCO Amount
11/30/2021	BBI-053-CCO-066C	Contaminated Soils Increase in Unit Price (Bid Item #1)	\$1,384,802 <span style="float: right;">3.98 %</span>
<b>Total</b>			<b>\$2,565,292</b>

<sup>1</sup> (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
	None		\$0
<b>Total</b>			<b>\$0</b>

<sup>1</sup> (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
11/23/2021	ARINC-061-CCO-003	Traction Power Facility SCADA Database Changes - Rev - 12	\$170,360 <span style="float: right;">22.30%<sup>3</sup></span>
<b>Total</b>			<b>\$6,224</b>

<sup>1</sup> (When indicated) Change approved by the Board of Directors – not counted against the Executive Director’s Change Order Authority.

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Tunnel Modification Contract

Change Order Authority (10% of ProVen Contract)<sup>2</sup>

10% x \$38,477,777 = \$3,847,778

Date	Change Number	Description			CCO Amount
11/30/2021	PROV-070-CCO-054	Procure Surge Arrestors	\$10,580	0.19 %	\$3,991,651
11/30/2021	PROV-070-CCO-055	Cantilever Drop Tubes	\$27,409	0.50 %	\$3,964,242
<b>Total</b>					<b>\$7,955,893</b>

<sup>1</sup> (When indicated) Change approved by the Board of Directors – not counted against the Executive Director's Change Order Authority.

<sup>2</sup> Tunnel modification contract (\$38,477,777) includes: Notching (\$25,281,170) and Drainage (\$13,196,607).

<sup>3</sup> Third Party Improvements/CNPA Projects that are funded with non-PCEP funds.

CEMOF Contract

Change Order Authority (10% of ProVen Contract)

10% x \$6,550,777 = \$655,078

Date	Change Number	Description			CCO Amount
	None				\$0
<b>Total</b>					<b>\$0</b>

<sup>1</sup> (When indicated) Change approved by the Board of Directors – not counted against the Executive Director's Change Order Authority.

Amtrak AEM-7 Contract

Change Order Authority (Lump Sum)

Up to \$150,000

Date	Change Number	Description			CCO Amount
	None				\$0
<b>Total</b>					<b>\$0</b>

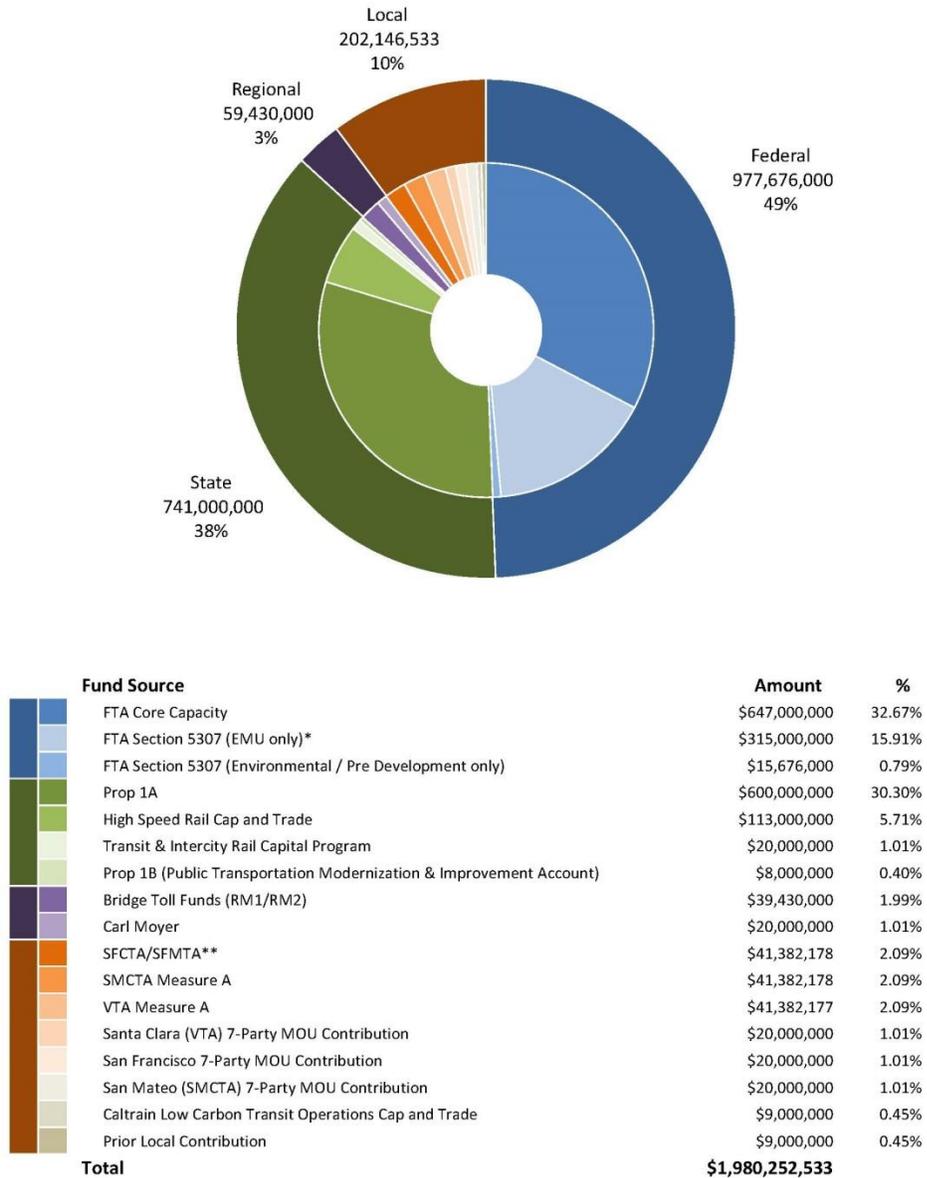
Notes:

<sup>1</sup> When the threshold of 75% is reached, staff may return to the Board to request additional authority.

**10.0 FUNDING**

Figure 10-1 depicts a summary of the funding plan for the PCEP. It provides a breakdown of the funding partners as well as the allocated funds. During the last month, PCEP staff worked with FTA Region IX staff to award the next tranche of core capacity funding in the amount of \$100 million. With this award, it will bring the total FTA core capacity funding on the project to \$573 million.

**Figure 10-1 Funding Plan**



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. Potential for Stadler's sub-suppliers to fall behind schedule or delays in parts supply chain result in late completion of vehicles.
2. Property not acquired in time for contractor to do work.
3. Additional property acquisition is necessitated by change in design.
4. The contractor may not complete signal and communication design, installation and testing for the Two-speed check (2SC) modifications within budget and schedule.
5. Remediation of issues associated with the CEMOF pit may result in additional costs and additional time to issue the charge order and implement the work.
6. Extent of differing site conditions and associated redesign efforts results in delays to the completion of the electrification contract and increases program costs.
7. Rejection of DVR for ATF and static wires results in cost and schedule impacts to PCEP.
8. Change of vehicle sub-suppliers results in additional first article inspections at cost to JPB (i.e., COVID, bankruptcy)
9. Solution to FRA concerns over bike storage impeding path to emergency exit windows path results in increased costs and potential rework.
10. PG&E interconnection work may not be completed on time resulting in delays to the reimbursement of PG&E Exhibit B Cost Allocation from PG&E.

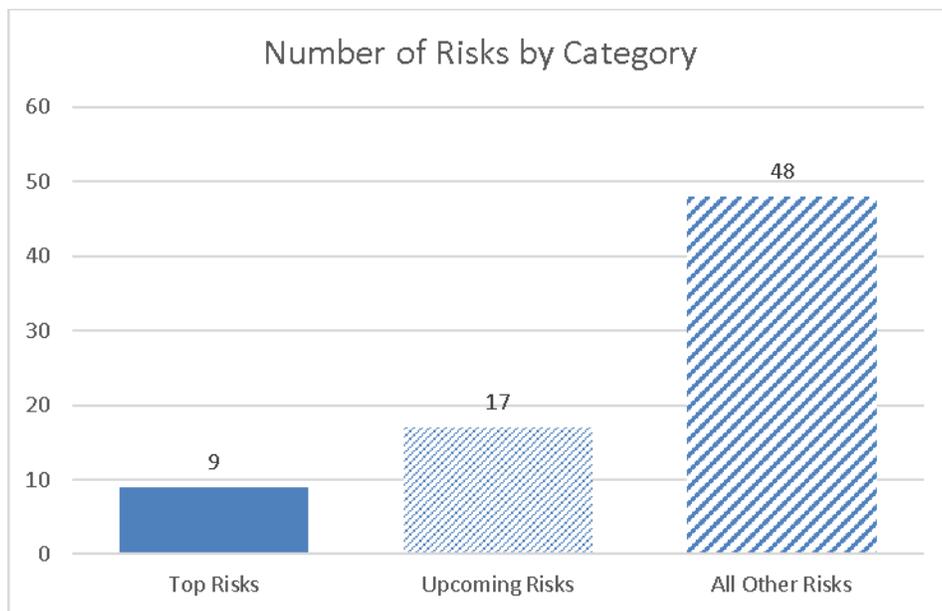
### **Activity This Month**

- 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.
- Continued monitoring of issues on issues log for determination of new risks.
- The Risk Management team attended Project Delivery, Vehicle Design, Systems Integration, and Weekly Contractor Progress meetings to monitor developments associated with risks and to identify new risks.
- Updated contractor-owned risks through JPB and consultant personnel.
- Participated in internal Risk Refresh and Industry Expert Risk Refresh workshops.

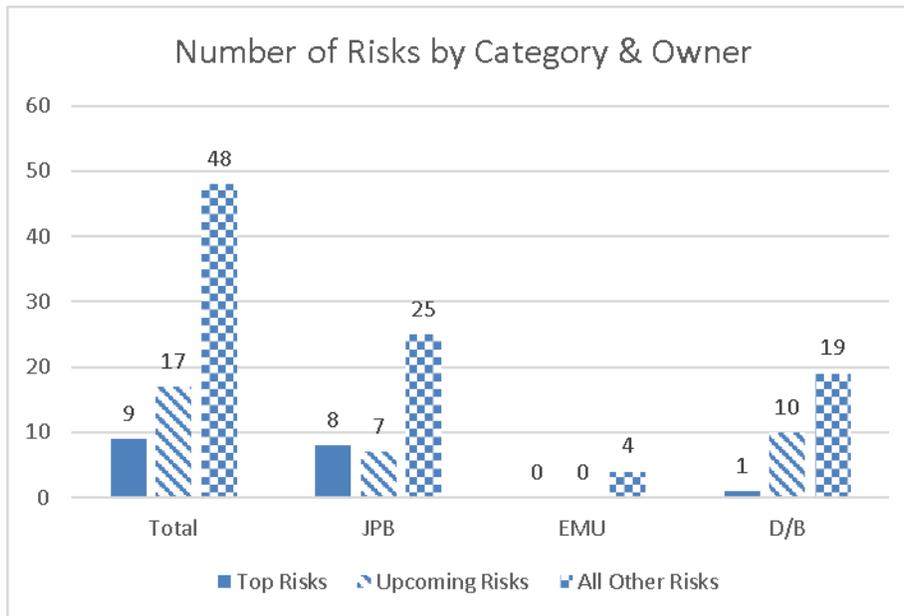
Figures 11-1 and 11-2 show the risks identified for the program. Risks are categorized as top risk, upcoming risk, and all other risks. The categories are based on a rating scale composed of schedule and cost factors. Top risks are considered to have a significantly higher than average risk grade. Upcoming 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 = 74**

Figure 11-2 Risk Classification



Total Number of Active Risks = 74

### 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.
- Monitor issues on issues log for determination of potential new risks.
- Convene Risk Assessment Committee meeting.
- Incorporate Rail Activation and Industry Expert risks into PCEP risk register.

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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, 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.
- Biological surveyors continued to conduct pre-construction surveys for sensitive wildlife species including nesting bird surveys ahead of project activities.
- Noise and vibration monitoring also occurred during project activities, and non-hazardous soil was removed from the right of way (ROW).
- Environmentally Sensitive Area (ESA) delineation (staking and/or fencing) to delineate jurisdictional waterways and other potentially sensitive areas that should be avoided during upcoming construction activities was maintained. Round three and four of protocol-level burrowing owl surveys were conducted. Protocol level burrowing owl surveys are now complete for the 2021 season. Pre-construction surveys for sensitive wildlife species continued at previously identified potential habitat locations. Wildlife exclusion fencing installation and monitoring occurred adjacent to portions of the alignment designated for wildlife exclusion fencing.

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- Best management practices (BMPs) installation and maintenance (e.g., silt fencing, straw wattles with no monofilament netting per wildlife agency permit requirements, soil covers, etc.) occurred at equipment staging areas and other work areas throughout the alignment in accordance with the project-specific Storm Water Pollution Prevention Plan (SWPPP).

**Activity Next Month**

- Environmental compliance monitors will continue to monitor project activities (OCS pole foundation installation, sawcutting on station platforms, potholing for utility location, conduit installation, abandoned signal cable removal, etc.) occurring in areas that require environmental compliance monitoring in an effort to minimize potential impacts on sensitive environmental resources in accordance with the MMRP.
- Biological surveyors will continue to conduct pre-construction surveys for sensitive wildlife species ahead of project activities.
- Noise and vibration monitoring of project activities will continue to occur and non-hazardous soil will continue to be removed.
- BMPs installation will continue in accordance with the project-specific SWPPP, and ESA staking and fencing will continue to be maintained to delineate jurisdictional waterways, and other potentially sensitive areas, that should be avoided during upcoming project activities.
- Wildlife exclusion fencing will continue to be maintained prior to upcoming construction activities adjacent to potentially suitable habitat for sensitive wildlife species.

