



AGENDA

PENINSULA CORRIDOR JOINT POWERS BOARD

Due to COVID-19, this meeting will be conducted via teleconference only (no physical location) pursuant to [Assembly Bill 361](#) (Gov. Code section 54953).

Directors, staff and the public may participate remotely via Zoom at <https://zoom.us/j/91412776292?pwd=cVdKa01PK2FKdm1CSUwwZXR3RmlkUT09> or by entering Webinar ID: **914 1277 6292**, Passcode: **909765** in the Zoom app for audio/visual capability or by calling 1-669-900-6833 (enter webinar ID and press # when prompted for participant ID) for audio only. The video live stream will be available 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 and press *6 to accept being unmuted when recognized to speak for two minutes or less. 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.

October 7, 2021 – Thursday

PART I OF MEETING (CALL TO ORDER): 9:00 am

1. Call to Order / Pledge of Allegiance
2. Roll Call
3. Adopt Resolution Finding a Proclaimed State of Emergency, Recommendations for Social Distancing and Imminent Risks to Health and Safety from In-Person Meeting and Approve Meeting Remotely for November JPB Meeting RESOLUTION

PART II OF MEETING (CLOSED SESSION): 9:15 am estimated

4. General Counsel Report – Closed Session:
 - a. Closed Session: Conference with Legal Counsel – Anticipated Litigation. Initiation of Litigation pursuant to Government Code Section 54956.9(d)(4): One potential case

PART III OF MEETING (REGULAR SESSION): 10:15 am estimated

- 5. General Counsel Report – Report Out from Above Closed Session INFORMATIONAL
- 6. 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.
- 7. Consent Calendar
Members of the Board may request that an item under the Consent Calendar be considered separately
 - a. Approve Regular Meeting Minutes of September 2, 2021 and Special Meeting Minutes of August 20, 2021 MOTION
 - b. Receive Key Caltrain Performance Statistics – August 2021 MOTION
 - c. Report of the Chief Financial Officer (CFO) INFORMATIONAL
 - d. Accept Statement of Revenues and Expenses for the Period Ended June 30, 2021 MOTION
 - e. Accept Statement of Revenues and Expenses for the Period Ended August 31, 2021 MOTION
 - f. Authorize Amendment of the Memorandum of Understanding for the Whipple Avenue Grade Separation Project to Increase (1) Capital Project Budget by \$301,000 and (2) the Total Fiscal Year 2022 Capital Budget from \$67,234,919 to \$67,535,919 RESOLUTION
 - g. Reaffirm the Peninsula Corridor Joint Powers Board Investment Policy and Reauthorize Investment of Monies with the Local Agency Investment Fund RESOLUTIONS
 - h. On-Call Transportation Planning and Consultant Support Services Update INFORMATIONAL
 - i. State and Federal Legislative Update INFORMATIONAL
 - j. Peninsula Shuttle Study Recommendations INFORMATIONAL
 - k. Update on Marketing Efforts Related to Increasing Ridership INFORMATIONAL
 - l. Approve Hispanic Heritage Month Resolution RESOLUTION
- 8. Reports
 - a. Report of the Citizens Advisory Committee INFORMATIONAL
 - b. Report of the Chair (oral) INFORMATIONAL
 - c. Report of the Local Policy Maker Group (LPMG) (oral) INFORMATIONAL
 - d. Report of the Executive Director INFORMATIONAL

- i. Peninsula Corridor Electrification Project (PCEP) Monthly Progress Report – September INFORMATIONAL
- 9. Regional Fare Coordination and Integration Study Update INFORMATIONAL
- 10. Metropolitan Transportation Commission (MTC) - Blue Ribbon Transit Recovery Task Force Update INFORMATIONAL
- 11. Correspondence
- 12. Board Member Requests
- 13. Date/Time of Next Regular Meeting: Thursday, November 4, 2021 at 9:00 am via Zoom (additional location, if any, to be determined)
- 14. Adjourn

INFORMATION FOR THE PUBLIC

All items appearing on the agenda are subject to action by the Board. Staff recommendations are subject to change by the Board. If you have questions on the agenda, please contact the JPB Secretary at 650.508.6242. Agendas are available on the Caltrain website at www.caltrain.com. Communications to the Board of Directors can be e-mailed to board@caltrain.com.

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

Date and Time of Board and Committee Meetings

JPB Board: First Thursday of the month, 9:00 am; JPB Finance Committee: Fourth Monday of the month, 2:30 pm; JPB WPLP Committee: Fourth Wednesday of the month, 3:00 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*

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

Accessible Public Meetings/Translation

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

Availability of Public Records

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

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michelle Bouchard
Acting Executive Director

FROM: James C. Harrison
General Counsel

SUBJECT: **ADOPT RESOLUTION FINDING A PROCLAIMED STATE OF
EMERGENCY, RECOMMENDATION FOR SOCIAL DISTANCING, AND
IMMINENT RISKS TO HEALTH AND SAFETY FROM IN-PERSON MEETING
AND APPROVE MEETING REMOTELY FOR 30 DAYS**



Finance Committee
Recommendation



Work Program-
Legislative-Planning



Staff Coordinating
Council Reviewed



Staff Coordinating Council
Recommendation

ACTION

Staff recommends that the Board adopt a resolution:

1. Finding that 1) there is a proclaimed state of emergency in California 2) local public health officials have recommended measures for social distancing and 3) meeting in person would pose imminent risk to the health and safety of attendees.
2. Approving meeting remotely via teleconference for the next 30 days, pursuant to AB 361 (Government Code Section 54953).

SIGNIFICANCE

On March 4, 2020, Governor Gavin Newsom declared a state of emergency. In light of ongoing concerns about public health and safety, on March 17, 2020, Governor Newsom issued Executive Order N-29-20, which suspended certain provisions of the Ralph M. Brown Act (the "Brown Act") in order to allow local government bodies to conduct open meetings safely during the coronavirus pandemic. The order allows local government bodies to conduct their meetings via telephone or other teleconferencing options without having to notice remote locations or allow physical access to members of the public. On June 11, 2021, the Governor issued Executive Order N-08-21, extending the suspension of these provisions to allow local government bodies to continue to conduct their meetings remotely through September 30, 2021.

On September 10, 2021, the Legislature took additional action to allow local agencies to forego compliance with Brown Act teleconferencing requirements under specific

circumstances after the expiration of the Governor's order by adopting AB 361. AB 361 modifies the Brown Act's requirements to allow safe open meetings and enhance public access through teleconferencing during a declared state of emergency. Because the bill contained an urgency clause, it took effect upon Governor Newsom's signature on September 16, 2021. The bill will sunset on January 1, 2024.

AB 361 allows local agencies to make an initial determination to hold open meetings via teleconferencing when there is a proclaimed state of emergency and one of the following criteria described in Section 54954.3 (e)(1) of the Brown Act, as amended, is met:

- A. State or local officials have imposed or recommended social distancing.
- B. The local agency holds a meeting for the purposes of determining by majority vote if meeting in person would pose imminent health and safety risks to attendees.
- C. The local agency holds a meeting after having determined by majority vote, as a result of the emergency, meeting in person would pose imminent risks to the health or safety of attendees.

On May 11, 2021, the San Mateo County Health Officer issued an Order advising that San Mateo County residents should continue to follow the recommendations of the Center for Disease Control (CDC) which recommends social distancing as a measure to prevent infection and control the spread of COVID-19 and its variants. Furthermore, the rate of transmission in the three member counties of JPB remains substantial by the CDC's metrics and as a result, meeting in person may pose imminent health and safety risks for attendees.

BUDGET IMPACT

There is no budget impact associated with receiving this report.

BACKGROUND

- A. Meetings pursuant to AB 361

Local agencies holding meetings under these circumstances must give notice of the meeting and post agendas as required by the Brown Act. They are additionally required to:

- Guarantee of public access: Local agencies must allow members of the public to access the meeting and the agenda must provide an opportunity for members of the public to address the legislative body.
- Give notice of the means of access: When notice of the time of the teleconference meeting is given or the agenda for the meeting is posted, the local agency shall also give notice of the means by which members of the public may access the meeting and offer public comment.
- Refrain from taking action during disruptions: If the broadcast of a meeting is disrupted, or if there is a disruption within the local agency's control that prevents

member of the public from offering public comments, the agency shall take no further action on items appearing on the meeting agenda until public access to the meeting is restored.

- Refrain from requiring public comments to be submitted in advance: Local agencies may not require members of the public to submit public comments in advance of the meeting, though members of the public may choose to do so.
- Give adequate time for public comment, including an opportunity to complete any required third-party registration: A local agency must either provide a timed public comment period, or a reasonable amount of time to comment. A third party-provider may require registration under limited circumstances; if public comment is available through an internet website or online platform not under the control of the local legislative body that requires registration to log in to a teleconference, an individual may be required to register as required by the third-party internet website or online platform. The time to register may not close until the public comment period has elapsed.

Local agencies that comply with these provisions are not required to identify the locations from which members participate or to offer the public a physical location from which to participate.

In order to continue to hold meetings under the bill's exemptions after the initial meeting, the local agency must make the following findings by majority vote every 30 days: 1) the local agency has reconsidered the circumstances of the emergency; **and** 2) the state of emergency continues to directly impact the ability of the members to safely meet in person, **or** state or local officials continue to impose or recommend social distancing. If regular meetings are held more than 30 days apart, then the local agency must schedule a meeting to make an initial determination to meet remotely as described above and in Section 54954.3 (e)(1) of the Brown Act.

Prepared by

James C. Harrison, General Counsel, Olson Remcho LLP

RESOLUTION NO. 2021-

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

* * *

ADOPTING FINDINGS THAT THERE IS A PROCLAIMED STATE OF EMERGENCY AND THAT MEETING IN PERSON POSES IMMINENT HEALTH AND SAFETY RISKS TO ATTENDEES AND AUTHORIZING REMOTE TELECONFERENCE MEETINGS FOR THE PENINSULA CORRIDOR JOINT POWERS BOARD AND COMMITTEES FOR THE PERIOD OF OCTOBER 7 TO NOVEMBER 7, 2021

WHEREAS, on March 4, 2020, Governor Gavin Newsom declared a State of Emergency in the State of California; and

WHEREAS in light of ongoing concerns about public health and safety, on March 17, 2020, Governor Newsom issued Executive Order N-29-20, which suspended certain provisions of the Ralph M. Brown Act (the "Brown Act") in order to allow local government bodies to conduct open meetings safely during the coronavirus pandemic. On June 11, 2021, the Governor issued Executive Order N-08-21, extending the suspension of these provisions to allow local government bodies to continue to conduct their meetings remotely through September 30, 2021; and

WHEREAS, on September 10, 2021, the Legislature took additional action to allow local agencies to forego compliance with Brown Act teleconferencing requirements under specific circumstances after the expiration of the Governor's order by adopting AB 361, which amends the Brown Act's requirements for teleconferencing during a proclaimed state of emergency and when certain other conditions are met and certain findings are made. Because the bill contained an urgency clause, it took effect upon Governor Newsom's signature on September 16, 2021; and

WHEREAS, the Brown Act, as amended, allows local agencies to make an initial determination to hold open meetings via teleconferencing when there is a proclaimed state of emergency and any of the following circumstances exist:

- 1) State or local officials have imposed or recommended social distancing
- 2) The local agency holds a meeting for the purposes of determining by majority vote if meeting in person would pose imminent health and safety risks to attendees
- 3) The local agency holds a meeting after having determined by majority vote that, as a result of the emergency, meeting in person would pose imminent risks to the health or safety of attendees.

The local agency must reconsider whether the state of emergency continues to impact the ability of the members to meet safely in person or whether local or state officials continue to impose or recommend social distancing every 30 days; and

WHEREAS San Mateo County public health officials recommend measures to promote social distancing; and

WHEREAS the rates of transmission of COVID-19 and variants in San Mateo County continue to pose imminent risks for health of attendees at indoor gatherings involving individuals from outside the same household; and

WHEREAS, to help protect against the spread of COVID-19 and variants, and to protect the health and safety of the public, the Board wishes to take the actions necessary to comply with the Brown Act, as amended and to continue to hold its Board, Committee, and Advisory Committee meetings remotely via teleconference.

NOW, THEREFORE, BE IT RESOLVED that the Board hereby finds that pursuant to the Governor's State of Emergency Declaration, issued on March 4, 2020, there is a proclaimed State of Emergency in the State of California; and

BE IT FURTHER RESOLVED that the Board finds that local officials continue to recommend measures to promote social distancing and meeting in person in the next 30 days would pose imminent health and safety risks to attendees; and

BE IT FURTHER RESOLVED that the Board approves meeting via teleconference for all Regular and Special Board, Committee, and Advisory Committee Meetings of the JPB for the 30 days following this resolution, in accordance with Government Code section 54953(e) and other applicable provisions of the Brown Act.

Regularly passed and adopted this 7th day of October 2021 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary

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

DRAFT MINUTES OF SEPTEMBER 2, 2021

MEMBERS PRESENT: C. Chavez, D. Davis (Chair), J. Gee, S. Heminger (Vice Chair), D. Pine, C. Stone, S. Walton (arrived at 9:05 am), M. Zmuda

MEMBERS ABSENT: G. Hendricks

STAFF PRESENT: M. Bouchard, D. Hansel, J. Harrison, S. Petty, K. Yin, J. Funghi, B. Shaw, D. Santoro, B. Fitzpatrick, A. Aknin, M. Jones, A. Chan, R. Barnard, T. Bartholomew, C. Fromson, A. Timbers, C. Mobley-Ritter, D. Seamans, S. Wong

1. CALL TO ORDER / PLEDGE OF ALLEGIANCE

Chair Dev Davis called the meeting to order at 9:00 am and led the pledge of allegiance.

2. ROLL CALL

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

Public Comment

Roland Lebrun, San Jose, commented on closed session items, Brown Act violations, Redwood City development, and purchasing the Redwood Junction parcel.

Director Jeff Gee recused himself from Closed Session Item 3b as the real estate transaction crosses multiple agencies that he serves on. He noted that he has no final interest in this and that he will represent one agency and not the JPB in this matter.

3. GENERAL COUNSEL REPORT – CLOSED SESSION:

- a. **Closed Session: Conference with Legal Counsel – Anticipated Litigation. Initiation of Litigation pursuant to Government Code Section 54956.9(d)(4): One potential case**
- b. **Closed Session: Conference with Real Property Negotiator - held pursuant to Govt. Code § 54956.8; Description of property: Portion of the RWC Caltrain station parking lot located at 1 James Street, Redwood City, CA 94063 and A1 Party Rental site located at 2529 Broadway, Redwood City, CA 94063; Negotiating parties: KM-ECR LLC; Matter under negotiation: Exclusive Negotiation Agreement for property exchange in the City of Redwood City**

*The Board convened in closed session at 9:07 am
The Board reconvened in regular session at 10:20 am*

District Secretary Dora Seamans confirmed the presence of a quorum.

4. GENERAL COUNSEL REPORT – REPORT OUT FROM ABOVE CLOSED SESSION

General Counsel James Harrison stated that there were no reportable actions.

5. PUBLIC COMMENT FOR ITEMS NOT ON THE AGENDA

Vaughn Wolfe, Pleasanton, commented on project costs analyses, constant local customization for a project extends the project and focusing on the end product.

Jeff Carter, Millbrae, commented on the new timetable, including the fare table, and being able to download video meetings for smoother viewing.

Aleta Dupree, Oakland, commented on Clipper, passing the Pride resolution, feeling safe in meetings and respectful conversation.

Roland Lebrun, San Jose, commented on inviting google to share how they came in under budget and three months early for their Austin tower, and using YouTube live stream feature in Zoom.

Adina Levin, Friends of Caltrain, commented on fixing Granicus videos so video playback can be easily watched.

6. CONSENT CALENDAR

- a. **Approve Regular Meeting Minutes of August 5, 2021**
- b. **Receive Key Caltrain Performance Statistics – July 2021**
- c. **Approve 2022 Board Meeting Calendar**
- d. **Capital Projects Quarterly Status Report 4th Quarter – Fiscal Year 2021**
- e. **Appointment of the Citizens Advisory Committee Representative and Alternate**
- f. **Increase the Total Project Budget by \$1,025,000 for the Broadway Burlingame Grade Separation Project and Increase the Fiscal Year 2022 Capital Budget to \$67,234,919**
- g. **Authorize the Executive Director to Execute an Amendment to Supplemental Agreement No. 4 with Pacific Gas and Electric (PG&E) for Procurement and Construction Services For PG&E Infrastructure Build Outs in Support of the Peninsula Corridor Electrification Project (PCEP)**
- h. **Authorize the Executive Director to Execute a Change Order to the Peninsula Corridor Electrification Project (PCEP) Contract with Balfour Beatty, Inc. for an Increase in Allowance Item No. 9 - Utilities Potholing for a Total Not-To-Exceed Amount of \$5,700,000**
- i. **Accept Quarterly Fuel Hedge Update**
- j. **Report of the Chief Financial Officer (CFO)**
- k. **Staff Report on Statement of Revenues and Expenses for the Period Ended July 31, 2021**

I. State and Federal Legislative Update

m. Authorize Execution of an Exclusive Negotiation Agreement to Explore a Property Exchange with KM-ECR LLC

n. Clean Air Day Proclamation

o. Authorize Change to Usual Order of Business pursuant to Section 11 of the Rules of Procedure to Include the Report of the General Counsel as an Item Under the Report of the Executive Director

Public Comment

Roland Lebrun, San Jose, commented on including the Redwood City project map in the quarterly status report, providing a presentation on the Burlingame Grade Separation Project, Project Management Oversight Contractor (PMOC) Report, and station location investment.

Director Gee recused himself from Item 6m on the consent calendar.

The Board members had a discussion and staff provided further clarification on getting feedback from large employers on returning to work given the Delta variant factor.

Motion/Second: Chavez/Zmuda to approve all items except item 6m

Ayes: Chavez, Gee, Pine, Stone, Walton, Zmuda, Heminger, Davis

Noes: None

Absent: Hendricks

Motion/Second: Chavez/Zmuda to approve item 6m

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

Noes: None

Absent: Hendricks

Recused: Gee

7. DIRIDON REAL ESTATE UPDATE

Brian Fitzpatrick, Director of Real Estate & Property Development, provided the presentation that covered the following:

- Development site on the Caltrain right-of-way
- Caltrain owns a 3-acre parcel adjacent to Diridon station and pursuing development on a portion of this land
- Rail Corridor Use Policy (each area designated as a property use zone)
- Real estate process, timeline and next steps

Aaron Akin, Community Development Consultant, provided a presentation that covered the following:

- Amended Diridon Station Area Plan
- Land Use Balance & Affordable Housing and affordable Housing Implementation
- Diridon Integrated Station Concept Plan and Concept Proposal

Public Comment

Roland Lebrun, San Jose, commented on fair market value, three years spent developing visual guidelines, historic landmark land, impact on google housing, suggest combining acres and getting rid of traffic.

Aleta Dupree, Oakland, commented on an ideal platform station, having a place to eat or sleep while traveling, and having mixed use to walk to work or transportation for less congestion.

Ben Leech, Preservation Action Council of San Jose, commented on historical landmark preservation and in tandem preservation plans for the site.

Jeff Carter, Millbrae, commented on development not impacting Caltrain operations, expansion, historic preservation, and parking.

Vaughn Wolffe, Pleasanton, commented on climate change, population change, and station changes.

The Board members had a robust discussion and staff provided further clarification in response to the Board comments and questions regarding:

- Total square footage, estimate for rental income, base income if there is income loss for the investment, and lease length
- This setting a base for future negotiations
- Adaptive reuse of historic Diridon station
- Collaborating with partner agencies (including Santa Clara Valley Transportation Authority) on any negotiations so they are not competing
- Building in triggers for inaction during negotiation for Caltrain as a property owner so there is protection against squatting without developing outside of the development timeline
- Preservation regarding scale and context (that is, being surrounded by larger buildings)
- Joining different elements that Caltrain owns, influences, and has members from for a unified presentation on the bigger picture of obligations depending on the parcel

8. PROCLAMATION DECLARING SEPTEMBER RAILROAD SAFETY AND SUICIDE PREVENTION MONTH

Chair Davis highlighted the promotion of safety and prevention on the right-of-way through enhanced safety measures and increased public awareness.

Tasha Bartholomew, Communications Manager, provided updates on Rail Safety Month activities, including rail safety messaging, grade separations, discussions with news agencies regarding responsible reporting, Cal-chats debut, and forming community partnerships

The Board members had a robust discussion and staff provided further clarification in response to the Board comments and questions regarding the term trespassers.

Public Comment

Aleta Dupree, Oakland, commented on the importance of railway safety.

Roland Lebrun, San Jose, commented on engineering and design effects to help prevent suicides.

Adrian Brandt, San Mateo County, commented on a classmate in fourth grade killed trying to beat the train on her bicycle, grade separation, and level boarding.

Jeff Carter, Millbrae thanked Tasha and her team regarding safety and suicide prevention.

Motion/Second: Stone/Chavez

Ayes: Chavez, Gee, Pine, Stone, Walton, Zmuda, Heminger, Davis

Noes: None

Absent: Hendricks

9. REPORTS

a. Report of the Citizens Advisory Committee (CAC)

Brian Shaw, CAC Chair, reported the following committee discussion topics:

- All CAC positions have been filled
- Vaccine mandate and legislation 4b 1801
- Overall budget
- Effort timelines, dual speed checks, crowded trains, physical distancing, and listing special event trains on website
- Public comments on packing baby bullets, switching Gilroy to baby bullet, fare system, regional fare study, COVID testing, and High Speed Rail

b. Report of the Chair

Chair Davis provided an update on the governance process and stated the following:

- The Board is working to adopt a recommendation by the end of 2021
- At the August 20th governance meeting, they discussed the financial & legal analyses and they heard about qualitative interviews with Board and stakeholders
- No decisions have been made and the Board asked staff to refine options for the September 30th governance meeting
- The last special meeting on governance is scheduled for October 22nd
- The November regular Board meeting will be used to discuss draft recommendation for governance at the December regular meeting

c. Report of the Local Policy Maker Group

Director Jeff Gee reported on the August 26th meeting which included the following:

- The new Caltrain schedule
- Ridership marketing efforts, 50 percent off fares, benefitting low-income riders
- Caltrain mobile app

d. Report of the Executive Director

i. Peninsula Corridor Electrification Project (PCEP) Monthly Progress Report – August

Michelle Bouchard, Acting Executive Director, reported on the following:

- State advocacy efforts –transportation package and working with the delegation at the state & federal levels to help support the transportation package
- Advocating electrification funding and they will provide updates to the Board
- Ribbon cutting for 25th Avenue Grade Separation project
- New Caltrain schedule, capture returning and new riders with peak and off-peak service
- Massive marketing effort regionally, bringing back baby bullet service, and September is Bay Area Transit Month
- Celebratory Measure RR Train on Sunday, September 26 Sunday starting at Diridon station

John Funghi, CalMod Chief Officer, provided updates reported the following:

- Installations continuing at night and anticipated completion this year
- 89% foundation completed; 66% poles installed and on track foundations to start after Labor Day
- Paralleling stations (Sunnyvale & Tamien)
- Infrastructure OCS completion second quarter of 2022
- Train manufacturer is testing in Pueblo Colorado with completion in early October
- Working on project recovery plan for Federal Transit Administration (FTA)

Public Comment

Adina Levin, Seamless Bay Area, commented on participating on Bay Area Transit month, encouraged to transit ride with *#transitmonth*, Measure RR celebration Train on September 26, regional fare study hearing scheduled to be heard at the October Caltrain board meeting.

Aleta Dupree, Oakland, commented on foundation completion.

Jeff Carter, Millbrae, commented on foundation installation progress, posting this presentation on the webpage, and update on comprehensive fare proposal.

Roland Lebrun, San Jose, commented on public records request on hourly seating capacity during peak, shorter runs between San Francisco-San Jose, and grade crossing timing report.

Vaughn commented on workforce development.

Adrian Brandt, San Mateo County, commented on dual speed check, and running diesels to pull electric units if there are grade crossing issues.

10. OPTIONS FOR JPB AND COMMITTEE MEETINGS AFTER EXPIRATION OF EXECUTIVE ORDER N-08-21

James Harrison, Legal Counsel, provided the presentation, which included the following:

- The current Executive Order suspending Brown Act requirements expires September 30th and if AB 361 is passed, the JPB can continue to meet remotely, but if it expires, then the Brown Act requirements will apply immediately and require providing a meeting location for public and remote participation
- Recommendation that the Board authorize the Chair to determine how to handle October meeting

Public Comment

Jeff Carter, Millbrae, supported both in person and remote participation to encourage participation and better transparency, and not have to take the whole day off from work.

Adina Levin, Friends of Caltrain, supported remote public comment participation. She commented on allowing members of public to participate without taking time off from work and sitting for long periods.

Roland Lebrun, San Jose, commented on remote locations, centering meetings in Sunnyvale, and former Gilroy chairman staying overnight whenever there was a San Carlos meeting.

Adrian Brandt, San Mateo, commented on public participation and urged preserving remotely participation.

Aleta Dupree, Oakland, commented on supporting zoom.

Chair Davis explained this was authorization for her to make the call for the October meeting format, and if the extension is approved, indicated staying on Zoom for one more month given concerns about the Delta variant and technical concerns to be worked out if they do hybrid meetings.

Director Stone spoke in support of virtual comment for transparency purposes and expressed concern on how the meetings will be handled virtually and making them easier to handle.

Chair Davis encouraged reaching out to your delegation about meeting participation preference (that is, the Alex Lee legislation).

*Director Gee left at 12:00pm
Director Walton left at 12:14pm*

Motion/Second: Chavez/Stone

Ayes: Chavez, Pine, Stone, Zmuda, Heminger, Davis

Noes: None

Absent: Gee, Hendricks, Walton

11. VACCINATION AND TESTING POLICY STATUS

James Harrison, Legal Counsel, provided the presentation, which included the following:

- Vaccination coverage and employer vaccine mandates
- Federal level requirements and Amtrak requirements
- Practical implications for employers, JPB safety and vaccination efforts, and future safety and vaccination efforts, including a JPB Contractor policy

Public Comment

Adrian Brandt, San Mateo County, commented on the percentage of conductors not vaccinated.

Roland Lebrun, San Jose, commented on differentiating between riders and operators, proof requirements, enforcing masks, fines, and safety.

Vaughn, Pleasanton, commented on enforced vaccinations and variants.

The Board members had a robust discussion and staff provided further clarification in response to the Board comments and questions including:

- Adopting a policy and a deadline and who will adopt and carry it out
- Whether Amtrak has a policy, and whether there is overlap with their TASI policy
- Caltrain cannot require employees be vaccinated if SamTrans is the employer
- Ability to require vaccination and testing and develop a timeline in light of future expected variants
- Having a financial recourse on contractors working on capital projects that do not require employee vaccination

12. CORRESPONDENCE

Correspondence was available online.

13. BOARD MEMBER REQUESTS

Director Stone inquired about larger employers' plans to return to work in light of the Delta variant.

Director Zmuda noted that at the Finance Committee, there was a discussion on certain contracts and they requested that the Change Management Board (CMB), as it is working with the agency, to provide a presentation to either the Finance Committee or full Board soon, so that they may all understand what their responsibilities are, the work they do, and their approval process. Chair Davis stated that it would be beneficial for the entire Board to have this as a future informational item.

Director Chavez requested collaboration with partner agencies (VTA) in regard to any negotiations so they are not competing in regards development.

Director Chavez requested building in triggers for inaction during negotiation for Caltrain as a property owner so there is protection against squatting without developing outside of the development timeline.

Director Heminger inquired about preservation in regard to scale and context (e.g., surrounded by larger buildings)

Director Heminger requested joining different elements that the JPB owns, influences, has members from to give a unified presentation on the bigger picture of obligations depending on the parcel.

14. DATE/TIME OF NEXT REGULAR MEETING:

Thursday, October 7, 2021 at 9:00 am via Zoom (additional location, if any, to be determined).

15. ADJOURN

The meeting adjourned at 12:52 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.

