



AGENDA

PENINSULA CORRIDOR JOINT POWERS BOARD

Due to COVID-19, this meeting will be conducted via teleconference only (no physical location) pursuant to the [Governor’s Executive Orders N-25-20 and N-29-20](#). Directors, staff and the public may participate remotely via Zoom at <https://samtrans.zoom.us/j/93207729581> for audio/visual capability or by calling 1-669-900-9128, Webinar ID: #932 0772 9581 for audio only. The video live stream will be available during or after the meeting at <http://www.caltrain.com/about/bod/video.html>

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

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

September 3, 2020 – Thursday

***8:30 am (special start time)**

1. Call to Order / Pledge of Allegiance
2. Roll Call
3. General Counsel Report
 - a. Closed Session: Conference with Legal Counsel – Anticipated Litigation. Initiation of litigation pursuant to Government Code Section 54956.9(d)(4): One potential case
4. Public Hearing for Potential Closure of Atherton
 - a. Open Public Hearing
 - b. Present Staff Report
 - c. Hear Public Comment
 - d. Close Public Hearing
 - e. Board Discussion

INFORMATIONAL

5. Public Comment for Items Not on the Agenda
Comments by each individual speaker shall be limited to two (2) minutes. Items raised that require a response will be deferred for staff reply.

6. Consent Calendar

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

- a. Approve Regular Meeting Minutes of August 6, 2020 MOTION
- b. Receive Key Caltrain Performance Statistics – July 2020 MOTION
- c. Receive Capital Projects Quarterly Report – 4th Quarter Fiscal Year 2020 INFORMATIONAL
- d. Appointment/Reappointment of the Citizens Advisory Committee (CAC) Representatives MOTION
- e. Approval of Caltrain Project Commitment Letters to the Metropolitan Transportation Commission (MTC) for Plan Bay Area 2050 MOTION

Approved by the Finance Committee

- f. Accept Statement of Revenues and Expenses for the Period Ended July 31, 2020 MOTION
- g. Award Contract for Maintenance and Support of I-ETMS Positive Train Control System RESOLUTION
- h. Award of Contract for Electronic Bike Lockers for Caltrain RESOLUTION
- i. Authorization to Enter into a Funding Agreement with the Federal Railroad Administration for the Caltrain Right-of-Way Trespassing Project RESOLUTION

Approved by the Work Program-Legislative-Planning Committee

- j. Receive State and Federal Legislative Update INFORMATIONAL
 - k. Resolution Endorsing the Riding Together: Bay Area Healthy Transit Plan RESOLUTION
- 7. Adoption of Fiscal Year 2021 Operating Budget, Amendment of the Fiscal Year 2021 Capital Budget and Suspension of Previously-Approved Caltrain Fare Increases RESOLUTION
 - 8. Report of the Chair
 - 9. Report of the Executive Director
 - a. Peninsula Corridor Electrification Project (PCEP) Monthly Progress Report INFORMATIONAL
 - b. Monthly Report on Positive Train Control (PTC) Project INFORMATIONAL
 - c. Proclamation Declaring September Railroad Safety and Suicide Prevention Month MOTION
 - 10. Report of the Citizens Advisory Committee INFORMATIONAL
 - 11. Equity, Connectivity, Recovery & Growth Framework RESOLUTION
 - 12. Correspondence
 - 13. Board Member Requests
 - 14. General Counsel Report
 - 15. Date/Time of Next Regular Meeting: Thursday, October 1, 2020 at 9:00 am via Zoom

INFORMATION FOR THE PUBLIC

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

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

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

Date and Time of Board and Committee Meetings

JPB Board: First Thursday of the month, 9:00 am; JPB Finance Committee: Fourth Monday of the month, 1:30 pm. Date, time and location of meetings may be changed as necessary. Meeting schedules for the Board and committees are available on the website.

Location of Meeting

Due to COVID-19, the meeting will only be via teleconference as per the information provided at the top of the agenda. the Public may not attend this meeting in person. *Should Zoom not be operational, please check online at http://www.caltrain.com/about/bod/Board_of_Directors_Meeting_Calendar.html for any updates or further instruction.

Public Comment*

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Accessible Public Meetings/Translation

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

Availability of Public Records

All public records relating to an open session item on this agenda, which are not exempt from disclosure pursuant to the California Public Records Act, that are distributed to a majority of the legislative body will be available for public inspection at 1250 San Carlos Avenue, San Carlos, CA 94070-1306, at the same time that the public records are distributed or made available to the legislative body.

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Michelle Bouchard
Chief Operating Officer, Rail

SUBJECT: **PUBLIC HEARING ON THE PROPOSED CLOSURE OF THE ATHERTON STATION**

ACTION

On June 29, 2020 the Board of Directors (Board) called a public hearing to be held on August 6, 2020 (subsequently postponed until September 3, 2020) for the consideration of the proposed closure of the Atherton Station and associated service changes. Following feedback from the public and the Board, staff will complete tasks related to the station closure and make a recommendation for the Board's consideration in fall of 2020.

SIGNIFICANCE

The public hearing will allow the Board to receive input on the proposed closure of Atherton Station and discontinuation of service.

Peninsula Corridor Joint Powers Board (JPB) staff has prepared the attached presentation describing ongoing work related to the proposed closure of Caltrain's Atherton Station including public outreach efforts and Title VI Equity Analysis.

BUDGET IMPACT

There is no financial impact associated with holding a public hearing.

BACKGROUND

The JPB suspended regular weekday Caltrain service to Atherton Station in 2005. At that time, average weekday ridership was approximately 122 passengers per day. Caltrain currently provides limited, weekend-only service to the Atherton Station, with trains in each direction stopping every 90 minutes. Before the COVID-19 pandemic and related shelter-in-place orders, the Atherton station was used by approximately 114 riders per average weekend day.

The Atherton Station has an older, "center-boarding" configuration that requires pedestrians to cross the tracks to access the boarding platform. This substandard configuration limits train operations through the station, as trains operating in the other direction must "hold out" while a train is boarding. Most "hold out rule" stations on the

corridor have now been rebuilt. Atherton, along with Broadway and College Park, is one of the few remaining stations with this configuration still in place.

Subsequent to the suspension of weekday service to the station in 2005, the JPB made a policy commitment to restore regular weekday service to Atherton station following the electrification of the corridor. This commitment was documented in the 2015 Environmental Impact Report (EIR) for the Peninsula Corridor Electrification Project (PCEP).

In late 2019, Caltrain staff and representatives of the Town of Atherton (Town) initiated discussions concerning the potential closure of the station, resulting in a preliminary agreement.

In a January 8, 2020 letter to the Town Manager, the JPB's Executive Director requested the Town's support for the full closure of the Atherton Caltrain station. The Atherton City Council considered and preliminarily approved the request at its January 15, 2020 meeting, subject to the JPB and the Town entering into a Memorandum of Understanding (MOU).

Closing the station would provide significant benefits to both the Town and Caltrain, including:

- Caltrain could re-allocate service to adjacent stations where denser land uses and improved travel times will generate more ridership and provide a broader benefit to the public, potentially increasing daily ridership by 300-500 passengers.
- Caltrain would realize savings associated with operations and maintenance of the station.
- Closure of Atherton station would also obviate the need for a costly station upgrade to remove the holdout rule, estimated several years ago to cost \$30 million.
- The Town could benefit from reduced noise and improved safety, as discussed below.
- Subject to an agreement with the JPB, the Town could also better integrate the excess station property into its Civic Center redevelopment project now under construction.

Potential Elements of the Memorandum of Understanding

While still under development, the proposed MOU would identify actions and commitments by the JPB and the Town to ensure the permanent closure of the station in a manner that is mutually satisfactory to both parties. Actions would potentially include:

- Caltrain modifications supporting the closure, including removal of the center boarding platform and construction of a fence separating the operating right-of-way from the rest of the station property and the adjacent Town Civic Center.
- Execution of a Maintenance and Use Agreement between the JPB and the Town covering the excess station property. With the JPB's support, the Town

would proceed with plans to modify and repurpose the property to be better integrated with the Civic Center redevelopment. This proposed Maintenance and Use Agreement would allow this use, but would retain the JPB's ownership of the property and would allow the JPB to terminate the agreement if and when the property were to be needed for railroad purposes.

- Installation of a new four-quadrant gate at the Watkins Avenue grade crossing to improve crossing safety.
- A joint Caltrain/Town study to explore the feasibility of a potential pedestrian and bicycle path extending south of Watkins Avenue to the City of Menlo Park. If feasible, this path could provide a connection from Atherton to the Menlo Park Caltrain station.

The JPB would be required to secure funding (estimated at \$7-9 million) to support the above actions. Various grant-funding sources are currently being explored.

Public Outreach and Feedback

The process for considering changes to the Atherton station closure includes a public meeting and outreach plan that provides multiple opportunities for riders and the general public to submit feedback. The plan includes direct outreach to North Fair Oaks community leadership and a virtual public meeting on July 29, 2020, where Caltrain staff will provide information about the station closure proposal and invite the public to share feedback through a number of available channels. Comments are also accepted via an online comment form, mail, a dedicated e-mail address, and by telephone. Information about the proposed changes and how to provide feedback was published in newspaper notices, a news release, onboard flyers, visual messages at stations, notification to the community-based organizations, social media, and a dedicated page on the Caltrain website. Newspaper notices were published on July 15 and July 22 in the San Francisco Chronicle, Daily Journal, El Observador (Spanish), and Sing Tao (Chinese). In addition, flyers, and forms were translated in Spanish and Chinese as required by the 2019 JPB Title VI Program.

Title VI Equity Analysis

A Title VI Equity Analysis for the Closure of Atherton Station is being conducted. The Title VI Report will be finalized and included in the recommendation for the Board's consideration in the fall. This analysis is consistent with policies adopted by the Board to comply with Title VI of the Civil Rights Act of 1964.

The Title VI Equity Analysis:

- Analyzes the station closure proposal to determine whether the impacts would result in a disparate impact on minority populations or place a disproportionate burden on low-income populations;
- Applies the JPB's Title VI Major Service Change, Disparate Impact and Disproportionate Policies and analysis thresholds that were adopted in 2013;
- Is based on 2018 American Community Survey Data for the population residing within a 1 mile radius of the Atherton station;
- Identifies the station proposal purposes and potential adverse effects.

Next Steps

In addition to finalizing the Title VI Equity Analysis, the closure of the station would require the JPB to prepare an Addendum and Re-Evaluation of PCEP environmental documents required under the California Environmental Quality Act and National Environmental Policy Act, respectively. This environmental analysis is being conducted in the context of the PCEP EIR as the restoration of weekday service to Atherton was a component of the project description included in that document.

Concurrent with these steps, staff will continue negotiation of the MOU between the JPB and the Town.

Finally, staff would return to the Board to (a) accept the results of the equity and environmental analyses, (b) approve the station closure and related service changes, and (c) authorize execution of the MOU. If approved by the Board, a date would be set for the proposed end of Atherton weekend service and the official closure of the station. Removal of the center platform and interim fencing would be completed in conjunction with the closure to ensure safety. Other modifications identified in the MOU would follow on a schedule determined, in part, on funding availability.

Prepared by: David Pape, Principal Planner, Caltrain Planning

650.418.6025



Proposed Closure of the Atherton Station Public Hearing

September 3, 2020

Background

- Weekend only service provided since 2005
- PCEP documented policy commitment to restore regular weekday service after electrification
- Station is one of few remaining “hold out” rule stations, due to older center platform configuration
- Jan. 8, 2020 letter to Town proposing closure
- Jan. 15, 2020 City Council tentative endorsement of closure subject to agreement on MOU (Memorandum of Understanding)

Station Closure Benefits

- Service can be re-allocated to adjacent stations where denser land uses and improved travel times can generate more ridership (est. at 300-500 daily riders)
- Financial savings due to reduced operating/maintenance costs and elimination of need for station upgrades
- Town benefits from noise reduction and improved safety
- Potential for Town to integrate station property (outside of operating ROW) into Civic Center redevelopment

Potential Elements of MOU

- Subject to agreement and identification of funding, Caltrain would fund and implement actions supporting the station closure, including:
 - Installation of a new right-of-way fence along current station area
 - Removal of center boarding platform and other station facilities
 - Installation of quad gates at Watkins Avenue to improve crossing safety
- Caltrain and the Town would enter into a Maintenance and Use Agreement for the Town use and maintain station property
- Caltrain and the Town could cooperatively pursue funding to study and potentially implement additional improvements proposed by the Town

Public Outreach & Feedback

- Public Outreach Plan
 - Direct outreach to North Fair Oaks community leadership – July 17, 2020
 - Virtual Public Meeting – July 29, 2020
 - Public Hearing – September 3, 2020
 - Public comment available via email, website, and contacting customer service
- Information about the proposed closure and how to provide feedback was published in newspaper notices, a news release, onboard flyers, visual messages at stations, notification to the community-based organizations, social media, and a dedicated page on the Caltrain website.
- Information available in Spanish and Chinese

Title VI Service Equity Analysis

- Title VI Equity Analysis is required by the FTA when a Caltrain Station Closure occurs as per the Caltrain Major Service Change Policy.
 - Determines whether a disparate impact (DI) or disproportionate burden (DB) exists
 - Identifies proposal purposes and potential adverse affects
- Analyzed Census Data (2018 ACS) within a 1 mile radius of Atherton Station
- DI/DB exists when the communities of color/low income communities affected the service change is 10% more than the average communities of color/low income communities of the Caltrain Service area.

Next Steps

- Complete Title VI analysis
- Prepare and approve CEQA addendum and NEPA re-evaluation
- Agree to MOU terms and identify funding sources
- Execute Maintenance and Use agreement
- Set date for station closure

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

MINUTES OF AUGUST 6, 2020

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

MEMBERS ABSENT: None

STAFF PRESENT: J. Hartnett, C. Mau, J. Cassman, M. Bouchard, J. Funghi, C. Gayotin, D. Hansel, S. Murphy, B. Shaw, S. Petty, D. Seamans, S. Wong

1. CALL TO ORDER / PLEDGE OF ALLEGIANCE

Chair Dave Pine called the meeting to order at 9:08 am and led the pledge of allegiance.

2. ROLL CALL

District Secretary Dora Seamans called the roll and confirmed a quorum.

Chair Pine noted the need for a special meeting regarding the resolution on governance as well as the regular meeting. He asked General Counsel Joan Cassman to clarify the meeting order: the special agenda item with the recommendation from the Governance Ad Hoc Committee would be heard at 9:30 am and the Public Hearing for the Potential Closure of the Atherton Station would be deferred to later.

3. PUBLIC HEARING FOR POTENTIAL CLOSURE OF ATHERTON STATION

This item was later deferred to the next Joint Powers Board meeting.

4. PUBLIC COMMENT FOR ITEMS NOT ON THE AGENDA

Joe Kunzler commented on saving Caltrain, a well-run agency, low-income fares for local residents, and Caltrain electrification.

Aleta Dupree, Oakland, commented on Clipper START, moving away from paper tickets and vending machines, and supporting Caltrain.

Roland LeBrun, San Jose, commented on simplifying the packet on the website, government-run agencies, and the district attorney.

An anonymous speaker commented on Caltrain needing to be saved, the governance crisis, and handling money.

Vaughn Wolffe, Pleasanton, commented on mega-regional governance of modern rail, adopting new technology, and enabling processes to test public health for future pandemics.

5. CONSENT CALENDAR

- a. **Approved Meeting Minutes of July 9, 2020**
- b. **Received Key Caltrain Performance Statistics – June 2020**
- c. **Received State and Federal Legislative Update**
- d. **Appointed a Citizens Advisory Committee Representative**
- e. **Received Information on Statement of Revenues and Expenses for the Period Ended June 30, 2020**
- f. **Authorized Execution of a Change Order to the Peninsula Corridor Electrification Project Contract with Balfour Beatty, Inc. for Construction of Shunt Wires at Utility Crossings In Conformance with California Public Utility Commission Requirements**
- g. **Authorized Execution of Agreements to Receive Funding and Act as Lead Implementing Agency for the Final Design Phase of the Mountain View Transit Center Grade Separation and Access Project**
- h. **Caltrain's Commitment Letters to the Metropolitan Transportation Commission (MTC) for Plan Bay Area 2050 Project Submissions**

Public Comment

Roland LeBrun, San Jose, commented on track wires and volts, Balford Beatty, and governance.

Motion/Second: Collins/Davis moved approval of the Consent Calendar
Ayes: Bruins, Chavez, Collins, Heminger, Stone, Walton, Zmuda, Davis, Pine
Noes: None
Absent: None

Items 7b and 7a were heard out of order until the Special Meeting could commence at 9:30 am.

7. REPORT OF THE EXECUTIVE DIRECTOR

Jim Hartnett, Executive Director, announced that the report was in the packet.

b. Caltrain Positive Train Control (PTC) Project Update – JULY 2020

Michelle Bouchard, Chief Operating Officer, reported on the safety plan submittal in June, which triggered a six-month conditional certification. She announced coming to close to contract negotiation completion with single source providers of technology, seeking to diversify program support contractors, and identifying work that can be done by direct staff.

a. Peninsula Corridor Electrification Project (PCEP) Monthly Progress report -

Mr. John Funghi, CalMod Chief Officer, replied that if Balford Beatty's design did not impact the utilities asked to be approved today. He said those were existing utilities that need to be protected due to a California Public Utilities Commission (CPUC) regulation that was enacted after the award to Balford Beatty.

Item 6 was heard out of order after Item 7.

6. REPORT OF THE CHAIR

a. Local Policy Maker Group (LPMG)

Director Jeannie Bruins stated the group met July 23rd with a high attendance rate of 16 to 19 members present via Zoom. She said the group heard updates regarding Caltrain fiscal outlook, Senate Bill (SB) 797, electrification, equity and growth, and High Speed Rail draft environmental impact report (EIR). Director Bruins stated that inquiries from members included the ability to complete projects with revenue services suspended and the future of the 1/8th sales tax measure. She stated member requests included extending the EIR public comment period for 60 days instead of 45 days and viewing the letters sent along the corridor regarding the draft EIR.

Chair Dave Pine 1) called the Special Meeting to order at 9:30 a.m. and 2) confirmed all members were present.

3. Recommendation of the Governance Ad Hoc Committee:

Board direction on expenditures of sales tax proceeds, modifications in governance, indebtedness to the San Mateo County Transit District, appointment of legal counsel, appointment of an auditor and manner for adding agenda items.

Chair Pine stated that the purpose of the special meeting was to address the following:

- Expenditure of sales tax proceeds
- For the measure to go to the ballot
- Modifications and governances
- Indebtedness to San Mateo County Transit District
- Appointment of legal counsel
- Appointment of an auditor

He stated that the Governance Ad-Hoc Committee Members, Directors Walton, Chavez, and Pine, brought the resolution forward. Chair Pine outlined the different phases:

1. Chair Pine stated that he would open with remarks, Director Walton would move to approve the motion, and welcome remarks from Director Chavez and Director Heminger.
2. Board members could ask questions of the committee or counsel.
3. Public Comment
4. Board discussion, amendments, and action

Chair Pine stated that Caltrain was the seventh largest railroad in the nation, efficiently run, with previous tripled ridership and 70 percent farebox revenues. He said the railroad faces two threats: 1) lack of dedicated revenue stream -Caltrain relies solely on farebox and agency contribution and without a dedicated funding source, their ability to successfully launch electrification and to execute the service vision would be questionable at best, and with COVID, they face an existential threat, and 2) governance crisis – which came close to derailing putting a sales tax measure on the ballot, governance must be resolved for the three member agency to provide a fundamental foundation for future success. Chair Pine emphasized the resolution of the Board to commit to a recommendation on governance by December 31, 2021. He stated that Directors Zmuda, Bruins, and Collins would meet with staff to develop a process and recommendation to the Board on how to organize work on Governance over the next 16 or 17 months.

Board members had a robust discussion and staff provided further clarification in response to Board comments and questions. Topics included the following:

- The definition of "governance structure and procedures" and the reallocation and voting power of seats
- Whether the three member agencies would need to come to an agreement to change the JPB managing agency
- Following the Business Plan and the scope of independent counsel
- Whether November 30th was a hard deadline for choosing legal counsel
- Whether a new auditor would be separate from current auditors
- Whether separate staff would be used for shared services
- Whether SB 797 revenues would be used for operating and capital expenses for Caltrain, and what would constitute repayment of the debt to SMCTD (San Mateo County Transit District)
- Whether the proceeds from that tax would reimburse money that San Mateo County taxpayers spent to purchase the right-of-way
- Exposure to legal challenges

Public Comment

Jason Baker, Campbell, expressed support for the measure.

Vaughn Wolffe, Pleasanton, commented on SamTrans repayment by creating a mega-region and have the state payback SamTrans so its property belongs to the state.

Carl Guardino, Monte Sereno, commented on funding public opinion surveys indicating support for the sales tax

Roland LeBrun, San Jose, commented on focusing on the managing agency, opposed term limits for the JPB, and bifurcating staff with support from previous staff.

Adina Levin, Friends of Caltrain, commented on governance, Caltrain Business Plan, management changes, and achieving an integrated system.

Scott Mace, San Jose, commented on Caltrain being the lifeblood of public transit and Caltrain growth.

Elizabeth Alexis, Santa Clara, expressed concern regarding excess Santa Clara contributions in relation to repayment of SamTrans with the sales tax measure. She commented on independent Caltrain auditors.

Jeff Carter, Millbrae, expressed support for the Caltrain Sales Tax Measure and commented on repayment history, equity and diversity on Caltrain.

Andy Chow, Redwood City, expressed support for this resolution, public voting on the measure and commented on governance. He commented on south Santa Clara County lacking representation in Caltrain, needed dedicated funding, and having BART level service.

Rob Nielson, Palo Alto, expressed support for the sales tax, commented on keeping the service going, and encouraged a stable funding source for Caltrain.

Monica Mallon, Santa Clara, commented on Caltrain allowing her to spend money on education, health care, rent, and necessities besides transportation and expressed gratitude for the measure.

Adam Bookbinder, Campbell, commented on stable service and integrated regional service.

Aleta Dupree, Oakland, commented on the importance of governance, continuity of railroad leadership, SamTrans executives being responsive to public needs, and treading governance carefully.

Stephanie Beacham, commented on supporting the sales tax measure, moving forward, protecting Caltrain service and supporting riders and workers for the jobs. Ian Griffith, Seamless Bay Area, commented on seeing the measure move forward, considering governance for riders, and regional connectivity.

Charlie Yates expressed support for the measure.

Board Member Discussion and Proposals for Amendments to the Resolution

Chair Pine called for any proposed amendments to the resolution.

Director Stone proposed removing Item B (allowing expenditure of sales tax revenue in excess of \$40 million with a least six votes) due to possible attendance issues.

Director Stone made a motion to remove Item B. There was no second. Director Stone proposed an amendment to Item D adding the following to the last sentence "*to the satisfaction of San Mateo County Transit District*". Director Stone withdrew his proposed amendment to Item D.

Director Davis proposed including the clause "if the Caltrain sales tax measure is approved" in Section F. Director Bruins seconded. There were no objections.

Director Stone proposed adding the line "the source of the funds to reimburse SMCTD shall not be the proceeds of the one-eighth cent sales tax should the measure pass".

Motion/Second: Stone/Collins moved amend Item F to include the line "the source of the funds to reimburse SMCTD shall not be the proceeds of the one-eighth cent sales tax should the measure pass".

Ayes: Collins, Stone, Pine

Noes: Bruins, Chavez, Heminger, Walton, Zmuda, Davis

Absent: None

Director Stone proposed to amend Item G to change the date to March 1, 2021 as the November 30, 2020 deadline is too soon.

Board members had a robust discussion on the following:

- Concerns on the timing and being able to get the RFP done within an extended deadline

- Support for independent legal counsel and concerns in shifting current legal work from Hanson-Bridgett mid-work to a new legal counsel
- Concern in meeting the November 30th deadline as the scope of work for new legal counsel is broad
- Expanding the scope of Olsen Remcho for work until a permanent firm could be found.

Motion/Second: Stone/Walton moved to amend Item G to extend the deadline to appoint independent legal counsel from November 30, 2020 to January 31, 2021, while expanding the scope of Olsen Remcho LLC until permanent independent legal counsel could be appointed for the Joint Powers Board.

Chair Pine asked if there were any objections to the amendment. There was none.

Board members had a robust discussion on the following topics:

- Concerns about the timing as well, to get RFP done requested an extended deadline
- Director Stone, Zmuda and Bruins expressed support for independent counsel
- Concerns in shifting current legal work from Hanson-Bridgett mid-work to a new legal counsel
- Concern in meeting the November 30th deadline as the scope of work for new legal counsel is broad. Mr. Hartnett stated his previous experience in which it took over a year to find appropriate legal counsel for Redwood City.
- Expanding the scope of Olsen Remcho's work until a permanent firm could be found

Motion/Second: Heminger/Chavez moved to amend Item H to appoint an auditor, independent of SamTrans, to begin work commencing with the Fiscal Year 2021 audit.

Chair Pine asked if there were any objections to the amendment. There was none.

Director Stone recommended adding the language "*upon the request of at least three joint JPB members, not all of whom represent the same county, any item may be placed on the agenda for consideration by the full Board as to whether or not staff resources shall be dedicated to the subject matter of the item*".

Director Walton said there needs to be a provision for San Francisco and Santa Clara to have a say over the CEO. He clarified that the intent of this resolution was to give any Board member the ability to get something on the agenda.

Director Zmuda proposed on any agenda for the regularly scheduled meeting of the full JPB to allow a member to place an item on the Board agenda for consideration a month prior.

Board members discussed Item I and there were no amendments.

Chair Pine summarized Board amendments to the resolution:

- **Section F** – third line, insert "and, if the Caltrain sales tax measure is approved" before the words "by prioritizing"

- **Section G** – JPB Board shall appoint an independent counsel (not the same as any member agency) by Jan 31, 2021 until such time, Remcho Olsen shall be available to the Board upon request.
- **Section H** – JPB Board shall appoint an auditor, and shall not have the same auditor as SamTrans, by Jan 15, 2021.

Motion/Second: Walton/Chavez moved approval of the resolution on governance with the amendments as stated.

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

Noes: Stone

Absent: None

Some Board members expressed appreciation for the collaboration and partnership amongst the three counties. In response to Director Walton inquiry about a new governance committee, Chair Pine clarified that it would be as a process committee with a member from each county, and that the committee would report back to the Board.

Chair Pine called for a 10-minute recess.

The Board meeting reconvened at 1:30 pm.

8. Report of the Citizens Advisory Committee (CAC)

Brian Shaw, Citizens Advisory Committee Chair, provided highlights of the CAC meeting of July 15th. He stated that member suggestions included attracting a wider range of demographics and income levels, fixing riding tariffs to charge for distance and not destination, level boarding projects, Atherton station replacement in Redwood City, having off-peak hours and weekends, clock face schedules, focusing on airborne cleaning in addition to surface disinfecting, and branching out to offer more to those who think it is too expensive or that the station is too far away. Mr. Shaw stated that there was public comment on fare zoning and that they heard an update on the chip reader payment method, mobile app, paying by plate for parking, Clipper Card readers at the station, and new validators to be installed mid-2021.

9. Update on Status of Agency Approvals of Caltrain Sales Tax

Mr. Hartnett stated that Caltrain would need dedicated funds, especially for its service vision. He stated that the Board and staff has grown Caltrain to be 7th largest commuter rail system in the country.

Joan Cassman, General Counsel, stated that there were two resolutions with the Board, the procedural resolution and the resolution calling for an election. Ms. Cassman described the two resolutions:

a. Imposing a one-eighth of one percent retail transactions and use tax to be used for operating and capital purposes of the Caltrain rail service; legislation defining the sales tax for the November 3rd election should the Board vote with a two-thirds vote to approve the legislation.

The resolution will impose a 1/8th cent sales tax, it has a 30-year term, it would be used for capital and operating purposes, the tax will begin July 1, 2021 until June 30, 2051.

b. Calling and providing for a Joint Powers Authority regional election on November 3, 2020 for the purpose of submitting to the voters of the City and County of San Francisco, San Mateo County and Santa Clara County a measure authorizing adoption of a retail transactions and use tax resolution to fund the Caltrain commuter railroad.

It is a procedural resolution guiding the offices in three counties, a regional measure, ensuring all requirements have been met to place this measure on the ballot, pursuant to SB (Senate Bill) 797, that six agencies have approved, two agencies still need to take action (contingent upon Santa Clara Valley Transportation Agency and the San Francisco Board of Supervisors' approval). Impartial analysis will be put together by Santa Clara County.

Board members had a discussion with staff providing further clarification as needed to respond to the Board's comments and questions, highlights included inquiries to the resolution allowing the executive director a rebuttal argument in favor of the measure, payment to the Registrar of Voters.

Public Comment

John Baker, South San Francisco, expressed support for reducing traffic and emissions, especially for schools near highways 101 and 280.

Roland LeBrun, San Jose, commented on the Citizen's Oversight Committee and measure types passed by other counties.

Jeff Carter, Millbrae, commented on high polling numbers, member agency contributions, and putting this measure on the ballot in the future.

Andy Chow, Redwood City, commented on this being a historical moment (in addition to pursuing electrification) and thanked Board members for making difficult but necessary compromises for this to be on the ballot.

Scott Mace, San Jose, commented on the benefits of Caltrain taking cars off the road.

Jeff Carter, Millbrae, urged the Board to approve the sales tax and commented on Caltrain needing dedicated funding. He stated that Caltrain is his lifeline to and from work.

Monica Malon, Santa Clara, commented on Caltrain being essential for communities, helping people get around that do not own cars, reduces emissions, and expressed support for the measure.

Adina Levin, Friends of Caltrain, commented on letters of support, focus on equity measures and diversity of riders.

Aleta Dupree, Oakland, commented on having a dedicated source of funding to ensure a stable railroad.

Ian Griffith, Seamless Bay Area, expressed support for this clean ballot measure.

Board members had a discussion and staff provided further clarification in response to Board comments and questions, highlights included inquiries to actions if the measure fails, whether it would need the aid of the legislature vote, whether the proceeds must be used for trains on rails only, and when the tax would be collected.

Motion/Second: Davis/Bruins moved approval of both resolutions pertaining to the Caltrain Sales Tax

Ayes: Bruins, Chavez, Collins, Heminger, Stone, Walton, Zmuda, Davis, Pine
Noes: None
Absent: None

10. DRAFT EQUITY, CONNECTIVITY, RECOVERY & GROWTH FRAMEWORK

This item was deferred to the next JPB meeting.

11. FISCAL YEAR 2021 PRELIMINARY OPERATING AND CAPITAL BUDGETS

This item was deferred to the next JPB meeting

12. CORRESPONDENCE

Correspondence was available online.

13. BOARD MEMBER REQUESTS

There were none.

14. GENERAL COUNSEL REPORT

Ms. Cassman noted there was no report.

15. DATE/TIME OF NEXT REGULAR MEETING: Thursday, September 3, 2020 at 9:00 am via Zoom

16. ADJOURN

The meeting adjourned at 2:22 pm.

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

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Michelle Bouchard
Chief Operating Officer, Rail

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

ACTION

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

SIGNIFICANCE

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

BUDGET IMPACT

There is no budget impact.

MONTHLY UPDATE

The coronavirus (COVID-19) pandemic continues to have drastic impacts on Caltrain ridership and revenue. Ridership estimates are developed using daily conductor counts at 14 key stations and Clipper tag-ons at these 14 key stations. This methodology has been in use since April 2020.

In July 2020, Caltrain's Average Weekday Ridership (AWR) decreased by 95.1 percent to 3,421 from July 2019 AWR of 70,493. AWR increased by 19 percent (537 riders) from June 2020 to July 2020. The total number of passengers who rode Caltrain in July 2020 decreased by 94.5 percent to 91,850 from 1,672,672 July 2019 ridership. Total monthly ridership increased by 22.1 percent (16,632 riders) from June 2020 to July 2020. Typically, AWR decreases from June to July so this month over month improvement is notable.

The change in ridership from June 2020 to July 2020 is likely to be attributed to the combination of multiple factors, including but not limited to:

- It was the first full month after the weekday service was increased from 42 to 70 trains effective on June 15th, 2020, and;
- The shelter-in-place order was eased in the first half of the month before being re-tightened in the latter half of the month due to increased COVID-19 infection spreading.

Caltrain has put in place measures and procedures to ensure safe transportation, including extra cleaning and sanitization of the passenger cars and high-touch areas on board and at stations.

This month ticket sales decreased from July 2019 for:

- One Way tickets: 92.6 percent
- ED One Way tickets: 85.5 percent
- Day Passes: 94.6 percent
- ED Day Passes: 91 percent
- Monthly Passes: 95.8 percent
- ED Monthly Passes: 88.2 percent

Other ticket sales and farebox revenue statistics trended as follows:

- Caltrain Mobile Ticketing accounted for 8.2 percent (7,552 rides) of the monthly ridership and 2 percent (\$47,639) of the monthly ticket sales revenue.
- Number of Eligible Go Pass Employees increased to 86,718 from 86,367 from July 2019.
- Number of the participating Go Pass Companies decreased to 120 in July 2020 from 131 in July 2019.
- Total Farebox Revenue decreased by 74 percent to \$2,378,242 from July 2019.

The decrease in farebox revenue was primarily due to the shelter-in-place orders in three counties within Caltrain service areas associated with the COVID-19 pandemic.

On-time performance (OTP) for July 2020 was 96.4 percent compared to 93.8 percent OTP for July 2019. In July 2020, there were 558 minutes of delay due to mechanical issues compared to 481 minutes in July 2019.

Looking at customer service statistics, the number of complaints per 100,000 passengers in July 2020 is not provided since numbers are skewed with the significant decrease in ridership due to COVID-19 pandemic.

Shuttle ridership for July 2020 decreased 87.8 percent from July 2019. When the Marguerite shuttle ridership is removed, the impact to ridership was decrease of 94.5 percent. For station shuttles:

- Millbrae-Broadway shuttle: 18 average daily riders
- Weekend Tamien-San Jose shuttle: 9 average daily riders

The Menlo Park Midday Shuttle (as of 9/2018) and one of the two Belle Haven vehicles (as of 11/2017) remain temporarily discontinued which accounts for the 222 DNOs (Did Not Operate) trips for Caltrain shuttles in July 2020.

SHUTTLE CANCELLATIONS – JPB CONTRACTED

- Bowers/Walsh (Lawrence Stn) – Loss of partner (7/1/2020)
- Duane Ave (Mtn View Stn) – Loss of partner (7/1/2020)
- Embarcadero (Palo Alto Stn) – Loss of partner (7/1/2020)
- Twin Dolphin (San Carlos Stn) – Loss of partner (7/1/2020)

OTHER SHUTTLE PROGRAM CHANGES – JPB EMPLOYER CONTRACTED

- Oracle (Hillsdale/San Carlos Stn) – Removed from program due to grant loss 7/1/2020
- Sierra Point (Millbrae) – Removed from program due to grant loss 7/1/2020

Table A

July 2020

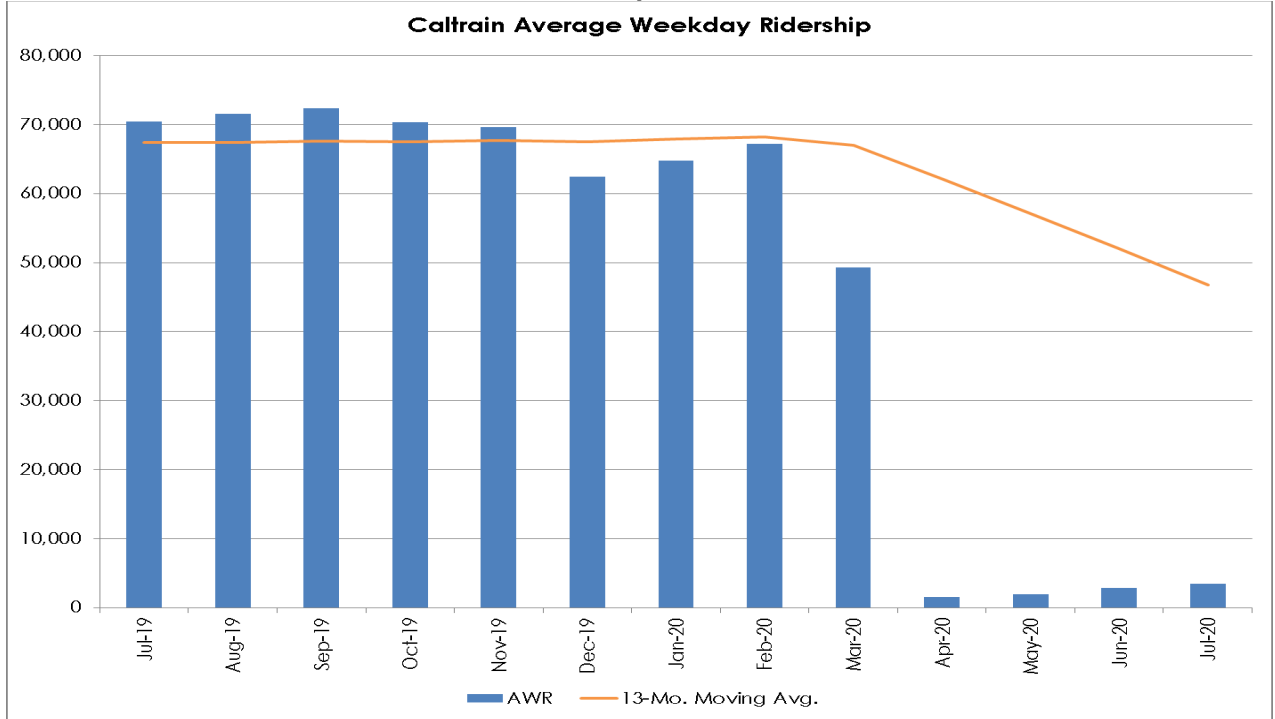
	FY2020	FY2021	% Change
Total Ridership	1,672,672	91,850	-94.5%
Average Weekday Ridership	70,493	3,421	-95.1%
Total Farebox Revenue	\$ 9,136,916	\$ 2,378,242	-74.0%
On-time Performance	93.8%	96.4%	2.9%
Average Weekday Caltrain Shuttle Ridership	8,794	1,075	-87.8%

Fiscal Year to Date

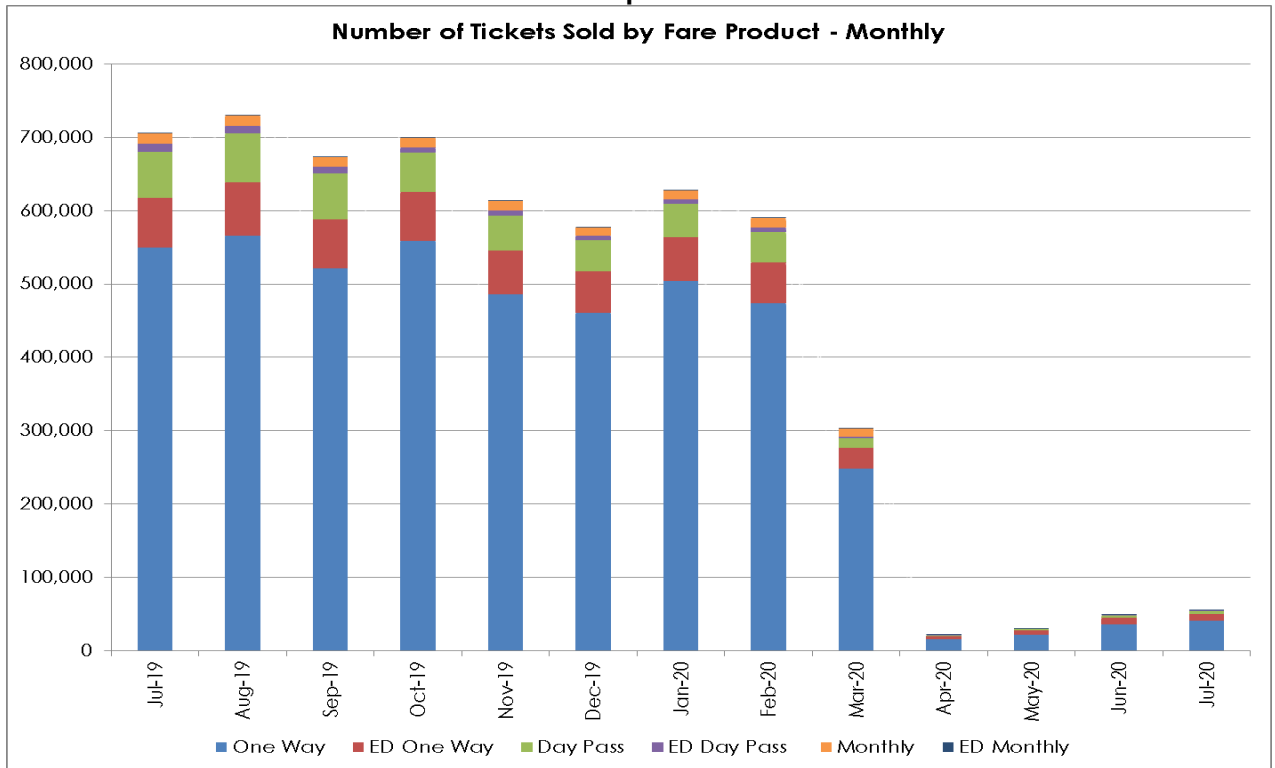
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Average Weekday Ridership	70,493	3,421	-95.1%
Total Farebox Revenue	\$ 9,136,916	\$ 2,378,242	-74.0%
On-time Performance	93.8%	96.4%	2.9%
Average Weekday Caltrain Shuttle Ridership	8,794	1,075	-87.8%

** = Items revised due to calibration to the ridership model*

Graph A

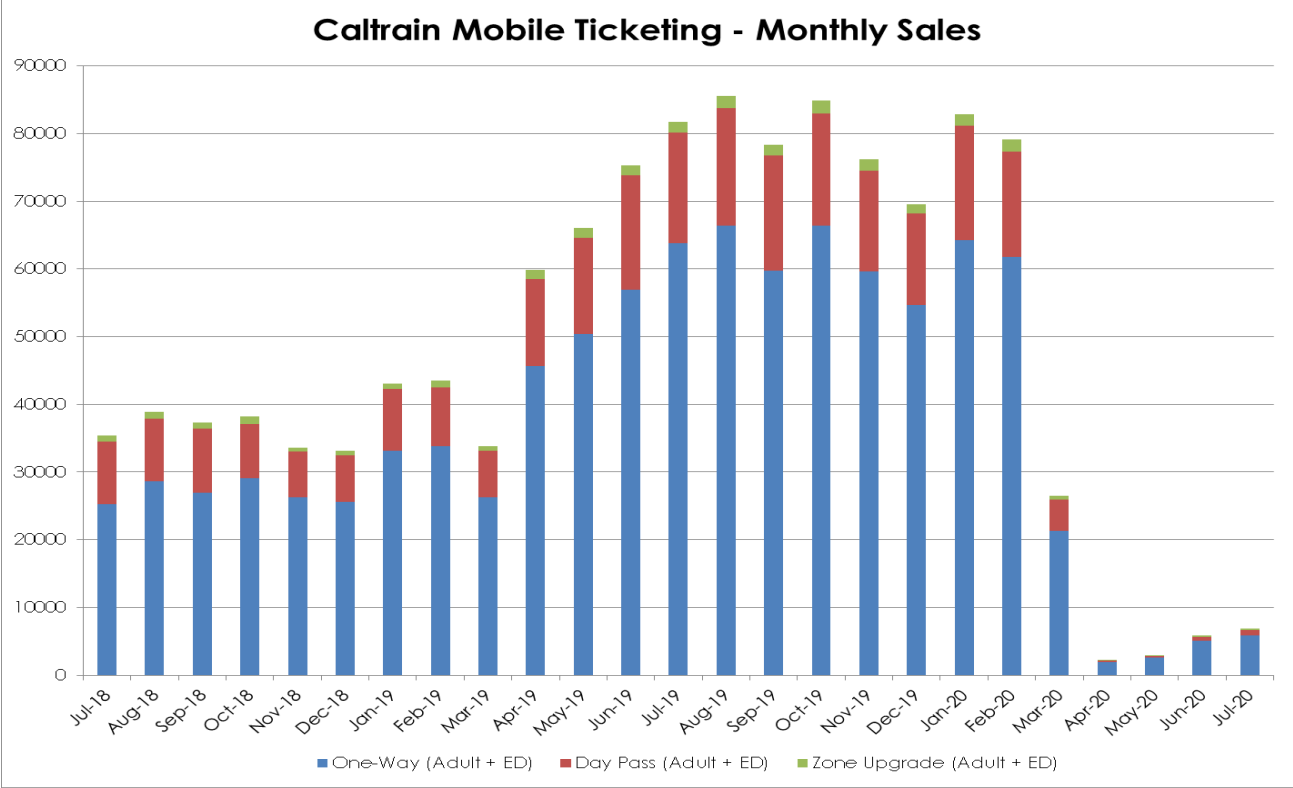


Graph B

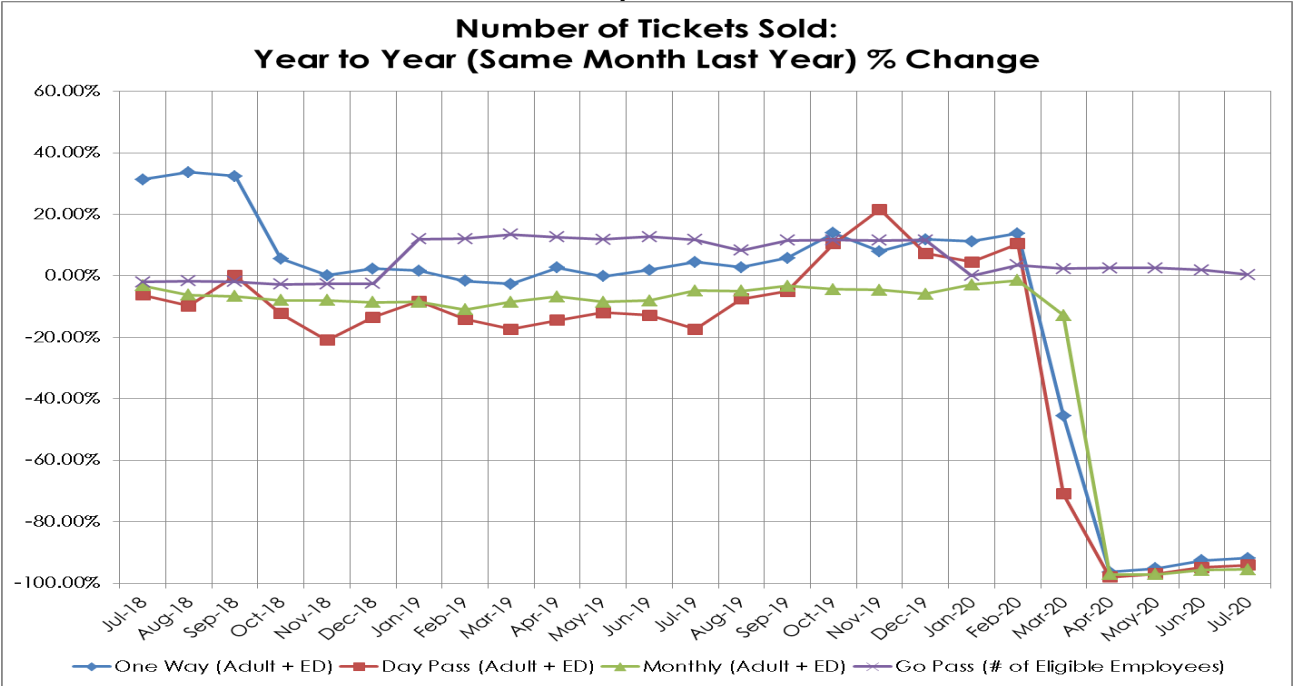


*Go Passes tracked by Monthly Number of Eligible Employees (not by Sales)

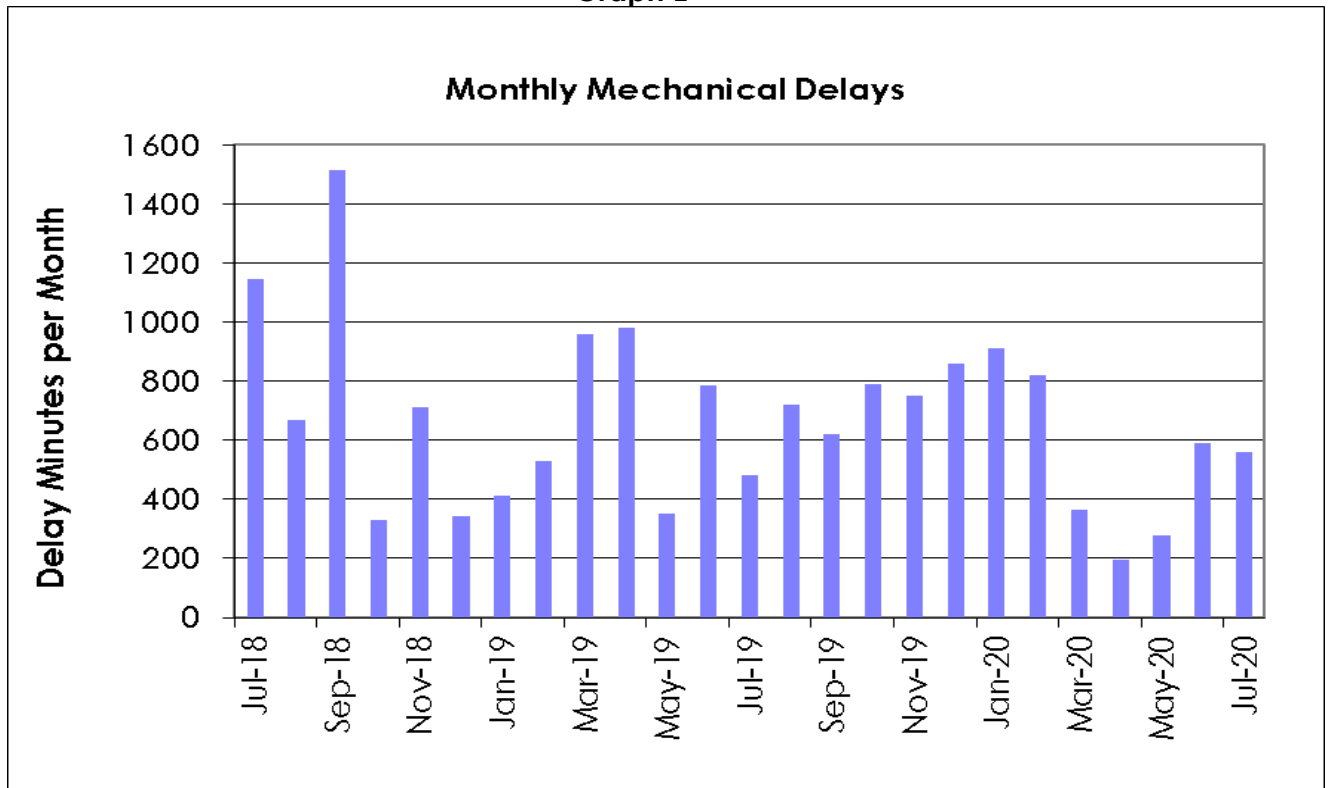
Graph C



Graph D



Graph E



Caltrain Promotions – July 2020

Clipper START Pilot Program – Launched on July 15th, 2020, Clipper START is an 18-month pilot program initiated by Bay Area transit agencies and the Metropolitan Transportation Commission (MTC) that offers means-based Clipper fare discounts on Clipper to reduce the cost of transportation for riders whose household income is no more than twice the federal poverty level. This is an important benefit, as transportation costs are a significant burden on many households, particularly with the current economic conditions. The new program will allow adults age 19-64, who are lower-income, to receive the discount on select transit services throughout the region. Clipper START offers eligible Caltrain riders a 50 percent discount, which the agency recently increased following the economic fallout resulting from COVID-19. The regional promotion effort included a news release, e-newsletter, extensive outreach to CBO's and paid digital ads. Digital Communications boosted organic social media messaging cross all platforms, updated the website's fare media related pages and posted a large center button on the Caltrain homepage. Additional marketing support included brochures (multiple languages) & ad cards onboard the trains and select stations as well as digital display banners at the San Francisco Station.

Caltrain Digital Metrics - JULY 2020



New Followers

+489

Jul 20 - 179,426

Jun 20 - 178,510

Jul 19 - 179,358

Top Tagged Issues

- 1. Electrification** (50)
- 2. COVID** (49)
- 3. Caltrain Compliment** (24)
- 4. Idling** (11)
- 5. Complaint** (10)

Caltrain.com Sessions

Jul 20 - 137,886

Jun 20 - 137,604

Jul 19 - 179,358

Social Engagement

Video Views

30,031 (June - 737K)

Content Impressions

3,113,650 (June - 963K)

Interactions

227,699 (June - 12,903)

Monthly Yelp & FB Rating

(3.25 out of 5)

(2 July reviews)



@caltrain, @gocaltrain



@gocaltrain



@caltrain

Twitter Impression Spikes July, 2020

Your Tweets earned **2.7M impressions** over this **31 day** period



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

Prepared by:	Patrice Givens, Administrative Analyst II	650.508.6347
	James Namba, Marketing Specialist	650.508.7924
	Jeremy Lipps, Social Media Officer	650.622.7845

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Michelle Bouchard
Chief Operating Officer, Rail

SUBJECT: **CAPITAL PROJECTS QUARTERLY STATUS REPORT – 4th QUARTER
FISCAL YEAR 2020**

ACTION

Staff Coordinating Council recommends the Board receive the Capital Projects Quarterly Status Report link to report:
https://www.caltrain.com/Assets/_Finance/Quarterly+Capital+Program+Status+Report/JPB/Quarterly+Report+FY20+Q4.pdf

SIGNIFICANCE

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

BUDGET IMPACT

There is no impact on the budget.

BACKGROUND

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

Prepared by: Robert Cheung, Project Controls Manager

650.622.8019



Quarterly Capital Program Status Report and DBE Status Report

Prepared for the September 03, 2020 Caltrain Board

Meeting 4th Quarter FY2020: April 01, 2020 – June 30, 2020

Peninsula Corridor Joint Powers Board



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Caltrain - Capital Program - Budget Summary

4th Quarter FY2020 - April 01, 2020 to June 30, 2020

All Costs in \$1,000's

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

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

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

Currently in Progress

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

Completed Projects

Inward Facing Cameras on trains
 Los Gatos Bridge Replacement Project
 Rail Grinding Project
 San Francisco Bridge Replacement Project
 Sunnyvale Station Rehabilitation Project
 Upgrade CCF Equipment Room Cooling

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

TRAFFIC LIGHT REPORT

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

	SCOPE		SCHEDULE		BUDGET / COST		SAFETY		
	Q3FY20	Q4FY20	Q3FY20	Q4FY20	Q3FY20	Q4FY20	Q3FY20	Q4FY20	
25th Ave. Grade Separation Project									4
Automatic Passenger Counters 4th & King									6
BayShore Station Overpass Pedestrian Bridge Rehab Project									8
Broadband Communication									10
Burlingame Broadway Grade Separation Project (Preliminary Design/Environmental Clearance)									12
Churchill Avenue Grade Crossing									14
Energy Efficient Lighting at Caltrain Stations									16
F-40 Locomotive Mid-Life Overhaul Project									18
Grade Crossing Improvement FY 2019 & 2020									20
Guadalupe River Bridges Replacement and Extension Project (Preliminary Design/Environmental Clearance)									22
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Systemwide Signal System Rehabilitation Project - FY2019									44
Systemwide Track Rehabilitation Project - FY2019									46
Ticket Vending Machine Rehab Program Project									48
Wayside Bike Parking Improvement Project									50



= Project On-Hold



= No Issues



= Notable Issues



= Significant Issues

25th AVENUE GRADE SEPARATION PROJECT



SCOPE:



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

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

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

Issues: None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2014	2015	2016	2017	2018	2019	2020	2021												
				Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
002088 - 25th Avenue Grade Separation		16-Jul-14 A	30-Sep-21																				
+	Preliminary Engineering	16-Jul-14 A	31-Oct-15 A																				
+	Environmental Clearance	25-Sep-14 A	28-Oct-16 A																				
+	Final Design	02-Nov-15 A	09-Dec-16 A																				
+	Bid & Award	15-Nov-16 A	09-Aug-17 A																				
+	Construction	10-Aug-17 A	30-Jun-21																				
+	Project Close Out	01-Jul-21	30-Sep-21																				

Progress:

- Apr - Jun 2020
- (1) Continued construction of ramps and stairs.
 - (2) Continued single tracking.
 - (3) Continued MT1.
 - (4) Continued working on OCS at north and south tie in
 - (5) Completed splicing copper at 31st for ATT.
 - (6) Continued retaining wall 28th Avenue west side.
 - (7) Completed retaining walls at 31st avenue - west side.
 - (8) Completed south side of station platform.
 - (9) Completed MT2, all trains on grade separation.
 - (10) Completed all ATT relocations at 31st and 28th.
 - (11) Closed old Hillsdale Station, all trains temporarily stopping at Belmont.
 - (12) Began clear and grub for new parking lot.
 - (13) Began lowering of 28th east side.

Future

Activities:

- Jul - Sep 2020
- (1) Complete MT1 -- Double track on new grade separation all trains.
 - (2) Complete OCS milestone.
 - (3) Continue excavation at 28th.
 - (4) Remove track, and ballast at old MT1 and MT2.

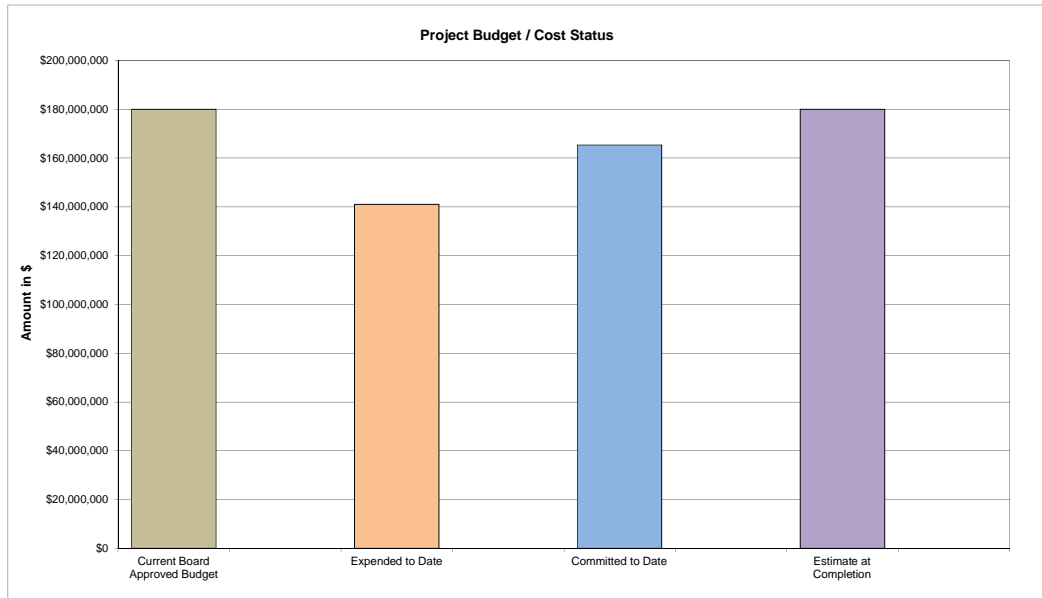
Issues: None.

25th AVENUE GRADE SEPARATION PROJECT

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$180,000,000	\$140,994,239	\$165,346,318	\$180,000,000	\$0



Issues: None.

SAFETY: None.



Automatic Passenger Counters at 4th & King



SCOPE: This project will be for the design and installation of Automatic Passenger Counters (APC) at the platform doors at the Caltrain 4th & King station. Included will be the design of the hardware installation of the APC at 4th & King and the software implementation to retrieve the APC data and analyze it remotely. A contractor will be selected through an IFB process to install the APC equipment at 4th & King.

Issues: None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2020				2021					
				Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
100445	Automatic Passenger Counters at 4th & King	01-Dec-19 A	31-Oct-21										
	Bid & Award	01-Dec-19 A	31-Dec-20										
	Construction	31-Dec-19 A	30-Jun-21										
	Project Close Out	01-Jul-21	31-Oct-21										

Progress:

- Apr - Jun 2020 (1) Finished working with Contracts & Procurement on the Request For Proposal (RFP).
- (2) Finished reviewing Centum Adetel's proposal for conformity with Caltrain's requirements. Working on the agreement.

Future

Activities:

- Jul - Sep 2020 (1) Award Centum Adetel the contract. Finalize our decision on the cabling and Wifi Access points for the APC system.

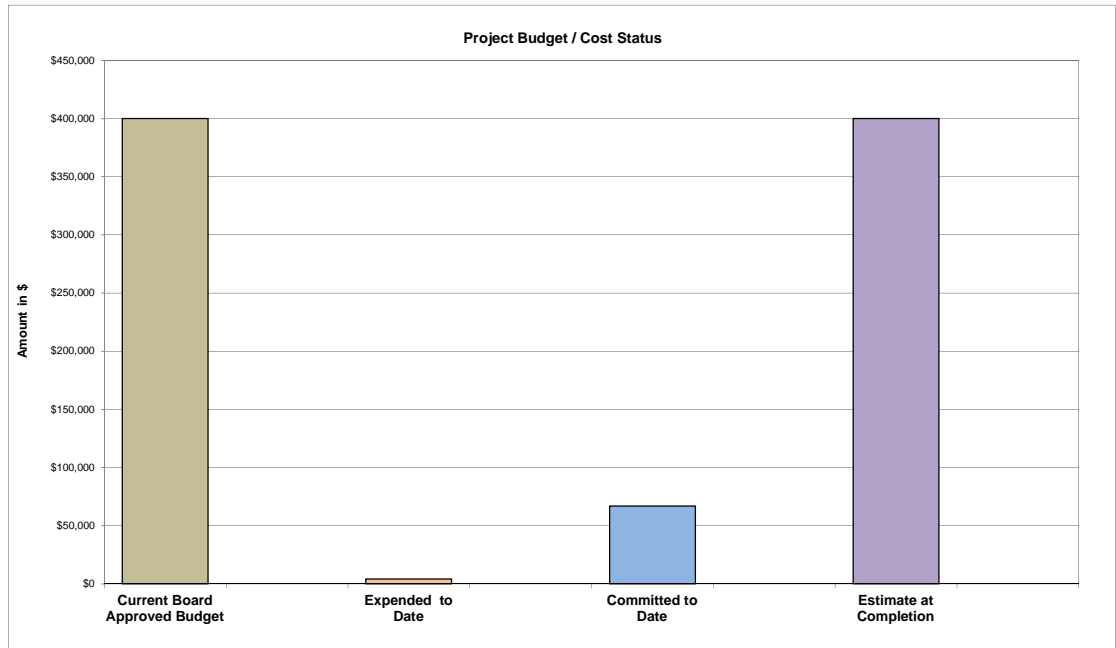
Issues: None.

Automatic Passenger Counters at 4th & King

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$400,000	\$4,297	\$66,885	\$400,000	\$0



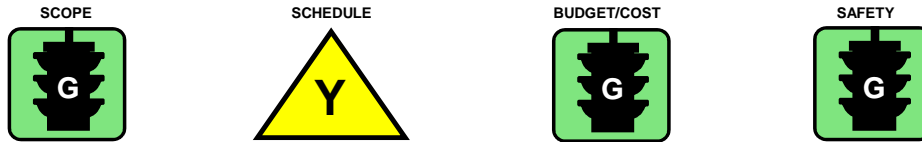
Issues: None.

SAFETY:



No incidents reported this quarter.

BAYSHORE STATION OVERPASS PEDESTRIAN BRIDGE REHAB PROJECT



SCOPE: The Project scope consists of the removal and replacement of existing paint coatings on the steel surfaces of the pedestrian bridge and stairs at the Caltrain Bayshore Station in San Francisco.



Issues: (1) Funding may not be enough - considering the latest revised construction estimate and previous bids of 2015.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2020				2021			
				Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
100439 - Bayshore Overpass Rehabilitation		01-Feb-20 A	01-Dec-21								
Constructability		01-Feb-20 A	31-Jul-20								
Bid & Award		01-Aug-20	28-Feb-21								
Construction		01-Mar-21	31-Aug-21								
Project Close Out		01-Sep-21	01-Dec-21								

Progress:

- Apr - Jun 2020
- (1) Constructability review team on board.
 - (2) Working with design consultant to edit the scope of work, cost estimate and construction schedule.
 - (3) Working with outreach team to set up parameters for public outreach work.
 - (4) Working with Ops team for revising specs related to work hours, track access, on track safety envelope requirements as per new guidelines.

Future Activities:

- Jul - Sep 2020
- (1) Finish Spec changes and constructability review.
 - (2) Work with C&P team for IFB and Advertisement of Contract.

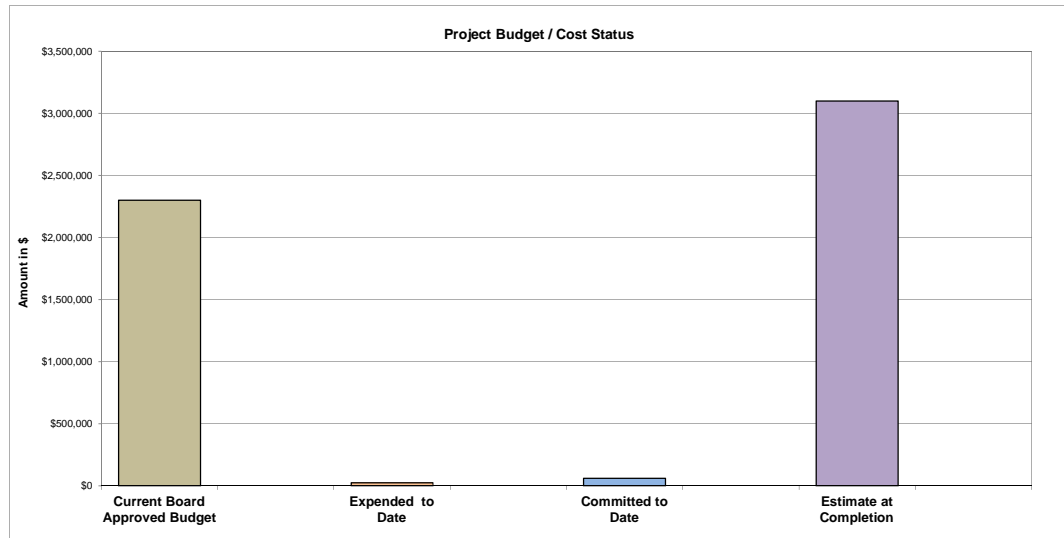
Issues: Project schedule delayed this quarter due to extension for constructability review.

BAYSHORE STATION OVERPASS PEDESTRIAN BRIDGE REHAB PROJECT

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$2,300,000	\$25,444	\$60,789	\$3,100,000	(\$800,000)



Issues: None.

SAFETY: No incidents reported this quarter.



Broadband Communication



SCOPE: The project will design a broadband wireless communications system along the Caltrain corridor for the wayside train maintenance diagnostics and passenger WiFi service. The project will investigate leveraging the existing infrastructure such as the Overhead Contact System (OCS) poles and JPB fiber network to communicate with passing trains. Wayside antennas may be mounted on the OCS poles at a constant interval to communicate with moving trains that will be equipped with radios and antennas.

The current project scope is for the design only.

Issues: None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2020				2021					
				Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
100403	Broadband Communication	11-Nov-19 A	30-Jun-21										
	Planning / Conceptual Design	11-Nov-19 A	31-Oct-20										
	Final Design and RFP Development	01-Nov-20	31-Mar-21										
	Project Close Out	01-Apr-21	30-Jun-21										

Progress:

- Apr - Jun 2020
- (1) Engineering analyzed the alternatives and evaluated each goal and parameter.
 - (2) Completed the alternative matrix for the project and selected the preferred alternative which is a full trackside network.
 - (3) Reengaged with the designer to notify them to resume the design.

Future

Activities:

- Jul - Sep 2020
- (1) Resume the design by starting the RF study and inspect the EMUs.

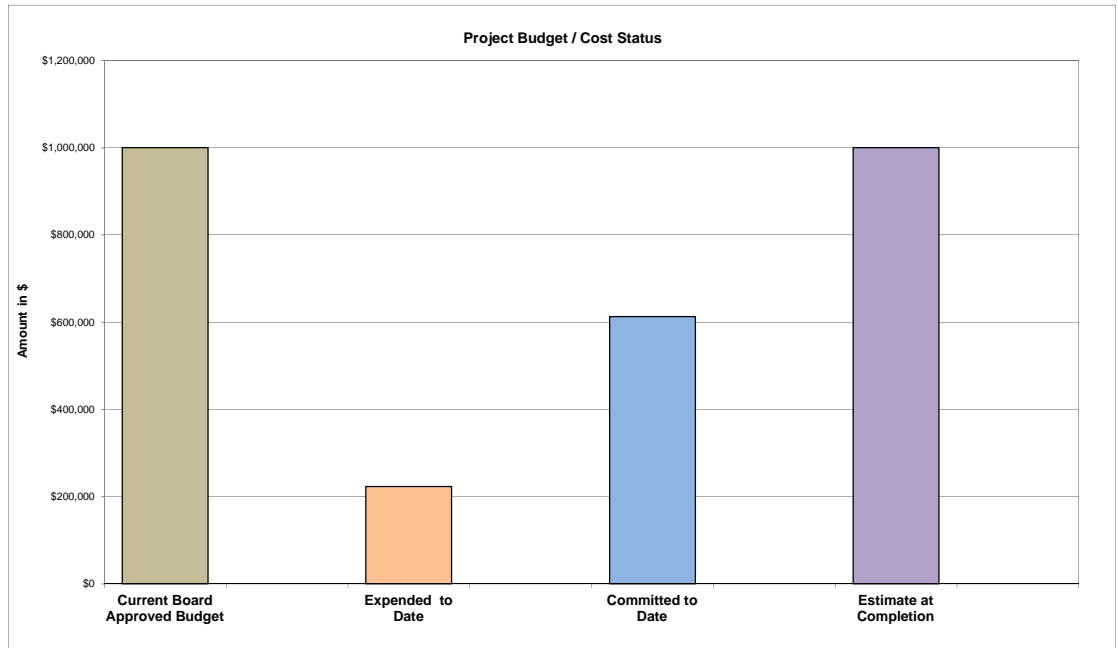
Issues: None.

Broadband Communication

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$1,000,000	\$223,004	\$612,982	\$1,000,000	\$0



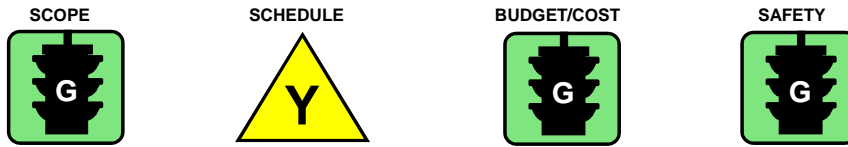
Issues: None.

SAFETY:



No incidents reported this quarter.

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



SCOPE:

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

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

Issues: None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	Timeline															
				2017				2018				2019				2020			
				Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
100244 - Burlingame Broadway Grade Sep		18-Dec-17 A	31-Aug-20																
Preliminary Engineering 35%		18-Dec-17 A	30-Oct-19 A																
Environmental Clearance		01-Dec-19 A	31-Aug-20																

Progress:

Apr - Jun 2020

- (1) Continued meeting with stakeholders.
- (2) Continued coordination with Electrification project regarding redesign of traction power paralleling station PS-3.
- (3) Working on draft contract for final design services.
- (4) Working with Environmental team for FTA NEPA clearance process.

Future

Activities:

Jul - Sep 2020

- (1) Continue meeting with stakeholders.
- (2) Finalize the draft contract for final design services and work with C&P for RFP advertisement by early July 2020.
- (3) Complete Environmental Clearance.

Issues:

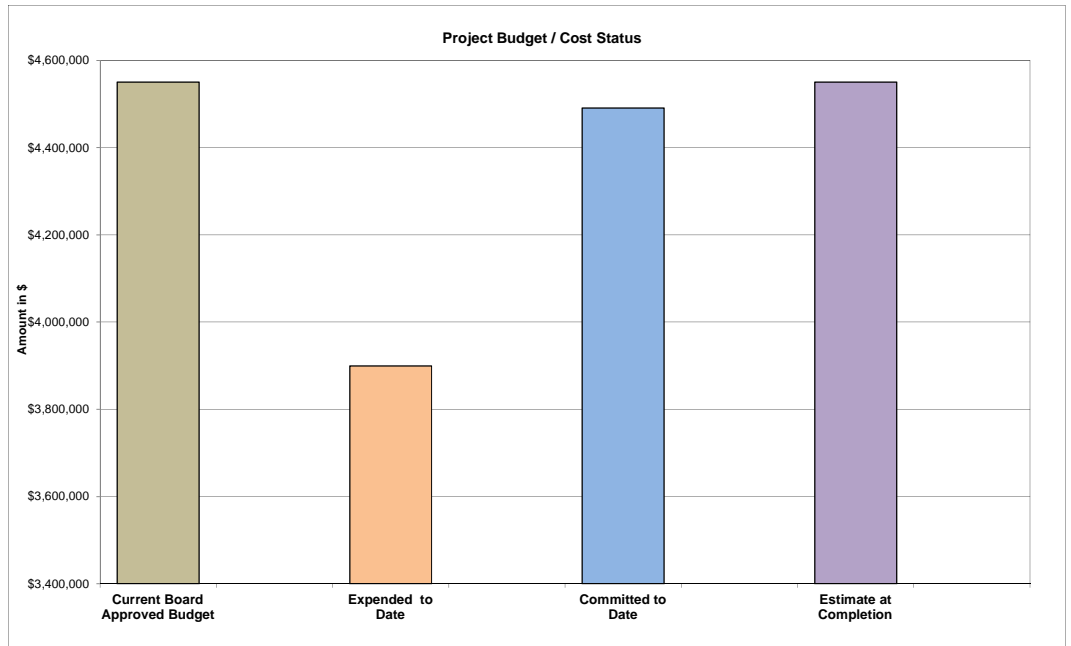
Schedule delay is due to the coordination of an additional environmental clearance community outreach meeting with the City of Burlingame.