### **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**

- Conducted utility coordination meeting to discuss overall status and areas of potential concern from the utilities.
- Continued relocation of Comcast and AT&T Utilities in all Segments, with a focus on Segment 3 and 4 ahead of OCS wiring.
- AT&T has completed all but one relocation. The final location requires coordination with Palo Alto Power.
- Continued discussion with Comcast for updated relocation schedule, particularly the locations remaining for Segments 3 and 4.

#### **Activity Next Month**

- Coordinate with individual utility owners on the next steps of relocations, including support of any required design information.
- Update the relocation schedule as information becomes available from the utility owners.
- Continue to review relocation design from communications companies and coordinate relocation field work.
- Continue communication relocations in all Segments.

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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 (ESZ) (easements). There are two larger full acquisition areas required for wayside facilities. The PCEP Real Estate team manages the acquisition of all property rights. Caltrain does not need to acquire real estate to complete the EMU procurement portion of the PCEP.

The Project has obtained possessory rights for all parcels identified at the beginning of the project.

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 property needs (for poles, overhead wires and signals facilities) 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 eleven new parcels to date.

### **Activity This Month**

- With all catenary poles installed in Segments 2, 3 and 4, staff is now focused on identifying property for ESZ and signal needs.
- Ordered title reports and started mapping of three new ESZ parcels.

### **Activity Next Month**

- Continue review of ESZ needs submitted by BBII compared to direction from contract.
- Continue to meet with internal signal team and BBII signal team to determine potential Real Estate needs.
- Continue to work with UPC to finalize a purchase agreement.

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**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 <sup>1</sup>	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
		Town of Atherton	Not Needed
		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 <sup>2</sup>
	Construction & Maintenance	California Dept. of Transportation (Caltrans)	In Process
	Trackage Rights	UPRR	Executed <sup>2</sup>

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.

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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.

### **Presentations/Meetings**

- Santa Clara/San Jose Community Meeting (virtual)

### **Third Party/Stakeholder Actions**

- None

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**17.0 DISADVANTAGED BUSINESS ENTERPRISE (DBE) PARTICIPATION AND LABOR STATISTICS**

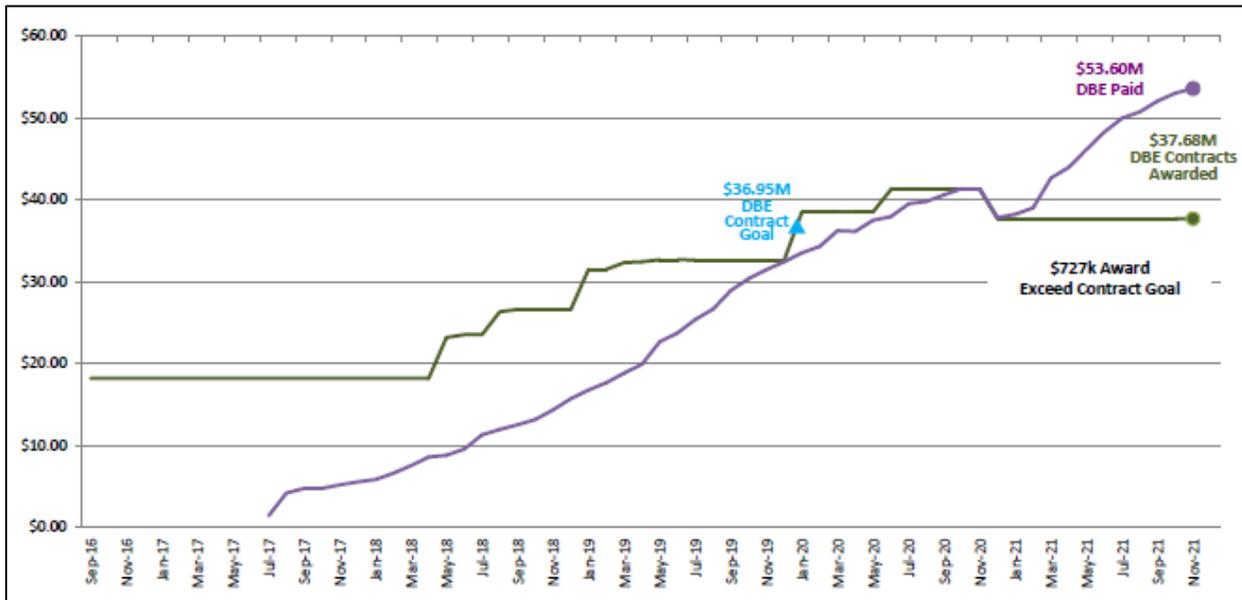
BBII proposed that 5.2% (\$36,948,701) of the DB base contract value including DBE contract change orders (\$710,551,950) would be subcontracted to DBEs.

**Activity This Month**

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

- **\$ 53,596,543** has been paid to DBE subcontractors.
- **\$ 37,675,908** of DBE contracts have been awarded.
- **7.54%** has been achieved.
- All reported figures are subject to verification by DBE Administrator.
- As a result of JPB’s DBE Office’s review of BBII’s DBE reports, one subcontractor was disqualified in December 2020. After removing amounts paid to the disqualified subcontractor, BBII’s reported awarded and achieved amounts show a decline from previous months. These amounts and are to be verified by JPB’s DBE Administrator.

**Figure 17-1 DBE Participation**



**Activity Next Month**

BBII has proposed the following key actions:

“We continue to anticipate increasing our DBE commitments to firms who we are currently negotiating pricing on proposed work or Professional Services Agreements. We are optimistic about the prospect of making future awards to DBE firms. We also anticipate that the existing project work will increase resulting in expanded work for current DBE subcontractors.”

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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

### **In Process IFB/RFQ/RFP/Contract Amendments for Award:**

- 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

### **Upcoming Contract Awards/Contract Amendments:**

- Contract 18-J-P-115 On-Call Construction Management Services for PCEP

### **Upcoming IFB/RFQ/RFP to be Issued:**

- None

### **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 2021:

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

**Peninsula Corridor Electrification Project**  
**Monthly Progress Report**

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<b>Date</b>	<b>Milestone</b>
2018	Completed all PG&E agreements JPB approves contract award to Mitsui for the purchase of electric locomotives and Amtrak for overhaul services, storage, acceptance testing, training, and shipment of locomotive to CEMOF JPB approves authorization for the Executive Director to negotiate final contract award to ProVen for tunnel modifications and track rehabilitation project JPB approves contract award (LNTP) to ProVen for tunnel modifications Issued NTP to ProVen for tunnel modifications (October) Amended contract with ProVen to include OCS in the tunnels (November)
2019	JPB approves contract award to ProVen for CEMOF modifications (February) JPB approves LNTP to ProVen for CEMOF modifications (April) JPB approves NTP to ProVen for CEMOF modifications (September)
2020	JPB approves agreement amendment to PG&E for interconnection construction JPB executes agreement with PG&E for interconnection construction (May) FRA approved the waiver for Alternative Vehicle Technology regarding crashworthiness of EMU cars
2021	The intertie between TPS-2 and FMC was completed (January 18) First EMU vehicle shipped to Pueblo, CO for testing (February 10)

**APPENDICES**

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Appendix A – Acronyms

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

**Peninsula Corridor Electrification Project**  
**Monthly Progress Report**

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

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

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Appendix B – Funding Partner Meetings

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**Funding Partner Meeting Representatives**  
Updated May 21, 2021

Agency	CHSRA	MTC	SFCTA/SFMTA/CCSF	SMCTA	VTA
<b>FTA Quarterly Meeting</b>	<ul style="list-style-type: none"> <li>• Boris Lipkin</li> <li>• Simon Whitehorn</li> <li>• Wai Siu (info only)</li> <li>• Sharath Murthy (info only)</li> </ul>	<ul style="list-style-type: none"> <li>• Anne Richman</li> </ul>	<ul style="list-style-type: none"> <li>• Luis Zurinaga</li> </ul>	<ul style="list-style-type: none"> <li>• April Chan</li> <li>• Peter Skinner</li> </ul>	<ul style="list-style-type: none"> <li>• Jim Lawson</li> </ul>
<b>Funding Partners Quarterly Meeting</b>	<ul style="list-style-type: none"> <li>• Boris Lipkin</li> <li>• Simon Whitehorn</li> <li>• John Popoff</li> <li>• Sharath Murthy (info only)</li> </ul>	<ul style="list-style-type: none"> <li>• Trish Stoops</li> </ul>	<ul style="list-style-type: none"> <li>• Luis Zurinaga</li> </ul>	<ul style="list-style-type: none"> <li>• April Chan</li> <li>• Peter Skinner</li> </ul>	<ul style="list-style-type: none"> <li>• Krishna Davey</li> <li>• Edwin Castillo</li> <li>• Franklin Wong</li> </ul>
<b>Funding Oversight (monthly)</b>	<ul style="list-style-type: none"> <li>• Kelly Doyle</li> </ul>	<ul style="list-style-type: none"> <li>• Anne Richman</li> <li>• Kenneth Folan</li> </ul>	<ul style="list-style-type: none"> <li>• Anna LaForte</li> <li>• Maria Lombardo</li> <li>• Luis Zurinaga</li> <li>• Monique Webster</li> <li>• Ariel Espiritu Santo</li> </ul>	<ul style="list-style-type: none"> <li>• April Chan</li> <li>• Peter Skinner</li> </ul>	<ul style="list-style-type: none"> <li>• Jim Lawson</li> <li>• Marcella Rensi</li> <li>• Michael Smith</li> </ul>
<b>Change Management Board (monthly)</b>	<ul style="list-style-type: none"> <li>• Boris Lipkin</li> <li>• Simon Whitehorn</li> </ul>	<ul style="list-style-type: none"> <li>• Trish Stoops</li> <li>• Kenneth Folan</li> </ul>	<ul style="list-style-type: none"> <li>• Luis Zurinaga</li> <li>• Tilly Chang (info only)</li> </ul>	<ul style="list-style-type: none"> <li>• Joe Hurley</li> </ul>	<ul style="list-style-type: none"> <li>• Krishna Davey</li> <li>• Edwin Castillo</li> <li>• Franklin Wong</li> <li>• James Costantini</li> <li>• Jim Lawson</li> </ul>
<b>Master Program Schedule Update (monthly)</b>	<ul style="list-style-type: none"> <li>• Wai Siu</li> <li>• Sharath Murthy</li> </ul>	<ul style="list-style-type: none"> <li>• Trish Stoops</li> </ul>	<ul style="list-style-type: none"> <li>• Luis Zurinaga</li> </ul>	<ul style="list-style-type: none"> <li>• Joe Hurley</li> </ul>	<ul style="list-style-type: none"> <li>• Jim Lawson</li> </ul>
<b>Risk Assessment Committee (monthly)</b>	<ul style="list-style-type: none"> <li>• Wai Siu</li> <li>• Sharath Murthy</li> </ul>	<ul style="list-style-type: none"> <li>• Trish Stoops</li> </ul>	<ul style="list-style-type: none"> <li>• Luis Zurinaga</li> </ul>	<ul style="list-style-type: none"> <li>• Joe Hurley</li> </ul>	<ul style="list-style-type: none"> <li>• Krishna Davey</li> <li>• Edwin Castillo</li> <li>• Franklin Wong</li> </ul>
<b>PCEP Delivery Coordination Meeting (bi-weekly)</b>	<ul style="list-style-type: none"> <li>• Wai Siu</li> <li>• Sharath Murthy</li> </ul>	<ul style="list-style-type: none"> <li>• Trish Stoops</li> </ul>	<ul style="list-style-type: none"> <li>• Luis Zurinaga</li> </ul>	<ul style="list-style-type: none"> <li>• Joe Hurley</li> </ul>	<ul style="list-style-type: none"> <li>• Krishna Davey</li> <li>• Edwin Castillo</li> <li>• Franklin Wong</li> <li>• James Costantini</li> </ul>
<b>Systems Integration Meeting (weekly)</b>	<ul style="list-style-type: none"> <li>• Wai Siu</li> <li>• Sharath Murthy</li> </ul>	<ul style="list-style-type: none"> <li>• Trish Stoops</li> </ul>	<ul style="list-style-type: none"> <li>• Luis Zurinaga</li> </ul>	<ul style="list-style-type: none"> <li>• Joe Hurley</li> </ul>	<ul style="list-style-type: none"> <li>• Krishna Davey</li> <li>• Edwin Castillo</li> <li>• Franklin Wong</li> </ul>

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Appendix C – Schedule

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Appendix D – Standard Cost Codes

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## Peninsula Corridor Electrification Project Monthly Progress Report