DRAFT

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

**DRAFT MINUTES OF AUGUST 20, 2021
SPECIAL MEETING #4 - GOVERNANCE**

MEMBERS PRESENT: C. Chavez, D. Davis (Chair), J. Gee, G. Hendricks, S. Heminger (Vice Chair), D. Pine, C. Stone, M. Zmuda

MEMBERS ABSENT: S. Walton

STAFF PRESENT: M. Bouchard, D. Hansel, S. Petty, J. Harrison, C. Fromson, S. Petty, H. Husain, H. Permut, M. Jones, K. Miller, R. Macias, D. Seamans, S. Wong

1. CALL TO ORDER/ROLL CALL

Chair Dev Davis called the meeting to order at 1:01 pm.

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

2. CALTRAIN GOVERNANCE SPECIAL MEETING #4 (INCLUDING GOVERNANCE PROCESS UPDATES; OVERVIEW OF SELF DIRECTED GOVERNANCE OPTIONS AND EVALUATION APPROACH; FINANCIAL AND LEGAL ANALYSES; BOARD AND LEADERSHIP PERSPECTIVES ON OPTIONS; AND NEXT STEPS)

Chair Davis introduced the purpose of the meeting to a) hear the results of the governance options and b) review the results of the legal and financial analyses and qualitative interviews and c) discuss those findings. She requested members ask questions only and save discussion for the end and noted an additional Special Meeting to be scheduled in September, regional discussion in October, and a recommendation in December.

Sebastian Petty walked through a presentation, which included the following:

- Previous JPB Governance 2021 Roadmap
- Status update & discussion on ROW (right-of-way) repayment
- Meeting objectives to confirm understanding, review analyses, consider interviews, and summarize findings

The Board members discussed what they hoped to learn today:

- Understanding the financial analysis and the practicality and feasibility of each option
- How much of the problem each option individually solves, especially in light of farebox recovery and where the financial backing would come from
- Possibly narrowing the range of options to analyze and consider
- Being nimble and having realistic timelines for implementing each option including legal work

Howard Permut, Governance Consultant, provided an overview of the three options, which included the following:

- Three Board self-directed options (refined shared services model, new shared services model, independent agency)
- How the options differ from the governance situation today (dedicated executive director, accountability, staffing, and processes)
- Staffing assumptions (including total number of employees needed per option)

The Board members had questions on the overview, and staff provided further clarification which included the following:

- Access to the background materials used to compare full time equivalent (FTE) number versus the number of people needed for full time work
- Difference between Option 1 and the baseline
- Purchase services between Option 1 and Option 2 and whether that could be achieved in Option 1
- Whether the purchase services clarity would be possible under Option 1
- Consider how each option would impact retention, recruitment, and morale of staff
- Difference between Option 1 and the baseline on hiring, firing, and setting the compensation for the Executive Director
- Question on conflict of employees reporting to Executive Director but continuing to be employees of the district
- Under Option 2, would shared services be provided by SamTrans, or could purchased services be provided from another entity
- How shared services from another entity could logistically work

Mr. Permut discussed resource and transition considerations, which included the following:

- Financial analysis (annual cost, one-time costs, and pension/retirement liabilities)
- Legal analysis (modification of agreements and transition support)
- Caltrain liability estimates and hypothetical scenarios (pension and other unfunded benefits)
- Summary of key issues and results

The Board members had questions on resource and transition considerations and staff provided further clarifications which included the following:

- Pension Unfunded Accrued Liability (UAL) assumptions and how many people are working, retired, and the number of employees currently providing shared services
- Would these numbers vary based on the CalPERS (California Public Employee Retirement System) rate and does CalPERS allow an entity to withdraw
- Whether SMCTD (San Mateo County Transit District) could ask for the lump sum of accrued liability funds up front (for Option 3) and what the annual payments could be thereafter
- Whether there could be a line item for each option indicating one-time cost, annual cost, pension costs, medical costs, and so on to compare the cost of each option on one page
- Option 2 is starting a new company which includes a lot of hidden costs, such as what are the assumptions for 230 staff moving over
- What are the core assumptions and bandwidth of risk is in each category
- Assumed increased costs due to fixed costs that are currently shared but cannot be separated and there are other SamTrans property interests utilized by Caltrain

James Harrison, JPB Legal Counsel, spoke about the legal analysis, estimated cost and time for each option, which included the following:

- Legal analysis assumptions including a draft Memorandum of Understanding (MOU) and the estimated time and cost for each option
- All three options are legally feasible and review

The Board members had a discussion on the legal analysis, which included the following:

- Would Option 3 require Board meetings two to three times a month to address additional issues
- Are the timelines indicating the months needed to implement options and requirements for approval
- For Option 3, how the Board members would be chosen, and what is the scope of the Legislature's authority versus the three parties' approved JPA (Joint Powers Authority)
- Timeline for the analysis of the impairment of contract clause and including analysis of any financial impacts that may occur
- Denote where there are options for negotiation
- Considered risks to services, projects in motion, and to providing quality product to customers
- Requested more information before the next meeting in September: (1) what are the options' variables that can be negotiated, (2) more analysis the JPA's authority, and (3) clarify the calculations on pension and other obligations

The meeting recessed at 2:50 pm and reconvened at 3:00 pm.

James Harrison, Legal Counsel, noted all members were present with the exception of Director Walton.

Howard Permut, Governance Consultant, presented Board member & Leadership Perspectives on Options; this included:

- Themes that emerged from Board member interviews included divergent views stemming from a variety of options and approaches that could be used and a number are waiting for completed analyses
- Issues that are important to Board members included resolving this process, repayment, updating the JPB, Board composition and terms, and RR expenditure
- Themes from the General Managers' Interviews were similar to Board members by county, but they also highlighted repayment to SamTrans for its investment and the importance of resolving these issues, which detract from the operation and management of the railroad

Sebastian Petty, Deputy Chief of Planning, provided summary synthesis & discussion, which included the following:

- Resolution on Caltrain Governance is urgent and synthesizing views on governance

- Option 1 – refining the current structure
- Reasoning for option 3 and creating a new structure
- Reasoning for option 2 and evolving the current structure
- Financial and Legal Analysis Summary

The Board members had a discussion on member perspectives and summary synthesis, and staff provided further clarification in response to the Board questions regarding the following:

- Why the baseline is not codified
- The exact value added for 2, 3, or 4 (on slide 63) being dependent on the people in place
- Do different options include risks in providing continual service, disruption to ongoing projects, and so on
- Whether the “frequency of ratings by subject area” & “percent of all criteria met by each option” were the same
- How has governance conversation affected federal and state funding
- How does this line up with the regional conversation
- How is Option 3 financially sustainable as Measure RR currently covers operations and not capital in the current state
- If Caltrain is unable to afford what they are doing right now, how would creating an independent agency help with that affordability
- Where would the extra money come from if Caltrain cannot afford to pay its way right now

Public Comment

Vaughn Wolffe, Pleasanton, commented on whether changing governance would benefit ridership or emissions.

Roland Lebrun, San Jose, commented on replacing the agency.

Aleta Dupree, Oakland, commented on building a structurally sound railroad.

Adina Levin, Friends of Caltrain, commented on Measure RR inspirations, having a connected service, Option 3 taking large quantities of Measure RR from delivering services to IT services, and Option 2 increasing accountability.

Don Cecil, San Mateo County Economic Development Agency (SAMCEDA), commented on using Measure RR to maintain services and developing equity.

Jonathan Kass, San Francisco Bay Area Planning and Urban Research Association (SPUR), transportation manager, commented on delivering the best option for customers, with Option 3 being expensive and disruptive, while Option 2 allows continued vision and service.

Director Chavez left at 3:16 pm

The Board members had a robust discussion, which included the following:

- Studying governance has financially stressed the organization, the cost has gone over budget
- The amount of time to do Option 3 would preclude Caltrain's discussions at the regional level
- Transition costs need to include retaining the experienced staff to keep the trains and organization running
- Caltrain needs its own staff for some tasks
- There is currently efficiency but not accountability, and accountability is not ensured in any of the options
- Dropping Option 1 due to lack of distinction from the baseline
- Coming up with Option 2a, and Option 2b, including discussion negotiable issues such as right of way (ROW) transaction and doing justice to the advance of SamTrans financial contribution that benefited all
- Risk benefit ratios, likelihood of achievable and collective success for each option
- Revise Option 2 to look at governance issues such as term limits and shared services
- Reviewed concerns for each option, included increased cost, not being financially sustainable, counter to Measure RR supporters' goals and equity goals, concerns on no gains in equity or equality, minimizing disruptions and retaining employees who made this system the 7th largest in the country
- Options and consequences for changing the December 31st deadline and the self-imposed consequence of not meeting the deadline (constrain Measure RR revenues at \$40 million without concurrence of six JPB members until this is resolved)
- Concerns about not meeting the December 31st deadline included having enough money for the electrification project, having a seat at regional governance discussions, and focusing resources on getting new riders on Caltrain
- The discussion on governance has affected the organization's ability to find revenue for grants for electrification and new projects
- Perceived unanimity that Option 3 would not work and tendency towards Option 2 as the middle ground but its costs and disruptions are significant, including how and when SamTrans needs to be paid back a considerable amount of money, when Measure RR money cannot be used for this
- Current additional costs for the independent auditor and legal counsel
- JPB resources as possible repayment for the right of way purchase and how voters would feel about moving money around to use Measure RR funds
- Determine what the Metropolitan Transportation Commission (MTC) role could be in repayment process
- Option 1 and 2 need further flushing out, Option 2 could have a b, c, d branch
- Member agencies themselves can decide whether to contribute to Caltrain annually
- Board members to think about the best alternative and recommendation by the end of December

BOARD MEMBER REQUESTS

Director Chavez requested access to the background materials showing full time equivalents (FTE) by option.

Director Hendricks requested a line item for each option indicating one-time cost, annual cost, pension costs, medical costs, and so on to compare the cost of each option on one page.

Director Stone requested the figures regarding how much was spent on this governance process and a codified baseline for Option 1.

Director Gee requested an equitable and more detailed presentation with evaluations on Option 1 and what would be the consequences of not meeting the December 31st deadline.

Director Hendricks requested the September Governance meeting be scheduled soon.

Chair Davis requested flushing out Option 1 and 2 (with Option 2 having three further branches).

3. ADJOURN

The meeting adjourned at 4:50pm.

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: Michelle Bouchard
Acting Executive Director

FROM: Derek Hansel
Chief Financial Officer

SUBJECT: **KEY CALTRAIN PERFORMANCE STATISTICS – AUGUST 2021**

Finance Committee
Recommendation

Work Program-
Legislative-Planning

Staff Coordinating
Council Reviewed

Staff Coordinating Council
Recommendation

ACTION

Staff Coordinating Council recommends that the Board receive the Performance Statistics Report for August 2021.

SIGNIFICANCE

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

BUDGET IMPACT

There is no budget impact.

MONTHLY UPDATE

Since April 2020 ridership estimates have been developed using daily conductor counts at 14 key stations and Clipper tag-ons at all stations due to significant impacts to ticket sales and usage patterns from the COVID-19 pandemic

In August 2021, Caltrain's ridership was estimated as follows:

- Average Weekday Ridership (AWR) increased by 157.4 percent to 9,053 from August 2020 (3,517).
 - Total ridership increased by 175.6 percent to 249,490 from August 2020 (90,538).
 - Average Saturday Ridership increased by 229.3 percent to 6,266 from August 2020 (1,903).
- Average Sunday Ridership increased by 252.2 percent to 5,050 from August 2020 (1,434).

The large increase in ridership from a year ago is due to significant improvements of the COVID-19 pandemic, easing of COVID-19 restrictions and resumption of special events such as professional sports games played with spectators at the venues. Even though the ridership has been gradually

recovering in recent months, August 2021 ridership was approximately 14 percent of the pre-pandemic ridership.

This month ticket sales changed from August 2020 for:

- One Way tickets: +223 percent
- ED One Way tickets: +180.8 percent
- Day Passes: +498.10 percent
- ED Day Passes: +487.7 percent
- Monthly Passes: +167.7 percent
- ED Monthly Passes: +229 percent

Other ticket sales and farebox revenue statistics trended as follows:

- Caltrain Mobile Ticketing accounted for 13.6 percent (33,874 rides) of the monthly ridership and 8.3 percent (\$219,492) of the monthly ticket sales revenue.
- Number of Eligible Go Pass Employees decreased to 55,119 from 87,242 from August 2020.
- Number of the participating Go Pass Companies decreased to 40 in August 2021 from 120 in August 2020.
- Total Farebox Revenue decreased by 10.5 percent to \$2,688,310 from August 2020 (\$3,002,602).

On-time performance (OTP) for August 2021 was 94.3 percent compared to 95.7 percent for August 2020.

Regarding customer service statistics, the number of complaints per 100,000 passengers in August 2021 is not provided due to the significant decrease in ridership due to COVID-19 pandemic.

Shuttle AWR ridership for August 2021 decreased 73.6 percent to 242 from August 2020 (916). As of August 2021, eleven shuttle routes are operating, two routes are suspended by the employer and six services have been removed from the shuttle program since January 2021 due to operational, partner, or granting changes/loses.

Table A
August 2021

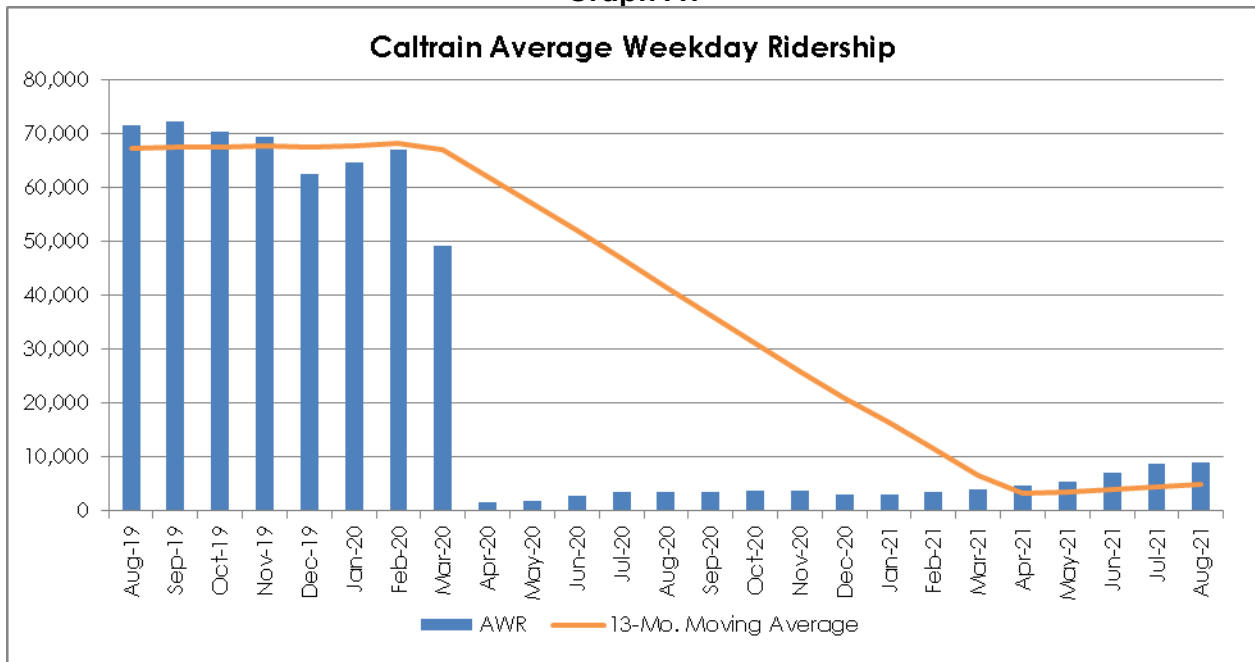
	FY2020	FY2021	FY2022	FY21 to FY22 % Change
Total Ridership	1,703,334	90,538*	249,490	175.6%
Average Weekday Ridership	71,557	3,517*	9,053	157.4%
Total Farebox Revenue	\$ 9,004,368	\$ 3,002,602	\$ 2,688,310	-10.5%
On-time Performance	93.8%	95.7%	94.3%	-1.5%
Average Weekday Caltrain Shuttle Ridership	8,637	916	242	-73.6%

Fiscal Year to Date

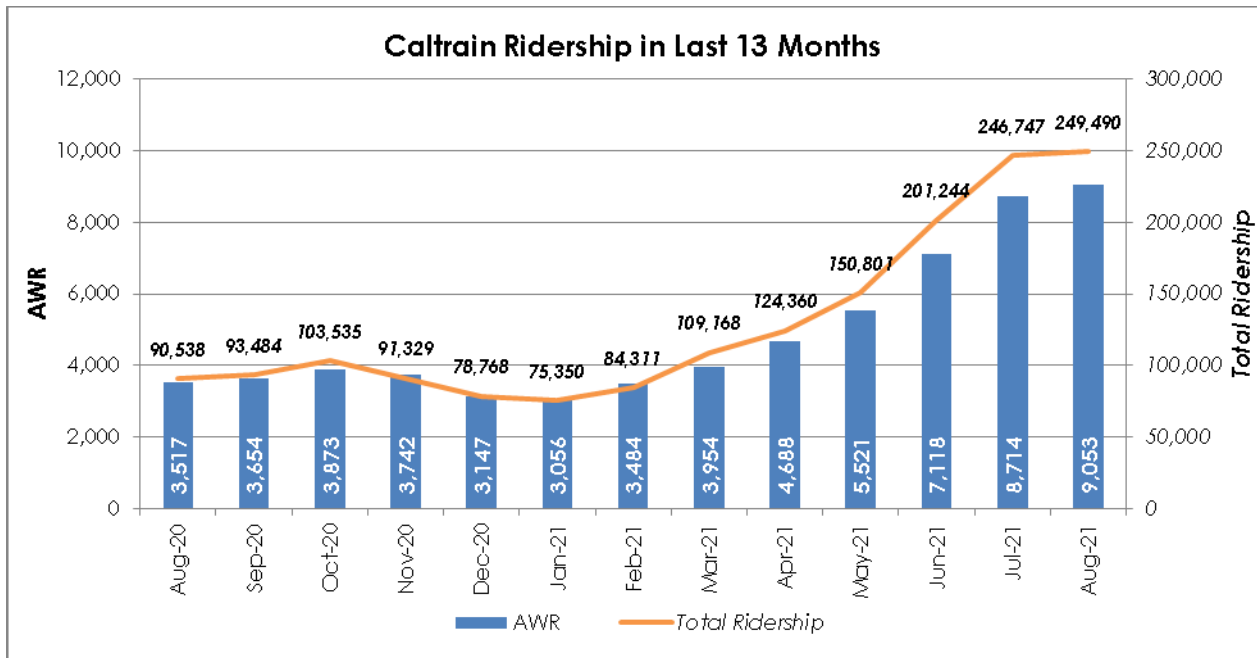
	FY2020	FY2021	FY2022	FY21 to FY22 % Change
Total Ridership	3,376,007	182,241*	496,237	172.3%
Average Weekday Ridership	47,350	3,468*	8,884	156.2%
Total Farebox Revenue	\$ 18,141,284	\$ 5,956,011	\$ 5,106,283	-14.3%
On-time Performance	93.8%	96.1%	92.3%	-3.9%
Average Weekday Caltrain Shuttle Ridership	8,717	998	225	-77.5%

* Adjusted after thorough review of data from past Fiscal Years

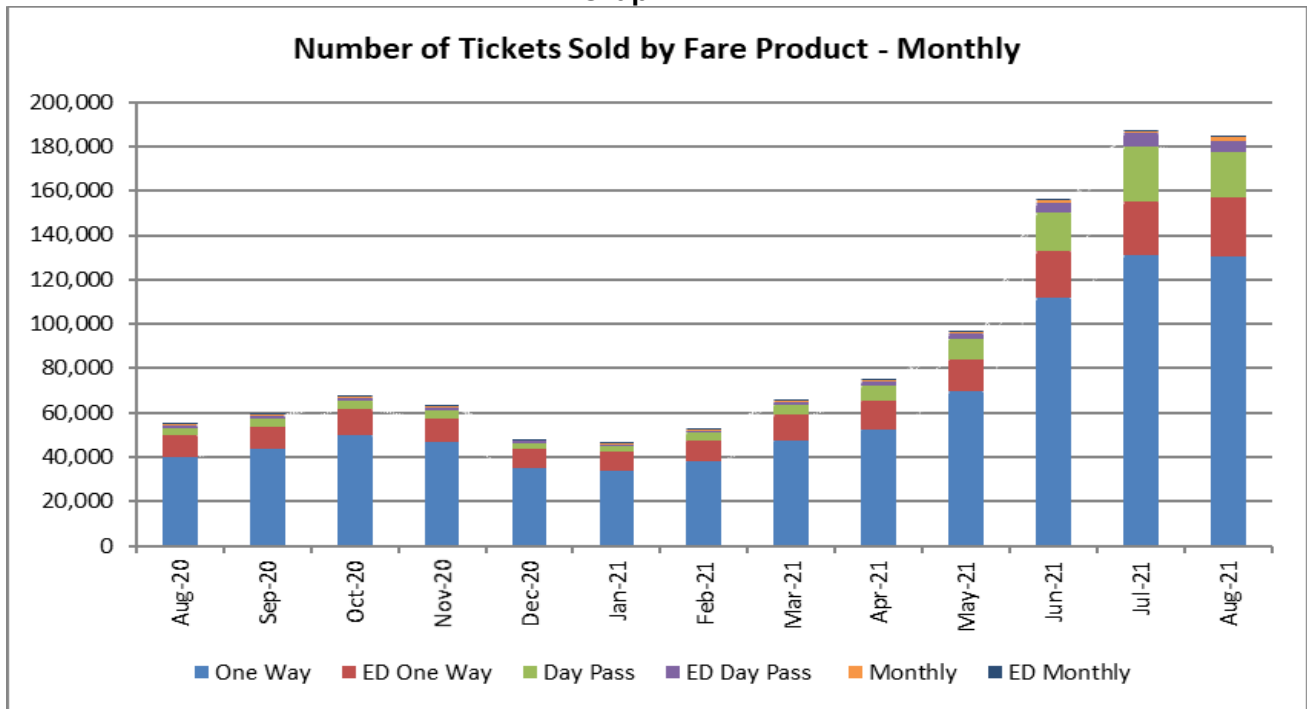
Graph A1



Graph A2

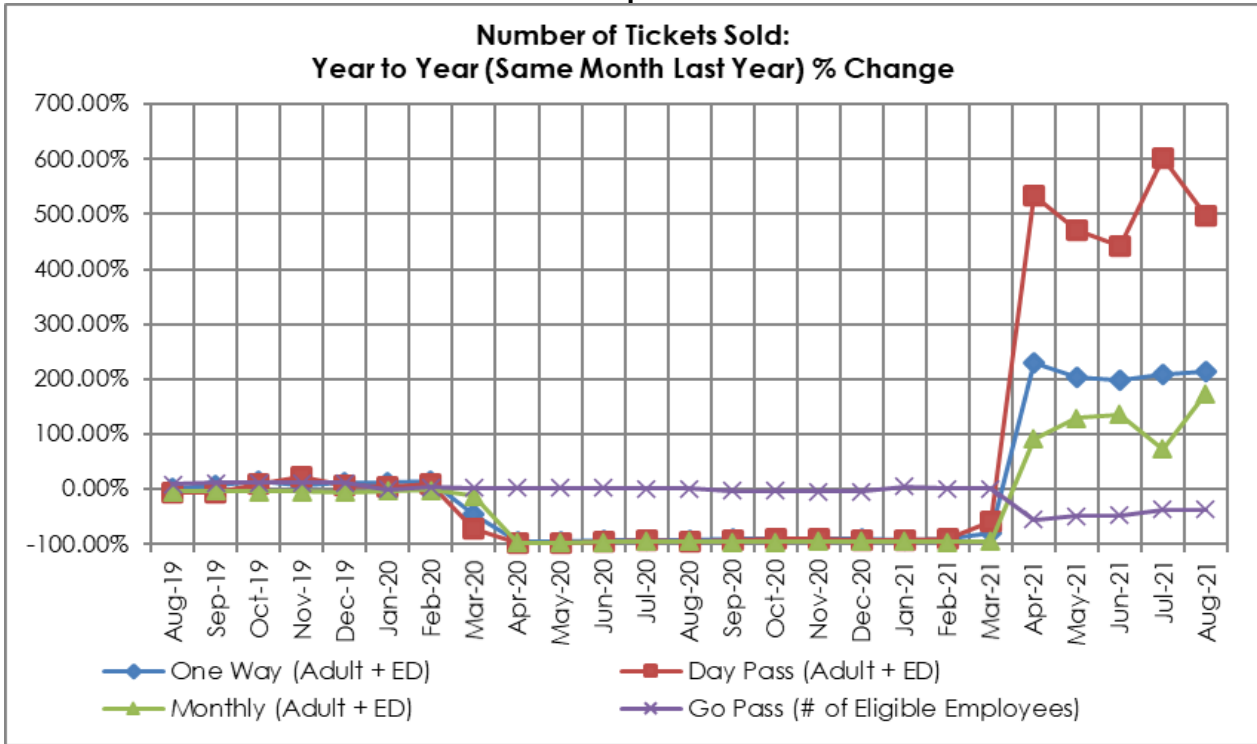


Graph B

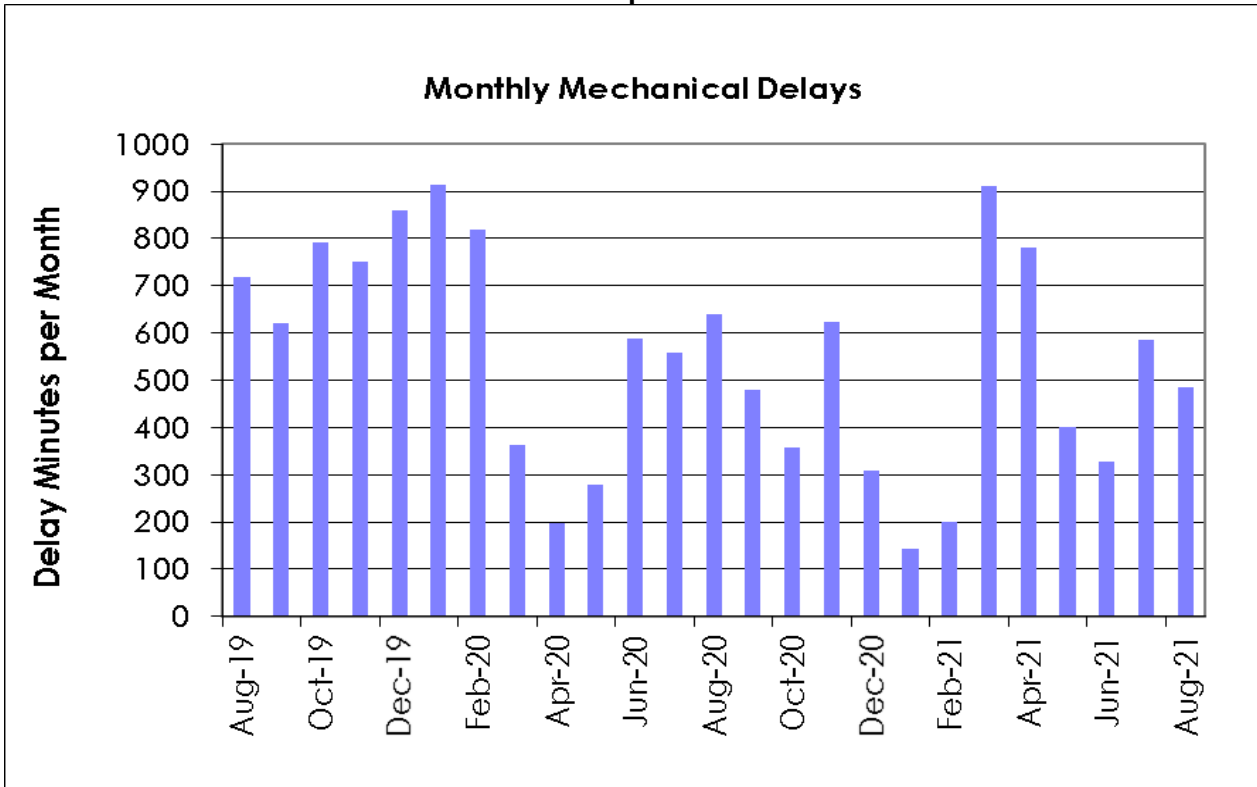


*Go Passes tracked by Monthly Number of Eligible Employees (not by Sales)

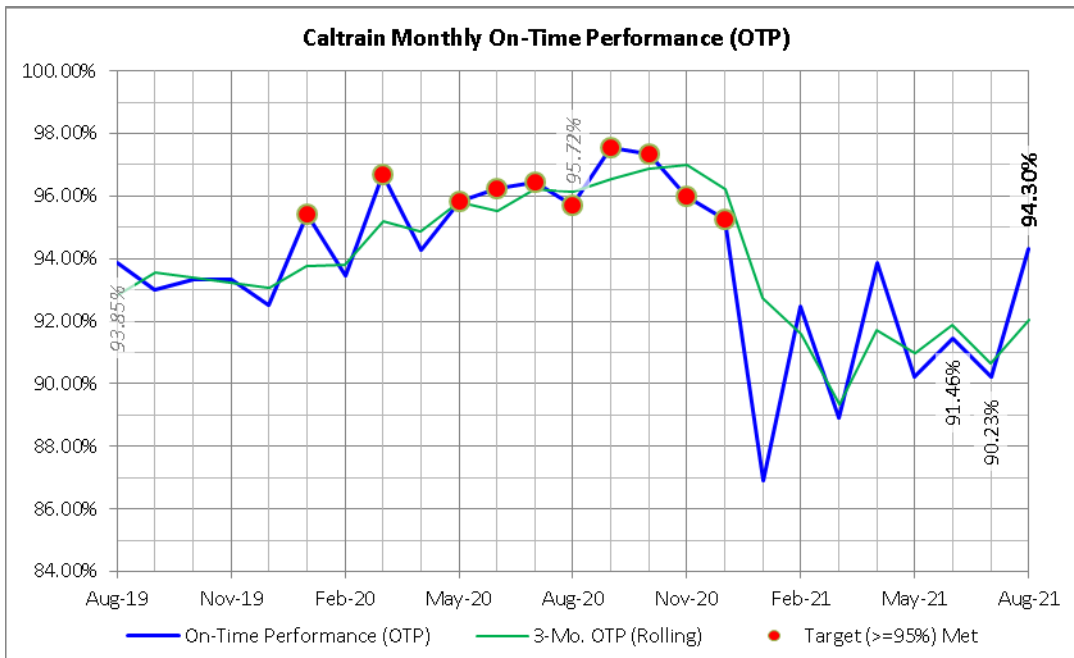
Graph C



Graph D



Graph E



Caltrain Communication and Marketing Campaigns for August 2021:

- All Aboard Bay Area Campaign (MTC)
- All Aboard Caltrain Campaign
- Take Caltrain to the Game - SF Giants Baseball (ongoing)
- Clipper Mobile (ongoing)
- 20 percent Off Caltrain Monthly Pass (ongoing)
- Clipper Start (ongoing)
- "Face Coverings Required" messaging to customers (ongoing)
- Press Release: "Grade-Separated East 25th Avenue Reopens"
- Press Release: "Caltrain Delivers Fans to 49ers' Preseason Games at Levi's Stadium"
- Press Release: "Caltrain to Run More Service than Ever, Cut Fares 50%"
- Press Release: "Caltrain Offers Rides to the Hella Mega Tour"
- Press Release: "Shuttle Service Returns to Hillsdale Station"
- Press Release: "Caltrain Provides Service to 49ers vs. Raiders"

Digital Communications Report:

The month of August was definitely an exciting one. Caltrain reached over 1 million impressions on Twitter due to the constant messaging. Caltrain started teasing the schedule change early in the month, launch of the all aboard campaign, continued welcoming back customers (welcome back series), messaging of masks on board, followed by the official launch of the schedule change.