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

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$4,550,000	\$3,899,210	\$4,490,586	\$4,550,000	\$0



Issues: None.

SAFETY: No incidents reported this quarter.



CHURCHILL AVENUE GRADE CROSSING



SCOPE:



The scope includes the widening of the sidewalk to accommodate heavy bike and pedestrian traffic from local schools; relocate the pedestrian crossing gates due to the widened sidewalk; install new pavement marking and markers for vehicular traffic at the Churchill avenue grade crossing in Palo Alto.

Issues: None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	Timeline												
				2019	2020				2021				2022			
				Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3
100426 - Churchill Avenue Grade Cross		01-Sep-19 A	30-Jul-22													
+	Preliminary Engineering	01-Sep-19 A	30-Nov-20													
+	Procurement	01-Dec-20	31-May-21													
+	Construction	01-Jun-21	01-Mar-22													
+	Project Close Out	02-Mar-22	30-Jul-22													

Progress:

Apr - Jun 2020

- (1) Met with the CPUC, Caltrans and the City of Palo Alto and agreed to a scope of work for the project.
- (2) Caltrans will revise the project scope of work with the city of Palo Alto and amend their contract.

Future

Activities:

Jul - Sep 2020

- (1) Wait until the city of Palo Alto completes their 35% design in order for Caltrain's design to align with the city's design.

Issues:

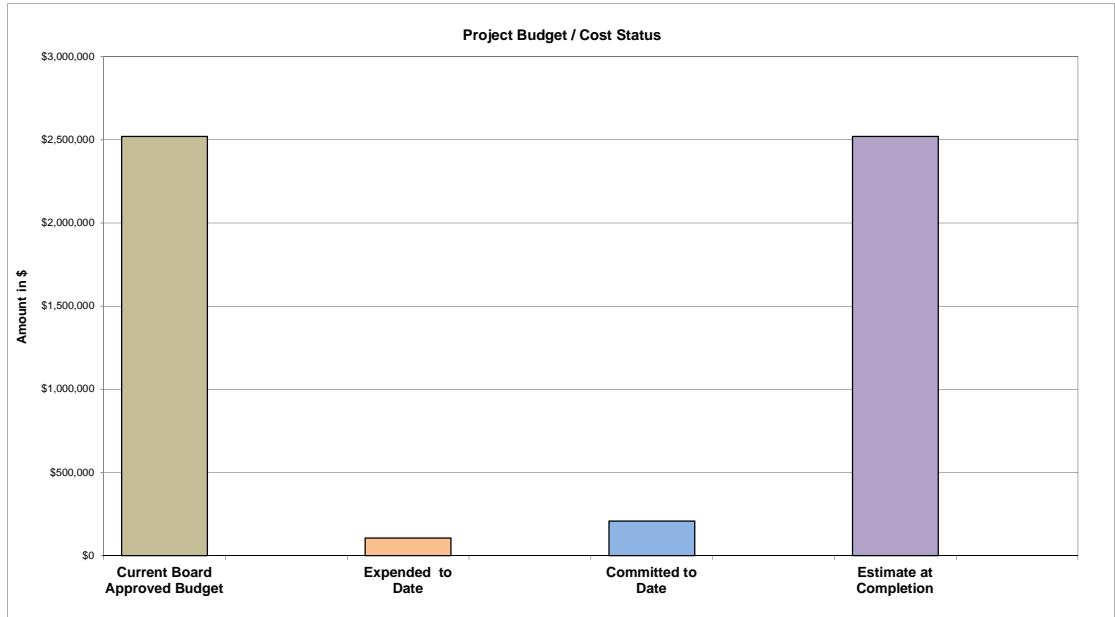
- (1) The schedule delay is due to the city of Palo Alto design schedule being delayed. PCJPB needs to coordinate the designs with the city's 35% design.
- (2) Our 35% design is on hold until then.

CHURCHILL AVENUE GRADE CROSSING

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$2,520,000	\$105,824	\$207,668	\$2,520,000	\$0



Issues: None.

SAFETY: No incidents reported this quarter.



ENERGY EFFICIENT LIGHTING AT CALTRAIN STATIONS



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

Issues: None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2018				2019				2020			
				Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
100443 - Energy	Efficient Lighting at Caltrain	01-Jan-19 A	31-Aug-20												
+ Bid and Award		01-Jan-19 A	13-Jun-19 A												
+ Construction		14-Jun-19 A	31-Dec-19 A												
+ Project Close Out		01-Jan-20 A	31-Aug-20												

Progress:

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

Future

Activities:

- Jul - Sep 2020
- (1) Complete close out.
 - (2) Finalize punchlist items.

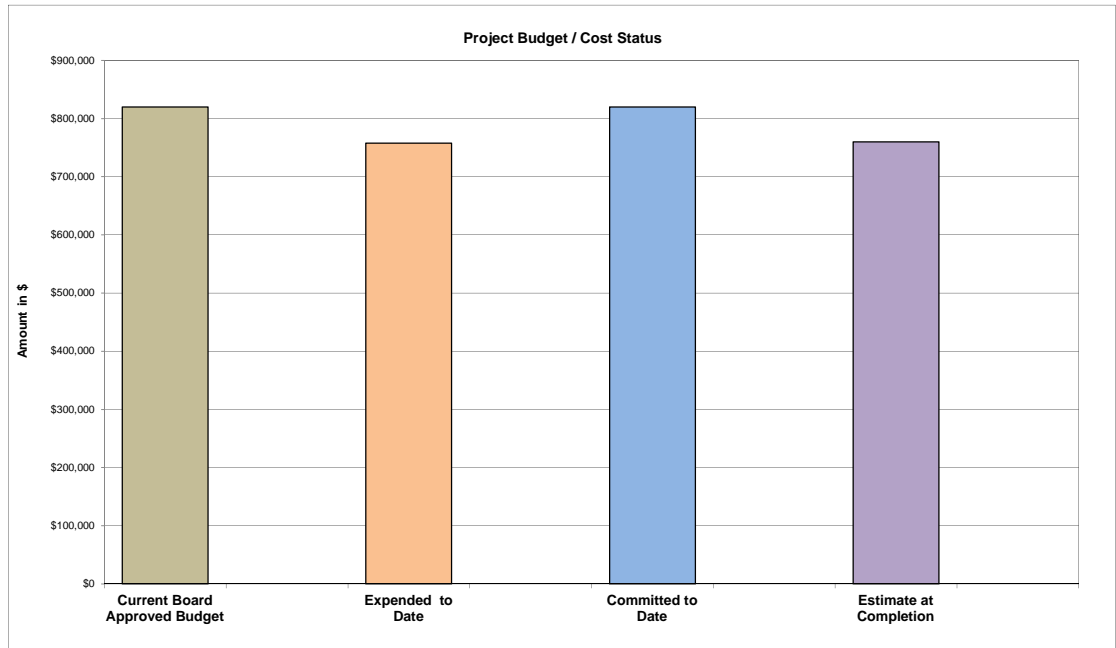
Issues: None.

ENERGY EFFICIENT LIGHTING AT CALTRAIN STATIONS

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$820,000	\$757,596	\$820,000	\$760,000	\$60,000



Issues: None.

SAFETY:



No incidents reported this quarter.

F-40 LOCOMOTIVE MID-LIFE OVERHAUL PROJECT



SCOPE:



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

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

Issues: None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2017				2018				2019				2020			
				Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
100005	F-40 Locomotive Mid-Life Overhaul	31-Mar-17 A	29-Sep-20																
	Technical Specs	31-Mar-17 A	31-Mar-17 A																
	Bid and Award	01-Apr-17 A	02-Oct-17 A																
	Construction	03-Oct-17 A	30-Jun-20 A																
	Project Close Out	01-Jul-20	29-Sep-20																

Progress:

Apr- Jun 2020 (1) Overhauls of all three locomotives are completed.

Future

Activities:

Jul - Sep 2020 (1) Perform Project closout.

Issues:

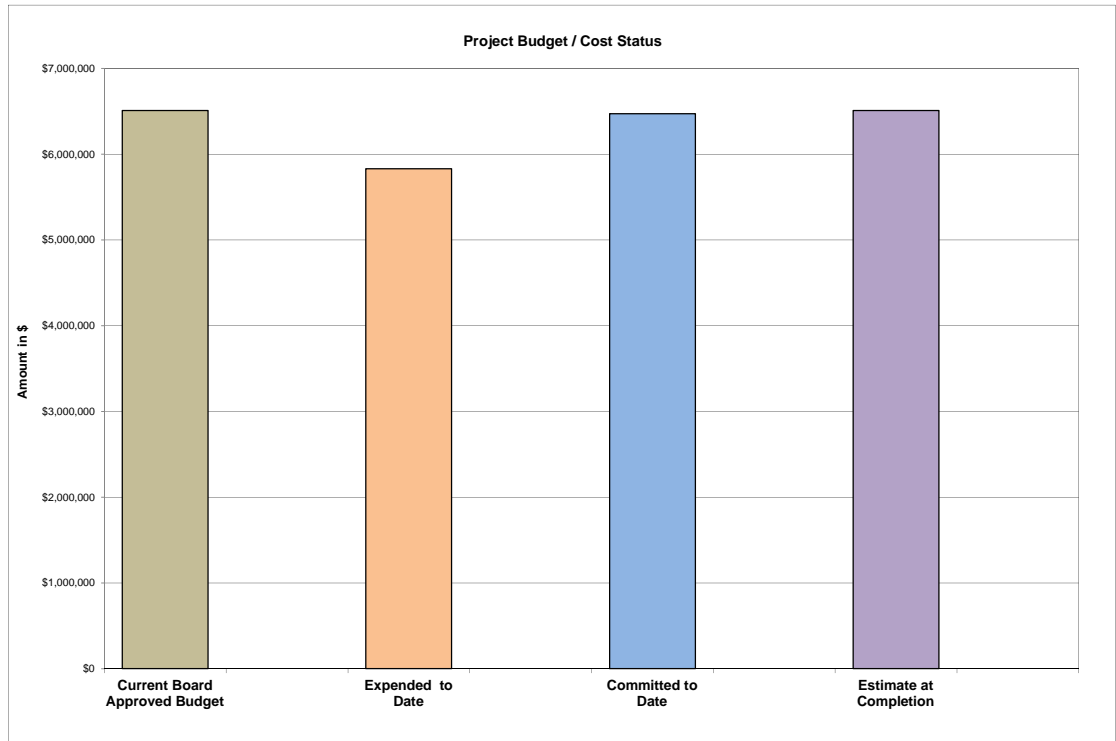
- Schedule delay is due to:
- (1) Additional parts needing to be replaced that were not part of the original overhaul scope.
 - (2) Resource constraints facing the contractor in hiring qualified workers to perform the locomotive overhauls.
 - (3) Schedule traffic light has been changed to green upon completion of the construction portion of the project.

F-40 LOCOMOTIVE MID-LIFE OVERHAUL PROJECT

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$6,510,000	\$5,831,760	\$6,472,725	\$6,510,000	\$0



Issues: None.

SAFETY:



No incidents reported this quarter.

FY19 & 20 GRADE CROSSING IMPROVEMENTS PROJECT



SCOPE:

This project is the continuation of the Caltrain Grade Crossing Improvement Program. The project will include the design, bid & award process, installation of medians, pavement markers and markings to deter motorists from driving around a down gate or stopping on top of the tracks and turning onto the tracks.

The FY2019 and FY2020 funding will be used to improve the safety at the following five grade crossings:

San Mateo

- > 1st Avenue
- > 2nd Avenue
- > 3rd Avenue

Menlo Park

- > Glenwood
- > Oak Grove in Menlo Park.

Issues: None.

SCHEDULE:



Activity ID	Start	Finish	2019				2020				2021			
			Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
100333 - FY19 & 20 Grade Crossing	01-Apr-19 A	30-Nov-21												
Final Design	01-Apr-19 A	30-Jun-20 A												
Bid & Award	01-Jul-20	31-Dec-20												
Construction	01-Jan-21	31-Jul-21												
Project Close Out	01-Aug-21	30-Nov-21												

Progress:

Apr - Jun 2020

- (1) Received comments on the 100% design from the reviewers and the design was revised to incorporate the comments. Received the IFB design package from the designer.
- (2) Presented project to the Phase Gate committee and received approval to proceed to IFB.
- (3) Began working with Contracts & Procurement on the IFB. Provided C&P the technical specs and drawings for the IFB.

Future

Activities:

Jul - Sep 2020

- (1) Continue to work with Contracts & Procurement to advertise the IFB.

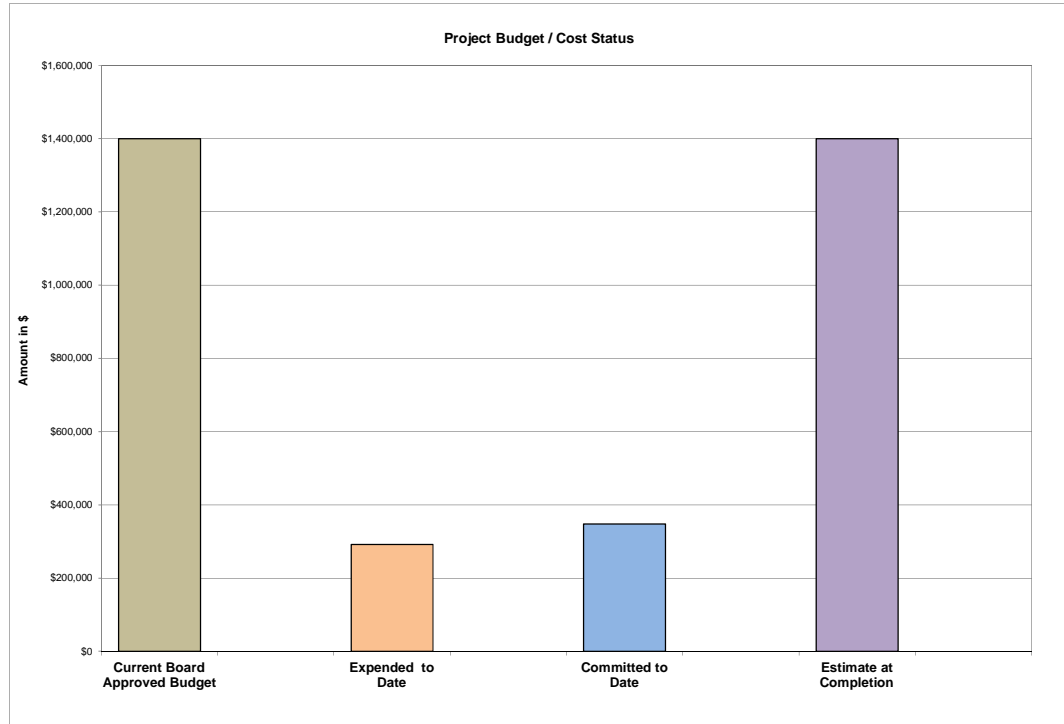
Issues: None.

FY19 & 20 GRADE CROSSING IMPROVEMENTS PROJECT

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$1,400,000	\$292,078	\$347,759	\$1,400,000	\$0



Issues: None.

SAFETY: No incidents reported this quarter.



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



SCOPE:

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

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

The project is currently in preliminary design (65%) and in preparation of environmental studies for CEAQ and NEPA clearance.

The current scope, budget an estimate at completion is through final design only.

Issues: None.

SCHEDULE:

Activity ID	Activity Name	Start	Finish	2018				2019				2020				2021				
				Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3
002113	Guadalupe Bridge Replacement	21-Aug-17 A	31-Dec-21																	
	Environmental Clearance	07-Aug-18 A	31-Mar-21																	
	Preliminary Engineering 35%	21-Aug-17 A	30-Apr-20 A																	
	Preliminary Engineering 65%	11-May-20 A	30-Nov-20																	
	Final Design/ROW Clearance	01-Dec-20	31-Dec-21																	

Progress:
Apr - Jun 2020

- Completed 35% review and address review comments. Continued to advance project to 65% Design.
- Identified Temporary Construction Easement needs.
- Continued to prepare technical studies for environmental review, including construction staging and sequencing, utility impact, right-of-way impact, stormwater treatment and dewatering strategies.
- Continued to coordinate with project stakeholders including SCVWD, UPRR, Utility Owners and FTA on project needs.
- Conducted following up conference meeting with UPRR regarding alternative fiber optic relocation concept.
- Continued to coordinate with PCEP project for potential conflicts and project needs.
- Provided project update to the Regional Water Quality Control Board (RWQCB).
- Completed OCS relocation concept and prepared Memorandum of Construction Strategy to document the approach to address the OCS conflicts.
- Project scope of work and schedule have been updated to include 65% design submittal. Project physical percentage of

Future Activities:
Jul - Sep 2020

- Present results of the hydraulics analysis and project status update to RWQCB and obtain RWQCB's concurrence on the project design approach.
- Present the OCS relocation construction staging concept to the PCEP design team and obtain their concurrence on the staging approach.
- Begin preparation of Santa Clara Valley Water District application for Temporary Construction Easements.
- Continue to prepare technical studies for environmental review, including construction staging and sequencing, utility impact, right-of-way impact, stormwater treatment and dewatering strategies.
- Continue to coordinate with project stakeholders including SCVWD, UPRR, Utility Owners and FTA on project needs.
- Continue to coordinate with PCEP project for potential conflicts and project needs.

Issues:

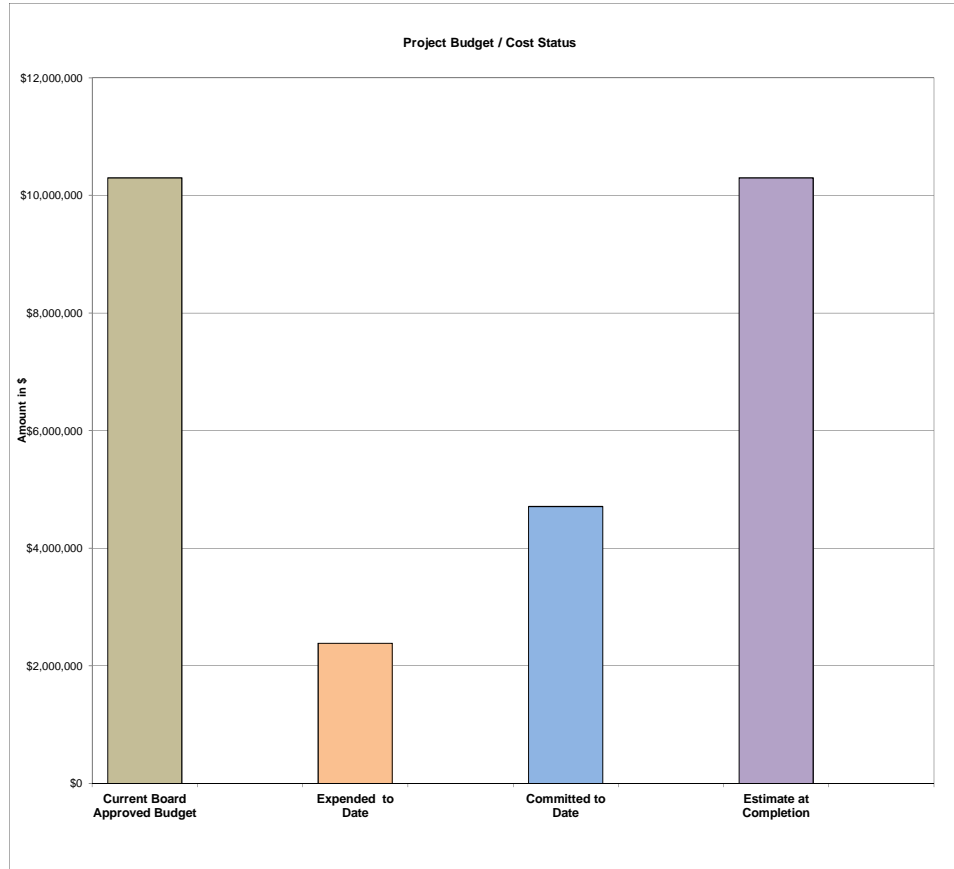
- Design and relocation of the conflicting OCS poles will add cost and time to the project schedule.
- Project has completed a re-baseline of the project scope and schedule to include 65% design.

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

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$10,300,000	\$2,386,082	\$4,711,002	\$10,300,000	\$0



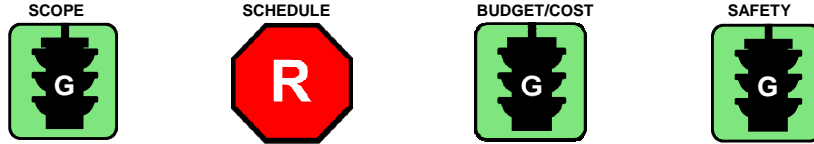
Issues: None.

SAFETY:



No incidents reported this quarter.

MARIN STREET AND NAPOLEON AVENUE BRIDGE CLOSURE PROJECT



SCOPE: Marin Street and Napoleon Avenue bridges are located at MP 2.35 and MP 2.45 respectively in the City and County of San Francisco. Project Scope is for:
 (1) Marin Street Bridge - Improve safety and security, maintain the bridge at a state of good repair, and improve worker safety.
 (2) Napoleon Street Bridge - improve safety and security, minimize future maintenance repairs, and replace deficient bridge components by removing the four short bridge spans not located over box culvert and replace with light weight fill, replacing the main center steel bridge with precast concrete girders and adding new wing walls.
 (3) Additional trackwork to replace the rail on MT1 and MT2 from approximate MP 2.10 to MP 2.63 (optional work).

Issues: None.

SCHEDULE:

Activity ID	Activity Name	Start	Finish	Timeline														
				2016	2017	2018	2019	2020	2021									
				02	03	04	01	02	03	04	01	02	03	04	01	02	03	04
002080 - Marin Street & Napoleon Bridge Closure		01-Dec-14 A	31-Oct-21															
± Preliminary Engineering		01-Dec-14 A	30-Apr-16 A															
± Engineering Design		01-May-16 A	31-Aug-19 A															
± Revised Final Design		06-Jan-20 A	15-Feb-20 A															
± Bid & Award		16-Feb-20 A	09-Jul-20															
± Construction		10-Jul-20	31-Jul-21															
± Project Close Out		01-Aug-21	31-Oct-21															

- (1) Revised Final Design is due to a change from recast concrete girders to steel girders to minimize risk of high loading on existing box culvert and also accommodate PCEP overhead wires is completed and C&P is reviewing the IFB package with legal.
- (2) The schedule will be rebaselined when we receive the approved construction schedule.

Progress:

- Apr - Jun 2020
- (1) Working with City of SF, Legal team regarding "major encroachment permit".
 - (2) IFB was advertised for construction contract. Worked on Addendum and Bidder Inquiries.
 - (3) Conducted pre-bid meeting and jobsite walk with potential bidders.
 - (4) Bid Opening was on 04/28/20 - Disney Construction was lowest bidder and Proven is 2nd lowest bidder. Disney Construction bids were rejected due to non-compliance with DBE (15% goals). Hearing to be held for Disney's filed protest
 - (5) Bid documents were reviewed by OCR for DBE compliance.

Future

- Activities:**
- Jul - Sep 2020
- (1) Hearing for Disney Construction's protest regarding rejection of bids.
 - (2) Determination of responsive bidder.
 - (3) Work on Resolution and Staff Report.
 - (4) Award the construction contract at the board meeting.
 - (5) Begin Construction.

Issues:

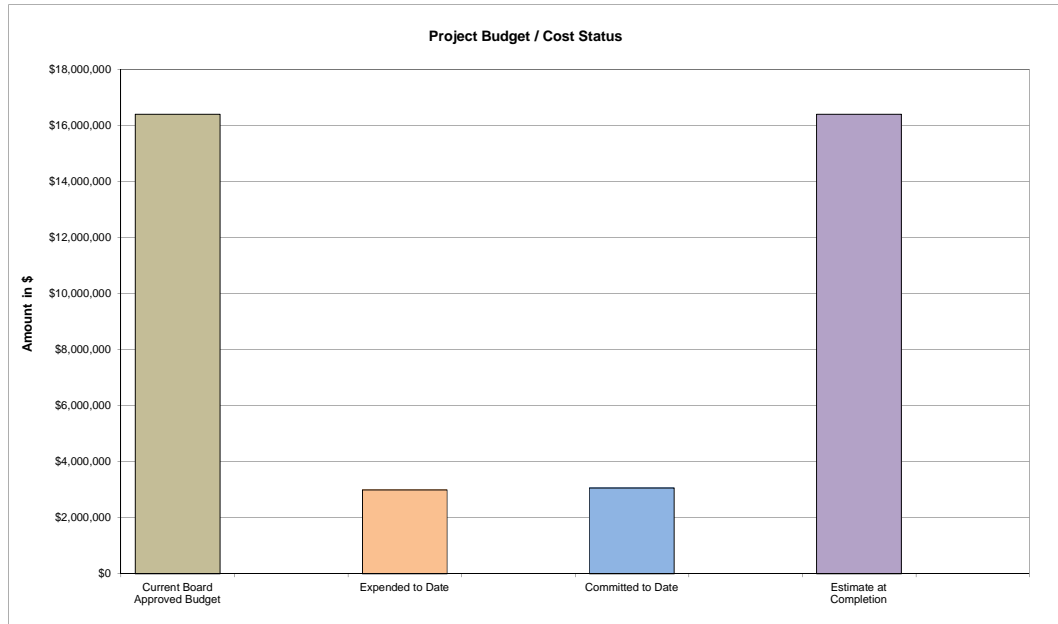
- Project schedule has been extended due to:
- (1) Existing box culvert coordination at Napoleon Street. - Closed, addressed in IFB package
 - (2) Crane - stage construction issue due to existing constraints. - Closed, addressed in IFB package
 - (3) Existing job site conditions - homeless and DPW on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

MARIN STREET AND NAPOLEON AVENUE BRIDGE CLOSURE PROJECT

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$16,400,000	\$2,993,552	\$3,064,606	\$16,400,000	\$0



Issues:

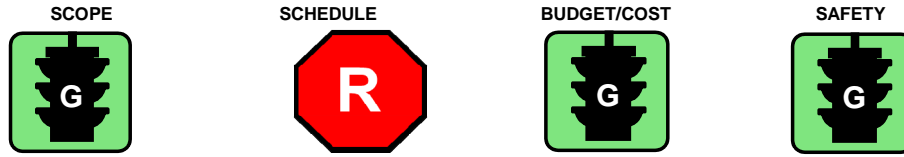
- (1) EAC has been increased this Quarter as per Project Manager latest cost estimate and is due to Risk Register Cost, Box culvert inspection, Permits, Weekend work, Soft cost etc., which were inadvertently missed in the original estimate.
- (2) FY2021 Capital Budget of \$9,696,000 approved at June board approved was added this quarter.

SAFETY:



No incidents reported this quarter.

MARY AVENUE TRAFFIC SIGNAL PREEMPTION PROJECT



SCOPE:

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



Issues:

None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2018				2019				2020				2021			
				Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
100278 - Mary Avenue Traffic Signal		01-Feb-18 A	31-Oct-21																
+ Final Design		01-Feb-18 A	06-May-20 A																
+ Bid and Award		07-May-20 A	30-Sep-20																
+ Construction		01-Oct-20	30-Jun-21																
+ Project Close Out		01-Jul-21	31-Oct-21																

Progress:

- Apr - Jun 2020
- (1) Completed the final design.
 - (2) Issued the work directive proposal request to TASI for construction.
 - (3) Received the work directive proposal from TASI for construction. Reviewed the proposal and found it acceptable.

Future

Activities:

- Jul - Sep 2020
- (1) Contract & Procurement to issue NTP to TASI for the construction of the advance signal preemption.

Issues:

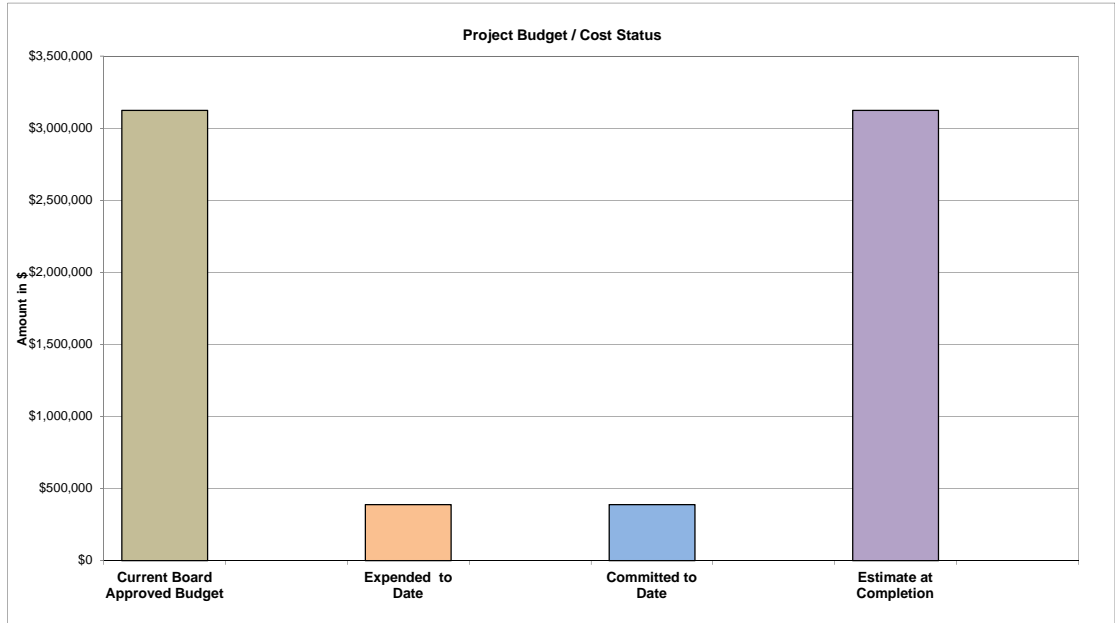
- (1) Design was delayed due to the coordination issues with the City of Sunnyvale and Electrification

MARY AVENUE TRAFFIC SIGNAL PREEMPTION PROJECT

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$3,125,000	\$387,995	\$388,217	\$3,125,000	\$0



Issues: None.

SAFETY:



No incidents reported this quarter.

MP-36 LOCOMOTIVE MID-LIFE OVERHAUL PROJECT



SCOPE:

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

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

Issues: None.

SCHEDULE:

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

Progress:

- Apr - Jun 2020
- (1) Contract approved by Caltrain board.
 - (2) Kick-off meeting held with contractor.
 - (3) Locomotive #927 delivered to Alstom.

Future

Activities:

- Jul - Sep 2020 (1) Perform the in-bound test of locomotive #927.

Issues:

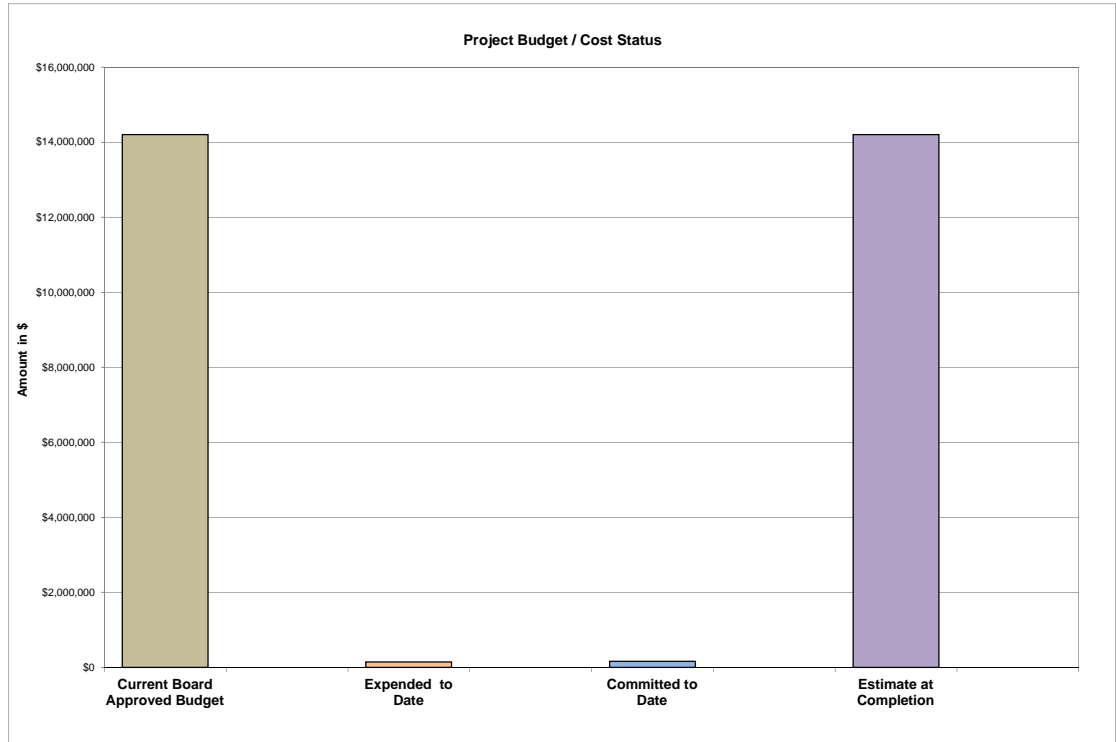
Bids were rejected at the October 04, 2018 Board meeting. Schedule delay is due to re-evaluating and re-issuing the contract for bid. Schedule will be rebaselined when the construction schedule has been approved.

MP-36 LOCOMOTIVE MID-LIFE OVERHAUL PROJECT

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$14,209,714	\$151,264	\$168,235	\$14,209,714	\$0



Issues: None.

SAFETY: No incidents reported this quarter.



RAILROAD COMMUNICATION SYSTEM PROJECT - FY2017



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

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

Current scope is for design and bid and award phases only.

Issues: None.

SCHEDULE:



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

Progress:

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

Future

Activities:

- Jul - Sep 2020 (1) Complete design plans & specifications.
- (2) Initiate bid and award.

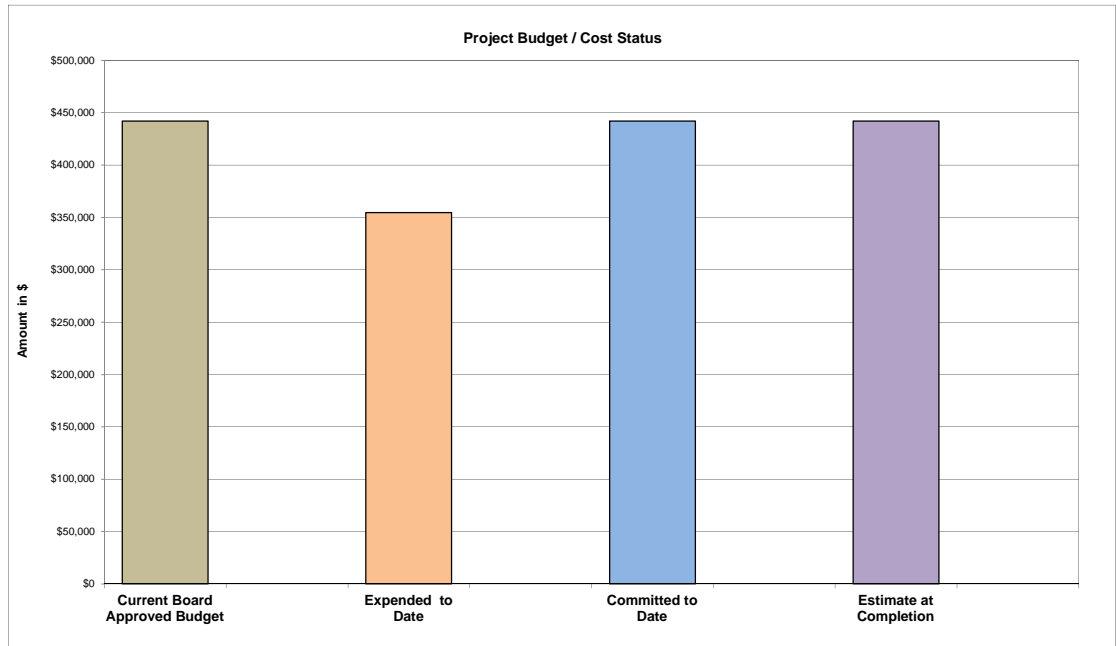
Issues: The project schedule has been delayed due to the continuing mitigation of the unforeseen incompatibility issues with the digital signal of radios being considered by Caltrain and the digital signals of radios being used or being considered by the tenants on the right of way.

RAILROAD COMMUNICATION SYSTEM PROJECT - FY2017

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$442,000	\$354,662	\$441,965	\$442,000	\$0



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

SAFETY:



No incidents reported this quarter.

RAILROAD COMMUNICATION SYSTEM PROJECT - FY2018



SCOPE:



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

Project will consist of the following tasks:

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

Issues:

None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2019			2020				2021		
				Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3
100228 - FY19 RR Comm System SOGR		09-May-19 A	31-Jul-21										
+ Procurement		09-May-19 A	30-Sep-19 A	█	█								
+ Final Design		12-Jul-19 A	30-Apr-20 A		█	█	█						
+ Bid & Award		01-May-20 A	31-Oct-20				█	█	█				
+ Construction		01-Nov-20	30-Apr-21					█	█	█	█		
+ Project Close Out		01-May-21	31-Jul-21									█	█

Progress:

Apr - Jun 2020 (1) Completed final design.
 (2) Initiated bid and award.

Future

Activities:

Jul - Sep 2020 (1) Continue Bid & Award.

Issues:

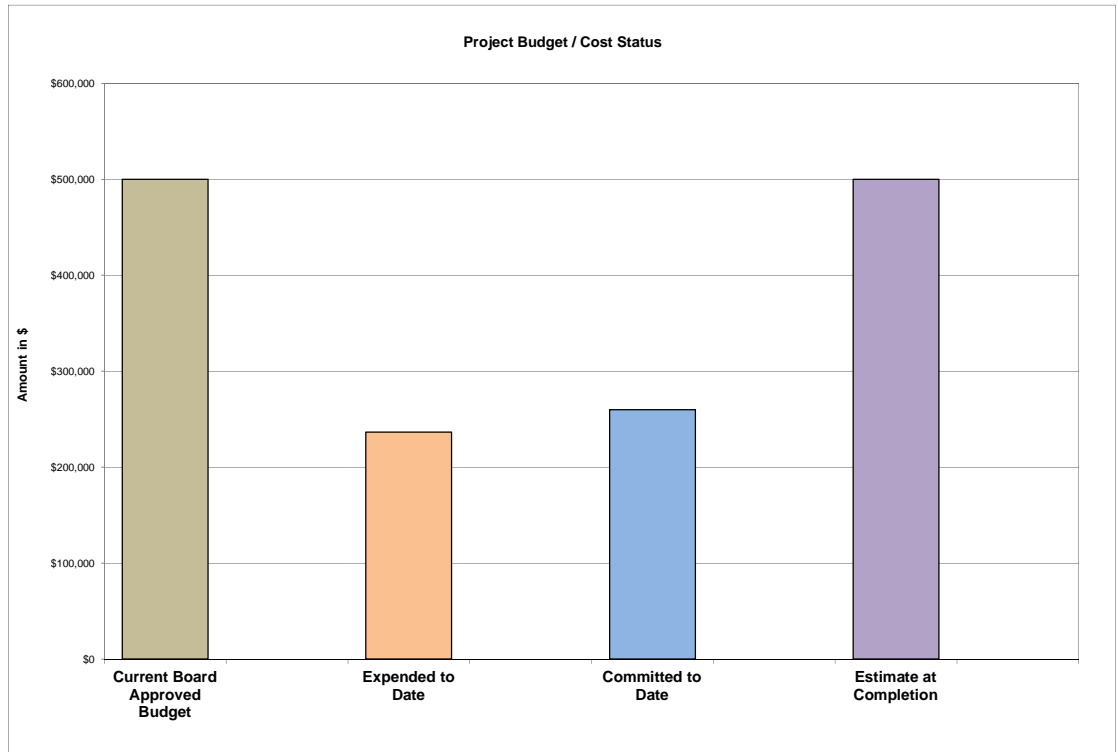
The current schedule delay was due to the late award of the design contract.

RAILROAD COMMUNICATION SYSTEM PROJECT - FY2018

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$500,000	\$236,443	\$260,043	\$500,000	\$0



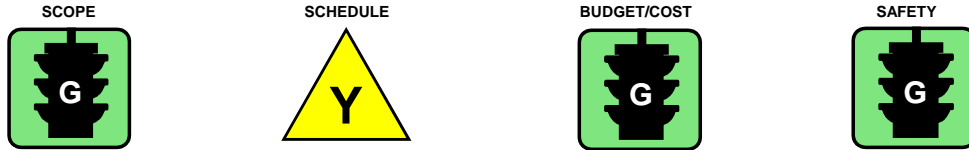
Issues: None.

SAFETY:



No incidents reported this quarter.

RAILROAD COMMUNICATION SYSTEM PROJECT - FY2019



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



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

Issues: None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2019				2020			
				Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
100406 - FY19 RR Communication System (S)		20-May-19 A	31-Jan-21								
+	Bid & Award	20-May-19 A	20-Nov-19 A								
+	Testing	21-Nov-19 A	31-Oct-20								
+	Project Close Out	01-Nov-20	31-Jan-21								

Progress:

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

Future

Activities:

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

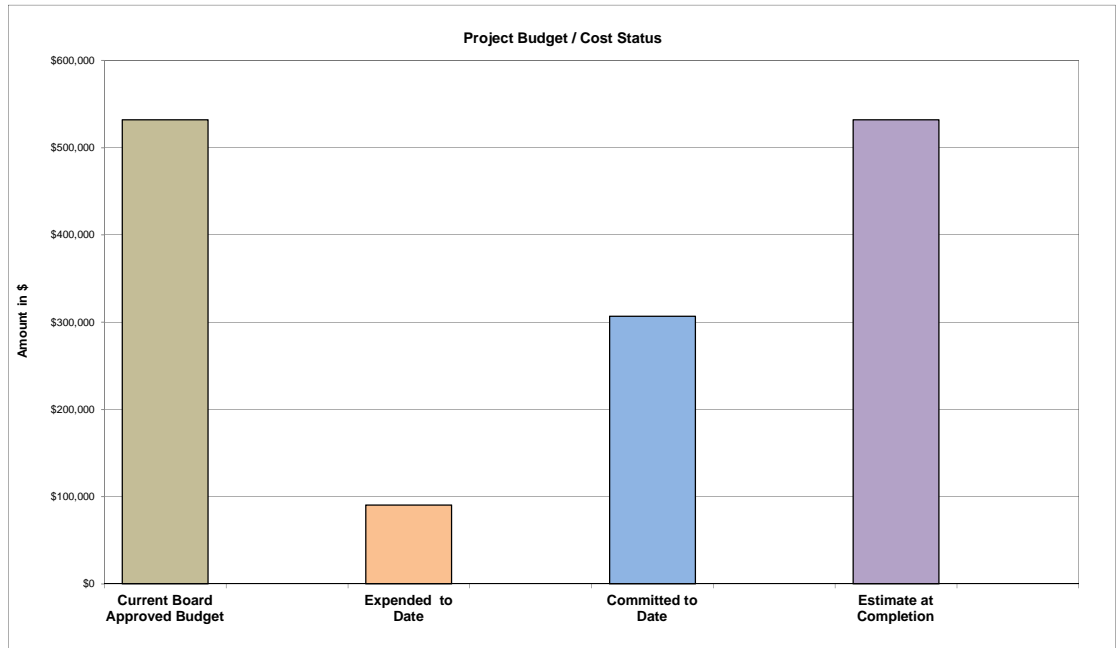
Issues: Schedule delay is due to COVID-19 shelter in place order causing the contractor to restrict travel of its personnel.

RAILROAD COMMUNICATION SYSTEM PROJECT - FY2019

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$532,000	\$90,530	\$306,719	\$532,000	\$0



Issues: None.

SAFETY:



No incidents reported this quarter.

RENGSTORFF AVENUE GRADE SEPARATION



SCOPE:



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

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

Issues: None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish										
				2019			2020						
				Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1		
100482 - Rengstorff Avenue Grade Cros		05-Aug-19 A	28-Feb-21										
Preliminary Engineering		05-Aug-19 A	31-Oct-20										
Environmental Clearance		27-Mar-20 A	28-Feb-21										

Progress:

Apr - Jun 2020

- (1) Continued data collection for proceeding with environmental clearance.
- (2) Continued geometric refinement and alternative design per feedback from the City and project team.
- (3) Identified potential utility relocation needs and began preparation of draft utility plan.
- (4) City and County provided review comments on Traffic Memo, Preliminary Design and ROW impact exhibits.
- (5) Reviewed and addressed City's comments on project deliverables.
- (6) Conducted right-of-way field meeting with City of Mountain View staff.
- (7) Began temporary and permanent construction impact assessment.
- (8) On-going project coordination with the City and County.

Future

Activities:

Jul - Sep 2020

- (1) Held comment resolution meeting with the City on proposed pedestrian and bicycle facilities.
- (2) Complete temporary and permanent construction impact assessment.
- (3) Begin drafting of construction staging and detour plans.
- (4) Conduct traffic counts when traffic resumes back to normal.

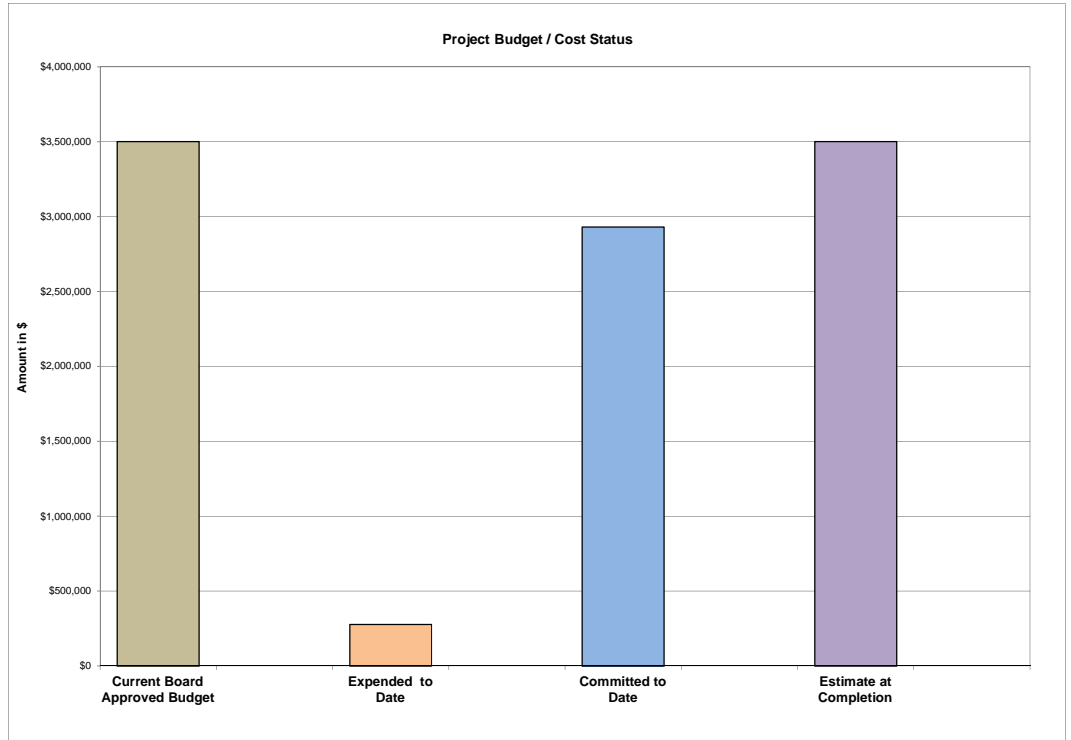
Issues: Delay in conducting traffic analysis may impact the design schedule.

RENGSTORFF AVENUE GRADE SEPARATION

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$3,500,000	\$276,462	\$2,930,312	\$3,500,000	\$0



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

SAFETY: No incidents reported this quarter.



RIGHT OF WAY FENCING PROJECT

SCOPE

SCHEDULE

BUDGET/COST

SAFETY

SCOPE: This project is a part of the ongoing program to keep Caltrain's fencing in a State of Good Repair (SOGR). The goal of this project is to reduce trespassing on the Caltrain right of way by installing fence on at least one side of the property between San Francisco MP 0.2 to Lick MP 52.



Caltrain will install vandal resistant fencing at key locations along the main line rail corridor to deter trespassing. This work will include a base contract and three optional contracts which may be exercised with the General Manager's approval. These contracts includes site clearing, fence demolition, fence installation and vegetation removal.

Currently the construction contract has authority to perform work through option 2.

Issues: None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2016		2017				2018				2019				2020					
				Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
100053 - Right of Way Fencing Project		02-Jun-16 A	28-Feb-21																				
+ Construction (Base)		02-Jun-16 A	31-Mar-18 A																				
+ Construction (Option 1)		16-Apr-18 A	31-Aug-19 A																				
+ Construction (Option 2)		01-Dec-19 A	30-Nov-20																				
+ Project Close Out		01-Dec-20	28-Feb-21																				

Progress:
Apr - Jun 2020 (1) Continued option 2 work.

Future Activities:
Jul - Sep 2020 (1) Continue option 2 work.

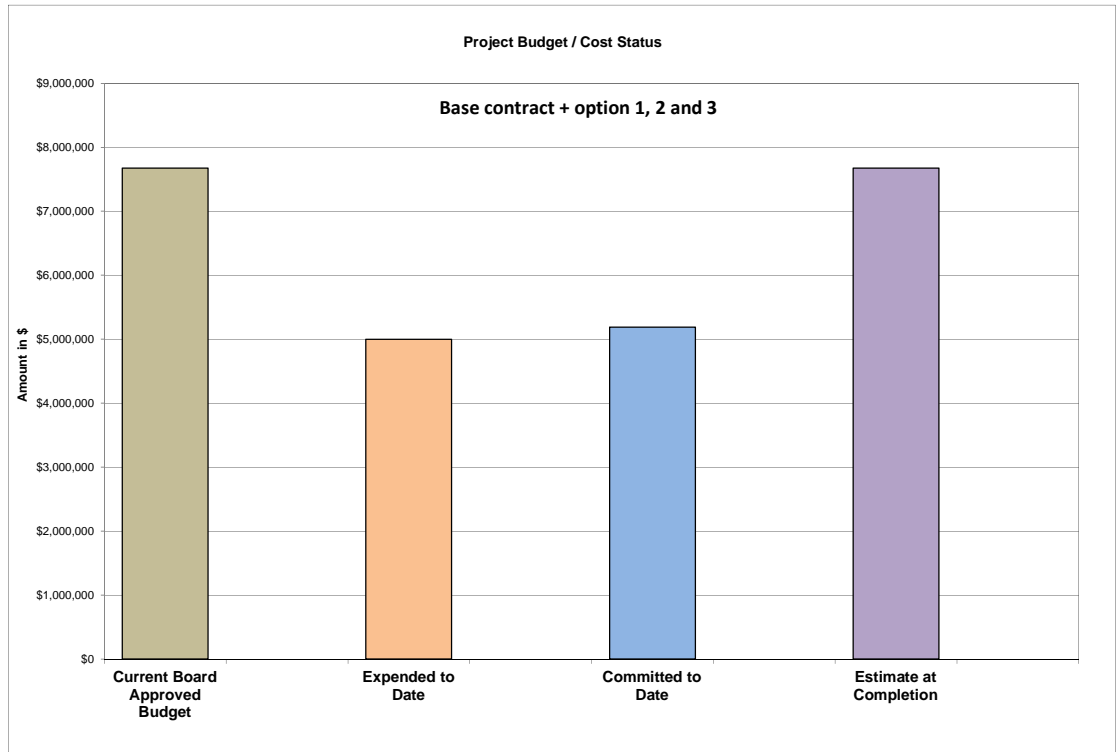
Issues: (1) Schedule dates are for the base contract, option 1 and 2 only. Schedule delay is due to Covid-19 impact on manpower availability to the contractor.

RIGHT OF WAY FENCING PROJECT

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$7,672,958	\$4,996,343	\$5,187,435	\$7,672,958	\$0



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

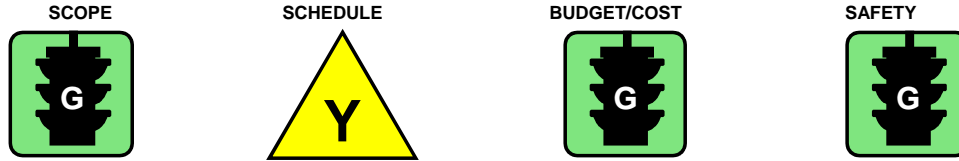
Issues: None.

SAFETY:



No incidents reported this quarter.

SOUTH SAN FRANCISCO STATION IMPROVEMENT PROJECT



This project will replace the existing South San Francisco Station. The scope includes track work, signal work, a new 700 foot center board platform with new amenities, new shuttle drop-off, and connectivity to a new pedestrian underpass from the platform to Grand Avenue/Executive Drive. This project will improve safety by eliminating the hold out rule; in addition, the project provides connectivity along Grand Avenue for the City of South San Francisco (CSSF).

Key elements of the project include:

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

Issues: None.

SCHEDULE:



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

Progress:

- Apr - Jun 2020
- (1) Completed construction of west side storm drain line.
 - (2) Completed installation of new Signal Cantilever Foundation.
 - (3) Completed coordination with electrification on site access for temporary platform
 - (4) Continued construction of ramp 2/stair 2/ ramp 3.
 - (5) Began construction of Center platform.

Future Activities:

- Jul - Sep 2020
- (1) Complete form work and concrete pour for ramp 2/stair 2/ ramp 3.
 - (2) Begin construction of MT2 track realignment.
 - (3) Begin construction of temporary platform for upcoming cutover.
 - (4) Began construction of Center platform.

Issues:

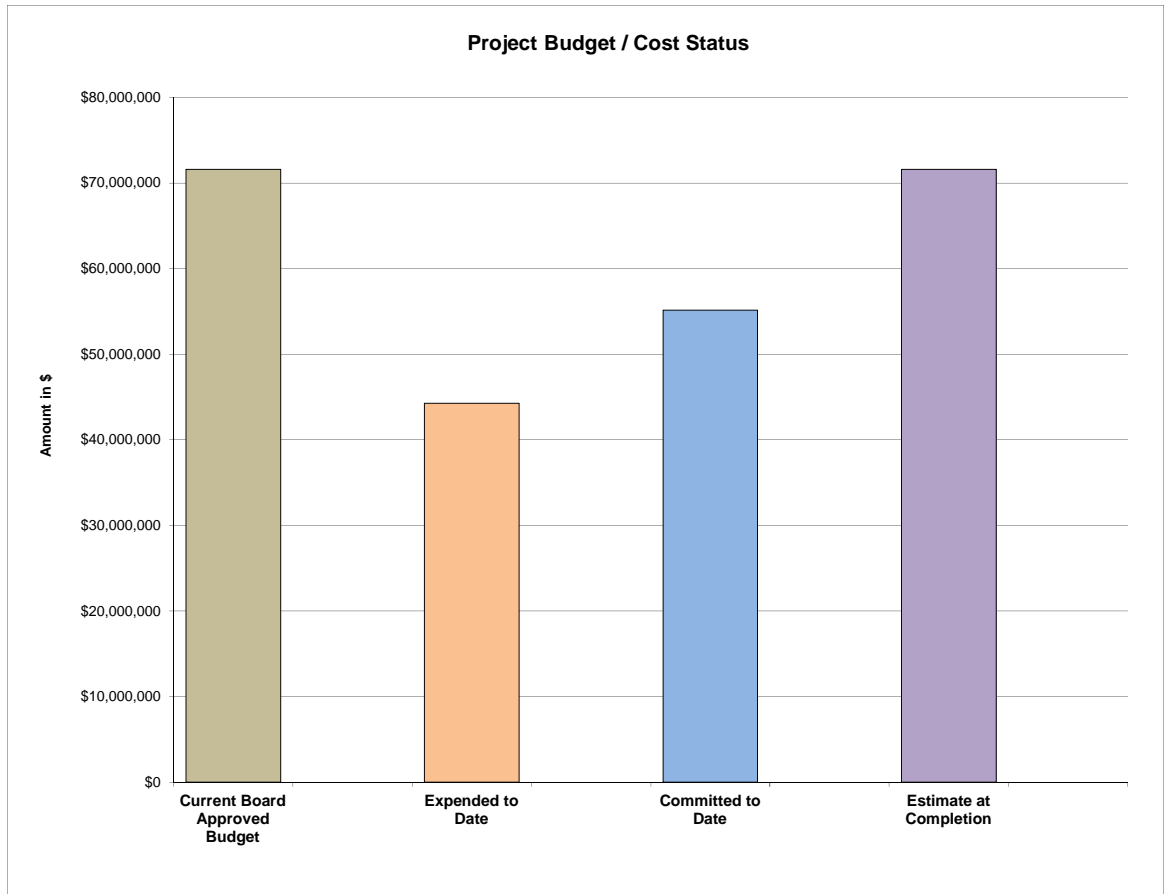
- (1) Project completion and OCS Foundation milestone has been extended due to the suspension of critical path construction activities that was caused by delays in Caltrans permitting and its impact to commencement of 3rd party utility relocation, including PG&E gas and electrical relocation.
- (2) Third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

SOUTH SAN FRANCISCO STATION IMPROVEMENT PROJECT

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Project Total	\$71,600,000	\$44,282,357	\$55,130,334	\$71,600,000	\$0



Issues: None.

SAFETY: No incidents reported this quarter.



STATION ENHANCEMENT AND RENOVATION



SCOPE: This project will include the following work:



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

Issues: None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2018			2019				2020						
				Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1		
100149 - Station Enhancement and Renovat		01-Mar-18 A	31-Jan-21														
Final Design		01-Mar-18 A	30-Apr-19 A	[Blue bar]													
Bid & Award		01-May-19 A	15-Jun-20 A				[Blue bar]										
Construction		16-Jun-20 A	31-Oct-20														[Red bar]
Project Close Out		01-Nov-20	31-Jan-21														[Red bar]

Progress:

Apr - Jun 2020

- (1) Completed review of alternative ways to complete renovation.
- (2) Completed Bid & Award.
- (3) Began preparing to kick off construction work.

Future

Activities:

Jul - Sep 2020

- (1) Begin construction work.

Issues:

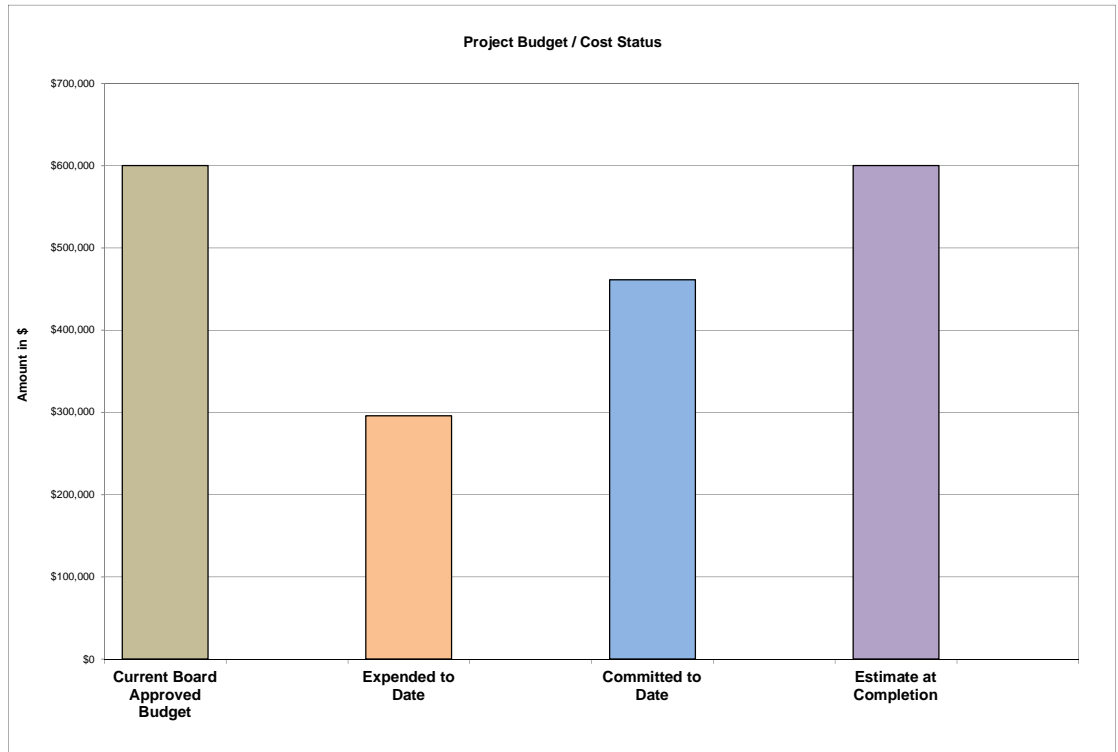
Schedule delay is due to TASI and PCJPB resource issues.

STATION ENHANCEMENT AND RENOVATION

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$600,000	\$295,820	\$461,050	\$600,000	\$0



Issues: None.

SAFETY:



No incidents reported this quarter.

SYSTEMWIDE SIGNAL SYSTEM REHABILITATION PROJECT - FY2019



SCOPE:



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

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

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

Issues: None.

SCHEDULE:



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

Progress:

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

Future

Activities:

Jul - Sep 2020 (1) Complete replacement of controllers.
 (2) Begin project close out.

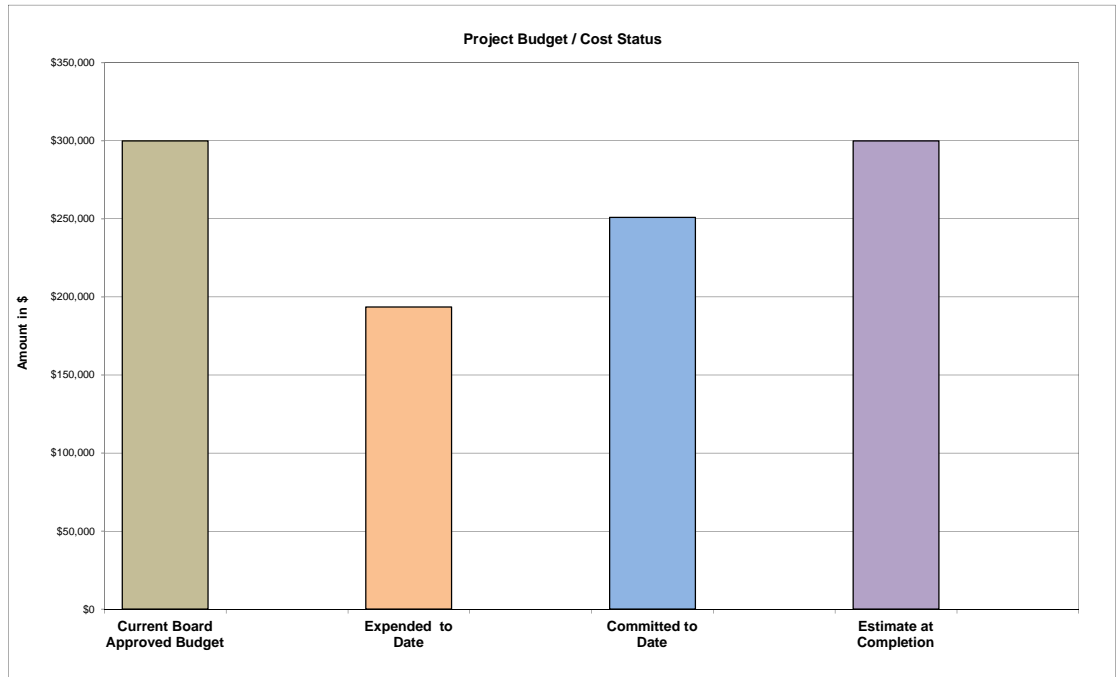
Issues: None.

SYSTEMWIDE SIGNAL SYSTEM REHABILITATION PROJECT - FY2019

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$300,000	\$193,488	\$250,991	\$300,000	\$0



Issues: None.

SAFETY:



No incidents reported this quarter.

SYSTEMWIDE TRACK REHABILITATION PROJECT - FY2019



SCOPE:



The System Wide Track Rehabilitation Program covers the work required to keep the Caltrain railroad in a state of good repair. The type and scope of work scheduled for each fiscal year is based upon the condition of the railroad as reflected in Caltrain's State of Good Repair database. This database is updated regularly with input from track inspections and tests that are performed throughout the year. Each fiscal year, a new project is set up to cover the track work performed that year. The scope proposed for FY2019 system wide track rehabilitation includes the following:

1. Replace stock rail points and frogs on turnouts per identified needs in the SOGR database and on as-needed basis due to unexpected failures of such components.
2. Perform welds to perform the removal of bonded insulated joints, replaced stock rails, points and frogs.
3. Replacement of standard ties on mainline tracks.
4. Replacement of switch ties on main tracks and yard tracks.
5. Surfacing of curve and tangent track, turn outs, at various locations determined by geometry car inspections and field track inspections.
6. Upgrade and maintain rail lubricators.
7. Purchase of small tools and equipment required for track maintenance activities.
8. Work in South San Francisco yard - install ties, replace rail, install ballast and surface, maintain a SOGR and in accordance with JPB, CPUC and FRA standards for class of track - billable to UPRR.
9. Repair track and station platforms at College Park Station.
10. Minor repairs to bridges, culverts and structures – per annual inspection needs.
11. Lease facilities, purchase and equipment rental.
12. Purchased services – rail detector, geometry inspections, weed abatement etc.
13. Fence repairs and graffiti removal.

Issues: None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2019			2020			2021						
				Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4		
100230 - FY19 Systemwide Track Rehabilitati		01-Jul-19 A	31-Dec-20													
+ ROW Maintenance		01-Jul-19 A	30-Sep-20													
+ Project Close Out		02-Oct-20	31-Dec-20													

Progress:

Apr - Jun 2020

- | | |
|---|---|
| <ol style="list-style-type: none"> (1) Built up 11 frog inserts. (2) Ground 45 switches. (3) Placed 125 Tons of Ballast . (4) Performed 34 thermite welds. (5) Changed out 5,331 feet of rail (due to wear). (6) Changed out 256 feet of rail (internal flaw). (7) Ground 44 switches. (8) Replaced one frog. | <ol style="list-style-type: none"> (9) Installed 206 cross ties. (10) Installed nine switch ties. (11) Installed 11 UP cross ties. (12) Installed 18 UP switch ties. (13) Performed UT weld testing. (14) Performed UT Hyrail inspection. (15) Performed tree trimming. (16) Performed fencing. |
|---|---|

Future

Activities:

Jul - Sep 2020

- (1) Continue ongoing maintenance work.

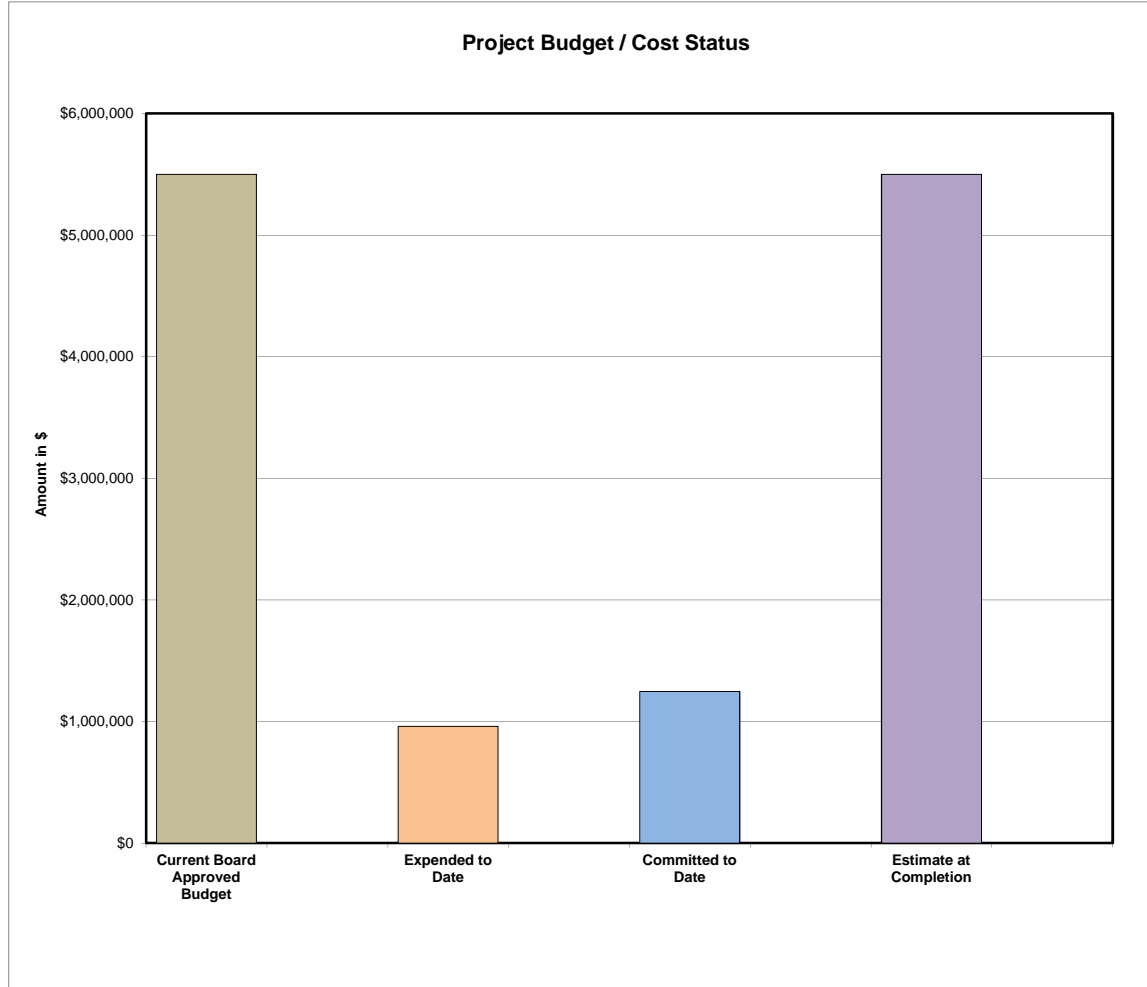
Issues: None.

SYSTEMWIDE TRACK REHABILITATION PROJECT - FY2019

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Project Total	\$5,500,000	\$959,233	\$1,245,595	\$5,500,000	\$0



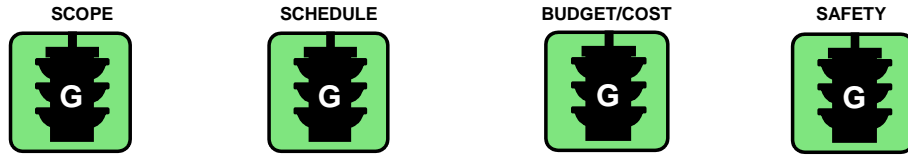
Issues: None.

SAFETY:



No incidents reported this quarter.

TICKET VENDING MACHINE REHAB PROGRAM PROJECT



SCOPE:



The project will develop the central back office software necessary to upgrade the TVMs to have Clipper functionality and upgrade components which are obsolete. Additional scope to replace the credit card readers in all existing TVMs has been added to a separate construction contract and is being funded by the IT Department.

The current scope of this project is through the Phase 2 Option only:

Phase 1 - Two prototype TVM's will be refurbished with Clipper functionality and upgraded components. The prototypes will be installed at Central for testing and development work.

Phase 2 - Based on the final upgraded prototype, 12 existing TVM's will upgraded at the stations.

Issues:

None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2018				2019				2020				2021			
				Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3
100240 - Ticket Vending Machine Rehab Proj		01-Jan-18 A	31-Jan-21																
+ Final Design		01-Jan-18 A	01-Nov-18 A																
+ Bid and Award		01-Mar-18 A	30-Apr-19 A																
+ Construction		01-May-19 A	31-Oct-20																
+ Project Close Out		01-Nov-20	31-Jan-21																

Progress:

Apr - Jun 2020 (1) Ventek continued to test the new software for the central server and the new database. Found some issues with the database and working on the resolutions.
 (2) Ventek finished the TRX credit card reader installation.

Future

Activities:

Jul - Sep 2020 (1) Ventek to continue test the new software and database.
 (2) Test the MTC Clipper system connection.