Description of Work	FFGA Baseline Budget (A)	Approved Budget (B)	Cost This Month (C)	Cost To Date (D)	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
<b>10 - GUIDEWAY &amp; TRACK ELEMENTS</b>	<b>\$14,256,739</b>	<b>\$28,262,380</b>	<b>\$75,817</b>	<b>\$26,226,706</b>	<b>\$2,182,313</b>	<b>\$28,409,019</b>
10.02 Guideway: At-grade semi-exclusive (allows cross-traffic)	\$2,500,000	\$2,329,281	(\$0)	\$306,052	\$2,023,229	\$2,329,281
10.07 Guideway: Underground tunnel	\$8,110,649	\$25,933,099	\$75,817	\$25,920,654	\$159,083	\$26,079,738
10.07 Allocated Contingency	\$3,646,090	\$0	\$0	\$0	\$0	\$0
<b>30 - SUPPORT FACILITIES: YARDS, SHOPS, ADMIN. BLDGS</b>	<b>\$2,265,200</b>	<b>\$8,194,234</b>	<b>\$89,861</b>	<b>\$7,199,030</b>	<b>\$1,225,878</b>	<b>\$8,424,908</b>
30.03 Heavy Maintenance Facility	\$1,344,000	\$8,194,234	\$89,861	\$7,199,030	\$1,225,878	\$8,424,908
30.03 Allocated Contingency	\$421,200	\$0	\$0	\$0	\$0	\$0
30.05 Yard and Yard Track	\$500,000	\$0	\$0	\$0	\$0	\$0
<b>40 - SITEWORK &amp; SPECIAL CONDITIONS</b>	<b>\$255,072,402</b>	<b>\$267,521,937</b>	<b>\$8,342,420</b>	<b>\$276,504,786</b>	<b>\$1,851,828</b>	<b>\$278,356,614</b>
40.01 Demolition, Clearing, Earthwork	\$3,077,685	\$10,136,067	\$633,738	\$9,000,252	\$1,132,028	\$10,132,280
40.02 Site Utilities, Utility Relocation	\$62,192,517	\$101,660,154	\$6,097,961	\$147,486,312	(\$41,718,648)	\$105,767,664
40.02 Allocated Contingency	\$25,862,000	(\$0)	\$0	\$0	(\$0)	(\$0)
40.03 Haz. mat'l, contam'd soil removal/mitigation, ground water treatments	\$2,200,000	\$10,129,763	\$202,563	\$11,391,199	\$539,912	\$11,931,111
40.04 Environmental mitigation, e.g. wetlands, historic/archeologic, parks	\$32,579,208	\$19,504,208	\$50	\$2,702,295	\$18,501,913	\$21,204,208
40.05 Site structures including retaining walls, sound walls	\$568,188	\$0	\$0	\$0	\$0	\$0
40.06 Pedestrian / bike access and accommodation, landscaping	\$804,933	\$2,735,000	(\$2,000)	\$603,250	\$2,163,409	\$2,766,659
40.07 Automobile, bus, van accessways including roads, parking lots	\$284,094	\$0	\$0	\$0	\$0	\$0
40.08 Temporary Facilities and other indirect costs during construction	\$107,343,777	\$121,771,745	\$1,410,109	\$105,321,479	\$20,819,260	\$126,140,739
40.08 Allocated Contingency	\$20,160,000	\$1,585,000	\$0	\$0	\$413,953	\$413,953
<b>50 - SYSTEMS</b>	<b>\$504,445,419</b>	<b>\$516,084,320</b>	<b>\$21,640,893</b>	<b>\$363,042,814</b>	<b>\$196,501,525</b>	<b>\$559,544,338</b>
50.01 Train control and signals	\$97,589,149	\$120,562,174	\$2,757,063	\$72,636,938	\$48,252,087	\$120,889,025
50.01 Allocated Contingency	\$1,651,000	\$0	\$0	\$0	\$0	\$0
50.02 Traffic signals and crossing protection	\$23,879,905	(\$0)	\$0	\$0	(\$0)	(\$0)
50.02 Allocated Contingency	\$1,140,000	\$1,140,000	\$0	\$0	\$1,140,000	\$1,140,000
50.03 Traction power supply: substations	\$69,120,009	\$102,639,597	\$7,406,141	\$84,714,600	\$37,196,547	\$121,911,147
50.03 Allocated Contingency	\$31,755,013	\$2,808,090	\$0	\$0	\$2,121,398	\$2,121,398
50.04 Traction power distribution: catenary and third rail	\$253,683,045	\$279,435,200	\$11,340,404	\$204,957,609	\$102,018,591	\$306,976,200
50.04 Allocated Contingency	\$18,064,000	\$3,934,349	\$0	\$0	\$941,568	\$941,568
50.05 Communications	\$5,455,000	\$5,547,000	\$137,285	\$733,667	\$4,813,333	\$5,547,000
50.07 Central Control	\$2,090,298	\$0	\$0	\$0	\$0	\$0
50.07 Allocated Contingency	\$18,000	\$18,000	\$0	\$0	\$18,000	\$18,000
<b>60 - ROW, LAND, EXISTING IMPROVEMENTS</b>	<b>\$35,675,084</b>	<b>\$35,675,084</b>	<b>\$45,453</b>	<b>\$21,804,881</b>	<b>\$14,678,339</b>	<b>\$36,483,220</b>
60.01 Purchase or lease of real estate	\$25,927,074	\$25,927,074	\$45,453	\$21,670,890	\$13,812,331	\$35,483,220
60.01 Allocated Contingency	\$8,748,010	\$8,748,010	\$0	\$0	(\$0)	(\$0)
60.02 Relocation of existing households and businesses	\$1,000,000	\$1,000,000	\$0	\$133,992	\$866,008	\$1,000,000
<b>70 - VEHICLES (96)</b>	<b>\$625,544,147</b>	<b>\$619,286,318</b>	<b>\$6,517,742</b>	<b>\$298,012,979</b>	<b>\$323,744,370</b>	<b>\$621,757,348</b>
70.03 Commuter Rail	\$589,167,291	\$591,215,161	\$2,021,956	\$290,755,020	\$307,145,967	\$597,900,986
70.03 Allocated Contingency	\$9,472,924	\$4,239,405	\$0	\$0	\$24,610	\$24,610
70.06 Non-revenue vehicles	\$8,140,000	\$5,067,821	\$0	\$538,280	\$4,529,541	\$5,067,821
70.07 Spare parts	\$18,763,931	\$18,763,931	\$4,495,786	\$6,719,679	\$12,044,252	\$18,763,931
<b>80 - PROFESSIONAL SERVICES (applies to Cats. 10-50)</b>	<b>\$323,793,010</b>	<b>\$377,302,946</b>	<b>\$8,570,355</b>	<b>\$351,930,167</b>	<b>\$60,196,192</b>	<b>\$412,126,359</b>
80.01 Project Development	\$130,350	\$130,350	\$0	\$289,233	(\$158,883)	\$130,350
80.02 Engineering (not applicable to Small Starts)	\$180,227,311	\$217,802,709	(\$106,505)	\$211,732,995	\$8,739,438	\$220,472,432
80.02 Allocated Contingency	\$1,866,000	\$4,678	\$0	\$0	\$4,678	\$4,678
80.03 Project Management for Design and Construction	\$72,029,265	\$92,879,661	\$8,078,809	\$99,126,004	\$9,379,567	\$108,505,571
80.03 Allocated Contingency	\$9,388,080	\$3,725,231	\$0	\$0	(\$0)	(\$0)
80.04 Construction Administration & Management	\$23,677,949	\$38,941,008	\$528,508	\$29,934,890	\$28,620,039	\$58,554,929
80.04 Allocated Contingency	\$19,537,000	\$4,914,740	\$0	\$0	\$4,914,740	\$4,914,740
80.05 Professional Liability and other Non-Construction Insurance	\$3,500,000	\$4,581,851	\$0	\$4,581,851	\$0	\$4,581,851
80.06 Legal; Permits; Review Fees by other agencies, cities, etc.	\$7,167,275	\$9,254,887	\$69,543	\$6,210,704	\$3,602,514	\$9,813,218
80.06 Allocated Contingency	\$556,000	\$0	\$0	\$0	\$0	\$0
80.07 Surveys, Testing, Investigation, Inspection	\$3,287,824	\$3,418,022	\$0	\$54,490	\$3,444,291	\$3,498,781
80.08 Start up	\$1,797,957	\$1,021,808	\$0	\$0	\$1,021,808	\$1,021,808
80.08 Allocated Contingency	\$628,000	\$628,000	\$0	\$0	\$628,000	\$628,000
<b>Subtotal (10 - 80)</b>	<b>\$1,761,052,001</b>	<b>\$1,852,327,219</b>	<b>\$45,282,542</b>	<b>\$1,344,721,363</b>	<b>\$600,380,443</b>	<b>\$1,945,101,806</b>
<b>90 - UNALLOCATED CONTINGENCY</b>	<b>\$162,620,295</b>	<b>\$68,445,077</b>	<b>\$0</b>	<b>\$0</b>	<b>(\$24,329,510)</b>	<b>(\$24,329,510)</b>
<b>Subtotal (10 - 90)</b>	<b>\$1,923,672,296</b>	<b>\$1,920,772,296</b>	<b>\$45,282,542</b>	<b>\$1,344,721,363</b>	<b>\$576,050,933</b>	<b>\$1,920,772,296</b>
<b>100 - FINANCE CHARGES</b>	<b>\$6,998,638</b>	<b>\$9,898,638</b>	<b>\$0</b>	<b>\$7,754,266</b>	<b>\$2,144,372</b>	<b>\$9,898,638</b>
<b>Total Project Cost (10 - 100)</b>	<b>\$1,930,670,934</b>	<b>\$1,930,670,934</b>	<b>\$45,282,542</b>	<b>\$1,352,475,629</b>	<b>\$578,195,305</b>	<b>\$1,930,670,934</b>
<b>ADDITIONAL BUDGET NEED<sup>1</sup></b>					<b>\$462,438,164</b>	<b>\$462,438,164</b>
<b>Total Project Cost w/ Additional</b>	<b>\$1,930,670,934</b>	<b>\$1,930,670,934</b>	<b>\$45,282,542</b>	<b>\$1,352,475,629</b>	<b>\$1,040,633,469</b>	<b>\$2,393,109,098</b>

Notes:

<sup>1</sup> Caltrain Capital Overhead includes actuals to date new method ICAP as reported in Budget Scrub.

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Appendix E – Change Order Logs

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**Peninsula Corridor Electrification Project  
Monthly Progress Report**

**Change Order Logs**

Electrification Contract

**Change Order Authority (5% of BBII Contract)**

**5% x \$696,610,558 = \$34,830,528**

<b>Date</b>	<b>Change Number</b>	<b>Description</b>	<b>CCO Amount</b>	<b>Change Order Authority Usage<sup>1</sup></b>	<b>Remaining Authority</b>
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% <sup>2</sup>	-
04/24/18	BBI-053-CCO-008	2016 Incentives (Safety, Quality, and Public Outreach)	\$750,000	0.00% <sup>2</sup>	-
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% <sup>2</sup>	-
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	0.00% <sup>2</sup>	-
9/28/2018	BBI-053-CCO-016A	UPRR MT-1 Pole Relocation - Design Changes	\$903,000	0.00% <sup>2</sup>	-
9/28/2018	BBI-053-CCO-024A	PG&E Utility Feed Connection to TPS#1 and TPS#2 (Design Only)	\$727,000	0.00% <sup>2</sup>	-
12/17/2018	BBI-053-CCO-032	PS-2 Site Relocation (Design Only)	\$291,446	0.84%	\$33,187,956
1/17/2019	BBI-053-CCO-023	Insulated Rail Joints	\$2,694,519	0.00% <sup>2</sup>	-
1/17/2019	BBI-053-CCO-029	CHSRA Early Pole Relocation (Design Only)	\$625,000	0.00% <sup>2,3</sup>	-
2/5/2019	BBI-053-CCO-040A	Increase in Potholing Quantity (unit price contract bid item by 25%)	\$1,662,500	4.77 %	\$31,525,456

**Peninsula Corridor Electrification Project**  
**Monthly Progress Report**

Change Order Authority (5% of BBII Contract)