Notable mention: Caltrain hit 5,000 followers on Instagram!

August 2021 Highlights:

- Launch of "All Aboard"
- 104 trains a day in service as of August 30th
- Started teasing 50% off for September

Caltrain.com Report:

Caltrain.com received more visitors in August, with 382,007 sessions, than any month since the Pandemic began. Pandemic Low: 84,648 sessions

Website Replacement Project:

The Website replacement Project is moving along with weekly meetings and developments in GTFS, mapping. Content has been moved from the current sites to the new sites. This is a critical first step toward launching the new sites.

Prepared by: Patrice Givens – Administrative Analyst II	650.508.6347
Robert Casumbal – Director, Marketing & Research	650.508.7924
Jeremy Lipps – Manager, Digital Communications	650.622.7845

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

DATE: September 22, 2021
TO: Finance Committee
THROUGH: Michelle Bouchard
Acting Executive Director
FROM: Derek Hansel
Chief Financial Officer
SUBJECT: September 27, 2021 Finance Committee Report of the Chief Financial Officer



Finance Committee
Recommendation



Work Program-
Legislative-Planning



Staff Coordinating
Council Reviewed



Staff Coordinating Council
Recommendation

HIGHLIGHTS

- Staff has completed final accruals for Fiscal Year 2021, and unaudited statements for June 2021 are being presented to the Finance Committee. We are currently in the process of the development of the Annual Comprehensive Financial Report, which we expect to be presented to the Finance Committee next month.
- We are considering options for bond issuance for the PCEP project, considering such factors as interest rates and timing of cash flow requirements. More information will be provided to the Finance Committee at future meetings.
- The ARPA (Tranche 1) grant has been executed and is available for drawdown.
- Measure RR sales tax revenues should start coming in this month, with more significant distributions beginning in October. Staff will provide updates to the Finance Committee as realized revenues are available.

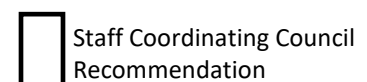
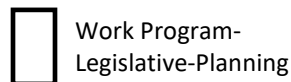
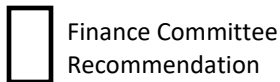
**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: JPB Finance Committee

THROUGH: Michelle Bouchard
Acting Executive Director

FROM: Derek Hansel
Chief Financial Officer

SUBJECT: **STATEMENT OF REVENUES AND EXPENSES FOR THE PERIOD ENDING
JUNE 30, 2021**



ACTION

Staff proposes that the Board of Directors (Board) of the Peninsula Corridor Joint Powers Board (JPB) accept and enter into the record the Statement of Revenues and Expenses for the month of June 2021.

This staff report provides a brief discussion of significant items and trends on the attached Statement of Revenues and Expenses through June 30, 2021. The statement has been designed to follow the Agency-wide line item rollup as included in the approved budget. The columns have been designed to provide easy comparison of year-to-date current actuals to the budget including dollar and percentage variances.

SIGNIFICANCE

Year to Date Revenues: As of June year-to-date actual, the Grand Total Revenue (page 1, line 18) is \$44.9 million higher than the approved budget. This is primarily driven by CRRSAA fund draw (page 1, line 14). CRRSAA funds were fully allocated by the Metropolitan Transportation Commission in FY2021. While a final draw of 4.07 million was made in July 2021, the revenues associated with that draw are accrued back to FY 2021, as FY 2021 expenses and revenue loss were the basis upon which this draw was made.

Year to Date Expenses: As of June year-to-date actual, the Grand Total Expense (page 1, line 49) is \$4.6 million lower than the approved budget. This is primarily driven by Shuttle Services (page 1, line 26), Facilities and Equipment Maintenance (page 1, line 31), Managing Agency Admin OH Cost (page 1, line 39) and Other Office Expenses and Services (page 1, line 43) which are partially offset by increases in Claims, Payments, and Reserves (page 1, line 30).

BUDGET IMPACT

There are no budget amendments for the month of June 2021.

Prepared By: Thwe Han, Accountant II

650-508-7912

Jennifer Ye, Acting Director, Accounting

650-622-7890

PENINSULA CORRIDOR JOINT POWERS BOARD									
STATEMENT OF REVENUE AND EXPENSE									
Fiscal Year 2021									
June 2021									
						% OF YEAR ELAPSED	100.0%		
JULY - JUNE				ANNUAL					
	CURRENT ACTUAL	REVISED BUDGET	\$ VARIANCE	% VARIANCE	APPROVED BUDGET	FORECAST	\$ VARIANCE		
REVENUE									
OPERATIONS:									
1	Farebox Revenue	32,439,915	32,029,149	410,766	1.3%	32,029,149	31,890,000	(139,149)	1
2	Parking Revenue	385,304	372,718	12,586	3.4%	372,718	372,718	-	2
3	Shuttles	1,022,510	2,031,246	(1,008,736)	(49.7%)	2,031,246	1,773,647	(257,599)	3
4	Rental Income	1,124,691	1,111,804	12,887	1.2%	1,111,804	1,111,804	-	4
5	Other Income	1,474,039	1,764,000	(289,961)	(16.4%)	1,764,000	1,764,000	-	5
6								-	6
7	TOTAL OPERATING REVENUE	36,446,459	37,308,917	(862,458)	(2.3%)	37,308,917	36,912,169	(396,748)	7
8									8
9	CONTRIBUTIONS:								
10	AB434 Peninsula & TA Shuttle Funding	1,144,681	1,737,950	(593,269)	(34.1%)	1,737,950	1,737,950	-	10
11	Operating Grants	13,304,267	13,677,703	(373,436)	(2.7%)	13,677,703	7,008,500	(6,669,203)	11
12	JPB Member Agencies	27,940,231	27,940,231	0	.0%	27,940,231	28,809,434	869,203	12
13	CARES	41,509,536	41,507,983	1,553	.0%	41,507,983	41,507,983	-	13
14	CRRSAA	46,692,029	-	46,692,029	.0%	-	38,536,627	38,536,627	14
15									15
16	TOTAL CONTRIBUTED REVENUE	130,590,744	84,863,867	45,726,877	53.9%	84,863,867	117,600,494	32,736,627	16
17									17
18	GRAND TOTAL REVENUE	167,037,203	122,172,784	44,864,419	36.7%	122,172,784	154,512,663	32,339,879	18
19									19

PENINSULA CORRIDOR JOINT POWERS BOARD

STATEMENT OF REVENUE AND EXPENSE

Fiscal Year 2021

June 2021

		% OF YEAR ELAPSED				100.0%			
		JULY - JUNE				ANNUAL			
		CURRENT	REVISED	\$	%	APPROVED	\$		
		ACTUAL	BUDGET	VARIANCE	VARIANCE	BUDGET	FORECAST	VARIANCE	
20									20
21	EXPENSE								21
22									22
23	OPERATING EXPENSE:								23
24	Rail Operator Service	85,108,192	85,109,942	(1,750)	(.0%)	85,109,942	84,109,942	(1,000,000)	24
25	Security Services	6,752,598	6,746,908	5,690	.1%	6,746,908	6,746,908	-	25
26	Shuttle Services	1,899,021	4,057,249	(2,158,228)	(53.2%)	4,057,249	3,542,715	(514,534)	26
27	Fuel and Lubricants	6,505,280	5,930,523	574,757	9.7%	5,930,523	6,330,523	400,000	27
28	Timetables and Tickets	15,932	110,000	(94,068)	(85.5%)	110,000	110,000	-	28
29	Insurance	5,406,266	5,410,000	(3,734)	(.1%)	5,410,000	5,410,000	-	29
30	Claims, Payments, and Reserves	3,067,164	960,000	2,107,164	219.5%	960,000	960,000	-	30
31	Facilities and Equipment Maintenance	4,260,435	5,474,428	(1,213,993)	(22.2%)	5,474,428	5,124,428	(350,000)	31
32	Utilities	2,009,538	1,950,400	59,138	3.0%	1,950,400	2,100,400	150,000	32
33	Maint & Services-Bldg & Other	1,385,569	1,548,433	(162,864)	(10.5%)	1,548,433	1,548,433	-	33
34									34
35	TOTAL OPERATING EXPENSE	116,409,995	117,297,883	(887,888)	(.8%)	117,297,883	115,983,349	(1,314,534)	35
36									36
37	ADMINISTRATIVE EXPENSE								37
38	Wages and Benefits	9,550,977	9,836,681	(285,704)	(2.9%)	9,836,681	9,836,681	-	38
39	Managing Agency Admin OH Cost	3,510,418	4,872,852	(1,362,434)	(28.0%)	4,872,852	3,550,188	(1,322,664)	39
40	Board of Directors	26,998	18,000	8,998	50.0%	18,000	18,000	-	40
41	Professional Services	4,989,696	5,744,024	(754,328)	(13.1%)	5,744,024	5,147,524	(596,500)	41
42	Communications and Marketing	234,816	136,000	98,816	72.7%	136,000	136,000	-	42
43	Other Office Expenses and Services	1,487,493	2,681,079	(1,193,586)	(44.5%)	2,681,079	2,416,079	(265,000)	43
44									44
45	TOTAL ADMINISTRATIVE EXPENSE	19,800,399	23,288,636	(3,488,237)	(15.0%)	23,288,636	21,104,472	(2,184,164)	45
46									46
47	Debt Service Expense	3,722,955	3,901,752	(178,797)	(4.6%)	3,901,752	4,365,950	464,198	47
48									48
49	GRAND TOTAL EXPENSE	139,933,349	144,488,271	(4,554,922)	(3.2%)	144,488,271	141,453,772	(3,034,499)	49
50									50
51	NET SURPLUS / (DEFICIT)	27,103,853	(22,315,487)	49,419,340	(221.5%)	(22,315,487)	13,058,891	35,374,378	51
52									52
53	FUNDING OF SURPLUS / (DEFICIT):								53
54	Draw from Reserves					7,000,000	-		54
55	Short-term Borrowings					15,315,487	-		55
56	FUNDED SURPLUS / (DEFICIT):					-	13,058,891		56

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BOARD OF DIRECTORS 2021

DEVORA "DEV" DAVIS, CHAIR
 STEVE HEMINGER, VICE CHAIR
 CINDY CHAVEZ
 JEFF GEE
 GLENN HENDRICKS
 DAVE PINE
 CHARLES STONE
 SHAMANN WALTON
 MONIQUE ZMUDA

PENINSULA CORRIDOR JOINT POWERS BOARD

INVESTMENT PORTFOLIO

AS OF JUNE 30, 2021

MICHELLE BOUCHARD
 ACTING EXECUTIVE DIRECTOR

TYPE OF SECURITY		MATURITY DATE	INTEREST RATE	PURCHASE PRICE	MARKET RATE
Local Agency Investment Fund (Unrestricted)	*	Liquid Cash	0.262%	25,064,770	25,064,770
County Pool (Unrestricted)		Liquid Cash	0.927%	557,830	557,830
Other (Unrestricted)		Liquid Cash	0.050%	59,808,552	59,808,552
Other (Restricted)	**	Liquid Cash	0.050%	13,339,843	13,339,843
				\$ 98,770,996	\$ 98,770,996

Interest Earnings for June 2021 \$ 23,919.08
 Cumulative Earnings FY2021 \$ 80,311.70

* 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: Michelle Bouchard
Acting Executive Director

FROM: Derek Hansel
Chief Financial Officer

SUBJECT: **STATEMENT OF REVENUES AND EXPENSES FOR THE PERIOD ENDING
AUGUST 31, 2021**



Finance Committee
Recommendation



Work Program-
Legislative-Planning



Staff Coordinating
Council Reviewed



Staff Coordinating Council
Recommendation

ACTION

Staff proposes that the Board of Directors (Board) of the Peninsula Corridor Joint Powers Board (JPB) accept and enter into the record the Statement of Revenues and Expenses for the month of August 2021.

This staff report provides a brief discussion of significant items and trends on the attached Statement of Revenues and Expenses through August 31, 2021. The statement has been designed to follow the Agency-wide line item rollup as included in the approved budget. The columns have been designed to provide easy comparison of year-to-date current actuals to the budget including dollar and percentage variances.

SIGNIFICANCE

Year to Date Revenues: As of August year-to-date actual, the Grand Total Revenue (page 1, line 19) is \$27.3 million lower than the approved budget. This is primarily driven by CRRSAA fund (page 1, line 14). CRRSAA funds were fully allocated by the Metropolitan Transportation Commission in FY2021. While a final draw of 4.07 million was made in July 2021, the revenues associated with that draw are accrued back to FY 2021, as FY 2021 expenses and revenue loss were the basis upon which this draw was made.

Year to Date Expenses: As of August year-to-date actual, the Grand Total Expense (page 1, line 54) is \$5.7 million lower than the approved budget. This is primarily driven by Fuel and Lubricants (page 1, line 27), Facilities and Equipment Maintenance (page 1, line 31), Wages and Benefits (page 1, line 38), Professional Services (page 1, line 41), Other Office Expenses and Services (page 1, line 43) and Measure RR Ballot Costs (page 1, line 49).

Other Information: The Agency accounts for revenue and expenditures on a modified cash basis (only material revenues and expenses are accrued) in the monthly financial statement. Due to the impact of Covid-19 pandemic, the variance between the current year actual and the budget may show noticeable variances due to the timing of expenditures.

BUDGET IMPACT

There are no budget amendments for the month of August 2021.

Prepared By:	Thwe Han, Accountant II	650-508-7912
	Jennifer Ye, Acting Director, Accounting	650-622-7890

Statement of Revenue and Expense

PENINSULA CORRIDOR JOINT POWERS BOARD								
STATEMENT OF REVENUE AND EXPENSE								
Fiscal Year 2022								
August 2021								
						% OF YEAR ELAPSED	16.7%	
				JULY TO AUGUST				
				ANNUAL				
		CURRENT	APPROVED	\$	%	APPROVED	\$	
		ACTUAL	BUDGET	VARIANCE	VARIANCE	BUDGET	FORECAST	VARIANCE
REVENUE								
OPERATIONS:								
1	Farebox Revenue	5,106,283	4,563,000	543,283	11.9%	34,639,000	34,639,000	-
2	Parking Revenue	152,989	256,000	(103,011)	(40.2%)	1,536,000	1,536,000	-
3	Shuttles	222,244	267,316	(45,072)	(16.9%)	1,603,900	1,603,900	-
4	Rental Income	166,121	198,744	(32,623)	(16.4%)	1,192,466	1,192,466	-
5	Other Income	167,785	264,100	(96,315)	(36.5%)	1,584,608	1,584,608	-
6								
7	TOTAL OPERATING REVENUE	5,815,422	5,549,160	266,262	4.8%	40,555,974	40,555,974	-
8								
9	CONTRIBUTIONS:							
10	AB434 Peninsula & TA Shuttle Funding	26,689	186,550	(159,861)	(85.7%)	1,119,300	1,119,300	-
11	Operating Grants	1,070,037	1,070,912	(875)	(.1%)	6,525,471	6,525,471	-
12	JPB Member Agencies	-	-	-	.0%	-	-	-
13	Measure RR	14,429,486	14,429,487	(1)	.0%	86,576,919	86,576,919	-
14	CRRSAA*	-	27,115,922	(27,115,922)	(100.0%)	27,115,922	-	(27,115,922)
15	ARPA	-	-	-	.0%	14,849,883	14,849,883	-
16								
17	TOTAL CONTRIBUTED REVENUE	15,526,212	42,802,871	(27,276,659)	(63.7%)	136,187,495	109,071,573	(27,115,922)
18								
19	GRAND TOTAL REVENUE	21,341,634	43,069,133	(27,276,659)	(342.9%)	176,743,469	149,627,547	(27,115,922)
20	*CRRSAA funding was received and reported as revenue in late FY21. However, it was not budgeted in FY21 as the amount of funding was unknown at the time of FY21 Budget adoption. Therefore the budget for CRRSAA funding was carried over and budgeted in FY22. A future FY22 budget action will be brought to the Board to clarify funding sources for the FY22 budget, including reserved funds from the FY21 actual results and/or additional funding made available from ARPA distributions.							

PENINSULA CORRIDOR JOINT POWERS BOARD									
STATEMENT OF REVENUE AND EXPENSE									
Fiscal Year 2022									
August 2021									
% OF YEAR ELAPSED							16.7%		
	JULY TO AUGUST				ANNUAL				
	CURRENT ACTUAL	APPROVED BUDGET	\$ VARIANCE	% VARIANCE	APPROVED BUDGET	FORECAST	\$ VARIANCE		
21	EXPENSE							21	
22								22	
23	DIRECT EXPENSE:							23	
24	Rail Operator Service	15,220,938	14,700,067	520,871	3.5%	97,353,730	97,353,730	-	24
25	Security Services	932,540	242,880	689,660	284.0%	7,486,512	7,486,512	-	25
26	Shuttle Services	176,037	295,316	(119,279)	(40.4%)	2,723,200	2,723,200	-	26
27	Fuel and Lubricants	1,120,135	1,739,142	(619,007)	(35.6%)	10,434,846	10,434,846	-	27
28	Timetables and Tickets	4,578	9,166	(4,588)	(50.1%)	55,000	55,000	-	28
29	Insurance	5,513,353	5,857,210	(343,857)	(5.9%)	5,857,210	5,857,210	-	29
30	Claims, Payments, and Reserves	(220,636)	136,668	(357,304)	(261.4%)	820,000	820,000	-	30
31	Facilities and Equipment Maintenance	286,440	1,245,187	(958,747)	(77.0%)	7,534,353	7,534,353	-	31
32	Utilities	260,580	425,434	(164,854)	(38.7%)	2,552,600	2,552,600	-	32
33	Maint & Services-Bldg & Other	7,679	274,050	(266,371)	(97.2%)	1,674,250	1,674,250	-	33
34								34	
35	TOTAL DIRECT EXPENSE	23,301,644	24,925,120	(1,623,476)	(6.5%)	136,491,701	136,491,701	-	35
36								36	
37	ADMINISTRATIVE EXPENSE							37	
38	Wages and Benefits	2,407,761	3,071,226	(663,466)	(21.6%)	12,812,686	12,812,686	-	38
39	Managing Agency Admin OH Cost	589,718	578,088	11,630	2.0%	3,470,871	3,470,871	-	39
40	Board of Directors	1,223	8,044	(6,821)	(84.8%)	48,275	48,275	-	40
41	Professional Services	289,518	1,402,020	(1,112,502)	(79.3%)	8,412,820	8,412,820	-	41
42	Communications and Marketing	12,343	52,332	(39,989)	(76.4%)	322,750	322,750	-	42
43	Other Office Expenses and Services	239,180	651,050	(411,870)	(63.3%)	3,802,614	3,802,614	-	43
44								44	
45	TOTAL ADMINISTRATIVE EXPENSE	3,539,743	5,762,760	(2,223,017)	(38.6%)	28,870,016	28,870,016	-	45
46								46	
47	TOTAL OPERATING EXPENSE	26,841,387	30,687,880	(3,846,493)	(12.5%)	165,361,717	165,361,717	-	47
48								48	
49	Measure RR Ballot Costs	5,356,968	7,000,000	(1,643,032)	(23.5%)	7,000,000	7,000,000	-	49
50	Governance	49,379	333,334	(283,955)	(85.2%)	2,000,000	2,000,000	-	50
51								51	
52	Debt Service Expense	466,680	396,958	69,722	17.6%	2,381,752	2,381,752	-	52
53								53	
54	GRAND TOTAL EXPENSE	32,714,414	38,418,172	(5,703,758)	(14.8%)	176,743,469	176,743,469	-	54
55								55	
56	NET SURPLUS / (DEFICIT)	(11,372,780)	4,650,961	(21,572,901)	(463.8%)	-	(27,115,922)	(27,115,922)	56



BOARD OF DIRECTORS 2021

DEVORA "DEV" DAVIS, CHAIR
 STEVE HEMINGER, VICE CHAIR
 CINDY CHAVEZ
 JEFF GEE
 GLENN HENDRICKS
 DAVE PINE
 CHARLES STONE
 SHAMANN WALTON
 MONIQUE ZMUDA

PENINSULA CORRIDOR JOINT POWERS BOARD

INVESTMENT PORTFOLIO

AS OF AUGUST 31, 2021

MICHELLE BOUCHARD
 ACTING EXECUTIVE DIRECTOR

TYPE OF SECURITY		MATURITY DATE	INTEREST RATE	PURCHASE PRICE	MARKET RATE
Local Agency Investment Fund (Unrestricted)	*	Liquid Cash	0.221%	85,145	85,145
County Pool (Unrestricted)		Liquid Cash	1.069%	557,830	557,830
Other (Unrestricted)		Liquid Cash	0.050%	63,712,600	63,712,600
Other (Restricted)	**	Liquid Cash	0.050%	11,144,659	11,144,659
				\$ 75,500,234	\$ 75,500,234

Interest Earnings for August 2021 \$ 1,289.20
 Cumulative Earnings FY2022 \$ 4,800.37

* 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: Michelle Bouchard
Acting Executive Director

FROM: Derek Hansel
Chief Financial Officer

Sebastian Petty
Deputy Chief of Planning

SUBJECT: **AUTHORIZE AMENDMENT OF THE MEMORANDUM OF UNDERSTANDING FOR THE WHIPPLE AVENUE GRADE SEPARATION PROJECT TO INCREASE (1) CAPITAL PROJECT BUDGET BY \$301,000 AND (2) THE TOTAL FISCAL YEAR 2022 CAPITAL BUDGET FROM \$67,234,919 TO \$67,535,919**



Finance Committee
Recommendation



Work Program-Legislative-Planning
Committee Recommendation



Staff Coordinating
Council Reviewed



Staff Coordinating Council
Recommendation

ACTION

The Staff Coordinating Council recommends the Board:

1. Authorize the Acting Executive Director, or designee, to amend the Memorandum of Understanding (MOU) with the City of Redwood City (City) and San Mateo County Transportation Authority (SMCTA) to receive up to \$301,000 in additional funds for planning work associated with the Whipple Avenue Grade Separation Project, increasing the total amount authorized from \$850,000 to \$1,151,000, in a form approved by legal counsel; and
2. Amend the MOU to Increase the Fiscal Year (FY) 2022 Capital Project Budget by \$301,000, from \$67,234,919 to \$67,535,919; and
3. Authorize the Acting Executive Director, or designee, to file any other required documentation and to take any other actions necessary to give effect to the resolution.

SIGNIFICANCE

In November 2017, the SMCTA programmed and allocated \$750,000 of Measure A Grade Separation Program funds to prepare a Project Study Report (PSR) to explore alternatives for a grade separation of Whipple Avenue, in addition to other at-grade crossings within the City. The City also pledged \$100,000 in matching funds.

The City initiated the Whipple Avenue Grade Separation Project in 2019 in partnership with Caltrain as the owner and manager of the consultant contract. While the study initially prioritized a grade separation at Whipple Avenue, the focus was expanded to include the other at-grade crossings in the City (Brewster Avenue, Broadway, Maple Street, Main Street and Chestnut Street).

The City and JPB continue to work together to analyze the grade separation alternatives, each of which has various permutations in terms of street impacts and closures. The complexity of the alternatives paired with COVID-19 produced a need for an extensive virtual public outreach effort to educate the public as well as elicit feedback.

Due to the expanded focus on all at-grade crossings in the City and the complexity of the crossings and alternatives, as well as to account for the extensive virtual public outreach that was organized throughout COVID-19, the City requested additional Measure A Grade Separation Program funds from the SMCTA to continue the conceptual planning effort to determine a preferred alternative and expand outreach efforts in the communities of concern around the southern at-grade crossings where participation in previous outreach efforts was low. The SMCTA approved this request at their September 2, 2021 Board meeting.

The proposed Board action would authorize the Acting Executive Director, or her designee, to (1) amend the MOU with the City and SMCTA to increase the budget for the planning associated with the Whipple Avenue Grade Separation Project by \$301,000, from \$850,000 to \$1,151,000, and (2) increase the total FY 2022 capital budget by \$301,000, from \$67,234,919 to \$67,535,919.