Issues:

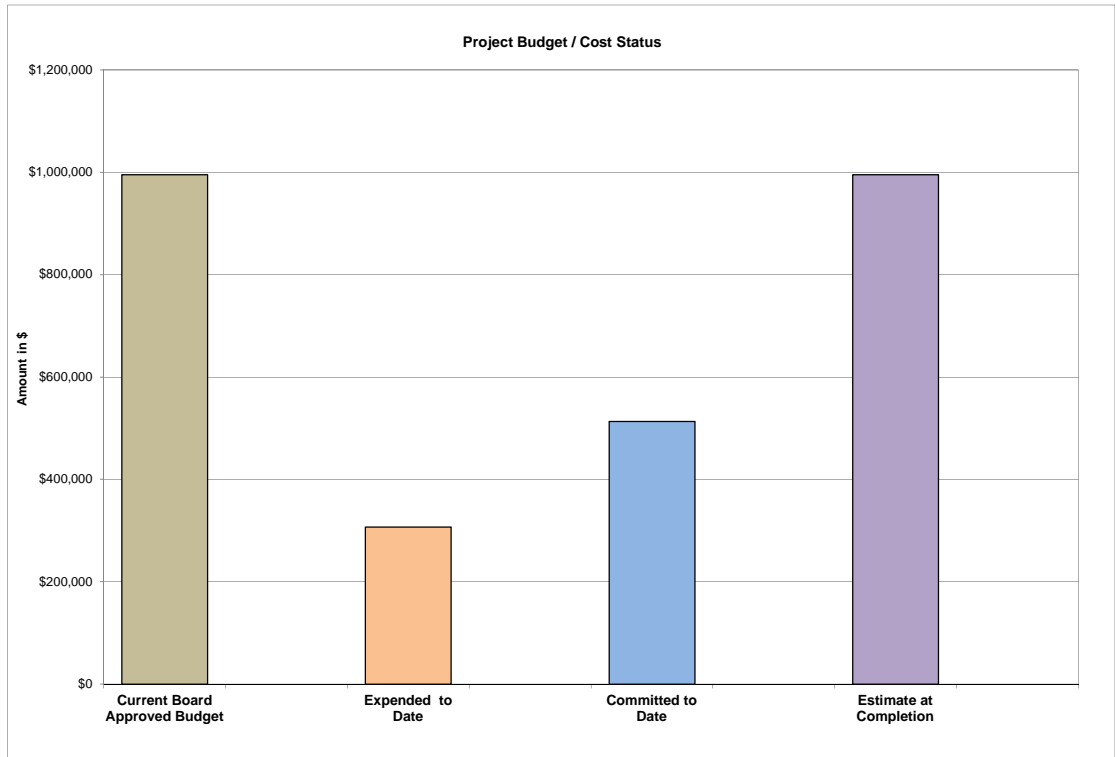
None.

TICKET VENDING MACHINE REHAB PROGRAM PROJECT

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$995,000	\$306,633	\$513,287	\$995,000	\$0



Issues: None.

SAFETY:



No incidents reported this quarter.

WAYSIDE BIKE PARKING IMPROVEMENT PROJECT



SCOPE:



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

Issues:

None.

SCHEDULE:



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

Progress:

Apr - Jun 2020

- (1) Continued correspondence with eLock Technologies for entering into a contract for procurement of e-lockers.
- (2) Completed final design.

Future

Activities:

Jul - Sep 2020

- (1) Finalize correspondence with eLock Technologies for entering into a contract for procurement of e-lockers.
- (2) Complete bid and award.

Issues:

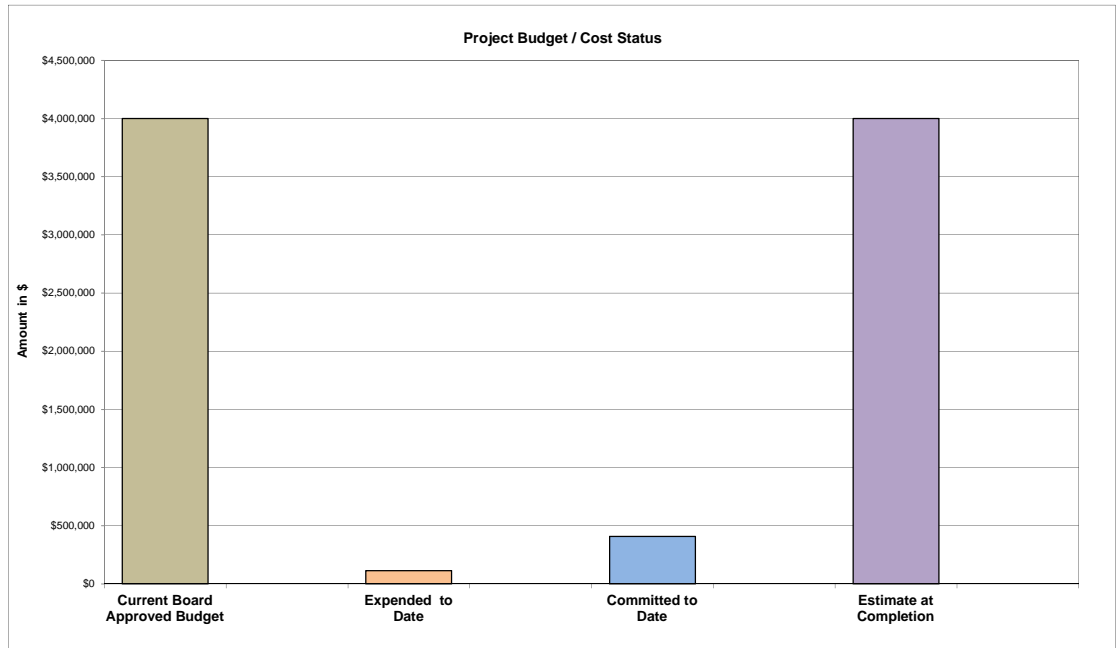
None.

WAYSIDE BIKE PARKING IMPROVEMENT PROJECT

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$4,000,000	\$115,136	\$407,892	\$4,000,000	\$0



Issues: None.

SAFETY:



No incidents reported this quarter.

Caltrain : Disadvantaged Business Enterprise (DBE)

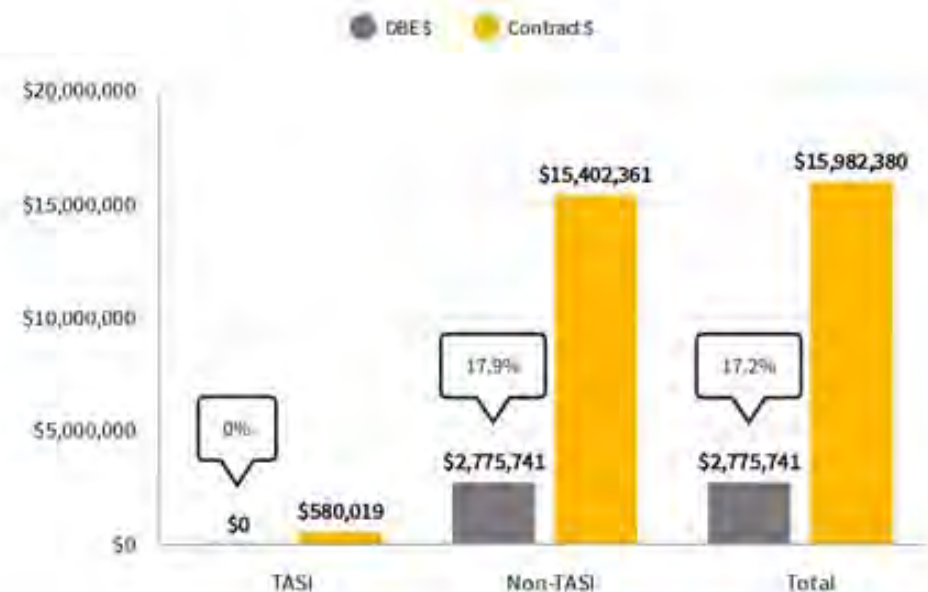
Quarterly Status Report:

- The Caltrain overall DBE goal is 13.5%.
- TASI had zero percent (0%) DBE utilization for the third quarter.
- Q3 DBE participation fell below the goal, however, YTD figures show Caltrain is on trend to exceed the DBE goal.

FFY20 Q3: April 01, 2020 to June 30, 2020



2020 Federal Fiscal Year to Date:



Definition of Terms

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

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

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

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

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

Performance Status (Traffic Light) Criteria

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

Schedule Legend



Completed



Critical path



Baseline/target schedule

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Dora Seamans
JPB Secretary

SUBJECT: **APPOINTMENT/REAPPOINTMENT OF THE CITIZENS ADVISORY COMMITTEE
REPRESENTATIVES AND ALTERNATES**

ACTION

The Board of Directors representing the County of San Francisco and the Santa Clara County Transportation Authority (VTA), recommend the following appointments and reappointments to the Joint Powers Board Citizens Advisory Committee:

- Brian Shaw, as a regular member, representing San Francisco County, to a term ending June 30, 2023
- Kathleen Maxwell, as an alternate member, representing San Francisco County, to a term ending June 30, 2023
- Patricia Leung, as a regular member, representing Santa Clara County, to a term ending June 30, 2023
- Kumar Mathur, as an alternate member, representing Santa Clara County, to a term ending June 30, 2023

SIGNIFICANCE

The CAC Bylaws state:

1. Article 1 – Membership, Section 1: As prescribed by the Peninsula Corridor Joint Powers Board (“JPB” or “Board”), the Citizens Advisory Committee (“CAC” or “Committee”) shall consist of nine (9) members, three appointed from each constituent county (San Francisco County, San Mateo County, Santa Clara County). Each county will select its county committee members and the JPB will affirm these appointments. CAC members should reflect the demographics of Caltrain riders. The Citizens Advisory Committee shall act in an advisory capacity to the JPB. Its activities shall include seeking the views of various groups of users and potential users of Caltrain and ancillary transit facilities; develop proposals and recommendations for meeting the needs of the various groups; reviewing and commenting on staff proposals and actions as requested by the JPB; and assisting the JPB in any matter which the Board may deem appropriate.
2. Article 1 – Membership, Section 2: CAC members shall serve three (3) year terms.

BUDGET IMPACT

There is no impact on the budget.

BACKGROUND

The CAC was established as a JPB advisory group by Resolution No. 1992-28, dated June 3, 1992. The CAC serves as a forum for conveying community information, ideas and comments to the Board. The Board adopted a set of Bylaws under Resolution No. 2002-13, dated May 2, 2002, to formalize the rules of procedure governing the manner in which the CAC functions. The Board amended the Bylaws under Resolution No. 2019-45, dated December 5, 2019, to add one alternate member from each of the Counties to help ensure presence of a quorum in case of periodic CAC member absences and vacancies.

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Peninsula Corridor Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Michelle Bouchard
Chief Operating Officer, Rail

SUBJECT: **APPROVAL OF CALTRAIN PROJECT COMMITMENT LETTERS TO THE
METROPOLITAN TRANSPORTATION COMMISSION FOR PLAN BAY AREA 2050**

ACTION

Staff recommends that the Board approve the attached Project Commitment Letters from the Peninsula Corridor Joint Powers Board (JPB) to the Metropolitan Transportation Commission (MTC) for inclusion of the Caltrain Enhanced Growth Scenario in the MTC Plan Bay Area 2050 (PBA 2050), which is the region's long-range transportation plan.

SIGNIFICANCE

MTC's PBA 2050 is a long-range plan charting the course for the future of the nine-county San Francisco Bay Area in four key areas: the economy, the environment, housing and transportation. This long-range plan is developed and approved by the MTC every four years, and PBA 2050 is scheduled for approval by the MTC and the Association of Bay Area Governments (ABAG) in summer 2021. For most major transportation projects to proceed from conception to implementation, one of the key requirements is their inclusion in and/or consistency with the region's long-range transportation plan.

While the RTP is developed through a multi-year planning process, MTC has recently reached an important milestone and released a proposed "Final Blueprint" for PBA 2050. This Final Blueprint lists the projects that are proposed for inclusion in PBA 2050, and Caltrain's Enhanced Growth Scenario project has been recommended for inclusion in this list.

At the July 22, 2020 Work Program, Legislation and Planning (WPLP) Committee meeting, staff presented an informational item regarding Caltrain's project submission to PBA 2050 and inclusion of the Caltrain Enhanced Growth Scenario in the Final Blueprint for the RTP. The corresponding staff report provided detailed information about the planning process and the Caltrain project, as well as copies of the JPB's project commitment letters that were submitted to MTC. Following the July WPLP

meeting, this informational item was received by the JPB Board of Directors (Board) as part of the consent calendar at the August 6, 2020 meeting.

MTC staff have recently advised that MTC is requiring formal action to provide positive confirmation of the Board's approval of Caltrain's project as documented in the agency's commitment letters.

At the September 2020 JPB meeting, the Board is requested to take action, by motion, to approve the inclusion of the Caltrain Enhanced Growth Scenario project in the Final Blueprint project list and PBA 2050, as documented in the JPB's commitment letters. This will demonstrate Board concurrence with Caltrain's project before the Final Blueprint project list moves forward for approval at the full MTC Commission in early fall.

BUDGET IMPACT

The Board's approval of the project commitment letters for Caltrain's Enhanced Growth Scenario has no budget impact.

BACKGROUND

Submitted by the JPB and recommended for inclusion in the RTP by MTC, the Caltrain Enhanced Growth Scenario includes enhanced service levels to maximize the use of available infrastructure and more fully serve expected market demand on the Caltrain corridor over the next decade and beyond. It will deliver many benefits to the region, including increased capacity to support ridership growth, longer time periods for peak service, and additional service in the off-peak periods. The Caltrain Enhanced Growth Scenario is entirely consistent with the railroad's Long-Term Service Vision.

For additional background and information, the August 2020 JPB meeting materials for this item are attached, including an extensive staff report that documents the Plan Bay Area process, describes Caltrain's project, and includes the agency's project commitment letters to MTC.



BOARD OF DIRECTORS 2020

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JIM HARTNETT
EXECUTIVE DIRECTOR

April 6, 2020

Ms. Alix Bockelman
Deputy Executive Director
Metropolitan Transportation Commission
Association of Bay Area Governments

Subject: Plan Bay Area 2050: Draft Blueprint Framework – Comments on Caltrain-related Projects

Dear Ms. Bockelman:

Caltrain staff would like to thank MTC for sharing the final project performance assessment results and the Draft Blueprint for Plan Bay Area 2050. We recognize that this has taken great time and effort from your staff, and we would like to take this opportunity to provide a revised project submission for Caltrain for inclusion in the Final Blueprint for Plan Bay Area 2050. We believe this submittal, the "Caltrain Enhanced Growth" scenario, addresses all concerns raised by MTC during the performance assessment and provides for an incremental advancement of Caltrain's overall Service Vision that can more readily be accommodated within a fiscally constrained Regional Transportation Plan.

As MTC staff is aware, Caltrain previously submitted three long-term projects to be evaluated through the Horizons/Plan Bay Area 2050 process: the 2040 Caltrain Base Growth Scenario, the 2040 Caltrain Moderate Growth Scenario, and the 2040 Caltrain High Growth Scenario. These three long-term service scenarios were developed through the collaborative, extensive planning process for the Caltrain Business Plan. On October 3, 2019, the Caltrain Board of Directors unanimously adopted the railroad's Long-Range Service Vision, which directs staff to plan for a level of service commensurate with the 2040 Moderate Growth Scenario while simultaneously working with the region and State towards achieving the levels of service envisioned in the 2040 High Growth Scenario.

Our revised project for Plan Bay Area 2050 is an incremental advancement of Caltrain's Long-Range Service Vision. The Caltrain Enhanced Growth Scenario includes enhanced service levels that will maximize the use of available infrastructure and more fully serve expected market demand on the Caltrain corridor over the next decade and beyond. It will deliver many benefits to the region, including increased capacity to support ridership growth, longer time periods for peak service, and additional service in the off-peak periods, at significantly lower costs than the three previously submitted projects (while still remaining entirely consistent with the system's ultimate Long-Range Vision).

As MTC continues to plan for the future of the Bay Area's rail and transit network with Plan Bay Area 2050, we would request that MTC include the Caltrain Enhanced Growth Scenario in its Final Blueprint, along with Caltrain's already-committed projects, including the Peninsula Corridor Electrification Project. In the attached memo, we have provided additional information

about the Caltrain Enhanced Growth Scenario project, as well as our comments and strategies regarding performance issues that were flagged during MTC's Horizons/Plan Bay Area project performance evaluation process. We have also provided illustrative service schedules for the Enhanced Growth Scenario in a second attachment to this letter. The Enhanced Growth Scenario was presented to the Peninsula Corridor Joint Powers Board at their March 2020 meeting and staff described our intent to submit this revised project to MTC as part of the Plan Bay Area process.

Additionally, we would strongly urge that rather than use a project-based approach, MTC employ a regional network approach when selecting projects to include in the Final Blueprint and the fiscally constrained Regional Transportation Plan. The Caltrain Enhanced Growth Scenario is a critical foundation to developing the region's integrated rail network, including the Caltrain Downtown Extension and the San Francisco-Oakland Transbay Rail Crossing. While there are a number of regional and statewide rail planning efforts underway, we believe that the Bay Area's Regional Transportation Plan should support an integrated approach to phasing and developing the region's rail network through its project selection process.

Lastly, we would like to again express our appreciation to MTC staff for their thoughtful and collaborative approach to the significant undertaking of Plan Bay Area 2050 – especially Dave Vautin, Adam Noelting, and Anup Tapase. We would also like to thank Melanie Choy for her ongoing participation in the Caltrain Business Plan process. Caltrain appreciates MTC's partnership, and we are happy to provide further information or discuss this project submittal as needed.

Sincerely,



Jim Hartnett
Executive Director, Caltrain

Attachments:

- Attachment A – Detailed Memo on Caltrain's Revised Project Submission to MTC
- Attachment B – Spring 2020 Update on Caltrain Business Plan (including information on Caltrain's "Enhanced Growth Scenario" as well as connectivity and equity assessment analysis)
- Attachment C – Caltrain Enhanced Growth Scenario: Illustrative Service Schedules for 2022 and 2027

Attachment A: Detailed Memo on Caltrain's Revised Project Submission to MTC

Overview and Background

As MTC staff is aware, Caltrain has been engaged in developing the Caltrain Business Plan over the last two years. This significant and collaborative planning process initially focused on the development of a long-range service vision for the railroad and a companion investment plan for both Caltrain rail service and the larger rail corridor, running from San Francisco through San Jose to Gilroy. On October 3, 2019, the Caltrain Board of Directors unanimously adopted a Long-Range Service Vision for the railroad, which provides high-level policy guidance to evolve the Caltrain corridor and service from a traditional commuter railroad to a regional rail system operating at transit-level frequencies throughout the day. The adopted Service Vision directs staff to plan for a level of service commensurate with the 2040 Moderate Growth Scenario while simultaneously working with the region and State towards development of a larger regional rail system that could include level of train service specified in the 2040 High Growth Scenario.

Since the Long-Range Service Vision was adopted, Caltrain staff has continued to work on the Business Plan to finish rounding out the Service Vision with additional analysis and stakeholder outreach. In particular, we have been focused on additional technical and policy analysis to identify on what incremental improvement Caltrain can achieve over the next decade and the key near-term steps and work that will be needed to make it happen. This has included developing nearer-term service concepts for Caltrain's initial electric service and options for additional, incremental growth and investment in Caltrain service through the 2020s, building towards the Long-Range Service Vision, as well as developing financial projections and funding plans to accompany the updated service concepts. We have also analyzed connections to other transit systems and station access options, and have completed an equity analysis that includes identification of opportunities to improve equitable access to Caltrain. Lastly, we have also been developing a longer-term funding strategy to achieve Caltrain's Long-Range Service Vision, which identifies about \$25 billion in investments along the corridor by Caltrain, cities, and partner agencies. All of these efforts will coalesce in the adoption of the Caltrain Business Plan by the Caltrain Board of Directors, anticipated in summer 2020.

This most recent work on the Caltrain Business Plan has culminated in the development of the "Caltrain Enhanced Growth Scenario," which we are submitting to MTC as a revised project for inclusion in the Final Blueprint of Plan Bay Area 2050 by way of this letter. The Enhanced Growth Scenario is a nearer-term, incremental project that moves the railroad toward achieving Caltrain's adopted Long-Range Service Vision. It includes the provision of enhanced service levels that will maximize the use of available infrastructure and more fully serve expected market demand on the corridor over the next decade and beyond.

We would like to note that because Caltrain is submitting this project for inclusion in the Final Blueprint for Plan Bay Area 2050, it should supersede the three previous Caltrain submissions for the Horizons/Plan Bay Area 2050 process in 2019. At that time, because the Business Plan was still in development and the Caltrain Board of Directors had not yet taken action to adopt a single Service Vision, we submitted the 2040 Baseline Growth Scenario, 2040 Moderate Growth Scenario, and 2040 High Growth Scenario to MTC in 2019 for inclusion in the Horizons/Plan Bay Area 2050 process. These three projects were evaluated as part of the Horizons/Plan Bay Area 2050 project performance assessment, along with two other Caltrain-related projects that

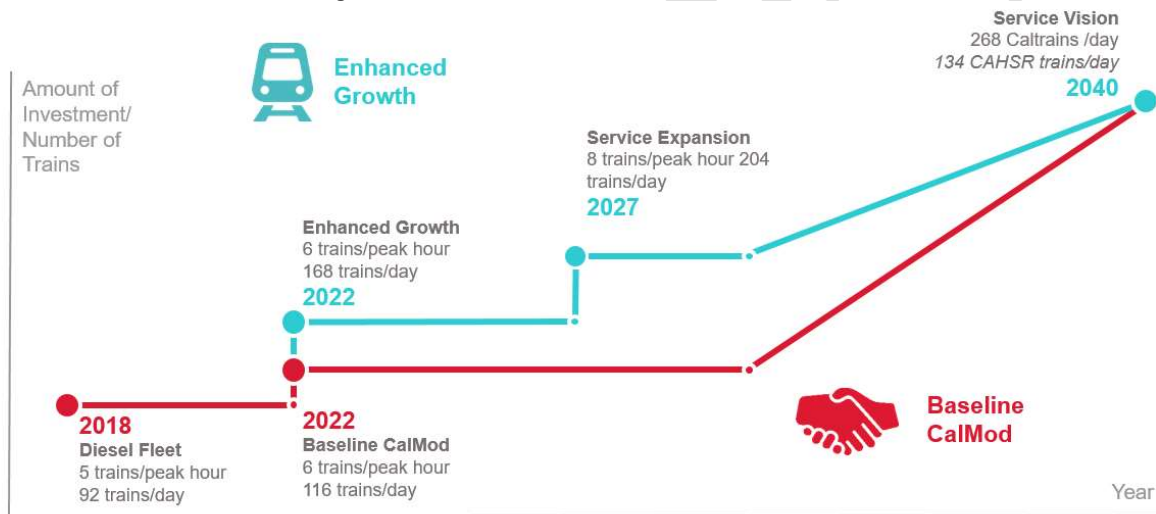
were submitted by partner agencies, the Downtown Extension project and San Francisco-Oakland Transbay Rail Crossing – Commuter Rail.

This memo includes more information about Caltrain’s revised project for Plan Bay Area 2050, the Caltrain Enhanced Growth Scenario, as well as our proposed strategies to address performance issues for Caltrain’s previous project submissions that were flagged by MTC in its initial project performance assessment through the Horizons/Plan Bay Area 2050 process in fall 2019.

Caltrain Enhanced Growth Scenario

As noted above, the Caltrain Enhanced Growth Scenario is an incremental step towards achieving the railroad’s adopted Long-Range Service Vision. With increased service levels that maximize the use of available infrastructure, the Enhanced Growth Scenario will more fully serve the anticipated market demand on the corridor in the 2020s and beyond. Figure 1, below, shows how the Caltrain Enhanced Growth Scenario relates to Caltrain’s baseline commitment to electrification through the CalMod program in terms of both peak and overall weekday service levels.

Figure 1: Overview of the Enhanced Growth Scenario



Like the baseline CalMod project, the Caltrain Enhanced Growth Scenario includes commencing the start of electrified service in 2022 with 6 peak hour trains per hour per direction (7-car trains) in between San Francisco and San Jose, but it also expands peak periods and adds significantly greater levels of off-peak frequency to increase overall service to 168 trains per weekday. This enhanced service meets observed and projected market demand, allows for greater all-day connectivity to the larger regional transit network, and significantly advances equity on the Caltrain corridor by providing high quality off-peak service that meets the needs of customers who wish to use the system for reasons outside of traditional commuting.

The Enhanced Growth Scenario also includes a series of capital investments needed to grow Caltrain service to 8 peak hour trains per hour per direction (utilizing 7-car trains) by the end of the 2020s, increasing the daily service to a total of about 204 trains per day. Key required investments include:

- The full electrification and expansion of Caltrain’s mainline fleet

- The construction of additional train storage
- The improvement of platforms at Caltrain stations to achieve level boarding
- The reconfiguration or elimination of remaining holdout rule stations on the corridor

This service will lead to a massive increase in station stops along the Caltrain corridor, resulting in the significant majority of Caltrain stations receiving service levels of 4- or 8-trains per hour per direction (as compared to just a handful of stations that receive this level of service today). In addition to benefiting the Caltrain corridor communities, the Enhanced Growth Scenario will also benefit the wider Bay Area region. It will allow Caltrain to provide the service and capacity needed to make maximum use of the Downtown Extension once that project is open, and it will be foundational to the development of an integrated regional rail network, including potential future connections with the East Bay via the San Francisco-Oakland Transbay Rail Crossing.

As part of the Caltrain Business Plan, the ridership for the Enhanced Growth Scenario was modeled using the VTA/CCAG regional travel demand model. For the year 2030, two Enhanced Growth Scenarios were modeled – one with the Downtown Extension and one without the Downtown Extension – and the results showed substantial Caltrain ridership gains by directly connecting the railroad to the broader regional transit network via the Downtown Extension. Indeed, the 2030 Caltrain daily ridership was estimated to be around 113,000 riders without the Downtown Extension, while it was estimated to be nearly 143,000 riders with the Downtown Extension open (with 7-car trains constrained to capacity for peak hour/peak direction travel).

The table below summarizes additional details for this project. An illustrative service plan that corresponds to the Enhanced Growth Scenario is included as Attachment B to this memo. If MTC needs any additional information or has any questions regarding this revised project, we would be happy to provide assistance.

Caltrain Enhanced Growth Scenario Details

First Year of Operations	2022 (FY23) for 6, 7-car trains per peak hour per direction (tphpd) (~168 trains per day) 2027 (FY28) for 8, 7-car trains per peak hour per direction (~204 trains per day)
Annual O&M Costs in 2022 (corresponding to first year of electrified service with 6 tphpd)	\$245.43 million (\$YOE)
Annual O&M Costs in 2027 (corresponding to first year of 8 tphpd service)	\$329.53 million (\$YOE)
Capital Investment	No additional capital investment is needed for the 2022 service with 6 tphpd beyond committed/funded capital projects. Additional capital investment is needed to commence 2027 service with 8 tphpd, including: additional EMU fleet; level boarding at station platforms; more train storage; minor track work; station improvements; and hold-out rule elimination at two stations.
Total Capital Investment Cost (excluding committed, funded projects) (\$2019)	\$1.211 billion for new enhancements to achieve 8 tphpd service by 2027

First Year of Construction (for additional capital investments)	2022 (FY23) (corresponding to improvements needed for 8 tphpd service)
Committed Funding (Capital)	\$564 million from Santa Clara, San Mateo Counties (\$314 million from Measure B in Santa Clara County \$250 million from Measure A in San Mateo County and an amount to be determined from San Francisco)

Strategies to Address Performance Flags

In the project performance assessment completed by MTC in 2019, Caltrain’s three submitted projects performed well in some regards, but also received flags for performance issues related to the Benefit-Cost Ratio Evaluation, Guiding Principles Evaluation, and Equity Evaluation. The sections below summarize our understanding of why these issues were flagged and includes our proposed strategies to address performance issues identified and to resolve any concerns about including this revised project in the Final Blueprint for Plan Bay Area 2050. If MTC staff would like additional information or has any questions, we would be happy to meet to discuss.

Benefit-Cost Ratio Evaluation

In the quantitative Benefit-Cost Ratio (BCR) Evaluation, all three of Caltrain’s projects scored between <0.5 and 1.0, with the best performances under the “Clean and Green” Future. Our submittals were flagged because their BCR scores did not exceed 1.0. Our understanding is that high capital costs for each of the previously submitted projects contributed to high lifecycle costs relative to MTC’s calculation of lifecycle benefits, thus resulting in lower BCR scores in MTC’s calculations.

The Caltrain Enhanced Growth Scenario addresses this performance issue by adjusting the variable that contributed to the lower BCR scores: the capital costs. Similar to the previous projects that the agency submitted in 2019, the Caltrain Enhanced Growth Scenario increases train service levels on the corridor, yet it has substantially lower capital costs compared to the three previously submitted projects. In fact, the Enhanced Growth Scenario capitalizes on infrastructure investments that are already committed and/or are being implemented on the Caltrain corridor, and its suite of additional capital investments include only those that are directly needed to support growth in train service to 8 peak hour trains per hour per direction. These investments are still fully consistent with the long-term build out envisioned in Caltrain’s Service Vision but represent a more modest incremental step. The Enhanced Growth Scenario’s capital investments total approximately \$1.2 billion – a fraction of the capital costs associated with Caltrain’s previous project submissions (previously, the lowest capital costs were approximately \$22 billion, associated with the 2040 Baseline Growth Scenario).

Of the previously submitted projects, we would estimate that the revised Enhanced Growth Scenario is most closely compared to the 2040 Baseline Growth Scenario, and by MTC’s calculations, it had lifecycle benefits in the range of \$3-5 billion (variable by Future). Even though the lifecycle benefits would likely be slightly less than this for the Caltrain Enhanced Growth Scenario (due to slightly lower service levels than the 2040 Baseline Growth Scenario), it is likely that the lifecycle benefits would be greater than the lifecycle costs for the revised project, resulting in a BCR score that would exceed 1.0.

Ultimately, with the significantly lower capital costs and with large benefits still accruing due to substantial increases in Caltrain service on the corridor, we would strongly expect that the

Enhanced Growth Scenario's BCR score would exceed 1.0, thus addressing the BCR Evaluation's flagged performance issue.

Guiding Principles Evaluation

In the qualitative Guiding Principles Evaluation completed by MTC, all three of Caltrain's projects were flagged for two of the five Guiding Principles that were developed for MTC's Horizons process. The flags were received for "Diverse – does the project displace lower-income residents or divide communities (as a direct impact of project construction)?" and "Vibrant – does the project directly eliminate jobs?" It is our understanding that all three of the projects received these performance flags for these Guiding Principles because each of them included grade separation projects as part of their suite of capital investments on the corridor. In discussions with MTC staff, we learned that the assessment assumed that construction of the grade separation projects would result in direct displacement of at least 100 low income people and 100 jobs across the Caltrain corridor – thus resulting in the performance flags for Diverse and Vibrant Guiding Principles.

While the strategies to address these performance issues are discussed below, we would like to highlight several conceptual and methodological concerns about MTC's original assessment for the Guiding Principles. It is important to note that the vast majority of the grade separation projects that were included in the three previously submitted projects are not required by State or federal law, but have been self-identified as a high priority for many of the communities along the Caltrain corridor; in fact, many of the communities have made clear that these grade separation projects are essential to supporting greatly expanded rail service along the Caltrain corridor. It is our understanding that the many benefits of grade separation projects were largely not captured in MTC's modeling nor considered in the Guiding Principles Evaluation – and these benefits are the primary reason that many communities have prioritized these large capital projects, and thus why they were included in the long-range investment plans for the three projects. This includes benefits like improved travel times for surface transportation modes as well as rail travel, improved transit reliability, reduced congestion for vehicular traffic, reduced air pollutants and greenhouse gas emissions, improved pedestrian and bicycle connectivity, etc.

Uncaptured benefits aside, we would also suggest that it is too early in the planning process to make a conclusive assessment about any grade separation project's effects on low-income residents and jobs. It is possible that displacement of residents could occur with construction of these potential future grade separation projects, but at this point in time, the demographics of any potentially displaced residents are unknown. Similarly, it is difficult to assess these potential future projects' net impact on jobs, because while it is possible that some jobs may be displaced as a result of constructing grade separation projects, these large construction projects also bring many high quality jobs to local communities. Indeed, these potential displacement impacts on jobs and residents would be identified and efforts to address any issues would be included in the collaborative, extensive community planning process that each grade separation project undergoes on the corridor. For these reasons, it is difficult to make a final determination that grade separation projects would conclusively raise performance issues with the Diverse and Vibrant Guiding Principles as defined by MTC.

Because all three of Caltrain's previously submitted projects did receive these performance flags for Diverse and Vibrant Guiding Principles in MTC's evaluation, however, we believe it is important to propose strategies for addressing these performance concerns. First, the Enhanced Growth Scenario does not include any grade separation projects in its suite of capital investments. That said, grade separation projects are important to many of the communities

along the Caltrain corridor, and many cities are actively planning for grade separation projects in the coming decades; therefore, they remain part of Caltrain's Long-Term Service Vision. To that end, Caltrain is committed to supporting cities in community-based planning processes for each grade separation project along the corridor; this collaborative, extensive community planning process will be critical to ensuring the projects have minimal displacement impacts to both residents and jobs along the corridor, as well as to ensuring that the many benefits that result from these projects are maximized for the corridor's communities and the region.

Additionally, it is important to note that the Caltrain Board of Directors very recently adopted a Rail Corridor Use Policy and a Transit-Oriented Development Policy, providing the agency with high-level policy guidance that is supportive of additional development along the Caltrain corridor, especially affordable housing. In the planning processes for the Rail Corridor Use Policy and Transit-Oriented Development Policy, the Caltrain Board also recognized that there could be opportunities to integrate development projects directly into future grade separation projects, which is an option that the agency is committed to exploring through the capital planning processes for future projects. Ultimately, Caltrain is supportive of the future provision of additional development projects in its corridor communities, which could provide new physical space for residents and jobs and could help counter any potential future displacement impacts to jobs and low-income residents that could occur as a result of grade separation projects along the corridor. To that end, in addition to planning for individual grade separations, Caltrain is also planning to undertake a comprehensive, corridor-wide grade separation strategy. This comprehensive study has already been funded and will begin in 2020. This process will allow Caltrain to consider issues of development opportunities, displacement, and construction impacts from a deliberative, policy-based perspective on a corridor-wide basis.

In these ways, the Caltrain Enhanced Growth Scenario and the agency's other committed policy and planning process approaches address the performance concerns raised by MTC for "Diverse" and "Vibrant" Guiding Principles.

Equity Evaluation

In its Equity Evaluation for the project performance assessment, MTC rated projects as "advances," "even," or "challenges" for equity scores. Caltrain's three previously submitted projects all scored either "even" or "challenges" in each of the three Futures that were evaluated through the Horizons/Plan Bay Area 2050 process. We understand that projects that received a score of "challenges" equity were determined to have project benefits that skewed towards higher income individuals, while "even" equity scores were given to projects that were determined to have an even distribution of benefits to all income groups. In conversations with MTC staff, we understood that Caltrain's projects received "challenges" equity scores because the agency has generally higher fares, its ridership skews towards higher income demographic groups, and the geography of the railroad and the demographics of the Caltrain corridor communities mean that the benefits from Caltrain's three projects accrue in higher income communities.

Similar to the Guiding Principles Evaluation, before discussing proposed strategies to address the performance issues, we wish to highlight a concern with the project performance assessment approach that contributed to Caltrain's projects receiving equity performance concerns. We would question whether incorporating existing fare structures into the equity analysis process is a methodologically sound approach. Because Caltrain does not currently have a dedicated source of funding, the agency is highly dependent on the farebox to fund operations, and this fact has driven much of the Caltrain Board's decision-making regarding fares. Ultimately, for transit systems in the Bay Area, fares are a funding and revenue tool, and

introducing these into the equity analysis creates an inherent bias against certain types of systems and proposed projects. More specifically, it creates a bias against systems and projects that have been forced to address funding issues through fares today. Our concern is that many of the other proposed projects in the region that were included in the project performance assessment are too “new” and speculative to have worked through realistic funding plans, and the project performance assessment may have been overly and unwarrantedly optimistic about the assumed fares and related equity concerns for these other projects. In other words, our concern is that Caltrain projects may have received a flag for equity performance issues related to fares, while other proposed projects may not have received the same treatment, because they may not be in a similar current funding situation as Caltrain, or because they may not be far enough along in the planning process to have developed a realistic funding plan and identified the role of fares in funding future operations.

Even if fares were excluded from the project performance assessment for equity, however, all three of Caltrain’s previously submitted projects would have still received equity performance issues, and we believe it is important to propose strategies to address these concerns.

Beginning with actions that the agency is taking today to improve equity, Caltrain is working closely with three other transit operators and MTC to lead the region in actively addressing fare equity concerns by piloting a regional means-based fare program, Clipper START. Through this program, which will commence in spring 2020, Caltrain will be offering a 20 percent discount to eligible participants in the pilot program, and the intended effect from Caltrain’s participation is to make the railroad more accessible and affordable to lower income transit riders in the region. Additionally, Caltrain is actively participating along with other operators and MTC in the newly launched Regional Fare Coordination and Integration Study, which aims to identify strategies to increase transit ridership and create a more seamless user experience on the region’s transit systems. While the fare strategies and recommendations from this study are still forthcoming, Caltrain is fully committed to participating in the study and exploring implementation of improvements that would increase transit ridership and improve the user experience across the region.

Separately from those efforts, we are working on an equity analysis as part of the Caltrain Business Plan to look for additional opportunities to make the railroad more equitable and accessible to all our community members. While still underway, preliminary results from this equity analysis indicate that one leading strategy that would be very effective in attracting additional minority and low income passengers to Caltrain would be to change the current concentration of train service in the peak commute periods by offering more off-peak service. The Caltrain Enhanced Growth Scenario would accomplish this as soon as 2022 with a service plan that extends the length of the peak period windows, increases the number of trains operating in off-peak service windows, and increases the total number of trains running each day, resulting in a more equitable service than today. These service improvements would only be enhanced in the late 2020s, when the Enhanced Growth Scenario plans to grow to 8 trains per peak hour per direction, thus delivering even more equity improvements for the railroad.

Preliminary results from the equity analysis that is underway for the Business Plan also indicate that Caltrain’s low income and minority passengers are particularly likely to use transit to connect to and access the Caltrain system. Transit connections to other operators remain a challenge for the railroad today, due to its highly individualized service patterns in each direction and concentration of service in the peak period windows. Improving transit connectivity is another important opportunity to make Caltrain more accessible and attractive to low-income and minority passengers. As soon as 2022, the Enhanced Growth Scenario would accomplish this by creating a more standardized schedule for the trains with a repeating, clockface pattern

and symmetrical services in both the north-bound and south-bound directions. Not only will this more standardized schedule be more user-friendly, it will also allow for improved connections with the rest of the region's rail and transit network, including better bus integration throughout the whole system. On a related note, it is anticipated that with the Enhanced Growth Scenario in the Caltrain Business Plan, we will recommend focusing access improvements on non-auto modes at the stations, which are the modes of station access and egress that are more likely to be used by lower income passengers.

Lastly, as noted above, the Caltrain Board of Directors very recently adopted a Transit-Oriented Development Policy. This high-level policy document contains goals and strategies that support provision of affordable housing along the Caltrain corridor, including requiring Caltrain-led residential development projects to provide affordable housing on site. Per the adopted policy, residential development projects on the agency's property will be required to offer at least 30 percent of units on-site at below-market rents – one of the highest on-site requirements of any transit agency in the country. Caltrain is showing leadership on the equity front by requiring that in each project, at least 10 percent of units be targeted to households with incomes of no more than 50 percent of Area Median Income (AMI), at least 10 percent of units be targeted to households with incomes of no more than 80 percent of AMI, and at least 10 percent of the units be targeted to households with incomes of no more than 120 percent of AMI. The adopted policy also directs the agency to partner with developers to leverage other sources of affordable housing and to explore creative ways to utilize smaller opportunity sites along the Caltrain corridor for affordable housing. With this recently adopted policy, Caltrain is continuing to show leadership and commitment to equity by supporting the creation of more affordable communities along the Caltrain corridor.

In summary, Caltrain is endeavoring to create a more equitable transit system through a variety of programs, strategies, and policy approaches, as well as through the quality of its service in the Enhanced Growth Scenario project, ultimately addressing the underlying equity concerns that caused Caltrain's three projects to receive "performance flags."



BOARD OF DIRECTORS 2020

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JIM HARTNETT
EXECUTIVE DIRECTOR

June 30, 2020

Scott Haggerty

Chair, Metropolitan Transportation Commission, and

Therese McMillan

Executive Director, Metropolitan Transportation Commission and Association of Bay Area Governments

Bay Area Metro Center

375 Beale Street, Suite 800

San Francisco, CA 94105-2066

Subject: Inclusion of the Caltrain Enhanced Growth Project and the Caltrain Downtown Rail Extension (DTX) Period 1 of Plan Bay Area 2050

Dear Chair Haggerty and Executive Director McMillan:

Caltrain is pleased that the Plan Bay Area 2050 (PBA 2050) process continues to advance toward final completion and adoption by the Metropolitan Transportation Commission (MTC). PBA 2050 will help ensure that the entire Bay Area has a future land use and transportation network that is equitably, environmentally, and economically sustainable. As a region, we can achieve this goal by continually encouraging travel to shift away from motor vehicles to transit. Passenger rail will continue to be the most effective mode of transit, moving the most people efficiently in the smallest amount of space.

I am writing to request that the Caltrain Enhanced Growth Project be included in Period 1 of PBA 2050, and to also express our support for including the Caltrain Downtown Rail Extension (DTX) in Period 1 of PBA 2050. Development of both projects as early as possible is consistent with Caltrain's 2040 Long Range Service Vision, the Transbay Joint Powers Authority's project schedule, and the California High Speed Rail Authority's (CHSRA) 2020 Draft Business Plan. These projects are essential to the development of a robust regional rail network in the Bay Area.

Request for Inclusion of the Caltrain Enhanced Growth Project in Period 1

As the seventh-largest commuter rail service in the United States, Caltrain is in the midst of the most significant change to transit that the Peninsula has ever experienced. The Peninsula Corridor Electrification Project (PCEP), currently underway, will drastically re-make transit service on the Peninsula and will facilitate a change from a peak-hour focused traditional

commuter rail service to an urban regional rail system with shorter headways, greater frequency, and more capacity. This new service will continue to attract riders, generating significant demand as forecasted through the Caltrain Business Plan development process.

Accommodating this forecasted demand will require additional capital investments that build on and leverage the foundational infrastructure created by PCEP, including the full electrification and expansion of the fleet as well as key upgrades to rail and systems infrastructure. These investments will facilitate tighter running of trains and more responsive service patterns to meet more markets, enabling Caltrain to serve a growing and broader cross-section of riders than have used the system in the past.

Therefore, **it is imperative that the Caltrain Enhanced Growth Project be included in Period 1 (2021-2035) of PBA 2050** for two primary reasons—both of which are directly related to growth in our services over the next decade.

Growing Ridership and Diversifying our Customer Base

Caltrain's ridership projections (developed as part of the Caltrain Business Plan process) show that the demand for rail service on the Peninsula will begin to push against the limits of our system by the end of the decade. The infrastructure improvements identified as part of the Caltrain Enhanced Growth Project will allow us to add capacity to the system, meet expanded service expectations, and expand frequent, transit-level service to more communities (including Communities of Concern) along the corridor.

This projection is further supported by Caltrain's upcoming Equity, Connectivity, Recovery and Growth Framework (to be presented to the JPB in draft on July 9). This policy document has been developed through the Business Plan process and will formally establish Caltrain's commitment to attract and accommodate new riders from underserved markets across the Peninsula. With improvements such as a revised timetable that promotes more seamless transfers between modes such as BART and bus, 50% discounts for low income riders through the Clipper START program, and improved access to Communities of Concern throughout the corridor, Caltrain is confident that our ridership will diversify and grow throughout the decade. The PCEP project will begin Caltrain's transformation to a true, regional rail service but the frequencies and capacity made possible through the Enhanced Growth Project will truly bring this level of transformative rail access and service to all communities on the Peninsula.

Value for Money Opportunity to Acquire More Electric Multiple Unit Vehicles (EMUs)

In addition to the imperative to grow ridership and expand our customer base, Caltrain has a time-sensitive option to purchase additional EMUs that will allow us to fulfill the service requirements described above. These new EMUs will be critical to reduce potential for crowding, facilitate more frequent and flexible service, and provide a clean, uniform 100% electrified fleet.

Notably, we understand that a key consideration for placement in Period 1 is funding availability. As recently noted, June 2020 polling across San Francisco, San Mateo, and Santa Clara Counties demonstrates that Caltrain's proposed 1/8 cent sales tax (Senate Bill 797) has a strong chance of voter approval in November 2020. This will provide Caltrain with its first-ever source of on-going revenue, independent of fares and annual contributions from our member counties. To maximize the effectiveness of the passage of SB797 as a more reliable source of funding (including potentially local match funds) for time-sensitive investments in the Peninsula's rail network, we reiterate that **it is critical that the Caltrain Enhanced Growth Project be included in Period 1 of Plan Bay Area 2050**, from 2021-2035.

Support for Inclusion of the Downtown Extension Project in Period 1

As noted in the Caltrain Business Plan and the 2018 California State Rail Plan, the DTX project is a critical missing link within the Bay Area's rail network. As a major Bay Area connector, DTX will fully realize Caltrain's investments in PCEP and the Enhanced Growth Project and will reinforce the region's prior commitments to the Salesforce Transit Center and BART/Muni corridor by delivering commuter and future high-speed rail service to downtown San Francisco from the Peninsula and Los Angeles, respectively. The DTX is also positioned to serve as the potential first leg of a new Transbay Rail Crossing to the East Bay.

Once DTX is completed, the Salesforce Transit Center will realize its fullest potential by bringing an impressive number of regional and state transit systems under one roof, linking Caltrain and high-speed rail with nine other transit operators: AC Transit, BART, Golden Gate Transit, SFMTA Muni, SamTrans, WestCAT Lynx, Amtrak, Greyhound, as well as local paratransit service. The project will close a major gap in the Bay Area's transportation system with accessibility benefits for up to 90,000 new and existing Caltrain and high-speed rail passengers in addition to new and existing bus riders by 2040. It will relieve gridlock on US101/I-80, one of the most congested corridors in the Bay Area, and anchor growth in one of the region's most robust and diverse Priority Development Areas, the Downtown SF/South of Market/Mission Bay area. Bringing rail to the Transit Center also leverages the region's prior investment in the Transit Center, maximizes its current investment in Caltrain's electrification, and is key to the long-term financial stability of the Transit Center, providing much needed relief to MTC and local transit operators who heavily subsidize transit center operations presently.

The Caltrain system stands to benefit tremendously from the completion of DTX, particularly when this investment is paired with the full electrification and expansion of fleet as proposed in the Caltrain Enhanced Growth Project. We thus believe it **is also critical that DTX be included in Period 1 of Plan Bay Area 2050**, from 2021-2035.

Scott Haggerty
Therese McMillan
June 30, 2020
Page 4 of 4

Thank you for your consideration of these requests. We look forward to collaborating to improve connectivity for current and future transit riders across the Bay Area region, Northern California mega-region, and throughout the state.

Sincerely,



Jim Hartnett
Executive Director

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board
THROUGH: Jim Hartnett
Executive Director
FROM: Derek Hansel
Chief Financial Officer

SUBJECT: **STATEMENT OF REVENUES AND EXPENSES FOR THE PERIOD ENDING
JULY 31, 2020**

ACTION

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

This staff report provides a brief discussion of significant items and trends on the attached Statement of Revenues and Expenses through July 31, 2020. The statement has been designed to follow the Agency-wide line item rollup as included in the adopted budget. The columns have been designed to provide easy comparison of year-to-date prior to current actuals for the current fiscal year including dollar and percentage variances. In addition, the CARES ACT fund (page 1, line 52) is separately presented for the current Fiscal Year 2021.

SIGNIFICANCE

Year to Date Revenues: As of July year-to-date actual, the Total Revenue (page 1, line 17) is \$7 million lower than the prior year. This is primarily driven by Farebox Revenue (page 1, line 1), Parking Revenue (page 1, line 2) and Other Income (page 1, line 5).

Year to Date Expenses: As of July year-to-date actual, the Grand Total Expense (page 1, line 48) is \$1.6 million lower than the prior year-to-date actual. This is primarily due to decreases in Rail Operator Service (page 1, line 23), Fuel and Lubricants (Page 1, line 26), Wages and Benefits (page 1, line 37) which also includes reduction of \$861,410 (48%) in the payments for unfunded CalPERS and Other Post Employment Benefits (OPEB) liability (this expense will not recur throughout the year). The decreases are partially offset by increases in Insurance (page 1, line 28) and Claims, Payments, and Reserves (page 1, line 29).

BUDGET IMPACT

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

STRATEGIC INITIATIVE

This item does not achieve a strategic initiative.

Prepared By : Thwe Han, Accountant II 650-508-7912
Jennifer Ye, Manager, General Ledger 650-622-7890

PENINSULA CORRIDOR JOINT POWERS BOARD

STATEMENT OF REVENUE AND EXPENSE

Fiscal Year 2021

July 2020

% OF YEAR ELAPSED

8.3%

	YEAR TO DATE				CURRENT YTD as a %	JULY-SEPTEMBER			
	PRIOR ACTUAL	CURRENT ACTUAL	\$ VARIANCE	% VARIANCE		APPROVED BUDGET	FORECAST	\$ VARIANCE	% BUDGET
REVENUE									
OPERATIONS:									
1 Farebox Revenue	9,136,916	2,953,576	(6,183,340)	(67.7%)	36.8%	8,015,496	8,015,496	-	0.0%
2 Parking Revenue	498,563	42,187	(456,376)	(91.5%)	33.3%	126,782	126,782	-	0.0%
3 Shuttles	98,166	97,545	(620)	(.6%)	26.5%	368,000	368,000	-	0.0%
4 Rental Income	179,776	83,036	(96,740)	(53.8%)	24.2%	343,026	343,026	-	0.0%
5 Other Income	237,275	1,784	(235,491)	(99.2%)	0.5%	382,137	382,137	-	0.0%
6									
7 TOTAL OPERATING REVENUE	10,150,696	3,178,128	(6,972,568)	(68.7%)	34.4%	9,235,441	9,235,441	-	0.0%
8									
9 CONTRIBUTIONS:									
10 AB434 Peninsula & TA Shuttle Funding	158,894	132,803	(26,091)	(16.4%)	30.8%	431,300	431,300	-	0.0%
11 Operating Grants	443,958	379,221	(64,737)	(14.6%)	33.4%	1,135,439	1,135,439	-	0.0%
12 JPB Member Agencies	7,951,355	8,041,951	90,596	1.1%	66.9%	12,020,136	12,020,136	-	0.0%
13 Use of Reserves	-	-	-	0.0%	0.0%	-	-	-	0.0%
14									
15 TOTAL CONTRIBUTED REVENUE	8,554,207	8,553,975	(232)	0.0%	63.0%	13,586,875	13,586,875	-	0.0%
16									
17 GRAND TOTAL REVENUE	18,704,902	11,732,103	(6,972,799)	(37.3%)	51.4%	22,822,316	22,822,316	-	0.0%
18									
19									
20 EXPENSE									
21									
22 OPERATING EXPENSE:									
23 Rail Operator Service	7,557,725	7,336,081	(221,644)	(2.9%)	29.5%	24,850,000	24,850,000	-	0.0%
24 Security Services	479,852	468,000	(11,852)	(2.5%)	27.4%	1,705,477	1,705,477	-	0.0%
25 Shuttle Services	338,514	293,201	(45,313)	(13.4%)	42.2%	694,000	694,000	-	0.0%
26 Fuel and Lubricants	951,820	310,790	(641,031)	(67.3%)	18.8%	1,650,270	1,650,270	-	0.0%
27 Timetables and Tickets	-	-	-	0.0%	0.0%	22,500	22,500	-	0.0%
28 Insurance	360,496	472,867	112,371	31.2%	9.3%	5,100,000	5,100,000	-	0.0%
29 Claims, Payments, and Reserves	(125,456)	2,500	127,956	(102.0%)	1.1%	237,948	237,948	-	0.0%
30 Facilities and Equipment Maintenance	49,659	68,531	18,873	38.0%	5.9%	1,153,630	1,153,630	-	0.0%
31 Utilities	68,567	146,277	77,709	113.3%	21.7%	673,675	673,675	-	0.0%
32 Maint & Services-Bldg & Other	4,170	11,108	6,939	166.4%	2.6%	430,873	430,873	-	0.0%
33									
34 TOTAL OPERATING EXPENSE	9,685,346	9,109,354	(575,992)	(5.9%)	24.9%	36,518,373	36,518,373	-	0.0%
35									
36 ADMINISTRATIVE EXPENSE									
37 Wages and Benefits	2,483,615	1,654,349	(829,266)	(33.4%)	50.1%	3,299,828	3,299,828	-	0.0%
38 Managing Agency Admin OH Cost	312,158	328,064	15,907	5.1%	25.7%	1,274,516	1,274,516	-	0.0%
39 Board of Directors	1,361	1,556	195	14.4%	14.1%	11,025	11,025	-	0.0%
40 Professional Services	100,522	37,488	(63,034)	(62.7%)	5.8%	644,633	644,633	-	0.0%
41 Communications and Marketing	5,771	-	(5,771)	(100.0%)	0.0%	75,375	75,375	-	0.0%
42 Other Office Expenses and Services	142,544	30,272	(112,271)	(78.8%)	5.3%	570,079	570,079	-	0.0%
43									
44 TOTAL ADMINISTRATIVE EXPENSE	3,045,970	2,051,729	(994,241)	(32.6%)	34.9%	5,875,456	5,875,456	-	0.0%
45									
46 Long Term Debt Expense	241,483	225,255	(16,228)	(6.7%)	37.8%	595,438	595,438	-	0.0%
47									
48 GRAND TOTAL EXPENSE	12,972,799	11,386,339	(1,586,461)	(12.2%)	26.5%	42,989,267	42,989,267	-	0.0%
49									
50 NET SURPLUS / (DEFICIT)	5,732,103	345,765	(5,386,338)	(94.0%)	(1.7%)	(20,166,951)	(20,166,951)	-	0.0%
51									
52 Application of CARES Act Fund/Reserves	-	-	-	-	-	-	-	-	0.0%



BOARD OF DIRECTORS 2020

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

PENINSULA CORRIDOR JOINT POWERS BOARD

INVESTMENT PORTFOLIO

AS OF JULY 31, 2020

JIM HARTNETT
EXECUTIVE DIRECTOR

TYPE OF SECURITY		MATURITY DATE	INTEREST RATE	PURCHASE PRICE	MARKET RATE
Local Agency Investment Fund (Unrestricted)	*	Liquid Cash	0.920%	36,687	36,687
County Pool (Unrestricted)		Liquid Cash	1.623%	551,171	551,171
Other (Unrestricted)		Liquid Cash	0.050%	83,970,824	83,970,824
Other (Restricted)	**	Liquid Cash	0.050%	13,355,775	13,355,775
				\$ 97,914,457	\$ 97,914,457

Interest Earnings for July 2020 \$ 4,833.54
Cumulative Earnings FY2021 \$ 4,833.54

* The market value of Local Agency Investment Fund (LAIF) is calculated annually and is derived from the fair value factor as reported by LAIF for quarter ending June 30th each year.

** Prepaid Grant funds for Homeland Security, PTMISEA and LCTOP projects, and funds reserved for debt repayment. The Portfolio and this Investment Report comply with the Investment Policy and the provisions of SB 564 (1995). The Joint Powers Board has the ability to meet its expenditure requirements for the next six months.

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Derek Hansel
Chief Financial Officer

Michelle Bouchard
Chief Operating Officer, Rail

SUBJECT: **AWARD CONTRACT FOR MAINTENANCE AND SUPPORT OF I-ETMS POSITIVE TRAIN CONTROL SYSTEM**

ACTION

The Staff Coordinating Council recommends the Board:

1. Award a contract to Wabtec Railway Electronics, Inc. (Wabtec) for a not-to-exceed amount of \$11,629,615, to maintain and support the Interoperable Electronic Train Management System (I-ETMS) on which Caltrain's Positive Train Control System (PTC) is based for a three-year Base Term (Initial Term) at the negotiated prices, inclusive of escalation, specified in the proposal.
2. Authorize the Executive Director, or his designee, to execute a contract with Wabtec for the Initial Term in a form approved by legal counsel, including provisions for annual reviews.
3. Authorize the Executive Director or his designee to exercise annual renewals of the agreement after the Initial Term if in the Peninsula Corridor Joint Powers Board's (JPB) best interest following annual performance reviews.

SIGNIFICANCE

This contract will provide the JPB with a single comprehensive maintenance and support services agreement for the key component of Caltrain's Positive Train Control System. Wabtec is the only vendor able to provide maintenance and support services for its proprietary I-ETMS.

BUDGET IMPACT

The recommended actions establish a contract budget in the amount of \$11,629,615. Funding for the first year is included in the Fiscal Year 2021 Operating Budget and PTC project capital budget, and future funding will be supported through the annual Operating Budget process.

BACKGROUND

In September 2008, a Union Pacific freight train collided head-on with a Metrolink commuter train in the Chatsworth District of Los Angeles, causing 25 fatalities and many

more injuries. Shortly thereafter, Congress enacted the Rail Safety Improvement Act of 2008 (RSIA), requiring all class 1 freight and commuter railroads to implement Positive Train Control (PTC) systems. PTC is a term created by the Federal Railroad Administration to describe an advanced technology train collision/train derailment avoidance system. A PTC system uses advanced technology and safety-critical predictive enforcement to automatically engage the brakes and stop a train in advance of (1) potential train-to-train collision, (2) train over-speed, (3) unauthorized train entry into a track work zone, and (4) train movement through a misaligned switch.

In response to the RSIA, and after a lengthy competitive process, the JPB awarded Contract 10-PCJPB-T-021 to Parsons Transportation Group (Parsons) to implement the JPB's PTC system on October 6, 2011. Effective February 22, 2017, the JPB terminated its contract with Parsons for nonperformance.

After exhaustive evaluations and efforts, the JPB Board of Directors (Board) awarded a contract to Wabtec for the completion of Caltrain's PTC system on March 1, 2018 pursuant to Resolution 2018-11. In 2019, Caltrain completed Field Integrated Testing and Field Qualification Testing for full track and commenced Revenue Service Demonstration on September 7, 2019. Caltrain has been in Extended Revenue Service Demonstration since January of 2020 and has been fully interoperable with all tenant railroads since February of 2020. Caltrain submitted the final PTC Safety Plan on June 25, 2020 and will receive system certification by December 2020.

Currently, the I-ETMS software and off-the-shelf hardware are under warranty with Wabtec, which is set to expire on September 6, 2020. After that date, the JPB will need continued maintenance and support of this critical system.

Under Federal rules, a sole source contract award is justified if a single vendor has the unique capability to perform needed services, in particular when Intellectual property rights preclude competition and the contract is for continued development of a highly specialized system like I-ETMS PTC. The Wabtec I-ETMS software and certain hardware are proprietary. Only Wabtec has the knowledge, experience, and the software rights to provide maintenance and support services for the Caltrain PTC system.

Staff and Wabtec have been in discussions to provide ongoing maintenance and support services once the system is accepted and out of warranty. As a result of these discussions, Staff and Wabtec have reached agreement on the needed scope of services, pricing, the terms of the agreement, and all other business terms. The scope of services included in the base price is as follows:

- PTC product support and defect resolution services;
- PTC system restoration;
- On-Board software planned and unplanned releases;
- PTC Interoperable Train Control Messaging System, Back Office Server; Key Exchange Server and Office Communication Manager Applications' support;
- TALON - Wabtec's Data and Change Management application; and
- PTC Documentation updates.

Additionally, the following support services will be performed on a Time and Materials basis:

- Field and Lab Integration Services;
- Track Database Service and Field Validations;
- System Integration Engineering Services;
- DCS Network Services;
- Wayside Signal Maintenance Services;
- On-Board Hardware Repair and Maintenance Services; and
- PTC System Training Services.

At the end of the Initial Term, and each year thereafter, staff will review the services and Wabtec's performance, and determine if the agreement should be renewed, and if any adjustments are needed to improve the Services provided during the next year. The base fee and labor rates for renewal terms are set at the initial rates with applicable escalations. Staff will inform the Board of the outcome of each annual review during Initial and Renewal Terms.

Procurement Administrator II: Mary Garcia
Deputy Director of System Engineering: Matt Scanlon

650.508.7767
650.622.7819

RESOLUTION NO. 2020 –

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

**AWARDING A CONTRACT TO WABTEC RAILWAY ELECTRONICS
FOR THE MAINTENANCE AND SUPPORT OF INTEROPERABLE ELECTRONIC TRAIN
MANAGEMENT SYSTEM POSITIVE TRAIN CONTROL SYSTEM
FOR A NOT-TO-EXCEED AMOUNT OF \$11,629,615**

WHEREAS, the Peninsula Corridor Joint Powers Board (JPB) requires ongoing maintenance and support services for the Wabtec Railway Electronics, Inc. (Wabtec) proprietary Interoperable Electronic Train Management System (I-ETMS) on which Caltrain's Positive Train Control System is based; and

WHEREAS, Wabtec is the only vendor able to provide maintenance and support services for its proprietary I-ETMS; and

WHEREAS, staff has negotiated with Wabtec contract terms and conditions including scope, and a price deemed fair and reasonable; and

WHEREAS, Staff Coordinating Council recommends, and the Executive Director concurs, that the Board of Directors award a contract to Wabtec for ongoing maintenance and support services for the total not-to-exceed amount of \$11,629,615 for a three-year base term.

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby awards a contract to Wabtec Railway Electronics, of Pittsburgh, PA, for a not-to-exceed amount of \$11,629,615 for a three-year base term, to maintain and support the I-ETMS system on which Caltrain's Positive Train Control System is based; and

BE IT FURTHER RESOLVED that the Executive Director, or his designee, is authorized to execute a contract with Wabtec as set forth above, in a form approved by legal counsel; and

BE IT FURTHER RESOLVED that the Executive Director, or his designee, is authorized to exercise annual renewals of the contract after the initial base term, (a) if in the JPB's best interest, (b) if sufficient funds are available in the JPB's Operating Budget and PTC Capital Budget, and (c) following annual performance reviews, the results of must be provided to the Board.

Regularly passed and adopted this 3rd day of September, 2020 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary



***WABTEC I-ETMS Maintenance and Services
Agreement
21-JT-002***

Caltrain PTC - WABTEC I-ETMS Solution

- Awarded to Wabtec on 03/18 for delivery of Caltrain PTC system
- Entered PTC Revenue Service Demonstration (RSD) on 9/19
- Interoperable with UPRR and other tenants on 2/20
- Submitted PTC Safety Plan (PTCSP) 6/20
- Conditional approval from FRA 12/20
- I-ETMS Warranty (SW and HW) ends on Sept 6, 2020
- I-ETMS maintenance support service agreement with Wabtec is recommended here for September JPB Board

Base Term Services under Fixed Price

- PTC product support and defect resolution services;
- On-Board software planned and unplanned releases;
- Back Office Server (BOS) planned and unplanned release
- PTC Interoperable Train Control Messaging System (ITCM),; Key Exchange Server (KES) and Office Communication Manager (OCM) Applications' support;
- TALON - Wabtec's Data and Change Management application;
- PTC system restoration; and
- PTC documentation updates.

Optional Services under Time & Material

- Field and Lab Integration Services;
- Track Database Service and Field Validations;
- System Integration Engineering Services;
- Data Communication System Network Services;
- Wayside Signal Maintenance Services;
- On-Board Hardware Repair and On-Site Maintenance Services; and
- PTC System Training Services.

Additional Projects

- Work Directives for Discrete Projects or Services
 - KES alternate solution

I-ETMS Maintenance Service Contract Duration

- Term of Agreement for base service is three years upon NTP after JPB board approval;
- Annual service and performance review will be conducted if the agreement should be renewed after base term, and if any adjustments are needed to improve the Services provided during the next year.
- Performance evaluation will be based on how well Wabtec is meeting Service Level Targets and Responses time
- Staff will inform the Board of the outcome of each annual review during Initial and Renewal Terms.
- The base fee and labor rates for renewal terms are set at the initial rates with applicable escalations. It will be renewed annually after successful performance review performed by Caltrain

I-ETMS Maintenance and Support Agreement Annual Costs

- An annual “**Base Fee**” is \$3,129,951
- The escalation is based on Producer Price Index (the “PPI”)

Industry Data for Line-Haul Railroads

	Year 1	Year 2	Year 3	Total
Total Fixed Price	\$ 2,308,951	\$ 3,239,498	\$ 3,352,881	\$ 8,901,329
Total Time & Material	\$ 793,762	\$ 705,369	\$ 674,155	\$ 2,173,286
Total Spare and Hardware Repair	\$ 25,000	\$ 30,000	\$ 200,000	\$ 255,000
Special Projects		\$ 300,000		\$ 300,000
			Total	\$ 11,629,615

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Derek Hansel
Chief Financial Officer

Michelle Bouchard
Chief Operating Officer, Rail

SUBJECT: **AWARD OF CONTRACT FOR ELECTRONIC BIKE LOCKERS FOR CALTRAIN**

ACTION

Staff Coordinating Council recommends the Board:

1. Award a contract to eLock Technologies, LLC (eLock Technologies) of Berkeley, California, to provide and set in place a minimum of 632 electronic bicycle lockers (e-lockers) and a maximum total of 1,150 e-lockers throughout the Caltrain system, for an aggregate not-to-exceed amount of \$4,500,000 for a five-year base term.
2. Authorize the Executive Director, or his designee, to execute a contract with eLock Technologies in full conformity with the terms and conditions set forth in the solicitation documents and negotiated agreement, and in a form approved by legal counsel, with the understanding that a 20% contingency will apply to the total contract amount for the base and option terms.
3. Authorize the Executive Director or his designee, to execute an equipment and software maintenance agreement, including gateway service access (internet connection), with eLock Technologies for up to an aggregate amount of \$500,000 dollars at established unit prices for a five-year base term.
4. Authorize the Executive Director, or his designee, to exercise two one-year options to provide and set in place a total of up to 176 additional e-lockers aggregate and inclusive of all equipment/software maintenance for existing and new e-lockers, including gateway service access (internet connection), for an aggregate not-to-exceed amount of \$650,000 dollars at established unit prices, if it is in the best interest of the JPB.

SIGNIFICANCE

In 2019, the Peninsula Corridor Joint Powers Board (JPB) Board of Directors (Board) capped the number of onboard bike spaces that will be available on the Electric Multiple Unit (EMU) trains and committed to spending at least \$3 million on wayside

bicycle improvements before the commencement of electrified Caltrain service. As a first major step to deliver this investment, staff is proposing to move forward with a contract for e-lockers.

Award of the contract will provide Caltrain with on-demand bike lockers that are significantly more customer-friendly and efficient than the individually-assigned keyed lockers used today. Initial installation of 632 e-locker spaces would take place early in the contract and a maximum total of 1,150 e-locker spaces would be set in place in the first five years of the contract depending on customer demand.

The Board-approved Bike Parking Management Plan (2017) showed 1100 keyed lockers system-wide. Those lockers were fully-rented, but an occupancy study found that only 16% (less than 200 of 1100) of the lockers were actively used. At the time, there was a waiting list for keyed lockers at all the stations that had keyed lockers, so the JPB was not able to meet customer demand with the lockers provided.

Since 2017, several lockers were removed along the corridor for various reasons, including construction projects and maintenance issues. There are now about 825 lockers in the system and several of the remaining lockers are nearing the end of their useful lives. The first 632 e-lockers will largely be placed where keyed lockers are currently located. Nearly 500 keyed lockers would be removed during the installation effort for the first 632 e-lockers, but locker use is anticipated to greatly increase with this change. Since the e-lockers are first come, first served, they are much more likely to be actively used. Occupancy numbers from 2019 show that e-lockers that have been in place for more than a year are regularly more than 75% occupied.

The JPB would have the option to purchase a total of up to 176 additional e-locker spaces if there is customer demand and funding is available. Approval of a 20% contract contingency will provide contract authority to be used for e-locker purchases and maintenance services if and when customer demand increases in the future. Requests for Board approval of agreements for subsequent phases of the e-locker installations beyond 2027 will be presented to the Board as customer demands further increase and funding becomes available.

BUDGET IMPACT

In Fiscal Year (FY) 2019, the Board authorized \$4.0 million in funding for the Wayside Bike Parking project from the Transit and Intercity Rail Capital Program (TIRCP) and State Rail Assistance. In FY2020, the Board approved \$349,000 for Wayside Bike Parking using Bay Area Air Quality Management District and local funds.

BACKGROUND

Pursuant to JPB Resolution 2017-56, the Board approved the Caltrain Bicycle Parking Management Plan that recommended making a significant investment in e-lockers. After extensive research, staff determined that lockers provided by eLock Technologies are the only ones that provide all of the following desired features:

- Consistency for Caltrain customers, as the same manufacturer's e-lockers are already available at nine Caltrain stations and have been installed at many other locations throughout the Bay Area, including at most Bay Area Rapid Transit District (BART) stations and at Capitol Corridor stations.
- Bike parking turnover is encouraged by charging a low hourly rate (5 cents/hour) through a prepaid card. Only eLock Technologies encourages this type of turnover in a manner that is also available via cash payments for unbanked customers. The lockers are also Clipper® compatible.
- Higher levels of security than those produced by other companies.

Staff found the results of its research were consistent with that completed by BART, Santa Clara Valley Transportation Authority, and Capitol Corridor staff before each of those agencies awarded single-source agreements with eLock Technologies.

Staff issued a letter Request for Proposal to eLock Technologies to provide e-lockers inclusive of maintenance and support services. eLock Technologies submitted a proposal and qualified staff from the Rail Planning department reviewed it. Staff determined that eLock Technologies' proposal met all of the JPB's requirements and the firm possesses the requisite depth of experience and required qualifications to successfully perform the scope of services. Staff negotiated contract terms and conditions, including prices, which were determined to be fair and reasonable.

The cost to operate and maintain 1,150 e-lockers is approximately \$140,000 per year, which is at least \$100,000 less than the current keyed locker annual maintenance and operations costs. These cost savings will provide a portion of the funding required for the operations and maintenance of the e-lockers. In addition, eLock Technologies has agreed to reduce by 60% the maintenance and operations costs to Caltrain until Caltrain reaches 50 percent of pre-COVID-19-pandemic ridership.

As part of the purchase, eLock Technologies will provide customer service to locker users online and over the phone. eLock Technologies will install and maintain the e-lockers, and will remove existing keyed lockers over the next five years, thereby eliminating inefficient administrative and maintenance processes that are required to keep the existing keyed lockers operational.

eLock Technologies is a Small Business Enterprise, which has performed satisfactorily for BART since 2012, when the first procurement of e-lockers was completed. BART's Manager of Access Programs, who manages BART's bike program, describes eLock Technologies' e-lockers as a good product, and its supplier support as excellent.

Procurement Administrator III: Juanita Vigil
Project Manager: Dan Provence, Principal Planner

650.508.7731
650.622.7840

RESOLUTION NO. 2020-

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

* * *

**AWARDING A CONTRACT TO ELOCK TECHNOLOGIES, LLC
FOR THE PURCHASE OF ELECTRONIC BIKE LOCKERS, EQUIPMENT AND SOFTWARE
MAINTENANCE AND GATEWAY SERVICE ACCESS FOR
AN AGGREGATE NOT-TO-EXCEED AMOUNT OF \$5 MILLION DOLLARS FOR A FIVE-YEAR TERM**

WHEREAS, the Peninsula Corridor Joint Powers Board (JPB) desires to purchase electronic bike locker spaces (e-lockers) to be set in place throughout the Caltrain system; and

WHEREAS, after extensive research, staff determined that eLock Technologies LLC of Berkeley, California (eLock Technologies) has unique knowledge, qualifications, and experience as a result of providing e-lockers at nine Caltrain stations and at many other transit locations throughout the Bay Area, including most Bay Area Rapid Transit District (BART) stations, in multiple cities and at Capital Corridor stations; and

WHEREAS, the JPB also desires to execute an equipment and software maintenance agreement, including gateway service access (internet connection), with eLock Technologies; and

WHEREAS, the JPB issued a single source letter Request for Proposal to eLock Technologies to provide, maintain and support a minimum of 632 e-lockers and a maximum of 1150 e-lockers for a five-year base term; and

WHEREAS, staff from the JPB Planning department reviewed eLock Technologies' proposal and determined that it met all of the JPB's requirements and the firm possesses the requisite depth of experience and required qualifications to successfully perform the scope of services; and

WHEREAS, staff negotiated contract terms and conditions with eLock Technologies, including prices, and determined the prices to be fair and reasonable; and

WHEREAS, Staff Coordinating Council recommends, and the Executive Director concurs, that the Board of Directors award a contract to eLock Technologies to provide and set in place a minimum of 632 e-lockers and a maximum of 1150 e-lockers throughout the Caltrain system, for an aggregate not-to-exceed amount of \$4,500,000 for a five-year base term, along with an equipment and software maintenance agreement, including gateway service access (internet connection) for up to an aggregate amount of \$500,000 dollars at established unit prices for a five-year base term; and

WHEREAS, Staff Coordinating Council also recommends, and the Executive Director concurs, that the Board of Directors authorize the Executive Director, or designee, to exercise two one-year options to purchase a total of up to 176 additional e-lockers, inclusive of all equipment and software maintenance including gateway service access (internet connection), for an aggregate not-to-exceed amount of \$650,000 dollars at established unit prices; and

WHEREAS, Staff Coordinating Council also recommends, and the Executive Director concurs, that the Board of Directors approves a 20% contingency for the contract.