5% x \$696,610,558 = \$34,830,528

Date	Change Number	Description	CCO Amount	Change Order Authority Usage <sup>1</sup>	Remaining Authority
3/5/2019	BBI-053-CCO-042A	TPSS-2 VTA/BART Pole Relocation (Design Only) (CNPA funded by VTA)	\$110,000	0.32% <sup>3</sup>	\$31,415,456
3/11/2019	BBI-053-CCO-036	Field Order for Signal Cable Relocation (FO-064)	\$86,538	0.25%	\$31,328,918
3/20/2019	BBI-053-CCO-035	Millbrae Avenue Existing Overhead Barrier	(\$40,000)	(0.11)%	\$31,368,918
3/19/2019	BBI-053-CCO-046	Training in Design Software and Potholing	\$136,611	0.39%	\$31,232,307
4/8/2019	BBI-053-CCO-041	Grade Crossing Warning System (CN59) – 5 mph Speed Check	\$446,982	1.28%	\$30,785,325
5/30/2019	BBI-053-CCO-044	Additional Daytime Potholing (Increase Quantity by 500 in Segment 4)	\$150,000	0.43 %	\$30,635,325
6/6/2019	BBI-053-CCO-048	Power Metering Devices	\$101,908	0.29 %	\$30,533,417
6/13/2019	BBI-053-CCO-045	Incentive Payment for 2018	\$1,025,000	0.00% <sup>2</sup>	-
6/13/2019	BBI-053-CCO-024B	PG&E Utility Feed Connection to TPS #1 and TPS#2 (Material On Hand)	\$1,600,000	4.59 %	\$28,933,417
6/24/2019	BBI-053-CCO-043	PS-5 Site Relocation (Design Only)	\$348,000	1.00 %	\$28,585,417
6/24/2019	BBI-053-CCO-054	Change Design Sequence for OCS Foundations	\$37,500	0.11%	\$28,547,917
7/1/2019	BBI-053-CCO-040B	Increase Quantity for Utilities Potholing (Bid Item #9)	\$1,867,700	5.36 %	\$26,680,217
7/10/2019	BBI-053-CCO-033A	Relocation of PS3 (Design) (CNPA funded by BGSP)	\$500,000	1.44 % <sup>3</sup>	\$26,180,217
8/15/2019	BBI-053-CCO-047	CEMOF Slot Drains (Design Only)	\$69,000	0.20%	\$26,111,217
8/16/2019	BBI-053-CCO-055	Sheriff's Deputy in Segment 4B	\$4,644	0.01%	\$26,106,573
9/3/2019	BBI-053-CCO-037	Field Orders for Signal Cable Relocation (FO-053 & FO-059)	\$184,576	0.53%	\$25,921,997
9/7/2019	BBI-053-CCO-057	Mediator with Technical Expertise	\$0	0.00%	\$25,921,997
9/27/2019	BBI-053-CCO-061	Interconnect Renaming of Circuit Numbers	\$58,058	0.17%	\$25,863,939
9/27/2019	BBI-053-CCO-063A	Track Access Delays - Quarter 1 2018 (Partial)	\$343,496	0.99%	\$25,520,443
10/21/2019	BBI-053-CCO-064	TPS-2 VTA Pole Height Redesign (CNPA funded by VTA)	\$31,000	0.09% <sup>3</sup>	\$25,489,443
11/15/2019	BBI-053-CCO-038	Field Order for Signal Cable Relocation (FO-079 & FO-085)	\$187,764	0.54 %	\$25,301,680
11/26/2019	BBI-053-CCO-025B	Addition of OCS Shunt Wires in Segments 2 & 4 - Wire Assembly Materials Only - voided below on 7/31/20	\$144,370	0.41 %	\$25,157,310
12/11/2019	BBI-053-CCO-065A	Foundation Inefficiencies S2WA5	\$401,501	1.15%	\$24,755,809
12/17/2019	BBI-053-CCO-025C	Addition of OCS Shunt Wires in Segments 2 & 4 – Pole Assembly Materials Only - voided below on 7/31/20	\$884,500	2.54 %	\$23,871,309
1/7/2020	BBI-053-CCO-066A	Increase Quantity for Contaminated Soils (Bid Unit Price Item #1)	\$950,000	2.73 %	\$22,921,309
2/5/2020	BBI-053-CCO-023B	Insulated Rail Joints De-stressing	\$890,600	2.56 %	\$22,030,709
3/18/2020	BBI-053-CCO-072A	SVP Requirements for Joint SIS & SPS (Task 1) - voided below on 7/9/20	\$80,000	0.23 %	\$21,950,709
3/19/2020	BBI-053-CCO-023C	Portec Insulated Rail Joints	\$375,000	1.08 %	\$21,575,709
3/26/2020	BBI-053-CCO-076	Asbestos Pipe Abatement at CP Shark	\$145,872	0.42 %	\$21,429,837
3/31/2020	BBI-053-CCO-075	Norcal Utility Potholing (FO#39)	\$98,105	0.28 %	\$21,331,733
4/21/2020	BBI-053-CCO-077A	Contaminated Soil (Class 1) at TPS-1	\$701,780	2.01 %	\$20,629,953
4/27/2020	BBI-053-CCO-066B	Increase Quantity for Contaminated Soils (Bid Item #1)	\$926,273	2.66 %	\$19,703,680
4/27/2020	BBI-053-CCO-090A	Signal Cable Relocation (Field Order No. 340)	\$47,258	0.14 %	\$19,656,423
4/27/2020	BBI-053-CCO-091A	Signal Cable Relocation (Field Order No. 340)	\$131,663	0.38 %	\$19,524,759
4/29/2020	BBI-053-CCO-080A	Steel Plates to Protect Utilities (DTDS)	\$135,128	0.39 %	\$19,389,631

**Peninsula Corridor Electrification Project  
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**Change Order Authority (5% of BBII Contract)**

**5% x \$696,610,558 = \$34,830,528**

<b>Date</b>	<b>Change Number</b>	<b>Description</b>	<b>CCO Amount</b>	<b>Change Order Authority Usage<sup>1</sup></b>	<b>Remaining Authority</b>
4/29/2020	BBI-053-CCO-081A	Steel Plates to Protect Utilities (DTDS)	\$95,474	0.27 %	\$19,294,157
4/29/2020	BBI-053-CCO-071	Increase Quantity for Tree Pruning (Bid Unit Price Item #4d)	\$375,000	1.08 %	\$18,919,157
5/1/2020	BBI-053-CCO-050	Switch Machine Isolation – Credit	(\$277,430)	(0.80)%	\$19,196,586
5/19/2020	BBI-053-CCO-092A	Signal Cable Relocation (Field Order No. 340)	\$106,773	0.31 %	\$19,089,814
5/19/2020	BBI-053-CCO-093A	Signal Cable Relocation (Field Order No. 340)	\$90,765	0.26 %	\$18,999,049
5/27/2020	BBI-053-CCO-101	Asbestos Pipe Abatement at 46.3-07/08	\$21,037	0.06 %	\$18,978,012
6/15/2020	BBI-053-CCO-049A	Long-reach Foundations Installation - Unit Price	\$46,560	0.13 %	\$18,931,452
6/15/2020	BBI-053-CCO-049B	Long-reach Foundations Installation - Unit Price	\$46,560	0.13 %	\$18,884,892
6/18/2020	BBI-053-CCO-033B	PS-3 Site Relocation FEMA 2019 Update and BGSP Design Coordination – CNPA	\$50,000	0.14 % <sup>3</sup>	\$18,834,892
6/30/2020	BBI-053-CCO-082A	Steel Plates to Protect Utilities (DTDS)	\$90,658	0.26 %	\$18,744,235
6/30/2020	BBI-053-CCO-083A	Steel Plates to Protect Utilities (DTDS)	\$181,900	0.52 %	\$18,562,335
6/30/2020	BBI-053-CCO-094A	Signal Cable Relocation (Field Order No. 340)	\$124,633	0.36 %	\$18,437,702
7/9/2020	BBI-053-CCO-072A	SVP Requirements for Joint SIS & SPS (Task 1) – Voided	(\$80,000)	(0.23)%	\$18,517,702
7/9/2020	BBI-053-CCO-072A REV2	SVP Requirements for Joint SIS & SPS (Tasks 0-5) - voided below on 2/23/2021	\$300,000	0.86 %	\$18,217,702
7/16/2020	BBI-053-CCO-100	Remove Tree Stump at 46.4-02	\$1,459	0.00 %	\$18,216,243
7/30/2020	BBI-053-CCO-078	Re-design CEMOF OCS Poles due to Stair 71 Conflict	\$11,796	0.03 %	\$18,204,447
7/30/2020	BBI-053-CCO-084A	Steel Plates to Protect Utilities (DTDS)	\$101,334	0.29 %	\$18,103,113
7/30/2020	BBI-053-CCO-085A	Steel Plates to Protect Utilities (DTDS)	\$94,062	0.27 %	\$18,009,051
7/30/2020	BBI-053-CCO-104	Utility Conflict During PVC Conduit Installation	\$2,657	0.01 %	\$18,006,394
7/31/2020	BBI-053-CCO-103	Track Access Delays – 2017 Quarter 3 - voided below on 2/16/2021	\$145,892	0.42 %	\$17,860,503
7/31/2020	BBI-053-CCO-025B	Addition of OCS Shunt Wires in Segments 2 & 4 - Wire Assembly Materials Only – Voided	(\$144,370)	(0.41)%	\$18,004,873
7/31/2020	BBI-053-CCO-025C	Addition of OCS Shunt Wires in Segments 2 & 4 – Pole Assembly Materials Only – Voided	(\$884,500)	(2.54)%	\$18,889,373
8/3/2020	BBI-053-CCO-063B	Track Access Delays – Quarter 1 2018 (Part 2)	\$92,906	0.27 %	\$18,796,466
8/14/2020	BBI-053-CCO-106	Track Access Delays – 2017 Quarter 4	\$903,794	2.59 %	\$17,892,672
9/10/2020	BBI-053-CCO-025F	OCS Shunt Wire (Construction)	\$9,500,000	0.00% <sup>2</sup>	-
9/11/2020	BBI-053-CCO-126	Track Access Delays - 2019 Quarter 3 – OCS Foundations	\$81,223	0.23 %	\$17,811,450
9/24/2020	BBI-053-CCO-127	Track Access Delays – 2019 Quarter 4 – OCS Foundations	\$147,223	0.42 %	\$17,664,227
9/21/2020	BBI-053-CCO-051	CEMOF Yard OCS Changes (Design Only)	\$210,300	0.60 %	\$17,453,927
9/21/2020	BBI-053-CCO-074	Underground Utilities Clearance	\$0	0.00 %	\$17,453,927
10/19/2020	BBI-053-CCO-072C	PCEP SIS & SPS Additional Validation Work	\$27,696	0.08 %	\$17,426,231
10/27/2020	BBI-053-CCO-105	Pole Removal at Location 30.7-01	\$2,297	0.01 %	\$17,423,935
11/30/2020	BBI-053-CCO-056	Delivery of Signal Cable	\$3,391	0.01 %	\$17,420,544
12/22/2020	BBI-053-CCO-111	Incentives Payment for 2019	\$825,000	0.00% <sup>2</sup>	-
2/9/2021	BBI-053-CCO-025G	OCS Shunt Wire (Design)	\$0	0.00 %	\$17,420,544
2/11/2021	BBI-053-CCO-047B	CEMOF Yard Slot Drains Relocation (Construction)	\$360,000	1.03 %	\$17,060,544
2/16/2021	BBI-053-CCO-103	Track Access Delays – 2017 Quarter 3 – voided	(\$145,892)	(0.42)%	\$17,206,435

**Peninsula Corridor Electrification Project**  
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Change Order Authority (5% of BBII Contract)

5% x \$696,610,558 = \$34,830,528

Date	Change Number	Description	CCO Amount	Change Order Authority Usage <sup>1</sup>	Remaining Authority
2/16/2021	BBI-053-CCO-103 REV1	Track Access Delays – 2017 Quarter 3	\$164,518	0.47 %	\$17,041,918
2/23/2021	BBI-053-CCO-072A REV2	SVP Requirements for Joint SIS & SPS (Tasks 0-5) – <b>voided</b>	(\$300,000)	(0.86)%	\$17,341,918
2/23/2021	BBI-053-CCO-072B	Requirements for PCEP Joint System Impact Study & Single Phase Study	\$520,000	1.49 %	\$16,821,918
3/17/2021	BBI-053-CCO-203	Increase in Permit Allowance (Bid Allowance Item #5)	\$300,000	0.86 %	\$16,521,918
3/17/2021	BBI-053-CCO-205	Increase in Partnering Allowance (Bid Allowance Item #2)	\$186,000	0.53 %	\$16,335,918
3/26/2021	BBI-053-CCO-192	Abandoned Utility Pole Removal at MP24.72	\$2,766	0.01 %	\$16,333,151
4/23/2021	BBI-053-CCO-108A	Deletion of 5 & 5A Switch Crossover at CP Shark (Part 1)	\$163,996	0.47 %	\$16,169,156
4/23/2021	BBI-053-CCO-024C	TPSS 1&2 PG&E Interconnection-Procurement of Long Lead Materials (Credit)	(\$1,345,033)	(3.86)%	\$17,514,188
4/30/2021	BBI-053-CCO-113A	Walk-in Enclosure at Luther Junction (BBI, PGH Wong and QEI)	\$51,281	0.15 %	\$17,462,907
5/27/2021	BBI-053-CCO-073	South San Francisco Bioswale Redesign	\$26,067	0.07 %	\$17,436,840
6/11/2021	BBI-053-CCO-135A	Protection of On-track Eqpt Traveling thru Gated Crossings	\$133,645	0.38 %	\$17,303,195
6/18/2021	BBI-053-CCO-157	Track Access Delays - July 2017 to October 2020	\$4,350,000	12.49 %	\$12,953,195
6/22/2021	BBI-053-CCO-039	NorCal Utility Potholing CBOSS (FO#35&037)	\$140,691	0.40 %	\$12,812,505
6/22/2021	BBI-053-CCO-079	NorCal Utility Potholing (FO#52)	\$82,108	0.24 %	\$12,730,396
6/27/2021	BBI-053-CCO-204A	Increase in PG&E Service Allowance (Bid Allowance Item #8)	\$3,000,000	8.61 %	\$9,730,396
6/25/2021	BBI-053-CCO-049C	Long-reach Foundations Installation - Unit Price	\$139,680	0.40 %	\$9,590,716
7/6/2021	BBI-053-CCO-096A	Signal Cable Relocation (Field Order No. 342)	\$36,268	0.10 %	\$9,554,448
7/7/2021	BBI-053-CCO-097A	Signal Cable Relocation (Field Order No. 342)	\$63,422	0.18 %	\$9,491,027
7/7/2021	BBI-053-CCO-098A	Signal Cable Relocation (Field Order No. 342)	\$105,576	0.30 %	\$9,385,450
7/16/2021	BBI-053-CCO-060	Contract Relief of DVR Requirements - Credit	(\$41,781)	(0.12)%	\$9,427,231
7/22/2021	BBI-053-CCO-167	CP Stockton Compliance with UPRR Requirements	\$100,315	0.29 %	\$9,326,917
7/27/2021	BBI-053-CCO-062	Bumper Post Conflict at Foundations 9.8-02 & 9.8-D02	\$12,000	0.03 %	\$9,314,917
7/27/2021	BBI-053-CCO-173	Relocate OCS Foundation Rebar Cages from PMI Yard	\$1,050	0.00 %	\$9,313,867
7/27/2021	BBI-053-CCO-191	Foundation Installation at Cal Ave Station	\$4,321	0.01 %	\$9,309,546
7/30/2021	BBI-053-CCO-237	Reroute Utilities in Conflict with Built-in Anchor Bolts	\$10,768	0.03 %	\$9,298,778
8/13/2021	BBI-053-CCO-032B	PS-2 Relocation (Construction)	\$397,500	1.14 %	\$8,901,278
8/17/2021	BBI-053-CCO-188	Permanent Steel Casing at Foundation 47.0-07	\$50,835	0.15 %	\$8,850,443
8/18/2021	BBI-053-CCO-099A	Signal Cable Relocation (Field Order No. 342)	\$148,176	0.43 %	\$8,702,267
8/18/2021	BBI-053-CCO-095A	Signal Cable Relocation (Field Order No. 342)	\$49,401	0.14 %	\$8,652,867
8/19/2021	BBI-053-CCO-152	Mary Ave Advance Pre-emption (BBI Design Coordination Only)	\$16,500	0.05 %	\$8,636,367
8/19/2021	BBI-053-CCO-152	Mary Ave Advance Pre-emption - CNPA	\$116,000	0.33 % <sup>3</sup>	\$8,520,367
9/20/2021	BBI-053-CCO-201	Procure and Deliver Electrical Supplies for JPB	\$2,004	0.01 %	\$8,518,363
10/1/2021	BBI-053-CCO-200	Install OCS Foundations Alternate Methods	\$235,000	0.67 %	\$8,283,363
10/4/2021	BBI-053-CCO-187	Deletion of ICE & ISE Requirements - Rev1	(\$2,110,388)	(6.06)%	\$10,393,751
10/5/2021	BBI-053-CCO-189	Spread Footing at CP Dela Cruz	\$68,000	0.20 %	\$10,325,751