BUDGET IMPACT

The Whipple Avenue Grade Separation Project was approved for \$850,000 by the Board in FY2018 with funding provided by the San Mateo County Transportation Authority (SMCTA) and the City. On September 2, 2021, SMCTA approved the supplemental allocation of \$301,000 to fund Whipple Avenue Grade Separation project. The City will contribute local match in the way of supplemental City-hired consultant services. The value of this contract is \$50,000 and will not impact the total project budget.

This request will increase the FY22 capital budget by a total of \$301,000 (from \$67,234,919 to \$67,535,919).

BACKGROUND

The JPB has acted as the lead agency for the design and eventual construction of each of the grade separations in San Mateo County at no cost to the JPB. In the last 10 years, the JPB has entered into agreements to serve as lead agency for grade separations in the City of San Bruno, the City of San Mateo and most recently the City of Burlingame.

Prepared by: Melissa Reggiardo, Manager, Caltrain Planning

650.508.6283

RESOLUTION NO. 2021-

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

*** * ***

**AUTHORIZING THE AMENDMENT OF THE MEMORANDUM OF UNDERSTANDING FOR THE
WHIPPLE AVENUE GRADE SEPARATION PROJECT TO INCREASE THE FISCAL YEAR 2022
CAPITAL PROJECT BUDGET BY \$301,000 AND THE TOTAL FISCAL YEAR 2022 CAPITAL
BUDGET FROM \$67,234,919 TO \$67,535,919**

WHEREAS, in November 2017, the San Mateo County Transportation Authority (SMCTA) programmed and allocated \$750,000 of Measure A Grade Separation Program funds to prepare a Project Study Report (PSR) to explore alternatives for a grade separation of Whipple Avenue, in addition to other at-grade crossings within the City of the Redwood City ("City") and the City also pledged \$100,000 in matching funds for a total of \$850,000;

WHEREAS, the City initiated the Whipple Avenue Grade Separation Project in 2019 in Partnership with Peninsula Corridor Joint Powers Board (JPB) as the owner and manager of the consultant contract;

WHEREAS, the City requested and the SMCTA approved \$301,000 in additional Measure A Grade Separation Program funds to continue the conceptual planning effort due to the expanded focus on all at-grade crossings in the City and the complexity of the crossings and alternatives, to account for the extensive virtual public outreach that was organized throughout COVID-19, and to continue and expand outreach efforts in the communities of concern around the southern at-grade crossings where participation in previous outreach efforts was low.

WHEREAS, the Staff Coordinating Council recommends and the Acting Executive Director concurs that the Board of Directors:

(1) Authorize the Acting Executive Director, or her designee, to amend the Memorandum of Understanding (MOU) with the City and SMCTA to receive up to \$301,000 in additional funds for planning work associated with the Whipple Avenue Grade Separation Project, in a form approved by legal counsel; (2) Amend the FY2022 Capital Project Budget to increase it by \$301,000, as reflected in Attachment B and amend the total FY2022 Capital Budget to increase it from \$67,234,919 to \$67,535,919; and (3) Authorize the Acting Executive Director, or her designee, to file any other required documentation and to take any other actions necessary to give effect to this resolution.

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

1. Authorize the Acting Executive Director, or her designee, to amend the Memorandum of Understanding (MOU) with the City and SMCTA to receive up to \$301,000 in additional funds for planning work associated with the Whipple Avenue Grade Separation Project, in forms approved by legal counsel; and
2. Amend to increase the FY2022 Capital Project Budget by \$301,000, as reflected in Attachment B and amend to increase the total FY2021 Capital Budget from \$67,234,919 to \$67,535,919; and
3. Authorize the Acting Executive Director, or 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 7th day of October 2021 by the following

vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTESTS:

Secretary



FY2022 CAPITAL BUDGET

Attachment B
Amendment 4
October 2021

Item #	PROJECT NAME	PRIOR YEARS APPROVED	AMENDED FY2022 CAPITAL BUDGET	Federal Funds	STA SOGR Funds	Measure RR	Others	AMENDED FY2022 CAPITAL BUDGET
i. STATE OF GOOD REPAIR								
Bridges								
1	Guadalupe River Bridge Replacement and Extension	12,400,000	1,989,000	1,591,200	397,800	-	-	1,989,000
			1,989,000	1,591,200	397,800	-	-	1,989,000
Right of Way								
2	Track SOGR	11,220,000	5,437,771	4,350,217	1,087,554	-	-	5,437,771
3	Right of Way Fencing	585,000	156,000	-	-	156,000	-	156,000
			5,593,771	4,350,217	1,087,554	156,000	-	5,593,771
Signal & Communications								
4	Communications SOGR	2,000,000	416,000	332,800	5,667	77,533	-	416,000
5	Fiber Optics SOGR	1,000,000	572,000	457,600	-	114,400	-	572,000
6	Signal SOGR	-	1,248,000	998,400	-	249,600	-	1,248,000
7	Migration To Digital Voice Radio System	700,000	832,000	665,600	-	166,400	-	832,000
			3,068,000	2,454,400	5,667	607,933	-	3,068,000
Rolling Stock								
			-	-	-	-	-	-
Facilities & Intermodal Access								
8	Stations SOGR	1,500,000	208,000	-	-	208,000	-	208,000
9	Historic Stations SOGR	-	1,352,000	-	-	1,352,000	-	1,352,000
29	South San Francisco Station Improvement ³	71,600,000	25,000,000	-	-	-	25,000,000	25,000,000
			26,560,000	-	-	1,560,000	25,000,000	26,560,000
	Total SOGR		37,210,771	8,395,817	1,491,021	2,323,933	25,000,000	37,210,771
ii. LEGAL MANDATES AND ELECTRIFIED SERVICE RAIL PROGRAM INTEGRATION								
10	Rail Program Integration and Transition	-	4,658,148	-	-	4,658,148	-	4,658,148
11	Hayward Park Remediation	-	51,000	-	-	51,000	-	51,000
			4,709,148	-	-	4,709,148	-	4,709,148
iii. OPERATIONAL IMPROVEMENTS/ENHANCEMENTS								
12	PADS Replacement	-	1,040,000	-	-	1,040,000	-	1,040,000
13	Grade Crossing Improvements Construction	500,000	1,040,000	-	-	1,040,000	-	1,040,000
14	Caltrain VoIP	-	520,000	-	-	520,000	-	520,000
15	TVM Upgrade Phase 5	2,795,000	1,040,000	832,000	-	208,000	-	1,040,000
16	Caltrain Fiber Connectivity to Caltrain Stations and Digital Voice Base Station	-	624,000	-	-	624,000	-	624,000
17	Next Gen Clipper Validators Site Prep	2,500,000	1,560,000	1,248,000	-	312,000	-	1,560,000
18	Mountain View Transit Center Grade Separation and Access Project ¹	-	11,200,000	-	-	-	11,200,000	11,200,000
31	Broadway Burlingame Grade Separation ⁵	24,388,000	1,025,000	-	-	-	1,025,000	1,025,000
			18,049,000	2,080,000	-	3,744,000	12,225,000	18,049,000
iv. PLANNING/STUDIES								
19	Operations, Access and Customer Interface Planning	-	260,000	-	-	260,000	-	260,000
20	Business Strategy and Policy Development	-	780,000	-	-	780,000	-	780,000
21	Electrification Expansion and Integration - Preliminary Planning	-	520,000	-	-	520,000	-	520,000
22	Capital Planning Technical Support	-	286,000	-	-	286,000	-	286,000
23	Transit-oriented Development Studies	-	1,040,000	-	-	1,040,000	-	1,040,000
24	Diridon Integrated Station Concept Plan (DISC) ²	-	720,000	-	-	-	720,000	720,000
30	SF Railyards Preliminary Business Case ⁴	-	2,000,000	-	-	-	2,000,000	2,000,000
32	Whipple Avenue Redwood City Grade Separation ⁵	850,000	301,000	-	-	-	301,000	301,000
			5,907,000	-	-	2,886,000	3,021,000	5,907,000
iv. CAPITAL CONTINGENCY FUNDS								
25	Capital Contingency Funds - Engineering	-	330,000	-	-	330,000	-	330,000
26	Capital Contingency Funds - Rail	-	660,000	-	-	660,000	-	660,000
27	Capital Project Development	-	335,000	-	-	335,000	-	335,000
28	Capital Program Management	-	335,000	-	-	335,000	-	335,000
		132,038,000	1,660,000	-	-	1,660,000	-	1,660,000
	Total FY2022 Capital Budget		67,535,919	10,475,817	1,491,021	15,323,081	40,246,000	67,535,919

¹ \$10.0 million from Santa Clara Valley Transportation Authority (VTA) per Reso 2020-39 and \$1.2 million from the City of Mountain View

² City of San Jose

³ San Mateo County Transportation Authority and City of South San Francisco

⁴ Prologis LLC

⁵ San Mateo County Transportation Authority (TA)

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michelle Bouchard
Acting Executive Director

FROM: Derek Hansel
Chief Financial Officer

SUBJECT: **REAFFIRM THE PENINSULA CORRIDOR JOINT POWERS BOARD INVESTMENT
POLICY AND REAUTHORIZE INVESTMENT OF MONIES WITH THE LOCAL
AGENCY INVESTMENT FUND**



Finance Committee
Recommendation



Work Program-Legislative-Planning
Committee Recommendation



Staff Coordinating
Council Reviewed



Staff Coordinating Council
Recommendation

ACTION

Staff proposes the Committee recommend the Board:

1. Reaffirm the Peninsula Corridor Joint Powers Board (JPB) Statement of Investment Policy which aligns with current State law, including California Government Code Section 53601. This Investment Policy provides guidelines for the investment of JPB's funds and includes delegations of authority to invest such funds; and
2. Reauthorize the investment of JPB monies in Local Agency Investment Funds (LAIF) in compliance with LAIF requirements.

SIGNIFICANCE

The Executive Director or his designee serves as the JPB's trustee for purposes of placing investments pursuant to the Investment Policy. The Board of Directors, in accordance with California Government Code Section 53646(a), may review the Investment Policy and also reauthorize the included delegations of authority on an annual basis at a public meeting. After consideration of the existing policy, by staff, and in conjunction with the JPB's Investment advisor, no changes are currently recommended to the existing Investment Policy. Staff will continue to review the Investment Policy on a regular basis, and especially as increases in investable balances may lead to any appropriate changes. As such, the proposed action will:

- Reaffirm the Investment Policy's limitations for investment instruments consistent with the limitations set forth in *California Government Code Sections 53600 et seq.* for the JPB's current portfolios and to be updated annually by the Executive Director or his designee with advice from the JPB's investment advisers; and

- Reauthorize the investment of JPB monies in LAIF.

BUDGET IMPACT

Reaffirmation of the Investment Policy and reauthorization of investment in LAIF will have no impact on the JPB budgets.

BACKGROUND

The JPB's investments continue to be in accordance with sound treasury management practices and comply with the objectives of safety, liquidity, and yield in that order of priority.

Continued investments through LAIF are consistent with these objectives.

Prepared by: Connie Mobley-Ritter, Director, Treasury

650.508.7765

RESOLUTION NO. 2021 –

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

* * *

**AMENDING THE STATEMENT OF INVESTMENT POLICY
FOR THE PENINSULA CORRIDOR JOINT POWERS BOARD**

WHEREAS, as encouraged by applicable State law and in accordance with best practices, the Peninsula Corridor Joint Powers Board (JPB) adopted a Statement of Investment Policy in August 1999; and

WHEREAS, the JPB may annually render a statement of said Investment Policy to the Board of Directors for review and approval pursuant to Section 53646 of the State of California Government Code; and

WHEREAS, the JPB has amended or reaffirmed its Statement of Investment Policy over the years, most recently in November 2020, to align with descriptions of investments contained in the California state codes and to more clearly reflect the JPB's strategy for the investment of its funds; and

WHEREAS, in presenting the Statement of Investment Policy to the Board of Directors for this year, staff recommends reaffirming the Statement of Investment Policy to align with State law, including California Government Code Section 53601; and

WHEREAS, staff further recommends reappointment of the Executive Director, or his designee, as trustee for purposes of placing investments pursuant to the aforementioned policy.

NOW, THEREFORE BE IT RESOLVED the Board of Directors of the Peninsula Corridor Joint Powers Board (1) Amends the Statement of Investment Policy attached hereto as Exhibit A; and (2) Reappoints its Executive Director, or his designee, as the trustee for purposes of placing investments pursuant to said policy.

Regularly passed and adopted this 7th day of October, 2021 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary

RESOLUTION NO. 2021 –

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

**REAUTHORIZING INVESTMENT OF PENINSULA CORRIDOR JOINT POWERS BOARD MONIES IN
LOCAL AGENCY INVESTMENT FUND**

WHEREAS, pursuant to Government Code Section 16429.1, a Local Agency Investment Fund (LAIF) was created in the State Treasury for the deposit of local agency monies for purposes of investment by the State Treasurer; and

WHEREAS, staff recommends that the deposit and withdrawal of money in the LAIF in accordance with the provisions of Government Code Section 16429.1 is in the best interests of the Peninsula Corridor Joint Powers Board (JPB).

NOW THEREFORE, BE IT RESOLVED the Board of Directors of the Peninsula Corridor Joint Powers Board does hereby reauthorize the deposit and withdrawal of JPB monies in Local Agency Investment Fund in the State Treasury in accordance with the provisions of Government Code Section 16429.1, for the purpose of investment; and

BE IT FURTHER RESOLVED the Executive Director, or his designee, shall be authorized to order the deposit or withdrawal of JPB monies in the LAIF.

Regularly passed and adopted this 7th day of October, 2021 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary

August 5, 1999
Reaffirmed August 3, 2000
Amended August 2, 2001
Reaffirmed September 2002
Amended October 2003

Reaffirmed September 2004
Reaffirmed October 2005
Reaffirmed November 2006
Amended November 2007
Amended December 2008

Reaffirmed December 2009
Amended November 2010
Reaffirmed November 2011
Amended November 2012
Reaffirmed November 2013

Reaffirmed November 2014
Amended August 2016
Amended September 2017
Reaffirmed October 2019
Amended November 2020

EXHIBIT A

PENINSULA CORRIDOR JOINT POWERS BOARD

STATEMENT OF INVESTMENT POLICY

I. PURPOSE

This Statement of Investment Policy (Investment Policy) sets forth the investment guidelines for the prudent investment and cash management of the Peninsula Corridor Joint Powers Board's (PCJPB) funds. It is the goal of this Investment Policy to establish investment objectives in accordance with the provisions of the *California Government Code, Section 53600 et seq.* (hereafter "*Code*"), and investment guidelines to ensure that the funds under its purview are prudently invested to preserve capital, provide necessary liquidity, and achieve a market-average rate of return over an economic cycle consistent with the PCJPB's goals of preserving principal and minimizing the risk of diminishing the principal.

Investments may only be made as authorized by this Investment Policy, and subsequent revisions. This Statement of Investment Policy may be reviewed annually by the PCJPB's Board of Directors at a public meeting. (*California Government Code Section 53646(a)*). Irrespective of these policy provisions, should the provisions of the *Code* be, or become, more restrictive than those contained herein, then such provisions will be considered immediately incorporated into this Statement of Investment Policy.

II. OBJECTIVE

The PCJPB's cash management system is designed to monitor and forecast accurately, expenditures and revenues, thus enabling the PCJPB to invest funds to the fullest extent possible. Idle funds of the PCJPB shall be invested in accordance with sound treasury management and in accordance with the provisions of the *Code* and this Investment Policy.

Investments shall be made with judgment and care, under circumstances then prevailing, which persons of prudence, discretion and intelligence exercise in the management of their own affairs, not for speculation, but for investment, considering the probable safety of their capital, as well as the probable income to be derived. The standard of prudence to be used by investment officials shall be applied in the context of managing an overall portfolio. PCJPB officials shall act in accordance with written procedures and the Investment Policy, and should report deviations from expectations in a timely fashion and take appropriate action to control adverse developments.

The PCJPB's primary objective with respect to its invested funds is to safeguard the principal of the funds. The second objective is to meet the liquidity needs of the PCJPB. The third objective is to achieve a return on its invested funds.

III. BENCHMARKS

Investment performance will be compared to the performance benchmark selected by the PCJPB, which

approximates the PCJPB's portfolio and the specific restrictions on the PCJPB's portfolio in accordance with applicable current legislation by the State of California. The benchmark will be reviewed periodically to ensure it remains appropriate and consistent with the PCJPB's risk and return expectations.

IV. POLICY

At all times, the PCJPB shall invest its funds in accordance with the rules and restrictions established by the law of the State of California (including the *Code*). In addition, the PCJPB shall conduct its investments under the "prudent investor standard": "When investing, reinvesting, purchasing, acquiring, exchanging, selling or managing public funds, a trustee shall act with care, skill, prudence and diligence under the circumstances then prevailing, including, but not limited to, the general economic conditions and the anticipated needs of the agency, that a prudent person acting in a like capacity and familiarity with those matters would use in the conduct of funds of a like character and with like aims, to safeguard the principal and maintain the liquidity needs of the agency." (*California Government Code Section 53600.3*).

The Executive Director of the PCJPB, or his designee, shall serve as the PCJPB's trustee for purposes of placing investments pursuant to this Investment Policy. The Board of Directors may review and specifically reauthorize this delegation of authority on an annual basis.

1. **Criteria for Selecting Investments.** Criteria for selecting investments and the order of priority are:
 - a. **Safety.** The safety and risk associated with an investment refer to the potential loss of principal, interest or a combination of these amounts. The PCJPB shall operate only in those investments that are considered safe. Investments in instruments and with institutions permitted under Section 2, 6, and Section 7, are deemed to constitute safe investments within the meaning of this Investment Policy.
 - b. **Liquidity.** An adequate percentage of the portfolio, in the approximate amount of six months' operating expenses, should be maintained in liquid short-term investments which can convert to cash if necessary to meet disbursement requirements. For purposes of this Investment Policy, fixed income securities maturing in one year or more are considered investment term, and fixed income securities maturing in less than one year are considered short-term cash equivalents. All funds available for investment shall be directed to the managers of the PCJPB's investment portfolio.
 - c. **Return on Investment.** The PCJPB's investment portfolio shall be designed with the objective of attaining the safety and liquidity objectives first, and then attaining a market rate of return throughout the budgetary and economic cycles, consistent with the portfolio's benchmark as described in the section entitled "Objective" (see above). This benchmark takes into account the PCJPB's investment risk constraints and the cash flow characteristics of the portfolio.
2. **Diversification.** The PCJPB will focus on diversification and invest in securities consistent with the diversification limits established by this policy and consistent with California Government Code.
3. **Safekeeping and Custody.** All security transactions, including collateral for repurchase

agreements, will be executed on a Delivery versus Pay Basis (DVP). The assets of the PCJPB shall be held in safekeeping by the PCJPB's safekeeping agent, or secured through third party custody and safekeeping procedures. A due bill or other substitutions will not be acceptable.

4. **Maturity of Investments.** The specific security guidelines including maximum maturities and qualified Fixed Income instruments can be found in Section 10 "Summary of Instruments & Limitations" of this Investment Policy.

The maximum dollar weighted average maturity of the fund is five years. This policy limitation leaves open the flexibility to take advantage of interest rate fluctuations as well as yield curve differences to maximize the return on investment. The imposed maximum dollar weighted five year average maturity limits the market risk to levels appropriate for an intermediate income fund. For the purposes of calculating the "average life" of the fund, callable and asset backed securities will be run to their stated final maturity.

5. **Deposit of Funds.** As far as possible, all money belonging to or in the custody of the PCJPB including money paid to the PCJPB to pay the principal, interest or penalties of bonds, shall be deposited for safekeeping in state or national banks, savings associations or federal associations, credit unions or federally insured industrial loan companies in California (as defined by *California Government Code Section 53630*). Pursuant to *California Government Code Sections 53635, 53637 and 53638*, the money shall be deposited in any authorized depository with the objective of realizing maximum return, consistent with prudent financial management.

6. **Allowable Investment Instruments.** The PCJPB also may invest in any investment instrument as authorized by the *California Government Code*, as it may be amended from time to time, and subject to any conditions set forth in the *California Government Code*. This Policy may be more restrictive than *California Government Code* regarding the limitations of certain investment types, as shown in the table in Section 10. These investment instruments include but are not limited to:

- a. United States Treasury notes, bonds, bills, or certificates of indebtedness, or those for which the faith and credit of the United States are pledged for the payment of principal and interest, pursuant to *California Government Code Section 53601(b)*.
- b. Federal agency or United States government-sponsored enterprise obligations, participations, or other instruments, including those issued by or fully guaranteed as to principal and interest by federal agencies or United States government sponsored enterprises, pursuant to *California Government Code Section 53601(f)*.
- c. Bankers' acceptances otherwise known as bills of exchange or time drafts that are drawn on and accepted by a commercial bank. Purchases of bankers' acceptances shall not exceed 180 days' maturity or 40 percent of the agency's moneys that may be invested pursuant to this section. However, no more than 30 percent of the agency's moneys may be invested in the bankers' acceptances of any one commercial bank pursuant to this section. This subdivision does not preclude a municipal utility district from investing moneys in its treasury in a manner authorized by the Municipal Utility District Act (*California Public Utilities Code*

Section 11501, et seq.). Pursuant to *California Government Code Section 53601(g)*.

- d. Commercial paper of “prime” quality of the highest ranking or of the highest letter and number rating as provided for by a nationally recognized statistical rating organization (NRSRO). Eligible commercial paper shall have a maximum maturity of 270 days or less. No more than 40 percent of the agency’s money may be invested in eligible commercial paper. The agency may invest no more than 10 percent of its total investment assets in the commercial paper and medium-term notes of any single issuer pursuant to *California Government Code Section 53601(h)*.
- e. Negotiable certificates of deposit issued by a nationally or state-chartered bank, a savings association or a federal association (as defined by *California Financial Code Section 5102*), a state or federal credit union, or by a federally licensed or state-licensed branch of a foreign bank. Purchases of negotiable certificates of deposit shall not exceed 30 percent of the agency’s moneys that may be invested pursuant to *California Government Code Section 53601(i)*.
- f. Investments in repurchase agreements or reverse repurchase agreements or securities lending agreements as defined in *California Government Code Section 53601(j)*.
- g. Medium-term notes, defined as all corporate and depository institution debt securities with a maximum remaining maturity of five years or less, issued by corporations organized and operating within the United States or by depository institutions licensed by the United States or any state and operating within the United States. Notes eligible for investment under this subdivision shall be rated in a rating category of “A” or its equivalent or better by an NRSRO. Purchases of medium-term notes shall not include other instruments authorized by this section and may not exceed 30 percent of the agency’s moneys that may be invested pursuant to *California Government Code Section 53601(k)*. The agency may invest no more than 10 percent of its total investment assets in the commercial paper and the medium-term notes of any single issuer.
- h. Shares of beneficial interest issued by diversified management companies that invest in the securities and obligations as described by *California Government Code Section 53601(l)*.
- i. Local government investment pools. Shares of beneficial interest issued by a joint powers authority organized pursuant to Section 6509.7 as described by *California Government Code Section 53601(p)*.
- j. A mortgage passthrough security, collateralized mortgage obligation, mortgage-backed or other pay-through bond, equipment lease-backed certificate, consumer receivable passthrough certificate, or consumer receivable-backed bond. Securities eligible for investment under this subdivision shall be rated in a rating category of “AA” or its equivalent or better by an NRSRO and have a maximum remaining maturity of five years or less. Purchase of securities authorized by this subdivision

may not exceed 20 percent of the agency's surplus moneys that may be invested pursuant to this *California Government Code Section 53601(o)*.

- k. Registered state warrants or treasury notes or bonds of this state, including bonds payable solely out of the revenues from a revenue-producing property owned, controlled, or operated by the state or by a department, board, agency, or authority of the state. Pursuant to *California Government Code 53601(c)*

Registered treasury notes or bonds of any of the other 49 states in addition to California, including bonds payable solely out of the revenues from a revenue-producing property owned, controlled, or operated by a state or by a department, board, agency, or authority of any of the other 49 states, in addition to California. Pursuant to *California Government Code 53601(d)*.

Bonds, notes, warrants, or other evidences of indebtedness of any local agency within this state, including bonds payable solely out of the revenues from a revenue-producing property owned, controlled, or operated by the local agency, or by a department, board, agency, or authority of the local agency. Pursuant to *California Government Code 53601(e)*

- l. Supranational obligations including United States dollar denominated senior unsecured unsubordinated obligations issued or unconditionally guaranteed by the International Bank for Reconstruction and Development, International Finance Corporation, or Inter-American Development Bank, with a maximum remaining maturity of five years or less, and eligible for purchase and sale within the United States. Investments under this subdivision shall be rated in a rating category of "AA" or its equivalent or better by an NRSRO and shall not exceed 30 percent of the agency's moneys that may be invested pursuant to *California Government Code Section 53601(q)*.

- m. Collateral is defined in this Investment Policy to mean property (as securities) pledged by a borrower to protect the interest of the lender. For purposes of this Investment Policy, the following investments are considered to have collateral backing: Certificates of Deposit protected by either the FDIC or pledged securities in conformance with California Codes and this Investment Policy; or Bankers' Acceptances (protected by an irrevocable time draft or bill of exchange) whereby the accepting bank incurs an irrevocable primary obligation thus guaranteeing payment on the draft or bill. A secondary obligation rests with the issuing company; Commercial Paper (protected by an unsecured promissory note from the issuer who must be rated A1/P1/F1 or better) thereby guaranteeing that the earning power and/or liquidity had been established to fulfill the obligation to pay; and, asset backed securities which are rated AAA by both Moody's and Standard & Poor's.

- 7. **Local Agency Investment Fund & San Mateo County Investment Pool.** The Board of Directors also authorizes the PCJPB to invest in the Local Agency Investment Fund (LAIF) pursuant to *California Government Code Section 16429.1* and in the San Mateo County Investment Fund (SMCIF).

- 8. Prohibited Investments.** The PCJPB shall not invest any funds in inverse floaters, range notes or mortgage derived interest-only strips. The PCJPB shall not invest any funds in any security that could result in zero interest accrual if held to maturity; however, the PCJPB may hold this prohibited instrument until its maturity date. The limitation does not apply to investments in shares of beneficial interest issued by diversified management companies as set forth in *California Government Code Section 53601.6*.
- 9. Portfolio Transactions.** The PCJPB's investment advisors are expected to seek best execution for all portfolio transactions. Best execution relates to the expected realized price net of commissions and is not necessarily synonymous with the lowest commission rate. Investment advisors are to obtain three independent bids from SEC licensed brokerage institutions, licensed by the state as a broker-dealer, as defined in *California Government Code Section 53601.5*, or from a brokerage firm designated as a primary government dealer by the Federal Reserve Bank, prior to the execution of each portfolio transaction. The investment advisors, at their sole discretion and authority, will choose which broker dealers or brokerage firms from which to solicit bids and final selection is to be made based on the best interests of the PCJPB. Investment advisors may incur Realized capital losses in order to minimize the decrease in real purchasing power of the assets over an indefinite period of time.
- 10. Summary of Instruments & Limitations.** Subject to the limitations set forth in *California Government Code Sections 53600 et seq.* which may be amended from time to time, the Executive Director or his designee may invest in the following instruments, subject to the limits of flexibility described above and in the table below. Limitations set in this Policy may be more restrictive than required by *California Government Code*:

Instrument	Credit Rating	% of Fund	% of Fund per Issuer	Maximum Maturity
(a) U.S. Treasury Obligations		100	N/A	15 years
(b) Obligations of U.S. Agencies or Government Sponsored Enterprises		100	N/A	15 years
(c) Bankers' Acceptances		40	30	180 days
(d) Commercial Paper	A1/P1/F1	40	10	270 days
Local agencies with less than \$100M of investment assets under management may invest no more than 25% of the agency's money in eligible commercial paper				
(e) Negotiable Certificates of Deposit		30	N/A	5 years
(f) Repurchase Agreements		100	N/A	1 year

Reverse Repurchase Agreements & Securities Lending		20	N/A	92 days
(g) Medium Term Corporate Notes	“A” category (split rated issues not allowed)	30	10	5 years
(h) Shares of beneficial interest issued by diversified management companies		20	10	N/A
(i) Local Government Investment Pools		100	N/A	N/A
(j) Asset-backed and mortgage-backed securities	“AA” category	20	N/A	5 years
(k) Municipal Obligations		100	N/A	10 years
(l) Supranational Obligations	“AA” category	30%	N/A	5 years
Local Agency Investment Fund				Up to current state limit
San Mateo County Investment Fund				Up to current state limit

11. Oversight.

- a. Quarterly, the Executive Director shall submit an investment report to the Board of Directors within 30 days of the end of the quarter. The report shall include the following information:
 1. type of investment, issuer, date of maturity, par and dollar amount invested in all securities, investments and money held by the PCJPB;
 2. description of any of the PCJPB’s funds, investments or programs that are under the management of contracted parties, including lending programs;
 3. for all securities held by the PCJPB or under management by any outside party that is not a local agency or the State of California LAIF, a current market value as of the date of the report and the source of this valuation;
 4. statement that the portfolio complies with the Investment Policy or the manner in which the portfolio is not in compliance; and
 5. statement that the PCJPB has the ability to meet its pool’s expenditure requirements (cash flow) for the next six months or provide an explanation as to why sufficient money shall or may not be available.
- b. Annually, the Executive Director shall perform, or cause to be performed, an independent audit of the PCJPB’s assets as reported for the investment program’s

activities. It is to be conducted in such a way as to determine compliance with the PCJPB's Investment Policy and State Codes. Such independent auditors will express an opinion whether the statement of assets is presented fairly and in accordance with generally accepted accounting principles.