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby awards a contract to eLock Technologies, LLC to provide and set in place a minimum of 632 e-lockers and a maximum of 1150 e-lockers throughout the Caltrain system, for an aggregate not-to-exceed amount of \$4,500,000 for a five-year base term; and

BE IT FURTHER RESOLVED that the Executive Director, or his designee, is authorized to execute a contract with eLock Technologies, LLC, in full conformity with all of the terms and conditions of the RFP and in a form approved by legal counsel, with the understanding that a 20% contingency will apply to the total contract amount for the base and option terms; and

BE IT FURTHER RESOLVED that the Executive Director, or his designee, is authorized to execute an equipment and software maintenance agreement, including gateway service access (internet connection), with eLock Technologies for up to an aggregate amount of \$500,000 dollars at established unit prices for a five-year base term; and

BE IT FURTHER RESOLVED that the Executive Director, or his designee, is authorized to exercise two one-year options to provide and set in place a total of up to 176 additional e-lockers inclusive of all equipment and software maintenance for existing and new e-lockers, including gateway service access (internet connection), for an aggregate not-to-exceed amount of \$650,000 dollars at established unit prices, if it is in the best interest of the JPB.

Regularly passed and adopted this 3rd day of September, 2020 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary



Contract to Purchase Electronic Bicycle Lockers

September 3, 2020

Caltrain and Bikes

- Approximately 65,000 daily trips pre-pandemic
- About 10,000 weekday customers travel to and from a station by bike
- About 10% of customers take a bike on board
- On board bike space limits number of customers Caltrain can carry



Bike Parking Options Today

- Valet bike parking at 4th and King
- Caltrain managed lockers at most stations
 - Over 850 system wide
 - Individually assigned bike lockers are fully rented but not well used
 - Bike Parking Management Plan recommended upgrading from these and shifting management responsibilities to 3rd party
- Unstaffed bike rooms at 3 stations
 - Palo Alto, Menlo Park, Mountain View
- Bike racks at most stations
- Electronic lockers at 9 stations

Future Caltrain Plans

- Implement Board approved Bike Parking Management Plan
 - Riders' top bike parking choice: on-demand electronic bike lockers (e-lockers)
 - Focus on major e-locker additions first
- Electrification in 2022
 - On board bike spaces capped at 72 per trainset
 - \$3M Board commitment to improve station facilities
- Business Plan vision to triple ridership by 2040
 - Need for sustained improvement and expansion of first/last mile connections

E-Lockers

- Available on-demand all day
- Already installed at 9 Caltrain Stations (but owned & operated by separate party)
- Typical rates of \$0.05 per hour
- Well used by Caltrain customers where available
- Well regarded by BART and other transit agencies
- Wi-Fi for Clipper compatibility & use data



Contract Details

- Purchase 632 e-locker spaces minimum
- Ability to purchase up to 718 more spaces if needed
- Customer service, operations and maintenance of e-lockers provided by vendor



Single Source – eLock Technologies

- **Consistency:** Similar lockers available at 9 Caltrain stations, BART stations, and various locations throughout the Bay Area
- **Ease of Use:** Simple interface, Clipper & BikeLink compatibility, cash payment option, customer service provided
- **Security:** Higher levels of security than keyed lockers and those produced by other companies.

Funding

- Capital purchase funded by grants and developer funds
 - Transit and Intercity Rail Capital Program
 - Transportation Fund for Clean Air from the Bay Area Air Quality Management District
 - Developer contributions
- Operations and Maintenance (O&M)
 - Keyed lockers to be incrementally removed and replaced
 - Current O&M money would be used for e-locker O&M
 - Lower cost per space than keyed lockers
 - 60% initial discount on O&M negotiated due to COVID impacts

Schedule

- Prioritization in progress
 - Follow funding requirements
 - Coordinate with other capital projects
 - Track demand
- Complete placement of first 632 e-lockers by late 2023
- Monitor use and make plans for more lockers as needed

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: April Chan
Chief Officer, Planning, Grants and the Transportation Authority

SUBJECT: **AUTHORIZATION TO ENTER INTO A FUNDING AGREEMENT WITH THE FEDERAL RAILROAD ADMINISTRATION FOR THE CALTRAIN RIGHT-OF-WAY TRESPASSING PROJECT**

ACTION

Staff Coordinating Council recommends the Board Authorize the Executive Director, or his designee to:

1. Enter into a funding agreement with Federal Railroad Administration (FRA) for \$48,500 in Railroad Trespassing Enforcement Grant program funding for the Caltrain Right-of-Way Trespassing Project (Project); and
2. File any other required documentation and to take any other actions necessary to give effect to the resolution.

SIGNIFICANCE

The Project goal is to reduce illegal homeless encampments and trespassing on Caltrain's 77-mile-long right-of-way (ROW) between San Francisco and Gilroy. The San Mateo County Sheriff's Office Transit Police Bureau, in cooperation with local law enforcement, will work to reduce the number of homeless encampments along the rail line while also referring displaced individuals to specialized services and assistance. The San Mateo County Transit Police Bureau will also continue to work to increase public awareness and end tragic collisions, fatalities, and injuries at grade crossings and along the ROW. FRA requires the funds to be used for Law Enforcement Personnel wages to undertake the enforcement activities.

BUDGET IMPACT

The total cost of the Project is \$48,500 and no local match is required. The grant funds are included in the Fiscal Year 2021 Operating Budget to be considered under a separate item on this meeting agenda.

BACKGROUND

The Railroad Trespassing Enforcement Grant Program provides funding assistance to law enforcement agencies to support life-saving trespass abatement across the

country. Approximately \$500,000 has been awarded to 11 applicants including the Peninsula Corridor Joint Powers Board.

Prepared by: Leslie Fong, Senior Administrative Analyst

650.508.6332

RESOLUTION NO. 2020 –

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

*** * ***

**AUTHORIZING ENTERING INTO A FUNDING AGREEMENT WITH THE
FEDERAL RAILROAD ADMINISTRATION TO RECEIVE \$48,500 FOR THE
CALTRAIN RIGHT-OF-WAY TRESPASSING PROJECT**

WHEREAS, the Federal Railroad Administration (FRA) awards funding to provide assistance to law enforcement agencies across the country; and

WHEREAS, the Peninsula Corridor Joint Powers Board (JPB) has been awarded a \$48,500 grant from the FRA's Railroad Trespassing Enforcement Grant Program to fund the Caltrain Right-of-Way Trespassing Project (Project); and

WHEREAS, the Project will reduce trespassing and homeless encampments on Caltrain's 77 mile-long right-of-way between San Francisco and Gilroy; and

WHEREAS, the FRA does not require a local match; and

WHEREAS, the \$48,500 in funding from FRA is proposed to be included in the Fiscal Year 2021 Operating Budget to fund the Project.

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

1. Authorizes the Executive Director, or his designee, to execute and enter into a funding agreement with the Federal Railroad Administration for acceptance of the \$48,500 grant described above for the Caltrain Right-of-Way Trespassing Project; and
2. Authorizes the Executive Director, or his designee, to file any other required documentation and to take any other actions necessary to give effect to this resolution.

Regularly passed and adopted this 3rd day of September, 2020 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Seamus Murphy
Chief Communications Officer

SUBJECT: **STATE AND FEDERAL LEGISLATIVE UPDATE**

ACTION

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

SIGNIFICANCE

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

Prepared By: Casey Fromson, Government and
Community Affairs Director

650-508-6493

August 14, 2020

TO: Peninsula Corridor Joint Powers Board Members

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

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

General Update

The Legislature returned to Sacramento on July 27 to wrap up the final month of session. Given their delayed return, a lot remains on the agenda before the constitutionally required adjournment date of August 31. Both houses must pass the bills in their house out of policy committees, fiscal committees, off their respective floors and then consider bills on concurrence sent over from the other house by the end of the month.

To accommodate this tight timeline, Committee chairs have been reducing the number of bills they will hear in their committees, consequently creating tension between the two houses. The Assembly sent over 500 bills to the Senate, while the Senate only sent the Assembly approximately 100 bills. This discrepancy is due both to the size of each legislative body, but also, from the Senate's perspective, the Assembly's reluctance to pull bills that are not essential in the midst of a global pandemic. After discussions with leadership of both houses, many Senate policy committees added more bills to their agendas so a smaller proportion of Assembly bills would fall by the wayside.

The policy committee deadline is today, August 14 which required both houses to hear all bills with a fiscal impact in policy committee. Next, committees will begin to hear the remaining bills in their fiscal committees, where we expect to see another reduction of the bills being considered given the state deficit.

As it relates to economic recovery, the Governor has continued to make announcements that discussions with the Legislature are in the works but has yet to announce anything concrete. The end of session is quickly approaching, and it remains to be seen if any substantive economic recovery efforts will materialize in this short timeline.

Legislation of Interest

SB 288 (Wiener) – CEQA Exemptions for Transportation. This bill would provide additional CEQA exemptions for certain projects, including rail projects. Specifically, the bill provides an exemption for projects that increase passenger or commuter service on rail rights-of-way already in use, including modernization of existing stations and parking facilities. The Caltrain Board supported this bill in August 2020.

The bill passed out of the Assembly Natural Resources Committee 7-1 and will be heard next in the Assembly Appropriations Committee later this month.

SB 902 (Wiener) – Housing Density Near Public Transit and Jobs. This bill would allow a local government to pass an ordinance to zone any parcel up to 10 units of residential density per parcel, at a height determined by the local government, if the parcel is located in a transit-rich area, a jobs-rich area, or an urban infill site.

The bill passed out of the Senate Appropriations Committee 6-1, the Senate Floor 33-4, and the Assembly Local Government Committee 5-1 on August 11. It will head to the Senate Appropriations Committee next.

SB 1351 (Beall) – Transportation Improvement Fee (TIF). This bill creates the Transportation Improvement Fee Finance Committee that would authorize revenue bonds to be issued to Caltrans to expedite transportation projects. Of interest to Caltrain, around \$350 million of TIF revenue is used for the Transit and Intercity Rail Program (TIRCP).

The bill passed out of the Assembly Transportation Committee 11-3 on August 10. It will be heard next in the Assembly Appropriations Committee.

Statewide Competitive Grant Programs

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

Transit and Intercity Rail Capital Program (TIRCP)

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

Important Dates:

January 2020 – Applications Due

April 2020 – CalSTA Award Announcement

Solutions for Congested Corridors Program (SCCP)

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

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

Important Dates:

October 2019 – Guidelines Adopted

January 2020 – Applications Due

June 2020 – Program Adoption

Local Partnership Program (LPP)

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

Important Dates:

October 2019 – Guidelines Adopted

January 2020 – Applications Due

June 2020 – Program Adoption

Trade Corridor Enhancement Program (TCEP)

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

Important Dates:

January 2020 – Guidelines Adopted

March 2020 – Applications Due

June 2020 – Program Adoption

Grade Separation Funding

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

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

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

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

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

Caltrain As of August 18, 2020 Transportation Report

Status of COVID-19 Relief Package

Democrats and Republicans have yet to come to agreement on the next coronavirus relief bill. Both sides have blamed the other for the breakdown in talks and there does not appear to be a clear path forward at this time.

While small concessions had been made by both sides, the major hurdle remains the overall size of the legislative package. House Democrats are pushing for a funding level near the \$3.5 trillion dollar HEROES Act that passed the chamber in May, while Senate Republicans and the White House are favoring \$1 trillion. Direct state/local assistance and extended pandemic unemployment insurance continue to be two of the most contentious items along with the overall price tag for the deal. It is now unclear when negotiations will resume. The House is in recess through September 8, and votes are not scheduled until September 14th. The Senate technically remains in session, but most members have returned home.

Following the negotiations breakdown, President Trump signed four executive orders (EO). The executive orders are expected to face court challenges as to their constitutionality.

1. [Memorandum on Authorizing the Other Needs Assistance Program for Major Disaster Declarations Related to Coronavirus Disease 2019:](#) Extends enhanced unemployment benefits that expired at the end of July by opening up the FEMA Public Assistance funding to states. The benefits will be lowered from \$600 to \$400 per week, with states required to cover 25 percent of the cost. States could choose to use their CARES Coronavirus Relief Funds (CRF) to provide match.
 - The Senate HEALS Act extended FPUC at \$200 per week – states would be required to switch to wage replacement or apply for waiver to keep doing FPUC at \$200 per week for an additional two months.
 - The House passed HEROES Act maintained \$600 per week through January 2021.
 - When asked by reporters why the enhanced unemployment benefits would not be kept at the \$600 level, as Democrats had pushed for, President Trump said the new rate gives Americans "a great incentive to go back to work."
2. [Memorandum on Deferring Payroll Tax Obligations in Light of the Ongoing COVID-19 Disaster:](#) Directs the Treasury Department to allow employers to defer payment of employee-side payroll taxes through the end of 2020 for Americans earning less than \$100,000 annually. The holiday is expected to be retroactive to Aug. 1, President Trump said, adding that he hoped to forgive the deferred payroll taxes and make permanent payroll tax cuts if he is reelected in November.

- This was President Trump’s priority item for inclusion in the HEALS Act, but Senate Republicans did not include the tax cut in the HEALS Act package.

3. [Memorandum on Continued Student Loan Payment Relief During the COVID-19 Pandemic](#) – Directs the Education Department to pause student loan payments through December 31.

- Payment pause was included in the CARES Act through September 30, 2021.
- HEROES Act extends the payment pause.
- HEALS Act does not extend the payment pause.

4. [Executive Order on Fighting the Spread of COVID-19 by Providing Assistance to Renters and Homeowners](#): Directs the Department of Housing and Urban Development (HUD) to extend moratorium on evictions

- HEALS Act does not extend moratorium on evictions and mortgage foreclosures.
- HEROES Act extends and expands eviction and foreclosure moratorium.

Appropriations Update

On July 31, the House passed its second FY 2021 minibuss, a \$1.3 trillion appropriations bill ([H.R. 7617](#)), boosting budgets at the Pentagon and the Departments of Labor, Health and Human Services (HHS), Education, Homeland Security, Justice, Transportation, Energy and more. The six-bill package, which passed the lower chamber in a 217-197 vote, included more than 300 amendments.

The package includes \$210 billion in emergency money to help federal agencies combat the coronavirus pandemic, in addition to funding for state and local public health departments, public health prevention efforts, medical research, infrastructure, public housing and more. The legislation represents an opening offer from House Democrats in negotiations to pad federal agency coffers in fiscal 2021 and avoid a government shutdown at the end of this fiscal year, which is on September 30.

Earlier in the month, the House approved a four-bill, \$259.5 billion bundle ([H.R. 7608](#)) that would fund the Departments of State, Interior, Agriculture, Veterans Affairs and other agencies with billions of additional dollars. The House has now passed 10 out of 12 spending bills on the floor. The House decided not to consider the Department of Homeland Security (DHS) spending measure as the progressive members opposed it. House leaders have no plans to consider the bill that funds parts of the legislative branch because it does not include a cost-of-living adjustment for members of Congress — a priority for Majority Leader Steny Hoyer (D-MD) and other lawmakers who have experienced nearly a decade of pay-freezes.

The Senate has not released any of its 12 spending bills. Amid negotiations between Republicans and Democrats on the next coronavirus relief package, the two caucuses are also negotiating whether to include emergency coronavirus cash in their annual spending bills. Republicans have

criticized House Democrats for padding appropriations bills with billions of additional money for emergency spending, arguing that the extra funding contradicts a two-year budget deal struck last summer. The Bipartisan Budget Act of 2019 ([Public Law 116-37](#)) boosted spending and allotted a total of \$740.5 billion in defense funding and \$634.5 billion in nondefense funding for fiscal 2021.

Below are the transportation provisions in the FY 2021 Transportation/HUD Appropriations bill:

- \$1 billion for the BUILD grant program
 - Requires DOT to provide 60% of grants to urban areas and 40% to rural areas.
 - \$20 million for planning grants “with an emphasis on transit, transit oriented development, and multimodal projects”.
 - \$20 million for planning grants in areas of persistent poverty.
- \$61 billion for highways, plus \$1 billion from the general fund for highway infrastructure programs
 - \$632 million of the additional \$1 billion would be distributed to states via formula under the Surface Transportation Block Grant Program.
- \$15.9 billion for FTA transit formula grants, plus \$510 million from the general fund for transit infrastructure grants
- \$2.2 billion for FTA’s Capital Investment Grants program, including \$525 million for Core Capacity

The appropriations bill also includes an additional \$26 billion to “strengthen and make more resilient our nation’s aging infrastructure” in response to the COVID-19 pandemic, including:

- \$3 billion for BUILD grants
- \$2.5 billion for discretionary airport grants
- \$5 billion for CRISI grants
- \$8 billion for Amtrak, including \$5 billion for the Northeast Corridor and \$3 billion for the National Network
- \$5 billion for the CIG program

Highway Trust Fund Is Recovering

On August 6, the Treasury Department published its monthly report of the Highway Trust Fund (HTF) tax receipts for July 2020 that shows federal gas taxes are now slightly above last year’s levels. July 2020 HTF tax receipts totaled \$3.84 billion, which is \$201 million above the July 2019 level.

FTA Announces Bus & Bus Facilities Grants

- On August, the FTA announced \$464 million in bus and bus facilities grants to 96 projects in 49 states and territories. The following awards were made in California:
 - ✓ \$1,767,769 for the Butte County Association of Governments to purchase electric buses and related charging equipment and infrastructure for B-Line (Butte Regional Transit) for residents in Chico, Oroville, Paradise, and communities throughout Butte County.
 - ✓ \$1,400,000 for the California Department of Transportation on behalf of Kern Regional Transit to construct a bus maintenance facility in Kern County.
 - ✓ \$3,760,000 for the City of Davis to purchase new battery-electric buses to replace aging buses that have exceeded their useful life. This project will improve the safety and reliability of Unitrans public transit, which serves residents of the City of Davis, including students and employees of the University of California-Davis.
 - ✓ \$2,521,984 for Monterey-Salinas Transit to purchase new buses to replace aging vehicles that have exceeded their useful life in the greater Monterey and Salinas areas and communities throughout Monterey County.
 - ✓ \$1,850,000 for Solano County Transit (SolTrans) to plan, construct, and install electrical charging infrastructure, including on route charging at transit centers, for a future all-electric bus fleet for residents of the cities of Vallejo and Benicia and communities throughout southern Solano County.
- The Grants for Buses and Bus Facilities Program makes federal resources available to states and direct recipients to replace, rehabilitate and purchase buses and related equipment and to construct bus-related facilities.

Grant Opportunities

- [Work Zone Data Exchange Demonstration](#): \$2.4 million available. Applications due August 3.
- [Advanced Transportation and Congestion Management Technologies Deployment Initiative](#): \$12 million available. Applications due August 3.
- [Expedited Project Delivery Pilot Program](#): \$225 million available in Fiscal Year (FY) 2020, FY 2019, FY 2017 and FY 2016 funds, of which \$100 million is currently available. Applications will be accepted on a rolling basis until up to eight grants are awarded, subject to funding availability.

Caltrain

State Legislative Matrix 8/14/2020

Active Bills			
Bill Number (Author)	Summary	Location	Position
AB 145 (Frazier D) High-Speed Rail Authority: Senate confirmation.	Existing law creates the High-Speed Rail Authority with specified powers and duties relative to development and implementation of a high-speed train system. The authority is composed of 11 members, including 5 voting members appointed by the Governor, 4 voting members appointed by the Legislature, and 2 nonvoting legislative members. This bill would provide that the members of the authority appointed by the Governor are subject to appointment with the advice and consent of the Senate. Introduced: 12/13/2018	Senate Transportation	Watch
AB 196 (Gonzalez D) Workers' compensation: COVID-19: essential occupations and industries.	Existing law establishes a workers' compensation system, administered by the Administrative Director of the Division of Workers' Compensation, to compensate an employee for injuries sustained in the course of employment. Existing law creates a disputable presumption that specified injuries sustained in the course of employment of a specified member of law enforcement or a specified first responder arose out of and in the course of employment. This bill would define "injury," for certain employees who are employed in an occupation or industry deemed essential in the Governor's Executive Order of March 19, 2020 (Executive Order N-33-20), except as specified, or who are subsequently deemed essential, to include coronavirus disease 2019 (COVID-19) that develops or manifests itself during a period of employment of those persons in the essential occupation or industry. The bill would apply to injuries occurring on or after March 1, 2020, would create a conclusive presumption, as specified, that the injury arose out of and in the course of the employment, and would extend that presumption following termination of service for a period of 90 days, commencing with the last date actually worked. Amended: 5/5/2020	Senate Appropriations 8/17/2020 9 a.m. - John L. Burton Hearing Room (4203) SENATE APPROPRIATIONS, PORTANTINO, Chair	Watch

Active Bills

<p><u>AB 1112</u> (Friedman D)</p> <p>Micromobility devices: relocation.</p>	<p>Existing law authorizes a peace officer to order the removal and storage of a vehicle under various circumstances, including when the vehicle is parked in a manner obstructing traffic or blocking access to a fire hydrant. Existing law generally regulates the operation of bicycles, electric bicycles, and motorized scooters. Under existing law, a violation of the Vehicle Code is a crime. This bill would prohibit an unauthorized person from removing an unattended micromobility device from a highway to a storage facility, garage, or other place. The bill would authorize a person to relocate an illegally parked micromobility device a short distance in order to clear a highway, sidewalk, doorway, or public bicycle path or trail for vehicle or pedestrian traffic. The bill would allow a peace officer to relocate an illegally parked micromobility device to a properly parked location. If relocation is impracticable, the bill would allow a peace officer to remove a micromobility device in the same manner as a vehicle. Because a violation of these provisions would be a crime, this bill would impose a state-mandated local program. This bill contains other existing laws.</p> <p>Amended: 7/22/2020</p>	<p>Senate Transportation</p>	<p>Watch</p>
<p><u>ACA 1</u> (Aguiar-Curry D)</p> <p>Local government financing: affordable housing and public infrastructure: voter approval.</p>	<p>(1)The California Constitution prohibits the ad valorem tax rate on real property from exceeding 1% of the full cash value of the property, subject to certain exceptions. This measure would create an additional exception to the 1% limit that would authorize a city, county, city and county, or special district to levy an ad valorem tax to service bonded indebtedness incurred to fund the construction, reconstruction, rehabilitation, or replacement of public infrastructure, affordable housing, or permanent supportive housing, or the acquisition or lease of real property for those purposes, if the proposition proposing that tax is approved by 55% of the voters of the city, county, or city and county, as applicable, and the proposition includes specified accountability requirements. The measure would specify that these provisions apply to any city, county, city and county, or special district measure imposing an ad valorem tax to pay the interest and redemption charges on bonded indebtedness for these purposes that is submitted at the same election as this measure. This bill contains other related provisions and other existing laws.</p> <p>Amended: 3/18/2019</p>	<p>Assembly Reconsideration</p> <p>8/24/2020 #16 ASSEMBLY MOTION TO RECONSIDER</p>	<p>Watch</p>

Active Bills

<p><u>SB 146</u> (Beall D)</p> <p>Regional transportation plans: sustainable communities strategies: procedural requirements.</p>	<p>Existing law requires certain transportation planning agencies to prepare and adopt a regional transportation plan directed at achieving a coordinated and balanced regional transportation system. Certain of these agencies are designated under federal law as metropolitan planning organizations. As part of a regional transportation plan, existing law requires a metropolitan planning organization to adopt a sustainable communities strategy or alternative planning strategy, which is designed to achieve certain targets for 2020 and 2035 established by the State Air Resources Board for the reduction of greenhouse gas emissions from automobiles and light trucks in the region. Before the adoption of a sustainable communities strategy or an alternative planning strategy, existing law requires a metropolitan planning organization to complete certain procedural requirements, including a requirement to conduct informational meetings, as specified, and a requirement to adopt a public participation plan that includes, among other things, workshops throughout the region and public hearings on the draft sustainable communities strategy or alternative planning strategy, as specified. This bill, until January 1, 2023, would recharacterize the workshops as public engagement gatherings and would authorize these informational meetings, public engagement gatherings, and public hearings to be conducted by electronic means if a call-in telephonic option is also provided and the meeting is not required to be conducted pursuant to the Ralph M. Brown Act. The bill, until January 1, 2023, would make other related changes. This bill contains other existing laws.</p> <p>Amended: 8/12/2020</p>	<p>Assembly Second Reading</p> <p>8/24/2020 #2 ASSEMBLY SECOND READING FILE -- SENATE BILLS</p>	<p>Watch</p>
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Active Bills

<p>SB 288 (Wiener D)</p> <p>California Environmental Quality Act: exemptions: transportation-related projects.</p>	<p>(1)The California Environmental Quality Act (CEQA) requires a lead agency, as defined, to prepare, or cause to be prepared, and certify the completion of an environmental impact report on a project that it proposes to carry out or approve that may have a significant effect on the environment or to adopt a negative declaration if it finds that the project will not have that effect. CEQA also requires a lead agency to prepare a mitigated negative declaration for a project that may have a significant effect on the environment if revisions in the project would avoid or mitigate that effect and there is no substantial evidence that the project, as revised, would have a significant effect on the environment. This bill would further exempt from the requirements of CEQA certain projects, including projects for the institution or increase of new bus rapid transit, bus, or light rail services on public rail or highway rights-of-way, as specified, whether or not the right-of-way is in use for public mass transit, as specified, and projects for the designation and conversion of general purpose lanes, high-occupancy toll lanes, high-occupancy vehicle lanes, or highway shoulders, as specified. The bill would additionally exempt transit prioritization projects, projects that improve customer information and wayfinding for transit riders, bicyclists, or pedestrians, projects by a public transit agency to construct or maintain infrastructure to charge or refuel zero-emission transit buses, projects carried out by a city or county to reduce minimum parking requirements, and projects for pedestrian and bicycle facilities. The bill would, except as provided, require those exempt projects to meet additional specified criteria, including that a public agency is carrying out the project and is the lead agency for the project. The bill would, except as provided, require the lead agency to certify that those projects will be carried out by a skilled and trained workforce, except as provided. For those exempted projects exceeding \$100,000,000 in 2020 United States dollars, the bill would, except as provided, require the lead agency to complete and consider the results of a project business case and a racial equity analysis, as prescribed, would require the lead agency, before exempting a project from CEQA, to hold at least 3 noticed public meetings in the project area to hear and respond to public comments, and would require the lead agency, in at least one of those public meetings, to review the project business case and the racial equity analysis, and would also require the lead agency to conduct at least 2 noticed public meetings annually during project construction for the public to provide comments. If the lead agency determines to carry out a project exempt under the above provisions, the bill would require the lead agency to file a notice of exemption with the Office of Planning and Research and the county clerk of the county in which the project is located. The bill would repeal the above-described exemptions on January 1, 2023. This bill contains other related provisions and other existing laws.</p> <p>Amended: 8/12/2020</p>	<p>Assembly Appropriations</p>	<p>Supported August 2020</p>
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Active Bills

[SB 902](#) ([Wiener D](#))

Planning and zoning:
housing development:
density.

The Planning and Zoning Law requires a city or county to adopt a general plan for land use development within its boundaries that includes, among other things, a housing element. Existing law requires an attached housing development to be a permitted use, not subject to a conditional use permit, on any parcel zoned for multifamily housing if at least certain percentages of the units are available at affordable housing costs to very low income, lower income, and moderate-income households for at least 30 years and if the project meets specified conditions relating to location and being subject to a discretionary decision other than a conditional use permit. Existing law provides for various incentives intended to facilitate and expedite the construction of affordable housing. This bill would authorize a local government to pass an ordinance, notwithstanding any local restrictions on adopting zoning ordinances, to zone any parcel for up to 10 units of residential density per parcel, at a height specified by the local government in the ordinance, if the parcel is located in a transit-rich area, a jobs-rich area, or an urban infill site, as those terms are defined. In this regard, the bill would require the Department of Housing and Community Development, in consultation with the Office of Planning and Research, to determine jobs-rich areas and publish a map of those areas every 5 years, commencing January 1, 2022, based on specified criteria. The bill would specify that an ordinance adopted under these provisions is not a project for purposes of the California Environmental Quality Act. This bill contains other related provisions.

Amended: 5/21/2020

Assembly Appropriations

Watch

Active Bills

<p><u>SB 1159</u> (<u>Hill D</u>)</p> <p>Workers' compensation: COVID-19: critical workers.</p>	<p>Existing law establishes a workers' compensation system, administered by the Administrative Director of the Division of Workers' Compensation, to compensate an employee, as defined, for injuries sustained in the course of employment. Existing law creates a disputable presumption that specified injuries sustained in the course of employment of a specified member of law enforcement or a specified first responder arose out of and in the course of the employment. Existing law governs the procedures for filing a claim for workers' compensation, including filing a claim form, and provides that an injury is presumed compensable if liability is not rejected within 90 days after the claim form is filed, as specified. This bill would define "injury" for an employee to include illness or death resulting from the 2019 novel coronavirus disease (COVID-19) under specified circumstances, until January 1, 2024, for employees generally, and until July 1, 2024, for certain peace officers, firefighters, and health care workers, among others. The bill would create a disputable presumption, as specified, that the injury arose out of and in the course of the employment and is compensable, for specified dates of injury. The bill would limit the applicability of the presumption under certain circumstances. The bill would require an employee to exhaust their paid sick leave benefits and meet specified certification requirements before receiving any temporary disability benefits or, for police officers, firefighters, and other specified employees, a leave of absence. The bill would also make a claim relating to a COVID-19 illness presumptively compensable, as described above, after 30 days rather than 90 days. The bill would state the intent of the Legislature to create a disputable presumption for employees diagnosed with COVID-19 as part of an outbreak at a specific place of employment.</p> <p>Amended: 8/12/2020</p>	<p>Assembly Appropriations</p>	<p>Watch</p>
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Inactive Bills

<p>AB 90 (Committee on Budget) Transportation.</p>	<p>(1)Under the Mills-Alquist-Deddeh Act, also known as the Transportation Development Act, revenues from a 1 / 4 % sales tax in each county are transferred to the county’s local transportation fund and available, among other things, for allocation by a transportation planning agency to transit operators, subject to certain financial requirements for an operator to meet in order to be eligible to receive funds. Existing law sets forth alternative ways for an operator to qualify for funding, including a standard under which the allocated funds do not exceed 50% of the operator’s total operating costs, as specified, or the maintenance by the operator of a specified ratio of fare revenues to operating cost. If an operator was allocated funds from a local transportation fund during a fiscal year in which it did not maintain the required ratio of fare revenues to operating cost, existing law requires the operator’s eligibility to receive these moneys and specified allocations under the State Transit Assistance Program to be reduced during a subsequent penalty year by the amount of the difference between the required fare revenues and the actual fare revenues collected for the fiscal year that the required ratio was not maintained.This bill would prohibit the imposition of this penalty on an operator that does not maintain the required ratio of fare revenues to operating cost during the 2019–20 or 2020–21 fiscal year. This bill contains other related provisions and other existing laws.</p> <p>Chaptered: 6/29/2020</p>	<p>Assembly Chaptered</p>	<p>Watch</p>
<p>AB 1991 (Friedman D) Transit and Intercity Rail Capital Program: passenger tramways.</p>	<p>Existing law establishes the Transit and Intercity Rail Capital Program, which is funded in part by a continuously appropriated allocation of 10% of the annual proceeds of the Greenhouse Gas Reduction Fund, to fund transformative capital improvements that will modernize California’s intercity, commuter, and urban rail systems and bus and ferry transit systems to achieve certain policy objectives. Existing law requires the Transportation Agency to evaluate applications for funding under the program and to approve a multiyear program of projects, as specified, and requires the California Transportation Commission to allocate funding to applicants pursuant to the program of projects approved by the agency.This bill would expand the purpose of the program to authorize funding for passenger tramway transit systems. By expanding the purposes for which continuously appropriated moneys may be used, the bill would make an appropriation.</p> <p>Introduced: 1/27/2020</p>	<p>Failed passage in the Assembly Transportation Committee*</p>	<p>Watch</p>

Inactive Bills

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

Inactive Bills

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

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

Inactive Bills

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

Inactive Bills

<p><u>AB 3116</u> (<u>Irwin D</u>)</p> <p>Mobility devices: personal information.</p>	<p>Existing law, the California Consumer Privacy Act of 2018, grants a consumer various rights with respect to personal information, as defined, that is collected or sold by a business, as defined, including the right to opt out of the sale of a consumer’s personal information. This bill would authorize a public agency, defined as a state or local public entity that issues a permit to an operator for mobility services or that otherwise regulates an operator, to require an operator to periodically submit to the public agency anonymized trip data and the operator’s mobility devices operating in the geographic area under the public agency’s jurisdiction and provide specified notice of that requirement to the operator. The bill would authorize a public agency to share anonymized trip data with a contractor, agent, or other public agency only if specified conditions are met, including that the purpose of the sharing is to assist the public agency in the promotion and protection of transportation planning, integration of mobility options, and road safety. The bill would prohibit a public agency from sharing trip data with a contractor or agent. This bill contains other existing laws.</p> <p>Amended: 5/12/2020</p>	<p>Assembly Dead – Held in Appropriations Committee</p>	<p>Watch</p>
<p><u>AB 3128</u> (<u>Burke D</u>)</p> <p>Electricity: deenergization events: fuel cells.</p>	<p>Under existing law, the Public Utilities Commission has regulatory authority over public utilities, including electrical corporations. Existing law requires each electrical corporation to annually prepare a wildfire mitigation plan and to submit its plan to the commission for review and approval, as specified. Existing law requires the wildfire mitigation plan to include, among other things, protocols for disabling reclosers and deenergizing portions of the electrical distribution system, also known as public safety power shutoffs, that consider the associated impacts on public safety. This bill would provide that it is the intent of the Legislature to enact legislation that would incentivize the use of fuel cells to address reliability issues associated with public safety power shutoffs.</p> <p>Introduced: 2/21/2020</p>	<p>Failed passage in the Assembly Natural Resources Committee*</p>	<p>Watch</p>
<p><u>AB 3213</u> (<u>Rivas, Luz D</u>)</p> <p>High-Speed Rail Authority: high-speed rail service: priorities.</p>	<p>Existing law establishes the High-Speed Rail Authority within the state government with various powers and duties related to developing and implementing high-speed passenger rail service. Existing law requires the authority to direct the development and implementation of intercity high-speed rail service that is fully integrated with specified forms of transit. This bill would require the authority, in directing the development and implementation of intercity high-speed rail service, to prioritize projects based on specified criteria.</p> <p>Introduced: 2/21/2020</p>	<p>Assembly Dead – Failed Fiscal Committee Deadline</p>	<p>Watch</p>
<p><u>HR 97</u> (<u>Frazier D</u>)</p> <p>Relative to high-speed rail.</p>	<p>Chaptered: 6/11/2020</p>	<p>Assembly Adopted</p>	<p>Watch</p>

Inactive Bills

<p>SB 43 (Allen D)</p> <p>Carbon intensity and pricing: retail products.</p>	<p>The California Global Warming Solutions Act of 2006 designates the State Air Resources Board as the state agency charged with monitoring and regulating sources of emissions of greenhouse gases. The state board is required to approve a statewide greenhouse gas emissions limit equivalent to the statewide greenhouse gas emissions level in 1990 to be achieved by 2020 and to ensure that statewide greenhouse gas emissions are reduced to at least 40% below the 1990 level by 2030. This bill would require the state board, no later than January 1, 2022, to submit a report to the Legislature on the findings from a study, as specified, to determine the feasibility and practicality of assessing the carbon intensity of all retail products subject to the tax imposed pursuant to the Sales and Use Tax Law, so that the total carbon equivalent emissions associated with such retail products can be quantified. This bill contains other existing laws.</p> <p>Amended: 7/1/2019</p>	<p>Failed passage in the Assembly Revenue and Taxation Committee*</p>	<p>Watch</p>
<p>SB 50 (Wiener D)</p> <p>Planning and zoning: housing development: streamlined approval: incentives.</p>	<p>(1) Existing law authorizes a development proponent to submit an application for a multifamily housing development that satisfies specified planning objective standards to be subject to a streamlined, ministerial approval process, as provided, and not subject to a conditional use permit. This bill would authorize a development proponent of a neighborhood multifamily project located on an eligible parcel to submit an application for a streamlined, ministerial approval process that is not subject to a conditional use permit. The bill would define a “neighborhood multifamily project” to mean a project to construct a multifamily structure on vacant land, or to convert an existing structure that does not require substantial exterior alteration into a multifamily structure, consisting of up to 4 residential dwelling units and that meets local height, setback, and lot coverage zoning requirements as they existed on July 1, 2019. The bill would also define “eligible parcel” to mean a parcel that meets specified requirements, including requirements relating to the location of the parcel and restricting the demolition of certain housing development that may already exist on the site. This bill contains other related provisions and other existing laws.</p> <p>Amended: 1/6/2020</p>	<p>Failed passage on the Senate Floor</p>	<p>Watch</p>
<p>SB 147 (Beall D)</p> <p>High-Speed Rail Authority.</p>	<p>The California High-Speed Rail Act creates the High-Speed Rail Authority to develop and implement a high-speed train system in the state, with specified powers and duties. Existing law authorizes the authority, among other things, to keep the public informed of its activities. This bill would revise that provision to instead authorize the authority to keep the public informed through activities, including, but not limited to, community outreach events, public information workshops, and newsletters posted on the authority’s internet website.</p> <p>Introduced: 1/18/2019</p>	<p>Failed passage in the Assembly Transportation Committee*</p>	<p>Watch</p>

Inactive Bills

<p>SB 278 (Beall D)</p> <p>Metropolitan Transportation Commission.</p>	<p>The Metropolitan Transportation Commission Act creates the Metropolitan Transportation Commission as a local area planning agency to provide comprehensive regional transportation planning for the region comprised of the 9 San Francisco Bay area counties. The act requires the commission to continue to actively, on behalf of the entire region, seek to assist in the development of adequate funding sources to develop, construct, and support transportation projects that it determines are essential. This bill would also require the commission to determine that those transportation projects are a priority for the region. This bill contains other related provisions and other existing laws.</p> <p>Amended: 3/28/2019</p>	<p>Failed passage in the Assembly Transportation Committee*</p>	<p>Watch</p>
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*This bill is not moving forward due to limitations in place on bills under consideration due to COVID-19.

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
General Manager/CEO

FROM: Seamus Murphy
Chief Officer, Communications

SUBJECT: **RESOLUTION ENDORSING THE "RIDING TOGETHER: BAY AREA HEALTHY
TRANSIT PLAN"**

ACTION

Staff recommends the Board adopt a resolution endorsing the "Riding Together: Bay Area Healthy Transit Plan" (Plan) as a baseline set of measures that Caltrain, along with other Bay Area transit agencies, will implement to ensure the health of transit riders and workers during the coronavirus (COVID-19) pandemic.

SIGNIFICANCE

Bay Area transit agencies are uniting with the common goal of providing a healthy ride for the public as the region responds to COVID-19 pandemic. The core focus of this effort is the development and implementation of the Plan. The Plan outlines a baseline set of measures including frequent cleaning, personal protective equipment, face coverings, physical distancing, ventilation, and touchless fares. These baseline standards will provide transit customers with consistent expectations across all Bay Area public transportation operations and will help protect the health of public transportation operators and employees.

BUDGET IMPACT

There is no impact on the budget.

BACKGROUND

On May 7, 2020, the Metropolitan Transportation Commission released a framework for creation of a 30-member Blue Ribbon Transit Recovery Task Force to guide the Bay Area's public transportation network as the region adjusts to new conditions created by the COVID-19 pandemic.

Although many of the public transportation providers have their own individual plans, operators throughout the region collaborated to create a common set of responsibilities for public transportation customers and public transportation providers.

In addition to providing a baseline set of standards that customers and workers can expect to see implemented on Bay Area transit systems, the Plan also outlines how the standards will be communicated to customers, workers and the general public. The Plan is a living document, and is intended to evolve as conditions, circumstances and regulations change.

Prepared by: Tasha Bartholomew, Manager, Communications

650-508-7927

RESOLUTION NO. 2020-

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

* * *

**ENDORING THE "RIDING TOGETHER: BAY AREA HEALTHY TRANSIT PLAN" AS A
BASELINE SET OF MEASURES TO ENSURE THE HEALTH OF TRANSIT
RIDERS AND WORKERS DURING THE COVID-19 PANDEMIC**

WHEREAS, like other Bay Area transit systems, the health of riders and transit workers continues to be Caltrain's number one priority; and

WHEREAS, despite an unprecedented loss of ridership due to the COVID-19 pandemic, many riders continue to depend on Bay Area systems for essential travel; and

WHEREAS, survey data increasingly suggests that the majority of public transit riders will return to transit when allowed to do so; and

WHEREAS, the COVID-19 pandemic has presented transit systems with an historic set of challenges, including the need to adjust protocols and procedures to ensure a safe operating environment; and

WHEREAS, since the start of the pandemic, transit systems have collaborated with each other and with regional leaders, transit workers, rider advocates, public health experts, and others to create the "Riding Together: Bay Area Healthy Transit Plan" (Plan), which outlines a baseline set of measures that transit systems will implement to protect riders and workers; and

WHEREAS, the Plan provides guidance in the areas of vehicle disinfecting, physical distancing, face coverings, touchless payments, ventilation, employee

personal protective equipment, testing, contact tracing, and employee wellness assessments; and

WHEREAS, the Plan will coexist and complement system specific plans developed by individual transit agencies; and

WHEREAS, the Plan is a living document and is intended to evolve as transit agencies continue to monitor rider and employee health on their systems and collaboratively take steps to respond to changing conditions.

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors supports the implementation of the "Riding Together: Bay Area Healthy Transit Plan" on Caltrain services and on transit services throughout the Bay Area to keep transit riders and workers healthy during the COVID-19 pandemic; and

BE IT FURTHER RESOLVED that through the method established for transit system reporting of health metrics related to the COVID-19 pandemic, that District will report monthly on its performance in aligning with the baseline health measures set forth in the Plan.

Regularly passed and adopted this 3rd day of September, 2020 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

District Secretary

Riding Together: Bay Area Healthy Transit Plan



Collaborative Plan for Customers & Employees



- Tied to State Pandemic Resilience Roadmap
- Bay Area transit operator led: 9 counties, large & small, 25 agencies
- Goals:
 - Common health & safety commitments
 - Establish consistency between transit providers and for cross-county trips
 - Build passenger and worker confidence
- Key Components
 - Protocols to reduce transmission risk within & across systems
 - Common, adaptable and shared baseline
 - Operators will publicly share data for transparency & building public confidence
 - Coordinated communications program

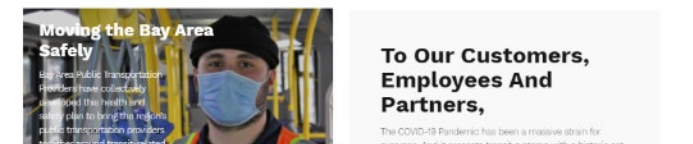
Common Commitments



- Health & Safety Mitigations
 - State Mandated Face Coverings
 - Safe Distancing & Capacity
 - Hand Hygiene
 - A Quiet Ride
 - Daily Cleaning & Disinfecting
 - Ventilation
 - Touchless Fares
 - Provide PPE for Employees
 - Support Contact Tracing
 - Enhance Paratransit Protocols
- Communication Strategy
- Accountability & Reporting

Plan Implementation

- Bay Area Operators accountable for Plan implementation
- Partnership with riders – shared responsibility
- Plan published 8/17 – healthytransitplan.com
- Commits to report monthly on performance in aligning with baseline health measures
- Living document – continued collaboration





Thank you

Q&A



**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

FROM: Jim Harnett
Executive Director

Michelle Bouchard
Chief Operating Officer

Derek Hansel
Chief Financial Officer

SUBJECT: **ADOPTION OF FISCAL YEAR 2021 OPERATING BUDGET, AMENDMENT OF THE FISCAL YEAR 2021 CAPITAL BUDGET AND SUSPENSION OF PREVIOUSLY-APPROVED CALTRAIN FARE INCREASES**

ACTION

Staff Coordinating Council (SCC) recommends the Board:

1. Adopt a Fiscal Year (FY) 2021 Operating Budget of \$147,318,831
2. Amend to increase the FY2021 Capital Budget by \$42,557,293 for a new budget of \$61,676,772
3. Suspend previously-approved fare increases until after FY2021.

SIGNIFICANCE

In recognition of the uncertainties presented by COVID-19, on June 4, 2020 the Board adopted an Interim 1st Quarter Operating Budget and Capital Budget for FY2021, with the understanding that budgets for full annual budgets for the fiscal year would be presented in the late summer or early fall.

Since then, COVID-19 has continued to have a challenging impact on the operations and finances of local governments and the public at large. Broadly speaking, the JPB's staff has faced the uncertainties that came with the COVID-19 pandemic head-on, placing a new importance on considering JPB's financial goals from the perspective of maintaining sufficient liquidity and financial support to maintain operations, even at a reduced level.

Beginning in March, the JPB implemented measures to mitigate some of these challenges and has seen some positive results, including the following:

- In April 2020, the Board approved a diesel fuel-hedging program and a statement of policy and strategy to maintain a futures account to acquire, hold and dispose of diesel futures contracts, and authorized establishment of commodity futures accounts. The fuel hedge program has 28 diesel contracts in place (to the futures month of July 2021) representing a hedge of 63.5% of

expected fuel consumption. Currently the program has realized and unrealized gains of \$144,041 or a savings of approximately 7 cents per gallon of diesel. The Proposed Operating Budget reflects initial savings resulting from this action.

- In the immediate aftermath of shelter-in-place orders, Caltrain reduced the train schedule from 92 trains per day to 70 trains, and subsequently to 42 trains. Caltrain reintroduced a modified 70-train schedule on June 15, 2020; the Proposed Operating Budget provides for Caltrain to maintain a stable and reliable 70-train schedule for the rest of FY2021.
- The JPB is continually exploring opportunities to secure additional revenue to support the ongoing capital and operating needs of Caltrain:
 - In July, the Board approved a revenue-producing contract to explore naming sponsorship rights. Staff has determined there may be opportunity to leverage certain Caltrain stations and assets to generate additional revenue.
 - Continue work on the Caltrain sales tax ballot, as allowed by Senate Bill (S.B.) 797.
- Caltrain is vigorously implementing a program to build trust and encourage the riding public to get back on the trains.
 - Caltrain is part of a regional campaign to inform the public of measures undertaken by transit agencies to ensure the safety of their health riding the trains.
 - Training of staff continues to ensure the conduct of all personnel and maintenance of the trains are compliant with all COVID-19 prevention requirements.
- Caltrain joined the regional means-based fare pilot program administered by the Metropolitan Transportation Commission (MTC), and the board authorized an increase in the discount from the 20% level approved in 2019 to 50%.
- Caltrain staff has developed equity policies proposed for Board adoption and advance funding obtained through a successful SB797 ballot measure.
- Caltrain has developed public timetables that will better facilitate transfers between modes, particularly BART on the peninsula.

Based in part on the steps listed above, the Proposed Operating Budget assumes an increasing monthly ridership recovery rate, starting with 5.0% recovery rate in July and increasing to up to 30% recovery for the second half of the fiscal year.

In summary, the goals and challenges addressed through the Proposed budgets are:

- To obtain budget appropriations for the remainder of FY2021. The Proposed

budgets reflect expenditures for essential services and contractual obligations;

- To add to the JPB's arsenal against COVID-19 an aggressive plan of action to focus on bringing passengers back on the trains by building a higher level of trust with the riding public that Caltrain is ensuring health safety on the trains;
- To continue to recognize that affordable public transportation is vital to equitably supporting economic recovery for the region;
- To maintain a Caltrain schedule that will meet the changing behavior of the riding public during the gradual lift of the Shelter In Place (SIP) orders established at the State and local levels

The FY2021 Proposed Operating Budget and the amendment to the FY2021 Capital Budget promote Caltrain's ability to be nimble and adapt operations to changing conditions, meet its financial obligations and set the stage to be ready to meet the challenges for the remainder of the fiscal year.

Suspension of Board approved fare increases:

On September 5, 2019, the JPB adopted Caltrain's current Fare Structure, which includes fare increases that were to take effect on April 1 and July 1, 2020, but both of which were suspended temporarily by the Executive Director within authority previously provided by the Board and in recognition of the effects of COVID-19 on Caltrain passengers and ridership. On August 24, the Finance Committee approved staff's request to propose to the Board to suspend these previously-approved fare increases through FY 2021.

FY2021 Proposed Operating Budget Overview

The FY21 Proposed Operating Budget, outlined below and detailed in Attachment A, cautiously assumes that passengers will start riding again, albeit at a lower level and at a slower rate. Thus, the Proposed budget is built around the operation of a 70-train schedule for the balance of the fiscal year.

In June, the Board approved the 1st Quarter Interim Operating Budget. The FY21 Proposed budget presented before the Board is a full-year budget. At the September Board meeting, staff will propose the FY21 operating budget for Board approval.

On the revenue side, farebox revenue is relying heavily on the Go Pass fare. This budget assumes an increasing monthly recovery of pre-COVID-19 ridership levels up to 30% in the January 2021 to June 2021 timeframe with lower ridership levels increasing up to those levels over the balance of 2020. This budget also assumes the operating funding contributions from the JPB member agencies will remain at the FY2020 levels.

On the expense side, starting in FY21, Positive Train Control (PTC) will move from a capital project to a normal operating and maintenance requirement. We will separately calculate the cost of complying with this unfunded federal mandate. Labor cost assumptions continue to include an administrative hiring freeze and no

universal wage increase, among others. Furthermore, this budget includes an assumption of stability in fuel costs under the JPB's diesel fuel hedging program.

FY2021 Capital Budget Overview

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

During the FY2020 SIP period, the 42-train schedule increased right of way access and allowed the JPB to perform some critical work relative to rolling stock "state-of-good-repair". In the first quarter of FY21, with funding from various agencies in flux, the initial FY21 Capital Budget focused only on projects that will be supported by redirecting available funds from other projects that have been completed under budget, or from other projects that can be postponed.

As the JPB looks ahead to FY2021, the Amendment to the Caltrain Capital Budget, described in this report and set forth in Attachment B, includes additional required capital projects that will be eligible for traditional annual federal, state and local funding.

BUDGET IMPACT

FY2021 Proposed Operating Budget Impact

The following narrative describes the FY2021 Proposed Operating Budget as compared to FY2020 Forecast. Each section has a reference to a line item that corresponds to the Financial Statement as shown on attachment A.

Revenue Projections

Total revenues in the FY21 Proposed budget estimated at \$87.3 million reflects a decrease of \$35.5 million or 28.9% lower than the FY2020 Forecast.

Revenue from Operations in the FY21 Proposed budget estimated at \$51.9 million reflects a decrease of \$33.9 million or 39.5% lower than the FY2020 Forecast.

Revenue from Contributions in the FY21 Proposed budget estimated at \$35.3 million reflects a decrease of \$1.6 million or 4.5% lower than the FY2020 Forecast.

Operating Revenue

Line 1 **Farebox Revenue:** \$45.9 million, a decrease of \$30.1 million or 39.6% lower than the FY2020 Forecast.

Farebox revenue includes fare receipts collected directly from rail passengers or through pass sales. Go Passes purchased generally are valid for a 12-month period

and thus cuts across two fiscal years. Go Pass revenues average \$2.5 million a month.

At the June 2020 Board meeting, the Board approved the extension of the Go Pass for up to three months ending March 2021. The impact of this action reflects a loss of approximately \$7.5 million in FY2020 Farebox revenues. The FY21 Proposed budget assumes no further reductions in Calendar Year 2020 Go Pass revenues, and a 30% non-renewal of Go Pass beginning April 2021. The Farebox revenue estimate further assumes an increasing monthly ridership recovery rate of 5.0% for July-August, 10% for September-October, 20% for November-December and a recovery rate of 30% for the period January-June.

Line 2 **Parking Revenue:** \$1.2 million, a decrease of \$2.5 million or 68.6% lower than the FY2020 Forecast.

Parking revenue includes fees at parking lots at various passenger stations and from a parking lot located at the SAP Center adjacent to the San Jose Diridon station. Parking revenues directly follow the movements in ridership levels.

Line 3 **Shuttle Revenue:** \$2.0 million projected at the same level as FY2020 Forecast.

The Shuttle Program funding comes from participating employers, the San Mateo County Transportation Authority (TA), Bay Area Air Quality Management District (BAAQMD) and by JPB operating funds. This line item refers only to the revenue generated from participating local area employers who provide rail passengers the last-mile connections between Caltrain stations and work sites. In recent years, the traditional funding sources for the shuttle program have continued to decline, necessitating additional member and agency funding.

Line 4 **Rental Income:** \$1.1 million, estimate is at the same level as the FY2020 Forecast.

Rental income generated from Caltrain right of way properties. In FY21, the estimate does not include rental from bike lockers. Staff is also monitoring and working with lessors on a month-to-month basis.

Line 5 **Other Income:** \$1.8 million, a decrease of \$1.2 million or 41.4% lower than the FY2020 Forecast.

Other Income consists of interest on invested funds, shared track usage maintenance fees, advertising income, parking citation fees, and permit fees. Advertising income includes income from train wraps, stations, ad cards, and digital displays. The FY21 advertising income estimate is based on contractual minimum annual guarantees and additional sales albeit lower than the prior years. The income from shared track maintenance is based on an agreement with the Union Pacific Railroad (UPRR) which provides for a fixed annual fee and a variable fee based on track usage.

Operating Contributions

Line 9 **AB434 & TA Shuttle Funding:** \$1.7 million estimate is at the same level as the FY2020 Forecast.

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

Line 10 **Operating Grants:** \$4.6 million, a decrease of \$0.7 million or 13.9% lower than the FY2020 Forecast.

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

For FY2021, the Metropolitan Transportation Commission (MTC) recently revised its STA estimates downwards as sales tax declined and as diesel fuel prices weakened. The MTC then further lowered the FY21 estimates due to COVID-19. The FY21 Proposed budget reflects the most recent MTC estimates.

STA funds are flexible for both operating and capital expenditures. Unlike prior years, the FY21 STA funds will support only the operating budget. The FY21 proposed budget also includes a funding agreement with the Federal Railroad Administration (FRA) for \$48,500 in Railroad Trespassing Enforcement Grant program funding for the Caltrain Right-of-Way Trespassing Project.

Line 11 **JPB Member Agencies:** \$29.0 million, a decrease of \$0.9 million or 3.0% lower than the FY2020 Forecast.

The JPB has three member agencies: the City and County of San Francisco, the San Mateo County Transit District and the Santa Clara Valley Transportation Authority. Contributions from the JPB's member agencies estimates are in accordance with an allocation methodology based on the average mid-weekday boarding data (including at Gilroy) and subsequently adjusted for FY2020 to reflect passenger data collected in FY2019.

Expense Projections

Grand Total Expenses in the FY2021 Proposed Budget estimated at \$147.3 million reflects an increase of \$2.5 million or 1.8% higher than the FY2020 Forecast.

Operating Expenses in the FY2021 Proposed Budget estimated at \$121.7 million reflects an increase of \$3.8 million or 3.2% higher than the FY2020 Forecast.

Administrative Expense in the FY2021 Proposed Budget estimated at \$23.3 million reflects a decrease of \$1.0 million or 4.1% lower than the FY2020 Forecast.

Operating Expenses

Line 21 **Rail Operator Service:** \$89.3 million, a 6.9% increase or \$5.8 million more than the FY2020 Forecast.

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

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

As the pandemic unfolded in FY2020, JPB and TASI worked collaboratively to mitigate costs by doing the following:

- issuing a hiring freeze,
- shifting staff from traditional operations maintenance to support the State of Good Repair Program and the Capital Improvement Program,
- reducing overtime
- reducing labor overhead
- eliminating the annual passenger count
- eliminating 4th quarter special service

In the FY2021 budget, the above mitigation measures are expected to continue at some level. The FY2021 budget, \$89.3 million is \$5.8 million more than the FY2020 forecast. The \$5.8 million is comprised of \$3.0 million for maintenance of Positive Train Control (PTC), a contractual incremental increase of 0.5% in general and administration costs, TASI contractual increases in union wages, and increases in labor burden rates. The TASI maintenance of the PTC system includes field validation and test support, PTC maintenance, PTC help desk and maintenance of the Backup Communication Control Facility (BCCF).

The TASI maintenance of the Positive Train Control system includes field validation and test support, PTC maintenance, PTC help desk and maintenance of the Backup Communication Control Facility (BCCF).

Line 23 **Security Services:** \$6.7 million, an increase of \$0.5 million or 8.8% more than the FY2020 Forecast

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

The FY2021 Proposed budget assumes savings for not holding special events such as the SF Giants, SF 49ers, SJ Sharks, among others.

Line 24 **Shuttles:** \$4.1 million reflects no change over the FY2020 Forecast.

The Shuttle program provides last-mile connections for Caltrain passengers. The FY2021 Proposed budget assumes a minimum service schedule option. There were four routes eliminated In FY2020; this will continue in FY21. In FY21, the cost of the shuttle contract will likely increase as new rates will be negotiated.

Line 25 **Fuel and Lubricants:** \$5.9 million, a decrease of \$3.3 million or 35.6% lower than the FY2020 Forecast.

The Proposed budget covers the cost of diesel fuel for JPB locomotive operations, including the associated taxes. Caltrain has entered into a diesel fuel-hedging program that will help manage the exposure to changes in diesel fuel prices. The cost of fuel used in the FY2021 Proposed budget is \$1.30 per gallon and a fuel usage estimate based on a 70-train schedule.

Line 26 **Timetables and Tickets:** \$110,000, an increase of \$10,000 or 10.0% higher than the FY2020 Forecast.

Timetables and Tickets includes the cost of designing, updating and printing of time tables, schedules, maps and the Caltrain tickets.

Line 27 **Insurance:** \$5.4 million, an increase of \$0.9 million or 20.1% more than the FY2020 Forecast.

The Insurance budget includes premiums, deductibles, adjuster fees, broker fees and other insurance costs. Rates reflect costs for property, casualty, and liability insurance. The FY2021 Proposed budget reflects the cost of the recently negotiated insurance contract adjusted with the impact of changes in ridership.

The market condition in the industry predates pre-COVID-19-19. This was a market hardened by huge losses, global events and a litigious environment in the rail industry. Liability insurance cost went up as fewer insurers opted to continue to operate in the industry and existing carriers reduced their exposures.

Line 28 **Claims, Reserves and Payments:** \$960,000, an increase of \$8,206 or 0.9% higher than the FY2020 Forecast.

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

Line 29 **Facilities and Equipment Maintenance:** \$5.4 million, an increase of \$2.2 million

or 67.7% higher than the FY2020 Forecast.

This budget item covers expenses related to Clipper Operator charges, revenue collection services, ticket vending machines, data line services and other contract services. The FY2021 Proposed budget includes additional PTC maintenance cost of \$3.2 million and reflects a \$1.0 million decrease in Clipper usage charges.

Line 30 **Utilities:** \$2.1 million, an increase of \$24,578 or 1.2% higher than the FY2020 Forecast.

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

Line 31 **Maintenance & Services – Building and Other:** \$1.6 million, an increase of \$22,070 or 1.4% higher than the FY2020 Forecast.

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

Administrative Expenses

Line 35 **Wages & Benefits:** \$10.9 million, a decrease of \$1.1 million or 9.4% lower than the FY2020 Forecast.

The FY2021 Proposed budget includes existing positions, no new full time employee positions (also referred to herein as "FTEs"), an administrative staff hiring freeze, a lower benefits rate, no universal wage increase, and lower agency allocations to the retiree medical and OPEB plans.

Below are the FTEs for each division funded by operating funds and by capital funds.

FY2021 FTE - Operating	Finance	Planning	Executive	Comm	Admin	Bus	Rail	Calmod	Total
Represented	-	-	-	5.8	-	5.0	-	-	10.80
Non-Represented	6.2	2.8	0.5	12.6	7.1	4.9	34.2	0.1	68.25
New FTEs	-	-	-	-	-	-	-	-	-
Total Operating	6.2	2.8	0.5	18.4	7.1	9.9	34.2	0.1	79.1

FY2021 FTE - Capital	Finance	Planning	Executive	Comm	Admin	Bus	Rail	Calmod	Total
Represented	-	-	-	-	-	-	-	-	-
Non-Represented	12.7	5.3	0.5	-	1.8	-	51.1	8.9	80.30
New FTEs	-	-	-	-	-	-	-	-	-
Total Capital	12.7	5.3	0.5	-	1.8	-	51.1	8.9	80.3

Line 36 **Managing Agency Admin OH Cost:** \$5.2 million, an increase of \$61,935 or 1.2% higher than the FY2020 Forecast.

Managing Agency Administrative Overhead (OH) Cost reflects the cost of San Mateo County Transit District (District) personnel dedicated to the Caltrain business (as opposed to Caltrain operations). The Proposed budget assumes an increase of 1.2% over the FY2020 Forecast. This FY21 estimate will be revised further pending results of the current study of the Internal Cost Allocation Plan (ICAP).

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

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

The ICAP calculates two components:

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

This consists of labor and non-labor support functions that benefit each of the three agencies managed by the District as well as a fourth agency, the San Mateo County Express Lanes Joint Powers Agency (SMCELJPA) supported by the District beginning in FY 2020. Examples include the time charged by the Payroll Department to process the biweekly payroll or the time charged by the Human Resource Department to post recruitments on industry websites. Based on specific statistics, these costs distributed to each department are. For example, the payroll department costs are distributed to each department based on the number of FTEs. The District incurs all of the AIA costs and then recovers appropriate shares of the costs from the District's Operating and Capital budgets, the JPB Operating and Capital budgets, the TA budget and the SMCELJPA budget.

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

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

Line 37 **Board of Directors:** \$10,000, a decrease of \$4,600 or 31.5% lower than the FY2020 Forecast.

This covers director compensation, seminars and training, and meetings for the Board

of Directors. Cost decreases result from diminished conference attendance.

Line 38 **Professional Services:** \$4.4 million, an increase of \$254,417 or 6.1% higher than the FY2020 Forecast.

This covers the cost of consultants for legal services, audit services, and legislative advocacy and technical services. The FY2021 Proposed budget for professional services also includes additional operating maintenance of PTC related to rail friction, electronic recording, measuring, and communications systems and communications data security.

Line 39 **Communications and Marketing:** \$136,000, a decrease of \$165,500 or 54.9% lower than the FY2020 Forecast.

This covers the cost of promotional advertising for fares, schedule changes and the cost of providing the riding public with a mobile app. The FY2021 Proposed budget reflects the elimination of promotional advertising for sporting events such as the SF Giants, SF49ers, San Jose Sharks, and Bay to Breakers.

Line 40 **Other Office Expense and Services:** \$2.6 million reflects no changes over the FY2020 Forecast.

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

Line 43 **Long Term Debt Expense:** \$2.4 million, a decrease of \$0.3 million or 9.8% lower than the FY2020 Forecast.

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

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

FY2021 Capital Budget Impact

The initial FY21 Capital budget approved by the Board in June for a total of \$19.1 million included only those capital projects that had available funding, but required Board-approved budget authority to incur the expenditures.

The amendment to the FY21 capital budget is an increase of \$42.6 million and

includes urgent projects eligible for the anticipated annual FY2021 Federal, State and Member Agency funds. This brings the total FY21 Capital budget to \$61.7 million.

The Projects included in the Amendment 1 as reflected in Attachment B, are as follows:

STATE OF GOOD REPAIR (SOGR – \$30,968,825

RIGHT OF WAY - \$11,205,000

1. Fencing – Request: \$585,000 (additional)
Continue to install vandal-resistant fencing at key locations along the PCJPB main line rail corridor to deter trespassing. This contract will terminate end of November 2020.

2. Guadalupe River Bridge Replacement – Request: \$2,100,000
Replace the Guadalupe River Bridge in San Jose, damaged by weather and arson.

3. San Francisquito Creek Bridge Replacement – Request: \$2,000,000
In FY21, this project moves to the construction phase for the replacement of this 118-year-old bridge, with a modern railway bridge with a 100-year design life.

4. Structures Maintenance SOGR – Request: \$800,000
This includes minimum maintenance repair to restore the structural integrity to a fair condition, increase the safety, security, and the useful life of the assets.

The inspection rated structures in poor conditions, suffering from deterioration and corrosion as well as poor workmanship from the original construction. Structures Maintenance SOGR FY21 will enhance operation safety, worker, and public safety.

5. System-wide Track Rehab SOGR FY2020-FY2024 – Request: \$5,720,000
Continue the work required to keep the Caltrain railroad in a state of good repair, including rehabilitation of track and other purchased services. Replace track components, wedging, surfacing and selected minor bridge repairs.

SIGNAL AND COMMUNICATION - \$5,000,000

6. Caltrain Communication System SOGR – Request: \$2,000,000
This is a yearly evaluation and implementation of projects for the overall railroad communications system to keep assets current. Evaluates replacements prior to end of life or vendor support. This includes all voice and data radio systems,

microwave systems, leased landlines and the data communications system.

7. Rail Network Annual Maintenance – Request: \$500,000
Upgrade internet service and equipment as necessary to support secure vendor Virtual Private Network (VPN) access, remote monitoring of PTC environment, and communications with external clients such as 511.org. Furthermore, this upgrade will be able to handle higher bandwidth and current equipment including firewalls and routers have reached the end of their technology life cycle.

8. TVM Upgrade Phase 4 – Request: \$1,000,000
The project will continue the upgrade of the Ticket Vending Machines (TVMs) to include Clipper functionalities and upgrade old, obsolete parts in the TVMs. The new upgraded TVMs will be able to dispense new Clipper cards and add value or products to existing Clipper cards. The upgraded TVMs will also have a new touchscreen display screen, printer, bill acceptor and new software.

The previous phases upgraded 34 TVMs. Phase 4 will upgrade an additional 25 TVMs. After Phase 4, there will be 29 TVMs at the stations still needing an upgrade.

9. Clipper CID Installation & Relocation Plan & Construction – Request: \$1,000,000
This project will relocate and install new Clipper Card Interface Devices (CIDs) at key passenger stations at more accessible locations for passengers getting in and out of train stations. The improved flow will allow Caltrain to move more of its customers onto the Clipper system, and away from less-efficient and less-effective payment systems. This will also maximize touchless fare payments.

10. BCCF Buildout Assessment – Request: \$500,000
This project will evaluate the areas of the Backup Communications Control Facility (BCCF) that are partially developed and to assess build-out for occupancy as well as for inventory of the building materials on site from the previous contractor and to develop options and plans for additional working, meeting, and storage space.

ROLLING STOCK - \$12,663,825

11. Bombardier Cars FY21 – Request: \$1,663,825
Implement scheduled maintenance for FY21. These include mid-life over-hauls, replacing cables, seats, batteries, cab refurbishment, and heating ventilation air condition (HVAC) system.

12. Upper Doors Installation – Request: \$11,000,000

This is a placeholder project for the future reinstallation of the upper level doors in the event that these are required in the Electrical Multiple Units as requested by the funding partners of the electrification program's Change Management Board.

STATION AND INTER-MODAL ACCESS - \$2,100,000

13. Stations SOGR FY2020-FY2024 – Request: \$1,000,000
Repair and replace several passenger station amenities. These include Passenger Needing Assistance (PNA) shelters, Information Display Cases (IDC), benches and trashcans. The pedestrian tunnel in San Jose needs repainting since a fire three years ago, and epoxy coating applied on all of the ramps that feed into the San Jose pedestrian tunnel. These continued activities maintain these facilities to a state of good repair.
14. CCF Crew Quarters Roof Replacement & Trailer – Request: \$1,000,000
The Crew quarters are made up of a series of single and doublewide trailers in the parking lot of Centralized Control Facility (CCF) in San Jose across from Centralized Equipment Maintenance & Operations Facility (CEMOF). These include used trailers to support the crews that operate the passenger service. The roofs on these trailers are failing and will need replacements. The floorings and sidings of these trailers will need repairs to maintain these facilities to a state of good repair.
15. Menlo Park Facility 4000 Campbell Avenue HVAC – Request: \$100,000
This is a newly acquired property. The HVAC units on the roof are not functioning efficiently and needs to be replaced/upgraded.

LEGAL MANDATES AND REQUIRED ENHANCEMENTS - \$1,500,000

16. Clipper Next Gen Validators Site Prep – Request: \$1,500,000
Design and install 360 new Next Generation Clipper Validators at stations to prepare for the regional transition to the new Clipper system mandated by MTC. Compliance due date is June 20, 2021.

OPERATIONAL IMPROVEMENTS / ENHANCEMENTS - \$1,950,000

17. Grade Crossing Hazard Analysis Data Collection – Request: \$200,000
The project will collect data at the Caltrain grade crossings for the Grade Crossing Hazard Analysis. Video data will then determine the risks at each grade crossing. Data will include traffic counts, near misses and driver behavior. The last video data collection was in 2015 and new data is required to update the Grade Crossing Hazard Analysis Report.

18. Grade Crossing Safety Improvements Design FY21 – Request: 500,000
Identify the highest priority grade crossings in a Grade Crossing Hazard Analysis Report. Subsequently a design developed for these grade crossings will improve safety as recommended by the Hazard Analysis Report. There are still crossings that have safety risks such as having no median to prevent drivers from driving around a lowered gate arm.

19. EAM – Enterprise Asset Management Software – Request: \$750,000
Develop a Request for Proposals (RFP) to solicit and procure a base EAM system. Core capabilities include asset registry, asset condition and assessment, work request, work planning and management, warranty management, materials management, planning and budgeting, and management reporting.

Asset information is currently stored in various disparate systems and some by the Rail Contract Operator (TASI). The industry best practice is to centralize asset data within a single EAM system to maintain data consistency and analysis. Implementation of an EAM system is in accordance with Transit Asset Management (TAM) Plan of Caltrain.

The EAM system is required to enable Caltrain and the other agencies to maintain its assets in a database. This will allow responsible personnel to write work orders against assets for the performance of maintenance and the state of good repair projects; to maintain a parts inventory; to assign labor to perform maintenance activities, as well as to perform other asset management functions. The EAM will also be required to support Operations and Maintenance of the Electrification system.

20. Update and Upgrade GIS System – Request: \$500,000
The updated Geographic Information System (GIS) system will provide a graphical user interface for information and data stored in the Enterprise Asset Management system as well as AutoCAD. This system will facilitate capturing utility location information, asset locations, real estate easements and parcels; it will support operations.

Both the EAM and GIS systems are required for proper operations and maintenance, and for the organization to start moving towards an excellent model.

PLANNING/STUDIES - \$8,138,468

21. Capital Planning (CIP) – Request: \$1,250,000,
Further CIP development, infrastructure analysis to support the Caltrain Business Plan service vision and planning of station modifications, overtake tracks, site planning of facilities, planning support for ongoing grade separation projects and evolving engineering and construction guidelines.

22. San Francisco Station and Terminal Planning – Request: \$1,000,000
Study conceptual activities related to the layout and operation of the Caltrain terminal and station facilities between Salesforce Transit Center & 22nd Street, with particular focus on outcomes and connecting to the existing rail yard and station at 4th & King.
23. Diridon and South Terminal Area – Request: \$1,000,000
Continue work with agency partners and the California High Speed Rail Authority to further develop and refine the vision for a future Diridon Station. Undertake additional work in partnership with the City of San Jose to examine rail and storage needs and operations through the South Terminal Area.
24. Rail Network and Operations Planning – Request: \$1,250,000
Further near-term planning based on the Caltrain Business Plan service vision; selection and development of a long-term service vision operating plan; fleet planning; systems planning; level boarding analysis, and maintenance planning.
25. Redwood City Station Planning – Request: \$750,000
Develop a Memorandum of Understanding with City of Redwood City and other stakeholders to establish the broad terms of a collaborative planning process for the Redwood City area between Whipple and Redwood Junction. The goal is to develop a conceptual station plan to accommodate future Caltrain service levels, which will include grade separations/closures, private development of a Transit Oriented Development and a connection with Dumbarton rail service.
26. System-wide Planning, Policy & Org Design – Request: \$1,168,468
Include development of interagency agreements on planning and organizational design to support the Caltrain Business Plan findings, and updates to modeling and tools.
27. Caltrain Downtown Rail Extension (DTX) – Request: \$60,000
Continue to develop Downtown Rail Extension as part of the San Francisco Peninsula Rail Program Memorandum of Understanding. Caltrain has committed to actively participate in a wide range of activities to promote successful delivery of this project.
28. Capital Contingency Funds - Engineering – Request: \$330,000
Support unforeseen capital expenditures related to the delivery of capital projects/programs.

- 29. Capital Contingency Funds - Rail – Request: \$660,000
Support unforeseen capital needs related to rail operations.
- 30. Capital Program Development – Request: \$335,000
Support unforeseen capital planning needs.
- 31. Capital Project Development – Request: \$335,000
Implement planning and engineering study activities.