**Peninsula Corridor Electrification Project  
Monthly Progress Report**

<b>Change Order Authority (5% of BBII Contract)</b>				<b>5% x \$696,610,558 = \$34,830,528</b>	
<b>Date</b>	<b>Change Number</b>	<b>Description</b>	<b>CCO Amount</b>	<b>Change Order Authority Usage<sup>1</sup></b>	<b>Remaining Authority</b>
10/19/2021	BBI-053-CCO-023D	Insulated Rail Joints	\$218,657	0.63 %	\$10,107,094
10/21/2021	BBI-053-CCO-219	Redesign Signal Ductbank per VTA Requirements (CNPA: \$30,000)	\$30,000	0.09 % <sup>3</sup>	\$10,077,094
10/27/2021	BBI-053-CCO-040C	Increase Quantity for Utilities Potholing (Bid Item #9)	\$5,700,000	16.36 %	\$4,377,094
10/28/2021	BBI-053-CCO-043B	PS-5 Relocation (Construction)	\$427,000	1.23 %	\$3,950,094
11/30/2021	BBI-053-CCO-066C	Contaminated Soils Increase in Unit Price (Bid Item #1)	\$1,384,802	3.98 %	\$2,565,292
<b>Total</b>			<b>\$60,967,422</b>	<b>92.63 %</b>	<b>\$2,565,292</b>

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**

<b>Change Order Authority (5% of Stadler Contract)</b>				<b>5% x \$550,899,459 = \$27,544,973</b>	
<b>Date</b>	<b>Change Number</b>	<b>Description</b>	<b>CCO Amount</b>	<b>Change Order Authority Usage<sup>1</sup></b>	<b>Remaining Authority</b>
09/22/2017	STA-056-CCO-001	Contract General Specification and Special Provision Clean-up	\$0	0.00%	-
10/27/2017	STA-056-CCO-002	Prototype Seats and Special Colors	\$55,000	0.20%	\$27,489,973
11/02/2017	STA-056-CCO-003	Car Level Water Tightness Test	\$0	0.00%	-
12/05/2017	STA-056-CCO-004	Onboard Wheelchair Lift 800 Pound Capacity Provisions	\$848,000	3.08%	\$26,641,973
11/03/2017	STA-056-CCO-005	Design Progression (multiple)	\$0	0.00%	-
12/12/2017	STA-056-CCO-006	Prototype Seats and Special Colors	(\$27,500)	(0.10%)	\$26,669,473
01/17/2018	STA-056-CCO-007	Multi-Color Destination Signs	\$130,760	0.47%	\$26,538,713
02/09/2018	STA-056-CCO-008	Adjustment to Delivery and LDs due to delayed FNTP	\$490,000	0.00% <sup>2</sup>	-
02/12/2018	STA-056-CCO-009	Ship Cab Mock-up to Caltrain	\$53,400	0.19%	\$26,485,313
04/17/2018	STA-056-CCO-010	Onboard Wheelchair Lift Locations	(\$1,885,050)	(6.84%)	\$28,370,363
04/17/2018	STA-056-CCO-011	Multiple Change Group 3 and Scale Models	\$0	0.00%	-
10/29/2018	STA-056-CCO-012	Multiple Change Group 4	\$0	0.00%	-
10/29/2018	STA-056-CCO-013	Wheelchair Lift Installation Redesign	\$228,400	0.83%	\$28,141,963
12/14/2018	STA-056-CCO-014	PTC System Change	\$0	0.00%	-
12/22/2018	STA-056-CCO-015	EMU Option Cars	\$172,800,047	0.00% <sup>2,3</sup>	-
6/26/2019	STA-056-CCO-016	Testing at TTCL (Pueblo Facility) - First Trainset	\$3,106,428	11.28 %	\$25,035,535
8/27/2019	STA-056-CCO-017	Virtual Reality Experience	\$400,000	1.45 %	\$24,635,535
8/21/2019	STA-056-CCO-018	EMI Conducted Emissions Limits	\$0	0.00%	\$24,635,535
8/8/2019	STA-056-CCO-019	Option Car Payment Milestones	\$0	0.00%	\$24,635,535
8/21/2019	STA-056-CCO-020	Multiple No Cost No Schedule Impact Changes Group 5	\$0	0.00%	\$24,635,535
10/28/2019	STA-056-CCO-021	Plugging of High-Level Doorways	\$736,013	2.67%	\$23,899,523
11/13/2019	STA-056-CCO-022	Add Flip-Up Seats into Bike Cars (CNPA: \$1.96M funded by Non-PCEP)	\$1,961,350	7.12% <sup>3</sup>	\$21,938,173
4/21/2020	STA-056-CCO-025	Removal of Vandal Film from Windows	(\$374,994)	(1.36)%	\$22,313,167
5/6/2020	STA-056-CCO-023	Deferral of Wheelchair Lifts	\$632,703	2.30 %	\$21,680,464

**Peninsula Corridor Electrification Project**  
**Monthly Progress Report**

<b>Change Order Authority (5% of Stadler Contract)</b>				<b>5% x \$550,899,459 = \$27,544,973</b>	
<b>Date</b>	<b>Change Number</b>	<b>Description</b>	<b>CCO Amount</b>	<b>Change Order Authority Usage<sup>1</sup></b>	<b>Remaining Authority</b>
7/13/2020	STA-056-CCO-026	Update VR Experiences (CNPA: \$43K funded by Non-PCEP)	\$43,000	0.16 % <sup>3</sup>	\$21,637,464
9/14/2020	STA-056-CCO-027	EMU Liquidated Damages, and Delivery and Testing Schedule Modifications	\$0	0.00 %	\$21,637,464
10/12/2020	STA-056-CCO-029	Multiple No Cost / No Schedule Impact Changes Group 7	\$0	0.00 %	\$21,637,464
1/28/2021	STA-056-CCO-028	Procure Pantograph Automated Inspection System	\$790,211	2.87 %	\$20,847,253
2/26/2021	STA-056-CCO-031	Bike Car Dividers	\$194,940	0.71 %	\$20,652,313
3/8/2021	STA-056-CCO-030	Video of trainset while at TTC	\$9,833	0.04 %	\$20,642,481
3/25/2021	STA-056-CCO-032	Credit for Waived Testing	(\$1,040,000)	(3.78)%	\$21,682,481
6/23/2021	STA-056-CCO-033	Multiple Changes Group 8	\$0	0.00 %	\$21,682,481
<b>Total</b>			<b>\$179,152,539</b>	<b>21.28 %</b>	<b>\$21,682,481</b>

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**

<b>Change Order Authority (15% of ARINC Contract)</b>				<b>15% x \$3,446,917 = \$517,038</b>	
<b>Date</b>	<b>Change Number</b>	<b>Description</b>	<b>CCO Amount</b>	<b>Change Order Authority Usage<sup>1</sup></b>	<b>Remaining Authority</b>
2/11/2021	ARINC-061-CCO-001	Traction Power Facility SCADA Database Changes	\$395,538	76.50 %	\$121,500
8/9/2021	ARINC-061-CCO-002	Traction Power Facility SCADA Database Changes - Rev - 10 & 11	\$174,916	0.00% <sup>2</sup>	\$121,500
11/23/2021	ARINC-061-CCO-003	Traction Power Facility SCADA Database Changes - Rev - 12	\$170,360	22.30% <sup>3</sup>	\$6,224
<b>Total</b>			<b>\$740,814</b>	<b>98.80 %</b>	<b>\$6,224</b>

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. Change partially covered by the Board of Directors approval – not counted against the Executive Director's Change Order Authority.

**Tunnel Modifications Contract**

<b>Change Order Authority (10% of ProVen Contract<sup>1</sup>)</b>				<b>10% x \$55,077,777 = \$5,507,778</b>	
<b>Date</b>	<b>Change Number</b>	<b>Description</b>	<b>CCO Amount</b>	<b>Change Order Authority Usage<sup>2</sup></b>	<b>Remaining Authority</b>
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 % <sup>4</sup>	\$5,367,572
4/25/2019	PROV-070-CCO-002	Furnish Galvanized E-clips	\$37,239	0.68 %	\$5,330,333
4/30/2019	PROV-070-CCO-006	Additional Rock Bolts and Testing	\$22,549	0.41 %	\$5,307,784
5/23/2019	PROV-070-CCO-013	Late Removal of Leaky Feeder Tunnel 4 (T-4 )	\$21,225	0.39 %	\$5,286,559
5/28/2019	PROV-070-CCO-014	OCS Piles Utility Conflict at Tunnel-1 South (T-1S)	\$16,275	0.30 %	\$5,270,284

**Peninsula Corridor Electrification Project  
Monthly Progress Report**

**Change Order Authority (10% of ProVen Contract<sup>1</sup>)**

**10% x \$55,077,777 = \$5,507,778**

<b>Date</b>	<b>Change Number</b>	<b>Description</b>	<b>CCO Amount</b>	<b>Change Order Authority Usage<sup>2</sup></b>	<b>Remaining Authority</b>
5/29/2019	PROV-070-CCO-012	OCS Piles Utility Conflict at T-4S	\$6,871	0.12 %	\$5,263,413
5/31/2019	PROV-070-CCO-016A	Portal Structure Detailing Changes	\$84,331	1.53 %	\$5,179,082
6/18/2019	PROV-070-CCO-009	Creosote Ties Covering (CNPA - Drainage \$3,116.00)	\$3,116	0.06 % <sup>4</sup>	\$5,175,966
6/28/2019	PROV-070-CCO-008	Micropiles at South Tunnel-2 South (T-2S)	\$41,322	0.75 %	\$5,134,644
6/28/2019	PROV-070-CCO-010	Salvage Transition Panels (CNPA - Drainage \$6,144.00)	\$6,144	0.11 % <sup>4</sup>	\$5,128,500
6/28/2019	PROV-070-CCO-011	Demo PVC and Plug Tunnel-1 South (T-1S) (CNPA - Drainage \$4,035.00)	\$4,035	0.07 % <sup>4</sup>	\$5,124,465
6/28/2019	PROV-070-CCO-020	Unidentified SD Conflict with Junction Inlet (CNPA - Drainage \$1,976.00)	\$1,976	0.04 % <sup>4</sup>	\$5,122,489
9/26/2019	PROV-070-CCO-007	Canopy Tube Drilling	\$89,787	1.63%	\$5,032,702
9/26/2019	PROV-070-CCO-023	Over-excavate Trapezoidal Ditch at T-1N (CNPA - Drainage \$46,914.00)	\$46,914	0.85% <sup>4</sup>	\$4,985,788
10/4/2019	PROV-070-CCO-029	Additional DryFix Pins	\$105,000	1.91%	\$4,880,788
10/4/2019	PROV-070-CCO-021	Out of Sequence Piles	\$185,857	3.37 %	\$4,694,931
10/30/2019	PROV-070-CCO-017	Hard Piping in T-4 (CNPA - Drainage \$2,200.00)	\$2,200	0.04 % <sup>4</sup>	\$4,692,731
1/25/2020	PROV-070-CCO-027	Grout Quantity Underrun	(\$1,216,000)	(22.08)%	\$5,908,731
1/29/2020	PROV-070-CCO-026	HMAC Quantity Overrun (CNPA - Drainage \$160,000.00)	\$160,000	2.9 % <sup>4</sup>	\$5,748,731
5/11/2020	PROV-070-CCO-025	NOPC #1 CWR (CNPA - Drainage \$660,000.00)	\$660,000	11.98 % <sup>4</sup>	\$5,088,731
7/31/2020	PROV-070-CCO-032	Stone Masonry Fabrication at T-4S	\$26,367	0.48 %	\$5,062,364
7/31/2020	PROV-070-CCO-035	Low Overhead Obstruction at T-1N	\$18,894	0.34 %	\$5,043,470
8/20/2020	PROV-070-CCO-034	Milestone No. 2 - Overall Substantial Completion	\$0	0.00 %	\$5,043,470
1/27/2021	PROV-070-CCO-037	Additional Fence	\$15,651	0.28 %	\$5,027,819
7/26/2021	PROV-070-CCO-019	Drainage Conflicts at T1N	\$30,000	0.54 %	\$4,997,819
7/26/2021	PROV-070-CCO-022	OCS Foundation Redesign Support	\$4,902	0.09 %	\$4,992,917
7/26/2021	PROV-070-CCO-024	Reroute Leaky Feeder Cable at T-1	\$19,554	0.36 %	\$4,973,363
7/26/2021	PROV-070-CCO-039	Staging and Carroll Avenue	\$70,000	1.27 %	\$4,903,363
7/26/2021	PROV-070-CCO-041	Additional Mechanical Anchors at T-2	\$36,925	0.67 %	\$4,866,438
7/26/2021	PROV-070-CCO-042	Install Wedge Anchors in Tunnel 2	\$45,261	0.82 %	\$4,821,177
7/26/2021	PROV-070-CCO-043	Post Insulators at Tunnel Portals	\$45,557	0.83 %	\$4,775,620
7/26/2021	PROV-070-CCO-044	Water Leaking onto Conductor Rail	\$15,216	0.28 %	\$4,760,404
7/26/2021	PROV-070-CCO-038	Inability to Perform Work due to Special Events	\$64,458	1.17 %	\$4,695,946
7/26/2021	PROV-070-CCO-040	Longer Crew Shifts due to Staged Trains on Tracks	\$70,000	1.27 %	\$4,625,946
7/29/2021	PROV-070-CCO-049	Feeder Cable Lashing	\$113,000	2.05 %	\$4,512,946
9/30/2021	PROV-070-CCO-015	Demo High Spots on Tunnel Invert	\$14,726	0.27 %	\$4,498,220
9/30/2021	PROV-070-CCO-018	Clean Water and Mud from Tunnel Invert	\$40,000	0.73 %	\$4,458,220
9/30/2021	PROV-070-CCO-045	Masonry Rebuild at South Portal T-4 (Part 2)	\$65,806	1.19 %	\$4,392,414
9/30/2021	PROV-070-CCO-047	Additional Drop Tubes and Anchors	\$99,000	1.80 %	\$4,293,414
9/30/2021	PROV-070-CCO-050	OCRS Portal Structure Delays	\$6,000	0.11 %	\$4,287,414
9/30/2021	PROV-070-CCO-051	Disposal of Excess Soils from T-1N Portal	\$22,683	0.41 %	\$4,264,731