- c. If the PCJPB places all of its investments in the LAIF, FDIC-insured accounts in a bank or savings and loan association, or the SMCIF (or any combination of these three), the Executive Director can simply submit, on at least a quarterly basis, the most recent statements from these institutions to meet the requirements of items 1-3 above, with a supplemental report addressing items 4 and 5 above. (*California Government Code Section 53646(b)-(e)*).

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michelle Bouchard
Acting Executive Director

FROM: Melissa Reggiardo / Lawrence Leung
Manager, Caltrain Planning / Manager, Rail Contracts & Budget

SUBJECT: **ON-CALL TRANSPORTATION PLANNING AND CONSULTANT SUPPORT SERVICES
UPDATE**

Finance Committee Recommendation Work Program-Legislative-Planning Committee Recommendation Staff Coordinating Council Reviewed Staff Coordinating Council Recommendation

ACTION

This report is for information only. No Board action is required.

SIGNIFICANCE

This informational item is presented quarterly to the Board and reports on the following:

- Total amount of work directives (WDs) issued to each firm since contract inception
- List of WDs and amendments issued since the last reporting period with the WD number, title, description, JPB project manager, vendor, issuance date, start date, end date, and value

The tables below provide an update of contract activities from June 5th, 2021 thru September 3rd, 2021. Table 1 summarizes the contract capacity status. Table 2 updates the percentage of capacity used against the percent time elapsed. Table 3 shows the Board approved dates and amounts. Table 4 aggregates the WD amounts issued to each of the vendors. Table 5 describes each of the WDs issued since the last reporting period.

BUDGET IMPACT

There is no impact on the budget.

BACKGROUND

Pursuant to Resolution No. 2020-18, the Board of Directors (Board) awarded contracts to Fehr & Peers, HNTB Corporation, Kimley-Horn & Associates, Inc., Arup North America Ltd., Mott MacDonald Group Inc., and WSP USA, Inc., consisting of a five-year base term for an aggregate not-to-exceed amount of \$25,000,000 with two additional, one-year option terms in an aggregate not-to-exceed amount of \$5,000,000 for each option year.

Table 1

Contract Summary	Years	Amount
Total Capacity:	7.0	\$ 35,000,000
Exercised:	5.0	\$ 25,000,000
Work Directives Issued:		\$ 8,958,434
Remaining Capacity:		\$ 16,041,566

Table 2

Contract Days	Days Elapsed	% Time Elapsed	Capacity Used
1825	429	24%	36%

Table 3

Contract Information	Start	End	Years	Capacity	Resolution/ Authorized
Base	7/1/2020	6/30/2025	5.0	\$25,000,000	2020-18
Option #1	7/1/2025	6/30/2026	1.0	\$5,000,000	
Option #2	7/1/2026	6/30/2027	1.0	\$5,000,000	
Amendment			0.0		
Total:			7.0	\$35,000,000	

Table 4

Vendor	Fehr & Peers	HNTB	Kimley-Horn	ARUP	Mott	WSP
Contract #	20-J-P-006A	20-J-P-006B	20-J-P-006C	20-J-P-006D	20-J-P-006E	20-J-P-006F
Total WDs Issued	\$1,895,466	\$981,354	\$2,609,172	\$1,033,094	\$2,339,439	\$99,909
Previous Reporting Period	\$1,427,247	\$595,198	\$1,240,743	\$622,093	\$583,474	\$99,909
Current Reporting Period	\$468,219	\$386,156	\$1,368,429	\$411,001	\$1,755,965	\$0

Table 5

WD#	Title	Description (Updates in Bold)	Vendor	Updated	Start	(Revised) End	Current Value
10446	Redwood City Station Area Planning	The main objective of the station area planning work is to provide inputs into Redwood City's Transit District planning process in the spring 2021 timeframe with consideration for the proposed redevelopment of Sequoia Station, the Whipple Avenue Grade Separation Study, Reimagine SamTrans and potential options related to the Dumbarton Rail Corridor Project. The scope of work will potentially produce street networks and a station area footprint to aid near-term land use development. It does not include public outreach, detailed design or cost estimates. Added \$34k for additional support and extended from 6/30/21 to 12/31/21.	Mott	8/31/2021	3/11/2021	12/31/2021	\$329,990.84
10468	Capital Planning Support	Support for potential capital projects that are currently being managed within the Planning Department or being transitioned from Planning to the Capital Projects/Development Department. Such projects require ongoing yet intermittent planning management and tracking, coordination with internal and external partners and stakeholders, development of agreements, technical reviews, etc. The goal is to acquire resources to support these projects up to a certain dollar value. Extended from 8/31/21 to 12/31/22 to maintain flexibility.	Kimley-Horn	8/26/2021	4/2/2021	12/31/2022	\$252,226.00
10469	SF Railyards PBC - PM & Ops	Obtain Project Management services for the completion of the San Francisco Railyards Redevelopment Preliminary Business Case, and; obtain services for the completion of rail service, storage, maintenance, and operations analysis associated with this potential redevelopment, including systemwide impacts and changes across the Caltrain corridor.	Kimley-Horn	8/23/2021	8/23/2021	6/30/2023	\$1,002,946.00
10448	SF Railyards PBC - Strategic Advisory Services	Obtain Technical Analysis and Business Case Development services for the completion of the San Francisco Railyards Redevelopment Preliminary Business Case.	Mott	8/20/2021	8/20/2021	6/30/2023	\$524,854.73
10449	SF Railyards PBC - Tech & BC Development	Obtain Technical Analysis and Business Case Development services for the completion of the San Francisco Railyards Redevelopment Preliminary Business Case.	Mott	8/20/2021	8/20/2021	6/30/2023	\$1,433,651.17
10337	Clipper 2.0 Implementation Project Management	Project management and consulting services for the Clipper 2.0 program (project) administered by the MTC. The project is currently underway with final design review expected to be provided in July 2021. The consultant will provide project management and ongoing consultant services for both Caltrain and SamTrans (the District). The expectation is that 50% of the CONSULTANT'S time will be dedicated to each of the two agencies.	HNTB	8/16/2021	8/16/2021	6/30/2022	\$126,379.00
10307	DSAP Development Support Services	Development support services associated with commercial development on the Caltrain-owned parcels within the Diridon Station Area Plan (DSAP) area in the City of San Jose. Specifically, the development team will be responsible for developing planning, land use, economic, environmental and development strategy associated with the City of San Jose's preliminary review application and formal planning application. \$573k budgeted thru FY24 but \$98k authorized for FY21. Authorized additional \$254k for FY22.	Fehr & Peers	8/6/2021	3/8/2021	6/30/2024	\$352,041.58
10306	³ Caltrain DTX – Operations Analysis	Rail operations technical analysis to support Caltrain and California High-Speed Rail Authority (CHSRA) to assess service and infrastructure configurations for the San Francisco Downtown Rail Extension. Added \$61k for additional support and extended from 7/31/21 to 9/30/21.	Kimley-Horn	8/5/2021	9/1/2020	9/30/2021	\$354,875.00
10300	¹ Business Plan - Project Management Support	Project management to support the continuation and completion of the Caltrain Business Plan technical work. Added \$30k for additional support and extended from 6/30/21 to 12/31/21.	Fehr & Peers	7/20/2021	7/1/2020	12/31/2021	\$508,683.45
WD#	Title	Description (Updates in Bold)	Vendor	Updated	Start	(Revised) End	Current Value

10302	¹ Business Plan – Technical	Continuation and completion of Business Plan technical work including scenario planning; near-term service planning; and equity, connectivity and growth framework. Added \$13k for additional support and extended from 6/30/21 to 12/31/21.	Fehr & Peers	7/20/2021	8/1/2020	12/31/2021	\$351,527.53
10309	Caltrain Governance Support	Support for Caltrain’s governance process including the following tasks: assisting with designing and structuring meetings, providing meeting facilitation services, developing and producing visual communications and graphics, and providing notetaking services during meetings. Added \$44k for additional support and extended from 12/31/21 to 6/30/22.	Fehr & Peers	7/20/2021	2/22/2021	6/30/2022	\$147,940.82
10308	Internal Support for Interim Executive Director Transition	Internal support for the Interim Executive Director transition for the JPB and includes the following tasks: Development of Internal Action Plan for Transition Period, Support for Implementation of Internal Action Plan, Manage Special Projects as Identified by COO/ED, and Support Recruitment of Chief of Staff including Transitioning Internal Action Plan Tasks as Needed. Added \$120k for additional support.	Fehr & Peers	7/16/2021	3/15/2021	9/30/2021	\$328,338.00
10334	¹ Bike Parking and Micromobility Support	Continuation of bike parking and micromobility support as Caltrain replaces and expands bike parking infrastructure throughout the Corridor; includes demand analysis, conceptual station plans and micromobility best practices. Added \$15k for additional support and extended from 5/31/21 to 9/15/21.	HNTB	7/15/2021	9/1/2020	9/15/2021	\$194,304.33
10335	¹ 22nd St Station ADA Access Feasibility Study	Completion of the ADA Access Feasibility study for the 22nd Street Caltrain Station including background research; stakeholder engagement; conceptual designs; constructability and funding analysis; alternative screening; and final report. Added \$14k for additional support and extended from 6/30/21 to 10/31/21.	HNTB	7/8/2021	9/1/2020	10/31/2021	\$146,780.31
10304	² DISC Plan – PM & Outreach Support	Technical and outreach program management for the remainder of Phase I of the Diridon Station Concept Plan. Added \$96k for additional support and extended from 6/30/21 to 10/31/21.	Kimley-Horn	7/6/2021	9/3/2020	10/31/2021	\$404,443.00
10305	² DISC Plan – Technical Support & Analysis	Technical management and support and organizational, governance and funding analysis and strategy for the remainder of Phase I of the Diridon Station Concept Plan. Added \$208k for additional support and extended from 6/30/21 to 10/31/21.	Kimley-Horn	7/6/2021	9/3/2020	10/31/2021	\$594,682.00
10336	San Francisquito Creek Bridge Replacement - Planning and Outreach	Planning and outreach to accompany baseline engineering assessments and earliest concept designs for the San Francisquito Creek Bridge replacement. Extended from 6/30/21 to 6/30/22.	HNTB	6/28/2021	12/16/2020	6/30/2022	\$62,706.00
10447	Caltrain Go Pass Donation Program Support	Consultant support for the Go Pass Donation Program.	Mott	6/24/2021	6/14/2021	8/31/2021	\$50,942.33
22085 32000	Communications and Outreach Program Support for PCEP FY22	Communication and outreach program support including a comprehensive marketing and communications program for PCEP in FY22.	HNTB	6/23/2021	7/1/2021	6/30/2022	\$231,102.00
10299	Business Plan - Business Modeling Support	Business modeling support including the evaluation of potential service and operating scenarios and the development of business modeling tools. Added \$27k for additional support and extended from 6/30/21 to 12/31/21.	Fehr & Peers	6/22/2021	9/14/2020	12/31/2021	\$94,121.00
10301	¹ Business Plan - Outreach Support	Stakeholder outreach to support the continuation and completion of the Caltrain Business Plan technical work. Extended from 6/30/21 to 12/31/21.	Fehr & Peers	6/22/2021	7/1/2020	12/31/2021	\$104,208.64
10342	DSAP Architectural Services	Development support services including planning, land use, economic, environmental and development strategy associated with commercial development on the Caltrain-owned parcels within the Diridon Station Area Plan area in the City of San Jose. \$1.085M budgeted thru FY23 but \$578k authorized for FY21 and \$411k authorized for FY22.	ARUP	6/22/2021	1/6/2021	6/30/2022	\$989,259.00

Prepared By: Melissa Reggiardo
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**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michelle Bouchard
Acting Executive Director

FROM: Casey Fromson
Chief Communications Officer, Acting

SUBJECT: **STATE AND FEDERAL LEGISLATIVE UPDATE**

Finance Committee
Recommendation

Work Program-
Legislative-Planning

Staff Coordinating
Council Reviewed

Staff Coordinating Council
Recommendation

ACTION

Staff recommends that the Board of Directors (Board) of the Peninsula Corridor Joint Powers Board (JPB) receives the attached memos. Staff will provide regular updates to the Board in accordance with the Legislative Program.

SIGNIFICANCE

The 2021 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 Lori Low
By: Government & Community Affairs Officer

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Caltrain As of September 13, 2021 Federal Transportation Report

Democrats Work to Advance Infrastructure Packages to Advance President's Agenda

- Congressional Democrats are pursuing parallel paths to advance major spending packages before October to advance key parts of President Biden's economic agenda. The House is supposed to consider the Senate-passed Bipartisan Infrastructure package ([H.R. 3684](#)) the week of September 27; however, progressive House members have said that they will not support the infrastructure bill until after the reconciliation bill. Therefore, the timing for bipartisan infrastructure bill could be delayed. This bill includes the reauthorization of the surface transportation authorization bill, the FAST Act, which expires on September 30. Therefore, Congress will most likely have to pass an extension.
- House committees are also drafting their portions of the \$3.5 trillion reconciliation bill to be finished by September 15.
- The House Transportation and Infrastructure Committee will mark up its section of the reconciliation bill on September 14. Chairman Peter DeFazio (D-OR) has worked to include additional transportation funding in reconciliation, working around the agreement between the White House and Senate Republicans not to “double-dip” issues addressed in the bipartisan deal.
- The budget resolution calls includes \$60 billion in funding for issues under the jurisdiction of the Transportation and Infrastructure Committee. Chairman DeFazio has also included funding for Community Funded Projects, that were included in his surfacetransportation bill (the INVEST Act) to be included in reconciliation.

FY 2022 Appropriations Update

- Fiscal year (FY) 2021 government funding expires on September 30. Given the very few legislative days in September to complete the work necessary on all 12 annual appropriations bills, it is certain that Congress will pass a Continuing Resolution (CR) to keep the government open.
- At this point in the appropriations process, the House has passed 10 of the 12 annual appropriations bills. In August, the Senate Appropriations Committee [advanced](#) its first three spending bills for FY 2022. However, the Senate has not brought any to the floor for a vote.

- While no date has been discussed on how long the CR will be, the White House has shared that it is seeking other requests to be attached to the CR. The White House is seeking \$14 billion in disaster aid to respond to recent natural disasters like Hurricane Ida and \$6.4 billion for the Pentagon and State Department to help Afghan allies and resettlement.
- Lastly, Treasury Secretary Janet Yellen has said that Congress will need to take action on the debt ceiling in the next few weeks to avert a default. Congress has typically dealt with such issues by including them in must-pass legislation like the CR.
- However, Republicans have said they will not vote to raise or suspend the debt limit if Democrats pursue their \$3.5 reconciliation bill, warning that the partisan plan could prove potentially damaging to the nation's economy during the ongoing pandemic. The stalemate over raising the debt ceiling could jeopardize even passing the CR.

Grants for Rail Improvement Opportunities Now Available

- On August 26, the U.S. Department of Transportation's Federal Railroad Administration (FRA) announced a [notice of funding opportunity](#) (NOFO), making available nearly \$362 million through its Consolidated Rail Infrastructure and Safety Improvements (CRISI) Grant Program.
- CRISI funds projects that reduce congestion, improve short-line and regional railroad infrastructure, relocate rail lines, enhance multi-modal connections and facilitate service integration between rail and other modes such as at ports or intermodal facilities.
- "CRISI is an opportunity to invest in safety and economic progress across the rail networks that support and connect America," FRA Deputy Administrator Amit Bose said. "As the nation continues to recover from the pandemic, these projects will create jobs and improve communities. We expect applicants to address necessity, accountability, racial equity, and climate change."
- CRISI grants will be awarded to projects that reflect the Administration's priorities of fostering safety and equitable economic strength; improving core assets and ensuring racial equity and economic inclusion; addressing climate change and resilience; and modernizing our nation's transportation infrastructure.
- Applications are due by November 29.

Round-Up of Open Grant Opportunities

- [Accelerated Innovation Deployment \(AID\) Demonstration Program](#): \$10 million available. Applications are due by September 28, 2021.
- [American Rescue Plan \(ARP\) Additional Assistance](#): \$2,207,561,294 available. Applications due by November 8, 2021.

- **FY21-CRS-Consolidated Rail Infrastructure and Safety Improvements:**
\$361,978,796 available. Applications due by November 29, 2021.

Caltrain Earmarks Submitted for Consideration:

As of September 13, 2021

Please note, negotiations on the inclusion of earmarks in a variety of key federal legislative packages continues to evolve. It was recently announced that earmarks will not be included in the Senate’s version of the surface transportation reauthorization package, which has been folded into the Senate-led bipartisan infrastructure package, known as the Infrastructure Investment and Jobs Act (IIJA). On the Appropriations side, negotiations regarding the inclusion of earmarks for the Transportation, Housing and Urban Development and Related Agencies Subcommittee Appropriations Bill (THUD) continue. If both Legislative Chambers do not pass all Appropriations bills by the September 30th deadline, they will need to pass a continuing resolution (CR) in the interim, which would not include earmarks.

THUD Appropriations

House:

Project	Submitted By	Amount
Additional Mini-highs (Speier)	Caltrain	\$460,000

Surface Transportation Reauthorization (House T&I):

Project	Submitted By	Amount
Additional Mini-highs (Eshoo)	Caltrain	\$306,000
Additional Mini-highs (Lofgren)	Caltrain	\$550,000
Caltrain Optimization Project (Lofgren)	Caltrain	\$315,000

Other Caltrain relevant projects:

Project	Submitted By	Amount
Middle Avenue Pedestrian/Bicycle Rail Crossing (Eshoo)	City of Menlo Park	\$6.5M
At-grade Caltrain Crossing Safety Project—E. Bellevue Avenue and Villa Terrace (Speier)	City of San Mateo	\$3M



September 13, 2021

TO: Caltrain Board of Directors

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

RE: **STATE LEGISLATIVE UPDATE – October 2021**

General Update

The Legislature adjourned the first year of the 2021-22 Legislative Session. In the final two weeks of the Session, the Legislature sent almost 700 bills to Governor Newsom for consideration. The Governor has until October 10 to act on the bill on his desk. The Legislature will remain on interim recess until 2022. When they return in January, legislators will introduce new bills and continue work on two-year bills that are still viable.

The recall election will occur on September 14, though mail ballots have been going out since mid-August and polls opened for in-person voting in some counties in early September. County elections offices will have 30 days to certify the results and the Secretary of State will announce the official result approximately 8 days later. As such, we won't know the official outcome until late-October.

Update on Transportation Funding in 2021-22 State Budget

As we have reported several times, this year's proposed state budget included significant investments in transportation, including \$2.7 billion in funding for zero-emission vehicles and infrastructure and \$2.5 billion for statewide Transit and Intercity Rail Capital Program (TIRCP) funding, funding for the 2028 LA Olympics, and funding for grade separations statewide. However, the budget did not include the Governor's proposed \$4.2 billion investment in the California high-speed rail project, which was subject to negotiations between Legislative Leaders and Governor Newsom. The budget also dictated approved transportation funding only materializes if subsequent legislation is approved by October 10. This ensured that if an agreement was not reached on high-speed rail, the funds revert to the General Fund.

Unfortunately, talks between the three parties broke down in early September and a compromise was not reached. We're hopeful the Administration and the Legislature will continue their conversations over the Legislature's recess (as they indicated they would) with a transportation funding package ready to move forward when the Legislature reconvenes in January.

The Caltrain leadership and advocacy team will continue to work with the legislative delegation on the need for additional state funding to complete the electrification project.

Bills of Interest

The following bills Caltrain followed closely or took a position on this session.

AB 361 (R. Rivas) – Open Meetings: Teleconference. This bill would require a local agency to use teleconferencing without complying with the Brown Act when holding a meeting to declare or ratify a local emergency when state/local health officials have required or recommended social distancing. The bill would require that teleconferenced meetings provide notice of the meeting, post agendas, and means for public comment. Further, the bill prohibits local bodies from requiring public comment in advance of the meeting and require the body to make a series of findings related to the emergency 30 days after each meeting and every 30 days thereafter. Recent amendments add an urgency clause so that the bill would go into effect immediately and propose changes to the statute governing state-level legislative bodies.

The bill passed out of the Senate 28-7 and Assembly 66-4 and will be sent to the Governor’s desk. Caltrain is watching this bill.

AB 629 (Chiu) – Seamless Bay Area. This bill would require MTC to consult with transit agencies, local jurisdictions, county transportation agencies, and the public to establish and maintain a transit priority network for the San Francisco Bay Area that designates corridors that can best support transit service and require MTC to submit a copy of *the Fare Coordination and Integration Study and Business Case* to the Legislature by February 1, 2022, as well as a follow up report on the progress of implementing the recommendations in the study by January 1, 2023. The bill would also require MTC to create a pilot program for an “accumulator pass” among operators providing service in at least three adjacent counties by July 1, 2023 and would require MTC in consultation with transit agencies to develop a standardized regional transit mapping and wayfinding system. The bill would require a transit operator in the Bay Area to use open data standards to make available all routes, schedules, and fares in a specified data format and to track actual transmission of real-time information by transit vehicles and report that information to the commission to ensure that schedule predictions are available. The bill would require the commission to coordinate these activities and to develop an implementation and funding plan for deployment of real-time information. Finally, this bill would require MTC, Caltrans, and the operators of managed lanes in the Bay Area to take specified steps to ensure the regional managed lanes network supports seamless operation of high-capacity transit.

The bill is a two-year bill. Caltrain is watching the bill.

SB 44 (Allen) – CEQA Streamlining for Transit. This bill would allow certain transit projects that meet environmental and labor requirements to have a streamlined judicial review period for CEQA. The bill was amended out of the Assembly Judiciary Committee to narrow the bill to Los Angeles projects or projects that connect to projects in Los Angeles.

The bill passed out of the Assembly and Senate 76-0 and 33-0, respectively and is on the Governor’s desk. *Caltrain SUPPORTS this bill.*

SB 339 (Weiner) – Road Usage Pilot Program. This bill extends the Road Usage Charge Technical Advisory Committee until January 1, 2027 and requires the state transportation agency to implement a pilot program to test a road usage charge.

The bill passed out of the Legislature on September 2 and will be considered by the Governor. *Caltrain SUPPORTS this bill.*

ACA 1 (Aguiar-Curry) – Local Government Financing. This constitutional amendment is a reintroduced version of ACA 1 (Aguiar-Curry) from last session, which failed to pass off the Assembly

Floor 44-20. The measure would reduce the voter-approval threshold from two-thirds to 55 percent for cities and counties to issue bonds or raise taxes for public infrastructure, affordable housing or permanent supportive housing for the homeless.

The bill was never set for hearing, so it is a two-year bill. *Caltrain SUPPORTS this bill.*

Grants

Transit and Intercity Rail Capital Program (\$500 million - \$600 million in Cycle 5) – The Transit and Intercity Rail Capital Program (TIRCP) provides grants from 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 significantly reduce emissions of greenhouse gases, vehicle miles traveled, and congestion. Eligible projects include zero-emission vehicles and associate fueling or charging infrastructure of facility modifications.

On August 9, the California State Transportation Agency (CalSTA) released the [Transit and Intercity Rail Capital Program’s](#) (TIRCP) Cycle 5 discussion [draft guidelines](#). CalSTA kicked off the TIRCP guideline development process for the 2022 cycle with a workshop on August 12, 2021 and noted it anticipates approximately \$500-600 million of new funding for projects statewide through Fiscal Year 2026-27.

The CTC is hosting workshops in Fall 2021 for the three SB 1 program – the Solutions for Congested Corridors Program (SCCP), Local Partnership Program (LPP), and the Trade Corridor Enhancement Program (TCEP). The CTC will solicit applications for the next round of funding in Summer 2022. As a reminder, in late-2020, the California Transportation Commission [awarded grants](#) for three SB 1 programs – the [Solutions for Congested Corridors Program](#), [Local Partnership Program](#), and the [Trade Corridor Enhancement Program](#). In total, approximately \$2 billion was awarded for 56 new projects throughout the state to reduce traffic, improve goods movement, increase transit service, expand California’s managed lanes network, and invest in bicycle and pedestrian improvements.

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 – As discussed above, 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 five years, with the most recent cycle beginning in May 2018. Caltrain received \$160 million for the CalMod project.