Prepared by: JPB Budgets Team

Cynthia Scarella

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Manager, Budgets 650.508.6230

Senior Budget Analyst

Senior Budget Analyst

RESOLUTION NO. 2020-

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

*** * ***

ADOPTING THE FISCAL YEAR 2021 OPERATING BUDGET IN THE AMOUNT OF \$147,318,831, AMENDING TO INCREASE THE FISCAL YEAR 2021 CAPITAL BUDGET BY \$42,557,293 FOR A NEW BUDGET OF \$61,676,772, AND SUSPENDING PREVIOUSLY-APPROVED CALTRAIN FARE INCREASES UNTIL AFTER FISCAL YEAR 2021

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

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

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

WHEREAS, on June 4, 2020, pursuant to Resolution 2020-29 and in recognition of the economic instability created by the COVID-19 global pandemic, the Board adopted an Interim, First Quarter Fiscal Year 2021 (FY 2021) Operating Budget in the amount of \$42,989,267, and a FY2021 Capital Budget in the amount of \$19,119,479, with the understanding that budgets for the full year would be presented for Board adoption in the fall; and

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

WHEREAS, the local match funding component of the FY2021 Capital Budget is \$18.0 million requiring a capital investment of \$6.0 million from each of the JPB's three member agencies; and

WHEREAS, the City and County of San Francisco will provide its \$6.0 million FY2021 capital investment from Proposition K funds through the San Francisco County Transportation Authority; and

WHEREAS, San Mateo County will provide its \$6.0 million FY2021 capital investment through the San Mateo County Transportation Authority; and

WHEREAS, Santa Clara County Valley Transportation Authority will provide its \$6.0 million FY2021 capital investment itself, using local and Measure B funds; and

WHEREAS, on September 5, 2019, by Resolution No. 2019-32, the JPB adopted Caltrain's current Fare Structure, which includes fare increases that were to take effect on April 1 and July 1, 2020, but both of which were suspended temporarily by the Executive Director within authority previously provided by the Board and in recognition of the effects of the COVID-19 global pandemic on Caltrain passengers and ridership; and

WHEREAS, the Executive Director does not have authority to postpone implementation of fare changes indefinitely, and requests that the Board suspend implementation of Caltrain fare increases that were previously approved by the Board to take effect April 1 and July 1, 2020, until after FY2021 and consistent with assumptions in the FY2021 Operating Budget.

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby adopts the FY2021 Operating Budget, a copy of

which is attached hereto and incorporated herein as Attachment A, in the amount of \$147,318,831.

BE IT FURTHER RESOLVED that the Board amends to increase the FY2021 Capital Budget by \$42,557,293, for a new total budget of \$61,676,772, attached hereto and incorporated herein as Attachment B, with the understanding that the three JPB member agencies will each contribute \$6.0 million to meet their FY2021 capital investment commitments; and

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

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

BE IT FURTHER RESOLVED that the Board hereby suspends implementation of Caltrain fare increases previously approved to take effect on April 1 and July 1, 2020 until after FY 2021.

Regularly passed and adopted this 3rd day of September, 2020 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers
Board

ATTEST:

JPB Secretary

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

	FY2019 ACTUAL	FY2020 FORECAST	FY2021 PRE-COVID SCENARIO	FY2021 PROPOSED	\$ CHANGE FY21 Proposed vs FY20 Forecast	% CHANGE FY21 Proposed vs FY20 Forecast		
	A	B	C	D	E = D - B	F = E/B		
REVENUE								
OPERATIONS:								
1	Farebox Revenue	105,442,321	75,990,000	118,000,000	45,885,324	(30,104,676)	-39.6%	1
2	Parking Revenue	5,316,427	3,679,700	5,300,000	1,155,917	(2,523,783)	-68.6%	2
3	Shuttles	2,047,107	2,031,246	3,435,000	2,031,246	-	0.0%	3
4	Rental Income	1,901,052	1,111,804	2,035,877	1,111,804	-	0.0%	4
5	Other Income	2,957,850	3,008,166	3,699,000	1,764,000	(1,244,166)	-41.4%	5
6	TOTAL OPERATING REVENUE	117,664,757	85,820,916	132,469,877	51,948,291	(33,872,625)	-39.5%	6
7								7
8	CONTRIBUTIONS:							8
9	AB434 & TA Shuttle Funding	1,728,727	1,737,950	1,725,200	1,737,950	-	0.0%	9
10	Operating Grants	3,700,607	5,327,497	8,444,325	4,588,500	(738,997)	-13.9%	10
11	JPB Member Agencies	25,448,000	29,921,971	29,921,971	29,009,434	(912,537)	-3.0%	11
12	TOTAL CONTRIBUTED REVENUE	30,877,334	36,987,418	40,091,496	35,335,884	(1,651,534)	-4.5%	12
13								13
14								14
15	GRAND TOTAL REVENUE	148,542,091	122,808,334	172,561,373	87,284,175	(35,524,159)	-28.9%	15
16								16
17								17
18	EXPENSE							18
19								19
20	OPERATING EXPENSE:							20
21	Rail Operator Service	86,230,812	83,564,916	99,400,000	89,320,881	5,755,965	6.9%	21
22	Positive Train Control	63,394	2,400,000	-	-	(2,400,000)	-100.0%	22
23	Security Services	5,816,573	6,200,000	7,546,908	6,746,908	546,908	8.8%	23
24	Shuttle Service	4,043,565	4,057,249	6,218,900	4,057,249	-	0.0%	24
25	Fuel and Lubricants	11,160,475	9,203,417	11,546,756	5,930,523	(3,272,894)	-35.6%	25
26	Timetables and Tickets	92,987	100,000	90,000	110,000	10,000	10.0%	26
27	Insurance	4,193,739	4,506,064	5,101,064	5,410,000	903,936	20.1%	27
28	Claims, Reserves, and Payments	(65,178)	951,794	951,794	960,000	8,206	0.9%	28
29	Facilities and Equipment Maint	2,944,312	3,228,522	4,613,562	5,414,948	2,186,426	67.7%	29
30	Utilities	2,040,714	2,105,422	2,694,700	2,130,000	24,578	1.2%	30
31	Maint & Services-Bldg & Other	1,377,376	1,567,930	1,723,490	1,590,000	22,070	1.4%	31
32	TOTAL OPERATING EXPENSE	117,898,769	117,885,314	139,887,174	121,670,509	3,785,195	3.2%	32
33								33
34	ADMINISTRATIVE EXPENSE							34
35	Wages and Benefits	10,212,324	12,066,711	15,171,787	10,930,000	(1,136,711)	-9.4%	35
36	Managing Agency Admin OH Cost	6,503,882	5,098,065	5,928,620	5,160,000	61,935	1.2%	36
37	Board of Directors	18,659	14,600	44,100	10,000	(4,600)	-31.5%	37
38	Professional Services	3,440,617	4,145,583	7,298,132	4,400,000	254,417	6.1%	38
39	Communications and Marketing	272,596	301,500	459,500	136,000	(165,500)	-54.9%	39
40	Other Office Expense and Services	5,324,257	2,630,572	3,008,727	2,630,572	-	0.0%	40
41	TOTAL ADMINISTRATIVE EXPENSE	25,772,335	24,257,031	31,910,866	23,266,572	(990,459)	-4.1%	41
42								42
43	Long-term Debt Expense	1,602,163	2,639,773	2,381,750	2,381,750	(258,023)	-9.8%	43
44								44
45								45
46	GRAND TOTAL EXPENSE	145,273,267	144,782,118	174,179,789	147,318,831	2,536,713	1.8%	46
47								47
48								48
49	PROJECTED SURPLUS / (DEFICIT)*	3,268,824	(21,973,784)	(1,618,416)	(60,034,656)			49
50	Does not include application of CARES Act Funding							50



FY2020-2021 CAPITAL BUDGET

Attachment B
September 2020

Item #	PROJECT NAME	Project Sponsor	PRIOR YEARS APPROVED	FY21 ADOPTED JUNE BOARD	AMENDMENT #1	PROPOSED FY21 CAPITAL BUDGET	Federal Funds	STA Funds	State Funds	STA SOGR Funds	Members			Member Funds Total	Other					Other Funds Total	TOTAL PROPOSED FY21 CAPITAL BUDGET
											SF	SM	VTA		Project Savings	AB664	SF Prop K other	Regional Funds	Other		
i. SOGR																					
Right of Way																					
1	Marin Street and Napoleon Street Bridges ¹	J Sharma	6,704,000	9,696,000	-	9,696,000	4,965,021	-	-	1,350,915	-	-	-	-	2,740,064	640,000	-	-	-	3,380,064	9,696,000
2	Fencing - ROW FY21-FY23	R Scarpino	-	915,000	585,000	1,500,000	-	-	915,000	-	250,000	335,000	585,000	-	-	-	-	-	-	-	1,500,000
8	Guadalupe River Bridge Replacement	P Kwan	10,300,000	-	2,100,000	2,100,000	1,680,000	-	-	-	227,500	-	192,500	420,000	-	-	-	-	-	-	2,100,000
9	San Francisquito Creek Bridge Replacement	A Plano	600,000	-	2,000,000	2,000,000	1,600,000	-	-	-	227,500	-	172,500	400,000	-	-	-	-	-	-	2,000,000
#####	Structures Maintenance SOGR	R Scarpino	800,000	-	800,000	800,000	640,000	-	-	-	160,000	-	-	160,000	-	-	-	-	-	-	800,000
#####	System-wide Track Rehab- SOGR FY20-FY24	E Stockmeir	5,500,000	-	5,720,000	5,720,000	4,576,000	-	-	-	1,144,000	-	-	1,144,000	-	-	-	-	-	-	5,720,000
			10,611,000	11,205,000	21,816,000	13,461,021	-	915,000	1,350,915	1,759,000	250,000	700,000	2,709,000	2,740,064	640,000	-	-	-	3,380,064	21,816,000	
Signal & Communication																					
3	Fiber Optic Corrective Repair ²	M Scanlon	-	1,000,000	-	1,000,000	-	-	-	-	-	-	-	-	-	-	-	-	1,000,000	1,000,000	1,000,000
#####	Caltrain Communication System SOGR	M Scanlon	-	-	2,000,000	2,000,000	1,600,000	-	-	-	-	400,000	400,000	-	-	-	-	-	-	-	2,000,000
#####	Rail Network Annual Maintenance	M Scanlon	-	-	500,000	500,000	400,000	-	-	-	-	100,000	100,000	-	-	-	-	-	-	-	500,000
#####	TVM Upgrade Phase 4	R Tam / J Navarro	1,795,000	-	1,000,000	1,000,000	800,000	-	-	-	-	200,000	200,000	-	-	-	-	-	-	-	1,000,000
#####	Clipper CID installation and Relocation Plan and Construction	H. Chan	500,000	-	1,000,000	1,000,000	800,000	-	-	-	-	200,000	200,000	-	-	-	-	-	-	-	1,000,000
#####	BCCF Buildout Assessment	M Scanlon	-	-	500,000	500,000	-	-	-	-	500,000	-	500,000	-	-	-	-	-	-	-	500,000
			1,000,000	5,000,000	6,000,000	3,600,000	-	-	-	-	500,000	900,000	1,400,000	-	-	-	-	-	1,000,000	1,000,000	6,000,000
Rolling Stock																					
21	Bombardier	J Navarro	-	-	1,663,825	1,663,825	-	-	-	-	1,663,825	-	-	1,663,825	-	-	-	-	-	-	1,663,825
#####	Upper Level Doors Installation ⁷	J Navarro	-	-	11,000,000	11,000,000	-	-	-	-	-	-	-	-	-	-	-	-	11,000,000	11,000,000	11,000,000
			-	12,663,825	12,663,825	-	-	-	-	1,663,825	-	-	1,663,825	-	-	-	-	-	11,000,000	11,000,000	12,663,825
Station & Intermodal Access																					
#####	Stations SOGR FY20-FY24	R Scarpino	500,000	-	1,000,000	1,000,000	-	-	-	-	400,000	-	600,000	1,000,000	-	-	-	-	-	-	1,000,000
#####	CCF Crew Quarters Roof Replacement & Trailer Repairs	R Scarpino	-	-	1,000,000	1,000,000	-	-	-	-	-	-	1,000,000	1,000,000	-	-	-	-	-	-	1,000,000
#####	Menlo Park Facility 4000 Campbell Avenue HVAC	R Scarpino	-	-	100,000	100,000	-	-	-	-	100,000	-	100,000	100,000	-	-	-	-	-	-	100,000
			-	2,100,000	2,100,000	-	-	-	-	400,000	100,000	1,600,000	2,100,000	-	-	-	-	-	-	-	2,100,000
Total SOGR			11,611,000	30,968,825	42,579,825	17,061,021	-	915,000	1,350,915	3,822,825	850,000	3,200,000	7,872,825	2,740,064	640,000	-	-	12,000,000	15,380,064	42,579,825	
ii. LEGAL MANDATES AND REQUIRED ENHANCEMENTS																					
#####	Clipper Next Gen Validators Site Prep	J Navarro / H Chan	-	-	1,500,000	1,500,000	1,200,000	-	-	-	-	-	300,000	300,000	-	-	-	-	-	-	1,500,000
			-	1,500,000	1,500,000	1,200,000	-	-	-	-	-	300,000	300,000	-	-	-	-	-	-	-	1,500,000
iii. OPERATIONAL IMPROVEMENTS/ENHANCEMENTS																					
4	Positive Train Control Litigation ³	S Bullock	-	6,600,000	-	6,600,000	-	-	-	-	-	-	-	-	-	-	-	-	6,600,000	6,600,000	6,600,000
5	Wayside Bike Parking Improvements ⁴	M Reggiardo	4,000,000	349,322	-	349,322	-	-	-	-	-	-	-	-	-	-	200,000	149,322	349,322	349,322	
#####	Grade Crossing Hazard Analysis Data Collection	G Fleming	-	-	200,000	200,000	-	-	-	-	200,000	-	200,000	200,000	-	-	-	-	-	-	200,000
#####	FY21 Grade Crossing Safety Improvements Design	R Tam	-	-	500,000	500,000	-	-	-	-	500,000	-	500,000	500,000	-	-	-	-	-	-	500,000
#####	EAM – Enterprise Asset Management software system	S Chao	-	-	750,000	750,000	-	-	-	-	750,000	-	750,000	750,000	-	-	-	-	-	-	750,000
#####	Update and Upgrade GIS system	G Fleming	-	-	500,000	500,000	-	-	-	-	477,175	22,825	500,000	500,000	-	-	-	-	-	-	500,000
			6,949,322	1,950,000	8,899,322	-	-	-	-	1,177,175	772,825	-	1,950,000	-	-	-	200,000	6,749,322	6,949,322	8,899,322	



FY2020-2021 CAPITAL BUDGET

Attachment B
September 2020

Item #	PROJECT NAME	Project Sponsor	PRIOR YEARS APPROVED	FY21 ADOPTED JUNE BOARD	AMENDMENT #1	PROPOSED FY21 CAPITAL BUDGET	Federal Funds	STA Funds	State Funds	STA SOGR Funds	Members			Member Funds Total	Other					Other Funds Total	TOTAL PROPOSED FY21 CAPITAL BUDGET
											SF	SM	VTA		Project Savings	AB664	SF Prop K other	Regional Funds	Other		
iv. PLANNING/STUDIES																					
6	22nd St. ADA Feasibility Study ⁵	M. Reggiardo	300,000	50,000	-	50,000	-	-	-	-	-	-	-	50,000	-	-	-	-	-	50,000	50,000
7	Business Plan ⁶	S Petty	5,537,118	509,157	-	509,157	-	-	-	-	-	-	-	-	-	-	-	-	509,157	509,157	509,157
#####	Capital Planning (CIP)	M. Reggiardo	750,000		1,250,000	1,250,000	-	-	-	-	-	500,000	750,000 *	1,250,000	-	-	-	-	-	-	1,250,000
#####	San Francisco Station and Terminal Planning	M. Reggiardo	-		1,000,000	1,000,000	-	-	-	-	1,000,000	-	-	1,000,000	-	-	-	-	-	-	1,000,000
#####	Diridon and South Terminal Area	M. Reggiardo	-		1,000,000	1,000,000	-	-	-	-	-	-	1,000,000 *	1,000,000	-	-	-	-	-	-	1,000,000
#####	Rail Network and Operations Planning	M. Reggiardo	-		1,250,000	1,250,000	-	-	-	-	-	1,250,000	-	1,250,000	-	-	-	-	-	-	1,250,000
#####	Redwood City Station Planning	M. Reggiardo	-		750,000	750,000	-	-	-	-	-	750,000	-	750,000	-	-	-	-	-	-	750,000
#####	System-wide Planning and Policy & Org Design	M. Reggiardo	-		1,168,468	1,168,468	-	-	-	-	217,175	750,000 *	967,175	-	-	201,293	-	-	201,293	1,168,468	
#####	Caltrain Downtown Rail Extension (DTX)	A Simmons	-		60,000	60,000	-	-	-	-	-	-	-	-	-	60,000	-	-	-	60,000	60,000
#####	Capital Contingency Funds - Engineering		-		330,000	330,000	-	-	-	-	-	330,000	-	330,000	-	-	-	-	-	-	330,000
#####	Capital Contingency Funds - Rail		-		660,000	660,000	-	-	-	-	660,000	-	-	660,000	-	-	-	-	-	-	660,000
#####	Capital Program Management		-		335,000	335,000	-	-	-	-	335,000	-	-	335,000	-	-	-	-	-	-	335,000
#####	Capital Project Development		-		335,000	335,000	-	-	-	-	335,000	-	-	335,000	-	-	-	-	-	-	335,000
				559,157	8,138,468	8,697,625	-	-	-	-	1,000,000	4,377,175	2,500,000	7,877,175	50,000	-	261,293	-	509,157	820,450	8,697,625
	TOTAL			19,119,479	42,557,293	61,676,772	18,261,021	-	915,000	1,350,915	6,000,000	6,000,000	6,000,000	18,000,000	2,790,064	640,000	261,293	200,000	19,258,479	23,149,836	61,676,772

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

² Insurance proceeds and/or Operating funds

³ Litigation costs funded by operating funds

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

⁵ Prior year SF member funds

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

⁷ Request only for board authority; must be funded by FY2023.

* identifies the projects that will be funded by VTA Measure B funds of \$2.5 million



FY2021 Proposed Operating and Capital Budgets

Joint Powers Board
September 3, 2020

Goals and Challenges

- To obtain budget authority for the remainder of FY21
- Through a comprehensive plan of action, build a level of trust with the public that Caltrain is ensuring health and safety on the trains
- To continue to recognize that affordable public transportation is vital to equitably support economic recovery for the region

Goals and Challenges

- To maintain service schedules that meet the changing behavior of the riding public during the gradual lift of Shelter In Place requirements as well as potential additional surges in caseload

Revenue Measures

- Explore revenue from naming and sponsorship rights, fiber and other assets
- Continued work to place a sales tax for Caltrain on the ballot, as allowed by Senate Bill 797
- Undertake steps to increase public trust and encourage the riding public to take the train
- Understand the potential use of fare products/passes to influence customer behavior

Ridership Recovery

- Caltrain is part of a regional campaign to inform the public of measures undertaken by transit agencies to ensure the safety of their health while riding the trains
- Training continues to ensure the conduct of all personnel and the maintenance of the trains are compliant with all COVID-19 prevention requirements
- Develop public timetables that will better facilitate transfers between modes, particularly BART on the peninsula

Ridership Recovery

- Caltrain joined the regional means-based pilot program administered by the Metropolitan Transportation Commission (MTC), with a 50% discount
- Caltrain staff has developed equity policies proposed for Board adoption and would be able to best implement these through funding obtained through a successful SB797 ballot measure

Cost Mitigation Measures

Fuel hedging program - strategy to manage fluctuations in fuel prices

- The fuel hedge program has 28 diesel contracts in place (to the futures month of July 2021) representing a hedge of 63.5% of expected fuel consumption.
- Currently the program has realized and unrealized gains of \$144,041 or a savings of approximately 7 cents per gallon of diesel.

Labor costs - Agency, includes only existing FTEs, no new FTEs, no universal wage increase, selected hiring freeze; TASI labor costs minimized due to elimination of overtime and shifting of resources to capital support and SOGR

FY21 Proposed Budget Outlook

(in \$ millions)

	FY20 Forecast	FY21 Proposed Budget
Revenue	\$122.8	\$88.2
Expense	<u>144.8</u>	<u>147.3</u>
Surplus (Deficit)*	(\$22.0)	(\$59.1)

* Excluding application of CARES Act funding

FY21 REVENUE ASSUMPTIONS

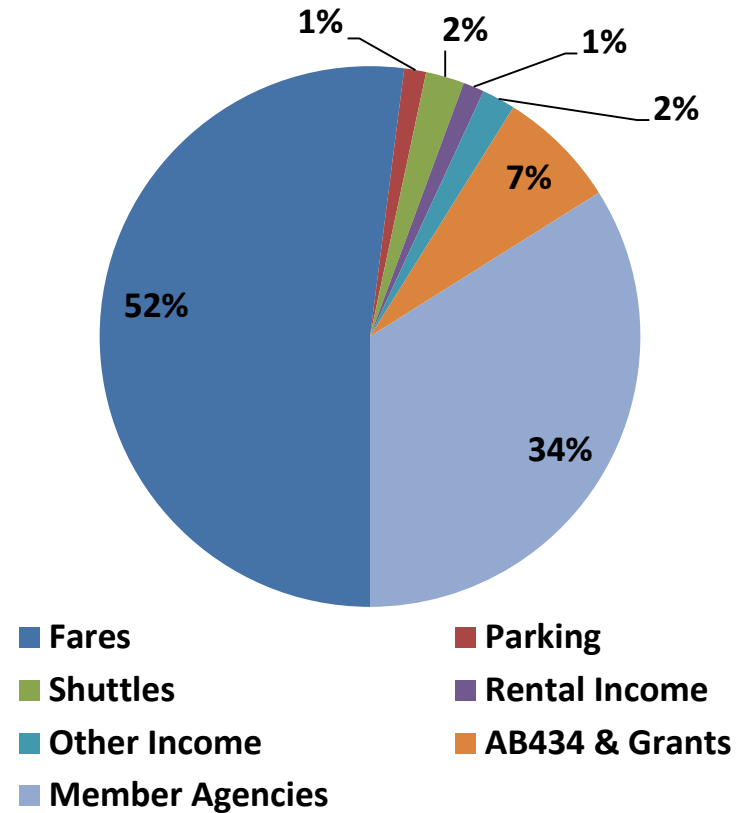
FAREBOX

- Extension of Go Pass up to March 2021.
- No further reduction in CY2020 Go Pass revenue
- Increasing monthly ridership recovery rate of 5% in July-Aug, 10% Sept to Oct, 25% Nov-Dec and 30% in Jan to June.

MEMBER AGENCY – same as FY2020 levels

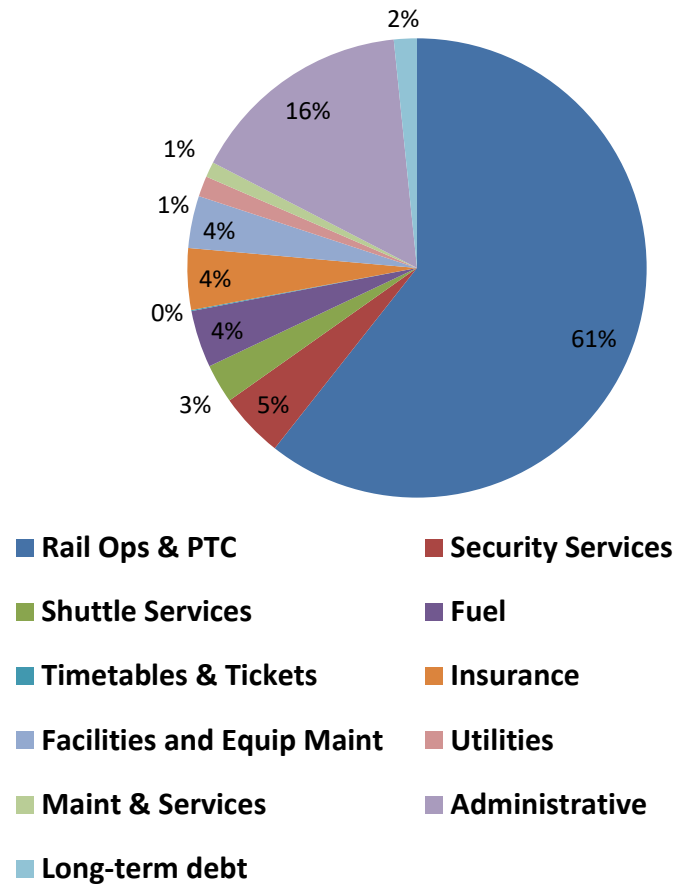
FY21 Proposed Revenues (in \$ millions)

Fares	\$45.9
Parking	1.2
Shuttles	2.0
Rental Income	1.1
Other Income	1.8
AB434 & Grants	6.3
Member Agencies	<u>29.9</u>
Total Revenue	<u><u>\$88.2</u></u>



FY21 Proposed Expenses (in \$ millions)

Rail Ops & PTC	\$89.3
Security Services	6.7
Shuttle Services	4.1
Fuel	5.9
Timetables & Tickets	0.1
Insurance	6.4
Facilities and Equip Maint	5.4
Utilities	2.1
Maint & Services	1.6
Administrative	23.3
Long-term debt	<u>2.4</u>
Total Expenses	<u>\$147.3</u>



FY21 Expense Assumptions

TASI FY20

- Hiring freeze, reduction in overtime, adjustments in health and welfare costs
- At JPB direction, shifted staff from traditional maintenance to deferred maintenance and support of capital improvements, and eliminated special services in 4th quarter

TASI FY21

- Continued hiring freeze and reduced overtime
- Contractual increases in union wages, non-labor expenses, general & admin costs
- Added PTC operations & maintenance expenses

Positive Train Control (PTC)

Started as a capital project

FY21 PTC will be operating & maintenance

PTC - TASI Contract (\$3.1 million)

Field Validation & Test Support

Maintenance of Wayside and DCS Systems

PTC Help Desk (5 technicians)

BCCF Facility Maintenance

PTC – Caltrain Costs (\$3.4 million)

Wabtec contract and other JPB engineering costs

FY21 Expense Assumptions

Fuel and Lubricants

- FY21 fuel hedge rate of \$1.30 per gallon, fuel usage 3.1 million gallons, taxes

Wages and Benefits

- No new FTEs, an administrative hiring freeze, no universal wage increase, a lower fringe benefit, and lower agency allocations to the retiree medical and OPEB plans

FY21 Key Expense Assumptions

Facilities & Equipment

- Additional PTC maintenance, including WABTEC contract
- Reduced Clipper charges

Insurance

- Increased cost in new contract due a hardened insurance market due to heavy losses, global events and litigious environment

Professional Services - Additional PTC maintenance

Security Services - No coverage for special events

*Budget amendments will be required for increased costs associated with new auditor and legal counsel, and for ballot measure

Staff Allocation for Caltrain

FUNCTION	FTE allocated to JPB		JPB Personnel
	OPERATING	CAPITAL	
Rail, Calmod, & Bus Divisions	44.2	60.0	91
Grants Billing and Administration*	13.7	15.0	12
Grants and Communications	21.2	5.3	-
Total	79.1	80.3	103

*includes Finance, Contracts & Procurement, and Safety & Security

Application of CARES Act

(in \$ millions)

	FY20	FY21
	Forecast	Proposed
Revenue	\$122.8	\$88.2
Expense	<u>144.8</u>	<u>147.3</u>
Operating Surplus (Deficit)	(\$22.0)	(\$59.1)
CARES Act	<u>23.1</u>	<u>\$41.5</u>
Net Surplus (Deficit)	\$1.1	(\$17.6)

Sensitivity of Revenue to Ridership

- Revenue estimate based on ridership recovery rate of 5.0% in July-Aug, 10% Sept to Oct, 20% Nov-Dec and 30% in Jan to June.
- Each 10% short of these estimates is worth approx. \$675,000/month

Period	Proposed Budget Assumption	Sensitivity Case	Revenue Adjustment
July/August	5%	5%	
September/October	10%	10%	
November/December	25%	15%	-\$1,350,000 (2 times \$675k)
January/June	30%	20%	-\$4,050,000 (6 times \$675k)
		Total	-\$5,400,000

CARES Act “Surplus”, Reserves, and Need for Additional Funding

- CARES Act “Surplus” of \$1.1 million
- Estimated FY20 Ending Reserve Balance (including above) \$14.8 million, which is at the policy minimum level
- Reserve balance includes variety of current assets and liabilities which are more or less “realizable” or current
- Shutdown of revenue service would accelerate certain current liabilities including deferred revenue and potentially line of credit



What Does it Cost to Operate Caltrain?

Estimated costs shown in millions of dollars

Service Level	92 Trains (Pre-COVID)	70 Trains (Full Staffing)	70 Trains	70 Trains (No Weekend)	40 Trains (No Weekend)
TASI Costs	92.3	92.3	78.5	72.5	57.8
Other Operating Expenses	37.6	34.4	34.4	33.6	31.3
Total Operating Expense	129.9	126.7	112.8	106.1	89.1
Administrative Expense	24.7	22.7	22.0	21.6	20.5
Debt & Liability	3.5	3.5	3.5	3.5	3.5
Grand Total Expense	\$158	\$153	\$138	\$131	\$113

What Does it Mean to “Shut Down” Caltrain?

- **“Shutting Down” would be for passenger revenue service only. Corridor management would continue.**
- Fulfilling the JPB’s ongoing responsibilities as a “corridor manager”
 - Continuing to operate the corridor for freight and tenants
 - Continuing to advance funded capital projects
- Maintaining the value of the public’s assets
 - Securing and maintaining stations and corridor assets
 - Maintaining rolling stock and other facilities and systems
- Preserving the ability of the railroad to restore service
 - Preparing to operate electrified service
 - Maintaining rolling stock and other facilities and systems

What Does it Mean to “Shut Down” Caltrain?

- **“Shutting Down” Caltrain revenue service would occur over three phases**
 - Demobilization of Caltrain Passenger Service (6 months)
 - Revenue service would keep running but staff would engage in a series of activities to prepare for a shutdown
 - Some one-time costs incurred
 - Full Shutdown (12 months)
 - No Caltrain revenue service
 - Tenant operations, capital projects and basic maintenance continue
 - Some one-time costs incurred
 - Costs generally minimized during this period
 - Re-mobilization (12 months)
 - No Caltrain revenue service
 - Remobilization and re-training of crews
 - Testing and commissioning of electrification

What would a Shutdown Cost?

Shutdown Phase	Duration	Ongoing Cost of Operations During Phase	Added One Time Costs	Notes
Demobilization	6 months	\$75 million	\$2 million	Assumes continued operation of 70 train per day service as demobilization activities ramp up
Shutdown	12 months	\$59 million	\$ 3 million	No revenue service – corridor maintenance and management only
Remobilization (92 trains)	12 months	\$91 million	\$2 million	No revenue service – corridor management, remobilization and training

FY2021 CAPITAL BUDGET



FY21 Capital Budget

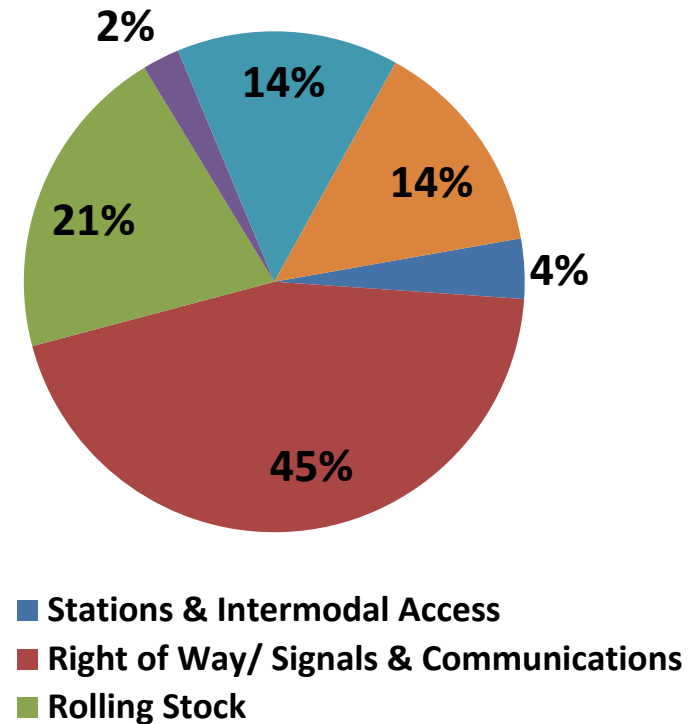
- In June, the initial FY21 capital budget included only those capital projects that had available funding, but required board authority to incur the expenditure.
Initial budget = \$19.1 million
- This amendment to the FY21 capital budget includes urgent projects eligible for the anticipated annual federal, state, local and member agency funds.
Amendment 1 = \$42.7 million

Overview of FY21 Capital Costs

(in \$ millions)

SOGR

Stations & Intermodal Access	\$2.1
Right of Way/ Signals & Communications	27.8
Rolling Stock	12.7
Legal Mandates	1.5
Operational Improvements/Enhancements	8.9
Planning/Studies	<u>8.8</u>
Total	<u>\$61.8</u>

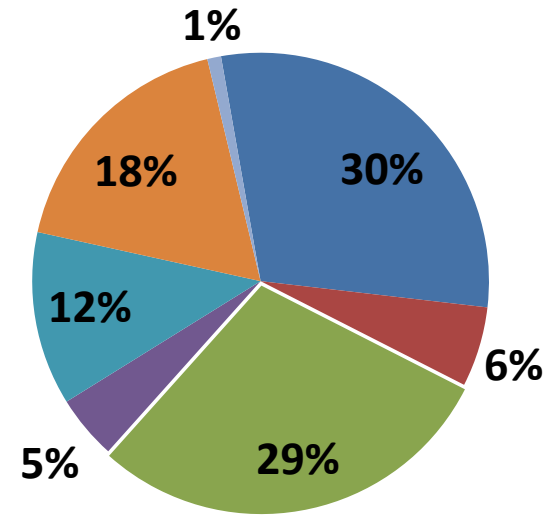




FY21 Proposed Funding Sources

(in \$ millions)

Federal Grants	\$18.3
State & Regional Grants	3.5
Members Contribution	18.0
Project Savings	2.8
Operating & Insurance Proceeds	7.6
Unfunded Board Authority	11.0
Other	<u>0.6</u>
Total	<u>\$61.8</u>



- Federal Grants
- State & Regional Grants
- Members Contribution
- Project Savings
- Operating & Insurance Proceeds
- Unfunded Board Authority
- Other

*\$6.0M contribution from each member

Next Steps

- **Staff to request approval of the FY2021 Proposed Operating and Capital budgets at the September Board**
- **Work with Members to finalize operating obligations and capital investments for FY2021**
- **Continue to work with the Board to meet the challenges of this pandemic and to address the funding gaps for FY2021 and beyond**



AGENDA ITEM #9
SEPTEMBER 3, 2020

BOARD OF DIRECTORS 2020

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

JIM HARTNETT
EXECUTIVE DIRECTOR

Memorandum

Date: August 24, 2020
To: Board of Directors
From: Jim Hartnett, Executive Director
Subject: September 3, 2020 JPB Board Meeting Executive Director's Report

- **On-time Performance –**
 - **Through August 23:** The preliminary August 2020 OTP was 94.8 percent compared to 93.9 percent for August 2019.
 - **Trespasser Strikes –** There was one trespasser strike on August 4, resulting in a fatality.
 - **July:** The July 2020 OTP was 96.4 percent compared to 93.8 percent for July 2019.
 - **Trespasser Strikes –** There was one trespasser strike on July 17, resulting in a fatality.
- **South San Francisco Station Weekend Closure –** To construct a temporary platform and to relocate the southbound track to further support the construction of the new South San Francisco Station the South San Francisco Station will be temporarily closed on Saturday, August 29th and Sunday, August 30th, 2020. During the closure, trains will operate normally, but those scheduled to stop at South San Francisco Station will not stop at the Station. There will be no alternative transportation provided during the closure.
- **CAC Meeting –** The Citizens Advisory Committee met on Wednesday, August 19 via teleconference. Robert Scarpino, Acting Director, Maintenance provided a presentation on the COVID-19 Productivity Report. Derek Hansel, Chief Financial Officer, provided a presentation on the FY 2021 JPB

PENINSULA CORRIDOR JOINT POWERS BOARD
1250 San Carlos Ave. – P.O. Box 3006
San Carlos, CA 94070-1306 650.508.6269

Preliminary Operating & Capital Budgets. Joe Navarro, Deputy Chief – Rail Operations, provided the Staff Report. The next CAC meeting is scheduled for Wednesday, September 16, via teleconference or in San Carlos.

- **BAC Meeting** –The next BAC meeting is scheduled for Thursday, September 17, via teleconference or in San Carlos.
- **Special Event Train Service** – Caltrain is not operating special event service due to the cancellation or postponement of events as result of the COVID-19 pandemic.

Services Scheduled:

- **Giants Baseball** – Due to the COVID-19 pandemic and efforts to prevent the spread of COVID-19, the Major League Baseball (MLB) had delayed the start of the 2020 regular season and unveiled the 60-game schedule which kicked off in July 2020. In coordination with the Giants, there will be limited staff and no fans in the stands for 2020 MLB Season at Oracle Park. Caltrain will not provide additional service for the 2020 season.
- **49ers Football** – Due to the COVID-19 pandemic, National Football League (NFL) announced that all preseason games have been cancelled. 49ers are still determining if limited fans will be allowed in the stadiumthe regular season. Caltrain will not operate additional service.
- **Stanford Football** – Due to the COVID-19 pandemic, PAC-12 announced on August 11th that all sports competitions scheduled for this fall, including all regular-season football games, will be postponed to January 1st, 2021 or later.
- **Bay to Breakers** – Due to the COVID-19 pandemic, the rescheduled 2020 Bay to Breaker Race has been moved to a virtual event from September 20 to October 2, 2020.
- **Labor Day** – On Monday, September 7, Caltrain will operate a Sunday Schedule in observation of the Labor Day Holiday. The Tamien-San Jose Shuttle will also operate that day.

- **Capital Projects –**

The Capital Projects information is current as of August 14, 2020 and is subject to change between August 14 and September 3, 2020 (Board Meeting).

- **San Mateo 25th Avenue Grade Separation Project:** Raise the elevation of the alignment from Hillsdale Boulevard to south of the Highway 92 Overcrossing in the city of San Mateo. The project creates a grade separation at 25th Avenue, relocates the Hillsdale Station to the north, and creates two new east-west street grade-separated connections at 28th and 31st Avenues in San Mateo.

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

As of mid-July, all trains are using the new berm tracks. In August, removal of the old at-grade tracks and the demolition of the old Hillsdale Station was completed.

Adjacent to this project is a new contract to relocate and improve the storm drain system along Delaware Street adjacent to the new station and new parking lots on the east side of the project. This work was to be undertaken by the City of San Mateo. This work is now being performed by Caltrain at the request of the City. The construction contract was advertised for bids on June 12 and bids were received on August 3. The evaluation of bids is currently in progress.

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

In August, construction of the west plaza at the intersection of Airport Boulevard and Grand Avenue, and the connecting west ramps and stairway continued. Also, the construction of the center platform and the Storm drain work in this area was completed. Construction of Ramp 2, Stair 2 and Ramp 3 (West Side of the station) is on schedule to be completed in August 2020. Preparations for the new realigned southbound MT2 trackway is ongoing in conjunction with the installation of permanent PTC fiber optic cable raceway.

Due to the contractor caused delays, the project completion date is forecasted to extend from December 2020 until June 2021.

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

The contract was advertised for bids on March 13, 2020 and bids were received on April 28, 2020. The construction contract was awarded to Proven Management on July 9, 2020 and the execution of the contract was completed. The Limited Notice to Proceed was issued to the contractor on August 10 to commence the 60-day administrative period before site construction begins in October. Construction is planned to complete in the summer of 2021.

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

This first phase of the project to develop a prototype Clipper TVM is currently undergoing final acceptance testing which will result in completion of Phase 1. Phase 2 for the retrofitting of 12 additional TVM's follow after Phase 1 is complete. The funding for Phase 3, for the rehabilitation of an additional 22 TVM's, has now been secured.

- **Mary and Evelyn Avenue Traffic Signal Preemption Project:** Perform upgrades to train approach warning systems at the Mary Avenue and Evelyn Avenue crossings in Sunnyvale. The project will improve vehicle safety at the at-grade crossings by increasing the traffic signal advance warning times for approaching trains in order to clear vehicles at the crossings. This project

will mimic the previously completed traffic signal preemption project that was completed in 2014 in Redwood City, Palo Alto and Mountain View. This project is being funded through the State of California Public Utilities Commission Section 130 program to eliminate hazards at existing grade crossings.

The 100% crossing design by the Electrification project is still not yet available for design coordination and a timeframe for its receipt is to be determined. The project has proceeded to complete its own design without this information from the Electrification project. The 100% design is complete and the Notice to Proceed for construction was issued to TASI on July 9. TASI is currently procuring materials for the work. Construction will take place from summer 2020 until spring of 2021.

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

The 100% final design was completed and preparations for the Issue For Bid contract documents are underway. Advertisement of the construction contract is planned for the Fall of 2020 with construction beginning in early 2021 and lasting until Fall of 2021.

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

The project began in December 2019. The 35% design received in March is under review including the review by the City of Palo Alto. The City of Palo Alto is rethinking the scope of work for the project and is in discussion with CPUC and Caltrans to modify the scope. Design is currently on hold until the City of Palo Alto decides on the scope in order to proceed forward with the project.

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

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

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

The first vehicle was shipped to the vendor's facility at Mare Island (Vallejo) in July overhauling is underway with completion of the first locomotive expected by the winter of 2020/2021.

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: John Funghi
Chief Officer, Caltrain Modernization Program

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

ACTION

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

SIGNIFICANCE

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

BUDGET IMPACT

There is no impact on the budget.

BACKGROUND

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

Prepared by: Josh Averill, Program Management Administrator

650.508.6453



Caltrain Modernization Program Peninsula Corridor Electrification Project (PCEP)



July 2020 Monthly Progress Report

July 31, 2020

Funding Partners



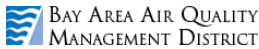
Federal Transit Administration (FTA) Core Capacity
FTA Section 5307 (Environmental / Pre Development only)
FTA Section 5307 (Electric Multiple Unit (EMU) only)



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



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



Carl Moyer Fund



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



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



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



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



City and County of San Francisco (CCSF) Contribution

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1.0 BACKGROUND

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

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

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

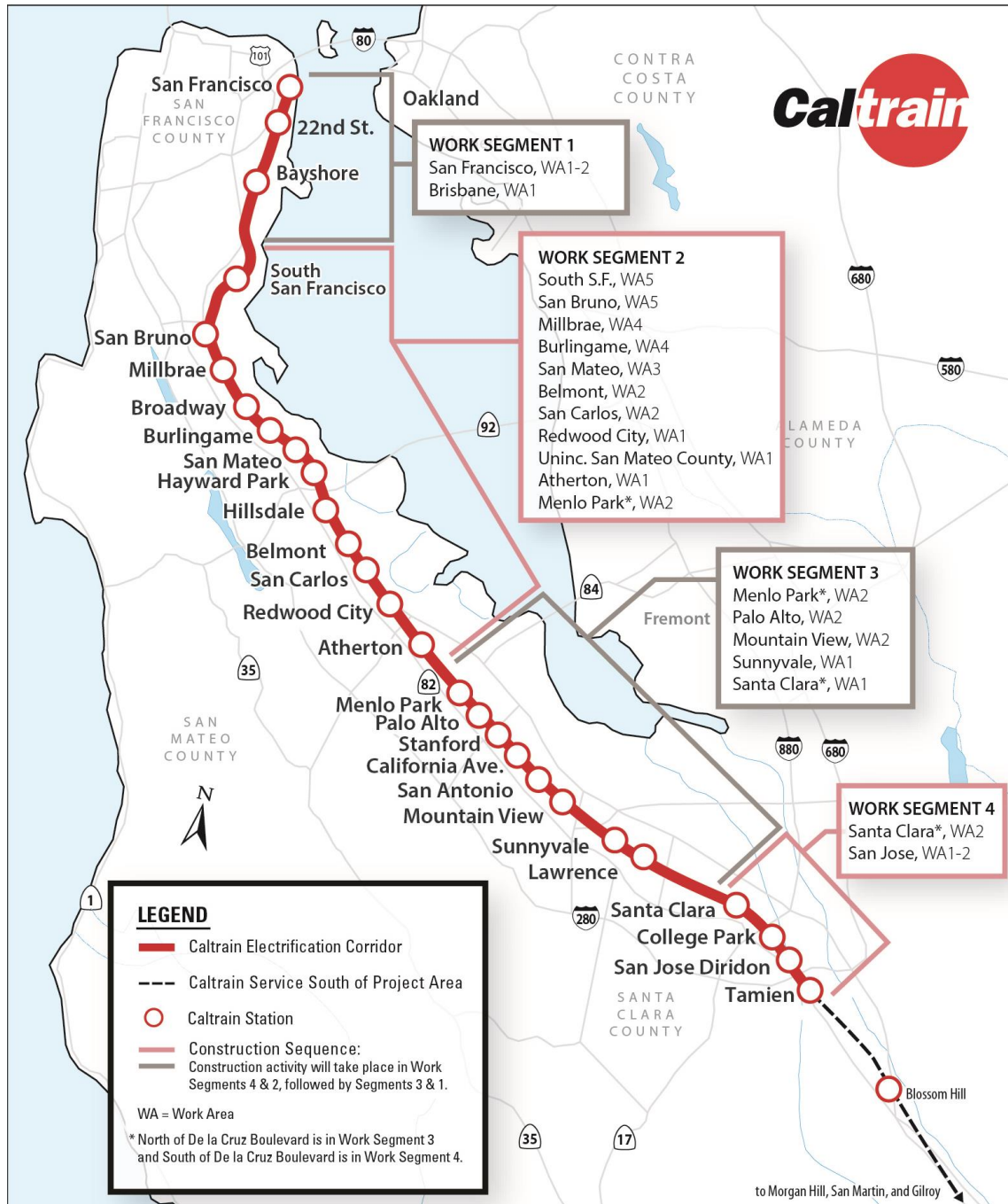
- **Improved Train Performance, Increased Ridership Capacity and Increased Service:** Electrified trains can accelerate and decelerate more quickly than diesel-powered trains, allowing Caltrain to run more efficiently. In addition, because of their performance advantages, electrified trains will enable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

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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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Overhead Catenary System (OCS) foundations were installed in July, and two signal houses were installed on the right of way. Installation of OCS poles, cantilevers, and wires progressed in Segment 3 following the foundations. PCEP also received approval from the city of Burlingame for additional space needed to advance the design of Paralleling Station (PS) PS-3. Typical construction activities took place throughout the month, including installation of ductbank and ground grids, site work, utility protection, drainage, cable installation and termination, and the finalization of design packages for Traction Power Substation (TPS) TPS-1 and TPS-2.

EMU manufacturing of cars and shells is still on schedule, however, final assembly and testing of Trainset 1 cannot proceed due to parts shortages caused by manufacturer shut downs resulting from Coronavirus Disease 2019 (COVID-19) disruptions to the supply chain. This issue is impacting the EMU completion date, and that date is evolving. Stadler has formed a team to specifically address and mitigate this issue.

2.1. Monthly Dashboards

Dashboard progress charts are included below to summarize construction progress.

Figure 2-2 Expenditure – Planned vs. Actual

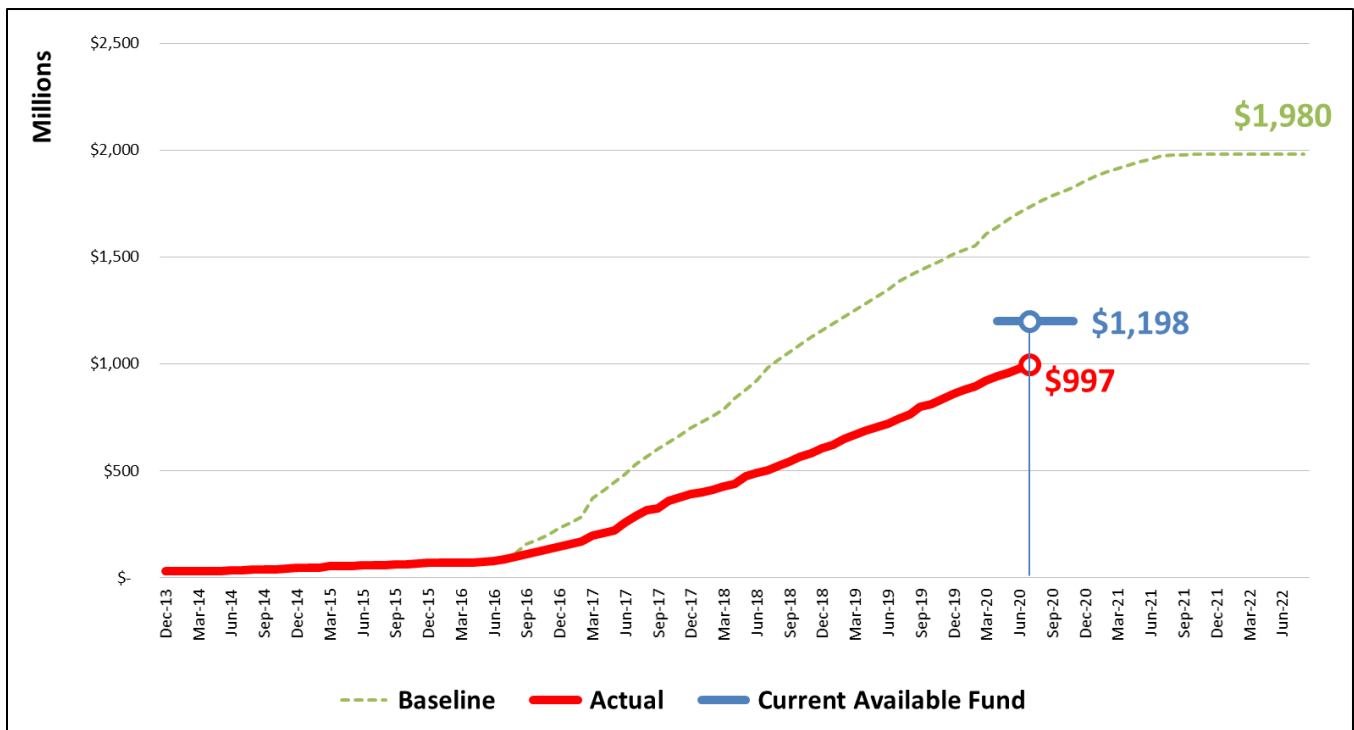


Figure 2-3 Spending Rate vs. Required

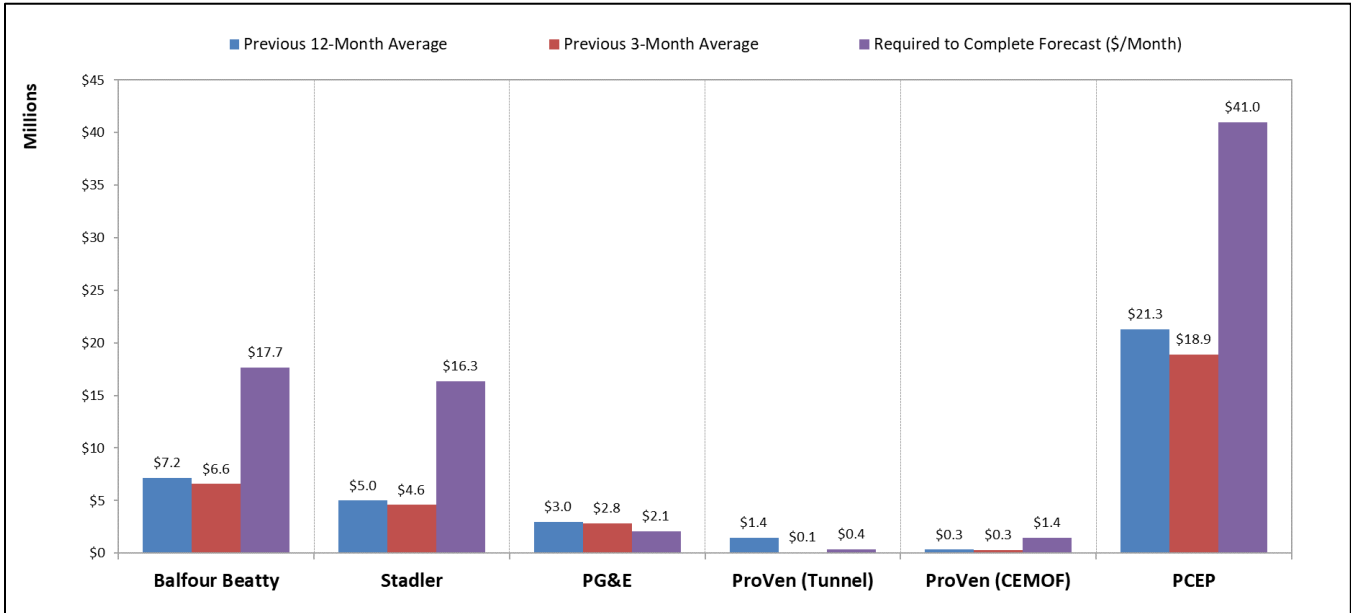


Figure 2-4 Construction Contract Budgets

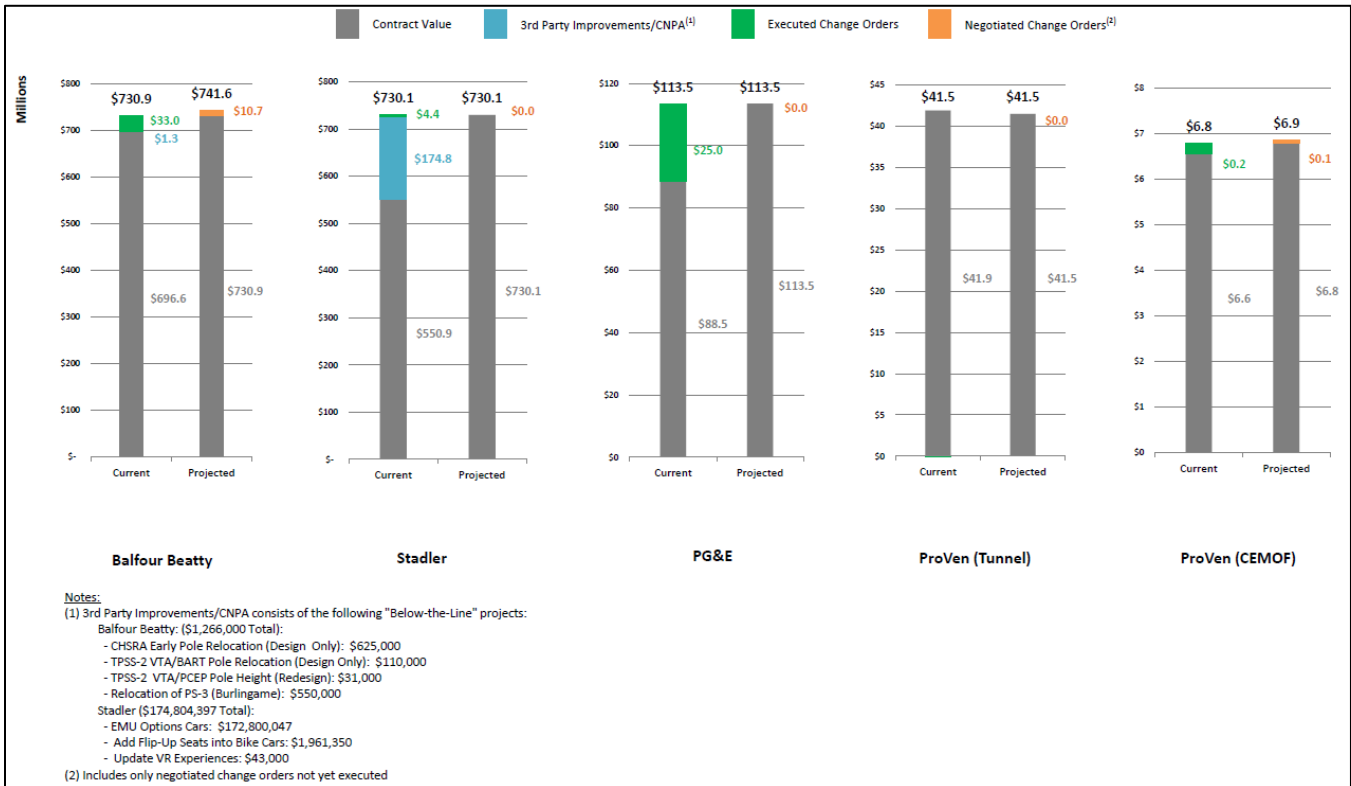


Figure 2-5 OCS Foundation Production

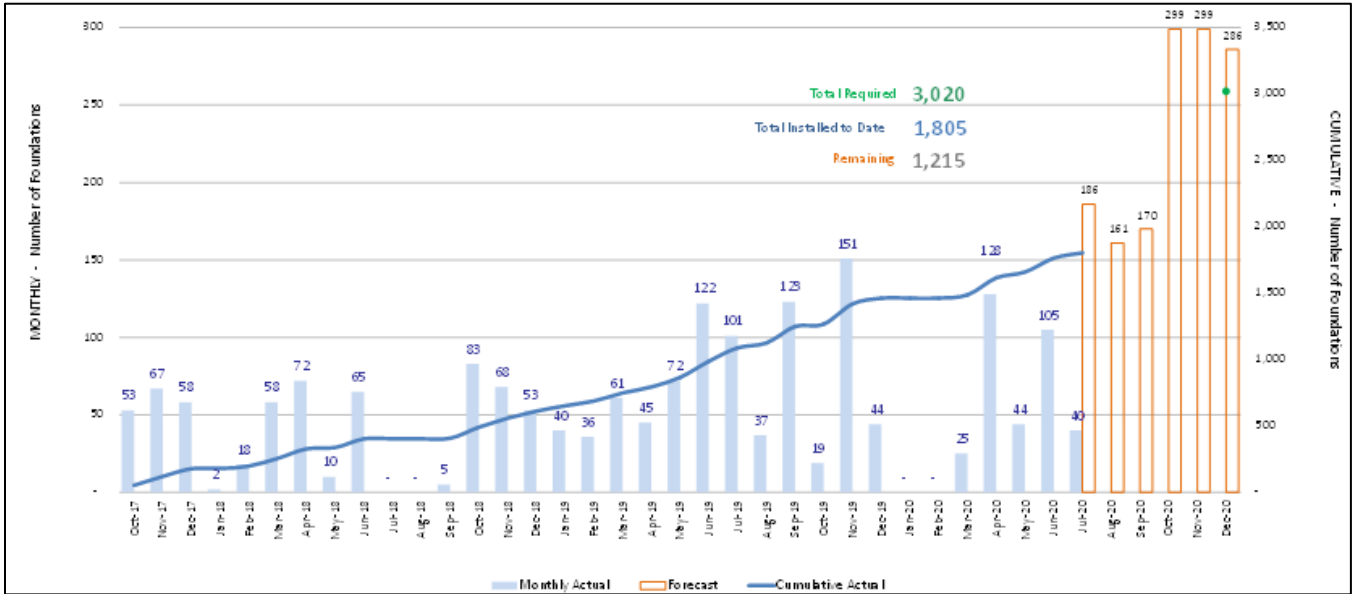
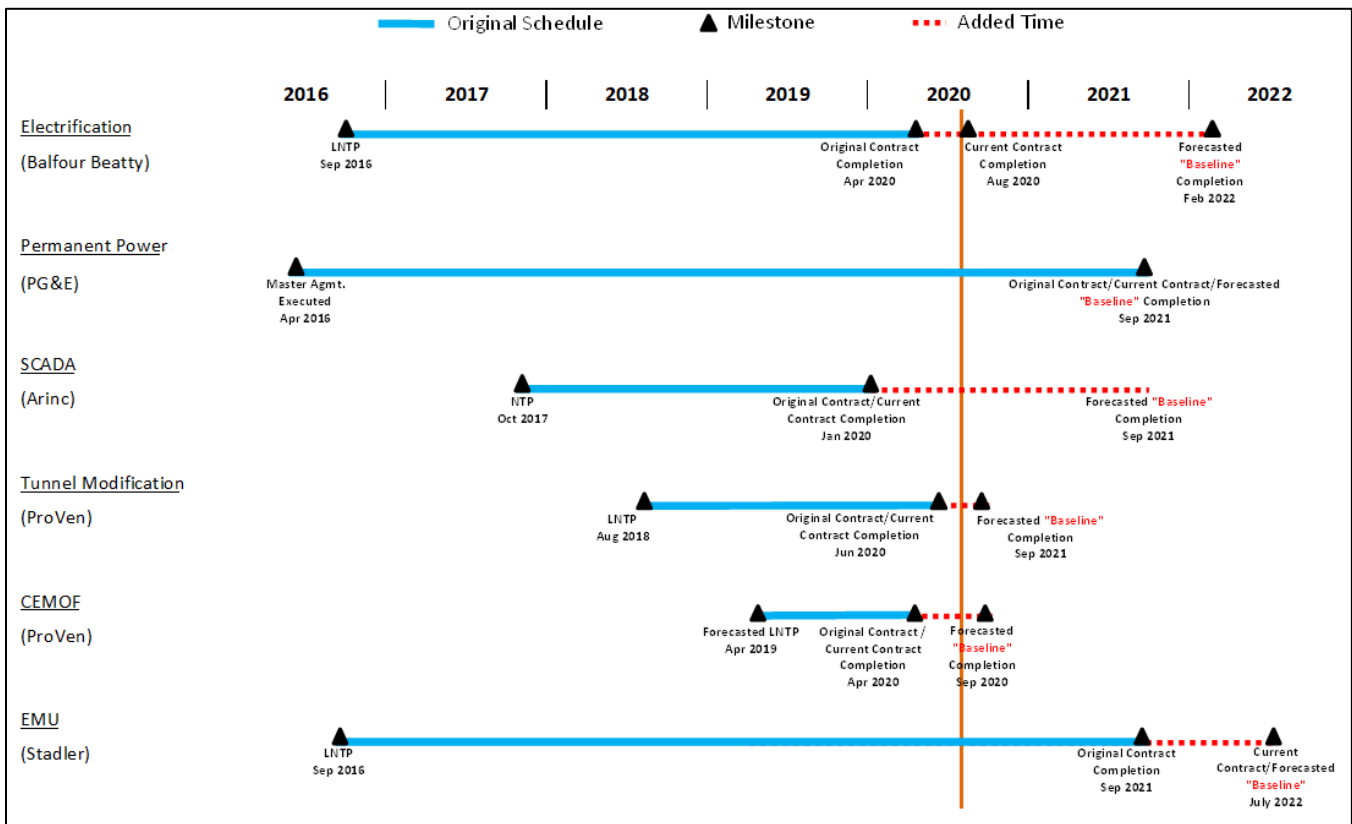


Figure 2-6 Contractor Completion Schedule



2.2. Funding Partners Participation in PCEP

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

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

Electrification – Weekly Discipline-Specific Meetings

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

Activity this Month

OCS Foundation Meeting

Funding Partners: None

- Review of upcoming foundation design and installation schedule
- Discussion of open issues impacting foundations design and installation
- Discussion of outstanding Requests for Information (RFI)
- Review of foundation designs that potentially impact Right of Way (ROW)
- Review of outstanding Field Orders or Change Notices required for work to continue

TPF Meeting

Funding Partners: None

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

Signal Meeting

Funding Partners: None

- Discussion of design, installation and testing of the signal and communication modifications to the Caltrain system
- Discussion of outstanding comments and responses to comments on signal and communication design packages
- Review of schedule for signal and communication cutover plans
- Discuss and resolve RFIs

PCEP Delivery Coordination Meeting – Bi-Weekly

Purpose: To facilitate high-level coordination and information sharing between cross-functional groups regarding the status of the work for which they are responsible.

Activity this Month

Funding Partners: SFCTA: Luis Zurinaga; MTC: Trish Stoops

The Federal Transit Administration (FTA) Quarterly Update occurred virtually on July 28. The PCEP update to the San Francisco County Transportation Authority (SFCTA) Board has been postponed to September. Caltrain will be petitioning to be on this November's ballot for a dedicated funding source. In Electric Multiple Unit (EMU) design and manufacturing, type testing for Trainset 1 has been postponed to the week of August 10 and shipment to Pueblo is now scheduled for late November 2020. The next Salt Lake City based design review with the Federal Railroad Administration (FRA) is scheduled for July 8 and 9. For the Centralized Equipment Maintenance and Operations Facility (CEMOF), the parts storage warehouse has been delivered in early July and work at the warehouse will be complete by next month. Shoring work has been completed, and work in the pit and equipment room is ongoing. In Design Build activities, sawcutting and potholing is continuing at CEMOF. Off-track foundation installation for Segment 1 is projected to start at the end of July/early August. Request for additional space from the City Corp Yard was approved at the July 6 Council meeting. For the Tunnel Modification Project, substantial completion is now anticipated for September 15 due to the Roadway Worker Protection (RWP) training availability for testing. Closeout is projected for end of September.

Systems Integration Meeting – Bi-Weekly

Purpose: To discuss and resolve issues with inter-system interfaces and to identify and assign Action Item Owners for interface points that have yet to be addressed.

Activity this Month

Funding Partners: None

Bi-weekly PCEP System Integration meetings are held to monitor and determine appropriate resolution for systems integration issues. The Systems Integration Lead also maintains contact with the EMU procurement team. The Traction Power SCADA team also holds bi-weekly status meetings. Coordination with the EMU procurement, PTC and Caltrain Capital Project managers responsible for delivery of the 25th Avenue Grade Separation Project, Marin Napoleon Bridge Rehabilitation Project, and the South San Francisco Station Project is ongoing. There is coordination with the Tunnel Modification Project, PG&E construction of the Interconnection to TPS-2, and the CEMOF upgrades as well. A new future project requiring coordination was discussed this month – Replacement of the Guadalupe River Bridge on the southern end of the alignment. Progress on activities including systems integration testing activities, FRA, FTA and safety certification are being tracked. The Systems Integration meeting has been re-focused to track and coordinate issues between PCEP and the overall agency (JPB). This was done to avoid task overlap with the JPB Rail Activation Committee. A smaller “breakout” group is meeting to determine and track what testing and with which resources will need to be coordinated among the various contracts and suppliers. This “Testing and Commissioning Meeting” is the primary interface to the PCEP Design-Build Team at this time. Work to define dependencies for completion of Segment 4 (Intermediate Milestone #1) is ongoing with the Testing & Commissioning discussion. This group will report back to the System Integration meeting group with their findings.

Master Program Schedule (MPS) Meeting – Monthly

Purpose: To review the status of the MPS and discuss the status of major milestones, critical and near-critical paths, upcoming Board review items, and progress with the contracts, among others.

Activity this Month

Funding Partners: Metropolitan Transportation Commission (MTC): Trish Stoops; VTA: Manolo Gonzalez-Estay, SFCTA: Luis Zurinaga

The program critical path continues to run through the manufacturing and testing of EMU trainsets. In May 2020, the program schedule was updated to reflect COVID-19 impacts on the Stadler vehicle schedule. The effect of COVID-19 on Stadler is evolving and will continue to be monitored.

As the COVID-19 pandemic is a force majeure event, the JPB is reviewing its Full Funding Grant Agreement (FFGA) RSD obligation.

Risk Assessment Meeting – Monthly

Purpose: To identify risks and corresponding mitigation measures. For each risk on the risk register, mitigation measures have been identified and are being implemented. Progress in mitigating these risks is confirmed at the ongoing risk monitoring and monthly risk assessment meetings.

Activity this Month

Due to the absence of issues requiring review, no meeting was held in July.

Change Management Board (CMB) – Monthly

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

Activity this Month

The CMB meeting occurred on June 17.

Funding Partners: CHSRA: Boris Lipkin and Simon Whitehorn; VTA: Krishna Davey and Edwin Castillo; SFCTA: Luis Zurinaga and Anna Harvey; SMCTA: Joe Hurley; MTC: Trish Stoops; FTA: Mike Eidlin

BBI Contract

One change was approved.

CEMOF Contract

No changes were identified for consideration.

Stadler Contract

No changes were identified for consideration.

SCADA Contract

No changes were identified for consideration.

SCADA Contract

No changes were identified for consideration.

Tunnel Modification Contract

No changes were identified for consideration.

Amtrak Contract

No changes were identified for consideration.

Other

No changes were identified for consideration.

2.3. Schedule

The program critical path continues to run through the manufacturing and testing of EMU trainsets. In May 2020, the program schedule was updated to reflect COVID-19 impacts on the Stadler vehicle schedule. The effect of COVID-19 on Stadler is evolving and will continue to be monitored.

As the COVID-19 pandemic is a force majeure event, the JPB is reviewing its Full Funding Grant Agreement (FFGA) RSD obligation.

BBII continues to report an overall delay to substantial completion. JPB is working with BBII on the issue and is urging BBII to accelerate resolution.

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

Table 2-1 Schedule Status

Milestones	Program Plan	Progress Schedule (July 2020) ¹
Arrival of First Vehicle in Pueblo, CO	N/A	11/20/2020 ²
Arrival of First Vehicle at JPB (after Pueblo Testing)	N/A	04/02/2021 ²
Segment 4 Completion	11/21/2019	03/25/2021
o Interconnection from PG&E Substation to Traction Power Substation (TPS)	N/A	12/10/2020
PG&E Provides Permanent Power	09/09/2021	09/09/2021
Electrification Substantial Completion	08/10/2020	02/26/2022 ²
Start Phased Revenue Service	N/A	02/27/2022 ²
RSD (w/o Risk Contingency)	12/09/2021	07/22/2022 ²
FFGA RSD (w/ Risk Contingency)	08/22/2022	08/22/2022

Note:

¹ Dates may shift slightly as the update of this month's Progress Schedule is still in process.

² See "Notable Variances" in Section 7 for explanation on date shift.

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2.4. Budget

A summary of the overall budget and expenditure status for the PCEP is provided in Table 2-2 below.

Table 2-2 Budget and Expenditure Status

Description of Work	Budget (A)	Current Budget (B) ¹	Cost This Month (C) ²	Cost To Date (D) ³	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
Electrification Subtotal	\$1,316,125,208	\$1,316,125,208	\$15,306,921	\$764,490,911	\$551,634,297	\$1,316,125,208
EMU Subtotal	\$664,127,325	\$664,127,325	\$5,008,222	\$232,286,335	\$431,840,990	\$664,127,325
PCEP TOTAL	\$1,980,252,533	\$1,980,252,533	\$20,315,144	\$996,777,245	\$983,475,287	\$1,980,252,533

Notes regarding tables above:

1. Column B "Current Budget" includes executed change orders and awarded contracts.
2. Column C "Cost This Month" represents the cost of work performed this month.
3. Column D "Cost To Date" includes actuals (amount paid) and accruals (amount of work performed) to date.

2.5. Board Actions

- None

Future anticipated board actions include:

- Shunt wire construction

2.6. Government and Community Affairs

There were two outreach event this month.

3.0 ELECTRIFICATION – INFRASTRUCTURE

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

3.1. Electrification

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

Activity This Month

- Continued to install on-track and off-track foundations in Segments 3 and 4 as conflicts are resolved.
- Continued installation of OCS poles, cantilevers, and wires in Segment 3 following the foundations.
- Began installation of shunt wire in Segment 2.
- Potholed at proposed OCS locations and utility locations in all Segments in advance of foundation installation. BBI and PCEP also continued to resolve conflicts found during the potholing process, such as loose concrete, asphalt, and other debris, and continued designing solutions for those conflicts that cannot be avoided. The conflicts must be resolved before installation of foundations at those locations.
- Relocated signal cables and remove abandoned facilities found in conflict with planned OCS foundations as conflicts were identified.
- Continued site work and began ductbank and ground grid installations, and began preparations of additional staging area required for construction at PS-5.
- Continued site work and began utility protection at PS-2.
- Continued drainage work at PS-4.
- Continued to install signal ductbank, conduits, and cables in Segment 2.
- Continued to install signal ductbank, conduits, and cables in Segment 4.
- Performed cable installation at Control Point (CP) Shark, CP Bird, and CP Alameda.
- Performed cable termination at CP Shark, CP Bird, and CP Delmas.
- Set signal houses at Caltrain (CT) 10.73 and 10.90.
- Performed pre-testing at multiple signal locations.
- Continued drilling of rails for impedance bond connections in Segments 1, 2, 3 and 4 at various control points and crossings.
- Continued installation of insulated joints (IJs) in Segment 3.
- Performed switch isolation in Segment 1 and Segment 2.

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- Install overhead bridge attachments at various locations in Segment 3.
- Progressed the OCS design with BBII in all segments, which included submittal and review of Design Change Notices for revised foundation locations.
- Continued to plan for advanced off-track OCS foundation installation in Segment 1 using 95% design. Tentative plan is to perform that work in late August/early September pending availability of right of way acquisition and completion of potholing.
- Received approval of additional Right of Way from the City of Burlingame to advance design of PS-3.
- Coordinated design review with local jurisdictions for the OCS, traction power facilities, and bridge attachments design, including responses to comments from jurisdictions.
- Continued to review and coordinate signal and communication design submittals with BBII.
- Continued discussions with FRA and CPUC on grade crossing design.
- Continued planning for signal cutovers in Segment 4.
- Continued to progress the TPS interconnection design for TPS-1 and TPS-2. IFC design packages are final with Statement of No Objection.
- Continued to work with PG&E on packaging and bidding of interconnection construction. Contractor has been selected by PG&E for TPS-2 interconnection.
- Worked with BBII through Site Specific Work Plans (SSWP) for upcoming field work.
- Continued data conversion and model validation for the single phase study.
- PG&E continued work at East Grand and FMC substations.