**Peninsula Corridor Electrification Project**  
**Monthly Progress Report**

**Change Order Authority (10% of ProVen Contract<sup>1</sup>)**

**10% x \$55,077,777 = \$5,507,778**

Date	Change Number	Description	CCO Amount	Change Order Authority Usage <sup>2</sup>	Remaining Authority
9/30/2021	PROV-070-CCO-052	Install Portal Structures Under Single Tracking	\$99,500	1.81 %	\$4,165,231
9/30/2021	PROV-070-CCO-053	Procure Additional Drop Tubes	\$33,000	0.60 %	\$4,132,231
10/4/2021	PROV-070-CCO-046	OCS Portal Structure Delays	\$130,000	2.36 %	\$4,002,231
10/30/2021	PROV-070-CCO-051	Disposal of Excess Soils from T-1N Portal	\$22,683	0.41 %	\$4,134,731
10/30/2021	PROV-070-CCO-052	Install Portal Structures Under Single Tracking	\$99,500	1.81 %	\$4,035,231
10/30/2021	PROV-070-CCO-053	Procure Additional Drop Tubes	\$33,000	0.60 %	\$4,002,231
11/30/2021	PROV-070-CCO-054	Procure Surge Arrestors	\$10,580	0.19 %	\$3,991,651
11/30/2021	PROV-070-CCO-055	Cantilever Drop Tubes	\$27,409	0.50 %	\$3,964,242
<b>Total</b>			<b>\$1,543,535</b>	<b>28.02 %</b>	<b>\$3,964,242</b>

Notes:

1. Tunnel modifications contract (\$55,077,777) includes: Notching (\$25,281,170), Drainage (\$13,196,607) and OCS Installation (\$16,600,000).
2. When the threshold of 75% is reached, staff may return to the Board to request additional authority.
3. Change approved by the Board of Directors – not counted against the Executive Director's Change Order Authority.
4. Third Party Improvements/CNPA Projects that are funded with non-PCEP funds.

**CEMOF Modifications Contract**

**Change Order Authority (10% of ProVen Contract)**

**10% x \$6,550,777 = \$655,078**

Date	Change Number	Description	CCO Amount	Change Order Authority Usage <sup>1</sup>	Remaining Authority
1/16/2020	PROV-071-CCO-001	Change Casing Size of Siphon Line to Schedule 80 PVC Pipe	\$3,849	0.59 %	\$651,229
1/13/2020	PROV-071-CCO-002	Leakage test for IW line	\$1,339	0.20 %	\$649,890
1/15/2020	PROV-071-CCO-003	Roughen surface of existing concrete	\$3,159	0.48 %	\$646,731
1/9/2020	PROV-071-CCO-004	Change Catch Basin Size from 24"X24" to 36" Round	\$14,415	2.20 %	\$632,316
1/15/2020	PROV-071-CCO-005	Hand Dig around Communication Lines	\$906	0.14 %	\$631,410
1/17/2020	PROV-071-CCO-008	Change Storm Drain Line A Material from 12-inch RCP Pipe to 12-inch PVC Pipe	\$3,583	0.55 %	\$627,827
1/16/2020	PROV-071-CCO-009	Demolition of Existing Exterior Light	\$1,558	0.24 %	\$626,269
2/13/2020	PROV-071-CCO-010	Deletion of Plastic Bollards Around New Inspection Pit	(\$3,324)	(0.51)%	\$629,593
2/13/2020	PROV-071-CCO-011	Fixing Broken Conduit in Concrete Slab North of Maintenance Building	\$4,286	0.65 %	\$625,307
2/13/2020	PROV-071-CCO-012	Epoxy Dowels at New Stairwells	\$3,526	0.54 %	\$621,781
2/13/2020	PROV-071-CCO-013	Deletion of the Removal and Replacement of Pump Disconnect Switches	(\$7,007)	(1.07)%	\$628,788
2/13/2020	PROV-071-CCO-014	Recycled Base Rock for Backfill at Pressurized Water Line at Parts Storage Warehouse	\$1,411	0.22 %	\$627,377
2/20/2020	PROV-071-CCO-015	Cut and Cap Oil Line	\$1,002	0.15 %	\$626,375
2/25/2020	PROV-071-CCO-016	Installation of Homerun Conduit	\$27,404	4.18 %	\$598,971
2/25/2020	PROV-071-CCO-017	Potholing for Boosted Water Line	\$18,476	2.82 %	\$580,495
2/28/2020	PROV-071-CCO-018	Cap Compressed Air Line	\$9,519	1.45 %	\$570,976
2/28/2020	PROV-071-CCO-019	Acoustic Ceiling Removal at Component Test Room	\$4,253	0.65 %	\$566,723
3/5/2020	PROV-071-CCO-020	Ground Wire Relocation	\$14,117	2.16 %	\$552,606
3/13/2020	PROV-071-CCO-021	Zurn Drain Assembly in Lieu of Fibrelyte	\$1,104	0.17 %	\$551,502

**Peninsula Corridor Electrification Project  
Monthly Progress Report**

**Change Order Authority (10% of ProVen Contract)**

**10% x \$6,550,777 = \$655,078**

<b>Date</b>	<b>Change Number</b>	<b>Description</b>	<b>CCO Amount</b>	<b>Change Order Authority Usage<sup>1</sup></b>	<b>Remaining Authority</b>
4/8/2020	PROV-071-CCO-022	Deletion of Concrete Pad and Double Plywood Floor at PSW	(\$1,409)	(0.22)%	\$552,911
4/8/2020	PROV-071-CCO-023	Flashing at Overflow Drain at Component Test Room	\$2,981	0.46 %	\$549,930
4/9/2020	PROV-071-CCO-024	Parts Storage Warehouse Power Feed	\$16,412	2.51 %	\$533,518
4/22/2020	PROV-071-CCO-025	Removal of Hazardous Soil from PSW Subgrade Excavation	\$43,444	6.63 %	\$490,073
4/22/2020	PROV-071-CCO-026A	Removal of Hazardous Soil from PSW Footing Excavation	\$35,808	5.47 %	\$454,266
4/27/2020	PROV-071-CCO-027	480 Volt Duct Bank and Wire Removal	\$5,015	0.77 %	\$449,251
5/28/2020	PROV-071-CCO-031A	Temporary Facilities - Eye Wash Stations	\$656	0.10 %	\$448,595
6/3/2020	PROV-071-CCO-032A	Water Diversion Pump for Catch Basin Work	\$2,745	0.42 %	\$445,850
6/3/2020	PROV-071-CCO-033A	Light Towers for Maintenance Building Yard	\$3,897	0.59 %	\$441,953
6/3/2020	PROV-071-CCO-034	Investigation of Concrete Underneath Ties at Track 5	\$5,060	0.77 %	\$436,893
6/16/2020	PROV-071-CCO-029A	Shoring Design for Boosted Water Line Work	\$14,307	2.18 %	\$422,586
6/16/2020	PROV-071-CCO-030A	Investigation and Re-wiring of Electrical Receptacles at CTR	\$7,783	1.19 %	\$414,803
6/10/2020	PROV-071-CCO-028	Credit for Electrical Feed to Parts Storage Warehouse	(\$18,682)	(2.85)%	\$433,485
7/24/2020	PROV-071-CCO-029B	Shoring Design for Boosted Water Line Work	\$2,175	0.33 %	\$431,310
7/24/2020	PROV-071-CCO-032B	Water Diversion Pump for Catch Basin Work	\$3,621	0.55 %	\$427,689
7/24/2020	PROV-071-CCO-035	Settlement Slab Demolition	\$479	0.07 %	\$427,210
7/24/2020	PROV-071-CCO-036	Storm Drain Line A	\$2,066	0.32 %	\$425,144
7/30/2020	PROV-071-CCO-037	Owner Supplied WSP Cabinet - Added Mechanical Pad and Conduit Pull	\$5,922	0.90 %	\$419,222
7/30/2020	PROV-071-CCO-038	Interior and Exterior Metal Wall Panels at CTR	\$10,317	1.57 %	\$408,905
7/30/2020	PROV-071-CCO-039	Exterior CMU Wall at CTR	\$16,152	2.47 %	\$392,753
7/30/2020	PROV-071-CCO-040	Membrane Waterproofing Specification Modifications	\$36,233	5.53 %	\$356,520
12/17/2019	PROV-071-CCO-007	Demolition of Existing Transition Slab at North and South Pits	\$8,101	1.24 %	\$348,419
8/13/2020	PROV-071-CCO-041	Abandonment of Drainage Structure in Conflict with Shoring at Stair No. 71	\$11,015	1.68 %	\$337,404
8/14/2020	PROV-071-CCO-043	Lighting Circuit Restoration	\$2,980	0.45 %	\$334,424
8/18/2020	PROV-071-CCO-026B	Removal of Hazardous Soil from PSW Ductbank Excavation	\$6,838	1.04 %	\$327,586
8/24/2020	PROV-071-CCO-044	Aerial Cable and Waterproofing Cable Penetrations at the CCF and PSW Buildings	\$14,589	2.23 %	\$312,997
8/24/2020	PROV-071-CCO-045	Conduit Outside Component Test Room	\$6,865	1.05 %	\$306,132
9/15/2020	PROV-071-CCO-030B	Component Test Room Data and Electrical Outlets and Masonry Work	\$12,530	1.91 %	\$293,602
9/17/2020	PROV-071-CCO-042	Shallow Fire Sprinkler Line	\$162,000	0.00% <sup>2</sup>	-
10/19/2020	PROV-071-CCO-046A	Electrical Duct Bank Extension from Parts Storage Warehouse to CCF Building	\$20,307	3.10 %	\$273,295
10/19/2020	PROV-071-CCO-047	Removal of Oil Line at the Exterior of the Maintenance Building in the Way of Storm Drain Line A	\$262	0.04 %	\$273,033
10/20/2020	PROV-071-CCO-048	Electrical Conduit and Wires at Track 5	\$6,770	1.03 %	\$266,263
11/30/2020	PROV-071-CCO-033B	Light Towers for Maintenance Building Yard	\$10,393	1.59 %	\$255,870
11/17/2020	PROV-071-CCO-049	Lighting at Parts Storage Warehouse	\$6,358	0.97 %	\$249,512
11/25/2020	PROV-071-CCO-050	NTP Delay – Non-Compensable Time Extension	\$0	0.00 %	\$249,512

**Peninsula Corridor Electrification Project**  
**Monthly Progress Report**

**Change Order Authority (10% of ProVen Contract)**

10% x \$6,550,777 = \$655,078

Date	Change Number	Description	CCO Amount	Change Order Authority Usage <sup>1</sup>	Remaining Authority
11/19/2020	PROV-071-CCO-051	Relocation of an Existing Boosted Water Line in Conflict with South Pit Extension	\$250,000	0.00% <sup>2</sup>	-
2/26/2021	PROV-071-CCO-052	Acoustic Ceiling Framing at the Component Test Room	\$3,998	0.61 %	\$245,514
2/26/2021	PROV-071-CCO-053	Temporary Sanitary Facilities During Boosted Water/Copper Line Work	\$963	0.15 %	\$244,551
3/3/2021	PROV-071-CCO-054	Relocation of Material Onsite for OCS Foundation Project	\$1,772	0.27 %	\$242,779
5/7/2021	PROV-071-CCO-055	Windows and Glazing at Component Test Room	\$17,679	2.70 %	\$225,100
7/16/2021	PROV-071-CCO-056	Fire Alarm System in Part Storage Warehouse	\$11,268	1.72 %	\$213,832
<b>Total</b>			<b>\$853,246</b>	<b>67.36 %</b>	<b>\$213,832</b>

Notes:

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

**AMTRAK AEM-7 Contract**

**Change Order Authority (Lump Sum)**

Up to \$150,000

Date	Change Number	Description	CCO Amount	Change Order Authority Usage <sup>1</sup>	Remaining Authority
10/25/2019	AMTK-066-CCO-001	Change to Amtrak Contract for Test Locomotives	(72,179)	(48.12%)	222,179
<b>Total</b>			<b>(72,179)</b>	<b>(48.12%)</b>	<b>\$222,179</b>

Notes:

When the threshold of 75% is reached, staff may return to the Board to request additional authority.