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

Caltrain

State Legislative Matrix 9/13/2021

Active Bills			
Bill Number (Author)	Summary	Location	Position
AB 339 (Lee D) Local government: open and public meetings.	Existing law, the Ralph M. Brown Act, requires, with specified exceptions, that all meetings of a legislative body of a local agency, as those terms are defined, be open and public and that all persons be permitted to attend and participate. Under existing law, a member of the legislative body who attends a meeting where action is taken in violation of this provision, with the intent to deprive the public of information that the member knows the public is entitled to, is guilty of a crime. This bill would require local agencies to conduct meetings subject to the act consistent with applicable state and federal civil rights laws, as specified. This bill contains other related provisions and other existing laws. Enrollment: 9/9/2021	Assembly Enrollment	Watch
AB 361 (Rivas, Robert D) Open meetings: state and local agencies: teleconferences.	(1) Existing law, the Ralph M. Brown Act requires, with specified exceptions, that all meetings of a legislative body of a local agency, as those terms are defined, be open and public and that all persons be permitted to attend and participate. The act contains specified provisions regarding the timelines for posting an agenda and providing for the ability of the public to directly address the legislative body on any item of interest to the public. The act generally requires all regular and special meetings of the legislative body be held within the boundaries of the territory over which the local agency exercises jurisdiction, subject to certain exceptions. The act allows for meetings to occur via teleconferencing subject to certain requirements, particularly that the legislative body notice each teleconference location of each member that will be participating in the public meeting, that each teleconference location be accessible to the public, that members of the public be allowed to address the legislative body at each teleconference location, that the legislative body post an agenda at each teleconference location, and that at least a quorum of the legislative body participate from locations within the boundaries of the local agency's jurisdiction. The act provides an exemption to the jurisdictional requirement for health authorities, as defined. The act authorizes the district attorney or any interested person, subject to certain provisions, to commence an action by mandamus or injunction for the purpose of obtaining a judicial determination that specified actions taken by a legislative body are null and void. This bill, until January 1, 2024, would authorize a local agency to use teleconferencing without complying with the teleconferencing requirements imposed by the Ralph M. Brown Act when a legislative body of a local agency holds a meeting during a declared state of emergency, as that term is defined, when state or local health officials have imposed or recommended measures to promote social distancing, during a proclaimed state of emergency held for the purpose of determining, by majority vote, whether meeting in person would present imminent risks to the health or safety of attendees, and during a proclaimed state of emergency when the legislative body has determined that meeting in person would present imminent risks to the health or safety of attendees, as provided. This bill contains other related provisions and	Assembly Enrollment	Watch

	<p>other existing laws.</p> <p>Enrollment: 9/10/2021</p>		
<p>AB 1157 (Lee D)</p> <p>Controller: transportation funds: distribution and reporting requirements.</p>	<p>Existing law, for purposes of the State Transit Assistance Program, requires local transportation agencies to report to the Controller by June 15 of each year the public transportation operators within its jurisdiction that are eligible to claim specified local transportation funds. This bill would instead require local transportation agencies to report this information within 7 months after the end of each fiscal year. This bill contains other related provisions and other existing laws.</p> <p>Enrollment: 9/7/2021</p>	Assembly Enrolled	Watch
<p>SB 44 (Allen D)</p> <p>California Environmental Quality Act: streamlined judicial review: environmental leadership transit projects.</p>	<p>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 (EIR) 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. CEQA establishes a procedure by which a person may seek judicial review of the decision of the lead agency made pursuant to CEQA. This bill would, until January 1, 2025, establish specified procedures for the administrative and judicial review of the environmental review and approvals granted for an environmental leadership transit project, as defined, proposed by a public or private entity or its affiliates that is located wholly within the County of Los Angeles or connects to an existing transit project wholly located in that county and that is approved by the lead agency on or before January 1, 2024. The bill would require the project applicant of the environmental leadership transit project to take certain actions in order for those specified procedures to apply to the project. The bill would require the Judicial Council, on or before January 1, 2023, to adopt rules of court establishing procedures requiring actions or proceedings seeking judicial review of the certification of an environmental impact report for an environmental leadership transit project or the granting of any project approval, including any appeals to the court of appeal or the Supreme Court, to be resolved, to the extent feasible, within 365 calendar days of the filing of the certified record of proceedings with the court to an action or proceeding seeking judicial review of the lead agency's action related to an environmental leadership transit project. The bill would require the environmental leadership transit project to meet certain labor requirements. The bill would require the lead agency to prepare the EIR for an environmental leadership transit project in a specified manner and would require the concurrent preparation of the record of proceedings. The bill would specify that these requirements would only apply to the first 7 environmental leadership transit projects obtaining a certified environmental impact report. Because the bill would impose additional duties on the lead agency, this bill would impose a state-mandated local program. This bill contains other related provisions and other existing laws.</p> <p>Enrollment: 9/9/2021</p>	Senate Enrolled	Support February 2021
<p>SB 339 (Wiener D)</p> <p>Vehicles: road usage charge pilot program.</p>	<p>Existing law requires the Chair of the California Transportation Commission to create a Road Usage Charge (RUC) Technical Advisory Committee in consultation with the Secretary of Transportation. Under existing law, the purpose of the technical advisory committee is to guide the development and evaluation of a pilot program to assess the potential for mileage-based revenue collection as an alternative to the gas tax system. Existing law requires the</p>	Senate Enrolled	Support April 2021

	<p>technical advisory committee to study RUC alternatives to the gas tax, gather public comment on issues and concerns related to the pilot program, and make recommendations to the Secretary of Transportation on the design of a pilot program, as specified. Existing law repeals these provisions on January 1, 2023. This bill would extend the operation of these provisions until January 1, 2027. The bill would require the Transportation Agency, in consultation with the California Transportation Commission, to implement a pilot program to identify and evaluate issues related to the collection of revenue for a road charge program, as specified. The bill would require the RUC Technical Advisory Committee to make recommendations to the Transportation Agency on the design of the pilot program, including the group of vehicles to participate. The bill would require that if a group of vehicles other than state-owned vehicles is selected, that participation in the program be voluntary. The bill would require the Transportation Agency to consult with appropriate state agencies to implement the pilot program and to design a process for collecting road charge revenue from vehicles. The bill would require that participants in the program be charged a mileage-based fee, as specified, and receive a credit or a refund for fuel taxes or electric vehicle fees, as specified. The bill would require that the pilot program not affect funding levels for a program or purpose supported by state fuel tax and electric vehicle fee revenues. The bill would require the Transportation Agency to submit reports to the Legislature, as specified.</p> <p>Enrollment: 9/9/2021</p>		
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Inactive Bills

<p>AB 5 (Fong R)</p> <p>Greenhouse Gas Reduction Fund: High-Speed Rail Authority: K–12 education: transfer.</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 act authorizes the state board to include in its regulation of those emissions the use of market-based compliance mechanisms. Existing law requires all moneys, except for fines and penalties, collected by the state board from the auction or sale of allowances as part of a market-based compliance mechanism to be deposited in the Greenhouse Gas Reduction Fund. Existing law continuously appropriates 25% of the annual proceeds of the fund to the High-Speed Rail Authority for certain purposes. This bill would suspend the appropriation to the High-Speed Rail Authority for the 2023–24 and 2024–25 fiscal years and would require the transfer of those amounts from moneys collected by the state board to the General Fund. The bill would specify that the transferred amounts shall be available, upon appropriation, to augment funding for K–12 education and to support full-time in-person instruction for all students.</p> <p>Amended: 3/17/2021</p>	<p>Assembly 2 year</p>	<p>Watch</p>
<p>AB 476 (Mullin D)</p> <p>Department of Transportation: state highways: part-time transit lane pilot program.</p>	<p>Existing law vests the Department of Transportation with full possession and control of the state highway system and associated real property. Existing law generally requires vehicles to be driven upon the right 1/2 of a roadway, defined to include only that portion of a highway improved, designed, or ordinarily used for vehicular travel. Existing law generally prohibits the driver of a vehicle from overtaking and passing another vehicle by driving off the paved or main-traveled portion of the roadway. This bill would require the Department of Transportation to establish a pilot program to authorize a transit operator or operators, in partnership with an eligible transportation agency, to operate part-time transit lanes, defined as designated highway shoulders that support the operation of transit vehicles during specified times. The bill would require the department by January 1, 2024, to develop guidelines for the safe operation of part-time transit lanes, as provided, a training program for transit operators</p>	<p>Assembly Transportation</p>	<p>Watch</p>

	<p>to operate transit buses on the shoulders of highways within the state, and a program to identify transit buses authorized to be used or operated in part-time transit lanes within the state. The bill would require the eligible transportation agency to be responsible for all costs attributable to the project. Two years after commencing a project, the bill would require an operator or operators, in conjunction with the eligible transportation agency, to submit a report to the Legislature that includes certain information about the project. This bill contains other existing laws.</p> <p>Amended: 9/7/2021</p>		
<p>AB 629 (Chiu D)</p> <p>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. This bill would require the commission on or before February 1, 2022, to submit a copy of a specified transit fare study undertaken by the commission to certain committees of the Legislature. The bill would require the commission to submit a report on or before January 1, 2023, to those entities on the progress of implementing the recommendations of that study. This bill contains other related provisions and other existing laws.</p> <p>Amended: 3/22/2021</p>	<p>Assembly 2 year</p>	<p>Watch</p>
<p>AB 703 (Rubio, Blanca D)</p> <p>Open meetings: local agencies: teleconferences.</p>	<p>Existing law, the Ralph M. Brown Act, requires, with specified exceptions, that all meetings of a legislative body of a local agency, as those terms are defined, be open and public and that all persons be permitted to attend and participate. The act contains specified provisions regarding the timelines for posting an agenda and providing for the ability of the public to observe and provide comment. The act allows for meetings to occur via teleconferencing subject to certain requirements, particularly that the legislative body notice each teleconference location of each member that will be participating in the public meeting, that each teleconference location be accessible to the public, that members of the public be allowed to address the legislative body at each teleconference location, that the legislative body post an agenda at each teleconference location, and that at least a quorum of the legislative body participate from locations within the boundaries of the local agency's jurisdiction. The act provides an exemption to the jurisdictional requirement for health authorities, as defined. This bill would remove the notice requirements particular to teleconferencing and would revise the requirements of the act to allow for teleconferencing subject to existing provisions regarding the posting of notice of an agenda, provided that the public is allowed to observe the meeting and address the legislative body directly both in person and remotely via a call-in option or internet-based service option, and that a quorum of members participate in person from a singular physical location clearly identified on the agenda that is open to the public and situated within the jurisdiction. The bill would require that, in each instance in which notice of the time of the teleconferenced meeting is otherwise given or the agenda for the meeting is otherwise posted, the local agency also give notice of the means by which members of the public may observe the meeting and offer public comment and that the legislative body have and implement a procedure for receiving and swiftly resolving requests for reasonable accommodation for individuals with disabilities, consistent with the federal Americans with Disabilities Act, as provided. This bill contains other related provisions and other existing laws.</p> <p>Amended: 4/29/2021</p>	<p>Assembly 2 year</p>	<p>Watch</p>

<p><u>AB 823</u> (Gray D)</p> <p>High-Speed Rail Authority: trains powered by fossil fuel combustion engines.</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 high-speed rail system to be designed to use electric trains. Existing law authorizes the authority, upon receiving legislative or voter approval, to enter into contracts with private or public entities for the design, construction, and operation of high-speed trains. This bill would prohibit the authority from directly or indirectly using local, state, federal, or any other public or private funding to purchase, lease, operate, or maintain a passenger or freight train powered by a diesel engine or other type of fossil fuel combustion engine, and from enabling such a train to operate on authority-owned rail infrastructure designed for speeds in excess of 125 miles per hour, except as specified.</p> <p>Introduced: 2/16/2021</p>	<p>Assembly 2 year</p>	<p>Watch</p>
<p><u>AB 1116</u> (Friedman D)</p> <p>High-Speed Rail Authority: oversight: Legislative Analyst's Office.</p>	<p>Existing law creates the High-Speed Rail Authority with specified powers and duties related to the development and implementation of a high-speed train system. Existing law, pursuant to the Safe, Reliable High-Speed Passenger Train Bond Act for the 21st Century, approved by the voters as Proposition 1A at the November 4, 2008, statewide general election, provides for the issuance of \$9.95 billion in general obligation bonds for high-speed rail and related rail purposes. This bill would require the Legislative Analyst's Office, for the purpose of reviewing the planning, financing, expenditures, and other elements of the statewide high-speed rail system, to review any materials submitted to the authority and documents the authority requests from contractors, consultants, or external parties, as specified, and to provide recommendations to the policy and budget committees of the Legislature regarding the statewide high-speed rail system and the development of shared mobility systems statewide. The bill would require the authority, and any entity contracting with the authority, to provide to the Legislative Analyst's Office any information that it requests and to permit representatives of the Legislative Analyst's Office to attend the authority's internal meetings. The bill would repeal these requirements on January 1, 2031.</p> <p>Introduced: 2/18/2021</p>	<p>Assembly 2 year</p>	<p>Watch</p>
<p><u>AB 1235</u> (Patterson 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 High-Speed Rail Oversight Committee consisting of 3 Members of the Senate and 3 Members of the Assembly to provide ongoing and independent oversight of the high-speed rail project by performing specified duties, and would require the committee to make recommendations to the appropriate standing policy and budget committees of both houses of the Legislature to guide decisions concerning the state's programs, policies, and investments related to high-speed rail. The bill would require the authority to provide the committee with certain documents and information within prescribed timelines, and would require the authority to permit the chairperson of the committee, or the chairperson's designee, to attend meetings of any internal governance committees related to project oversight, as provided.</p> <p>Introduced: 2/19/2021</p>	<p>Assembly 2 year</p>	<p>Watch</p>

<p><u>AB 1260</u> (<u>Chen R</u>)</p> <p>California Environmental Quality Act: exemptions: transportation-related projects.</p>	<p>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 projects by a public transit agency to construct or maintain infrastructure to charge or refuel zero-emission trains, provided certain requirements are met, including giving prior notice to the public and holding a noticed public meeting, as provided. This bill contains other existing laws.</p> <p>Amended: 7/6/2021</p>	<p>Senate 2 year</p>	<p>Watch</p>
<p><u>ACA 1</u> (<u>Aguiar-Curry D</u>)</p> <p>Local government financing: affordable housing and public infrastructure: voter approval.</p>	<p>(1)The California Constitution prohibits the ad valorem tax rate on real property from exceeding 1% of the full cash value of the property, subject to certain exceptions. This measure would create an additional exception to the 1% limit that would authorize a city, county, city and county, or special district to levy an ad valorem tax to service bonded indebtedness incurred to fund the construction, reconstruction, rehabilitation, or replacement of public infrastructure, affordable housing, or permanent supportive housing, or the acquisition or lease of real property for those purposes, if the proposition proposing that tax is approved by 55% of the voters of the city, county, or city and county, as applicable, and the proposition includes specified accountability requirements. The measure would specify that these provisions apply to any city, county, city and county, or special district measure imposing an ad valorem tax to pay the interest and redemption charges on bonded indebtedness for these purposes that is submitted at the same election as this measure. This bill contains other related provisions and other existing laws.</p> <p>Introduced: 12/7/2020</p>	<p>Assembly Local Government</p>	<p>Support February 2021</p>
<p><u>SB 674</u> (<u>Durazo D</u>)</p> <p>Public Contracts: workforce development: covered public contracts.</p>	<p>Existing law establishes the Labor and Workforce Development Agency, under the supervision of the Secretary of Labor and Workforce Development. Existing law establishes within the Labor and Workforce Development Agency, the Department of Industrial Relations, to foster, promote, and develop the welfare of the wage earners of California and to advance their opportunities for profitable employment, among other duties. This bill would require the Labor and Workforce Development Agency to create 2 programs, to be known as the California Jobs Plan Program and the United States Jobs Plan Program. The bill would require the programs to meet specified objectives, including supporting the creation and retention of quality, nontemporary full-time jobs, as specified, and the hiring of displaced workers and individuals facing barriers to employment. The bill would require, as a component of applications for covered public contracts, as defined, the creation of forms for each program that state the minimum numbers of proposed jobs that are projected to be retained and created if the applicant wins the covered public contract. These components of the application would be known as the California Jobs Plan and the United States Jobs Plan, which the bill would define. Pursuant to these definitions, applicants for covered public contracts would state the minimum number of jobs, proposed wages, benefits, investment in training, specific protections for worker health and safety, and targeted hiring plans for displaced workers and individuals facing barriers to jobs, as specified, in exchange for covered public contracts. The bill would require an applicant for a covered public contract that uses entirely state and local funds to complete a California Jobs Plan form, while</p>	<p>Assembly Inactive File</p>	<p>Watch</p>

	<p>applicants for covered public contracts that use any amount of federal funds would complete the United States Jobs Plan. This bill contains other related provisions and other existing laws.</p> <p>Amended: 8/30/2021</p>		
<p><u>SB 771</u> (<u>Becker D</u>)</p> <p>Sales and Use Tax Law: zero emissions vehicle exemption.</p>	<p>Existing state sales and use tax laws impose a tax on retailers measured by the gross receipts from the sale of tangible personal property sold at retail in this state or on the storage, use, or other consumption in this state of tangible personal property purchased from a retailer for storage, use, or other consumption in this state. The Sales and Use Tax Law provides various exemptions from those taxes. This bill, on or after January 1, 2022, would provide an exemption from those taxes with respect to the sale in this state of, and the storage, use, or other consumption in this state of, a qualified motor vehicle, as defined, sold to a qualified buyer, as defined. The bill would provide that this exemption does not apply to specified state sales and use taxes from which the proceeds are deposited into the Local Revenue Fund, the Local Revenue Fund 2011, or the Local Public Safety Fund. This bill contains other related provisions and other existing laws.</p> <p>Amended: 5/11/2021</p>	<p>Assembly Desk</p>	<p>Watch</p>

PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT

TO: Joint Powers Board

THROUGH: Michelle Bouchard
Acting Executive Director

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

SUBJECT: **PENINSULA SHUTTLE STUDY RECOMMENDATIONS**

Finance Committee
Recommendation

Work Program-
Legislative-Planning

Staff Coordinating
Council Reviewed

Staff Coordinating Council
Recommendation

ACTION

No action is required. This item is being presented to the Board for information only.

SIGNIFICANCE

The Peninsula Shuttle Program Study is a multi-agency effort that includes several partners, including but not limited to: Caltrain, SamTrans, the San Mateo County Transportation Authority (SMCTA), the City/County Association of Governments of San Mateo County (C/CAG), and Commute.org.

Caltrain shuttles have been in operation since at least 1988 with the goal of increasing transit ridership by addressing first/last mile connections and to provide local mobility needs for commuters and underserved populations. To varying degrees, Caltrain, along with SamTrans and Commute.org, is involved in the administration and funding of several routes in this program.

In light of inconsistent performance across multiple operating agencies, shifting demand for public transportation, barriers to shuttle access, and organizational complexity, SamTrans and Caltrain jointly funded the Peninsula Shuttle Study, which kicked off in early 2020. The goal of the study is to improve and simplify shuttle operation and streamline program administration.

As the study is now nearing completion, the Caltrain Board will receive an update on the study's proposed recommendations for review and comment. The proposal seeks to clarify and standardize Caltrain's role across the three counties: San Francisco, Santa Clara, and San Mateo, with respect to shuttle operations, securing funding, and sponsoring grant applications, while still retaining the ability to coordinate schedules and to determine the amount of services to be provided, and to manage shuttle access and circulation across the various Caltrain stations.

BUDGET IMPACT

There is no budget impact associated with this informational item.

BACKGROUND

Pre-pandemic, Caltrain stations were served by 22 shuttle routes in San Mateo County and 8 routes in Santa Clara County.

On the operations side, Caltrain currently is still involved to varying degrees in the management and operation of a number of these shuttles.

On the funding side, Caltrain had previously budgeted annually to supplement the balance needed for its shuttle operations. While San Mateo County's Measure A sales tax provides most of the operating funds needed for shuttles within San Mateo County, Caltrain still had contributed approximately \$500,000 of discretionary funding towards shuttle operations in FY19, with \$91,000 allocated towards San Mateo County shuttles and the remainder to services in Santa Clara County.

Prepared By: Daniel Shockley
Senior Planner, SamTrans

650.508.6382

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michelle Bouchard
Acting Executive Director

FROM: Casey Fromson
Chief Communications Officer, Acting

SUBJECT: UPDATE ON MARKETING EFFORTS RELATED TO INCREASING RIDERSHIP

Finance Committee Recommendation Work Program-Legislative-Planning Committee Recommendation Staff Coordinating Council Reviewed Staff Coordinating Council Recommendation

ACTION

This item is information only.

SIGNIFICANCE

The return to transit marketing, communication and promotion of Caltrain fare and services through the All Aboard Bay Area Transit campaign launched in August. The attached presentation highlights the latest insights from the campaign.

Prepared By: Robert Casumbal, Director, Marketing and Market Research

650-508-6280

PENINSULA CORRIDOR JOINT POWERS BOARD
RESOLUTION HONORING

HISPANIC HERITAGE MONTH

BY THE
CALTRAIN BOARD OF DIRECTORS

WHEREAS, from September 15, 2021, through October 15, 2021, the United States celebrates Hispanic Heritage Month; and

WHEREAS, Spanish explorers first reached the San Francisco Peninsula in 1769 and gave in the name that it is still known by; and

WHEREAS, Hispanic Americans have called the San Francisco Peninsula home for centuries and were instrumental in shaping the history and culture of the region; and

WHEREAS, Hispanic Americans have had a profound influence through a strong commitment to family, faith, and community, an enduring work ethic and their many contributions to society; and

WHEREAS, many Hispanic Americans are regular Caltrain riders, with a survey from last year indicating that 26% of Caltrain riders are of Hispanic origin; and

WHEREAS, Caltrain prides itself as a system that is open and welcoming to everyone; and

WHEREAS, access to transportation is a fundamental civil right, that allows individuals to move freely and communities to grow and thrive, which therefore must be provided to everyone in a just and equitable manner; and

WHEREAS, the Peninsula will continue to grow as a vibrant, multicultural community, and that the history and culture of all peoples that live in it should be honored and celebrated; and

WHEREAS, as the primary transit connection serving the Peninsula, it is fitting that Caltrain recognize the diverse population that it serves every day; and

NOW, THEREFORE, BE IT RESOLVED that the Caltrain Board of Directors does hereby recognize Hispanic Heritage Month and celebrate ~~the Hispanic~~ heritage and culture ~~of Latinos~~ in the United States and the immense contributions of ~~Latinos to our~~ members of the Latinx community.

Dev Davis, Chair
Peninsula Corridor Joint Powers Board



**CITIZENS ADVISORY COMMITTEE (CAC)
PENINSULA CORRIDOR JOINT POWERS BOARD (JPB)
SAN MATEO COUNTY TRANSIT DISTRICT ADMINISTRATIVE BUILDING**

Bacciocco Auditorium, 2nd Floor
1250 San Carlos Avenue, San Carlos CA 94070

DRAFT MINUTES OF SEPTEMBER 15, 2021

MEMBERS PRESENT: A. Brandt (Vice Chair), P. Flautt, R. Jaques (Alternate), L. Klein, P. Leung, JP. Torres, D. Tuzman, E. Shapiro, B. Shaw (Chair)

MEMBERS ABSENT: R. Kutler, M. Pagee (Alternate), N. Mathur (Alternate)

STAFF PRESENT: T. Bartholomew, H. Chan, 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 5:41 p.m. and led the Pledge of Allegiance.

INTRODUCTION OF NEW CAC MEMBERS AND ALTERNATE

- Introduction of New CAC Member, Emilia Shapiro, San Mateo County
- Introduction of New Alternate CAC Member, Melody Pagee, San Mateo County

R. Jaques joined the meeting at 5:45 p.m.

APPROVAL OF MINUTES OF AUGUST 18, 2021

Motion/Second: Flautt / Klein

Ayes: Brandt, Leung, Shaw, Torres, Tuzman

Abstain: Shapiro

Absent: Kutler

PUBLIC COMMENT

Roland Lebrun, San Jose, via Zoom Q&A, requested closed captioning be enabled. He then expressed appreciation of the effort in capturing the accuracy of the CAC Meeting Minutes and suggested the Board Meeting Minutes reflect the same. He then stated that the timetable is an issue and heading in the wrong direction. He then stated that Caltrain is not working toward speeds over 79 MPH trains. He also stated that although Caltrain is running more trains, there are less trains running during peak hours. He mentioned a possible breach in full funding agreement with the FTA regarding capacity during peak hours.

Jeff Carter, Millbrae, via Zoom Q&A, referenced the correspondence packet regarding Member Tuzman's Editorial in the San Mateo Daily Journal titled Assembly Bill 1401: Rest in Smog. Jeff stated that smog and carbon emissions need to go down. He then stated that it is difficult to view the video archives on the Granicus server and requested staff to make them downloadable for easier viewing. Lastly, Jeff requested the correspondence packets be made in color as is to the Board to better read.

CHAIRPERSON'S REPORT

Chair Brian Shaw reported that he and the Vice Chair Adrian Brandt met with staff and stated that the MTC Fare Study will be presented to the Board prior to the CAC in October. Chair Shaw stated that it was an MTC decision to present to the Board prior to the CAC.

COMMITTEE COMMENTS

Vice Chair Adrian Brandt stated referred to Roland's comment regarding increased travel time end-to-end and suggested the reason is that dwell times are up with schedule padding. He encourages staff to lessen dwell time padding. He then referred to Jeff Carter's comment regarding public meetings on Granicus and suggested staff to make the recorded meetings downloadable. Lastly, Vice Chair Brandt mentioned that although the CAC will not receive the Integrated Fare Recommendation Study prior to the Board, he recommended everyone visit SeamlessBayArea.org and view the Transformation Action Plan. He said that it may be a good preview to the presentation that will be given in October.

Member David Tuzman advised the committee and the public that September is Transit Month in the Bay Area and that it is encouraged to share transit experiences on social media. He stated that BART and Caltrain are offering discounted fares on Clipper and encouraged former riders to come back to Transit.

Member Patrick Flautt shared that as members of public facing committees, the best good that can be done is to be visible in public advocating for the goals of the committees and commissions they are a part of. He thanked Member Tuzman for writing his opinions on Assembly Bill 1401.

Member Patricia Leung shared feedback regarding the new schedule and stated that there is not a good Baby Bullet connection to Gilroy, increasing travel time to Gilroy. She then encouraged members of the committee and the public to provide their feedback on the VTA BART Silicon Valley Extension Project Phase 2. Lastly, she thanked the staff for making riding the trains feel back to normal and comfortable.

Alternate Member Rob Jaques referred to Vice Chair Brandt's comment and stated that the Transformation Action Plan will be presented to MTC and will include recommendations regarding the Fare Integration Taskforce work; however it is separate from the Blue Ribbon Taskforce. He then shared that MUNI is accepting feedback on service changes, including some routed that link with Caltrain.

Public Comments:

Jeff Carter, Millbrae, via Zoom Q&A, shared his disappointment regarding the CAC not receiving the Integrated Fare Study prior to the Board. He then stated that dwell time padding may lead to train early departure and suggested staff take a closer look at tightening up dwell times. Jeff then referred to the Work Plan regarding Go Pass cost per ride factors requested in June of 2019 and requested an update on Go Pass usage.

Member David Tuzman called in and thanked Member Flautt and member of the public, Jeff for their comments on his article and encouraged everyone to read it to learn more about putting a stop to incentivizing car travel. He talked about his recent experience with riding the train. He then shared his disappointment with the Fare Integration Study going to the Board prior to CAC without committee comments.

Roland Lebrun, San Jose, via Zoom Q&A, stated that closed captioning had not been turned on as of yet. He reminded staff that it is a Federal ADA requirement and that if it is not enabled by the end of the meeting, he would submit a citation for an ADA violation. He then stated that he is working on requesting staff to implement a Baby Bullet to Gilroy. Lastly, he stated that there will be a Fare Integration Study presentation to the Finance Committee on September 27th at 2:30 p.m.

RAIL SAFETY EDUCATION & SUICIDE PREVENTION UPDATE

Tasha Bartholomew, Manager, Communications, presented the Rail Safety Education & Suicide Prevention Update. The full presentation can be found on caltrain.com

Committee Comments:

Vice Chair Brandt stated that in order to fix a problem it needs to be understood and thanked Ms. Bartholomew for the break down in her presentation. He then asked how the role of the cameras, in Palo Alto, play in the effort to prevent suicides. Mr. Joe Navarro, Deputy Chief, Rail Operations, responded that the cameras work. They detect sizable motion and alert the proper authorities that notify the Police. He stated that Caltrain shuts down service so that the Police may remove the trespassers from the tracks approximately three times a month.

Member Emilia Shapiro thanked Ms. Bartholomew for the presentation and everything staff is doing for suicide prevention.

Member Tuzman thanked Ms. Bartholomew for the presentation. He then asked whether her team has statistics on the San Mateo County Sheriff's Department intervening with attempted suicides or success rates. Ms. Bartholomew responded that she would follow-up, through the CAC Secretary, with further data.

Public Comments:

Roland Lebrun, San Jose, via Zoom Q&A, thanked the CAC Secretary for enabling the closed captioning. Roland then asked staff to stop referring to persons that have been fatally stricken on the tracks as trespassers, just as Supervisor David Pine has also requested. He then stated that there is no engineering at Hillsdale to stop passengers from getting hit by trains. He then asked what is being done to prevent vehicle strikes.

Jeff Carter, Millbrae, via Zoom Q&A, mentioned that Caltrain is not the cause of the fatality on the tracks. He thanked Ms. Bartholomew for the presentation and staff's efforts with added security and suicide prevention. Jeff then asked for staff's Safety and Security report that was once provided at the Board meetings, be revived. Lastly, Jeff mentioned that there is a law that states that people are not to enter a railroad crossing unless it can be cleared and are in violation if not adhered to.

Vice Chair Brandt recited the Vehicle code SVC 2256 section B.

SOUTH SAN FRANCISCO CALTRAIN STATION IMPROVEMENT PROJECT UPDATE

Hubert Chan, Project Manager, presented an Update on Caltrain Electrification Update. The full presentation can be found on caltrain.com

Committee Comments:

Chair Shaw mentioned that he is looking forward to the completion of the project and the agency addressing the hold-out rule problem there.