A summary of the work progress by segment is provided in Table 3-1 below.

Table 3-1 Work Progress by Segment

Segment	Work Area	Foundations			Poles		
		Required ^{abc}	Completed this Month	Completed to Date	Required ^{ab}	Completed this Month	Completed to Date ^d
1	Tunnels	32	0	32	32	0	32
	A	309	0	0	259	0	0
	B	237	0	0	177	0	0
2	5	228	0	204	209	0	160
	4	314	0	239	254	0	190
	3	176	0	129	141	0	36
	2	247	0	78	205	0	60
	1	207	0	79	154	0	33
3	2	510	5	487	441	106	303
	1	391	3	368	310	0	233
4	A	241	22	178	177	1	108
	B	128	10	97	123	0	70
	CEMOF	96	0	0	81	0	0
Total		3,116	40	1,891	2,563	107	1,225

Note:

- a. Foundations required do not match poles required as guy foundations are needed in some locations for extra support.
- b. Reported number of required poles and foundations fluctuate due to Design changes.
- c. 30 foundations in S2WA5 will be installed by South San Francisco and 66 foundations in S2WA3 will be installed by 25th Avenue. Update: To-date, 20 foundations have been installed by the South San Francisco and 66 have been installed by the 25th Ave projects.
- d. One pole was unreported installed in S3WA2 in June 2020.

Activity Next Month

- Continue foundation installation in Segments 3 and 4.
- Mobilize off-track foundation crew to Segment 1 at the end of August/early September.
- Continue resolution of DSCs.
- Continue to install protective steel plates for protection of utilities during foundation installation.
- Continue to install OCS poles and assemblies in all Segments where available.
- Continue wire installation in Segments 3 and 4.
- Continue shunt wire installation in Segment 2.
- Continue work with BBII on field investigation activities and designs, which will include the progression of the OCS, traction power, bonding and grounding, signal systems, and other civil infrastructure such as overhead bridge protections.
- Pothole and clear obstructions at proposed OCS locations. Potholing will concentrate in Segments 3 and 4, as well areas of potential ROW needs in Segments 1 and 2.
- Continue construction at TPS-1.
- Continue construction at PS-7, PS-5, PS-4, PS-6, PS-2, and the Switching Station.

- Continue to install conduit and foundations for signal and wayside power cubicle (WPC) units in Segment 4 and Segment 2.
- Continue to install impedance bond connections.
- Continue to install IJs.
- Continue to install bridge attachments.
- Continue to coordinate with stakeholders on the consistent warning time solution and advance location-specific design.
- Continue to progress location-specific design for grade crossing system.
- Continue planning process for signal cutovers.
- Review BBII work plans for upcoming construction activities.
- Coordinate with PG&E on final design and construction for PG&E infrastructure.
- Coordinate with local jurisdictions to review designs.
- Continue tree pruning and removals.

3.2. Supervisory Control and Data Acquisition

SCADA is a system that monitors and controls field devices for electrification, including traction power substations (TPS), wayside power cubicles (WPC), and the OCS. SCADA will be integrated with the base operating system for Caltrain Operations and Control, which is the Rail Operations Center System (ROCS). A separate control console will be established for the Power Director.

Activity This Month

- Submitted formal schedule for review and Monthly Progress Report.
- Completed writing SCADA Operations User Manual.
- Completed Installation and Cutover Plan.
- Completed writing Training Manual.
- Began work on Training Plan.
- Continued progress on Pre FAT – including addressing discrepancies.

Activity Next Month

- Prepare and deliver the Monthly Report and the Monthly Schedule Update.
- Attend project status meetings (virtually).
- Support ongoing discussions concerning RFIs.
- Complete Pre-FAT (including completion of newly identified Pre-FAT defects).
- Address comments received for Operations User Manual.
- Address comments received for Training Manual.
- Complete Training Plan.

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

- Letter and Requests for Information closeout.
- Change Order reconciliation.

Activity Next Month

- Review and respond to letters.
- Install signage inside all tunnels.
- OCS Testing (Neta Testing).
- Punch List items.

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

- Continued bi-weekly meeting with PG&E.
- Began finalizing contract with second TPS-2 bidder after the first bidder withdrew their proposal.
- Received approval for staging at TPS-2.
- Completed bid evaluation by PG&E for TPS-1 overhead structures.
- Submitted laydown area design staging at TPS-1 for review.

Activity Next Month

- Continue bi-weekly meeting with PG&E.
- Coordinate the laydown staging materials with VTA.
- Coordinate ROW acquisition for TPS-1 and TPS-2.

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4.0 ELECTRIC MULTIPLE UNITS

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

4.1. Electric Multiple Units

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

Activity This Month

- COVID-19 related actions continued for the fifth month causing mixed disruptions to Stadler's activities:
 - Stadler's three manufacturing facilities (two in Switzerland and one in Salt Lake City) supporting the Caltrain Project have returned to near 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 person-power limitations and sub-supplier parts shortages.
 - Stadler has submitted a request for an 'excusable delay' due to COVID-19. The extent of the continuing delay is being evaluated. Currently, shipping the first trainset to Pueblo, Colorado for testing has been delayed 3 months to November 2020, and the first trainset to be delivered to Caltrain delayed 6 weeks to the end of April 2021.
 - Salt Lake City-based 'Type Testing' of Trainset No. 1 continues to be on hold since key Stadler and sub-supplier personnel cannot travel to the United States. The current delay in testing is estimated at one day for each day of COVID-19 travel restrictions.
 - Stadler has material for about three trainsets, but the disrupted supply chain will likely create shortages and production delays.
- Final Design Reviews remain to be completed for three systems. These software-based systems include 'Train Control,' 'Monitoring and Diagnostics,' and 'Car Control.' Completion is scheduled for August 2020 and must be performed prior to the commencement of Type Testing.
- First Article Inspections (FAI) continue to have their paperwork formalized and closed out.
- 43 car shells have been shipped from Stadler – Switzerland, with 34 onsite in Stadler's Salt Lake City facility.
- Quality Assurance audits of USA-based sub-suppliers were halted in mid-March due to COVID-19 travel restriction. Audits will commence when sub-suppliers reopen.

- PCEP, FRA and Caltrain Management meeting took place in Salt Lake City. The FRA advised changes to the bike car to further contain bikes in the event of an accident.

Activity Next Month

- Continue to close out system level FDRs and FAls.
- Re-baseline Stadler trainset delivery and testing schedule on Caltrain property.
- Continue to support Caltrain/PCEP system integration and rail startup activation activities

4.2. Centralized Equipment Maintenance and Operations Facility Modifications

The CEMOF Modifications Project will provide work areas to perform maintenance on new EMUs.

Activity This Month

- Continued processing submittals, RFIs, and SSWPs.
- Started shoring for the catch basins at the maintenance pit and installed catch basins at the north pit.
- ProVen continued working on shoring design for the boosted water line and the shallow fire sprinkler line.
- Completed removal of the Class II soil, ballast, and sub-ballast from the Track 5 area.
- Worked on various Change Order work.
- Completed partial excavation of south pit.
- Completed backfill/infill of the slope at the boosted water line.
- Completed installation of the industrial waste line at the north pit.
- Completed compaction of base rock at the south pit.
- Completed waterproofing of the pit footing.
- Worked on Field Instruction 025 at Parts Storage Warehouse (PSW) for the power feed final connection.
- Graded ramps at the PSW and installed rebar for the ramps.

Activity Next Month

- Start erection of the Parts Storage Warehouse Building.
- Design the shoring for the shallow fire sprinkler line.
- Installation of the trench drain at the south pit.
- Installation of water stops and shutoffs.
- Concrete pour of the footing at the south pit.
- Prepare shop drawings for wall at Component Test Room.

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.
- Conducted 2020 monthly employee injury reviews for BBII and its subcontractors.
- Provided project safety and security updates at the FTA Quarterly Meeting.
- 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.
- Performed reviews and provided comments on the BBII Safety and Security Certification Design Criteria Conformance Checklists (DCCC) 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.
- Conducted ongoing safety inspections of contractor field activities and performed pre-work site hazards assessment walks with BBII and subcontractor staff.
- Performed hi-rail vehicle safety inspections of contractor on-track equipment.
- Participated in weekly project coordination meetings with the contractor to review open issues and recommended action items.
- Continued to coordinate with JPB Safety and the project contractors with the application of mitigation measures in response to the evolving COVID-19 virus.

Activity Next Month

- Monthly virtual safety communication meetings continue to be scheduled for the Project Safety and Security Certification Committee, Fire/Life Safety Committee, Rail Activation Committee, and other project-related contractor and JPB safety meetings to discuss safety priorities.
- Continue focus on performing site safety inspections on the OCS foundations, pole installations, potholing, Tunnel, and CEMOF work to assess safety work practices and identify additional opportunities for improvement. Conduct contractor equipment inspections as needed.
- Continue to meet with the PCEP contractors, JPB safety, and TransitAmerica Services, Inc. (TASI) to identify opportunities to further improve project safety performance and continue to reinforce lessons learned safety mitigation recommendations resulting from prior project incidents.

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- Reinforce the ongoing application of recommended mitigation measures in response to the evolving COVID-19 virus.
- Investigate project incident occurrences as needed and work with the contractor representatives to identify incident root causes and develop and implement safety and security 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

- Staff meetings with BBII QA/Quality Control (QC) management representatives continue weekly.
- Continued review of BBII-generated Nonconformance Reports (NCR) and Construction Discrepancy Reports for proper discrepancy condition, cause, disposition, corrective and preventive action and verification of closure.
- Continued review and approval of Design Variance Requests for BBII and PGH Wong for QA/QC and inspection issues/concerns.
- Continued review of BBII QC Inspectors Daily Reports, Construction QC Reports and Surveillance Reports for work scope, performance of required duties, adequacy, non-conformances, test/inspection results, follow-up on unresolved issues, and preciseness.
- Continued review of BBII Material Receipt Reports, Certificates of Conformance, Certified Tests Reports, and Certificates of Analysis to ensure delivered project materials conform to specifications, and that contractually required quality and test support documents are adequate and reflect concise conditions per the purchase order requirements.
- Continued regularly scheduled design reviews and surveillances on project design packages.
- Completed a second shift audit of BBII OCS Poles and Wires Field Activities with two Findings. Parts two and three of the further assemblies related to this activity will occur this fall.
- Conduct BBII audit of the repair of OCS foundation at 43.9-04.

Table 6-1 below provides details on the status of audits performed through the reporting period.

Table 6-1 Quality Assurance Audit Summary

Quality Assurance Activity	This Reporting Period	Total to Date
Audits Conducted	2	121
Audit Findings		
Audit Findings Issued	2	78
Audit Findings Open	10	10
Audit Findings Closed	0	68
Non-Conformances		
Non-Conformances Issued	0	10
Non-Conformances Open	0	1
Non-Conformances Closed	0	9

Activity Next Month

- Conduct field surveillances at TPS-1.
- Conduct audit of BBII/MRS first and second shift field activities – signal house installation details.

7.0 SCHEDULE

The program critical path continues to run through the manufacturing and testing of EMU trainsets. In May 2020, the program schedule was updated to reflect COVID-19 impacts on the Stadler vehicle schedule. The effect of COVID-19 on Stadler is evolving and will continue to be monitored.

As the COVID-19 pandemic is a force majeure event, the JPB is reviewing its Full Funding Grant Agreement (FFGA) RSD obligation.

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

Table 7-1 Schedule Status

Milestones	Program Plan	Progress Schedule (July 2020) ¹
Arrival of First Vehicle in Pueblo, CO	N/A	11/20/2020 ²
Arrival of First Vehicle at JPB (after Pueblo testing)	N/A	04/02/2021 ²
Segment 4 Completion	11/21/2019	03/25/2021
o Interconnection from PG&E Substation to Traction Power Substation (TPS)	N/A	12/10/2020
PG&E Provides Permanent Power	09/09/2021	09/09/2021
Electrification Substantial Completion	08/10/2020	02/26/2022 ²
Start Phased Revenue Service	N/A	02/27/2022 ²
RSD (w/o Risk Contingency)	12/09/2021	07/22/2022 ²
FFGA RSD (w/ Risk Contingency)	08/22/2022	08/22/2022

Note:

¹ Dates may shift slightly as the update of this month's Progress Schedule is still in process.

² See "Notable Variances" for explanation on date shift.

Notable Variances

BBII continues to report an overall delay to substantial completion. JPB is working with BBII on the issue and is urging BBII to accelerate resolution. Within the month of July, the variances relative to the BBII schedule are due to signal design progressing slower than the progress assumed in the baseline schedule, slow progress on Traction Power Facilities design and construction, and slow progress on OCS foundation design resolution and installation.

Table 7-2 Critical Path Summary

Activity	Start	Finish
Manufacturing, Testing & Acceptance of Trainsets 1 - 14	08/13/2018	07/22/2022
RSD w/out Risk Contingency	05/06/2022	07/22/2022
FFGA RSD w/ Risk Contingency	08/22/2022	08/22/2022

Schedule Hold Points

Schedule Hold Points (SHP) represent key milestones on or near a schedule’s critical path that are used as measurement points with respect to contingency drawdown. Delays to these key milestones have the potential to require a program to utilize available contingency. Table 7-3 below reflects the SHPs for the PCEP program schedule. The dates indicated reflect the planned completion dates for each SHP.

Table 7-3 Schedule Hold Points

Schedule Hold Point (SHP)	Date
FTA/PMOC Risk Refresh	08/30/2016 (A)
Begin EMU Manufacturing	12/04/2017 (A)
Arrival of 1 st Trainset in Salt Lake City	02/04/2019 (A)
Arrival of 1 st Trainset in Pueblo, CO	11/20/2020
Arrival of 1 st Trainset at JPB	04/02/2021
Segment 4 Completion	03/25/2021
Conditional Acceptance of 1 st Trainset	12/03/2021
System Electrified	02/26/2022
Begin Phased Revenue Service	02/27/2022
Conditional Acceptance of 14th Trainset	07/22/2022
FFGA RSD w/ Risk Contingency	08/22/2022

Note: “(A)” denotes an actual completion

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8.0 BUDGET AND EXPENDITURES

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

Table 8-1 Electrification Budget & Expenditure Status

Description of Work	Budget (A)	Current Budget (B) ¹	Cost This Month (C) ²	Cost To Date (D) ³	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
ELECTRIFICATION						
Electrification ⁽⁴⁾	\$696,610,558	\$729,611,442	\$9,290,629	\$411,724,304	\$317,887,138	\$729,611,442
SCADA	\$0	\$3,446,917	\$0	\$1,934,371	\$1,512,546	\$3,446,917
Tunnel Modifications	\$11,029,649	\$41,453,871	\$45,261	\$41,069,236	\$384,635	\$41,453,871
Real Estate	\$28,503,369	\$28,503,369	\$805,645	\$22,144,806	\$6,358,563	\$28,503,369
Private Utilities	\$63,515,298	\$117,669,634	\$1,892,368	\$90,819,344	\$26,850,291	\$117,669,634
Management Oversight ⁽⁵⁾	\$141,506,257	\$155,617,251	\$1,830,606	\$143,147,312	\$12,469,939	\$155,617,251
Executive Management	\$7,452,866	\$9,214,226	\$120,039	\$8,553,278	\$660,948	\$9,214,226
Planning	\$7,281,997	\$6,281,997	\$8,813	\$5,827,812	\$454,185	\$6,281,997
Community Relations	\$2,789,663	\$1,789,663	\$3,857	\$1,583,457	\$206,206	\$1,789,663
Safety & Security	\$2,421,783	\$4,297,861	\$100,691	\$3,632,560	\$665,300	\$4,297,861
Project Management Services	\$19,807,994	\$17,526,725	\$135,129	\$13,257,358	\$4,269,367	\$17,526,725
Engineering & Construction	\$11,805,793	\$12,851,637	\$217,157	\$11,176,961	\$1,674,676	\$12,851,637
Electrification Eng & Mgmt	\$50,461,707	\$50,461,707	\$607,214	\$49,732,884	\$728,824	\$50,461,707
Construction Management	\$0	\$7,553,100	\$447,247	\$5,133,410	\$2,419,691	\$7,553,100
IT Support	\$312,080	\$407,170	\$0	\$407,170	\$0	\$407,170
Operations Support	\$1,445,867	\$2,758,632	\$19,166	\$2,738,577	\$20,055	\$2,758,632
General Support	\$4,166,577	\$5,566,577	\$81,530	\$5,789,498	(\$222,920)	\$5,566,577
Budget / Grants / Finance	\$1,229,345	\$1,429,345	(\$483)	\$1,354,264	\$75,081	\$1,429,345
Legal	\$2,445,646	\$4,993,672	\$26,058	\$4,667,415	\$326,257	\$4,993,672
Other Direct Costs	\$5,177,060	\$5,777,060	\$64,188	\$4,584,790	\$1,192,270	\$5,777,060
Prior Costs 2002 - 2013	\$24,707,878	\$24,707,878	\$0	\$24,707,878	\$0	\$24,707,878
TASI Support	\$55,275,084	\$57,475,084	\$1,397,267	\$43,398,332	\$14,076,752	\$57,475,084
Insurance	\$3,500,000	\$4,543,588	\$0	\$4,543,588	\$0	\$4,543,588
Environmental Mitigations	\$15,798,320	\$14,754,390	\$0	\$756,777	\$13,997,614	\$14,754,390
Required Projects	\$17,337,378	\$14,253,335	\$25,371	\$942,910	\$13,310,425	\$14,253,335
Maintenance Training	\$1,021,808	\$1,021,808	\$0	\$0	\$1,021,808	\$1,021,808
Finance Charges	\$5,056,838	\$6,137,156	\$19,775	\$4,009,931	\$2,127,225	\$6,137,156
Contingency	\$276,970,649	\$141,637,362	N/A	N/A	\$72,325,206	\$72,325,206
Forecasted Costs and Changes	\$0	\$0	N/A	N/A	\$69,312,156	\$69,312,156
ELECTRIFICATION SUBTOTAL	\$1,316,125,208	\$1,316,125,208	\$15,306,921	\$764,490,911	\$551,634,297	\$1,316,125,208

Notes regarding tables above:

1. Column B "Current Budget" includes executed change orders and awarded contracts.
2. Column C "Cost This Month" represents the cost of work performed this month.
3. Column D "Cost To Date" includes actuals (amount paid) and accruals (amount of work performed) to date.
4. Cost To Date for "Electrification" includes 5% for Contractor's retention until authorization of retention release.
5. The agency labor is actual through June 2020 and accrued for July 2020.

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Table 8-2 EMU Budget & Expenditure Status

Description of Work	Budget (A)	Current Budget (B) ¹	Cost This Month (C) ²	Cost To Date (D) ³	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
EMU						
EMU	\$550,899,459	\$555,292,618	\$4,225,280	\$179,683,722	\$375,608,896	\$555,292,618
CEMOF Modifications	\$1,344,000	\$6,780,711	\$60,643	\$3,892,146	\$2,888,565	\$6,780,711
Management Oversight ⁽⁴⁾	\$64,139,103	\$61,504,005	\$687,313	\$45,468,026	\$16,035,978	\$61,504,005
Executive Management	\$5,022,302	\$6,263,136	\$58,830	\$5,275,932	\$987,204	\$6,263,136
Community Relations	\$1,685,614	\$985,614	\$2,364	\$657,870	\$327,744	\$985,614
Safety & Security	\$556,067	\$766,796	\$14,949	\$597,877	\$168,919	\$766,796
Project Mgmt Services	\$13,275,280	\$11,275,280	\$84,180	\$8,560,344	\$2,714,937	\$11,275,280
Eng & Construction	\$89,113	\$89,113	\$0	\$23,817	\$65,296	\$89,113
EMU Eng & Mgmt	\$32,082,556	\$29,981,014	\$380,031	\$21,060,867	\$8,920,147	\$29,981,014
Construction Management	\$0	\$1,501,543	\$57,339	\$825,450	\$676,093	\$1,501,543
IT Support	\$1,027,272	\$952,089	\$10,881	\$647,892	\$304,198	\$952,089
Operations Support	\$1,878,589	\$781,858	\$4,941	\$408,377	\$373,481	\$781,858
General Support	\$2,599,547	\$2,599,547	\$34,952	\$2,494,336	\$105,211	\$2,599,547
Budget / Grants / Finance	\$712,123	\$1,012,123	\$105	\$899,692	\$112,431	\$1,012,123
Legal	\$1,207,500	\$1,292,752	\$0	\$1,236,543	\$56,209	\$1,292,752
Other Direct Costs	\$4,003,139	\$4,003,139	\$38,744	\$2,779,032	\$1,224,107	\$4,003,139
TASI Support	\$2,740,000	\$2,789,493	\$22,866	\$208,198	\$2,581,295	\$2,789,493
Insurance	\$0	\$38,263	\$0	\$38,263	\$0	\$38,263
Required Projects	\$4,500,000	\$3,927,821	\$0	\$538,280	\$3,389,541	\$3,927,821
Finance Charges	\$1,941,800	\$3,761,482	\$12,120	\$2,457,700	\$1,303,782	\$3,761,482
Contingency	\$38,562,962	\$30,032,932	N/A	N/A	\$26,774,234	\$26,774,234
Forecasted Costs and Changes	\$0	\$0	N/A	N/A	\$3,258,698	\$3,258,698
EMU SUBTOTAL	\$664,127,325	\$664,127,325	\$5,008,222	\$232,286,335	\$431,840,990	\$664,127,325

Notes regarding tables above:

1. Column B "Current Budget" includes executed change orders and awarded contracts.
2. Column C "Cost This Month" represents the cost of work performed this month.
3. Column D "Cost To Date" includes actuals (amount paid) and accruals (amount of work performed) to date.
4. The agency labor is actual through June 2020 and accrued for July 2020.

Table 8-3 PCEP Budget & Expenditure Status

Description of Work	Budget (A)	Current Budget (B) ¹	Cost This Month (C) ²	Cost To Date (D) ³	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
Electrification Subtotal	\$1,316,125,208	\$1,316,125,208	\$15,306,921	\$764,490,911	\$551,634,297	\$1,316,125,208
EMU Subtotal	\$664,127,325	\$664,127,325	\$5,008,222	\$232,286,335	\$431,840,990	\$664,127,325
PCEP TOTAL	\$1,980,252,533	\$1,980,252,533	\$20,315,144	\$996,777,245	\$983,475,287	\$1,980,252,533

Notes regarding tables above:

1. Column B "Current Budget" includes executed change orders and awarded contracts.
2. Column C "Cost This Month" represents the cost of work performed this month.
3. Column D "Cost To Date" includes actuals (amount paid) and accruals (amount of work performed) to date.

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

Description of Work	Budget (A)	Current Budget (B) ¹	Cost This Month (C) ²	Cost To Date (D) ³	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
CHSRA Early Pole Relocation	\$1,000,000	\$1,000,000	\$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	\$16,500	\$110,000	\$0	\$110,000
TPSS-2 VTA/PCEP Pole Height (Redesign)	\$31,000	\$31,000	\$27,900	\$27,900	\$3,100	\$31,000
EMU Option Cars	\$172,800,047	\$172,800,047	\$933,120	\$55,158,731	\$117,641,316	\$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	\$0	\$43,000	\$43,000
CNPA TOTAL	\$176,495,397	\$176,495,397	\$977,520	\$57,369,012	\$119,068,091	\$176,437,103

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.

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	Contingency¹
ELECTRIFICATION		
BBI-053-CCO-072A	SVP Requirements for Joint SIS & SPS (Task 1) - Voided	(\$80,000)
BBI-053-CCO-072A REV2	SVP Requirements for Joint SIS & SPS (Tasks 0-5)	\$300,000
BBI-053-CCO-078	Re-design CEMOF OCS Poles due to Stair 71 Conflict	\$11,796
BBI-053-CCO-084A	Steel Plates to Protect Utilities (DTDS)	\$101,334
BBI-053-CCO-085A	Steel Plates to Protect Utilities (DTDS)	\$94,062
BBI-053-CCO-103	Track Access Delays – 2017 Quarter 3	\$145,892
BBI-053-CCO-104	Utility Conflict During PVC Conduit Installation	\$2,657
BBI-053-CCO-025B	Addition of OCS Shunt Wires in Segments 2 & 4 - Wire Assembly Materials Only - Voided	(\$144,370)
BBI-053-CCO-025C	Addition of OCS Shunt Wires in Segments 2 & 4 – Pole Assembly Materials Only - Voided	(\$884,500)
PROV-070-CCO-032	Stone Masonry Fabrication at T-4S	\$26,367
PROV-070-CCO-035	Low Overhead Obstruction at T-1N	\$18,894
BT-005C	Budget Allocation for Jacobs CM Services for FY21 H1	\$3,053,324
BT-017B	B&G Safety & Security Support FY21 H1	\$606,474
BT-027B	Legal Support FY21 H1	\$237,941
BT-028B	RSE Utility Locating Support for FY21 H1	\$479,177
	ELECTRIFICATION SUBTOTAL	\$3,969,047
EMU		
PROV-071-CCO-028	Credit for Electrical Feed to Parts Storage Warehouse	(\$18,682)
PROV-071-CCO-029B	Shoring Design for Boosted Water Line Work	\$2,175
PROV-071-CCO-032B	Water Diversion Pump for Catch Basin Work	\$3,621
PROV-071-CCO-035	Settlement Slab Demolition	\$479
PROV-071-CCO-036	Storm Drain Line A	\$2,066
BT-017B	B&G Safety & Security Support FY21 H1	\$1,500
BT-027B	Legal Support FY21 H1	\$41,279
	EMU SUBTOTAL	\$32,438
	PCEP TOTAL	\$4,001,485

Notes regarding tables above:

¹. Budget amount transferred from project contingency. A negative amount represents a credit to contingency.

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

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

9.0 CHANGE MANAGEMENT

The change management process establishes a formal administrative work process associated with the initiation, documentation, coordination, review, approval and implementation of changes that occur during the design, construction or manufacturing of the PCEP. The change management process accounts for impacts of the changes and ensures prudent use of contingency.

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

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

Executed Contract Change Orders (CCO) This Month

Electrification Contract

Change Order Authority (5% of BBII Contract)			5% x \$696,610,558 = \$34,830,528
Date	Change Number	Description	CCO Amount
7/9/2020	BBI-053-CCO-072A	SVP Requirements for Joint SIS & SPS (Task 1) - Voided	(\$80,000)
7/9/2020	BBI-053-CCO-072A REV2	SVP Requirements for Joint SIS & SPS (Tasks 0-5)	\$300,000
7/30/2020	BBI-053-CCO-078	Re-design CEMOF OCS Poles due to Stair 71 Conflict	\$11,796
7/30/2020	BBI-053-CCO-084A	Steel Plates to Protect Utilities (DTDS)	\$101,334
7/30/2020	BBI-053-CCO-085A	Steel Plates to Protect Utilities (DTDS)	\$94,062
7/30/2020	BBI-053-CCO-104	Utility Conflict During PVC Conduit Installation	\$2,657
7/31/2020	BBI-053-CCO-103	Track Access Delays – 2017 Quarter 3	\$145,892
7/31/2020	BBI-053-CCO-025B	Addition of OCS Shunt Wires in Segments 2 & 4 - Wire Assembly Materials Only - Voided	(\$144,370)
7/31/2020	BBI-053-CCO-025C	Addition of OCS Shunt Wires in Segments 2 & 4 – Pole Assembly Materials Only - Voided	(\$884,500)
Total			(\$453,129)

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

EMU Contract

Change Order Authority (5% of Stadler Contract)			5% x \$550,899,459 = \$27,544,973
Date	Change Number	Description	CCO Amount
7/13/2020	STA-056-CCO-026	Update VR Experiences (CNPA: \$43K funded by Non-PCEP)	\$43,000
Total			\$43,000

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

SCADA Contract

Change Order Authority (15% of ARINC Contract)			15% x \$3,446,917 = \$517,038
Date	Change Number	Description	CCO Amount
	None		\$0
Total			\$0

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

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Tunnel Modification Contract

Change Order Authority (10% of ProVen Contract)²

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

Date	Change Number	Description	CCO Amount
7/31/2020	PROV-070-CCO-032	Stone Masonry Fabrication at T-4S	\$26,367
7/31/2020	PROV-070-CCO-035	Low Overhead Obstruction at T-1N	\$18,894
Total			\$45,261

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

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

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

CEMOF Contract

Change Order Authority (10% of ProVen Contract)

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

Date	Change Number	Description	CCO Amount
6/10/2020	PROV-071-CCO-028	Credit for Electrical Feed to Parts Storage Warehouse	(\$18,682)
7/24/2020	PROV-071-CCO-029B	Shoring Design for Boosted Water Line Work	\$2,175
7/24/2020	PROV-071-CCO-032B	Water Diversion Pump for Catch Basin Work	\$3,621
7/24/2020	PROV-071-CCO-035	Settlement Slab Demolition	\$479
7/24/2020	PROV-071-CCO-036	Storm Drain Line A	\$2,066
Total			(\$10,341)

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

Amtrak AEM-7 Contract

Change Order Authority (Lump Sum)

Up to \$150,000

Date	Change Number	Description	CCO Amount
	None		\$0
Total			\$0

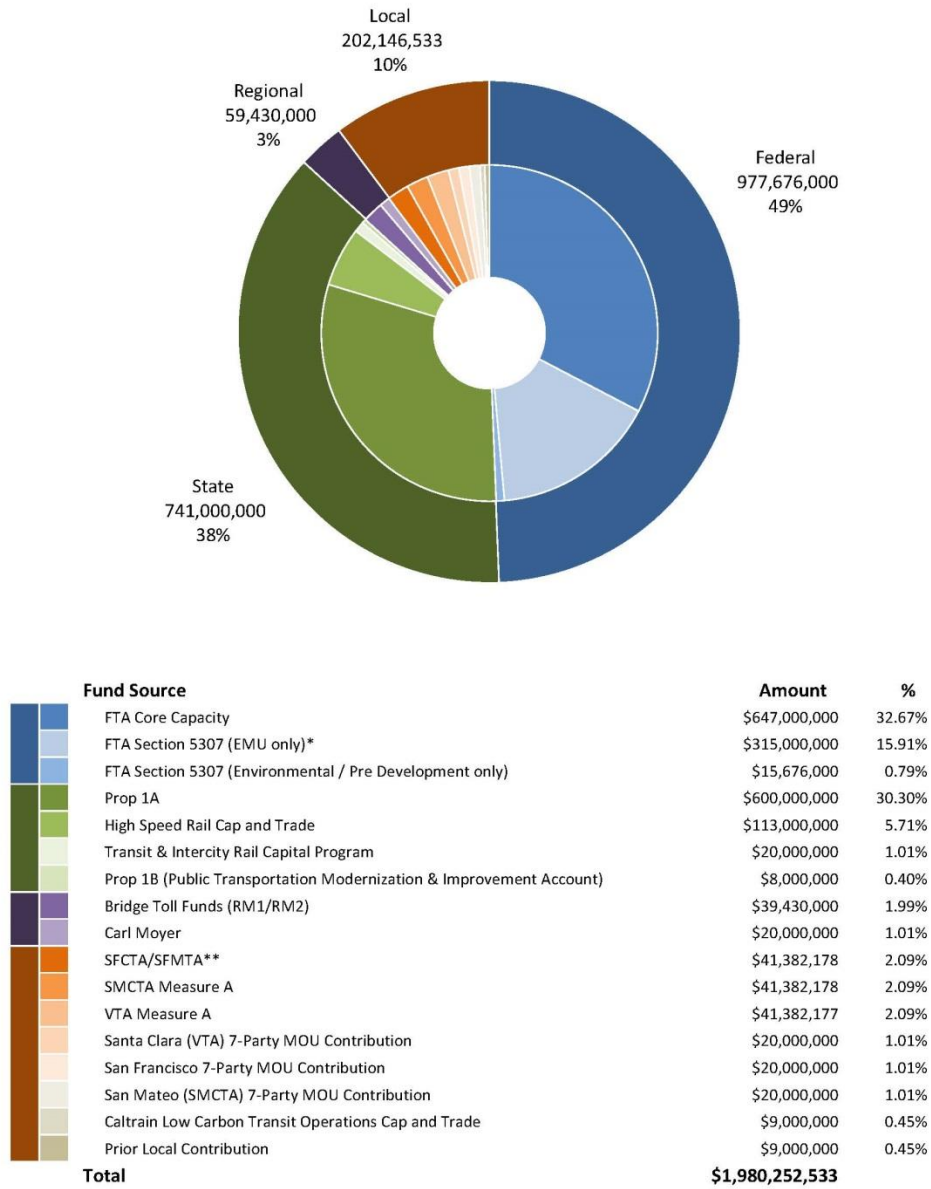
Notes:

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

10.0 FUNDING

Figure 10-1 depicts a summary of the funding plan for the PCEP. It provides a breakdown of the funding partners as well as the allocated funds. In the last month, FTA awarded \$97 million in Section 5307 funding for the project. Staff are now working with FTA to award the next \$100 million in Core Capacity funding for the project.

Figure 10-1 Funding Plan



Notes:

*Includes necessary fund transfer with SMCTA

**Includes \$4M CMAQ Transfer considered part of SF local contribution

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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. The contractor may not complete and install signal design including two-speed check (2SC) modifications within budget and schedule.
2. Extent of differing site conditions and associated redesign efforts results in delays to the completion of the electrification contract and increases program costs.
3. Sub-optimal contractor sequencing, when progressing design and clearing foundation locations may result in construction inefficiencies.
4. Property not acquired in time for contractor to do work.
5. Additional property acquisition is necessitated by change in design.
6. TASI may not have sufficient number of signal maintainers for testing.
7. Contractor generates hazardous materials that necessitate proper removal and disposal in excess of contract allowances and expectations.
8. Collaboration across multiple disciplines to develop a customized rail activation program may fail to comprehensively address the full scope of issues required to operate and maintain an electrified railroad and decommission the current diesel fleet.

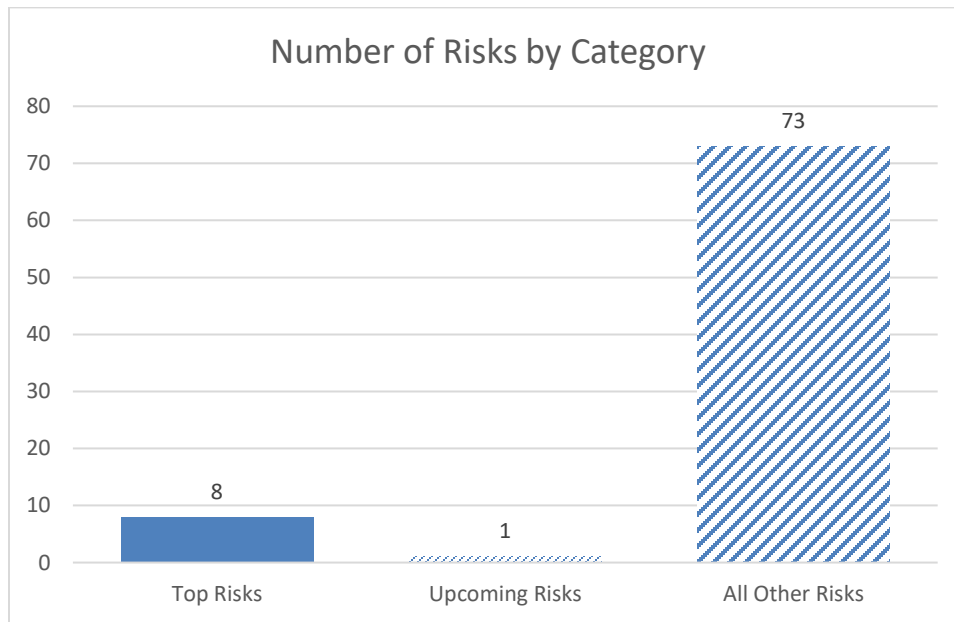
Activity This Month

- Updated risk descriptions, effects, and mitigations based upon weekly input from risk owners. Monthly cycle of risk updating was completed based on schedules established in the Risk Identification and Mitigation Plan.
- Updated risk retirement dates based upon revisions to the project schedule and input from risk owners.
- Continued weekly monitoring of risk mitigation actions and publishing of the risk register.

- The Risk Management team attended Project Delivery, Vehicle Design, and Systems Integration meetings to monitor developments associated with risks and to identify new risks.
- Finalized summary of risk refresh.

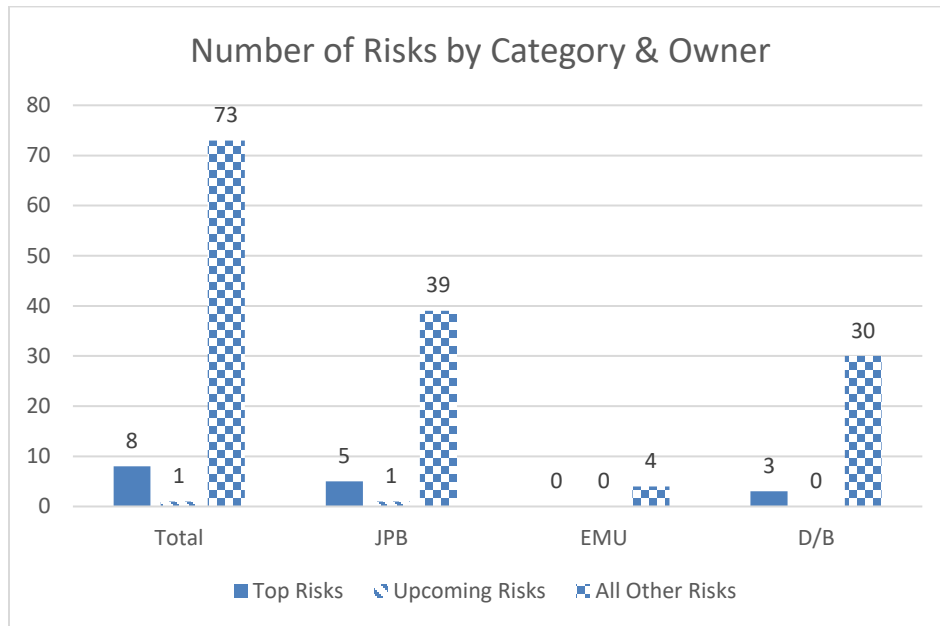
Figures 11-1 and 11-2 show the risks identified for the program. Risks are categorized as top risk, upcoming risk, and all other risks. The categories are based on a rating scale composed of schedule and cost factors. Top risks are considered to have a significantly higher than average risk grade. Upcoming 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 = 82

Figure 11-2 Risk Classification



Total Number of Active Risks = 82

Activity Next Month

- Conduct weekly monitoring of risk mitigation actions and continue publishing risk register.
- Update risk descriptions, effects, mitigations and retirement dates based on weekly monitoring and attendance at key project meetings.
- Convene Risk Assessment Committee meeting.

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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, grading, tree trimming/removal, conduit installation, abandoned signal cable removal, 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.
- Noise and vibration monitoring also occurred during project activities, and non-hazardous soil was removed from the right of way (ROW).
- Environmentally Sensitive Area (ESA) delineation (staking and/or fencing) occurred to delineate jurisdictional waterways and other potentially sensitive areas that should be avoided during upcoming construction activities. Pre-construction nesting bird surveys during the nesting bird season continued (nesting bird season is defined as February 1 through September 15), and pre-construction surveys for sensitive avian species continued at previously identified potential habitat locations. Wildlife exclusion fencing installation and monitoring occurred adjacent to portions of the alignment designated for wildlife exclusion fencing.
- Best management practices (BMPs) installation and maintenance (e.g., silt fencing, straw wattles with no monofilament netting per wildlife agency permit requirements, soil covers, etc.) occurred at equipment staging areas and other

work areas throughout the alignment in accordance with the project-specific Stormwater Pollution Prevention Plan (SWPPP).

Activity Next Month

- Environmental compliance monitors will continue to monitor project activities (OCS pole foundation installation, pot holing for utility location, tree trimming/removal, conduit installation, utility removal, abandoned signal cable removal, permanent fence installation, etc.) occurring in areas that require environmental compliance monitoring in an effort to minimize potential impacts on sensitive environmental resources in accordance with the MMRP.
- Noise and vibration monitoring of project activities will continue to occur and non-hazardous soil will continue to be removed.
- Biological surveyors will continue to conduct pre-construction surveys for sensitive wildlife species ahead of project activities. Pre-construction nesting bird surveys during the nesting bird season will continue (nesting bird season is defined as February 1 through September 15).
- BMPs installation will continue in accordance with the project-specific SWPPP, and ESA staking and fencing will continue to occur, to delineate jurisdictional waterways, and other potentially sensitive areas, that should be avoided during upcoming project activities.
- Wildlife exclusion fencing will continue to be installed and maintained prior to upcoming construction activities adjacent to potentially suitable habitat for sensitive wildlife species.

13.0 UTILITY RELOCATION

Implementation of the PCEP requires relocation or rerouting of both public and private utility lines and/or facilities. Utility relocation will require coordination with many entities, including regulatory agencies, public safety agencies, federal, state, and local government agencies, private and public utilities, and other transportation agencies and companies. This section describes the progress specific to the utility relocation process.

Activity This Month

- Worked with all utilities on review of overhead utility line relocations based on the current design.
- Coordinated with individual utility companies on relocation plans and schedule for incorporation with Master Program Schedule.
- Coordinated work with communications utilities on review of relocation design and prioritization of relocations.
- All relocations required by SVP in Segment 3 are complete.
- Continued to coordinate relocation work for Palo Alto Power facilities. Palo Alto is scheduled to complete their relocations by September 2020. Any temporary shutdowns required by PCEP prior to that date will be coordinated with Palo Alto.
- Continued to coordinate relocation by communication cable owners such as AT&T and Comcast.
- Conducted utility coordination meeting to discuss overall status and areas of potential concern from the utilities.

Activity Next Month

- Coordinate with individual utility owners on the next steps of relocations, including support of any required design information.
- Update the relocation schedule as information becomes available from the utility owners.
- Continue to review relocation design from Palo Alto Power, and communications companies and coordinate relocation field work.
- Continue communication relocations in all Segments.
- Review SSWPs by Palo Alto Power for relocation work in Segment 3.
Continue Palo Alto Power relocations in Segment 3.

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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.

Of the parcels identified at the beginning of the project, there remain only five owners from whom the agency requires possession.

The Real Estate team's current focus is working to identify new parcels and acquire them in conjunction with the project schedule.

- Staff has defined a process to ensure that BBII conveys new property needs (both for poles and for overhead wires) 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 eight new parcels to date.

Activity This Month

- Staff continues to review potential new pole locations and is engaging in a system-wide review of potential ESZ needs. Staff continues to meet with the internal signal team and BBII signal team to determine potential Real Estate interests.
- The project is building a fence and moving light poles on the PG&E Cinnabar property to clear foundation locations. Staff has negotiated access with PGE pending completion of the fence and lighting work and drafted legal documents for possession.
- VTA Adopted a Resolution of Necessity over the PGE site.
- Presented an access agreement to Santa Clara Valley Water District for a vital site in Segment 3.
- Completed appraisal of Google site, a very small acquisition for a foundation.

Activity Next Month

- Continued review of ESZ needs submitted by BBII compared to direction from contract.
- Continue to work with property owner on Phan parcel to close escrow.
- Complete Marchese appraisal.
- File "friendly" condemnation action to get possession of PG&E Cinnabar site
- Continue to meet with internal signal team and BBII signal team to determine potential Real Estate needs.

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- Make offers on the parcel for which appraisals have been completed.
- Continue to work with project team to identify and analyze new potential parcels.
- Map newly identified parcels.

15.0 THIRD PARTY AGREEMENTS

Third-party coordination is necessary for work impacting public infrastructure, utilities, ROW acquisitions, and others. Table 15-1 below outlines the status of necessary agreements for the PCEP.

Table 15-1 Third-Party Agreement Status

Type	Agreement	Third-Party	Status
Governmental Jurisdictions	Construction & Maintenance ¹	City & County of San Francisco	Executed
		City of Brisbane	Executed
		City of South San Francisco	Executed
		City of San Bruno	Executed
		City of Millbrae	Executed
		City of Burlingame	Executed
		City of San Mateo	Executed
		City of Belmont	Executed
		City of San Carlos	Executed
		City of Redwood City	Executed
		City of Atherton	In Process
		County of San Mateo	Executed
		City of Menlo Park	Executed
		City of Palo Alto	Executed
		City of Mountain View	Executed
		City of Sunnyvale	Executed
		City of Santa Clara	Executed
		County of Santa Clara	Executed
	City of San Jose	Executed	
	Condemnation Authority	San Francisco	In Process
San Mateo		Executed	
Santa Clara		Executed	
Utilities	Infrastructure	PG&E	Executed
	Operating Rules	CPUC	Executed
Transportation & Railroad	Construction & Maintenance	Bay Area Rapid Transit	Executed ²
	Construction & Maintenance	California Dept. of Transportation (Caltrans)	Not needed ³
	Trackage Rights	UPRR	Executed ²

Notes regarding table above:

1. Agreements memorialize the parties' consultation and cooperation, designate respective rights and obligations and ensure cooperation between the JPB and the 17 cities and three counties along the Caltrain ROW and within the PCEP limits in connection with the design and construction of the PCEP.
2. Utilizing existing agreements.
3. Caltrans Peer Process utilized. Formal agreement not needed.

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16.0 GOVERNMENT AND COMMUNITY AFFAIRS

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

Presentations/Meetings

- City/County Staff Coordinating Group
- Local Policy Makers Group

Third Party/Stakeholder Actions

- None

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17.0 DISADVANTAGED BUSINESS ENTERPRISE (DBE) PARTICIPATION AND LABOR STATISTICS

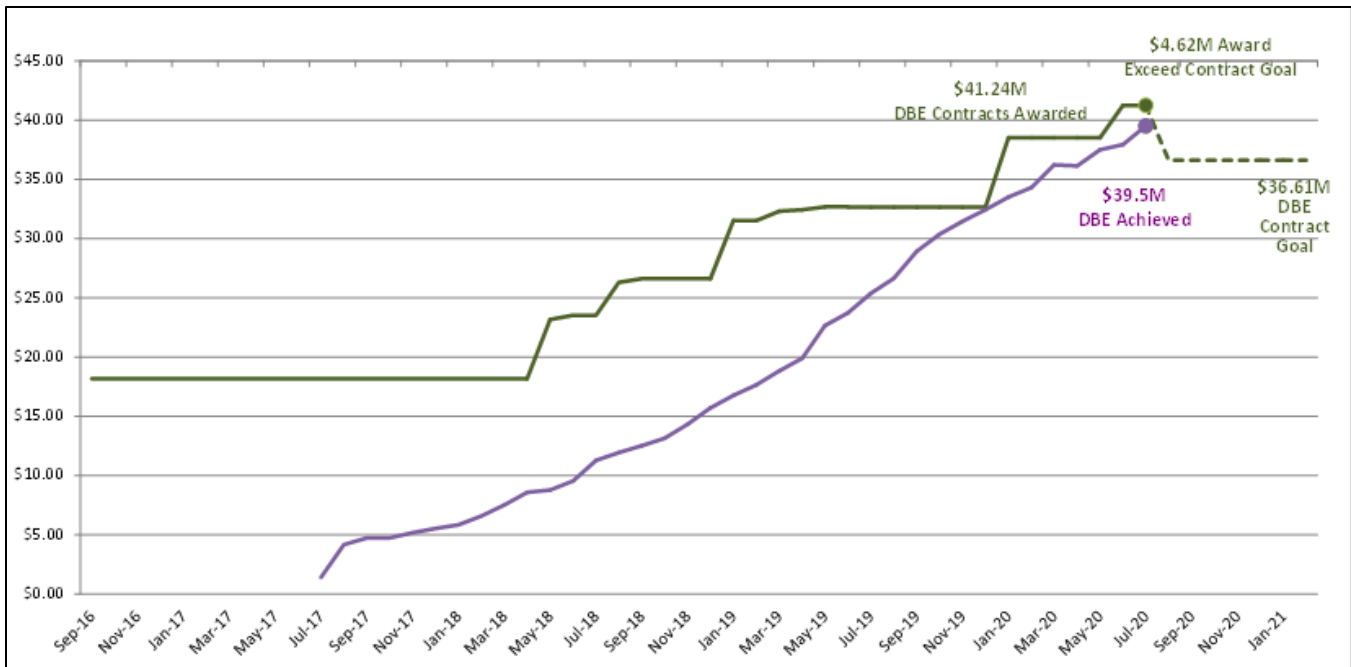
BBII proposed that 5.2% (\$36,605,143) of the DB base contract value including DBE contract change orders (\$703,945,061) would be subcontracted to DBEs.

Activity This Month

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

- **\$39,500,863** has been paid to DBE subcontractors.
- **\$41,242,326 million** of DBE contracts have been awarded (to be verified).
- **5.61%** has been achieved.

Figure 17-1 DBE Participation



Activity Next Month

BBII has proposed the following key actions:

“In the month of August, 2020, we continue to anticipate increasing our DBE commitments to firms who we are currently negotiating pricing on proposed work or Professional Services Agreements. We are optimistic about the prospect of making future awards to DBE firms. We also anticipate that the existing project work will increase resulting in expanded work for current DBE subcontractors.”

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18.0 PROCUREMENT

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

- None

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

- None

Contract Awards this Month:

- None

Work Directive (WD)/Purchase Order (PO) Awards & Amendments this Month:

- Multiple WDs & POs issued to support the program needs

In Process IFB/RFQ/RFP/Contract Amendments:

- None

Upcoming Contract Awards/Contract Amendments:

- None

Upcoming IFB/RFQ/RFP to be Issued:

- RFQ – Scissor Lift Work Platform

Existing Contracts Amendments Issued:

- None

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19.0 TIMELINE OF MAJOR PROJECT ACCOMPLISHMENTS

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

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

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Date	Milestone
2018	Completed all PG&E agreements JPB approves contract award to Mitsui for the purchase of electric locomotives and Amtrak for overhaul services, storage, acceptance testing, training, and shipment of locomotive to CEMOF JPB approves authorization for the Executive Director to negotiate final contract award to ProVen for tunnel modifications and track rehabilitation project JPB approves contract award (LNTP) to ProVen for tunnel modifications Issued NTP to ProVen for tunnel modifications (October) Amended contract with ProVen to include OCS in the tunnels (November)
2019	JPB approves contract award to ProVen for CEMOF modifications (February) JPB approves LNTP to ProVen for CEMOF modifications (April) JPB approves NTP to ProVen for CEMOF modifications (September)
2020	JPB approves agreement amendment to PG&E for interconnection construction JPB executes agreement with PG&E for interconnection construction (May) FRA approved the waiver for Alternative Vehicle Technology regarding crashworthiness of EMU cars.

APPENDICES

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Appendix A – Acronyms

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

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

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

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Appendix B – Funding Partner Meetings

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Funding Partner Meeting Representatives
Updated July 16, 2020

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

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Appendix C – Schedule

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#	Activity Name	Duration	Start	Finish	2014				2015				2016				2017				2018				2019				2020				2021				2022				023
					Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4						
1	MASTER PROGRAM SCHEDULE C20.02	2168d	05-01-14 A	08-22-22																																					
2	MILESTONES	2168d	05-01-14 A	08-22-22																																					
3	Start	0d	05-01-14 A																																						
4	NEPA Reevaluation Complete	0d		02-11-16 A																																					
5	LNTTP to Electrification Contractor	0d	09-06-16 A																																						
6	LNTTP to Vehicle Manufacturer	0d	09-06-16 A																																						
7	FTA Issues FFGA	0d		05-23-17 A																																					
8	Segment 4 (incl. Test Track) Complete	0d		03-25-21																																					
9	Electrification Substantial Completion	0d		02-26-22																																					
10	Start Phased Revenue Service	0d	02-27-22																																						
11	Revenue Service Date (RSD) w/out Risk Contingency	0d		07-22-22																																					
12	Revenue Service Date (RSD) w/ Risk Contingency (FFGA RSD)	0d		08-22-22																																					
13	PLANNING / APPROVALS	1230d	05-01-14 A	01-16-19 A																																					
14	REAL ESTATE ACQUISITION	1204d	11-05-15 A	08-03-20																																					
15	OVERHEAD UTILITY RELOCATION (Various)	949d	03-10-17 A	12-04-20																																					
16	PG&E INFRASTRUCTURE	1182d	03-01-17 A	09-09-21																																					
17	INTERCONNECT	1055d	03-01-17 A	03-16-21																																					
18	INTERIM POWER	322d	08-01-17 A	11-05-18 A																																					
19	PERMANENT POWER	1044d	08-01-17 A	09-09-21																																					
20	<i>DESIGN & PERMITTING</i>	431d	08-01-17 A	04-12-19 A																																					
21	<i>CONSTRUCTION</i>	612d	04-15-19 A	09-09-21																																					
22	ELECTRIFICATION (BBII)	1429d	09-06-16 A	02-26-22																																					
23	DESIGN	1323d	09-06-16 A	09-30-21																																					
24	SIGNALS DESIGN	293d	05-01-20 A	06-15-21																																					
25	CONSTRUCTION	1558d	10-09-17 A	01-13-22																																					
26	Segment 1	795d	10-02-19 A	12-04-21																																					
27	OCS	239d	10-13-20	06-08-21																																					
28	Traction Power	752d	10-02-19 A	10-22-21																																					
29	Signals	254d	11-18-20	07-29-21																																					
30	Segment Testing	43d	10-23-21	12-04-21																																					
31	Segment 2	1475d	10-09-17 A	10-22-21																																					
32	OCS	1230d	10-09-17 A	02-19-21																																					
33	Traction Power	1325d	01-19-18 A	09-04-21																																					
34	Signals	856d	04-26-19 A	08-28-21																																					
35	Segment Testing	43d	09-10-21	10-22-21																																					
36	Segment 3	1011d	04-09-19 A	01-13-22																																					
37	OCS	584d	05-28-19 A	12-31-20																																					
38	Traction Power	839d	04-09-19 A	07-25-21																																					
39	Signals	388d	11-18-20	12-10-21																																					
40	Segment Testing	34d	12-11-21	01-13-22																																					
41	Segment 4	1211d	12-01-17 A	03-25-21																																					
42	OCS	676d	02-25-19 A	12-31-20																																					
43	Traction Power	1186d	12-01-17 A	02-28-21																																					
44	Signals	810d	10-22-18 A	01-08-21																																					
45	Segment Testing	60d	01-25-21	03-25-21																																					
46	TESTING	84d	12-05-21	02-26-22																																					
47	DRILL TRACK (TASI)	20d	08-03-20	08-28-20																																					

Prog Plan (C16.00)	Remaining	Start Milestone	Last Months Update
Last Months Update	Near Critical	Finish Milestone	Critical Milestone
Progress	Critical	Prog Plan (C16.00)	Risk Contingency

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)
10 - GUIDEWAY & TRACK ELEMENTS	\$14,256,739	\$27,353,871	\$45,261	\$24,992,207	\$2,760,159	\$27,752,366
10.02 Guideway: At-grade semi-exclusive (allows cross-traffic)	\$2,500,000	\$2,500,000	\$0	\$139,054	\$2,360,946	\$2,500,000
10.07 Guideway: Underground tunnel	\$8,110,649	\$24,853,871	\$45,261	\$24,853,153	\$399,213	\$25,252,365
10.07 Allocated Contingency	\$3,646,090	\$0	\$0	\$0	\$0	\$0
30 - SUPPORT FACILITIES: YARDS, SHOPS, ADMIN. BLDGS	\$2,265,200	\$6,780,711	\$60,643	\$3,892,146	\$4,246,065	\$8,138,211
30.03 Heavy Maintenance Facility	\$1,344,000	\$6,780,711	\$60,643	\$3,892,146	\$4,246,065	\$8,138,211
30.03 Allocated Contingency	\$421,200	\$0	\$0	\$0	\$0	\$0
30.05 Yard and Yard Track	\$500,000	\$0	\$0	\$0	\$0	\$0
40 - SITEWORK & SPECIAL CONDITIONS	\$255,072,402	\$270,549,252	\$3,318,324	\$184,179,767	\$89,592,141	\$273,771,908
40.01 Demolition, Clearing, Earthwork	\$3,077,685	\$3,077,685	\$72,100	\$4,831,000	(\$1,753,315)	\$3,077,685
40.02 Site Utilities, Utility Relocation	\$62,192,517	\$93,414,668	\$1,766,144	\$90,512,035	\$3,902,633	\$94,414,668
40.02 Allocated Contingency	\$25,862,000	(\$0)	\$0	\$0	(\$0)	(\$0)
40.03 Haz. mat'l, contam'd soil removal/mitigation, ground water treatments	\$2,200,000	\$4,944,961	(\$4,976)	\$6,246,927	(\$1,301,966)	\$4,944,961
40.04 Environmental mitigation, e.g. wetlands, historic/archeologic, parks	\$32,579,208	\$32,954,208	\$54,000	\$2,062,995	\$30,891,213	\$32,954,208
40.05 Site structures including retaining walls, sound walls	\$568,188	\$568,188	\$0	\$0	\$568,188	\$568,188
40.06 Pedestrian / bike access and accommodation, landscaping	\$804,933	\$764,933	\$0	\$0	\$764,933	\$764,933
40.07 Automobile, bus, van accessways including roads, parking lots	\$284,094	\$284,094	\$0	\$0	\$284,094	\$284,094
40.08 Temporary Facilities and other indirect costs during construction	\$107,343,777	\$113,930,514	\$1,431,056	\$80,526,810	\$36,797,408	\$117,324,218
40.08 Allocated Contingency	\$20,160,000	\$20,610,000	\$0	\$0	\$19,438,953	\$19,438,953
50 - SYSTEMS	\$504,445,419	\$524,002,043	\$8,008,412	\$182,931,807	\$355,690,973	\$538,622,781
50.01 Train control and signals	\$97,589,149	\$101,030,416	\$4,797,555	\$37,863,887	\$64,423,067	\$102,286,953
50.01 Allocated Contingency	\$1,651,000	\$0	\$0	\$0	\$0	\$0
50.02 Traffic signals and crossing protection	\$23,879,905	\$23,879,905	\$0	\$0	\$23,879,905	\$23,879,905
50.02 Allocated Contingency	\$1,140,000	\$1,140,000	\$0	\$0	\$1,140,000	\$1,140,000
50.03 Traction power supply: substations	\$69,120,009	\$97,744,787	\$897,112	\$37,243,805	\$61,535,050	\$98,778,855
50.03 Allocated Contingency	\$31,755,013	\$2,990,895	\$0	\$0	\$2,001,915	\$2,001,915
50.04 Traction power distribution: catenary and third rail	\$253,683,045	\$276,326,594	\$2,313,745	\$107,766,127	\$195,035,304	\$302,801,431
50.04 Allocated Contingency	\$18,064,000	\$13,326,148	\$0	\$0	\$170,423	\$170,423
50.05 Communications	\$5,455,000	\$5,455,000	\$0	\$57,989	\$5,397,011	\$5,455,000
50.07 Central Control	\$2,090,298	\$2,090,298	\$0	\$0	\$2,090,298	\$2,090,298
50.07 Allocated Contingency	\$18,000	\$18,000	\$0	\$0	\$18,000	\$18,000
60 - ROW, LAND, EXISTING IMPROVEMENTS	\$35,675,084	\$35,675,084	\$805,645	\$19,985,471	\$15,689,614	\$35,675,084
60.01 Purchase or lease of real estate	\$25,927,074	\$25,927,074	\$805,645	\$19,856,896	\$6,070,178	\$25,927,074
60.01 Allocated Contingency	\$8,748,010	\$8,748,010	\$0	\$0	\$8,748,010	\$8,748,010
60.02 Relocation of existing households and businesses	\$1,000,000	\$1,000,000	\$0	\$128,574	\$871,426	\$1,000,000
70 - VEHICLES (96)	\$625,544,147	\$623,587,713	\$4,682,646	\$218,304,467	\$403,825,093	\$622,129,560
70.03 Commuter Rail	\$589,167,291	\$590,974,845	\$4,682,646	\$217,766,187	\$375,109,856	\$592,876,043
70.03 Allocated Contingency	\$9,472,924	\$5,781,116	\$0	\$0	\$2,421,765	\$2,421,765
70.06 Non-revenue vehicles	\$8,140,000	\$8,067,821	\$0	\$538,280	\$7,529,541	\$8,067,821
70.07 Spare parts	\$18,763,931	\$18,763,931	\$0	\$0	\$18,763,931	\$18,763,931
80 - PROFESSIONAL SERVICES (applies to Cats. 10-50)	\$323,793,010	\$335,703,152	\$3,362,317	\$306,442,151	\$48,889,231	\$355,331,382
80.01 Project Development	\$130,350	\$130,350	\$0	\$280,180	(\$149,830)	\$130,350
80.02 Engineering (not applicable to Small Starts)	\$180,227,311	\$188,450,613	\$1,566,260	\$198,370,156	(\$5,903,645)	\$192,466,510
80.02 Allocated Contingency	\$1,866,000	\$202,474	\$0	\$0	\$21,942	\$21,942
80.03 Project Management for Design and Construction	\$72,029,265	\$76,636,410	\$1,136,787	\$78,877,713	\$20,444,586	\$99,322,299
80.03 Allocated Contingency	\$9,388,080	\$8,000,396	\$0	\$0	(\$0)	(\$0)
80.04 Construction Administration & Management	\$23,677,949	\$30,110,163	\$628,781	\$19,028,506	\$19,027,014	\$38,055,520
80.04 Allocated Contingency	\$19,537,000	\$13,104,785	\$0	\$0	\$5,159,428	\$5,159,428
80.05 Professional Liability and other Non-Construction Insurance	\$3,500,000	\$4,581,851	\$0	\$4,581,851	\$0	\$4,581,851
80.06 Legal; Permits; Review Fees by other agencies, cities, etc.	\$7,167,275	\$8,671,371	\$26,058	\$5,261,973	\$4,516,770	\$9,778,742
80.06 Allocated Contingency	\$556,000	\$0	\$0	\$0	\$0	\$0
80.07 Surveys, Testing, Investigation, Inspection	\$3,287,824	\$3,388,781	\$4,431	\$41,772	\$3,347,009	\$3,388,781
80.08 Start up	\$1,797,957	\$1,797,957	\$0	\$0	\$1,797,957	\$1,797,957
80.08 Allocated Contingency	\$628,000	\$628,000	\$0	\$0	\$628,000	\$628,000
Subtotal (10 - 80)	\$1,761,052,001	\$1,823,651,826	\$20,283,248	\$940,728,015	\$920,693,276	\$1,861,421,292
90 - UNALLOCATED CONTINGENCY	\$162,620,295	\$97,120,470	\$0	\$0	\$59,351,004	\$59,351,004
Subtotal (10 - 90)	\$1,923,672,296	\$1,920,772,296	\$20,283,248	\$940,728,015	\$980,044,280	\$1,920,772,296
100 - FINANCE CHARGES	\$6,998,638	\$9,898,638	\$31,896	\$6,467,631	\$3,431,007	\$9,898,638
Total Project Cost (10 - 100)	\$1,930,670,934	\$1,930,670,934	\$20,315,144	\$947,195,646	\$983,475,288	\$1,930,670,934

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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

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

Peninsula Corridor Electrification Project
Monthly Progress Report

Change Order Authority (5% of BBII Contract)

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

Date	Change Number	Description	CCO Amount	Change Order Authority Usage ¹	Remaining Authority
3/5/2019	BBI-053-CCO-042A	TPSS-2 VTA/BART Pole Relocation (Design Only) (CNPA funded by VTA)	\$110,000	0.32% ³	\$30,490,456
3/11/2019	BBI-053-CCO-036	Field Order for Signal Cable Relocation (FO-064)	\$86,538	0.25%	\$30,403,918
3/20/2019	BBI-053-CCO-035	Millbrae Avenue Existing Overhead Barrier	(\$40,000)	(0.11)%	\$30,443,918
3/19/2019	BBI-053-CCO-046	Training in Design Software and Potholing	\$136,611	0.39%	\$30,307,307
4/8/2019	BBI-053-CCO-041	Grade Crossing Warning System (CN59) – 5 mph Speed Check	\$446,982	1.28%	\$29,860,325
5/30/2019	BBI-053-CCO-044	Additional Daytime Potholing (Increase Quantity by 500 in Segment 4)	\$150,000	0.43 %	\$29,710,325
6/6/2019	BBI-053-CCO-048	Power Metering Devices	\$101,908	0.29 %	\$29,608,417
6/13/2019	BBI-053-CCO-045	Incentive Payment for 2018	\$1,025,000	0.00% ²	-
6/13/2019	BBI-053-CCO-024B	PG&E Utility Feed Connection to TPS #1 and TPS#2 (Material On Hand)	\$1,600,000	4.59 %	\$28,008,417
6/24/2019	BBI-053-CCO-043	PS-5 Site Relocation (Design Only)	\$348,000	1.00 %	\$27,660,417
6/24/2019	BBI-053-CCO-054	Change Design Sequence for OCS Foundations	\$37,500	0.11%	\$27,622,917
7/1/2019	BBI-053-CCO-040B	Increase Quantity for Utilities Potholing (Bid Item #9)	\$1,867,700	5.36 %	\$25,755,217
7/10/2019	BBI-053-CCO-033A	Relocation of PS3 (Design) (CNPA funded by BGSP)	\$500,000	1.44 % ³	\$25,255,217
8/15/2019	BBI-053-CCO-047	CEMOF Slot Drains (Design Only)	\$69,000	0.20%	\$25,186,217
8/16/2019	BBI-053-CCO-055	Sheriff's Deputy in Segment 4B	\$4,644	0.01%	\$25,181,573
9/3/2019	BBI-053-CCO-037	Field Orders for Signal Cable Relocation (FO-053 & FO-059)	\$184,576	0.53%	\$24,996,997
9/7/2019	BBI-053-CCO-057	Mediator with Technical Expertise	\$0	0.00%	\$24,996,997
9/27/2019	BBI-053-CCO-061	Interconnect Renaming of Circuit Numbers	\$58,058	0.17%	\$24,938,939
9/27/2019	BBI-053-CCO-063A	Track Access Delays - Quarter 1 2018 (Partial)	\$343,496	0.99%	\$24,595,443
10/21/2019	BBI-053-CCO-064	TPS-2 VTA Pole Height Redesign (CNPA funded by VTA)	\$31,000	0.09% ³	\$24,564,443
11/15/2019	BBI-053-CCO-038	Field Order for Signal Cable Relocation (FO-079 & FO-085)	\$187,764	0.54 %	\$24,376,680
11/26/2019	BBI-053-CCO-025B	Addition of OCS Shunt Wires in Segments 2 & 4 - Wire Assembly Materials Only - voided below on 7/31/20	\$144,370	0.41 %	\$24,232,310
12/11/2019	BBI-053-CCO-065A	Foundation Inefficiencies S2WA5	\$401,501	1.15%	\$23,830,809
12/17/2019	BBI-053-CCO-025C	Addition of OCS Shunt Wires in Segments 2 & 4 – Pole Assembly Materials Only - voided below on 7/31/20	\$884,500	2.54 %	\$22,946,309
1/7/2020	BBI-053-CCO-066A	Increase Quantity for Contaminated Soils (Bid Unit Price Item #1)	\$950,000	2.73 %	\$21,996,309
2/5/2020	BBI-053-CCO-023B	Insulated Rail Joints De-stressing	\$890,600	2.56 %	\$21,105,709
3/18/2020	BBI-053-CCO-072A	SVP Requirements for Joint SIS & SPS (Task 1) - voided below on 7/9/20	\$80,000	0.23 %	\$21,025,709
3/19/2020	BBI-053-CCO-023C	Portec Insulated Rail Joints	\$375,000	1.08 %	\$20,650,709
3/26/2020	BBI-053-CCO-076	Asbestos Pipe Abatement at CP Shark	\$145,872	0.42 %	\$20,504,837
3/31/2020	BBI-053-CCO-075	Norcal Utility Potholing (FO#39)	\$98,105	0.28 %	\$20,406,733
4/21/2020	BBI-053-CCO-077A	Contaminated Soil (Class 1) at TPS-1	\$701,780	2.01 %	\$19,704,953
4/27/2020	BBI-053-CCO-066B	Increase Quantity for Contaminated Soils (Bid Item #1)	\$926,273	2.66 %	\$18,778,680
4/27/2020	BBI-053-CCO-090A	Signal Cable Relocation (Field Order No. 340)	\$47,258	0.14 %	\$18,731,423
4/27/2020	BBI-053-CCO-091A	Signal Cable Relocation (Field Order No. 340)	\$131,663	0.38 %	\$18,599,759
4/29/2020	BBI-053-CCO-080A	Steel Plates to Protect Utilities (DTDS)	\$135,128	0.39 %	\$18,464,631

**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 Usage¹	Remaining Authority
4/29/2020	BBI-053-CCO-081A	Steel Plates to Protect Utilities (DTDS)	\$95,474	0.27 %	\$18,369,157
4/29/2020	BBI-053-CCO-071	Increase Quantity for Tree Pruning (Bid Unit Price Item #4d)	\$375,000	1.08 %	\$17,994,157
5/1/2020	BBI-053-CCO-050	Switch Machine Isolation - Credit	(\$277,430)	(0.80)%	\$18,271,586
5/19/2020	BBI-053-CCO-092A	Signal Cable Relocation (Field Order No. 340)	\$106,773	0.31 %	\$18,164,814
5/19/2020	BBI-053-CCO-093A	Signal Cable Relocation (Field Order No. 340)	\$90,765	0.26 %	\$18,074,049
5/27/2020	BBI-053-CCO-101	Asbestos Pipe Abatement at 46.3-07/08	\$21,037	0.06 %	\$18,053,012
6/15/2020	BBI-053-CCO-049A	Long-reach Foundations Installation - Unit Price	\$46,560	0.13 %	\$18,006,452
6/15/2020	BBI-053-CCO-049B	Long-reach Foundations Installation - Unit Price	\$46,560	0.13 %	\$17,959,892
6/18/2020	BBI-053-CCO-033B	PS-3 Site Relocation FEMA 2019 Update and BGSP Design Coordination - CNPA	\$50,000	0.14 % ³	\$17,909,892
6/30/2020	BBI-053-CCO-082A	Steel Plates to Protect Utilities (DTDS)	\$90,658	0.26 %	\$17,819,235
6/30/2020	BBI-053-CCO-083A	Steel Plates to Protect Utilities (DTDS)	\$181,900	0.52 %	\$17,637,335
6/30/2020	BBI-053-CCO-094A	Signal Cable Relocation (Field Order No. 340)	\$124,633	0.36 %	\$17,512,702
7/9/2020	BBI-053-CCO-072A	SVP Requirements for Joint SIS & SPS (Task 1) - Voided	(\$80,000)	(0.23)%	\$17,592,702
7/9/2020	BBI-053-CCO-072A REV2	SVP Requirements for Joint SIS & SPS (Tasks 0-5)	\$300,000	0.86 %	\$17,292,702
7/30/2020	BBI-053-CCO-078	Re-design CEMOF OCS Poles due to Stair 71 Conflict	\$11,796	0.03 %	\$17,280,906
7/30/2020	BBI-053-CCO-084A	Steel Plates to Protect Utilities (DTDS)	\$101,334	0.29 %	\$17,179,572
7/30/2020	BBI-053-CCO-085A	Steel Plates to Protect Utilities (DTDS)	\$94,062	0.27 %	\$17,085,510
7/30/2020	BBI-053-CCO-104	Utility Conflict During PVC Conduit Installation	\$2,657	0.01 %	\$17,082,853
7/31/2020	BBI-053-CCO-103	Track Access Delays – 2017 Quarter 3	\$145,892	0.42 %	\$16,936,962
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)%	\$17,081,332
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)%	\$17,965,832
Total			\$34,316,882	48.42 %	\$17,965,832

Notes:

1. When the threshold of 75% is reached, staff may return to the Board to request additional authority.
2. Change approved by the Board of Directors – not counted against the Executive Director's Change Order Authority.
3. Third party improvements/CNPA projects that are funded with non-PCEP funds.