Appendix F – Risk Table

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**Listing of PCEP Risks and Effects in Order of Severity**

ID	RISK DESCRIPTION	EFFECT(S)
010	Potential for Stadler's sub-suppliers to fall behind schedule or delays in parts supply chain result in late completion of vehicles.	<ul style="list-style-type: none"> <li>• Delay in obtaining parts / components.</li> <li>• Cost increases. (See Owner for allocation of costs)</li> <li>• Schedule increase - 3 months (See Owner for allocation of damages associated with this Risk)</li> </ul>
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
267	Additional property acquisition is necessitated by change in design.	New project costs and delays to schedule.
314	The contractor may not complete signal and communication design, installation and testing for the Two-speed check (2SC) modifications within budget and schedule.	Delay to integrated testing and operations/revenue service
333	Remediation of issues associated with the CEMOF pit may result in additional costs and additional time to issue the charge order and implement the work.	Additional costs and delay to completion of CEMOF project.
303	Extent of differing site conditions and associated redesign efforts results in delays to the completion of the electrification contract and increases program costs.	Extends construction of design-build contract with associated increase in project costs <ul style="list-style-type: none"> <li>• DSC design cost</li> <li>• Inefficiencies</li> <li>• Construction costs related to DSCs (i.e., larger foundations)</li> <li>• Additional potholing</li> </ul>
308	Rejection of DVR for ATF and static wires results in cost and schedule impacts to PCEP.	Delay and delay claims
318	Change of vehicle sub-suppliers results in additional first article inspections at cost to JPB (i.e., COVID, bankruptcy)	PCEP incurs additional cost to validate supplier and product, including repeat FAIs as needed

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ID	RISK DESCRIPTION	EFFECT(S)
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
304	Solution to FRA concerns over bike storage impeding path to emergency exit windows path results in increased costs and potential rework.	Protracted negotiations with FRA to achieve original design
330	PG&E interconnection work may not be completed on time resulting in delays to the reimbursement of PG&E Exhibit B Cost Allocation from PG&E.	<ul style="list-style-type: none"> <li>• Potential cash flow issue requiring use of line-of-credit</li> <li>• Failure to receive reimbursement during course of project</li> <li>• Delay or otherwise affect close-out of FFGA</li> </ul>
209	TASI may not have sufficient number of signal maintainers for testing.	<ul style="list-style-type: none"> <li>• Delays to construction/testing.</li> <li>• Delays to completion of infrastructure may delay acceptance of vehicles</li> </ul>
313	Sub-optimal contractor sequencing, when progressing design and clearing foundation locations may result in construction inefficiencies	Contractor claims for increase in construction and design costs, and reduced production rates extending construction duration
067	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
261	Although EMUs meets their electromagnetic emissions limits and wayside signal system track circuits meet their susceptibility requirements there are still compatibility issues leading to improper signal system operation	Changes on the EMU and/or signal system require additional design and installation time and expense.
285	Potential for inflation, (except with respect to Maintenance Option) to increase contractor costs.	Higher cost
286	Potential for wage escalation, (except for Maintenance Option) to increase contractor costs.	Higher cost
332	Resolution of open items with UPRR:  1 Switch Machine installation on UPRR owned MT-1 (San Jose) 2. UPRR approval of Reed Street Signal Modification and UPRR PTC support for cutover	Switch Machine 1. May require re-work or modification of switch machine installation  Reed Street 2. Will prevent end to end integrated testing

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<b>ID</b>	<b>RISK DESCRIPTION</b>	<b>EFFECT(S)</b>
056	Lack of operations personnel for testing.	<ul style="list-style-type: none"> <li>• Testing delayed.</li> <li>• Change order for extended vehicle acceptance.</li> </ul>
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.
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.
244	Delays to completion of Segment 4 and then the entire alignment would create storage issues and impede the ability to exercise (power up and move) EMUs and delay testing of the delivered EMUs.	Delay claims from the EMU contractor (Stadler) and expiration of the EMU 2-year warranty before putting significant mileage on the EMUs. Inability to exercise EMUs
253	Permits for bridges may not be issued in a timely manner.	Delays to issuance of permit for construction of bridge attachments could delay OCS wire installation and energization.
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.
319	Failure of BBI to order cages in advance results in delays to foundation installation	Delays in installation of catenary system and additional cost for track protection and oversight.
321	Single Phase Study and interconnection agreement may be delayed but will not prevent energization of Segment 4 for milestone 1; may require additional work for PCEP (note this study also includes issues with regeneration of electricity.)	
082	Unexpected restrictions could affect construction progress: <> night work <> noise <> local roads <> local ordinances	<ul style="list-style-type: none"> <li>• Reduced production rates.</li> <li>• Delay</li> </ul>
012	Potential for electromagnetic interference (EMI) to private facilities with sensitive electronic equipment caused by vehicles.	<ul style="list-style-type: none"> <li>• Increased cost due to mitigation</li> <li>• Potential delay due to public protests or environmental challenge.</li> </ul>
014	Contractor's proposal on stakeholder requested changes to the vehicles may significantly exceed JPB authorized amount.	<p>Schedule delay.</p> <p>Cost increase.</p>

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<b>ID</b>	<b>RISK DESCRIPTION</b>	<b>EFFECT(S)</b>
087	Unanticipated HazMat or contaminated hot spots encountered during foundation excavations for poles, TPSS, work at the yards.	Increased cost for clean-up and handling of materials and delay to schedule due to HazMat procedures.
088	Construction safety program fails to sufficiently maintain safe performance.	Work stoppages due to safety incidents resulting in schedule delay and additional labor costs.
171	Electrification facilities could be damaged during testing.	Delay in commencing electrified operations.
247	Timely resolution of 3rd party design review comments to achieve timely approvals	Delay to completion of design and associated additional labor costs.
251	Subcontractor and supplier performance to meet aggressive schedule <>Potential issue meeting Buy America requirements	Delay to production schedule resulting in increased soft costs and overall project schedule delay.
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.
272	Final design based upon actual Geotech conditions	Could require changes
287	Design changes may necessitate additional implementation of environmental mitigations not previously budgeted.	Increased cost for environmental measures and delays to construct and overall delay in construction schedule
291	Order/manufacture of long lead items prior to 100% IFC design document that proves to be incorrect	Design change and/or delays
317	JPB may not make timely acquisition of resources to staff rail activation plan with key personnel.	Delay in operating electrified railroad - delay of RSD.
326	EMU production delay. Possible that there are failed factory tests	Schedule Increase
329	Work on installation of signal house as part of SSF project, that is being constructed for PCEP may not be completed in accordance with the BBII project schedule.	Delay to BBII construction progress and associated delay claims
027	Vehicle power consumption may not meet requirements.  <>System impact study and load flow show no issues	Issue with PG&E. Can't run full acceleration.
031	New cars possibly not reliable enough to be put into service as scheduled	Operating plan negatively impacted

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<b>ID</b>	<b>RISK DESCRIPTION</b>	<b>EFFECT(S)</b>
101	PG&E may not be able to deliver permanent power for the project within the existing budget and in accordance with the project schedule	Additional project costs; potential delay to revenue service date
150	Number of OCS pole installation is significant. Any breakdown in sequencing of operations or coordination of multiple crews will have a substantial effect on the project.	Delay.
245	Failure of BBI to submit quality design and technical submittals in accordance with contract requirements <ul style="list-style-type: none"> <li>• \$3-\$5M/month burn rate for Owner's team during peak</li> </ul>	Delays to project schedule and additional costs for preparation and review of submittals.
252	Failure of BBI to order/manufacture long lead items prior to 100% IFC design document approval by JPB	Delays to project schedule and additional cost for contractor and JPB staff time.
271	Need for additional construction easements beyond that which has been provided for Contractor proposed access and staging	Additional cost and time
296	PG&E may not complete circuit 1 interconnection for interim power	Unable to receive power for remaining testing.
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.
322	BBII needs to complete traction power substations to be sufficiently complete to accept interim power	Delay in testing and increased costs
025	Potential that vehicles cannot meet requirements for "Mean Time to Repair" (MTTR).	Increased maintenance cost.
053	Failure to meet Buy America requirements.  (Contractor definition of component v. sub-component may not be accepted by Caltrain / FTA.)	Potential need for negotiations that might lead to delay of project award.  (BA is not negotiable)
069	Potential need for additional construction easements. Especially for access and laydown areas.  Contractor could claim project is not constructible and needs more easements after award.	Increased cost  Delay

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ID	RISK DESCRIPTION	EFFECT(S)
106	<p>Potential that DB contractor will have insufficient field resources (personnel or equipment) to maintain aggressive schedule.</p> <p>Multiple segments will need to be under design simultaneously.</p> <p>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.</p> <p>Possible shortages with other specialty crafts as well.</p>	Delay.
151	Public could raise negative concerns regarding wheel/rail noise.	Increased cost to mitigate: <> grind rails <> reprofile wheels <> sound walls
161	Unanticipated costs to provide alternate service (bus bridges, etc.) during rail service disruptions.	Cost increase.
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	<ul style="list-style-type: none"> <li>• Delay</li> <li>• Cost increase</li> </ul>
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: <ul style="list-style-type: none"> <li>• Fire, police, and first responders</li> <li>• Local communities</li> <li>• Schools</li> </ul>	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.

<b>ID</b>	<b>RISK DESCRIPTION</b>	<b>EFFECT(S)</b>
237	JPB needs an agreement with each city in which catenary will be strung over an existing grade crossing (17 in all) under GO-88 (grade crossings). These agreements must be executed subsequent to installing overhead catenary. JPB is preparing a response to CPUC while working with the cities. Delays in reaching agreement could have impacts on schedule and budget.	Not completing the grade crossing diagnostics and getting agreement from the cities on the results can result in delays to necessary approvals for the project and revenue service.
248	3rd party coordination <>Jurisdictions, Utilities, UP, Contractors <>D/B needs to provide timely information to facilitate 3rd party coordination <>Risk is for construction	Delays in approvals resulting in project schedule delays and associated costs.
250	Potential for municipalities and other agencies to request betterments as part of the electrification project	Delay to project schedule in negotiating betterments as part of the construction within municipalities and associated increased cost to the project as no betterments were included in the project budget.
254	Potential that bridge clearance data are inaccurate and that clearances are not sufficient for installation of catenary.	Results in additional design and construction to create sufficient clearance.
266	Verizon poles in conflict with OCS may not be removed in advance of OCS installation.	Delay in progress of catenary installation resulting in claims and schedule delay
270	OCS poles or structures as designed by Contractor fall outside of JPB row	Additional ROW Take, additional cost and time
274	JPB as-built drawings and existing infrastructure to be used as basis of final design and construction is not correct	Additional cleanup of as-builts after PCEP construction
275	DB fails to verify as-built drawings and existing infrastructure	Additional cleanup of as-builts after PCEP construction
278	Failure of D/B contractor and subcontractors and suppliers to meet Buy America requirements	Delays while acceptable materials are procured and additional costs for delays and purchase of duplicative equipment.
282	Failure to maintain dynamic envelope and existing track clearances consistent with requirements.	Redesign entailing cost and schedule impacts.
284	Compliance with project labor agreement could result in inefficiencies in staffing of construction.	Increase in labor costs and less efficient construction resulting in schedule delays.
290	Delays in agreement and acceptance of initial VVSC requirements database.	Delay to design acceptance

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<b>ID</b>	<b>RISK DESCRIPTION</b>	<b>EFFECT(S)</b>
292	Communications equipment, including the UPS, will not fit in the spaces allotted to communications work within the buildings.	Requisite equipment 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.
331	Theft of impedance bond cables.	<p>Delays to project because signal locations cannot be cutover and put into service without the required impedance bond cables to make the signal system 25kV compatible.</p> <p>Cost of theft should be borne by the contractor as security of contractor installed materials are a contract requirement</p>

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		
<b>AES-2a: Minimize OCS construction activity on residential and park areas outside the Caltrain ROW.</b>	X	X			Ongoing	The D-B OCS proposed construction schedule has been provided to the JPB. OCS construction began the week of October 2, 2017. The D-B has utilized the potholing process to assist in locating conflicts in the 35% design and attempting to relocate OCS pole locations within the ROW.
<b>AES-2b: Aesthetic treatments for OCS poles, TPFs in sensitive visual locations, and Overbridge Protection Barriers.</b>	X				Ongoing	The D-B requirements indicated in the measure have been implemented as described, and coordination with the specific jurisdictions regarding pole colors and design is ongoing. Coordination with the JPB & local jurisdiction regarding Overbridge Protection Barriers and TPFs is ongoing.
<b>AES-4a: Minimize spillover light during nighttime construction.</b>		X			Ongoing	The D-B OCS construction began the week of October 2, 2017; and the BBI community relations lead has notified nearby residents of upcoming construction. During construction, lighting is faced inward, towards the railroad tracks, and any complaints will be documented and addressed by the BBI community relations lead.
<b>AES-4b: Minimize light spillover at TPFs.</b>	X				Upcoming	The D-B requirements indicated in the measure are being utilized in the design and construction process.
<b>AQ-2a: Implement BAAQMD basic and additional construction mitigation measures to reduce construction-related dust.</b>	X	X			Ongoing	The D-B Dust Mitigation Plan was submitted to the JPB and approved. The requirements in the Dust Mitigation Plan will be implemented throughout the construction period and documented in daily reports.