Member Larry Klein asked where the project stands with original budget versus the final cost of the project and asked for what sources funded those budget changes. Mr. Chan stated that he would follow-up with a response to the difference in budget. As far as the funding sources, he stated that it is a mix of federal funding and funding from the city of South San Francisco. He stated that he would follow-up with exact numbers through the CAC Secretary.

Member Jaques thanked Mr. Chan for the presentation. He then requested staff to include funding information on future project presentations. He asked Mr. Chan regarding pedestrian access and Mr. Chan explained the controlled crossing.

Vice Chair Brandt stated that he is pleased with the pedestrian connectivity more or less at grade to the downtown. He mentioned that he likes the center platform boarding for several reasons. He then asked for further details on the passenger informational systems and Mr. Chan responded that they are compatible with the current generation of systems.

Member Jean-Paul Torres thanked Mr. Chan for the presentations and echoed Vice Chair Brandt's comment on center boarding. Member Torres stated that it is great for access. He also appreciates the connectivity to downtown South San Francisco.

Public Comments:

Roland Lebrun, San Jose, via Zoom Q&A, shared that the problem, previous to project completion, was that the hold-out was communicated via radios and explained how it had failed and almost caused several strikes. He then questioned how safety can possibly be improved without passing tracks and how the station is ADA compliant without level boarding. He then went slide-by-slide with his disappointments.

Jeff Carter, Millbrae, via Zoom Q&A, shared that he also likes the center platform at South San Francisco. He hopes that, one day, the station could have level boarding.

VEHICLES ON THE TRACKS

Rob Scarpino, Director Rail Maintenance, presented Vehicles on the Tracks. The full presentation can be found on caltrain.com

Committee Comments:

Vice Chair Brandt stated that downward trend may be due to the pandemic and the efforts made in Palo Alto. He then stated that Year 2021 incidents happened mostly at night and may be due to drivers following their GPS during low lighting times of day. Vice Chair suggested installing gates across the tracks instead of quad gates to address the real problem of driving on the tracks.

Public Comments:

Roland Lebrun, San Jose, via Zoom Q&A, stated that quad gates are beneficial for several reasons. He stated that they are needed for the High Speed Rail and give the cities an opportunity to implement quiet zones.

Jeff Carter, Millbrae, via Zoom Q&A, stated that grade separations are costly and although they are quoted as transit improvements, they are actually road improvements. Because of that reason, he would like to see more highway funds going toward grade separation improvements.

STAFF REPORT UPDATE

Joe Navarro, Deputy Chief, Rail Operations reported (The full report can be found on caltrain.com):

On-time Performance (OTP) –

- **August:** The August 2021 OTP was 94.3% compared to 95.7% for August 2020.
 - **Mechanical Delays** – In August 2021 there were 485 minutes of delay due to mechanical issues compared to 639 minutes in August 2020.
 - **Vehicle Strike** – There was one vehicle strike on August 17, resulting in a fatality.
 - **Trespasser Strikes** – There were three trespasser strikes on August 2, 25 and 26, resulting in fatalities.
- **July:** The July 2021 OTP was 90.2% compared to 96.4% for July 2020.
 - **Trespasser Strikes** – There were two trespasser strikes on July 9 and 23, one resulting in a fatality.

Mr. Navarro stated that he has been hearing a lot about run times and challenged the committee to submit their estimate on pad or recovery time of runtime to the CAC Secretary, Patrice Givens. He stated that next month he will share the exact runtime

and compare it to the submissions. Joe then stated that he has made a recommendation for Gilroy service. He then shared and explained the monthly ridership trend charts which included percentage changes. Joe then shared that regarding electrification, the contractor is being held to their contracted windows of work and that no single tracking will occur during peak service. He then shared that staff will report on some construction challenges with electrification regarding grade crossing two speed check solution. He stated that in December, staff will share a construction schedule for March to switch over the signaling system. Mr. Navarro then stated that staff will bring back the Safety and Security report. Lastly, he shared that staff is working on requiring vaccination or regular testing and will report back with the policy soon.

Public Comments:

Roland Lebrun, via Zoom Q&A, asked Mr. Navarro to clarify and explain what recommendation was made for the Gilroy service. Mr. Navarro stated that he is not able to share the details, however, is an advocate and will follow-up with this group.

Jeff Carter, Millbrae, via Zoom Q&A, appreciated the ridership chart and requested it be included on the CAC webpage or Board webpage. Mr. Navarro stated that he is working on better ways to access the information.

Committee Comment:

Member Tuzman notified the group that there is belated Measure RR passage train party on September 26, 2021.

JPB CAC Work Plan

October 20, 2021

- Hillsdale Station Obstacles
- MTC Fair Study (*tentative*)
- Southeast Rail Station Study

November 17, 2021

- Brown Act Training
- Code Of Conduct
- Clipper Data Availability

December 15, 2021

- Customer Experience Completions & Recommendations
-
-

Suggested Items:

- 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
- Rail Corridor Use Policy – requested by Member Anna Dagum on 10/21/20
- Industry Safe Functionality
- Regional Fare Integration Task Force – requested by Member David Tuzman on 6/1/21
- Blue Ribbon Task Force

DATE, TIME, AND LOCATION OF NEXT REGULAR MEETING:

October 20, 2021 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 8:14 pm



BOARD OF DIRECTORS 2021
DEVORA "DEV" DAVIS, CHAIR
STEVE HEMINGER, VICE CHAIR
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DAVE PINE
CHARLES STONE
SHAMANN WALTON
MONIQUE ZMUDA

MICHELLE BOUCHARD
ACTING EXECUTIVE DIRECTOR

Memorandum

Date: September 27, 2021
To: Board of Directors
From: Michelle Bouchard, Acting Executive Director
Subject: October 7, 2021, JPB Board Meeting Executive Director's Report

- **On-time Performance –**
 - **Through September 26:** The preliminary September 2021 OTP was 96.4 percent compared to 97.5 for September 2020.
 - **August:** The August 2021 OTP was 94.3 percent compared to 95.7 percent for August 2020.
 - **Trespasser Strikes –** There were three trespasser strikes on August 2, 25 and 26, resulting in fatalities.
 - **Vehicle Strike –** There was one vehicle strike on August 17, resulting in a fatality.
- **CAC Meeting –** The Citizens Advisory Committee met on Wednesday, September 15, via teleconference. Tasha Bartholomew, Manager – Communications provided a presentation on Rail Safety Education & Suicide Prevention. Hubert Chan, Manager, Stations – Rail Operations provided an update & presentation on South San Francisco. Rob Scarpino, Director – Rail Maintenance provided a presentation on Vehicles on the Tracks. Joe Navarro, Deputy Chief – Rail Operations, provided the Staff

Report. The next CAC meeting is scheduled for Wednesday, October 20, via teleconference or in San Carlos.

- **BATAC Meeting** – The Bicycle & Active Transportation Advisory Committee met on Thursday, September 16. Alex Acenas, Senior Project Manager – Rail Administration & Lori Low, Public Affairs Officer provided a presentation on the Broadway Burlingame Grade Sep Project. Sebastian Petty, Deputy Chief – Caltrain Planning provided a presentation on Service Expansion & COVID Recovery. Lori Low provided the Staff Report. The next BATAC meeting is scheduled for Wednesday, November 17, via teleconference or in San Carlos.

- **Holiday Service** –
 - **Labor Day** – On Monday, September 6, Caltrain operated a Weekend Schedule in observation of the Labor Day Holiday.

- **Special Event Service** –

Services Performed:

September special events ridership will be reported on the November Executive Director's Report.

- **SF Giants** – The SF Giants hosted 12 home games in August. Average additional ridership per game, boarding and alighting at San Francisco station, was 2,560, a decrease of 25% compared to July 2021. Total additional ridership for August was 30,720. Year-to-date additional ridership is 118,271.

The SF Giants hosted 15 home games in September.

- **San Francisco 49ers** – The 49ers hosted two pre-season games in August at Levi's Stadium with no capacity restrictions. Caltrain operated regular weekend service to and from the game. Total riders alighting and boarding at Mountain View station was 745, a decrease of 43% compared to August 2019.

The first game of the regular season was hosted on Sunday, September 26 at 5:20 pm (vs. the Green Bay Packers). Caltrain operated regular weekend service to and from Mountain View station. Attendees connected to the VTA Light Rail to Levi's Stadium.

- **Hella Mega Tour Concert** – The Hella Mega Tour Concert was held at Oracle Park on Friday August 27, 2021 at 5:30 p.m. and featured bands

- including Green Day, Fallout Boy, Weezer and the Interrupters. Caltrain operated two special southbound Local trains after the show to accommodate the extra crowds attending the event. Caltrain carried 3,231 additional riders, an increase of 181% compared to average weekday ridership in August, 2021.
- **Opera at the Ballpark** – On Friday, September 10, Opera at the Ballpark returned to Oracle Park for ‘The Homecoming’ at 7:00 p.m. Post-event riders were accommodated by regular service.
 - **Stanford Football** – The Stanford Cardinal hosted their first 2021 home football game of the season on Saturday, September 25 vs. UCLA at 3 p.m. Caltrain stopped regular northbound and southbound weekend service trains at the Stanford Stadium Station before and after the game.
 - **San Jose Sharks Pre-Season** – The Sharks hosted one pre-season game in September.

Services Scheduled:

- **SF Giants** – The Giants will host the end of the regular season with three games in October. Staff will continue to monitor and plan service for playoffs games accordingly.
- **SF 49ers Regular Season** – The 49ers will host two regular season games in October. Caltrain will operate regular weekend service and is coordinating with VTA and Levi’s Stadium regarding the connecting services.
- **Stanford Football** – The Stanford Cardinal will host two regular season games in October. Weekend regular service will stop at the Stanford Stadium station. Fans can tag on and tag off using their Clipper cards at the Stanford Stadium station for all weekend home games.
- **San Jose Sharks Pre-Season & Regular Season** – The SJ Sharks will host two preseason and three regular season games in October. Staff will continuously monitor service with SAP Center.
- **Golden State Warriors** – The Warriors will host three pre-season and three regular season games. Staff will continuously monitor service with Chase Center.

Capital Projects –

The Capital Projects information is current as of September 10, 2021 and is subject to change between September 10 and October 7, 2021 (Board Meeting).

- **San Mateo 25th Avenue Grade Separation Project:** This project raises the elevation of the alignment from Hillsdale Boulevard to south of the Highway 92 Overcrossing in the city of San Mateo. The project created a grade separation at 25th Avenue, relocated the Hillsdale Station to the north, and created two new east-west street grade-separated connections at 28th and 31st Avenues in San Mateo. The project is over 99% complete and a celebratory ribbon cutting event for the project is planned on September 17.

The new Hillsdale Station was opened for rail service on April 26th along with the majority of the parking lots between 28th Avenue and 31st Avenue, and, between 28th Avenue and 25th Avenue. The small portions of the parking lots at the southern end by 31st Avenue and at the northern end near 25th Avenue, which were excluded at the station opening were largely completed and opened for usage in late August. Shuttle services that had been temporarily rerouted to the Belmont Station during construction of the new Hillsdale Station and connecting underpasses at 28th and 31st Avenues were reinstated to the new Hillsdale Station on August 30, 2021.

At 31st Avenue, the contractor completed the painting of the 31st Avenue Steel Bridge, concrete flatwork for sidewalks, and electrical & mechanical work for the storm drain pump station. The 31st Avenue underpass was opened for traffic on Friday August 27, 2021.

The contractor is currently working on grading of the slopes of the MSE walls north of 25th Avenue to Borel Creek along with other items of work such as railings, etc.

- **South San Francisco Station Improvements:** This project replaces 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 overall system operational efficiency.

In September, the contractor (PMI) is installing architectural and electrical finishes for Ramp 3 (Pedestrian Underpass leading to West Plaza/Airport Boulevard entrance), and, Ramp 2 (Pedestrian Underpass to Center Platform). Concrete work and embedded electrical for Ramp1/Stair 1 (East Side entrance on Poletti Ave. to Pedestrian Underpass) is also in progress. The ceiling of the Pedestrian Underpass is in progress. The project completion date is forecasted for November 2021. Despite certain

outstanding items and owner-directed changes still to be implemented, the project team remains confident of the November 2021 completion date.

The project team is finishing negotiations with the contractor for a comprehensive settlement on remaining commercial issues such that cost certainty can be obtained as well by November 2021 or sooner.

- **Marin and Napoleon Bridge Rehabilitation Project:** This state of good repair project performed repairs at the Marin St. Bridge and replaced the Napoleon St. Bridge. Both bridges are in the City of San Francisco located south of the 22nd Street Station. The project installed security fencing to deter encampments, and, also included track improvements.

Construction was substantially completed in late July 2021. During September, punch list work is continuing. The contract is planned to be completed by the end of summer of 2021.

- **Burlingame Broadway Grade Separation Project:** This project will grade separate the railroad alignment at Broadway, between Carolan and California Avenues, in the City of Burlingame and remove the current at-grade crossing. As a part of this project, the Broadway Station will become elevated and the hold out rule at this station will be eliminated that impacts operational efficiency. Currently this project is funded for the design phase through local funds (San Mateo County Transportation Agency Measure A and City of Burlingame). The City of Burlingame is the sponsor of the project with Caltrain acting as the lead agency for implementation.

Currently, the project continues to address the City of Burlingame's comments to their review of the value engineering of the preliminary design to optimize cost, schedule, and construction efficiency. Concurrent with the value engineering efforts, detailed design efforts are underway such as geotechnical engineering and utilities coordination. A September 2, 2021 JPB board action was related to requesting approval of additional funding from the San Mateo County Transportation Authority (SMCTA) and increasing the FY22 Capital Budget for the additional design and construction costs associated with the relocation of Paralleling Station #3 (PS3) to the east side of the alignment. The current schedule forecasts advertisement for the construction contract by late-2023. Construction scheduled to occur from early 2024 to mid-2027. Advance utility relocations are expected to begin in late 2022. Team is evaluating the potential use of alternative contract delivery methods to address project risk and site constraints.

- **Guadalupe River Bridge Replacement:** JPB proposes to replace the MT-1 railroad bridge and extend the MT-2 railroad bridge over the Guadalupe

River in the City of San Jose, Santa Clara County, California. The proposed project is located just north of Willow Street and east of State Route (SR) 87 between Tamien & Diridon stations.

The 1935 MT-1 Bridge urgently needs to be replaced with a new structure to maintain safe and reliable operations. The MT-1 bridge does not meet current railroad structural design standards (including seismic criteria), and as a result is vulnerable in the event of a significant earthquake. The timber structure of MT-1 has been further damaged by multiple fires, most recently a large fire in November 2017 with temporary remedial measures in place to ensure safety.

The proposed project entails replacement of the existing 187-foot MT-1 Bridge with a 265-foot pre-cast concrete structure; channel widening under the south side of the MT-1 bridge to reduce scour/ increase flow capacity. The extension of the existing MT-2 bridge from 195-foot to 250 feet by replacing the south abutment and modifying the last pier and the relocation of Fiber Optic cables and the existing overhead catenary system (OCS) pole.

The total project cost estimated at \$45 million and is nearing design completion by October-November and bid advertisement in early 2022 with expected Board award in April 2022.

Major issues facing this project are the resolution with the UPRR on scope and budget issues, now entering an arbitration process, and advance relocation of the Fiber Optic cable & communication lines before bridge construction commencement.

- **Rengstorff Avenue Grade Separation:** JPB in partnership with the City of Mountain View propose to grade separate the existing at-grade Caltrain tracks from the roadway crossing at Rengstorff Avenue in the City of Mountain View. This project will help improve public safety for pedestrians, cyclists, vehicles, and trains while improving the overall traffic flow and travel reliability.

The project entails constructing a new full depressed intersection approximately 20 feet deep with horizontal transition curves of approximately 1/2 mile long on Central Expressway & ¼ mile long on Rengstorff at Caltrain railroad crossing. Major grading work, new paving & bicycle lanes with special barriers, retaining walls, new elevated railroad tracks & pedestrian bridges, utility relocation, drainage & pump station facilities, and landscaping.

The project is currently in preliminary design and expects 35% design submittal for later this year. Preliminary budget estimate for this project is around \$280 million. Most of the funds will come from City of Mountain View (VTA Measure "B" sales tax), State, Federal and other grants.

Currently construction is expected to start in early 2025 and complete in late 2027.

- **Ticket Vending Machine (TVM) Rehabilitation:** This project will upgrade existing TVM Server and retrofit and refurbish existing TVM machines to 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. Scope of the original contract was increased to include upgrades to the credit card reader and database.

Phase 1 was completed in October 2020 to develop a prototype Clipper TVM. Phase 2 for the retrofitting of 12 additional TVM's was completed in March 2021. The agreement for the award of Phase 3 for upgrading of another 21 TVM's is being executed. Phase 4 for the upgrading of another 27 TVM's will be added to the project when the approved FY21 capital funding becomes available. Phase 5 funds to upgrade the remaining 27 TVM's was included in the approved FY22 Capital Budget.

- **Mary and Evelyn Avenue Traffic Signal Preemption Project:** This project will perform upgrades to train approach warning systems at Mary Avenue and Evelyn Avenue crossings in Sunnyvale. Project will improve vehicle safety at the at-grade crossings by increasing traffic signal advance warning times for approaching trains in order to clear vehicles at the crossings. Project will mimic the 2014 completed traffic signal preemption project 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 grade crossings.

The 100% crossing design by the Electrification project is not available for design coordination and a timeframe for its receipt is pending. Project proceeded to complete its design without this information from the Electrification project. The 100% design is complete and Notice to Proceed for construction was issued to the Caltrain contract operator, TASI. TASI has completed the installation of new traffic signal preemption equipment. The new equipment for the advance signal preemption was successfully cutover and tested in July 2021. Integrated testing with the City of Sunnyvale's traffic controller will be done when the City is ready in late 2021.

- **FY19/FY20 Grade Crossing Improvements:** This project is a continuation of the ongoing grade crossing program to improve safety at grade crossings in accordance with Grade Crossing Hazards Analysis for the entire corridor. This analysis prioritized crossings and we have proceeded with the work in phases based on funding availability. Ten 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 in this phase are 1st, 2nd, and 3rd Avenues in San Mateo, and, Glenwood and Oak Grove Avenues in Menlo Park. Work items include installation of signals, gates, curbs, and signs.

Construction began in April 2021 and all construction was substantially completed in July 2021. In September, punch list work and other work items were in progress and are being completed.

- **Churchill Avenue Grade Crossing Improvements:** This project will make safety, pedestrian and bicycle access improvements to the Churchill Avenue crossing in the City of Palo Alto. The project scope includes widening sidewalks, associated relocation of pedestrian gates, and installing new vehicle pavement markings and markers. This project is a coordinated with the City of Palo Alto's own design for the crossing.

Project began in December 2019. The 65% design, that predates the City of Palo Alto's design, was received at the end of April 2021. The City of Palo Alto's initial 50% design for the crossing was received in July 2021 and is now being incorporated into the 95% design. The City's 100% design is forecast for September 2021, and subsequently JPB's Issue for Bid documents is forecast for October 2021 in order to incorporate the City's design. Construction is forecast for mid-2022 to early 2023.

- **Broadband Wireless Communications:** This project will provide wireless communication systems to enhance capabilities for monitoring of railroad operations and maintenance, and provide Wi-Fi capability for passengers. Project is funded through a grant from the Transit and Intercity Rail Capital Program (TIRCP).

Project has completed the planning/conceptual design phase to develop project requirements and a stakeholder's review of planning/conceptual design was completed. A recommendation has been made to proceed with the project as a Design/Build procurement. Caltrans, the primary funding managing agency, has approved JPB's request to procure via a Request for Proposal (RFP) in lieu of Issue for Bid (IFB) method to allow for best value selection. The RFP contract documents completed reviewed by rail

management and is now currently undergoing review by Legal. Advertisement is forecast by end-September 2021 and contract award by early 2022. Design and Construction is planned from early 2022 until mid-2023.

- **Bayshore Station Bridge Painting:** This project will perform rehabilitation of the coatings of the existing steel pedestrian overpass bridge at the Bayshore Station, in Brisbane. The bridge connects the southbound platform to the northbound platform and the parking lots on the east side. The bridge was originally constructed as part of the Caltrain Express project (CTX) in 2002 and has not been repainted since. The bridge's paint coatings are in need of rehabilitation with surface rust that needs to be addressed along with a complete repainting of the bridge to bring the structure to a state of good repair.

The project is finalizing the Issue for Bid construction bid documents. Coordination and outreach with the Electrification project and stakeholders, such as the Cities of Brisbane and San Francisco, have been conducted and continue. Subject to the availability of funding for construction, the advertisement for bids is now forecast to occur in fall 2021 with construction expected to commence in the spring of 2022. It was determined that waiting for completion of station grounding and bonding, by the Electrification project, was not necessary for this project to proceed.

- **Mountain View Transit Center Grade Separation and Access:** The purpose of the Mountain View Transit Center (MVTC) Grade Separation and Access Project is to improve safety at Castro Street in the city of Mountain View by replacing the existing at-grade crossing at Castro Street with a grade-separated pedestrian and bicycle underground crossing.

The Project will include:

- 1) A main Transit Center entrance to Castro Street, facilitated by closing the existing at-grade rail crossing to vehicles;
- 2) A promenade walkway leading to a grand stair and ramp, made possible by narrowing Castro Street where it connects Evelyn Avenue;
- 3) A below-grade Concourse, replacing the existing at-grade rail crossing and linking pedestrian and bicycle tunnels to Downtown, and Transit Center, and community areas north of Central Expressway;
- 4) Small plaza at the northeast and northwest corners of Central Expressway and Moffett Boulevard that provide access to undercrossing tunnels via stair, ramp, and/or elevator;
- 5) Platform, plaza, and below-grade amenities, including lighting, seating, sun/rain canopies, and landscaping;
- 6) Accommodate long-range rail operation needs;

- 7) Improve bicycle and pedestrian access/circulation within project limits;
- 8) Offer an opportunity to provide a gateway entrance into the Mountain View Business District.

JPB Environmental Planning group is working to obtain environmental clearance for the project through the California Environmental Quality Act (CEQA). A board action for CEQA adoption is currently planned for late 2021 that will be followed by the release of the Request for Proposal for Final Design. The planned schedule is to issue an Invitation for Bids (IFB) for construction by end of 2024.

Currently, the project is working with the Project's "Technical Working Group" (TWG) that is comprised of JPB, Mountain View, and VTA for review of the final design Request for Proposal (RFP) deliverables as required in the executed Cooperative Agreement. In addition, the Team is evaluating the potential use of alternative contract delivery methods to address project risk and site constraints.

- **Watkins Avenue Grade Crossing Improvements:** This project includes the design and construction of four quadrant ("quad") gates at the Watkins Avenue Grade crossing located in Atherton, California. This project is related to the executed Memorandum of Understanding (MOU) in regard to the 'Town of Atherton Station Closure' between the Town and Caltrain.

In July 2021, a work directive was issued to the design consultant to complete final design activities. JPB Staff including Engineering and Maintenance conducted a kick-off meeting with Town of Atherton staff in regard to scope, schedule, as well as input for the conceptual design. In addition, JPB Staff will schedule a meeting with California Public Utilities Commission (CPUC) and other stakeholders for a diagnostic field assessment in order to obtain the necessary information and requirements from CPUC for the final design.

The current schedule forecast reflects a construction period from January 2023 to December 2023, which complies with executed MOU.

- **MP-36 Locomotive Mid-Life Overhaul Project:** Perform mid-life overhaul of six MP-36-3C Locomotives. The mid-life overhaul includes 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 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 is occurring 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 are released at a time for overhaul work 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 #927 was shipped to the vendor's facility at Mare Island (Vallejo) in July 2020 for overhauling. Its return to Caltrain has been delayed from early-2021 until late-2021 due to COVID-19 related impacts to the vendor's supply chain, availability of testing staff due to travel restrictions, and increase in the scope of needed repairs. This delay is expected to be limited to vehicle #927, this unit is currently 82% completed. A second vehicle #924 was shipped to the vendor's facility in November 2020 and is currently being stripped for overhauled.

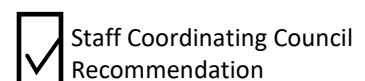
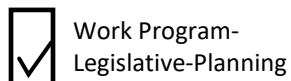
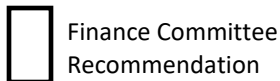
PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT

TO: Joint Powers Board

THROUGH: Michelle Bouchard
Acting Executive Director

FROM: Pranaya Shrestha
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: Pranaya Shrestha
Chief Officer, Caltrain Modernization Program

720.757.9191



Caltrain Modernization Program Peninsula Corridor Electrification Project (PCEP)



August 2021 Monthly Progress Report

August 31, 2021

Funding Partners



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



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



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



Carl Moyer Fund



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



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



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



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



City and County of San Francisco (CCSF) Contribution

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1.0 BACKGROUND

Over the last decade, Caltrain has experienced a substantial increase in ridership and anticipates further increases in ridership demand as the San Francisco Bay Area's population grows. The Caltrain Modernization (CalMod) Program, scheduled to be implemented by 2022, will electrify and upgrade the performance, operating efficiency, capacity, safety, and reliability of Caltrain's commuter rail service.

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

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

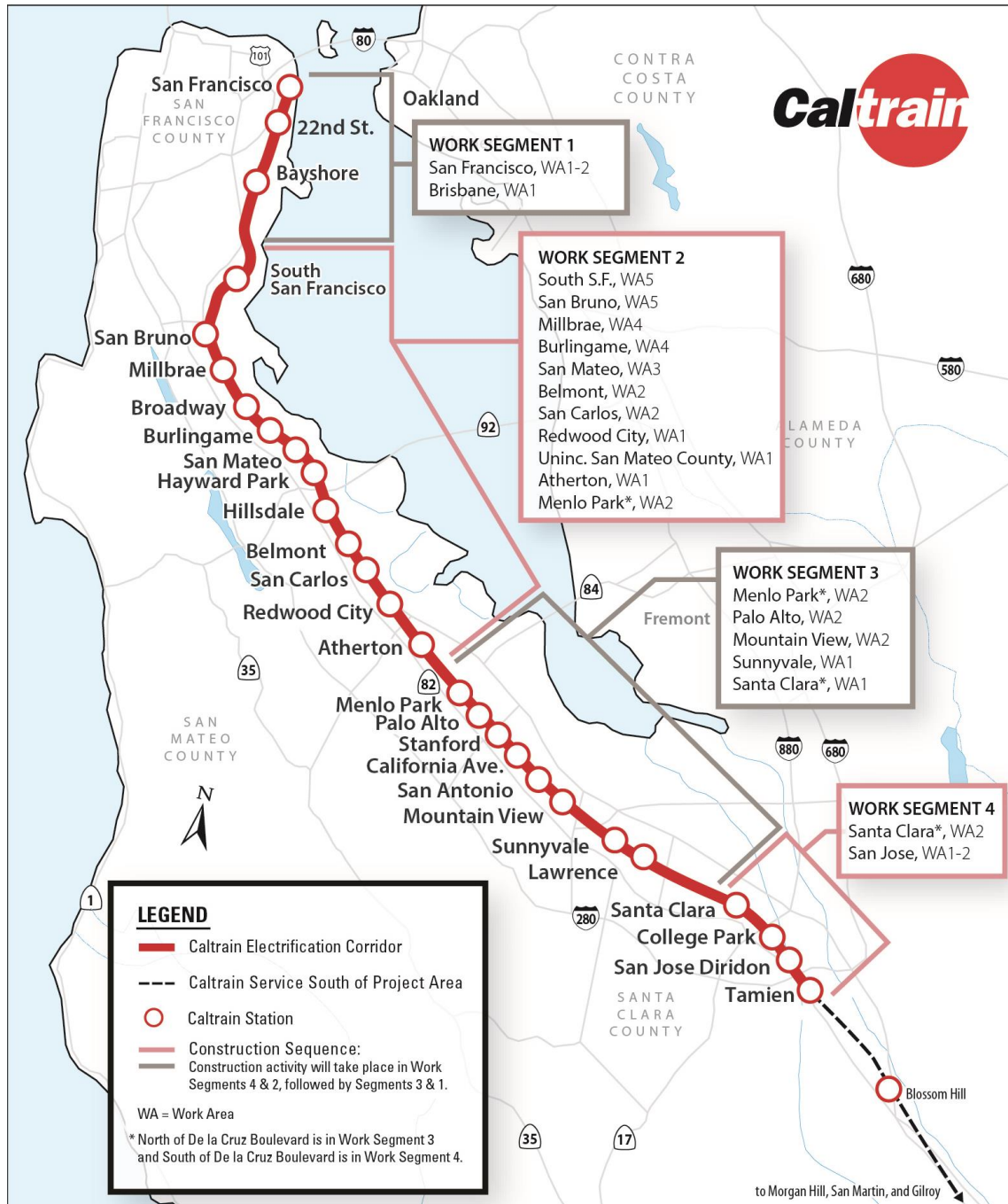
- **Improved Train Performance, Increased Ridership Capacity and Increased Service:** Electrified trains can accelerate and decelerate more quickly than diesel-powered trains, allowing Caltrain to run more efficiently. In addition, because of their performance advantages, electrified trains will enable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

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2.0 EXECUTIVE SUMMARY

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

Figure 2-1 PCEP Work Segments



Peninsula Corridor Electrification Project
Monthly Progress Report

Foundation installation has been completed in Segment 2 between Belmont and Atherton. Crews continued installation of off-track foundations in Segment 1, OCS poles, cantilevers and wires in Segment 4, shunt wires in Segments 3 and 4, and OCS and cantilevers in Segment 2. Work at the paralleling stations included ductbank, ground grid, fence, access ramp, 25 kV enclosures, and transformer foundation, pad, and footing.