EMU Contract

Change Order Authority (5% of Stadler Contract)				5% x \$550,899,459 = \$27,544,973	
Date	Change Number	Description	CCO Amount	Change Order Authority Usage¹	Remaining Authority
09/22/2017	STA-056-CCO-001	Contract General Specification and Special Provision Clean-up	\$0	0.00%	-
10/27/2017	STA-056-CCO-002	Prototype Seats and Special Colors	\$55,000	0.20%	\$27,489,973
11/02/2017	STA-056-CCO-003	Car Level Water Tightness Test	\$0	0.00%	-
12/05/2017	STA-056-CCO-004	Onboard Wheelchair Lift 800 Pound Capacity Provisions	\$848,000	3.08%	\$26,641,973
11/03/2017	STA-056-CCO-005	Design Progression (multiple)	\$0	0.00%	-
12/12/2017	STA-056-CCO-006	Prototype Seats and Special Colors	(\$27,500)	(0.10)%	\$26,669,473
01/17/2018	STA-056-CCO-007	Multi-Color Destination Signs	\$130,760	0.47%	\$26,538,713

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Change Order Authority (5% of Stadler Contract)

5% x \$550,899,459 = \$27,544,973

Date	Change Number	Description	CCO Amount	Change Order Authority Usage ¹	Remaining Authority
02/09/2018	STA-056-CCO-008	Adjustment to Delivery and LDs due to delayed FNTF	\$490,000	0.00% ²	-
02/12/2018	STA-056-CCO-009	Ship Cab Mock-up to Caltrain	\$53,400	0.19%	\$26,485,313
04/17/2018	STA-056-CCO-010	Onboard Wheelchair Lift Locations	(\$1,885,050)	(6.84%)	\$28,370,363
04/17/2018	STA-056-CCO-011	Multiple Change Group 3 and Scale Models	\$0	0.00%	-
10/29/2018	STA-056-CCO-012	Multiple Change Group 4	\$0	0.00%	-
10/29/2018	STA-056-CCO-013	Wheelchair Lift Installation Redesign	\$228,400	0.83%	\$28,141,963
12/14/2018	STA-056-CCO-014	PTC System Change	\$0	0.00%	-
12/22/2018	STA-056-CCO-015	EMU Option Cars	\$172,800,047	0.00% ^{2,3}	-
6/26/2019	STA-056-CCO-016	Testing at TTCI (Pueblo Facility) - First Trainset	\$3,106,428	11.28 %	\$25,035,535
8/27/2019	STA-056-CCO-017	Virtual Reality Experience	\$400,000	1.45 %	\$24,635,535
8/21/2019	STA-056-CCO-018	EMI Conducted Emissions Limits	\$0	0.00%	\$24,635,535
8/8/2019	STA-056-CCO-019	Option Car Payment Milestones	\$0	0.00%	\$24,635,535
8/21/2019	STA-056-CCO-020	Multiple No Cost No Schedule Impact Changes Group 5	\$0	0.00%	\$24,635,535
10/28/2019	STA-056-CCO-021	Plugging of High-Level Doorways	\$736,013	2.67%	\$23,899,523
11/13/2019	STA-056-CCO-022	Add Flip-Up Seats into Bike Cars (CNPA: \$1.96M funded by Non-PCEP)	\$1,961,350	7.12% ³	\$21,938,173
4/21/2020	STA-056-CCO-025	Removal of Vandal Film from Windows	(\$374,994)	(1.36)%	\$22,313,167
5/6/2020	STA-056-CCO-023	Deferral of Wheelchair Lifts	\$632,703	2.30 %	\$21,680,464
7/13/2020	STA-056-CCO-026	Update VR Experiences (CNPA: \$43K funded by Non-PCEP)	\$43,000	0.16 % ³	\$21,637,464
Total			\$179,197,556	21.45 %	\$21,637,464

Notes:

1. When the threshold of 75% is reached, staff may return to the Board to request additional authority.
2. Change approved by the Board of Directors – not counted against the Executive Director’s Change Order Authority.
3. Third party improvements/CNPA projects that are funded with non-PCEP funds.

SCADA Contract

Change Order Authority (15% of ARINC Contract)

15% x \$3,446,917 = \$517,038

Date	Change Number	Description	CCO Amount	Change Order Authority Usage ¹	Remaining Authority
None to date					
Total			\$0	0.00%	\$517,038

Notes:

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

Tunnel Modifications Contract

Change Order Authority (10% of ProVen Contract¹)

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

Date	Change Number	Description	CCO Amount	Change Order Authority Usage ²	Remaining Authority
3/27/2019	PROV-070-CCO-003	Track Access Delay	\$25,350	0.46 %	\$5,482,428

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Change Order Authority (10% of ProVen Contract¹)

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

Date	Change Number	Description	CCO Amount	Change Order Authority Usage ²	Remaining Authority
3/27/2019	PROV-070-CCO-004	Additional OCS Potholing Due to Conflict with Existing Utilities	\$70,935	1.29 %	\$5,411,493
3/27/2019	PROV-070-CCO-005	Install Tie Backs and Piles in Boulders at Tunnel 4	\$29,478	0.54 %	\$5,382,015
3/28/2019	PROV-070-CCO-001	Partnering Meetings (50% PCEP)	\$14,443	0.26 % ⁴	\$5,367,572
4/25/2019	PROV-070-CCO-002	Furnish Galvanized E-clips	\$37,239	0.68 %	\$5,330,333
4/30/2019	PROV-070-CCO-006	Additional Rock Bolts and Testing	\$22,549	0.41 %	\$5,307,784
5/23/2019	PROV-070-CCO-013	Late Removal of Leaky Feeder Tunnel 4 (T-4)	\$21,225	0.39 %	\$5,286,559
5/28/2019	PROV-070-CCO-014	OCS Piles Utility Conflict at Tunnel-1 South (T-1S)	\$16,275	0.30 %	\$5,270,284
5/29/2019	PROV-070-CCO-012	OCS Piles Utility Conflict at T-4S	\$6,871	0.12 %	\$5,263,413
5/31/2019	PROV-070-CCO-016A	Portal Structure Detailing Changes	\$84,331	1.53 %	\$5,179,082
6/18/2019	PROV-070-CCO-009	Creosote Ties Covering (CNPA - Drainage \$3,116.00)	\$3,116	0.06 % ⁴	\$5,175,966
6/28/2019	PROV-070-CCO-008	Micropiles at South Tunnel-2 South (T-2S)	\$41,322	0.75 %	\$5,134,644
6/28/2019	PROV-070-CCO-010	Salvage Transition Panels (CNPA - Drainage \$6,144.00)	\$6,144	0.11 % ⁴	\$5,128,500
6/28/2019	PROV-070-CCO-011	Demo PVC and Plug Tunnel-1 South (T-1S) (CNPA - Drainage \$4,035.00)	\$4,035	0.07 % ⁴	\$5,124,465
6/28/2019	PROV-070-CCO-020	Unidentified SD Conflict with Junction Inlet (CNPA - Drainage \$1,976.00)	\$1,976	0.04 % ⁴	\$5,122,489
9/26/2019	PROV-070-CCO-007	Canopy Tube Drilling	\$89,787	1.63%	\$5,032,702
9/26/2019	PROV-070-CCO-023	Over-excavate Trapezoidal Ditch at T-1N (CNPA - Drainage \$46,914.00)	\$46,914	0.85% ⁴	\$4,985,788
10/4/2019	PROV-070-CCO-029	Additional DryFix Pins	\$105,000	1.91%	\$4,880,788
10/4/2019	PROV-070-CCO-021	Out of Sequence Piles	\$185,857	3.37 %	\$4,694,931
10/30/2019	PROV-070-CCO-017	Hard Piping in T-4 (CNPA - Drainage \$2,200.00)	\$2,200	0.04 % ⁴	\$4,692,731
1/25/2020	PROV-070-CCO-027	Grout Quantity Underrun	(\$1,216,000)	(22.08)%	\$5,908,731
1/29/2020	PROV-070-CCO-026	HMAC Quantity Overrun (CNPA - Drainage \$160,000.00)	\$160,000	2.9 % ⁴	\$5,748,731
5/11/2020	PROV-070-CCO-025	NOPC #1 CWR (CNPA - Drainage \$660,000.00)	\$660,000	11.98 % ⁴	\$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
Total			\$464,308	8.43 %	\$5,043,470

Notes:

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

CEMOF Modifications Contract

Change Order Authority (10% of ProVen Contract)

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

Date	Change Number	Description	CCO Amount	Change Order Authority Usage ¹	Remaining Authority
1/16/2020	PROV-071-CCO-001	Change Casing Size of Siphon Line to Schedule 80 PVC Pipe	\$3,849	0.59 %	\$651,229
1/13/2020	PROV-071-CCO-002	Leakage test for IW line	\$1,339	0.20 %	\$649,890

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Change Order Authority (10% of ProVen Contract)

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

Date	Change Number	Description	CCO Amount	Change Order Authority Usage ¹	Remaining Authority
1/15/2020	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
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

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Change Order Authority (10% of ProVen Contract)

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

Date	Change Number	Description	CCO Amount	Change Order Authority Usage ¹	Remaining Authority
7/24/2020	PROV-071-CCO-036	Storm Drain Line A	\$2,066	0.32 %	\$425,144
Total			\$229,934	35.10 %	\$425,144

Notes:

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

AMTRAK AEM-7 Contract

Change Order Authority (Lump Sum)

Up to \$150,000

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

Notes:

- ¹ When the threshold of 75% is reached, staff may return to the Board to request additional authority.

Appendix F – Risk Table

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Listing of PCEP Risks and Effects in Order of Severity

ID	RISK DESCRIPTION	EFFECT(S)
314	The contractor may not complete and install signal design including Two-speed check (2SC) modifications within budget and schedule.	Delay and additional cost for rework.
303	Extent of differing site conditions and associated redesign efforts results in delays to the completion of the electrification contract and increases program costs.	<p>Extends construction of design-build contract with associated increase in project costs</p> <ul style="list-style-type: none"> • DSC design cost • Inefficiencies • Construction costs related to DSCs (i.e., larger foundations) • Additional potholing
313	Sub-optimal contractor sequencing, when progressing design and clearing foundation locations may result in construction inefficiencies	Contractor claims for increase in construction and design costs, and reduced production rates extending construction duration
240	<p>Property not acquired in time for contractor to do work.</p> <p>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</p>	<ul style="list-style-type: none"> • Potential delays in construction schedule
267	Additional property acquisition is necessitated by change in design.	New project costs and delays to schedule.
010	Potential for Stadler's sub-suppliers to fall behind schedule or delays in parts supply chain result in late completion of vehicles.	<ul style="list-style-type: none"> • Delay in obtaining parts / components. • Cost increases. (See Owner for allocation of costs) • Schedule increase - 3 months (See Owner for allocation of damages associated with this Risk)
209	TASI may not have sufficient number of signal maintainers for testing.	<ul style="list-style-type: none"> • Delays to construction/testing. • Delays to completion of infrastructure may delay acceptance of vehicles
308	Rejection of DVR for ATF and static wires results in cost and schedule impacts to PCEP.	Delay and delay claims

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ID	RISK DESCRIPTION	EFFECT(S)
273	Contractor generates hazardous materials, that necessitates proper removal and disposal in excess of contract allowances and expectations.	Delay to construction while removing and disposing of hazardous materials resulting in schedule delay, increased construction costs, and schedule delay costs.
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.
318	Change of vehicle suppliers results in additional first article inspections at cost to JPB	PCEP incurs additional cost to validate supplier and product, including repeat FAIs as needed
011	Risks in achieving acceptable vehicle operations performance: <> software problems <> electrical system problems <> mechanical problems <> systems integration problems <> interoperability with diesel equipment Increased issues lately with vehicles regarding system integration and compatibility.	Cost increase. Delays vehicle acceptance Potential spill-over to other program elements
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
296	PG&E needs to complete interconnection to be sufficiently complete to accept interim power	Delay in testing and increased 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.
322	BBII needs to complete traction power substations to be sufficiently complete to accept interim power	Delay in testing and increased costs
325	EMU production delay. Possible that there are quality issues, failed factory tests, poor integration / control of suppliers.	Schedule Increase
327	EMU production delay. Possible that there is poor integration / control of suppliers.	Schedule Increase

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ID	RISK DESCRIPTION	EFFECT(S)
013	Vehicle manufacturer could default.	Prolonged delay to resolve issues (up to 12 months) Increase in legal expenses Potential price increase to resolve contract issue
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
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
242	Track access does not comply with contract-stipulated work windows.	Contractor claims for delays, schedule delays and associated costs to owner's representative staff.
253	Permits for bridges may not be issued in a timely manner.	Delays to issuance of permit for construction while negotiating and executing an operation and maintenance agreement for equipment installed on bridges; existing bridge deficiencies could result in additional costs to PCEP.
261	Although EMUs meets their electromagnetic emissions limits and wayside signal system track circuits meet their susceptibility requirements there are still compatibility issues leading to improper signal system operation	Changes on the EMU and/or signal system require additional design and installation time and expense.
285	Potential for inflation, (except with respect to Maintenance Option) to increase contractor costs.	Higher cost
286	Potential for wage escalation, (except for Maintenance Option) to increase contractor costs.	Higher cost
056	Lack of operations personnel for testing.	<ul style="list-style-type: none"> • Testing delayed. • Change order for extended vehicle acceptance.
115	Other capital improvement program projects compete with PCEP for track access allocation and requires design coordination (design, coordination, integration).	Schedule delay as resources are allocated elsewhere, won't get track time, sequencing requirements may delay PCEP construction, track access requirements must be coordinated.

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ID	RISK DESCRIPTION	EFFECT(S)
321	Single Phase Study and interconnection agreement may be delayed preventing energization of Segment 4 for milestone 1	
082	Unexpected restrictions could affect construction progress: <> night work <> noise <> local roads <> local ordinances	<ul style="list-style-type: none"> • Reduced production rates. • Delay
270	OCS poles or structures as designed by Contractor fall outside of JPB row	Additional ROW Take, additional cost and time
012	Potential for electromagnetic interference (EMI) to private facilities with sensitive electronic equipment caused by vehicles.	<ul style="list-style-type: none"> • Increased cost due to mitigation • Potential delay due to public protests or environmental challenge.
014	Contractor's proposal on stakeholder requested changes to the vehicles (e.g., High Level Doors in lieu of windows as emergency exits) may significantly exceed JPB authorized amount.	<p>Schedule delay.</p> <p>Cost increase.</p>
078	Need for unanticipated, additional ROW for new signal enclosures.	Delay while procuring ROW and additional ROW costs.
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.
272	Final design based upon actual Geotech conditions	Could require changes
287	Design changes may necessitate additional implementation of environmental mitigations not previously budgeted.	Increased cost for environmental measures and delays to construct and overall delay in construction schedule

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ID	RISK DESCRIPTION	EFFECT(S)
289	Coordination and delivery of permanent power for power drops for everything except traction power substations along alignment	Can't test resulting in delays to schedule and associated additional project costs.
291	Order/manufacture of long lead items prior to 100% IFC design document that proves to be incorrect	Design change and/or delays
292	Potential that UPS will not fit in the spaces allotted to communications work within the buildings.	Requisite backup capacity units under design criteria could result in the need for larger unit than originally planned resulting in design and fabrication changes and associated schedule delays and costs.
304	Solution to FRA concerns over bike storage impeding path to emergency exit windows path results in increased costs and potential rework.	Protracted negotiations with FRA to achieve original design
317	JPB may not make timely acquisition of resources to staff rail activation plan with key personnel.	Delay in operating electrified railroad - delay of RSD.
323	FRA concerns require re-design	
326	EMU production delay. Possible that there are failed factory tests	Schedule Increase
027	Vehicle power consumption may not meet requirements. <>System impact study and load flow show no issues	Issue with PG&E. Can't run full acceleration.
031	New cars possibly not reliable enough to be put into service as scheduled	Operating plan negatively impacted
042	Full complement of EMUs not available upon initiation of electrified revenue service	Late delivery impacts revenue service date.
101	PG&E may not be able to deliver permanent power for the project within the existing budget and in accordance with the project schedule	Additional project costs; potential delay to revenue service date
150	Number of OCS pole installation is significant. Any breakdown in sequencing of operations or coordination of multiple crews will have a substantial effect on the project.	Delay.
245	Failure of BBI to submit quality design and technical submittals in accordance with contract requirements <ul style="list-style-type: none"> • \$3-\$5M/month burn rate for Owner's team during peak 	Delays to project schedule and additional costs for preparation and review of submittals.

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ID	RISK DESCRIPTION	EFFECT(S)
252	Failure of BBI to order/manufacture long lead items prior to 100% IFC design document approval by JPB	Delays to project schedule and additional cost for contractor and JPB staff time.
271	Need for additional construction easements beyond that which has been provided for Contractor proposed access and staging	Additional cost and time
306	Possible legal challenge and injunction to any changes in PCEP requiring subsequent CEQA or NEPA environmental clearance documentation/actions.	Worst case: a judge issues an injunction, which would prohibit any work ONLY on the project scope of the environmental document. Impact to the project from cost and schedule impact depends on if work is on the critical or becomes on the critical path.
008	Requests for change orders after vehicles are in production	Delays to manufacturing of vehicles and additional design and manufacturing costs.
023	Manufacturer cannot control vehicle weight to meet specifications.	Increased operating cost.
025	Potential that vehicles cannot meet requirements for "Mean Time to Repair" (MTTR).	Increased maintenance cost.
032	Failure to come up to speed on stakeholder safety requirements: <> FTA <> FRA <> CPUC	Takes longer than expected to gain FRA/FTA concurrence on waiver and/or level boarding requirements.
053	Failure to meet Buy America requirements. (Contractor definition of component v. sub-component may not be accepted by Caltrain / FTA.)	Potential need for negotiations that might lead to delay of project award. (BA is not negotiable)
054	Infrastructure not ready for vehicles (OCS, TPS, Commissioning site / facility).	Increases cost if done off property
069	Potential need for additional construction easements. Especially for access and laydown areas. Contractor could claim project is not constructible and needs more easements after award.	Increased cost Delay

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"> • Delay • Cost increase
195	Introduction of electrified train service will require training of first responders in working in and around the rail corridor. The new vehicles will be considerably quieter than the existing fleet and the presence of high voltage power lines will require new procedures for emergency response. A new training program will need to be developed and disseminated for: <ul style="list-style-type: none"> • Fire, police, and first responders • Local communities • Schools 	Safety hazards resulting in incidents that delay construction and increase labor cost. Delays in RSD until training is completed as requirement of safety certification process.

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ID	RISK DESCRIPTION	EFFECT(S)
237	JPB needs an agreement with each city in which catenary will be strung over an existing grade crossing (17 in all) under GO 88 (grade crossings). These agreements must be executed subsequent to installing overhead catenary. JPB is preparing a response to CPUC while working with the cities. Delays in reaching agreement could have impacts on schedule and budget.	Not completing the grade crossing diagnostics and getting agreement from the cities on the results can result in delays to necessary approvals for the project and revenue service.
248	3rd party coordination <>Jurisdictions, Utilities, UP, Contractors <>D/B needs to provide timely information to facilitate 3rd party coordination <>Risk is for construction	Delays in approvals resulting in project schedule delays and associated costs.
250	Potential for municipalities 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
274	JPB as-built drawings and existing infrastructure to be used as basis of final design and construction is not correct	Additional cleanup of as-builts after PCEP construction
275	DB fails to verify as-built drawings and existing infrastructure	Additional cleanup of as-builts after PCEP construction
278	Failure of D/B contractor and subcontractors and suppliers to meet Buy America requirements	Delays while acceptable materials are procured and additional costs for delays and purchase of duplicative equipment.
282	Failure to maintain dynamic envelope and existing track clearances consistent with requirements.	Redesign entailing cost and schedule impacts.
284	Compliance with project labor agreement could result in inefficiencies in staffing of construction.	Increase in labor costs and less efficient construction resulting in schedule delays.
290	Delays in agreement and acceptance of initial VVSC requirements database.	Delay to design acceptance
293	Readiness of 115kV interconnect for temporary power to support testing	Delay in testing

ID	RISK DESCRIPTION	EFFECT(S)
311	Although project recordable injuries remain below the industry average, there have been numerous small impact incidents occurring that could potentially lead to a more serious event occurring.	The occurrence of a high impact safety event could result in project rework, construction delays, and increased project costs.

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Appendix G – MMRP Status Log

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Mitigation Monitoring and Reporting

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

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Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
AQ-2b: Implement BAAQMD basic and additional construction mitigation measures to control construction-related ROG and NOX emissions.	X	X			Ongoing	The Equipment Emissions Control Plan was submitted to the JPB and approved. The requirements in the Equipment Emissions Control Plan will be implemented throughout the construction period and documented in daily reports.
AQ-2c: Utilize clean diesel-powered equipment during construction to control construction-related ROG and NOX emissions.	X	X			Ongoing	The Equipment Emissions Control Plan was submitted to the JPB and approved. The requirements in the Equipment Emissions Control Plan will be implemented throughout the construction period and documented in daily reports.
BIO-1a: Implement general biological impact avoidance measures.	X	X			Ongoing	Worker Environmental Awareness Training is provided to all project-related personnel before they work on the project. All measures as described will be implemented throughout the construction period and documented in daily reports.
BIO-1b: Implement special-status plant species avoidance and revegetation measures.	X	X	X		Complete	Not applicable. Subsequent habitat assessment and avoidance of Communication Hill eliminated any potential to affect special-status plant species. The measure is not needed.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
BIO-1c: Implement California red-legged frog and San Francisco garter snake avoidance measures.	X	X			Ongoing	Pre-construction surveys are occurring no more than 7 days prior to the initiation of construction activities nearby/adjacent to potential habitat for CRLF and SFGS. The Wildlife Exclusion Fencing Plans for Segments 1 and 4 were submitted and approved by the wildlife agencies, and installation and monitoring of wildlife exclusion fencing is ongoing. No CRLF / SFGS or sign of each species has been observed to date on the Project.
BIO-1d: Implement western pond turtle avoidance measures.	X	X			Ongoing	Pre-construction surveys are occurring no more than 7 days prior to the initiation of construction activities nearby/adjacent to potential habitat for WPT. No WPT or WPT sign have been observed to date on the Project.
BIO-1e: Implement Townsend’s big-eared bat, pallid bat, hoary bat, and fringed myotis avoidance measures.	X	X			Ongoing	Pre-construction surveys are occurring no more than 7 days prior to the initiation of construction activities with the potential to disturb bats or their habitat. No special-status bats or sign have been observed to date on the Project.
BIO-1f: Implement western burrowing owl avoidance measures.	X	X			Ongoing	Protocol surveys for Western Burrowing Owl have been conducted from April–July, in 2017, 2018, and 2019, at previously identified potentially suitable habitat locations. Note that all of these locations are in Construction Segment 4 (southern Santa Clara and San Jose). No Burrowing Owls have been observed during the 2017-2019 surveys. Survey reports for the 2017, 2018, and 2019 surveys have been submitted to the JPB for the project

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						<p>record. In addition, pre-construction surveys of the potential BUOW habitat areas in Segment 4 are ongoing, as needed, and if required, they occur no more than 7 days prior to the onset of new ground-disturbing construction activities. Surveys for the 2020 breeding season will commenced in March 2020. On March 24, 2020, two burrowing owls were observed adjacent to the Caltrain ROW, near MP 44.6. The owls were located approximately 150 feet away from the Caltrain ROW. A 200-meter no-disturbance buffer continued to be implemented during the reporting period. During this reporting period, Balfour was granted approval by the CDFW to drive vehicles and equipment through the buffer in order to access foundation installation locations to the North and South of the BUOW. During the first week of mobilization through the buffer, a Qualified Biological Monitor provided full-time biological monitoring to determine if the presence of vehicle travel had any impact on the BUOW. 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. Due to the lack of observed impacts to the BUOW during the monitoring effort, the CDFW subsequently approved weekly spot-checks through the end of the breeding season, which are currently ongoing, and will continue through August 31, 2020. Any other work</p>

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						scheduled to occur within the 200-meter buffer prior to the end of the breeding season (August 31, 2020) will be coordinated with the Qualified Biologist, in consultation with the JPB and the CDFW, as needed.
BIO-1g: Implement northern harrier, white-tailed kite, American peregrine falcon, saltmarsh common yellowthroat, purple martin, and other nesting bird avoidance measures.	X	X			Ongoing	Nesting Bird and raptor surveys were conducted from February 1 through September 15, in 2017, 2018 and 2019, prior to project-related activities with the potential to impact nesting birds. Nesting Bird Surveys recommenced on February 1, 2020 for the 2020 nesting season (February 1, 2020) and continued through this reporting period. During this reporting period, no nesting activity was observed.
BIO-1h: Conduct biological resource survey of future contractor-determined staging areas.	X	X			Ongoing	The agency-approved Qualified Biologist has conducted surveys of the staging areas currently being used for construction activities. No special-status species or other potentially sensitive biological resources were observed. The agency-approved Qualified Biologist will continue to survey ahead of the initiation of activities at planned staging areas as the Project moves into new construction areas.
BIO-1i: Minimize impacts on Monarch butterfly overwintering sites.	X	X			Ongoing	The agency-approved Qualified Biologist has periodically monitored the project limits to evaluate the presence of Monarch butterfly overwintering sites. No Monarch butterfly overwintering sites have been observed on the Project to date.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
BIO-1j: Avoid nesting birds and bats during vegetation maintenance.				X	Upcoming	To be completed during Project operation.
BIO-2: Implement serpentine bunchgrass avoidance and revegetation measures.	X	X	X		Complete	Not applicable. Subsequent habitat assessment and avoidance of Communication Hill eliminated any potential to affect serpentine bunchgrass. This measure is no longer needed.
BIO-3: Avoid or compensate for impacts on wetlands and waters.	X	X	X		Complete	The JPB has compensated for unavoidable wetland impacts by purchasing adequate credits from a wetlands mitigation bank approved by USACE and SFRWQCB.
BIO-5: Implement Tree Avoidance, Minimization, and Replacement Plan.	X	X	X		Ongoing	Tree removal and pruning activities were initiated in August 2017, and are ongoing, under the guidance of the BBI Arborist, and in accordance with the Tree Avoidance, Minimization, and Replacement Plan. Tree Removal and Pruning status is provided to the JPB on a regular basis.
BIO-6: Pay <i>Santa Clara Valley Habitat Plan</i> land cover fee (if necessary).	X				Complete	Not applicable. The SCVHP does not apply to the Project because TPS2, Option 1 was not selected and OCS does not extend to Communication Hill. This measure is not needed.
CUL-1a: Evaluate and minimize impacts on structural integrity of historic tunnels.	X				Upcoming	To be implemented prior to construction in tunnels.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
CUL-1b: Minimize impacts on historic decorative tunnel material.	X				Upcoming	To be implemented prior to construction in tunnels. Historic American Engineering Record (HAER) documentation was completed in October 2018, pursuant to this measure.
CUL-1c: Install project facilities in a way that minimizes impacts on historic tunnel interiors.	X				Upcoming	To be implemented prior to construction in tunnels.
CUL-1d: Implement design commitments at historic railroad stations	X				Complete	The Qualified Architectural Historian completed and submitted the HABS Level III documents to the JPB for all seven of the historic stations. Pole placement has been designed to minimize the visual impact to historic stations and all design changes are reviewed by the Environmental Compliance Lead to ensure the mitigation measure is being implemented as the design of the project progresses.
CUL-1e: Implement specific tree mitigation considerations at two potentially historic properties and landscape recordation, as necessary.	X	X			Complete	It was determined that the project is not acquiring any ROW at either of the subject properties so all tree effects would be within the JPB ROW. Therefore, the APE does not include these two historic properties. This measure is no longer needed.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
CUL-1f: Implement historic bridge and underpass design requirements.	X				Ongoing	This measure is being implemented as described during the design process and will be incorporated into the final design. The four bridges that are included in the MMRP are rail bridges crossing over another feature. Design of the OCS system is taking into account that there are requirements that restrict the design. Thus far, the designs for Construction Segments 2 & 4 are in process and designs are not yet complete. The D-B will forward to the Architectural Historian once complete.
CUL-2a: Conduct an archaeological resource survey and/or monitoring of the removal of pavement or other obstructions to determine if historical resources under CEQA or unique archaeological resources under PRC 21083.2 are present.	X				Ongoing	Periodic inspections of ground surface areas along the alignment, in conjunction with cultural monitoring as-needed of project activities in culturally sensitive areas are ongoing. The Archaeological Final Report will be provided at the conclusion of construction activities.
CUL-2b: Conduct exploratory trenching or coring of areas where subsurface project disturbance is planned in those areas with “high” or “very high” potential for buried site.	X				Ongoing	Exploratory trenching and subsurface testing of all potentially culturally sensitive areas occurred prior to the initiation of construction activities in those areas. The results will be included in the Archaeological Final Report. No cultural resources requiring the development of a treatment plan were observed. A Native American monitor has been present for all exploratory trenching and subsurface testing work.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
CUL-2c: Conduct limited subsurface testing before performing ground-disturbing work within 50 meters of a known archaeological site.	X				Ongoing	Exploratory trenching and subsurface testing of all potentially culturally sensitive areas occurred prior to the initiation of construction activities in those areas. The results will be included in the Archaeological Final Report. No cultural resources requiring the development of a treatment plan were observed. A Native American monitor has been present for all exploratory trenching and subsurface testing work.
CUL-2d: Conduct exploratory trenching or coring of areas within the three zones of special sensitivity where subsurface project disturbance is planned.	X				Ongoing	Exploratory trenching and subsurface testing of all potentially culturally sensitive areas occurred prior to the initiation of construction activities in those areas. The results will be included in the Archaeological Final Report. No cultural resources requiring the development of a treatment plan were observed. A Native American monitor has been present for all exploratory trenching and subsurface testing work.
CUL-2e: Stop work if cultural resources are encountered during ground-disturbing activities.	X	X			Ongoing	No prehistoric or historic-period cultural materials have been observed during cultural monitoring.
CUL-2f: Conduct archaeological monitoring of ground-disturbing activities in areas as determined by JPB and SHPO.		X			Ongoing	Cultural monitoring as-needed of project activities in culturally sensitive areas is ongoing. The Archaeological Final Report will be provided at the conclusion of construction activities.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
CUL-3: Comply with state and county procedures for the treatment of human remains discoveries.		X			Ongoing	No human remains have been observed to date on the Project.
EMF-2: Minimize EMI effects during final design, Monitor EMI effects during testing, commission and operations, and Remediate Substantial Disruption of Sensitive Electrical Equipment.	X	X	X		Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. Designs are submitted and reviewed/commented on by JPB. Monitoring EMI effects will occur post construction.
GEO-1: Perform a site-specific geotechnical study for traction power facilities.	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. Geotechnical studies are being conducted by Parikh under subcontract with PGH Wong. Studies and results are submitted to JPB as completed.
GEO-4a: Identification of expansive soils.	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design by the D-B as described. Geotechnical studies are being conducted by Parikh under subcontract with PGH Wong. Studies and results are submitted to JPB as completed.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
GEO-4b: Mitigation of expansive soils.	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design by the D-B as described. Geotechnical studies are being conducted by Parikh under subcontract with PGH Wong. Studies and results are submitted to JPB as completed.
HAZ-2a: Conduct a Phase II Environmental Site Assessment prior to construction.	X				Complete	A Phase II Environmental Assessment was completed prior to construction by the JPB consultant, and the results were provided to BBI, and the required mitigation is being implemented prior to the initiation of construction activities.
HAZ-2b: Implement engineering controls and best management practices during construction.	X	X			Ongoing	D-B field activities are being monitored daily for significant color changes or odors which may indicate contamination. In addition, assessments of existing subsurface pipes by a certified Asbestos Consultant are occurring as needed throughout the project as they are observed. Following the assessments, a specification describing the methods for removal and disposal are provided to the certified asbestos contractor. The removal and disposal work performed by the certified asbestos contractor is monitored by the certified asbestos consultant.
HYD-1: Implement construction dewatering treatment, if necessary.	X	X			Ongoing	Facilities & BMPs are in place to deal with this requirement should it arise in the OCS foundations.

Mitigation Monitoring and Reporting

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

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
NOI-1b: Conduct site-specific acoustical analysis of ancillary facilities based on the final mechanical equipment and site design and implement noise control treatments where required.	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. PGH Wong has completed analysis and design and issued for JPB review.
NOI-2a: Implement Construction Vibration Control Plan.	X	X			Ongoing	The Noise and Vibration Control Plan has been submitted and is being implemented. Field activity is monitored per the Plan.
PSU-8a: Provide continuous coordination with all utility providers.	X	X			Ongoing	The design requirements indicated in the measure will be implemented through the final design as described. Coordination with utility providers is ongoing and there have not been any service interruptions thus far.
PSU-8b: Adjust OCS pole foundation locations.	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described.
PSU-8c: Schedule and notify users about potential service interruptions.	X	X			Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. There have not been any service interruptions thus far.
PSU-9: Require application of relevant construction mitigation measures to utility relocation and transmission line construction by others.	X	X			Ongoing	JPB has initiated coordination with PG&E regarding transmission line construction. PG&E is currently raising overcrossing lines in Segment 2.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
TRA-1a: Implement Construction Road Traffic Control Plan.	X	X			Ongoing	The D-B has begun traffic control design and permit applications with the City of Millbrae, Burlingame and San Mateo. Other communities will follow. Designs have been completed for all cross-over bridges in Segments 2 & 4 and submitted.
TRA-1c: Implement signal optimization and roadway geometry improvements at impacted intersections for the 2020 Project Condition.	X	X			Upcoming	This measure has not started
TRA-2a: Implement construction railway disruption control plan.	X	X			Ongoing	Minimization of railway disruption is being coordinated by the Site Specific Work Plan. A Construction Railway Disruption Control Plan was prepared to document the measures that are being implemented.
TRA-3b: In cooperation with the City and County of San Francisco, implement surface pedestrian facility improvements to address the Proposed Project's additional pedestrian movements at and immediately adjacent to the San Francisco 4th and King Station.	X	X	X		Upcoming	This measure has not started.
TRA-4b: Continue to improve bicycle facilities at Caltrain stations and partner with bike share programs where available following guidance in				X	Ongoing	The JPB adopted the Caltrain Bicycle Parking Management Plan in November 2017, and staff have been working to implement the Plan's recommendations to improve wayside bike parking facilities along

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
Caltrain's Bicycle Access and Parking Plan.						the corridor. Staff have also been coordinating with local jurisdictions that have launched bikeshare pilot programs to safely site bicycles near Caltrain stations.
NOI-CUMUL-1: Implement a phased program to reduce cumulative train noise along the Caltrain corridor as necessary to address future cumulative noise increases over FTA thresholds				X	Upcoming	This measure will be implemented during project operation.
NOI-CUMUL-2: Conduct project-level vibration analysis for Blended System operations and implement vibration reduction measures as necessary and appropriate for the Caltrain corridor				X	In Progress	CHSRA is conducting this analysis as part of the EIR/EIS for the San Francisco to San Jose section.
TRA-CUMUL-1: Implement a phased program to provide traffic improvements to reduce traffic delays near at-grade crossings and Caltrain stations				X	Upcoming	This measure will be implemented during project operation.
TRA-CUMUL-2: Implement technical solution to allow electric trolley bus transit across 16 th Street without OCS conflicts in cooperation with SFMTA.	X				Complete	Not applicable. SFMTA has elected to not electrify the 16 th Street crossing. This measure no longer applies.
Mitigation Measure TRA-CUMUL-3: As warranted, Caltrain and freight operators will partner to provide Plate H clearance				X	Upcoming	This measure will be implemented during project operation.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
as feasible between San Jose and Bayshore.						
AES-2a: Minimize OCS construction activity on residential and park areas outside the Caltrain ROW.	X	X			Ongoing	The OCS proposed construction schedule has been provided to the JPB. OCS construction began the week of October 2, 2017. The D-B has used the potholing process to assist in locating conflicts in the 35% design and attempting to relocate OCS pole locations within the ROW, thereby avoiding parks and residential areas.
AES-2b: Aesthetic treatments for OCS poles, TPFs in sensitive visual locations, and Overbridge Protection Barriers.	X				Ongoing	The design requirements indicated in the measure have been implemented as described, and coordination with the specific jurisdictions regarding pole colors and design, TPFs, and Overbridge Protection Barriers, is ongoing.
AES-4a: Minimize spillover light during nighttime construction.		X			Ongoing	OCS construction began the week of October 2, 2017. The BBI community relations lead has notified nearby residents of upcoming construction. During construction, lighting is faced inward, towards the railroad tracks, and any complaints will be documented and addressed by the BBI community relations lead.
AES-4b: Minimize light spillover at TPFs.	X				Upcoming	The design requirements indicated in the measure are being used in the design process of the TPFs.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
AQ-2a: Implement BAAQMD basic and additional construction mitigation measures to reduce construction-related dust.	X	X			Ongoing	The Dust Mitigation Plan was submitted to the JPB. The requirements in the Dust Mitigation Plan will be implemented throughout the construction period and documented in daily reports.
AQ-2b: Implement BAAQMD basic and additional construction mitigation measures to control construction-related ROG and NOX emissions.	X	X			Ongoing	The Equipment Emissions Control Plan was submitted to the JPB. The requirements in the Equipment Emissions Control Plan will be implemented throughout the construction period and documented in daily reports.
AQ-2c: Utilize clean diesel-powered equipment during construction to control construction-related ROG and NOX emissions.	X	X			Ongoing	The Equipment Emissions Control Plan was submitted to the JPB. The requirements in the Equipment Emissions Control Plan will be implemented throughout the construction period and documented in daily reports.
BIO-1a: Implement general biological impact avoidance measures.	X	X			Ongoing	Worker Environmental Awareness Training is provided to all project-related personnel before they work on the project. All measures as described will be implemented throughout the construction period and documented in daily reports.
BIO-1b: Implement special-status plant species avoidance and revegetation measures.	X	X	X		Complete	Not applicable. Subsequent habitat assessment and avoidance of Communication Hill eliminated any potential to affect special-status plant species. The measure is not needed.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
BIO-1c: Implement California red-legged frog and San Francisco garter snake avoidance measures.	X	X			Ongoing	Pre-construction surveys are occurring no more than 7 days prior to the initiation of construction activities nearby/adjacent to potential habitat for CRLF and SFGS. The Wildlife Exclusion Fencing Plan for Segments 2 and 4 was submitted and approved by the wildlife agencies, and installation and monitoring of wildlife exclusion fencing is ongoing. No CRLF / SFGS or sign of each species has been observed to date on the Project. A separate Wildlife Exclusion Fencing Plan will be submitted for Segments 1 and 3, prior to initiation of construction activities in those segments.
BIO-1d: Implement western pond turtle avoidance measures.	X	X			Ongoing	Pre-construction surveys are occurring no more than 7 days prior to the initiation of construction activities nearby/adjacent to potential habitat for WPT. No WPT or WPT sign have been observed to date on the Project.
BIO-1e: Implement Townsend's big-eared bat, pallid bat, hoary bat, and fringed myotis avoidance measures.	X	X			Ongoing	Pre-construction surveys are occurring no more than 7 days prior to the initiation of construction activities with the potential to disturb bats or their habitat. No special-status bats or sign have been observed to date on the Project.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
BIO-1f: Implement western burrowing owl avoidance measures.	X	X			Ongoing	Protocol surveys for Western Burrowing Owl were conducted from April 2017 through July 2017 at previously identified potentially suitable habitat locations. Note that all of these locations are in Construction Segment 4 (southern Santa Clara and San Jose). No Burrowing Owls were observed during the surveys. Construction in Segment 4 is anticipated to occur in 2018. Prior to construction activities in Segment 4, pre-construction surveys of the potential habitat areas will occur no more than 7 days prior to the onset of construction activities. In addition, protocol surveys were initiated in March 2018, and were completed in June 2018, at the previously identified potentially suitable habitat locations, which will allow work to occur during the 2019 breeding season, if necessary. No Burrowing Owls were observed during the 2018 surveys.
BIO-1g: Implement northern harrier, white-tailed kite, American peregrine falcon, saltmarsh common yellowthroat, purple martin, and other nesting bird avoidance measures.	X	X			Ongoing	Nesting Bird surveys were conducted from February 1 through September 15, 2017 prior to project-related activities with the potential to impact nesting birds. No active nests were observed during this reporting period. Nesting Bird surveys were initiated on February 1, 2018 and continued throughout the reporting period. Active nests were observed during this reporting period, and no-disturbance buffers were implemented to avoid any impacts to active nests, and all project activities which occurred nearby active nests

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Mitigation Monitoring and Reporting

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

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
BIO-3: Avoid or compensate for impacts on wetlands and waters.	X	X	X		Complete	The JPB has compensated for unavoidable wetland impacts by purchasing adequate credits from a wetlands mitigation bank approved by USACE and SFRWQCB.
BIO-5: Implement Tree Avoidance, Minimization, and Replacement Plan.	X	X	X		Ongoing	Tree removal and pruning activities were initiated in August 2017, and are ongoing, under the guidance of the BBI Arborist, and in accordance with the Tree Avoidance, Minimization, and Replacement Plan. Tree Removal and Pruning status is provided to the JPB on a weekly basis.
BIO-6: Pay <i>Santa Clara Valley Habitat Plan</i> land cover fee (if necessary).	X				Complete	Not applicable. The SCVHP does not apply to the Project because TPS2, Option 1 was not selected and OCS does not extend to Communication Hill. This measure is not needed.
CUL-1a: Evaluate and minimize impacts on structural integrity of historic tunnels.	X				Upcoming	To be implemented prior to construction in tunnels.
CUL-1b: Minimize impacts on historic decorative tunnel material.	X				Upcoming	To be implemented prior to construction in tunnels.

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Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
CUL-1c: Install project facilities in a way that minimizes impacts on historic tunnel interiors.	X				Upcoming	To be implemented prior to construction in tunnels.
CUL-1d: Implement design commitments at historic railroad stations	X				Complete	The Qualified Architectural Historian completed and submitted the HABS Level III documents to the JPB for all seven of the historic stations. Pole placement has been designed to minimize the visual impact to historic stations and all design changes are reviewed by the Environmental Compliance Lead to ensure the mitigation measure is being implemented as the design of the project progresses.
CUL-1e: Implement specific tree mitigation considerations at two potentially historic properties and landscape recordation, as necessary.	X	X			Complete	It was determined that the project is not acquiring any ROW at either of the subject properties so all tree effects would be within the JPB ROW. Therefore, the APE does not include these two historic properties. This measure is no longer needed.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
CUL-1f: Implement historic bridge and underpass design requirements.	X				Ongoing	This measure is being implemented as described during the design process and will be incorporated into the final design. The four bridges that are included in the MMRP are rail bridges crossing over another feature. Design of the OCS system is taking into account that there are requirements that restrict the design. Thus far, the designs for Construction Segments 2 & 4 are in process and designs are not yet complete. The D-B will forward to the Architectural Historian once complete.
CUL-2a: Conduct an archaeological resource survey and/or monitoring of the removal of pavement or other obstructions to determine if historical resources under CEQA or unique archaeological resources under PRC 21083.2 are present.	X				Ongoing	Periodic inspections of ground surface areas along the alignment, in conjunction with cultural monitoring as-needed of project activities in culturally sensitive areas are ongoing. The Archaeological Final Report will be provided at the conclusion of construction activities.
CUL-2b: Conduct exploratory trenching or coring of areas where subsurface project disturbance is planned in those areas with “high” or “very high” potential for buried site.	X				Ongoing	Exploratory trenching and subsurface testing of all potentially culturally sensitive areas occurred prior to the initiation of construction activities in those areas. The results will be included in the Archaeological Final Report. No cultural resources requiring the development of a treatment plan were observed. A Native American monitor has been present for all exploratory trenching and subsurface testing work.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
CUL-2c: Conduct limited subsurface testing before performing ground-disturbing work within 50 meters of a known archaeological site.	X				Ongoing	Exploratory trenching and subsurface testing of all potentially culturally sensitive areas occurred prior to the initiation of construction activities in those areas. The results will be included in the Archaeological Final Report. No cultural resources requiring the development of a treatment plan were observed. A Native American monitor has been present for all exploratory trenching and subsurface testing work.
CUL-2d: Conduct exploratory trenching or coring of areas within the three zones of special sensitivity where subsurface project disturbance is planned.	X				Ongoing	Exploratory trenching and subsurface testing of all potentially culturally sensitive areas occurred prior to the initiation of construction activities in those areas. The results will be included in the Archaeological Final Report. No cultural resources requiring the development of a treatment plan were observed. A Native American monitor has been present for all exploratory trenching and subsurface testing work.
CUL-2e: Stop work if cultural resources are encountered during ground-disturbing activities.	X	X			Ongoing	No prehistoric or historic-period cultural materials have been observed during cultural monitoring.
CUL-2f: Conduct archaeological monitoring of ground-disturbing activities in areas as determined by JPB and SHPO.		X			Ongoing	Cultural monitoring as-needed of project activities in culturally sensitive areas is ongoing. The Archaeological Final Report will be provided at the conclusion of construction activities.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
CUL-3: Comply with state and county procedures for the treatment of human remains discoveries.		X			Ongoing	No human remains have been observed to date on the Project.
EMF-2: Minimize EMI effects during final design, Monitor EMI effects during testing, commission and operations, and Remediate Substantial Disruption of Sensitive Electrical Equipment.	X	X	X		Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. Designs are submitted and reviewed/commented on by JPB. Monitoring EMI effects will occur post construction.
GEO-1: Perform a site-specific geotechnical study for traction power facilities.	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. Geotechnical studies and results are submitted to JPB as completed.
GEO-4a: Identification of expansive soils.	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. Geotechnical studies and results are submitted to JPB as completed.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
GEO-4b: Mitigation of expansive soils.	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. Geotechnical studies and results are submitted to JPB as completed.
HAZ-2a: Conduct a Phase II Environmental Site Assessment prior to construction.	X				Complete	A Phase II Environmental Assessment was completed prior to construction by the JPB consultant, and the results were provided to BBI, and the required mitigation is being implemented prior to the initiation of construction activities.
HAZ-2b: Implement engineering controls and best management practices during construction.	X	X			Ongoing	Field activities are being monitored daily for significant color changes or odors which may indicate contamination. In addition, an assessment of two existing subsurface pipes by a certified Asbestos Consultant occurred during this reporting period, and a specification describing the methods for removal and disposal is currently in progress.
HYD-1: Implement construction dewatering treatment, if necessary.	X	X			Ongoing	Facilities & BMPs are in place to deal with this requirement should it arise in the OCS foundations.
HYD-4: Minimize floodplain impacts by minimizing new impervious areas for TPFs or relocating these facilities.	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. The TPFs in Construction Segments 2 & 4 are currently in final design and design for TPFs in Construction Segments 1 & 3 has begun. The design minimizes

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						hardscape only to required structure foundations; yard areas are to receive a pervious material.
HYD-5: Provide for electrical safety at TPFs subject to periodic or potential flooding.	X			X	Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. The TPFs in Construction Segments 2 & 4 are currently in final design and design for TPFs in Construction Segments 1 & 3 has begun. The design plan currently raises the TPFs above the floodplain.
HYD-7: Implement sea level rise vulnerability assessment and adaptation plan.				X	Ongoing	The JPB has initiated this measure and preparation of the sea level rise vulnerability assessment and adaptation plan is underway.
NOI-1a: Implement Construction Noise Control Plan.	X	X			Ongoing	The Noise and Vibration Control Plan has been submitted and is being implemented. Field activity is monitored per the Plan. If allowable noise levels are near or exceed allowable noise levels, mitigation such as blankets are used from that point forward.
NOI-1b: Conduct site-specific acoustical analysis of ancillary facilities based on the final mechanical equipment and site design and implement noise control treatments where required.	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. Design is still in process and a noise study is currently being performed.

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Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
NOI-2a: Implement Construction Vibration Control Plan.	X	X			Ongoing	The Noise and Vibration Control Plan has been submitted and is being implemented. Field activity is monitored per the Plan.
PSU-8a: Provide continuous coordination with all utility providers.	X	X			Ongoing	The design requirements indicated in the measure will be implemented through the final design as described. Coordination with utility providers is ongoing and there have not been any service interruptions thus far.
PSU-8b: Adjust OCS pole foundation locations.	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described.
PSU-8c: Schedule and notify users about potential service interruptions.	X	X			Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. There have not been any service interruptions thus far.
PSU-9: Require application of relevant construction mitigation measures to utility relocation and transmission line construction by others.	X	X			Ongoing	JPB has initiated coordination with PG&E regarding transmission line construction. PG&E is currently raising overcrossing lines in Segment 2.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
TRA-1a: Implement Construction Road Traffic Control Plan.	X	X			Ongoing	The D-B has begun traffic control design and permit applications with cities in Segments 2 and 4. Designs have been completed and approved for all cross-over bridges in Segments 2 and 4.
TRA-1c: Implement signal optimization and roadway geometry improvements at impacted intersections for the 2020 Project Condition.	X	X			Upcoming	This measure has not started
TRA-2a: Implement construction railway disruption control plan.	X	X			Ongoing	Minimization of railway disruption is being coordinated by the Site Specific Work Plan. A Construction Railway Disruption Control Plan was prepared to document the measures that are being implemented.
TRA-3b: In cooperation with the City and County of San Francisco, implement surface pedestrian facility improvements to address the Proposed Project's additional pedestrian movements at and immediately adjacent to the San Francisco 4th and King Station.	X	X	X		Upcoming	This measure has not started.
TRA-4b: Continue to improve bicycle facilities at Caltrain stations and partner with bike share programs where available following guidance in				X	Ongoing	The JPB adopted the Caltrain Bicycle Parking Management Plan in November 2017, and staff have been working to implement the Plan's recommendations to improve wayside bike parking facilities along

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Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
Caltrain's Bicycle Access and Parking Plan.						the corridor. Staff have also been coordinating with local jurisdictions that have launched bikeshare pilot programs to safely site bicycles near Caltrain stations.
NOI-CUMUL-1: Implement a phased program to reduce cumulative train noise along the Caltrain corridor as necessary to address future cumulative noise increases over FTA thresholds				X	Upcoming	This measure will be implemented during project operation.
NOI-CUMUL-2: Conduct project-level vibration analysis for Blended System operations and implement vibration reduction measures as necessary and appropriate for the Caltrain corridor				X	In Progress	CHSRA is conducting this analysis as part of the EIR/EIS for the San Francisco to San Jose section.
TRA-CUMUL-1: Implement a phased program to provide traffic improvements to reduce traffic delays near at-grade crossings and Caltrain stations				X	Upcoming	This measure will be implemented during project operation.
TRA-CUMUL-2: Implement technical solution to allow electric trolley bus transit across 16 th Street without OCS conflicts in cooperation with SFMTA.	X				Complete	Not applicable. SFMTA has elected to not electrify the 16 th Street crossing. This measure no longer applies.
Mitigation Measure TRA-CUMUL-3: As warranted, Caltrain and freight operators will partner to provide Plate H clearance				X	Upcoming	This measure will be implemented during project operation.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
as feasible between San Jose and Bayshore.						

PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Michelle Bouchard
Chief Operating Officer, Rail

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

ACTION

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

SIGNIFICANCE

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

BUDGET IMPACT

There is no budget impact.

MONTHLY UPDATE

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

<u>Key Project Activity</u>	<u>Expected Completion</u>	<u>Progress as of 08/18/20</u>	<u>Progress On Track?</u>	<u>Mitigation Required or Approvals Needed</u>
Approval of Designated Revenue Service Demonstration (RSD) Test Request	May 31 st	Completed	Completed	Formal conditional approval received on September 10. Team incorporating FRA conditions in test plan to ensure compliance to approval
Approval of revised project PTC Implementation Plan (PTCIP) and Request for Amendment (RFA)	May 31 st	Completed	Completed	Formal approval received on May 16, 2019 for PTCIP and RFA Rev. 10
Pilot Installations (4) Completed	June 20 th	Completed	Completed	All pilots completed
Submit Designated RSD Application	Oct 15 th	Completed	Completed	RSD Application submitted and in review by FRA
Submit Full Track RSD Application	June 7 th	Completed	Completed	Formal RSD request for full track was submitted to the FRA on June 14, 2019
Complete Critical Feature Verification & Validation (V&V) for Designated Track RSD	Oct 30 th	Completed	Completed	
Complete Designated RSD Training	Nov 14 th	Completed	Completed	Training for designated RSD personnel completed
Complete Required Vehicle Installations (44 Units)	Dec 3 rd	Completed	Completed	(44) Installs required for RSD completed, punch list items were completed by Wabtec
Meet FRA Statutory Requirements and Substitute Criteria	Dec 31	Completed	Completed	Met FRA December 31, 2018 deadline
Obtain Alternative Schedule approval from FRA	Mar 15 th 2019	Completed	Completed	Received FRA's approval on February 6, 2019
Completion of Remaining Vehicle Installation (all 66 units)	April 30, 2019	Completed (66 Units)	Completed (66 Units)	The installation for F40PH 3C Rehab vehicle 922 was completed in June that concluded all 66 units PTC installation.
Full RSD - Complete Remaining Critical Feature V&V	Jan 2019	Completed	Completed	

Key Project Activity	Expected Completion	Progress as of 08/18/20	Progress On Track?	Mitigation Required or Approvals Needed
Full RSD – Complete Wayside Interface Unit (WIU) V&V	March 15, 2019	Completed	Completed	Completed on March 15, 2019
Full RSD – Complete Lab Integrated End to End Testing (LIEE)	June 30, 2019	Completed	Completed	LIEE Cycle 3 was completed ahead of schedule on June 12, 2019
Full RSD – Complete Field Integrated Testing (FIT)	August 2019	Completed	Completed	Full track FIT has completed on June 30, 2019
Full RSD – Complete Field Qualification Testing (FQT)	September 2019	Completed	Completed	Full track FQT has completed on July 14, 2019
*Commence Full RSD – Caltrain ROW	October 2019	Completed	Completed	Caltrain has successfully entered RSD on September 07, 2019
Complete Lab Integrated End to End Testing for Interoperability with UPRR (LIEE-I)	October 2019	Completed	Completed	LIEE-I with UPRR was completed on October 15
*Complete Interoperability Testing with UPRR - Both ROW	December 2019	Completed	Completed	Interoperable Test with UPRR on both territories were completed on Nov 5 th , 2019
*Complete Interoperability Testing with Tenant Railroads - ACE	April 30 2020	Completed	Completed	Interoperable Test with ACE was completed on Nov 17, 2019
*Complete Interoperability Testing with Tenant Railroads - AMTRAK	April 30 2020	Completed	Completed	Interoperable field testing was concluded on Feb 8,2020
Achieve Interoperability with UPRR	Dec 31, 2019	Completed	Completed	Accomplished on December 9, 2019
Achieve Interoperability with other Tenants	April 30, 2020	Completed	Completed	Accomplished Interoperable with ACE on December 9, 2019. Interoperable Operation with Amtrak was achieved on Feb 26, 2020
Submit Caltrain PTC Safety Plan to the FRA	June 30, 2020	Completed	Completed	Project submitted the PTCSPP on June 25, 2020
Complete Caltrain PTC Implementation	December 2020	Plan	Yes	

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

1. Major Wabtec activities for August 2020:

- Caltrain commenced Revenue Service Demonstration (RSD) since September 7, 2019. As of Feb 26, 2020 Caltrain has achieved interoperability requirements and is interoperable with all tenants (UPRR, ACE, and Amtrak/Capitol Corridor).
- Continued to provide technical support for RSD trouble shooting and addressed defect items with support from WABTEC PTC help-desk.
- Continued BCCF/CCF Cutover planning effort and finalization of one-system cutover plan and procedure.
- Continued radio frequency update for all locos.
- Continued and extended field on-site Warranty support for on-board subsystem.
- Prepared PTC Track data changes 9028 in support of South San Francisco Capital Project.
- Completed all lab and field initialization testing for UPRR third party railroads (six total).
- Finalized I-ETMS maintenance support service State of Work and Pricing. Teams continued finalization terms and conditions with legal and risk management.
- Deployed I-ETMS on-board software 6.3.19.2 into service successfully.
- Continued redundant network path between CCF & BCCF datacenters effort.
- Prepared BCCF Integrated Lab training courses for Caltrain team.

2. Vehicle Installation:

Wabtec completed installation of (44) I-ETMS modules on the Caltrain locomotives and cab cars as required in Caltrain's Implementation Plan and statutory criteria requirements in early November of 2018. Wabtec has completed installations on the remaining Caltrain

fleet (22 additional locomotives and cab cars). Caltrain has decided not to install PTC equipment on a damaged Gallery Cab car, therefore total equipment count is 66.

I-ETMS On-Board Installation Progress (As of 7/15/20)			
Equipment	Completed	In Progress	Pending
F40	23	0	0
MP36	6	0	0
Bombardier Cab	9	0	0
NS Gallery Cab	26	0	0
MP1500	2	0	0
Total	66	0	0
%	100%	0%	0%

3. Other Key Activities for August of 2020:

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

- o Caltrain has received approval from the FRA to enter extended Revenue Service Demonstration (RSD) on January 7, 2020 after initial RSD commenced on September 7, 2019. Caltrain is currently running all revenue trains with PTC.
- o Caltrain commenced interoperable operations with UPRR and ACE on December 9, 2019, and with Amtrak/Capitol Corridor since February 26, 2020. Caltrain is interoperable with all tenants.
- o Herzog Technologies Incorporated (HTI) data collection team and PTC project team continued producing PTC weekly and monthly reporting to the FRA per the RSD conditional approval requirements for the extended RSD.
- o PTC helpdesk continues to support PTC operation since commencement of RSD with support from Tier 1 and Tier 2 systems support staff for daily PTC operations.
- o Defect-tracking meetings are held to continue monitoring reliability of the PTC system and address any critical anomalies and defects by system engineering (Tier 2) and WABTEC/ARINC (Tier 3) as needed.
- o Caltrain is meeting with UPRR and other tenants on bi-weekly basis to address any technical and operational issues related to PTC interoperable operations.
- o Weekly ARINC coordination meeting is held to address operational systems maintenance and modification work, the live operational systems are Rail Operations Control System (ROCS), Passenger Predictive Train Arrival/Departure System (PADS) and Voice Radio Dispatching System (RDS), which are residing in the CCF and BCCF to support rail operations.
- o BCCF/CCF cutover coordination meeting with ARINC and Wabtec is held weekly focusing on one-system design, pre-test activities and field failover and cutover planning effort.
- o The PTC project continues its coordination efforts with the Electrification and EMU programs via regularly scheduled System Integration Meetings held by PCEP. Ad hoc meetings to discuss topics requiring in-depth or immediate decisions are held as needed. PTC system team continued participating and coordinating with PCEP delivery team in support of upcoming electrification project segment 4 signal cutovers.
- o Caltrain Configuration Control Board (CCB) continued review and approval of configuration changes that affect rail operations systems and infrastructure by following Caltrain Configuration Management plan and process.
- o Caltrain Systems team actively involved in PTC Interoperable Change Management process through Interoperable Change Approval Board (ICAB).

- o Caltrain team has concluded I-ETMS long term service agreement procurement effort with Wabtec. Staff recommendation will be presented during September JPB Board Meeting.

4. Change Order Log:

Project has executed two new change orders for the work related to 1) UPRR third party railroad interoperable testing (6 railroads total) which was approved by CMB on May 27, 2020 (\$602,577); 2) the diverse redundant network path between CCF & BCCF datacenters (\$121,433). These two changes will constitute the second contract amendment totaling \$724,010. Wabtec contract amendment one was for \$1.42 M related to interoperability and the communications system.

The funds for both amendments were taken from potential change budget and contingency as part of original board approved \$89.41M project

5. Risk Management:

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

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

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

Risk Item	Type	Mitigation Action
FRA process changes	External	Maintain close and open relationship with key FRA contacts to ensure all submittals are done correctly and within required time frame to achieve approvals required to achieve full system certification.
Interoperability delays	External	Caltrain is working with UPRR and tenants to ensure agreed to interoperability schedule dates are maintained – Risks were mitigated, Interoperability with UPRR, Amtrak, and ACE were achieved.
Track access delays	Internal	Ensure field test schedule is maintained by coordinating all fieldwork in combination with other capital project's needs, particularly the PCEP project – Risk were mitigated, Caltrain has entered RSD and achieved interoperability with all tenants.
Back Office Server (BOS) documentation scope creep	Internal	Risk is mitigated by working with Wabtec to ensure future BOS software releases meet requirements of Caltrain PTC operations. Caltrain subscribes standard Interface Control Documentation (ICD) through AAR for future BOS release.
Key Exchange Server Solution	Internal	Implementation of Caltrain Key Exchange Server timely to support Interoperability Testing with UPRR. KES production test was completed in October 2019. Caltrain has been interoperable with all tenants. The Long-term communication MPLS solution was

Risk Item	Type	Mitigation Action
		finalized and installation is scheduled once travel restriction is lifted due to COVID 19.
Maintenance of existing Assets Data Communications, Wayside Infrastructure and on-board equipment	Internal	Coordinated with Operations and TASI to ensure all assets including all documentation were done and handed off to Operations/TASI. PTC infrastructure are maintained by TASI and Project team continue to provide support as Tier 2/Tier 3 to ensure PTC is reliable for PTC Revenue Service Operations.

6. FRA Coordination Status:

- o Followed with FRA test monitor on Caltrain PTCSP comments
- o Continued weekly calls with FRA review team
- o Continued RSD Weekly and Monthly Reports to the Test Monitor
- o Will submit CFV plan in support of South San Francisco Project

7. Caltrain Roadmap to Full RSD and Interoperability:

- o Caltrain is currently in Extended Revenue Service Demonstration and is fully interoperable with all tenants.
- o Completing and submitting the PTC Safety Plan to the FRA is the next big milestone in order to achieve overall system certification.
 1. Alternative Schedule was approved on February 6, 2019.
 2. Caltrain completed all field validation by the 1st quarter of 2019.
 3. Caltrain completed laboratory integrated testing for full track in April of 2019.
 4. Caltrain submitted the full track RSD application in June 2019 and received conditional approval of RSD in July 2019.
 5. Caltrain completed Field Integrated Testing (FIT) and Field Qualification Testing (FQT) for full track and has commenced RSD on September 7, 2019.
 6. Caltrain completed training TASI personnel to support full track RSD and PTC operations.
 7. Caltrain continues to roll out PTC trains; all 92 trains per weekday are under PTC as of the end of 2019.
 8. Caltrain completed interoperability laboratory testing with UPRR on August 12, 2019 for cycle one and subsequently cycle two on October 15, 2019.
 9. Caltrain has received Interoperability Test Request Conditional Approval from the FRA.
 10. Caltrain completed interoperability field-testing with UPRR on November 5 2019 and has achieved interoperability with UPRR on December 9, 2019.
 11. Caltrain has completed interoperability testing with ACE and started PTC operations on December 9, 2019. Caltrain commenced interoperability operations with Amtrak on February 26, 2020. Caltrain achieved interoperability requirements with all tenants.
 12. Caltrain has submitted the PTC Safety Plan (PTCSP) officially on June 25, 2020.
 13. Caltrain will receive conditional approval from the FRA and receive system certification by December 2020.

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

	(A)	(B)	(C)	(D)	(E)	(F) = (C - E)	(G) = (D / E)
Project Cost Analysis	Original Budget (US\$MM)	Approved Changes (Contractor) (US\$MM)	Project Current Budget (US\$MM)	Expended and Accruals To-Date (US\$MM)	Estimated at Completion (EAC) (US\$MM)	Variance at Completion (US\$MM)	% Expended of EAC
CBOSS PTC Project (Jan 2008 - Feb 2018)	\$ 231.00		\$ 239.88	\$ 202.26	\$ 202.26		
Caltain PTC Project (March 1, 2018 - June 30, 2020):							
Integrator WABTEC Contract	\$ 43.01	\$ 2.15	\$ 45.16	\$ 36.99	\$ 45.16	\$ -	81.91%
Other Contractors	\$ 6.00	\$ -	\$ 6.00	\$ 2.86	\$ 6.00	\$ -	47.74%
Potential Changes	\$ 2.00	\$ (2.00)	\$ -		\$ -	\$ -	
Potential Incentive - WABTEC	\$ 2.00	\$ -	\$ 2.00	\$ 2.00	\$ 2.00	\$ -	100.00%
Other Program Costs	\$ 30.34	\$ -	\$ 30.34	\$ 19.79	\$ 29.98	\$ 0.37	66.02%
Project Contingency	\$ 6.06	\$ (0.15)	\$ 5.91		\$ 4.95	\$ 0.96	
Total PTC Project	\$ 89.41	\$ (0.00)	\$ 89.41	\$ 61.64	\$ 88.08	\$ 1.33	69.98%
Note:							
1). Expended and Accruals To-Date is through July 31, 2020;							
2). Integrator Wabtec Contract Value includes Shared Risk with Not to Exceed Total of \$1.91MM;							
3). Other Contractors amount includes ROCS Modification and potential fiber fixes;							
4). Potential Changes budget amount is set for future project change orders as result of WABTEC assessment and survey for the communications and office subsystems; Two change orders for amount of \$724,010 were executed as part of approved change orders.							
5). Potential incentive amount reflects what is in the WABTEC conformed agreement;							
6). Other Program Costs includes JPB project oversight costs, TASI support and Other Direct Cost for PTC project delivery;							
7). Project contingency includes a) contingencies for WABTEC contract per Board Staff Report; b) JPB project team cost contingency;							
8). CBOSS PTC project budget and actual cost are highlighted to reflect prior March 1st, 2018 CBOSS project financial data.							
9). Negotiated additional scope items are included in WABTEC's contract amendment 1. There is no budget impact since project has budgeted adequate potential change for the amount of \$2MM (note no. 4 above) for added scope items. Current Project budget for WABTEC contract is updated to reflect added scope items and approved change orders.							
10). Other Program Costs EAC is increased from previous months to include FY21 systems support effort in order to offset Operating budget deficit caused by COVID-19.							

9. Upcoming Key Activities in September 2020:

- o Continue to support PTC RSD with operations and TASI.
- o Continued BCC/CCF failover and cutover coordination effort with all parties.
- o Continue data collection and PTC log analysis for PTC RSD weekly report to the FRA following RSD conditional approval requirements.
- o Continue to provide Tier 2 PTC system engineering support for tracking anomalies and addressing defect resolutions with Tier 3.
- o Continue interoperability operational coordination with all tenants via bi-weekly calls.
- o Complete MDM changes in support of all UPRR third party railroads (6 total) interoperable operations.
- o Complete ATCS work field installation work once travel plan is confirmed.
- o Commence design effort with CDW for Caltrain Rail System Virtualization Project which will virtualizing PTC back office system.
- o Complete KES long-term MPLS/Cell installation effort for sprint circuit installation once travel restriction is lifted.
- o Follow up with the FRA on Caltrain PTCSP submission.
- o Continue to perform railroad specific hazard analyses required for PTC system certification.
- o Award of I-ETMS long-term maintenance service agreement.
- o Perform Lab regression test for I-ETMS on-board software 6.3.19.3.
- o Continued work to diverse redundant network path between CCF & BCCF datacenters.
- o Prepare and schedule for Lab training performed by WABTEC.

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

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Seamus Murphy
Chief Officer, Communications

SUBJECT: **PROCLAMATION DECLARING SEPTEMBER RAILROAD SAFETY AND SUICIDE
PREVENTION MONTH**

ACTION

Staff Coordinating Council (SCC) recommends the Board adopt the proclamation designating September as "Railroad Safety & Suicide Prevention Month."

SIGNIFICANCE

The proclamation for "Railroad Safety & Suicide Prevention Month" reaffirms the JPB's commitment to provide safe and efficient train service between San Francisco and Gilroy. It is an opportunity to highlight the promotion and advancement of safety and prevention on the right of way through enhanced safety measures and increased public awareness. While safety is a clear priority for the rail agency, it has been determined that approximately 70 percent of the deaths occurring on the Caltrain corridor are ruled suicides. Caltrain also coordinates with regional mental health, and suicide prevention and awareness organizations to help eliminate the stigma associated with seeking help for depression or mental illness.

In July 2020, Caltrain was awarded a \$48,500 Trespassing Enforcement Grant program from the Federal Railroad Administration (FRA). The grant will be used to fund the Caltrain Right-of-Way Trespassing Project. The project goal is to reduce illegal homeless encampments and trespassing on Caltrain's 77-mile-long right-of-way (ROW) between San Francisco and Gilroy. The San Mateo County Sheriff's Office Transit Police Bureau, in cooperation with local law enforcement, will work to reduce the number of homeless encampments along the rail line while also referring displaced individuals to specialized services and assistance. The Transit Police will also continue to work to increase public awareness and end tragic collisions, fatalities, and injuries at grade crossings and along the ROW.

Traditionally during September, Caltrain staff hosts a number of events and activities to highlight the month, but due to the coronavirus (COVID-19) pandemic, activities won't be as robust this year. However, Caltrain will still be promoting agency-created rail safety videos and messaging on our various social media platforms throughout the month, using #CaltrainSafe and #railsafety.

This year to date, Caltrain has experienced approximately 10 incidents along the rail corridor, including both fatalities and a vehicle strike. The proclamation reiterates the three E's (Education, Engineering and Enforcement) of our ongoing "Don't Shortcut Life" rail safety campaign, in partnership with National Operation Lifesaver and California Operation Lifesaver (CAOL).

Caltrain also will be recognizing National Suicide Prevention Month as part of this effort by participating in social media campaigns with the San Mateo County Suicide Prevention Committee and the Santa Clara County Suicide Prevention Working Group, with which Caltrain is a community partner. T

BUDGET IMPACT

There is no impact on the budget.

BACKGROUND

Since September 2009, Caltrain has been participating in CAOL's annual Rail Safety Month. CAOL is a nonprofit public safety organization committed to reducing the number of tragic incidents at highway-rail grade crossing intersections and trespassing at railroad rights-of-way.

As a member and community partner of CAOL, Caltrain staff makes year-round, free rail safety presentations to all age groups by educating the community on the three E's of rail safety – Education, Engineering and Enforcement.

Prepared by: Tasha Bartholomew, Manager, Communications

650.508.7927

Proclamation

IN HONOR OF RAILROAD SAFETY & SUICIDE PREVENTION MONTH

WHEREAS, Caltrain operates 70 weekday trains between San Francisco and Gilroy, serving the Peninsula Rail Corridor, and the communities of San Francisco, San Mateo and Santa Clara counties; and

WHEREAS, safety on the Caltrain right of way has been and remains a continuing priority along a rail system that traverses several communities and includes more than 50 at-grade public vehicular and pedestrian crossings; and

WHEREAS, the Peninsula Corridor Joint Powers Board works continuously with essential partners, including the Federal Railroad Administration, California Department of Transportation, California Public Utilities Commission and California Operation Lifesaver to improve railroad safety, to prevent accidents and to educate the public about safety around railroad tracks; and

WHEREAS, trains have become a routine part of daily life for many in this region, but it only takes a split second for someone to drop their guard and tragedy can strike. Typical Caltrain trains can take almost a mile to stop, even when emergency brakes are applied; and

WHEREAS, while safety is a clear priority for the rail agency, approximately 70 percent of the deaths occurring on railroad tracks are ruled suicides; and

WHEREAS, suicide is a public health issue with which Caltrain is all too familiar. Every death by suicide on the rails impacts hundreds of people, including Caltrain riders and staff onboard the train, as well as passengers at station platforms; and

WHEREAS, Caltrain partners with local public health agencies to publicize resources available for individuals in crisis in an effort to reduce deaths by suicide on the rails; and

WHEREAS, led by San Mateo County Health's Behavioral Health and Recovery Services division, the Suicide Prevention Committee consists of County staff, Caltrain, community-based organizations and community members who provide oversight and direction to suicide prevention efforts in the County; and

THEREFORE, BE IT RESOLVED, that the Peninsula Corridor Joint Powers Board, in support of safety efforts locally, regionally and statewide, joins in proclaiming September as "Railroad Safety & Suicide Prevention Month" and commends local, State, and Federal officials, industry, and citizen efforts to improve railroad safety; and

BE IT FURTHER RESOLVED, that the Peninsula Corridor Joint Powers Board reaffirms its efforts as a community partner in the prevention of deaths by suicide as a critical component of "Railroad Safety & Suicide Prevention Month" and urges continued and expanded collaboration to extend to all who need effective mental health resources.



Draft

**CITIZENS ADVISORY COMMITTEE (CAC)
PENINSULA CORRIDOR JOINT POWERS BOARD (JPB)
SAN MATEO COUNTY TRANSIT DISTRICT ADMINISTRATIVE BUILDING
Bacciocco Auditorium, 2nd Floor
1250 San Carlos Avenue, San Carlos CA 94070**

MINUTES OF AUGUST 19, 2020

MEMBERS PRESENT: A. Brandt (Vice Chair), A. Dagum, P. Flautt, R. Kutler, P. Leung, M. Romo, D. Tuzman, B. Shaw (Chair)

MEMBERS ABSENT: L. Klein

STAFF PRESENT: D. Hansel, R. McCauley, J. Navarrete, J. Navarro, R. Scarpino

Due to COVID-19, this meeting was conducted as a teleconference pursuant to the provisions of the Governor's Executive Orders N-25-20 and N-29-20, which suspends certain requirements of the Ralph M. Brown Act.

Chair Brian Shaw called the meeting to order at 5:40 p.m. and led the Pledge of Allegiance.

INTRODUCTION OF NEW CAC MEMBER

Chair Brian Shaw introduced the new CAC Member David Tuzman, representing San Mateo County.

APPROVAL OF MINUTES OF JULY 15, 2020

Motion/Second: Flautt / Leung

Ayes: Brandt, Dagum, Kutler, Romo, Tuzman, Shaw

Absent: Klein

PUBLIC COMMENT

Jeff Carter, Millbrae, via Zoom Q&A, advised the Committee that his written comments from last month are in this month's correspondence packet. He stated that he is requesting a simple data spreadsheet of how the figures arrived for monthly Key Performance Statistics.

Roland Lebrun, San Jose, via Zoom Q&A, stated that the original link pointed to a 5:30 pm meeting. He then stated, as a point of order, that after taking the first and second (motion for the approval of minutes), public comment should then be requested. He then stated that he did not give a presentation at the Atherton Rail Committee and that it has been deferred to next month. He also stated that he has not explained Constant Time Warning at the Grade Crossings.

Aleta Dupree, via Zoom Q&A, requested the Committee's assistance with disseminating more information about Caltrain due to the truncated nature of the Board Meeting,

some of the informational presentations on Electrification were not given. She then stated that the Clipper Start is on the front page of the website so people can see it and requested staff to continue to outreach on Clipper Start because it will satisfy equity concerns. Aleta then thanked Caltrain for always being responsive and listening to her equity concerns. She then stated that Clipper vending machines are important to help move away from paper tickets. Lastly, Aleta asked all to be involved in the national conversation about passenger railroading and learn what other CACs are doing because Caltrain is significant, not just to the region, but to the nation.