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**Mitigation Monitoring and Reporting**

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
<b>AQ-2b: Implement BAAQMD basic and additional construction mitigation measures to control construction-related ROG and NOX emissions.</b>	X	X			Ongoing	The D-B Equipment Emissions Control Plan was submitted to the JPB and approved. The requirements in the Equipment Emissions Control Plan will be implemented throughout the construction period and documented in daily reports.
<b>AQ-2c: Utilize clean diesel-powered equipment during construction to control construction-related ROG and NOX emissions.</b>	X	X			Ongoing	The D-B Equipment Emissions Control Plan was submitted to the JPB and approved. The requirements in the Equipment Emissions Control Plan will be implemented throughout the construction period and documented in daily reports.
<b>BIO-1a: Implement general biological impact avoidance measures.</b>	X	X			Ongoing	Worker Environmental Awareness Training is provided by the D-B 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.
<b>BIO-1b: Implement special-status plant species avoidance and revegetation measures.</b>	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		
<b>BIO-1c: Implement California red-legged frog and San Francisco garter snake avoidance measures.</b>	X	X			Ongoing	Pre-construction surveys are occurring no more than 7 days prior to the initiation of construction activities nearby/adjacent to potential habitat for CRLF and SFGS. The Wildlife Exclusion Fencing Plans for Segments 1 and 4 were submitted and approved by the wildlife agencies, and installation and monitoring of wildlife exclusion fencing is ongoing. No CRLF / SFGS or sign of each species has been observed to date on the Project.
<b>BIO-1d: Implement western pond turtle avoidance measures.</b>	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.
<b>BIO-1e: Implement Townsend’s big-eared bat, pallid bat, hoary bat, and fringed myotis avoidance measures.</b>	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.
<b>BIO-1f: Implement western burrowing owl avoidance measures.</b>	X	X			Ongoing	Protocol surveys for Western Burrowing Owl have been conducted from April–July, in 2017, 2018, 2019, 2020, and 2021 at previously identified potentially suitable habitat locations. Note that all of these locations are in Construction Segment 4 (southern Santa Clara and San Jose). No Burrowing Owls have been observed during the 2017-2019 or 2021 surveys. Survey reports for the 2017, 2018, 2019, and 2020 surveys have been submitted

**Mitigation Monitoring and Reporting**

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						<p>to the JPB for the project record. In addition, pre-construction surveys of the potential BUOW habitat areas in Segment 4 are ongoing, as needed, they occur no more than 7 days prior to the onset of new ground-disturbing construction activities.</p> <p>During a 2020 pre-construction survey (March 24, 2020), two burrowing owls were observed adjacent to the Caltrain ROW, near MP 44.6. The owls were located approximately 150 feet away from the Caltrain ROW. A 200-meter no-disturbance buffer and a combination of full-time monitoring and weekly spot-checks, as approved by the CDFW, were implemented during the breeding season (March through August). No impacts to the BUOW were observed, and the BUOW was consistently observed at the northern most potential BUOW burrow location during the monitoring effort. On September 1, since there was some potential for indirect impacts during the non-breeding season (September 1 through January 31), the disturbance buffer was reduced from 200 meters to 75 meters, as approved by the CDFW. On February 2, 2021, while conducting nesting bird surveys in the area, a biologist checked the burrow and there were no sign of use and cobwebs were present. Subsequent check-ins of the area revealed the same results, and it was determined the burrow was no longer active, and the buffer was removed. The second</p>

**Mitigation Monitoring and Reporting**

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						<p>round of protocol BUOW surveys were conducted in May and no BUOWs or signs were detected. The final two rounds of surveys were conducted this month and no BUOW or associated signs were observed.</p> <p>The Biologist will continue to conduct preconstruction surveys for nesting burrowing owls no more than 7 days prior to ground disturbance as needed throughout the 2021 nesting season.</p>
<b>BIO-1g: Implement northern harrier, white-tailed kite, American peregrine falcon, saltmarsh common yellowthroat, purple martin, and other nesting bird avoidance measures.</b>	X	X			Ongoing	<p>Nesting bird surveys were conducted from February 1 through September 15 in 2017, 2018, 2019, 2020 and 2021, prior to project-related activities with the potential to impact nesting birds.</p>
<b>BIO-1h: Conduct biological resource survey of future contractor-determined staging areas.</b>	X	X			Ongoing	<p>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.</p>
<b>BIO-1i: Minimize impacts on Monarch butterfly overwintering sites.</b>	X	X			Ongoing	<p>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.</p>

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
<b>BIO-1j: Avoid nesting birds and bats during vegetation maintenance.</b>				X	Upcoming	To be completed during Project operation.
<b>BIO-2: Implement serpentine bunchgrass avoidance and revegetation measures.</b>	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.
<b>BIO-3: Avoid or compensate for impacts on wetlands and waters.</b>	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.
<b>BIO-5: Implement Tree Avoidance, Minimization, and Replacement Plan.</b>	X	X	X		Ongoing	Tree removal and pruning activities were initiated in August 2017, and are ongoing, under the guidance of the BBI Arborist, and in accordance with the Tree Avoidance, Minimization, and Replacement Plan. Tree Removal and Pruning status is provided to the JPB on a regular basis.
<b>BIO-6: Pay <i>Santa Clara Valley Habitat Plan</i> land cover fee (if necessary).</b>	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.
<b>CUL-1a: Evaluate and minimize impacts on structural integrity of historic tunnels.</b>	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		
<b>CUL-1b: Minimize impacts on historic decorative tunnel material.</b>	X				Ongoing	To be implemented prior to construction in tunnels.
<b>CUL-1c: Install project facilities in a way that minimizes impacts on historic tunnel interiors.</b>	X				Upcoming	To be implemented prior to construction in tunnels.
<b>CUL-1d: Implement design commitments at historic railroad stations</b>	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.
<b>CUL-1e: Implement specific tree mitigation considerations at two potentially historic properties and landscape recordation, as necessary.</b>	X	X			Complete	It was determined that the project is not acquiring any ROW at either of the subject properties so all tree effects would be within the JPB ROW. Therefore, the APE does not include these two historic properties. This measure is no longer needed.

**Mitigation Monitoring and Reporting**

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
<b>CUL-1f: Implement historic bridge and underpass design requirements.</b>	X				Ongoing	This measure is being implemented as described during the design process and will be incorporated into the final design by the D-B. 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 Segments 1, 2, 3 & 4 are in process and designs are not yet complete. The D-B will forward to the Architectural Historian once complete.
<b>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.</b>	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 by the D-B. The Archaeological Final Report will be provided at the conclusion of construction activities.
<b>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.</b>	X				Ongoing	Exploratory trenching and subsurface testing of all potentially culturally sensitive areas occurred prior to the initiation of construction activities in those areas by the D-B. The results will be included in the Archaeological Final Report. No cultural resources requiring the development of a treatment plan were observed. A Native American monitor has been present for all exploratory trenching and subsurface testing work.

**Mitigation Monitoring and Reporting**

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
<b>CUL-2c: Conduct limited subsurface testing before performing ground-disturbing work within 50 meters of a known archaeological site.</b>	X				Ongoing	Exploratory trenching and subsurface testing of all potentially culturally sensitive areas occurred prior to the initiation of construction activities in those areas by the D-B. 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.
<b>CUL-2d: Conduct exploratory trenching or coring of areas within the three zones of special sensitivity where subsurface project disturbance is planned.</b>	X				Ongoing	Exploratory trenching and subsurface testing of all potentially culturally sensitive areas occurred prior to the initiation of construction activities in those areas by the D-B. 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.
<b>CUL-2e: Stop work if cultural resources are encountered during ground-disturbing activities.</b>	X	X			Ongoing	No prehistoric or historic-period cultural materials have been observed during cultural monitoring by the D-B.
<b>CUL-2f: Conduct archaeological monitoring of ground-disturbing activities in areas as determined by JPB and SHPO.</b>		X			Ongoing	Cultural monitoring as-needed of project activities in culturally sensitive areas is ongoing by the D-B. 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		
<b>CUL-3: Comply with state and county procedures for the treatment of human remains discoveries.</b>		X			Ongoing	No human remains have been observed to date on the Project by the D-B. On June 18, 2021, construction crews observed a series of bones at the PS-3 work area. Upon inspection by a qualified archaeologist, the bones were determined to be from two medium-sized terrestrial mammals (not human). In addition, due to the lack of cultural resources found in proximity to the bones, the archaeologist concluded that the find was not archaeological in nature, and released the crew to continue work in the area.
<b>EMF-2: Minimize EMI effects during final design, Monitor EMI effects during testing, commission and operations, and Remediate Substantial Disruption of Sensitive Electrical Equipment.</b>	X	X	X		Ongoing	The design requirements indicated in the measure are being implemented through the final design by the D-B as described. Designs are submitted and reviewed/commented on by JPB. Monitoring EMI effects will occur post construction.
<b>GEO-1: Perform a site-specific geotechnical study for traction power facilities.</b>	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design by the D-B as described. Geotechnical studies are being conducted by Parikh under subcontract with PGH Wong. Studies and results are submitted to JPB as completed.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
<b>GEO-4a: Identification of expansive soils.</b>	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design by the D-B as described. Geotechnical studies are being conducted by Parikh under subcontract with PGH Wong. Studies and results are submitted to JPB as completed.
<b>GEO-4b: Mitigation of expansive soils.</b>	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design by the D-B as described. Geotechnical studies are being conducted by Parikh under subcontract with PGH Wong. Studies and results are submitted to JPB as completed.
<b>HAZ-2a: Conduct a Phase II Environmental Site Assessment prior to construction.</b>	X				Complete	A Phase II Environmental Assessment was completed prior to construction by the JPB consultant, and the results were provided the D-B, and the required mitigation is being implemented prior to the initiation of construction activities.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
<b>HAZ-2b: Implement engineering controls and best management practices during construction.</b>	X	X			Ongoing	D-B field activities are being monitored daily for significant color changes or odors which may indicate contamination. In addition, assessments of existing subsurface pipes by a certified asbestos consultant are occurring as needed throughout the project as they are observed. Following the assessments, a specification describing the methods for removal and disposal are provided to the certified asbestos contractor. The removal and disposal work performed by the certified asbestos contractor is monitored by the certified asbestos consultant.
<b>HYD-1: Implement construction dewatering treatment, if necessary.</b>	X	X			Ongoing	The D-B has facilities & BMPs in place to deal with this requirement should it arise in the OCS foundations of the TPFs.
<b>HYD-4: Minimize floodplain impacts by minimizing new impervious areas for TPFs or relocating these facilities.</b>	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design by the D-B as described. The TPFs for Segments 2 & 4 are in final design and design currently and Segment 1 & 3 have begun. The design minimizes hardscape only to required structure foundations; yard areas are to receive a pervious material.
<b>HYD-5: Provide for electrical safety at TPFs subject to periodic or potential flooding.</b>	X			X	Ongoing	The design requirements indicated in the measure are being implemented through the final design by the D-B as described. The TPFs in Construction Segments 2 & 4 are currently in final design currently and Segments 1 & 3 have begun. The

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						design plan currently raises the TPFs above the flood plain.
<b>HYD-7: Implement sea level rise vulnerability assessment and adaptation plan.</b>				X	Ongoing	This measure has not yet been initiated.
<b>NOI-1a: Implement Construction Noise Control Plan.</b>	X	X			Ongoing	Field activity is monitored per the submitted and approved Noise and Vibration Control Plan by the D-B. If allowable noise levels are near, or exceed allowable levels, mitigation such as blankets are utilized from that point forward.
<b>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.</b>	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design by the D-B as described. PGH Wong has completed analysis and design and issued for JPB review.
<b>NOI-2a: Implement Construction Vibration Control Plan.</b>	X	X			Ongoing	Field activity is monitored per the submitted and approved Noise and Vibration Control Plan by the D-B.
<b>PSU-8a: Provide continuous coordination with all utility providers.</b>	X	X			Ongoing	The design requirements indicated in the measure will be implemented through the final design by the D-B as described. Coordination with utility providers is ongoing and there

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						have not been any service interruptions thus far.
<b>PSU-8b: Adjust OCS pole foundation locations.</b>	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design by the D-B as described.
<b>PSU-8c: Schedule and notify users about potential service interruptions.</b>	X	X			Ongoing	The design requirements indicated in the measure are being implemented through the final design by the D-B as described. There have not been any service interruptions thus far.
<b>PSU-9: Require application of relevant construction mitigation measures to utility relocation and transmission line construction by others.</b>	X	X			Ongoing	JPB has initiated coordination with PG&E regarding transmission line construction. Construction has not begun
<b>TRA-1a: Implement Construction Road Traffic Control Plan.</b>	X	X			Ongoing	The D-B has begun traffic control design and permit applications with the City of Millbrae, Burlingame and San Mateo. Other communities will follow. Designs have been completed for all cross-over bridges in Segments 2 & 4 and submitted.
<b>TRA-1c: Implement signal optimization and roadway geometry improvements at</b>	X	X			Upcoming	This measure has not started

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
impacted intersections for the 2020 Project Condition.						
TRA-2a: Implement construction railway disruption control plan.	X	X			Ongoing	The D-B is implementing this measure in accordance with the Construction Railway Disruption Control Plan and sections SP1011, SP1040 and SP1045.
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	Upcoming	This measure will be implemented during project operation.
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.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
<b>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</b>				X	In Progress	CHSRA is conducting this analysis as part of the EIR/EIS for the San Francisco to San Jose section.
<b>TRA-CUMUL-1: Implement a phased program to provide traffic improvements to reduce traffic delays near at-grade crossings and Caltrain stations</b>				X	Upcoming	This measure will be implemented during project operation.
<b>TRA-CUMUL-2: Implement technical solution to allow electric trolley bus transit across 16<sup>th</sup> Street without OCS conflicts in cooperation with SFMTA.</b>	X				Complete	Not applicable. SFMTA has elected to not electrify the 16 <sup>th</sup> Street crossing. This measure no longer applies.
<b>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.</b>				X	Upcoming	This measure will be implemented during project operation.