Doug DeLong, Mountain View, via Zoom Q&A commented on a resolution that transpired at the last JPB meeting. He stated that there was a resolution adopted that contemplates Caltrain having different auditors and legal counsel than the San Mateo County District and perhaps also the San Mateo County Transit Authority. He then suggested that a more cost-efficient change might be if San Mateo County Transit and Transit Authority could hire new legal counsel, perhaps funded by Caltrain. He stated that it would allow Caltrain to retain their existing legal counsel due to Caltrain's legal affairs being more complicated than the bus operations, the San Mateo County Transit and the Project Management activities of the Transit Authority.

CHAIRPERSON'S REPORT

Chair Brian Shaw stated that he attended the last JPB meeting via Zoom and reported that the Ballot Measure will be out for vote to the residents of the Peninsula this fall. He then stated that hopefully it passes and that Caltrain will be able to continue and function as needed for the foreseeable future.

COMMITTEE COMMENTS

Member Rosalind Kutler stated that she submitted her equity concerns through the proper channels and wanted to highlight a couple of things. The first is that she has concerns about equitable enforcement. She stated that regarding how staff conducts fare enforcement, that the Enforcement Officers are mindful of equity when conducting enforcement. She suggested staff to consider Bias Training for the Enforcement Officers or for the trainers. Lastly, she stated that she noticed that some of the contractors who are working on projects are not wearing masks or social distancing and asked how to address these concerns.

Member Patrick Flautt welcomed new Committee Member, David Tuzman, thanked him for joining and looks forward to hearing his contributions and suggestions. Member Flautt also stated that the CAC meetings via Zoom work very well, operate smoothly and that they are valuable.

Member Martin Romo welcomed new Committee Member, David Tuzman, and recognized his active role in the San Carlos community and was glad to see he has joined the Caltrain Citizen's Advisory Committee, taking steps to making transportation better for the region as a whole.

Member Patricia Leung stated that she is glad that the tax is going on the ballot and that she is looking forward to it. She also welcomed new Committee Member, David Tuzman.

Vice Chair Adrian Brandt welcomed new Committee Member, David Tuzman. He then stated that he was delighted that the three member agencies were able to hammer out a deal that they all could sign up to. He then referred to the Correspondence Packet, a letter submitted by him referring to a link to the BART webpage regarding BART train car ventilation. Vice Chair Brandt applauds what BART has done and hopes to see Caltrain do something similar. He then referenced Public Member Roland Lebrun's comment in the Correspondence Packet regarding the RFP for Electrification that states that Caltrain has a large change order to go and put rather unsightly wire harnesses above the catenary that would protect any wires that may fall from above, from falling onto the 25 kilovolt Caltrain lines and shorting them out and possibly causing life injuring or fire. He stated that it was all supposed to be done as part of the RFP and is concerned and is disappointed because on the Peninsula, one of the biggest concerns from communities was about how unsightly the wires would be and this would be adding another layer of unsightly metal on top of the existing wires.

Member Anna Dagum welcomed new Committee Member, David Tuzman. She also expressed gratitude for everyone who fought for the Caltrain tax. She stated that it is important to keep Caltrain running in the coming years. She then asked what efforts Caltrain is making to encourage people to vote for that tax come November, if anything, and whether the Committee can be involved in that encouragement.

Member David Tuzman thanked everyone for the warm welcome. He then also asked what is Caltrain and what can the Committee do to promote the Ballot Measure, RR.

Member Rosalind Kutler stated that there was a misprint in the Chronicle that has since been corrected, that the Ballot Measures requires a majority, however it requires two thirds. She requested an informational outreach be done to inform Members of the Public.

Public Comments:

Roland Lebrun, San Jose, via Zoom Q&A, stated Roland thanked the members of the CAC for reading the correspondence and explained that he brought it to the attention of Marion Lee, eight years ago and that this is not the end of the conversation and that he will write the Board again and explain how this is done. Roland then stated that a lot of people were concerned about what happened at the last Board Meeting and said that Samtrans is not sustainable and eventually Santa Clara County and San Francisco decided that there is some value and did something. He stated that Caltrain will rise like an Eagle. Roland then said that he understands the equity issue in the way some passages are being treated and stated that the issue needs to be addressed. He also mentioned that the contract is up and coming and needs to be addressed. He then stated that the fares need to be addressed at the regional, means based fare, basically pay based on what you can afford. Lastly, he stated that he advocated for means based tolling, where people pay tolls on freeways based on what they can afford.

Doug DeLong, Mt. View, via Zoom Q&A, shared his disappointment with Member Adrian Brandt buying into Roland Lebrun's misreading of the Electrification Infrastructure

Contract and the Change Order. Doug stated that the CPUC enacted a regulation, subsequent to the award of the contract that is requiring the installation of the shunt wires. He stated that it is a change to the scope of work that the contractor is fully entitled to be paid for.

Jeff Carter, Millbrae, via Zoom Q&A, welcomed new Committee Member, David Tuzman and looks forward to his input and comments. Jeff stated that he has been following this since 1977 and that it is good to see the interest.

COVID-19 PRODUCTIVITY REPORT

Rob Scarpino, Acting Director Maintenance, presented the COVID-19 Productivity Report

The full Power Point presentation can be found on caltrain.com

Committee Comments:

Chair Brian Shaw stated that this is the first time he is seeing a presentation like this for the CAC and that it is great to see the hard work and dedication the Caltrain team has on keeping the railroad working well through the challenges.

Member Patrick Flautt thanked Mr. Scarpino for the presentation and stated that it gives him a grand respect for the breadth of activities that encompass staff's role, especially seeing how the track was repaired with thermite, done well. Mr. Flautt then asked whether there are other instances of track, from this time period, breaking in this fashion and so drastically. Mr. Scarpino responded that Caltrain runs Rail Detection over three times a year on the fifty-two miles of track. He stated that the team conducted a survey to look at if there were others in that area and nothing else was found. He also stated that over the past 20 years, Caltrain has reconstructed the entire main line between San Francisco and Lick, so there are not a lot of things that are skipped along the way.

Member Rosalind Kutler commented that the infrastructure in San Francisco and along the Caltrain line is old and one never knows what they will find when digging. She shared her appreciation of the presentation.

Vice Chair Adrian Brandt asked what the inspection schedule is for the ultrasonic/x-ray and what methods are used to image the rail for defect. Mr. Scarpino responded that three times a year there is a Rail Detector Car that goes through. He also stated that staff is inspecting every two days during the High Rail trips. Additionally, during normal times, there are 92 trains traversing the tracks and communicating with the Locomotive Engineer to identify rough spots, daily. Mr. Joe Navarro, Deputy Chief, Rail Operations, also stated that under the FRA Regulation, Caltrain follows the Class Five Railroad inspection that is mandated by the FRA. Mr. Brandt then asked why Caltrain failed to catch that before it led to a field catastrophe. Mr. Scarpino responded that the failure occurred at the base and typically when doing the inspection, it is on the head in the web of the rail and there is nothing that would pick up the congregation associated with probably sitting in water for long periods of time. Mr. Navarro stated that it was a clean break and hard to detect. He also stated that these systems are all over the

country and that there is broken rail throughout this industry. Mr. Navarro stated that Caltrain also relies on the Engineers to detect a rough ride for immediate inspection.

Member Rosalind Kutler asked whether the painting of the pedestrian bridge at 22nd street was on schedule. Mr. Scarpino advised that the work for that bridge should go out to bid this year for work next year.

Vice Chair Adrian Brandt then asked when the San Francisquito Creek Bridge would be repainted. Mr. Scarpino stated that the bridge is over a hundred years old and will need to be replaced and is about three to five years out.

Public Comments:

Roland Lebrun, San Jose, via Zoom Q&A, stated that bridges last over one hundred years if they are maintained. He then commented on South San Francisco and said that there are passing tracks there and that instead of taking them away, they were supposed to be upgraded to High Speed switches. He said that there is an island platform being built in the middle of what is essentially a high-speed line and questioned how trains will ever travel at one hundred ten miles per hour through there.

Jeff Carter, Millbrae, via Zoom Q&A, thanked Mr. Scarpino for the report and stated that it shows that there is a lot that goes into running and maintaining the railroad. He then stated that it would be interesting to see more analysis of what could have caused the cracked rail.

Doug DeLong, Mt.View, via Zoom Q&A, stated that he has been wondering what has been motivating the Samtrans criticism and he noticed that there was a presentation that had a chart that showed the headcount that was allocated to working on Caltrain both Operations and Capital within the Samtrans organizations and that it is clear that the vast majority of those employees are not represented and apparently have chosen not to belong to Unions. He stated that it looks like this same Union thinks they should be representing the Samtrans workers, but the Samtrans workers do not agree.

FY2021 JPB PRELIMINARY OPERATING AND CAPITAL BUDGETS

Derek Hansel, Chief Financial Officer, presented the FY2021 JPB Preliminary Operating and Capital Budgets

The full Power Point presentation can be found on caltrain.com

Committee Comments:

Member Rosalind Kutler thanked Derek for the presentation and stated that the calculation of the cost to the community, the riders, could be calculated. Another column could be added with those costs and it would be extremely high as people would lose their jobs or would have to retire early.

Member David Tuzman mentioned that he did not see the shutdown expense in the packet. Mr. Hansel stated that the presentation is a work in process and still being worked on. Mr. Tuzman then asked for a breakdown of expenses of the security

services line item. Mr. Hansel stated that there was a preliminary budget submitted to the Board in August and is available for review.

Vice Chair Adrian Brandt asked whether the plan is to bond against the Measure RR if it passes or what is the outlook for trying to bridge the gap. Mr. Hansel stated that it is not the idea to plan around the Measure passing, although he hopes it does as there have been talks about needing dedicated funding for a long time. Vice Chair Brandt requested staff to investigate boosting labor productivity by getting out from under the rule that says three conductors are needed for seven car trains. Lastly, he requested that the schedules be fixed and be more attractive to riders because Caltrain is now competing with BART.

Member Patrick Flautt asked for further detail on exploring the revenue from naming sponsorship rights. Mr. Hansel responded that Caltrain has contracted a firm to assist with looking at naming rights on facilities in any of Caltrain assets. Mr. Flautt then asked whether Caltrain would consider wrapping their fleet as VTA does. Mr. Hansel stated that Caltrain already does that and will continue to do so.

Member Anna Dagum referred to the pie chart showing preliminary revenues asked whether there is a breakdown of Go Passes versus individual riders. Mr. Hansel responded that approximately \$27M of the pie is Go Pass and the remaining are non-Go Pass. She then asked whether staff anticipates how many companies will not reenroll in the Go Pass. Mr. Hansel responded that the current Go Pass has been extended through March 2021 and has deferred the reenrollment process and that on April 1; Caltrain will be selling a nine month Go Pass. He also informed the committee that Caltrain's top ten Go Pass customers make up seventy percent of Go Pass sales.

Chair Brian Shaw thanked Derek for taking the time to present the challenges Caltrain is facing and the hard work being done. Chair Shaw asked whether the \$15.3 million the FTA granted Caltrain is that money that was already in the Cares Act Traunch or was that additional money. Mr. Hansel responded that it is the second traunch of the Cares Act Funding.

Public Comments:

Roland Lebrun, San Jose, via Zoom Q&A, Roland asked what has Samtrans done to restore the public trust and why is ridership down 95% when BART ridership is down 89%. The majority of Caltrain's ridership is from bullet trains and Caltrain is no longer providing a competitive service. *Audio inaudible* Lastly, Roland recommended, with all due respect, a new CFO who is familiar with the financing of rail operations.

Jeff Carter, Millbrae, via Zoom Q&A, requested an itemized breakdown of the various fare products. He also stated that since the increase in multiplier in the Monthly sales have gone down significantly and requested staff to go back to reducing the multiplier.

Aleta Dupree, via Zoom Q&A, stated that this railroad needs to stay open and that there are a lot of perishable skills in railroading and crews need to stay up to date and keep this system in an operating condition. Caltrain is a lifeline. She stated that it takes

40 minutes to get from San Francisco to San Carlos and does not know how long that trip would take on the bus. She looks forward to seeing how the Cares Act distributions are going to play out. She also stated that extending the Go Pass is the right thing to do to keep customers. She suggested comparing percentages of cash revenue versus retail network as cash based is very expensive way to operate.

STAFF REPORT UPDATE

Joe Navarro, Deputy Chief, Rail Operations, reported:
(The full report can be found on caltrain.com)

On-time Performance (OTP) –

- **July:** The July 2020 OTP was 96.4% compared to 93.8% for July 2019.
 - **Mechanical Delays –** In July 2020 there were 589 minutes of delay due to mechanical issues compared to 481 minutes in July 2019.
 - **Trespasser Strikes –** There was one trespasser strike on July 17, resulting in a fatality.
- **June:** The June 2020 OTP was 96.3% compared to 95% for June 2019.
 - **Trespasser Strikes –** There were three trespasser strikes on June 8, 11 and 12, all resulting in fatalities.

(The full report can be found on caltrain.com)

Committee Comments:

Vice Chair Adrian Brandt asked whether there is a budget for the structural plexiglass. Mr. Navarro responded that he believes that there is grant money for that and that he would follow-up with further information. Vice Chair Brandt then mentioned that the oversight committee reports have not been posted to the electrification document library for this year and asked that be escalated up the chain. Mr. Navarro said that he would kick it up the chain and would also provide any other information regarding Grade Crossing Solutions.

Public comments:

Roland Lebrun, San Jose, via Zoom Q&A, *inaudible* Roland stated that Samtrans is in violation of the Public Records Act.

JPB CAC Work Plan

September 16, 2020

- Rail Safety Education / Suicide Prevention Efforts
- COVID-19 Safety Measures
- Blue Ribbon Committee recommendations

October 21, 2020

- Brown Act Training
- PCEP Update

November 18, 2020

- Grade Crossing Improvements
- Industry Safe Functionality

December 16, 2020

-

Items to be scheduled

- Go Pass cost per ride factors – requested by Chair, Brian Shaw on 6/19/19
- San Mateo County Climate Action Plan – requested by Member Rosalind Kutler on 10/16/19
- MTC Means-Based Discount Fare program update
- Caltrain connections with other agencies – requested by Member Rosalind Kutler on 12/18/19
- Update on grade crossing pilot six months after installation – requested by Member, Patrick Flautt on 12/18/19
- Summary video of the CAC meetings by the Social Media Officer – requested by Chair, Brian Shaw on 12/18/19
- Operating Costs – requested by Member Adrian Brandt on 2/13/20
- Sales Tax Measure – requested by Member Adrian Brandt on 7/8/20

DATE, TIME AND LOCATION OF NEXT REGULAR MEETING:

September 16, 2020 at 5:40 p.m., San Mateo County Transit District Administrative Building, 2nd Floor Bacciocco Auditorium, 1250 San Carlos Avenue, San Carlos, CA.

Adjourned at 8:08 pm

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Michelle Bouchard
Chief Operating Officer, Caltrain

SUBJECT: **CALTRAIN FRAMEWORK FOR EQUITY, CONNECTIVITY, RECOVERY & GROWTH**

ACTION

Staff Coordinating Council recommends the Board of Directors (Board) adopt the Caltrain Framework for Equity, Connectivity, Recovery and Growth language as prepared and revised by staff in the accompanying attachment.

SIGNIFICANCE

At the June 2020 Board Meeting, Peninsula Corridor Joint Powers Board (JPB) staff announced that activity on the Caltrain Business Plan would pause and pivot toward COVID Recovery efforts. The accompanying presentation and draft "Equity, Connectivity, Recovery and Growth Framework" are part of a series of recovery planning updates and requests for action that will be brought to the Board over the coming months. This item was brought to the full JPB in both July and August but was not discussed due to time constraints. The item was discussed extensively at the Work Program Legislative Planning Committee (WPLP) in July.

The Draft Framework is a policy statement that has been developed within the context of the COVID-19 Pandemic, leveraging work conducted through the Caltrain Business Plan. The Framework is similar to the Long Range Service Vision (adopted by the JPB in 2019) in that it is intended to constitute a significant interim policy decision by the Board within the larger Caltrain Business Plan process. The framework has been developed to provide high level policy guidance related to equity, connectivity, recovery and growth.

Throughout the month of July and August, staff has engaged in extensive outreach on the Draft Framework for Equity, Connectivity, Recovery and Growth, extending the original comment period by nearly a month. Throughout development of the framework, staff has made significant efforts to solicit input through a variety of channels including;

- The Business Plan Project Partner Committee
- The Business Plan Stakeholder Advisory Group
- Citizen Advisory Committee

- Bicycle Advisory Committee
- Caltrain Accessibility and Access Committee
- Visual message board signage at stations
- The City / County Staff Group
- The Local Policy Maker Group
- Partner agency and elected (federal, state, local) official promotion
- Broad, direct outreach to 500+ Community Based Organizations (CBOs) in all three counties
- Individualized follow up with CBOs and individuals previously interviewed during the equity assessment
- Business Community, Associations, and GoPass Companies
- Paid advertisement in locals papers, including Spanish and Chinese media
- Traditional and social media
- Multiple virtual events on a variety of platforms including Zoom, YouTube Live and Instagram Live

BUDGET IMPACT

There is no budget impact associated with the adoption of this framework. Individual actions called for within the framework may require additional board approval and budget authority as they are brought forward to implementation.

BACKGROUND

In 2017, the JPB secured full funding for the Peninsula Corridor Electrification Project and issued notices to proceed to its contractors for corridor electrification and purchase of Electric Multiple Unit railcars.

Now that construction on this long-awaited project is underway, the agency has the opportunity to articulate a long-term business strategy for the future of the system. The initial concept for a Caltrain "Business Plan" was brought to the Board in April of 2017. The Board reviewed a draft scope of work for the Business Plan in December of 2017 and adopted a final Business Strategy and Scope of Work in February of 2018. Technical work on the Plan commenced in the summer of 2018. The Business Plan has been scoped to include long-range demand modeling, and service and infrastructure planning, as well as organizational analysis and an assessment of Caltrain's interface with the communities it traverses. In October of 2019, the JPB marked a major milestone in the Business Plan process with its adoption of a "2040 Service Vision" for the Caltrain system. This action set long-range policy guidance for the future of the Caltrain service and allowed staff to advance toward the completion of the overall plan by summer of 2020.

Starting in March of 2020, however, the emergence of the COVID-19 Pandemic resulted in a rapid and severe crisis for the railroad, with ridership plummeting by as much as 98% and the implementation of significant service cuts. Based on this unprecedented circumstance, staff informed the Board of their decision to temporarily pivot Business Plan efforts toward recovery planning in June of 2020.

RESOLUTION NO. 2020 –

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

*** * ***

**ADOPTING THE CALTRAIN FRAMEWORK FOR EQUITY, CONNECTIVITY, RECOVERY &
GROWTH**

WHEREAS, the Peninsula Corridor Joint Powers Board (JPB) administers the Caltrain system and is responsible for designating policy related to operation and growth of the railroad; and

WHEREAS, on October 3, 2019, as part of the Caltrain Business Plan, the JPB adopted a Long Range Service Vision and business strategy for the system by the year 2040; and

WHEREAS, Caltrain's Long Range Service Vision calls for a tripling of ridership and the transformation of the railroad from a traditional commuter rail service to an electrified, high-frequency regional rail system; and

WHEREAS, in March of 2020, the global COVID-19 pandemic severely disrupted both the regional economy of the Bay Area and the operation of the Caltrain system, causing a precipitous drop in ridership; and

WHEREAS, staff has recommended pivoting the ongoing work of the Caltrain Business Plan to focus on strategies related to equity, connectivity, recovery and growth; and

WHEREAS, the recommendations included in the Caltrain Framework for Equity, Connectivity, Recovery & Growth build and expand upon the existing work of the agency, the analysis conducted through the Business Plan, and the comments and

contributions received through dozens of meetings, interviews, emails and other forms of engagements; and

WHEREAS, the Board has place Measure RR on the November 2020 Ballot in San Francisco, San Mateo and Santa Clara Counties, which has as its special purpose to authorize the JPB to impose a one-eighth of one percent (0.125%) retail transactions and use tax for a period of thirty years to fund operating and capital expenses of the Caltrain rail service, and to support the operating and capital needs required to implement the Service Vision adopted by the Peninsula Corridor Joint Powers Board on October 3, 2019 as part of the Caltrain Business Plan; and

WHEREAS, the Caltrain Framework for Equity, Connectivity, Recovery & Growth contemplates policies, projects and operating elements that would be enabled and supported through the use of funds derived from Measure RR should it pass; and

WHEREAS, Staff Coordinating Council recommends, and the Executive Director concurs, that the Board adopt the attached Caltrain Framework for Equity, Connectivity, Recovery & Growth.

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby adopts the Caltrain Framework for Equity, Connectivity, and Recovery & Growth, attached hereto as Exhibit A.

Regularly passed and adopted this 3rd day of September, 2020 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary

CALTRAIN FRAMEWORK FOR EQUITY, CONNECTIVITY, RECOVERY & GROWTH

The "Caltrain Framework for Equity, Connectivity, Recovery & Growth" has been developed to provide guidance to staff and transparency to the public as the railroad navigates a prolonged period of intensive challenges and transformation. In fall 2019, the Peninsula Corridor Joint Powers Board (JPB) adopted the Caltrain 2040 Long Range Service Vision, setting a blueprint for the future development of the Caltrain corridor and service over the next two decades and guiding the transformation of the railroad from a traditional commuter rail system toward an electrified, high frequency regional rail service. The Framework for Equity, Connectivity, Recovery and Growth is a companion document based on detailed analysis undertaken by Caltrain and its partner agencies as part of the "Caltrain Business Plan" process during 2018, 2019 and 2020. It outlines principles and policy for how Caltrain will navigate near- and mid-term challenges while incrementally advancing toward its Long Range Service Vision.

Caltrain defines equity in terms of equal access to the opportunity provided by the system as well as the fair distribution of the railroad's impacts. The Peninsula Corridor has hosted rail service for over 150 years, and both historically and currently, railroads often lead to or exacerbate harmful disparities in access and impacts for poor and/or minority communities. Age, gender, disability, and English proficiency can also expand or constrain access opportunities. The Caltrain Framework for Equity, Connectivity, Recovery & Growth outlines key steps toward reversing such disparities by focusing railroad resources and attention toward those most harmed by a lingering legacy of racism and discrimination in our community and along the rail corridor. The incorporation of equity policies into a larger framework that also focuses on connectivity, recovery and growth signals that these that these measures are neither superficial nor isolated. Rather, the steps Caltrain undertakes to make the system more equitable are an essential component of the overall evolution of the railroad toward the Long Range Service Vision.

It is important to note that the Caltrain Framework for Equity, Connectivity, Recovery & Growth builds on a number of existing Caltrain efforts. Foundationally, these include the railroad's full and broad compliance with federal requirements under both Title VI of the Civil Rights Act of 1964 and the Americans with Disabilities Act. In addition to these core requirements, Caltrain has already undertaken a number of specific equity- and connectivity-focused actions and steps that are referenced in the Framework. Examples include the recent adoption of a Transit Oriented Development Policy with a heavy emphasis on affordable housing, participation in the regional means-based fare pilot program (Clipper START), and enhanced coordination and schedule alignment with other transit operators as part of ongoing COVID-19 recovery efforts. The Framework sets the intention of the railroad to prioritize issues of equity and connectivity, and proposes to significantly expand upon these ongoing efforts.

The Framework is also a starting point, not an end. Over the coming months and years, there is more work that the JPB will need to do as we navigate a new and rapidly changing business environment and as we strive to better understand our role and responsibility in making the Bay Area a more inclusive and equitable region for all.

Guiding Principles

- 1) Caltrain's Framework for Equity, Connectivity, Recovery & Growth directs the railroad to undertake both near-term recovery planning as well as the longer-term planning and implementation of its services and projects in accordance with the following guiding principles:
 - A.) Caltrain shall make a priority of enhancing **equity** in its system, focusing on the diverse constituency of riders who depend on transit for essential travel and addressing the historical inequities that have caused the rail service to be disproportionately underutilized by lower income riders and people of color.
 - B.) Caltrain recognizes its unique position as a critical link within the Bay Area's passenger rail network. The railroad will undertake policies and actions that improve its **connectivity** to other transit systems to strengthen its role as part on a regionally integrated network.
 - C.) Caltrain must address the needs of the present (during the COVID-19 pandemic), while simultaneously planning for and working toward a long-term future. The railroad will endeavor to proceed on a path of **recovery and growth** that anticipates, advances and, where possible, accelerates the incremental delivery of the 2040 Long Range Service Vision.

Equity

- 2) In accordance with principle 1A, the Framework guides Caltrain toward advancing the following policies and actions as soon as practicable and financially feasible with the goal of increasing equity on the system today and in the future.
 - A.) Undertake service changes and system improvements in a manner that enhances equity and access for historically disadvantaged and underserved groups and communities. This includes:
 - 1) Improving midday and off-peak service levels to serve and attract customers who need the system for non-work trips or whose work schedules do not conform to traditional peak commute hours.
 - 2) Considering social, racial and geographic equity as a significant factor in determining the restoration and expansion of service frequencies at individual stations.
 - 3) Engaging in research, community dialog and planning to understand how best to provide meaningful access and connections between the Caltrain system and historically underserved low-income and minority communities along the corridor.

- 4) Prioritizing the planning and implementation of station projects and system enhancements that will expand and facilitate access for riders with disabilities.
- 5) Undertaking planning to improve Caltrain station access facilities most heavily used by low-income riders, including bus stops, bicycle parking, pick-up/drop-off areas, and walkways.

B.) Take steps to ensure that the Caltrain system is affordable to all, and that fare policies are equitable. This includes:

- 1) Seeking Board action to temporarily suspend the implementation of fare increases previously authorized by the JPB as ridership recovers from the COVID-19 pandemic.
- 2) Affirming Caltrain's ongoing support for the regional means-based fare program (Clipper START) and working collaboratively with the Metropolitan Transportation Commission and other transit operators to increase the effectiveness and reach of this program or any successor effort.
- 3) Accelerating and expanding further fare policy analysis called for in the 2018 Fare Study. This includes both study and evaluation of the Go Pass and other discount programs and well as potential changes to the overall structure of the fare system to improve equity and ridership outcomes.
- 4) Constructive participation in the Regional Fare Coordination and Integration Study, towards the goals of increasing ridership and enhancing the ease and affordability of trips made using multiple transit providers.

C.) Manage the corridor, including railroad facilities, lands and projects, in a manner that addresses equity and the historical impacts that the rail line and its operation have had on lower-income and minority communities. This includes:

- 1) Incorporating and adhering to environmental justice and equity principles in the early stages of capital project planning and the overall development of the railroad's capital program
- 2) Prioritizing projects and programs that mitigate, reduce or eliminate localized environmental impacts of rail operations, including pollutant emissions and noise
- 3) Implementing the significant commitment to affordable housing included in Caltrain's 2020 Transit Oriented Development Policy

- 4) Working with corridor communities to support inclusive local and regional land use policies and anti-displacement efforts at and around Caltrain stations
 - 5) Supporting grade separations and other projects that enhance connectivity across the rail corridor and address the historic role the railroad has played in physically bifurcating and segregating communities
- D.) Ensure that Caltrain communicates and interacts with customers in a manner that is equitable and welcoming to all. This includes:
- 1) Evaluating and updating training for frontline workers to address implicit bias
 - 2) Regularly assessing fare enforcement policies and activities to ensure that they are designed and executed in a consistent and equitable manner
 - 3) Continuously improving Caltrain’s outreach processes, marketing materials and customer information systems to ensure that they exceed minimum standards and are intelligible, intuitive and welcoming to customers representing a broad spectrum of cultural and linguistic backgrounds; and
- E.) Sustain and deepen Caltrain’s commitment to equity through an ongoing program of organizational development, learning and accountability. This includes:
- 1) Identification of training resources and participation in programs such as the Government Alliance on Racial Equity (GARE) to expand organizational understanding and effectiveness on equity issues
 - 2) Designation of an internal Core Team responsible for the tracking and advancement of equity initiatives across the organization
 - 3) Designation of the Citizen’s Advisory Committee (CAC) as a primary venue where updates regarding Caltrain’s equity initiatives will be provided on an at-least biannual basis
 - 4) Development of a regularly-updated equity work program, along with specific performance measures and standards, to be reviewed with the both the CAC and the Board
- 3) In accordance with principle 1B, the Framework further directs Caltrain to advance the following policies and actions to maximize connectivity to other transit providers as part of an integrated regional rail and transit system.
- A.) Plan for a standardized “clock face” schedule with consistent arrivals and departures at stations so that shuttle, bus, and light rail transit providers and

intercity rail operators have the ability to predict and plan to Caltrain's service.

- B.) Prioritize the coordination of major intermodal transfers within service planning, focusing initially on the connection to BART at Millbrae and considering other key transfer points as practicable.
 - C.) Build on and expand existing coordination with other transit and rail operators to ensure that inter-operator connectivity is safeguarded and improved as COVID-19 recovery efforts proceed and as Caltrain prepares for the launch of electrified service.
 - D.) Consider the ease of transfers as a key factor in the further development of the railroad's fare policy and continue to seek integration with, and participate in, State and regional fare programs, including continuing constructive participation in the Regional Fare Coordination and Integration Study.
- 4) Finally, in accordance with principle 1C, the Framework guides Caltrain towards planning for COVID-19 recovery and growth in a manner that looks toward the future and incrementally advances and implements the 2040 Long Range Service Vision over the course of the coming decade.
- A.) Strive to deliver specific elements and benefits of the Long Range Service Vision as soon as is practicable and supported by the market demand and financial circumstances of the railroad.
 - B.) Plan and build toward an "enhanced growth" level of service, beyond initial electrification, that includes the provision of an 8 train per hour per direction peak hour service level between San Francisco and San Jose, and enhanced service south of San Jose to the extent achievable based on current corridor ownership constraints.
 - C.) Refine and advance the planning and development of a program of capital improvements to support the "enhanced growth" level of service, including but not limited to:
 - 1) The full electrification of the mainline service between San Francisco and San Jose, and the corresponding expansion of Caltrain's electrified fleet and storage facilities;
 - 2) Any necessary improvements to Caltrain's tracks and systems;
 - 3) The provision of level boarding at all Caltrain stations; and

- 4) The enhancement of Caltrain's stations and access facilities to accommodate expanded ridership and provide an improved customer experience.

D.) Simultaneously continue Caltrain's leadership in the planning and advancement of key, long-range regional and State partner projects identified in the 2040 Long Range Service Vision, including:

- 1) The Downtown Extension to the Salesforce Transit Center
- 2) The reconstruction of Diridon Station and surrounding rail infrastructure
- 3) The reconstruction and electrification of the rail corridor south of Control Point Lick to the Gilroy Station
- 4) Additional improvements to provide for the operation of High Speed Rail service between Gilroy and San Francisco
- 5) The substantial grade separation of the corridor as well as safety upgrades to any remaining at-grade crossings, undertaken in a coordinated, strategic manner driven by the desires of individual local jurisdictions as well as legal requirements associated with any proposed 4-track segments.

COVID-19 Recovery Planning

Equity, Connectivity, Recovery & Growth Framework

September 3, 2020



Ongoing Recovery Planning Efforts

Caltrain has pivoted its Business Plan effort to focus on COVID-19 Recovery planning. This work is spread across multiple streams as shown on the right.

Caltrain staff will engage regularly with the Board, stakeholders and the public as recovery planning proceeds over the next several months.



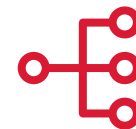
Equity, Connectivity, Recovery, & Growth Framework



Near Term Service Planning



Financial Analysis



Scenario Planning

Ongoing Recovery Planning Efforts

Caltrain has pivoted its Business Plan effort to focus on COVID-19 Recovery planning. This work is spread across multiple streams as shown on the right.

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Equity, Connectivity, Recovery, & Growth Framework



Near Term Service Planning



Financial Analysis



Scenario Planning

Meeting the Moment

The 2020 confluence of the COVID-19 Pandemic and urgent, widespread calls for racial justice have provided an impetus for reflection and action on the part of the railroad

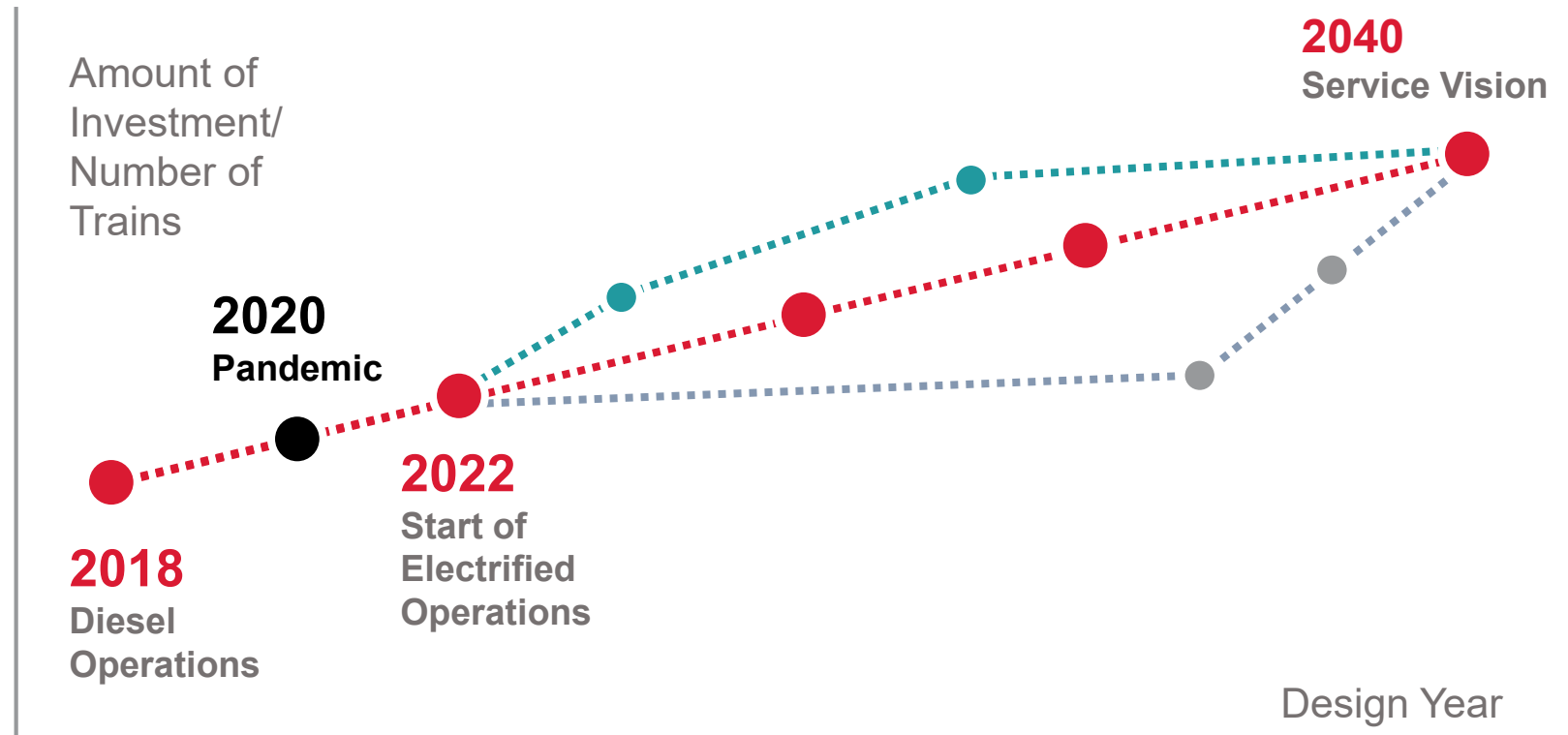


Building on the Business Plan

Caltrain had assumed a future where the railroad and its operations would remain relatively stable until the rollout of initial electrified service – this is no longer the case

Caltrain's Long Range Service Vision is an aspirational endpoint- not a single project. There are many paths Caltrain can take to implement and grow toward its Long Range Vision

The Pandemic has accelerated the pace of change for Caltrain and complicated our future. The way in which we recover will set the foundation for our long term growth



Framework for Equity, Connectivity, Recovery, and Growth

Purpose

- Policy document that builds on work completed in the Business Plan
- Provides guidance to help the railroad navigate implement needed changes and guide near- and mid-range planning
- Addresses pressing equity and connectivity concerns

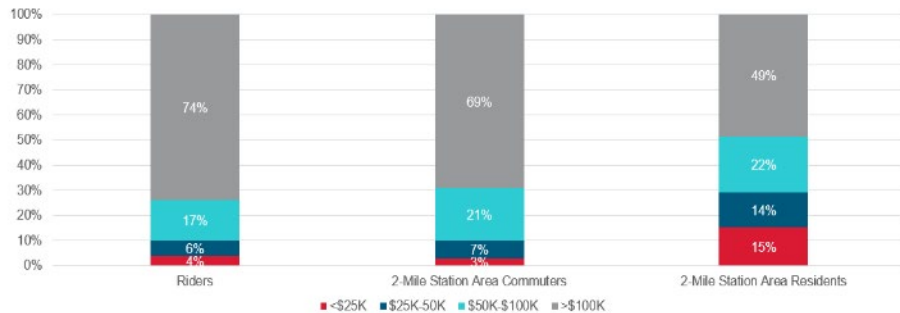
Equity in the Caltrain Context

- Caltrain defines equity in terms of equal access to both benefits of the system as well as the fair distribution of impacts.
- Rail corridor has been active for over 150 years, and both historically and currently, race and class have played an outsized role in defining where harmful disparities in access and impacts are most concentrated - in poor, minority communities.
- Age, gender, disability, and English proficiency can also expand or constrain access opportunities.
- Framework builds on existing policies and efforts and outlines key steps toward reversing these disparities by focusing railroad resources and attention toward those most harmed by a lingering legacy of racism and discrimination
- Equity is consciously paired with policies related to connectivity, recovery and growth because equity principles need to be foundational and integrated into how the railroad evolves and achieves its Vision

Building on the Business Plan

Work undertaken as part of the Business Plan related to near-term service planning, connectivity and equity is useful and applicable in helping Caltrain develop an effective response to these crises and has formed the basis for the Draft Equity, Connectivity, Recovery & Growth Framework

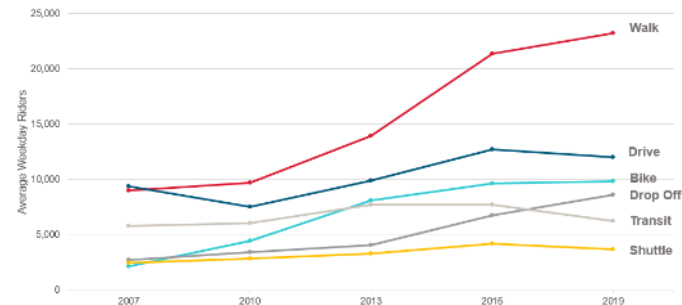
Riders and Residents by Income



Caltrain ridership closely mirrors the income demographics of all corridor commuters

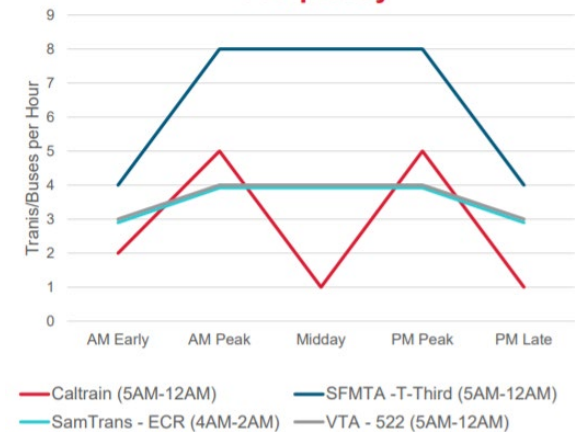
However, Caltrain riders are proportionally higher income and less diverse than the overall population of residents living in the corridor

Mode of Access to Caltrain



A higher share (25%) of Very Low-Income riders take transit to access the Caltrain system – more than any other income group

Frequency



Caltrain's "peaked" service means the railroad is underserving off-peak travel and trips. This has the greatest impact on low-income populations.

Learning from the Community

As part of the Business Plan Equity Assessment, Caltrain interviewed community representatives from all three counties. The ideas discussed in these meetings formed the basis for the Equity, Connectivity, Recovery & Growth Framework



11

Community Stakeholder Survey Responses



6

In-Person Community Stakeholder Interviews - 2 in each Caltrain county



6

Community Stakeholder Phone Interviews



Discussion at Florence Fang Asian Community Garden (SF)
Page 8 of 27

Community Stakeholder Interviews conducted in late 2019 / early 2020:

- TransForm (all counties)
- Youth Leadership Institute (all counties)
- Florence Fang Asian Community Garden (SF)
- Potrero Boosters Neighborhood Association (SF)
- Get Healthy San Mateo County (SMC)
- Midcoast Community Council (SMC)
- Paratransit Coordinating Council (SMC)
- Language Pacifica (SMC)
- AbilityPath (SMC)
- North Fair Oaks Council (SMC)
- ALLIES - Alliance for Language Learners' Integration, Education, and Success (SCC)
- Abode Services (SCC)

Learning from the Community

As part of the Business Plan Equity Assessment, Caltrain reviewed existing community-based transportation plans along the corridor. The recommendations shared in these plans further informed the Equity, Connectivity, Recovery & Growth Framework



Reviewed Existing Plans

1. Bayview Community Based Transportation Plan (2019)
2. Redwood City Citywide Transportation Plan (2018)
3. Moving San Mateo County Forward: Housing and Transit at a Crossroads (2018)
4. San Bruno/South San Francisco Community-Based Transportation Plan (2012)
5. San Mateo County Transportation Plan for Low-Income Populations (2012)
6. East Palo Alto Community-Based Transportation Plan (2004)
7. Community-Based Transportation Plan for East San Jose (2009)
8. Community-Based Transportation Plan for Gilroy (2006)
9. Equitable Access to Caltrain: Mapping and Scheduling Analysis (2019)

Part I: Guiding Principles

Caltrain's Framework for Equity, Connectivity, Recovery & Growth directs the railroad to undertake both near-term recovery planning as well as the longer term planning and implementation of its services and projects in accordance with guiding principles that prioritize equity, connectivity and future-oriented planning



Part II: Equity

In accordance with principle 1A, the Framework guides Caltrain toward advancing equity-oriented policies and actions as soon as practicable and financially feasible with the goal of increasing social and racial equity on the system today and in the future. This section of the policy focuses on:

- Equity in Service
- Equity in Fares
- Equity in Community
- Equity in Customer Interactions
- Equity in Organization and Accountability



Part III: Connectivity

In accordance with principle 1B, the Framework further directs Caltrain to advance the following policies and actions to maximize connectivity to other transit providers as part of an integrated regional rail and transit system. Policies relate to:

- Operating a clock face schedule
- Prioritizing transfer point in service planning
- Working toward regionally coordinated fares and transfers



Part IV: Growth & Recovery

In accordance with principle 1C, the Framework directs Caltrain towards planning for recovery and growth in a manner that looks toward the future and incrementally advances and implements the 2040 Long Range Service Vision over the course of the coming decade. This includes

- Advancing key elements of the Long Range Service Vision
- Working toward and 8 tph level of service
- Continuing to advance key regional and state projects



Outreach and Feedback

Engagement Methods

Outreach Tools

- Policy Framework translated into Spanish, Chinese, and Vietnamese
- Equity pages on Caltrain.com and Caltrain2040.org
- Press Releases and Paid Ads
- VMS Signage at Caltrain Stations
- Social Media posts (Facebook, Twitter, Nextdoor)
- Individual follow-up with prior interviewees
- E-Blasts and E-News promotion
- YouTube Town Hall
- Instagram Live

Feedback Options

- Initial Equity Assessment Interviews
- Email equity@caltrain.com
- Phone message (650) 508-6499
- Public Google Spreadsheet <https://bit.ly/CaltrainEquity>
- Participate in events/meetings with verbal or written comments
- Social media comments

Policy Framework Outreach Timeline

Stakeholder Meetings



Jan./Feb. 2020 Business Plan Equity Assessment Interviews	July 7 Project Partner Committee	July 13 Stakeholder Advisory Group	July 15 City/County Staff Coordinating Group	July 22 Work Program – Legislative – Planning Group	August 19 City/County Staff Coordinating Group	August 26 Work Program – Legislative – Planning Group
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Public Meetings



July 9 JPB Board	July 15 Citizen Advisory Committee	July 21 Virtual + YouTube	July 23 Local Policy Makers Group	August 6 JPB Board	August 13 Menlo Park Chamber	August 18 Instagram Live	August 27 Local Policy Makers Group
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Media & Press



July 13 Press Release #1	July 13 Equity Webpages live	July 13 VMS signage at Caltrain station	July 13 San Mateo Daily Journal ads	August 10 Press Release #2	August 10 Social Media push	August 12 Sing Tao Daily ads	August 14 El Observador ads
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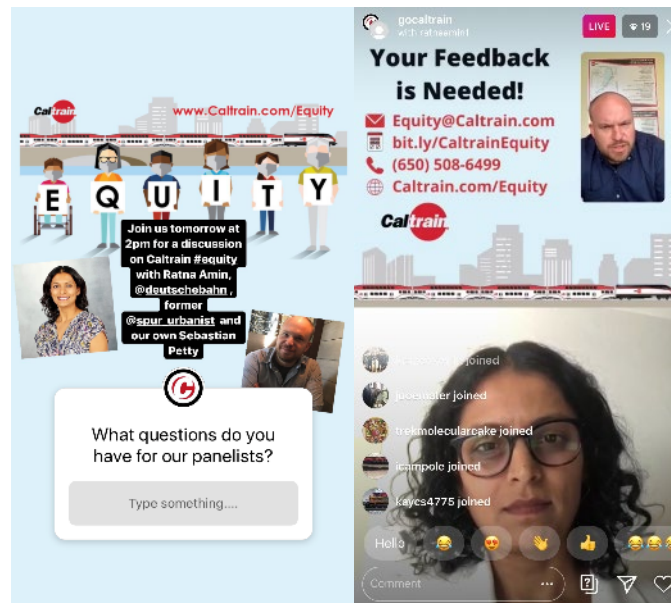
Expanding Outreach Platforms

Virtual Public Meeting



- 45-50 Live attendees
- 390+ Total views
- 3,500 Impressions

Instagram Live



- 25 Live attendees
- 260+ Total views

Public Google Spreadsheet

[Click here to add your feedback!](#)

Comment

Think about having integrated connector bus lines that are part of Caltrain system the transfers add up.

In order to help address systemic inequality, one policy point must be to accelerate (disproportionately affects low-income communities of color), reduce GHG's air in the budget to lower fares for select groups. On this third point, specifically, the costs and allowing for fares to be lowered. The lowering of fares should be targeted. To encourage more use of Caltrain, service during off-peak periods must be supported. People are discouraged from using it with such an irregular schedule which results in. An equity plan must include implementation of high platforms and a level board for small children, those with heavy items and wheelchairs. It will also address Caltrain conductor time to support the dramatically increased frequency, lower dwell times. Improving connectivity to east-west public transportation options on the Peninsula the rail lines.

I think Caltrain needs to offer more discounts to students and low-income riders. a train for everyone and not a train for tech workers to commute to and from San

- 30 Responses

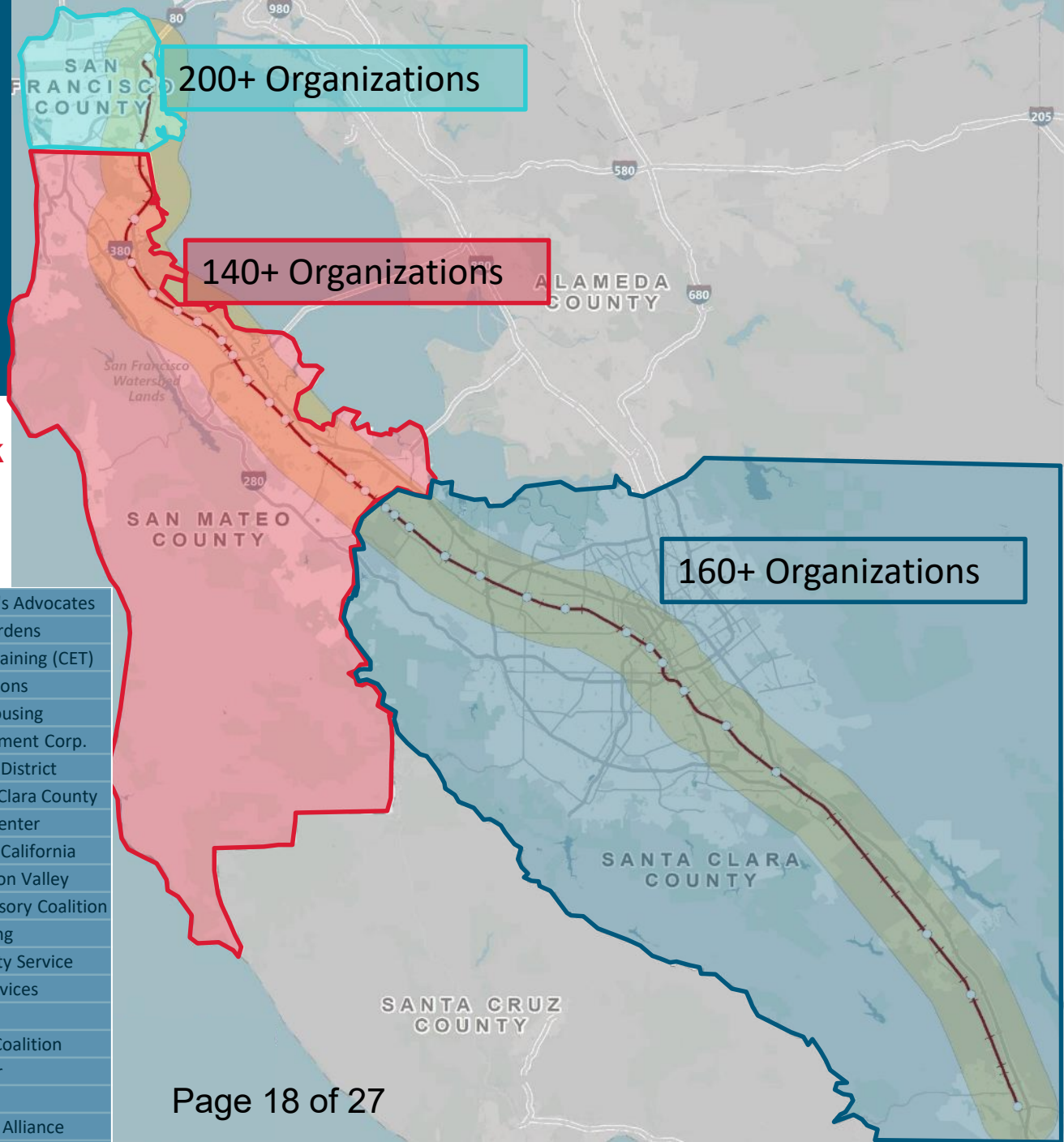


Community Based Organization Outreach

500+ CBOs/Nonprofits contacted multiple times for feedback

List derived from internal CBO outreach list and MTC

CBO outreach list; framework provided in multiple languages



Bayanihan Equity Center	Ayundando Latinos A Sonar (ALAS)	Asian Immigrants Women's Advocates
Bayview Hunters Point Foundation	Belle Haven Action	Avenida Espana Gardens
BMAGIC	Chicana Latina Foundation	Center for Employment Training (CET)
Chinatown Community Development Center	Coastside Clinic	Community Solutions
Dogpatch Neighborhood Association	College Track East Palo Alto	First Community Housing
Dolores Street Community Services	Daly City Youth Health Center	Gilroy Economic Development Corp.
Florence Fang Community Garden	East Palo Alto Senior Center	Gilroy Unified School District
GLIDE Foundation	EPA CAN DO	Housing Authority - Santa Clara County
Greenbelt Alliance	Fair Oaks Community Center	India Community Center
Healthright 360	Friends of Caltrain	Jain Center of Northern California
La Casa de las Madres	Gatepath	Latina Coalition of Silicon Valley
Mission Economic Development Agency	Housing Leadership Council	Mayfair Neighborhood Advisory Coalition
North of Market/Tenderloin Community Benefit District	Imagine Menlo	Palo Alto Housing
Potrero Boosters	Menlo SPARK	Sacred Heart Community Service
San Francisco Bicycle Coalition	Mid-Peninsula Housing	San Jose Senior Services
San Francisco Rising	NAACP San Mateo County Chapter	SIREN
SF Coalition on Homelessness	Nuestra Casa	Silicon Valley Bicycle Coalition
SPUR	One East Palo Alto, East Palo Alto	Somos Mayfair
Tenderloin Neighborhood Development Coro	Pacifica Climate Committee	TransForm
TODCO	SAMCEDA	Transportation Justice Alliance
Yerba Buena Community Benefit District	Youth Leadership Institute	Youth Leadership Institute

Non-English Language Outreach and Boosted Posts

The Policy was translated into Spanish, Chinese and Vietnamese. Ads in local Chinese and Spanish language papers were placed during August

AUG 14 - AUG 20, 2020 EL OBSERVADOR | CELEBRATING 40 YEARS | www.el-observador.com GREEN LIVING 13

REPORT: FAMILIES OF COLOR HAVE LESS ACCESS TO NATURE **INFORME: LAS FAMILIAS DE COLOR TIENEN MENOS ACCESO A LA NATURALEZA**

ENGLISH Suzanne Potter California News Service

ESPAÑOL Suzanne Potter California News Service

ENGLISH SACRAMENTO, Calif. — Low-income families of color in California, especially those with children, are twice as likely as their white counterparts to live in areas without easy access to parks and other natural areas, according to a new report.

Researchers looked at how much land has been lost to development, particularly near urban areas, and found the so-called "Nature Gap" is even worse in the most densely populated areas of the state. Suzanne Potter, director of conservation programs at the Hispanic Access Foundation, said the study explains why people of color have higher rates of heart disease, diabetes and cancer.

"They don't have opportunities to exercise outdoors, and they don't have the pollution abating benefits of those natural features and they don't have the stress control, the mental health benefits," Lomborg said.

The report suggests setting a goal to protect 30% of the state's land waters by 2030. The authors also recommend hiring more people of color in the park services, better funding school outdoor education programs, and coordinating more closely with Native American tribes.

One bright spot is the passage of the Great American Outdoors Act, signed into law last week, which permanently reauthorized the Land and Water Conservation Fund. The program that funds public parks across the country.

Another of the report's authors, Jerry Howard, said the report's authors, Jerry Howard and Shana, senior policy analyst for public lands at the Center for American Progress, said the key is to make sure the benefits are evenly distributed.

"The places of LWCF which is specifically meant for parks and recreational opportunities in low-income and urban areas will be particularly important," Howard Shea said.

The report calls for states to be prioritized. The report calls for states to be prioritized. The report calls for states to be prioritized.

ESPAÑOL Los familiares de color en las zonas urbanas de California, especialmente aquellos con niños, son el doble de probables de vivir en áreas sin acceso fácil a parques y otras áreas naturales, según un nuevo informe.

Los investigadores observaron cuánto tierra se ha perdido debido al desarrollo, particularmente cerca de áreas urbanas, y descubrieron que la brecha "Naturaleza de la naturaleza" es aún peor en las zonas más densamente pobladas del estado. Suzanne Potter, directora de programas de conservación de la Hispanic Access Foundation, dijo que este estudio explica por qué las personas de color tienen tasas más altas de enfermedades cardíacas, diabetes y cáncer.

"No tienen la oportunidad de ejercitarse al aire libre, y tampoco tienen los beneficios de reducir el estrés y controlar el estrés que tienen las características naturales," dijo Lomborg.

El informe sugiere establecer una meta para proteger el 30% de la tierra y las aguas de California por 2030. Los autores también recomiendan contratar a más personas de color en el servicio del parque, financiar mejor los programas educativos de educación al aire libre y coordinarse de manera más estrecha con las tribus nativas americanas.

Un aspecto positivo es la aprobación de la Great American Outdoors Act, promulgada la semana pasada, que reautoriza permanentemente el Land and Water Conservation Fund, el programa que financia parques públicos en todo el país.

Otra de las autoras del informe, Jerry Howard Shea, analiza cómo el programa de tierras públicas del Center for American Progress, dijo que la clave es asegurarse de que los beneficios se distribuyan de manera equitativa.

"Una parte de LWCF que está diseñada específicamente para parques y oportunidades recreativas en áreas de bajos y de altos ingresos será particularmente importante," dijo Howard Shea.

El informe pide que se prioricen los estados, particularmente aquellos con altas tasas de pobreza y altos niveles de desigualdad. El informe pide que se prioricen los estados, particularmente aquellos con altas tasas de pobreza y altos niveles de desigualdad.

CHƯƠNG TRÌNH DOANH THƯƠNG CALTRAIN
CHÍNH SÁCH BÌNH ĐẲNG, KẾT NỐI, PHỤC HỒI VÀ PHÁT TRIỂN



Ngày: 6 tháng Tám, 2020

CƠ CẤU CỦA CHÍNH SÁCH BÌNH ĐẲNG

Dự thảo sau đây "Cơ Cấu của Chương Trình Caltrain cho Bình Đẳng, Kết Nối, Phục Hồi và Phát Triển" được lập ra hướng dẫn cho nhân viên và minh bạch công chúng khi ngành hóa xa qua một thời gian dài với nhiều khó khăn và chuyển đổi sâu sắc. Cơ Cấu này dựa trên phân tích kỹ thuật chi tiết do Caltrain và các cơ quan đối tác thực hiện là một phần của tiến trình "Chương Trình Doanh Thương Caltrain" trong năm 2018, 2019 và 2020. Chương trình được lập ra dựa trên phân tích này và đưa ra những nguyên tắc ban đầu, chính sách và hành động cụ thể để ngành hóa xa phải thực hiện gấp để giúp khu vực đối phó với khủng hoảng liên quan và phục vụ cho dịch bệnh COVID-19 và tình trạng bất công và kỳ thị trong hệ thống đường sắt có tuổi. Cơ Cấu cũng là điểm khởi đầu. Trong những tháng năm tới đây, Caltrain sẽ cần làm nhiều việc hơn khi chúng tôi phải tiếp tục tìm tòi một môi trường doanh thương mới, thay đổi nhanh chóng và khi cố gắng để hiểu rõ hơn vai trò và trách nhiệm của chúng ta làm cho Vùng Vịnh trở thành một nơi gắn bó và bình đẳng hơn cho tất cả mọi người thuộc tất cả các chủng tộc và mức thu nhập.

最近，美中之間接連發生的幾件大事，標誌著兩國關係進入了一個新的時期。7月21日，美國國務院通知中國政府，限時72小時關閉中國駐休斯敦總領事館，全線撤離美國。美國國務院一位女發言人宣布這一消息的時候表示，關閉總領事館是為了保護美國的知識產權和私人信息。

【本報地方新聞專欄報導】

閱讀全文

請協力參與塑造和規劃您和您社區的“加州火車站/Caltrain”

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KEEP CALM AND ADVERTISE HERE

Caltrain está desarrollando su política para promover la equidad, proporcionar mejores conexiones para las comunidades vecinas y mejorar el acceso para todos.

Necesitamos su opinión!
Por favor envíe sus respuestas antes del 21 de agosto.

www.Caltrain.com/Equity

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Earn up to \$17.25/hr. Start as soon as 7 days.

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Caltrain Sponsored

Caltrain is developing a policy outlining what the railroad must do to advance equity within the system and neighboring communities.

Caltrain

EQUITY
Your input is needed!

Deadline is August 21!
Help shape the future of Caltrain

Learn More



Thanks to our Partners

Caltrain asked agency partners, Board members, and collaborators to help disseminate information and post to their networks on how to comment on the draft policy



Monthly News & Updates August 2020

Feedback Opportunity for Caltrain Equity Policy

Vietnamese: Caltrain đang lập ra chính sách nâng cao bình đẳng trong hệ thống và các cộng đồng lân cận. Chính sách này sẽ giải quyết nhiều bất bình đẳng trong hệ thống bằng cách thực hiện từng bước để hệ thống Caltrain có ích và dễ dùng cho tất cả mọi người. Chính sách cũng cố gắng cải tiến thêm để kết nối Caltrain với hệ thống chuyển chở trong vùng và chọn các ưu tiên dịch vụ trong và sau dịch bệnh COVID-19. Caltrain đã được phân hồi quỹ bảo và để có thêm nhiều người tham gia, đã gia hạn thời gian nhận ý kiến đến ngày 21 tháng Tám.

New post on Green Caltrain

Caltrain considers unprecedented commitments to equity and connectivity

In the next month, the Caltrain board will be considering an [unprecedented set of equity and connectivity policies](#) intended to increase ridership through increased diversity and better connections.

If the Caltrain board adopts these policies in August, they would be incorporated into the Caltrain business plan, and would therefore guide the spending of the [proposed ballot measure](#), if it moves forward and if it passes.

Caltrain has historically been run in the US tradition of commuter rail, which has [historically been whiter and wealthier than the community it traverses](#), and has been managed as a [single-purpose, standalone service](#) intended to move suburban white collar commuters from their homes in affluent suburbs to jobs in the urban downtown.

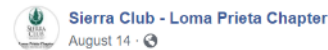


Wednesday, August 19, 2020

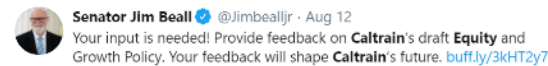
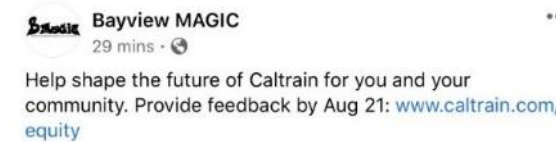
Advancing Equity at Caltrain



Caltrain is developing an equity policy to help address systemic inequality by taking steps to ensure the commuter rail system is



Caltrain is developing a policy to advance equity within the system and neighboring communities. The policy will also improve Caltrain connections to the regional transit network and provide direction on service priorities during and after the pandemic.



1 3 9



Caltrain Draft Equity Policy

Caltrain is developing a policy to advance equity within the system and neighboring communities. This policy will help address systemic inequality by taking steps to ensure the Caltrain system is accessible and useful to all. The policy also advances efforts to improve Caltrain connections to the regional transit network and provide direction on service priorities during and after the COVID-19 pandemic. Caltrain has received meaningful feedback and in order to provide further opportunities for engagement, has extended the comment deadline to August 21st.

This policy is a crucial starting point. There is more work that Caltrain will need to do as it navigates a rapidly changing transportation landscape. Caltrain is asking for your input in crafting the policy. View in



Caltrain is developing a policy to advance equity within the system and neighboring communities. This policy will take steps to ensure the Caltrain system is accessible and useful to all. Provide feedback on Caltrain's draft Equity and Growth Policy by Aug 21. Your feedback will shape the future of Caltrain! [Caltrain.com/equity](#)

Thanks to our Partners continued...

 **Acterra**
@planetacterra

Help shape the future of Caltrain for you + your community. Provide feedback on growth and #equity by Aug 21: caltain.com/equity
[#publictransit](https://caltain.com/equity)

 **SMC Sustainability** @SustainSMC · Aug 7
Help shape the future of @Caltrain for you and your community. Provide feedback by Aug 21: caltain.com/equity



Caltrain

 **Shelly Masur**
@skmasur

Your input is needed! Provide feedback on Caltrain's draft Equity and Growth Policy. Your feedback will shape Caltrain's future. Caltrain.com/equity

CITY OF **BELMONT**
CALIFORNIA

City News
City Manager's Weekly Update August 7, 2020
Post Date: 08/07/2020 4:30 PM

Caltrain Equity, Connectivity, Recovery, and Growth Policy
Caltrain is developing a policy to advance equity within the system and neighboring communities. This policy will help address systemic inequality by taking steps to ensure the Caltrain system is accessible

 **Michael Salazar**
@SalazarSanBruno

Don't forget the last day to submit comments for the #Caltrain Equity and Growth Framework is Aug 21.
caltain.com/equity

 **Ron Collins - Mayor, City of San Carlos**
August 10 at 11:04 AM

Caltrain is developing a policy to advance equity within the system and neighboring communities. The policy will also improve Caltrain connections to the regional transit network and provide direction on service priorities during and after the pandemic. Caltrain is asking for your input in to help shape its future and your community's experience with the system. Your feedback will help create the strongest policy possible!

Read the policy and learn more at, www.Caltrain.com/Equity

AUGUST 2020

OFFICE OF COUNCILMEMBER
SERGIO JIMENEZ
SAN JOSE DISTRICT 2

Give your feedback on Caltrain's equity policy



Caltrain is developing a policy to advance equity within the system and neighboring communities. This policy will help address systemic inequality by taking steps to ensure the Caltrain system is accessible and useful to all. The policy also advances efforts to improve Caltrain connections to the regional transit network and provide direction on service priorities during and after the COVID-19 pandemic. Caltrain has received meaningful feedback and in order to provide further opportunities for engagement, has extended the comment deadline to August 21st.


This policy is a crucial starting point. There is more work that

 **Charles Stone**
@CStoneBmont

Equity matters. @Caltrain is hard at work on equity initiative for our beloved 🇺🇸. We need *your* feedback here: caltain.com/equity
@SupDavePine @cafedujord @pete_ratto
@CaroleSanMateo2 @joe_goethals @alevin
@TransForm_Alert @MTCBATA @warrenslocum
@gisellemarie @kalimama99

 **SMC Sustainability** @SustainSMC

Help shape the future of @Caltrain for you and your community. Provide feedback by Aug 21: caltain.com/equity

 **Dave Pine** @SupDavePine · Aug 10
We need your feedback to help inform our equity efforts for @Caltrain | Submit feedback @ caltain.com/projects/plans/... | @sanmateoco @MarkNagales @SalazarSanBruno @GinaPapan @EmilyBeach650 @CityofSSF @sbcommunity @CityofMillbrae @BurlingameCity @SSFChamber94080 @sanbrunochamber

 **SMCo Office of Community Affairs - ...**
@SMC_CommAffairs

.@Caltrain is developing a policy to advance equity within the system and neighboring communities & to help address systemic inequality. The deadline to submit comments/feedback is 8/21. Email equity@caltrain.com, call (650) 508-6499, or visit

 **Caleb is quarantining at the Quarter...**
@IWantAnXcelsior

And yes every commuter rail sucks at equity like this except for maybe Caltrain

 **SV Bike Coalition**
@bikesv

Your input is needed! Provide feedback on Caltrain's draft Equity and Growth Policy. Your feedback will shape Caltrain's future. caltain.com/equity

Measuring Outreach



150+ Combined Comments:

- Emails
- Spreadsheet comments
- Social media comments
- Verbal or written feedback in meetings



2,500+ Website Visits:

- Most visited page in August after Schedules and Fares
- **5+** minutes on equity page



2,250 Social Media Engagements:

- **1,500** Link clicks
- **80+** reshares
- **380K** Impressions

Overall Positive Reception with Constructive Feedback

“We see the proposed policies as a major change and improvement from how the agency has historically seen and designed its service.” - Friends of Caltrain

“We need community-level engagement, that is culturally competent, and on community turf, not the usual one-and-done meetings that working people cannot attend.” – *South Beach, Rincon, Mission Bay Neighborhood Association*

“The train cars are really hard to climb into. As a young or able-bodied person, we hardly think twice of it. But an elderly person or someone who is not able-bodied...has a much harder time. Continuing to postpone this issue sends a message that Caltrain is not for them.” – *Regular rider SF <--> MV*

“Has Caltrain examined enforcement policies for equity? If enforcement is a barrier to ridership for communities (for example due to perceptions of profiling) is it worth the investment? Might community outreach to new riders be more profitable and bring federal support, especially if working with other transit agencies.” – *Employee, Redwood City*

“I read a summary of your business plan slides and strongly support your plan to encourage affordable housing near stations, and to increase ridership among low income communities.” – *Resident, San Mateo*

“Emphasize the demographic needs for connecting communities outside major cities (e.g. SF and SJ) to major cities by expanding services that provide an affordable commuter option.” – *City of Morgan Hill*

“There should be a very low flat fee from station to station even if it’s across zones. This might make obvious the advantages of riding Caltrain (speed and comfort) while downplaying the disadvantages (expensive and exclusive). The idea is to encourage people that would usually take three buses to travel between San Jose and Santa Clara or Sunnyvale to seriously consider Caltrain as an option.” – *Community Leader, San Jose*

Key Themes

The following are some of the recurring themes that Caltrain staff has heard through outreach and comments received.

The majority of comments and input received relate to the “Equity” section of the framework and the themes shown to the right specifically touch on areas where significant changes or additions to the policy have been made

Positive Feedback

Overall response to framework has generally been very positive – with bulk of comments relating to ways in which policy could be expanded or implemented

Detailed Comments

Many comments fall within the draft framework, emphasizing specific recommendations or issues – particularly related to fares

Acknowledge Efforts Underway

Describe existing efforts associated with Title VI, ADA compliance and other current programs. Describe equity improvements that will result from PCEP

Passengers with Disabilities

Be explicit as to how the framework will provide improvements for individuals with disabilities

Key Themes

The following are some of the recurring themes that Caltrain staff has heard through outreach and comments received.

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Land Use and Displacement

Include language related to affordable housing, local land use policies and concerns about the potential for rail investment to spur displacement

Corridor Impacts

Add language addressing the past, current and future physical and environmental impacts of the corridor and capital projects on adjacent communities

Organizational Implications and Actions

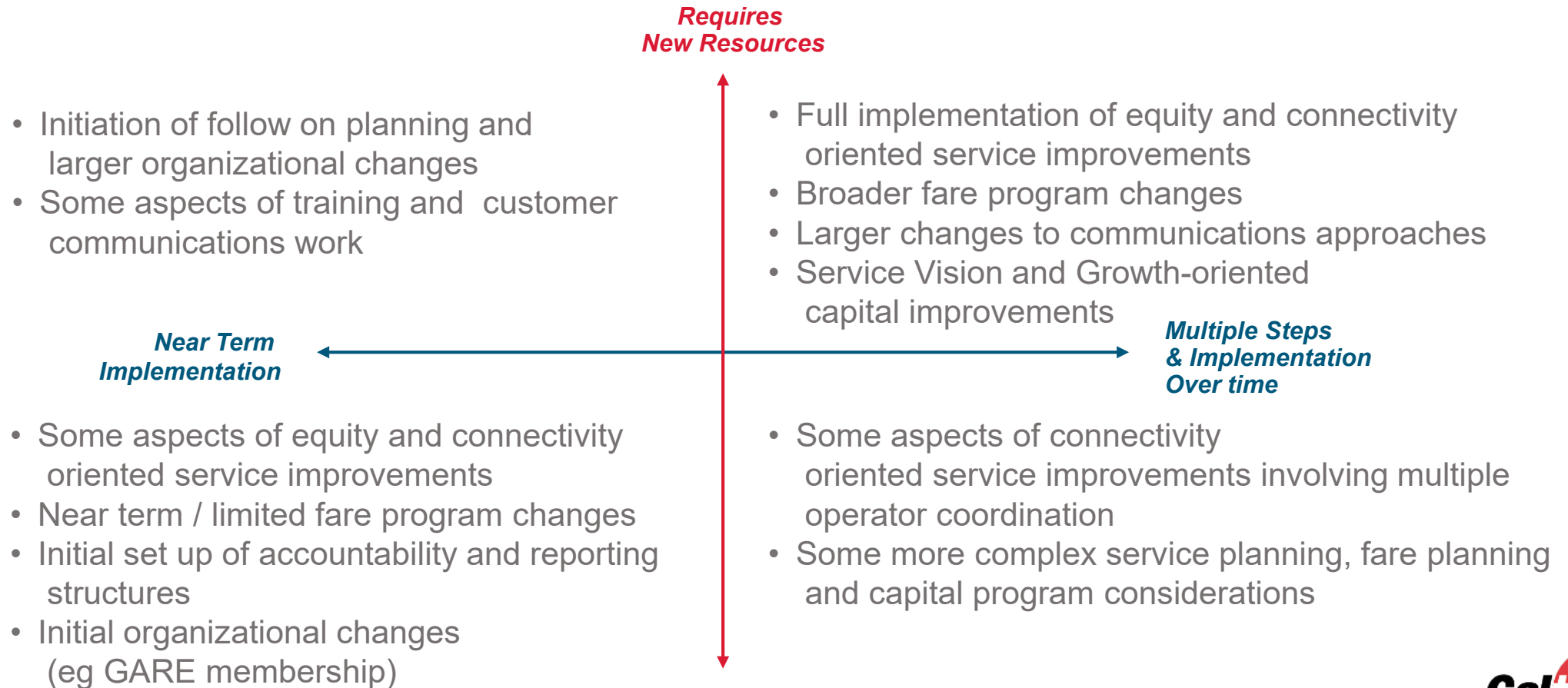
Include steps that the organization can take related to hiring practices and internal policies and training

Measurement, Accountability & Implementation

Define “equity” clearly and strengthen accountability language included in the framework. Clarify which policies and actions will be undertaken in the near term

Next Steps

Implementation of the Framework involves many aspects of Caltrain's business. The Framework will be put into place across multiple channels and timeframes. In some cases new resources will be required



FOR MORE INFORMATION

WWW.CALTRAIN2040.ORG

BUSINESSPLAN@CALTRAIN.COM

650-508-6499