Punch list work continued at the Centralized Equipment Maintenance and Operations Facility (CEMOF). Grout pads have been completed and WSP conduit/backfill has been installed at the north and south pits. Electrical work has been completed for the Component Test Room and the handrail has been installed at the Part Storage Building.

Trainset 1 is still undergoing dynamic type testing in Pueblo, CO, including 8-car parking brake, rollback protection, and electromagnetic interference (EMI) testing. One Final Design Review (FDR) remains for Positive Train Control (PTC) software. The door plug First Article Inspection (FAI) took place this month.

2.1. Monthly Dashboards

Dashboard progress charts are included below to summarize construction progress.

Figure 2-2 Expenditure – Planned vs. Actual

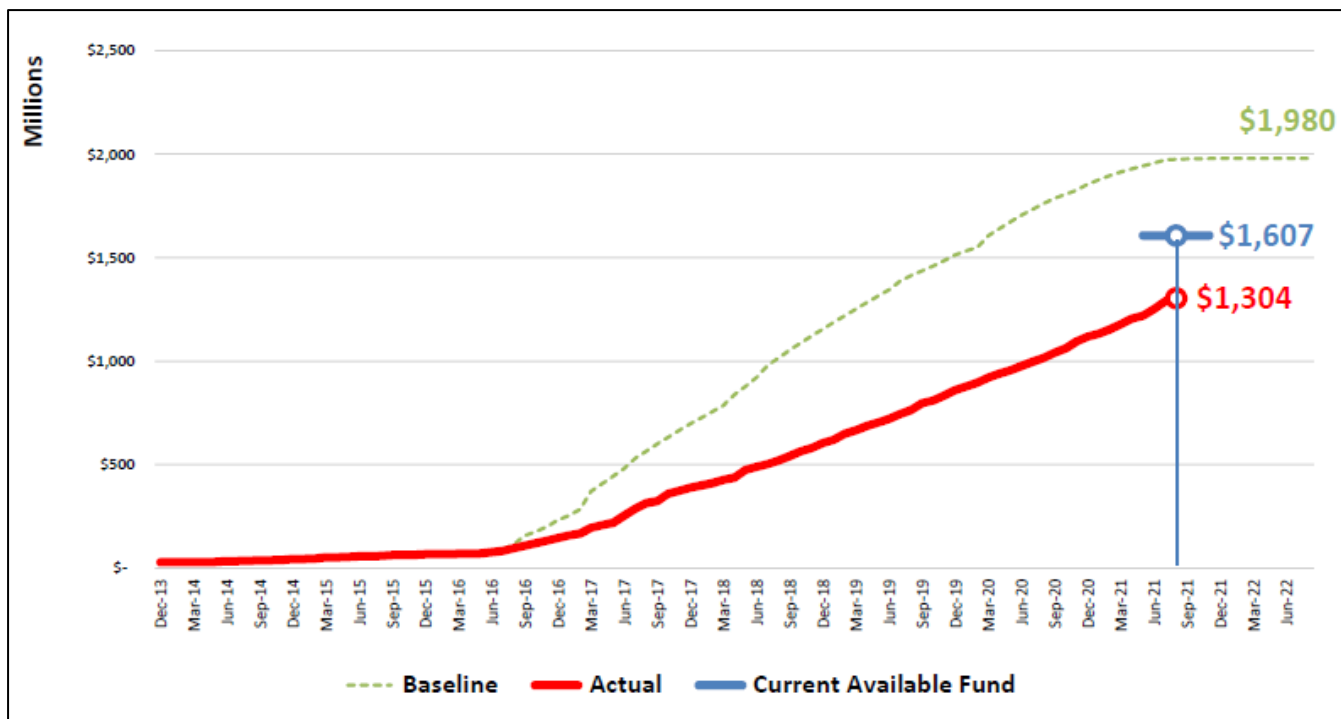


Figure 2-3 Spending Rate vs. Required

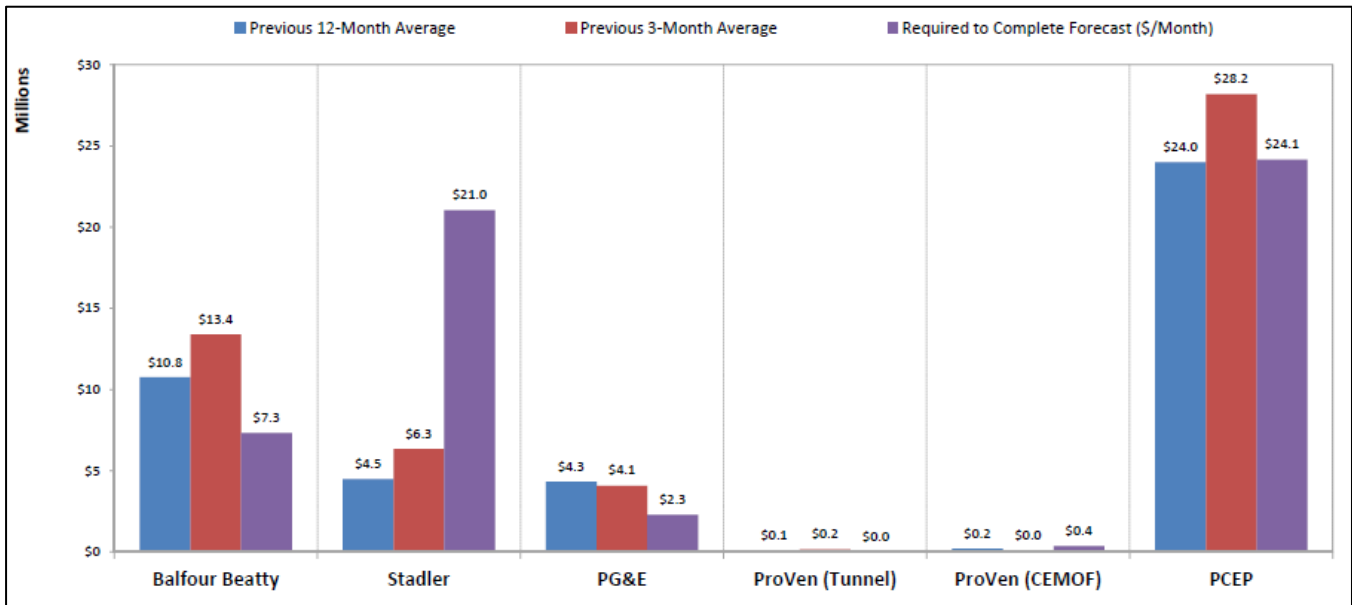


Figure 2-4 Construction Contract Budgets

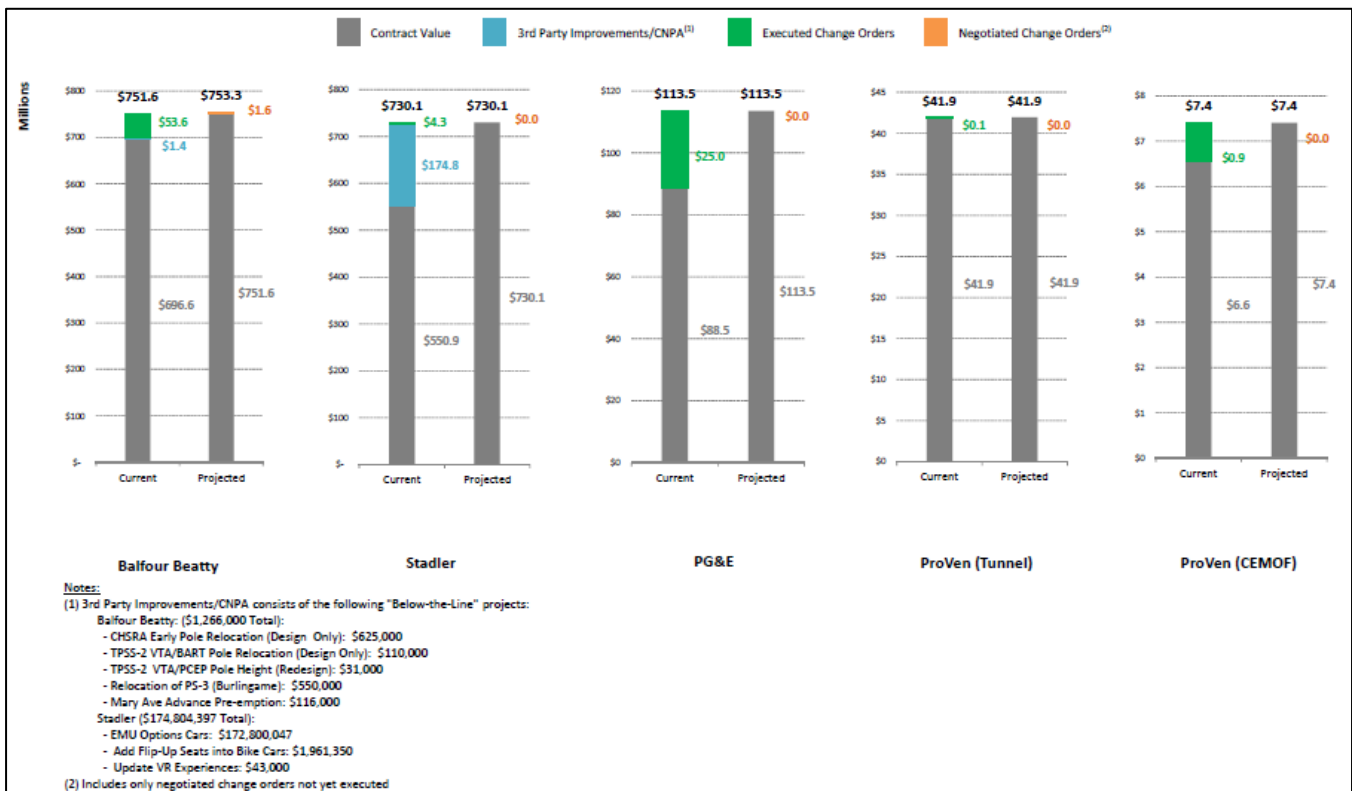
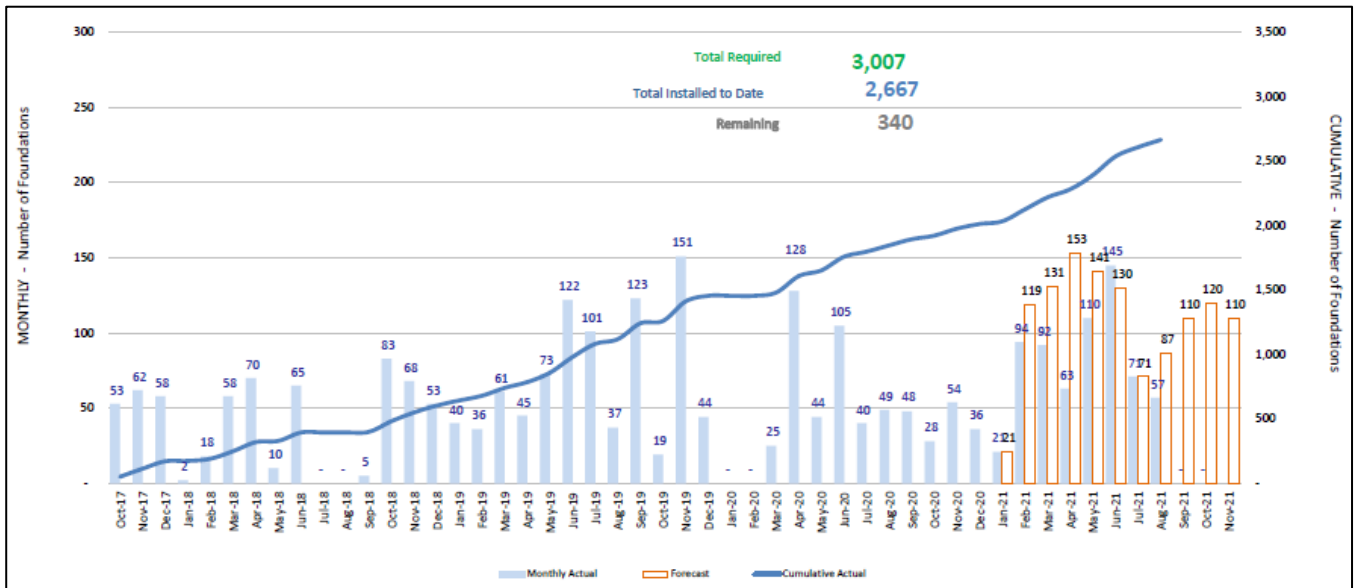


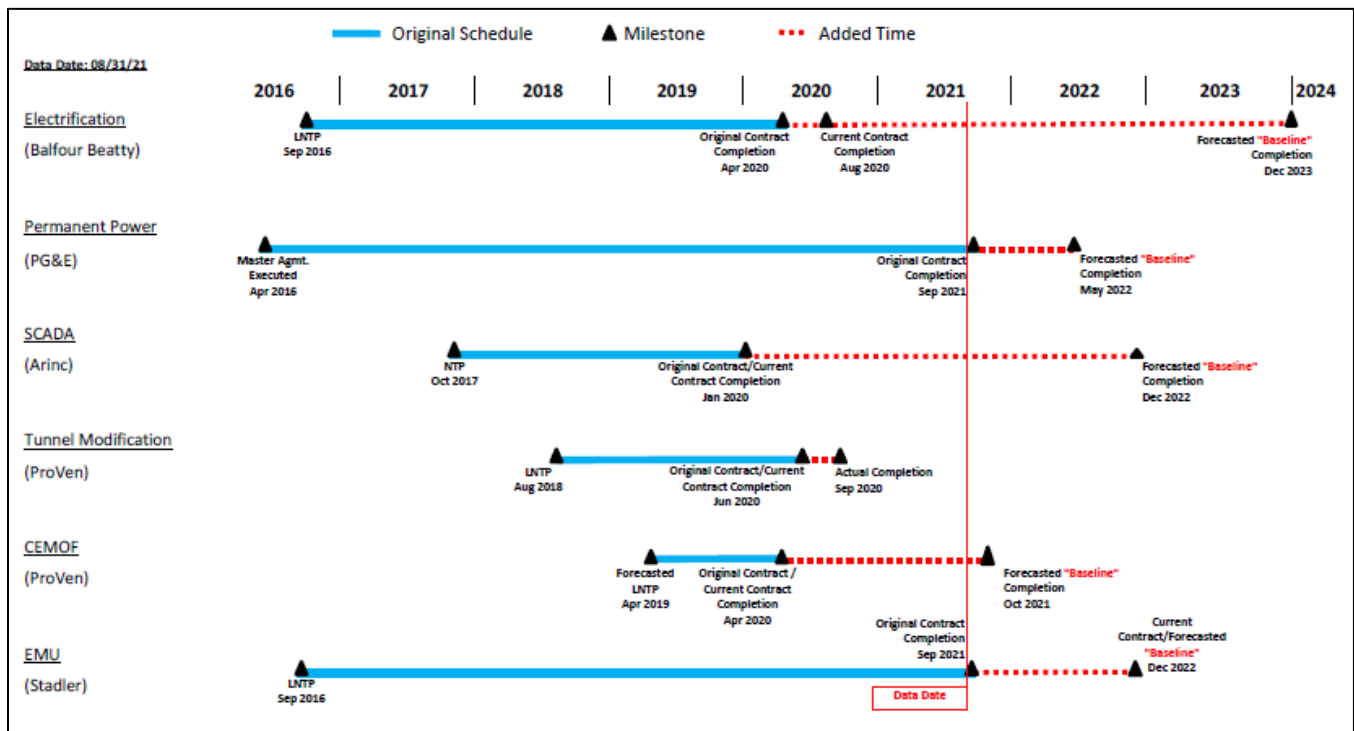
Figure 2-5 OCS Foundation Production



Notes regarding tables above:

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

Figure 2-6 Contractor Completion Schedule



2.2. Funding Partners Participation in PCEP

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

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

Electrification – Weekly Discipline-Specific Meetings

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

Activity this Month

OCS Foundation Meeting

Funding Partners: None

- Review of upcoming foundation design and installation schedule
- 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 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)

PCEP Delivery Coordination Meeting – Bi-Weekly

Purpose: To facilitate high-level coordination and information sharing between cross-functional groups regarding the status of the work for which they are responsible.

Activity this Month

Funding Partners: SFCTA: Luis Zurinaga; MTC: Trish Stoops; CHSRA: Sharath Murthy; VTA: James Costantini

The Project Management Oversight Consultant (PMOC) monitoring visit occurred virtually on August 25 – 27. The monitoring meetings have changed to occur monthly instead of quarterly. In real estate activities, access permits have been received for both San Francisco and San Mateo sites, and work has commenced in San Francisco. In EMU design and testing, the monitoring and diagnostic system (MDS) final design review (FDR) has been completed, leaving one FDR remaining for Positive Train Control (PTC). Testing took place for Train 1 at TTCl in Pueblo which included parking brake/rollback protection tests and Electromagnetic Interference (EMI) testing. Car B underwent climate room testing and staff is awaiting the final report. First Article Inspections (FAIs) for luggage racks and ceiling panels took place on August 13. The repair on Cars D and G of Trainset 2 have been completed and a sample car inspection is targeted for November 2021. In design build activities, foundation installation is continuing in Segment 2 Work Areas 1 and 2 with work nearing completion. Poles and wires work continues in Segments 3 and 4. Completion of wiring in Segment 4 has been pushed to November due to complexity of Diridon wiring which requires hand work. Factory Acceptance Testing (FAT) for PS-5, PS-6, and PS-7 have been completed and delivery dates are tentatively scheduled for mid-August/mid-September. Expected completion of the Protocol Manager for Secure Authentication (SA) Version 5 is anticipated for early September and a demo is planned for September 17.

Systems Integration Meeting – Bi-Weekly

Purpose: To discuss and resolve issues with inter-system interfaces and to identify and assign Action Item Owners for interface points that have yet to be addressed.

Activity this Month

Funding Partners: CHSRA: Sharath Murthy

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, Positive Train Control (PTC) and Caltrain Capital Project managers responsible for other capital projects on the corridor is ongoing. There is coordination with PG&E construction of the Interconnection to TPS-2, and the CEMOF upgrades as well. The Systems Integration meeting has been arranged to have a technical discussion of the interface issues to existing Caltrain legacy systems followed by a shorter session with CalMod management for elevation of issues identified. 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. The schedule fragnet for the achievement of Intermediate Milestone #1 has been largely developed and the group continues to refine this and monitor progress toward achievement of the milestone. 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: MTC: Trish Stoops; VTA: Manolo González-Estay; CHSRA: Sharath Murthy, Wai-On Siu

JPB has proposed a new revised Revenue Service Date (RSD) as a result of the risk refresh exercise performed by FTA-PMOC in December 2020. RSD is forecasted to occur between January 1, 2024 and March 31, 2024. When six to eight months of risk contingency is included, the new proposed revised RSD is September 26, 2024.

Milestone #1 Segment 4 construction completion has a 46-day schedule delay. This period update is due to BBII's long lead procurement of batteries, as the original batteries were found to not meet PG&E discharging test specifications. The new forecast date for Milestone # 1 Segment 4 construction completion is January 28, 2022.

The JPB's forecasted electrification substantial completion date for the BBII contract in the MPS August update remains December 31, 2023. JPB is working with BBII to improve progress on both the signal systems, which lags behind baseline productivity level, and traction power facilities, which continue to progress at a slow rate.

Arrival of the first trainset on JPB property has a schedule delay this period due to supply chain challenges and material shortages. The new forecast date for the arrival of the first trainset is December 18, 2021. This delay is not expected to affect the overall delivery and acceptance schedule for Stadler, with the acceptance of the final trainset remaining on December 9, 2022.

Risk Assessment Meeting – Monthly

Purpose: To identify risks and corresponding mitigation measures. For each risk on the risk register, mitigation measures have been identified and are being implemented. Progress in mitigating these risks is confirmed at the ongoing risk monitoring and monthly risk assessment meetings.

Activity this Month

Funding Partners: SFCTA: Luis Zurinaga; CHSRA: Sharath Murthy; MTC: Trish Stoops; VTA: James Costantini, Franklin Wong

No meeting was held in May due to the absence of items for the agenda.

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 August CMB meeting was cancelled due to lack of agenda items.

Funding Partners: CHSRA: Simon Whitehorn and Sharath Murthy; SFCTA: Luis Zurinaga; SMCTA: Joe Hurley; MTC: Trish Stoops and Kenneth Folan; VTA: Franklin Wong and James Costantini; FTA: Mike Eidlin

BBII Contract

No changes were identified for consideration.

CEMOF Contract

No changes were identified for consideration.

Stadler Contract

No changes were identified for consideration.

SCADA Contract

No changes were identified for consideration.

Tunnel Modification Contract

No changes were identified for consideration.

Amtrak Contract

No changes were identified for consideration.

Other

No changes were identified for consideration.

2.3. Schedule

JPB has proposed a new revised Revenue Service Date (RSD) as a result of the risk refresh exercise performed by FTA-PMOC in December 2020. RSD is forecasted to occur between January 1, 2024 and March 31, 2024. When six to eight months of risk contingency is included, the new proposed revised RSD is September 26, 2024.

Milestone #1 Segment 4 construction completion has a 46-day schedule delay. This period update is due to BBII's long lead procurement of batteries, as the original batteries were found to not meet PG&E discharging test specifications. The new forecast date for Milestone # 1 Segment 4 construction completion is January 28, 2022.

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

Table 2-1 Schedule Status

Milestones	Program Plan	Progress Schedule (August 2021) ¹
Arrival of First Vehicle at JPB	N/A	12/18/2021 ²
Milestone #1 Segment 4 Construction Completion	11/21/2019	01/28/2022 ¹
PG&E Provides Permanent Power	09/09/2021	05/12/2022
FFGA RSD	08/22/2022	08/22/2022
Acceptance of 14 th Trainset	08/20/2021	12/09/2022 ²
Electrification Substantial Completion	08/10/2020	12/31/2023 [*]
Revenue Service Date (RSD) – Period Range	12/09/2021	01/01/2024 – 03/31/2024
Proposed Revised RSD with Contingency	N/A	09/26/2024

Note:

- ¹ Dates may shift slightly in the upcoming progress schedule update due to the grounding & bonding at CEMOF and holidays.
- ² These dates are expected to be delayed due to supply chain challenges and materials shortage.
- ^A Completed Milestone.
- ^{*} Pending mediation process resolution with BBII.

2.4. Budget

In December 2020, the FTA conducted a risk refresh that reviewed the existing delays, updated contractor schedules, and independent schedules prepared by the JPB. On June 17, 2021, a draft FTA-led Risk Refresh Report was issued forecasting an additional budget need of \$333M. At the June 3, 2021 JPB Board meeting, in alignment with the FTA report, PCEP proposed a \$333M budget increase consisting of \$161M in known and allocated costs and \$172M in reserve. The additional budget need has been incorporated into the estimate to complete (ETC) at the bottom of budget Table 8-3 for a total estimate at completion (EAC) of \$2.313B and Appendix D for an FTA project EAC

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of \$2.263B. The re-baseline allocation of the additional budget to the current budgets will be implemented after resolution of the Two-Speed Check Solution.

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) ^{3,4}	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
Electrification Subtotal	\$1,316,125,208	\$1,316,125,208	\$13,784,288	\$1,000,017,071	\$336,108,137	\$1,336,125,208
EMU Subtotal	\$664,127,325	\$664,127,325	\$719,870	\$304,218,986	\$339,908,339	\$644,127,325
Known and Allocated⁵					\$161,000,000	\$161,000,000
Reserve⁵					\$172,000,000	\$172,000,000
PCEP TOTAL	\$1,980,252,533	\$1,980,252,533	\$14,504,157	\$1,304,236,057	\$1,009,016,476	\$2,313,252,533

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.
4. Column D "Cost To Date" is exclusive of Caltrain capital overhead on non-staff costs for the period since methodology changed in January 2021. The cost and budget for overhead will be reconciled with the amendment of the program budget.
5. Known and Allocated and Reserve includes additional budget need of \$333M in the estimate at completion (EAC) until a budget amendment is approved.

2.5. Board Actions

- Authorize Execution of a Change Order with BBII for Removal and Disposal of Contaminated Soil

Future anticipated board actions include:

- Authorize Amendment to Supplemental Agreement No. 4 with PG&E for Procurement and Construction Services for PG&E Infrastructure Build Outs
- Authorize Execution of a Change Order with BBII for Increase in Allowance Item No. 9 – Utilities Potholing
- Change orders as needed

2.6. Government and Community Affairs

There were four outreach events 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

- Completed installation of all OCS foundations in Segment 2.
- Began mobilization of on-track foundation equipment to Segment 1.
- Continued installation of off-track foundations in Segment 1.
- Continued installation of OCS poles, cantilevers, and wires in Segment 4.
- Continued regulation of OCS wires (sagging the wires) in Segments 3 and 4.
- Continued installation of shunt wires in Segments 3 and 4.
- Continued installation of OCS poles and cantilevers in Segment 2.
- Continued to pothole at proposed OCS locations and utility locations in Segment 2 and Segment 1 in preparation of upcoming foundation installations.
- 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.
- PS-1:
 - Continued installation of pad and low voltage ductbank for PG&E service.
 - Installed transformer buss bars from transformer to risers.
 - Pulled low voltage wire.
 - Continued installation of ground grid and grounding pads for site and fencing.
- PS-2:
 - Continued installation of ductbank for 400 AMP service panel.
 - Continued termination of low voltage cables.
 - Installed grounds to fence post.
 - Began identifying, labeling, and megger testing cables.

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- PS-3:
 - Continued installation of transformer foundation.
 - Installed conduits for transformer pad.
 - Poured transformer pad foundation and footing.
 - Poured 25kV enclosure walls.
 - Procured precast drainage material.
- PS-4:
 - Installed bollards.
 - Set and poured bollard foundations.
 - Performed PG&E transformer inspections.
 - Installed conduit for PG&E ductbank and PG&E service pad.
 - Installed ground rods and ground wire for PG&E transformer.
- PS-5:
 - Continued low voltage termination.
 - Continued terminations on gantry, transformers, PTs, MOD, and GTC cabinets.
 - Assisted EPS with cable termination on main gantry and Riser C.
- PS-6:
 - Procured access ramp material.
 - Set 25kV enclosure house.
 - Began installation of communication panels and equipment.
 - Mounted transfer switch on house.
 - Assisted EPS with cable termination.
- PS-7:
 - Continued installation of communication panel and equipment.
 - Set 25kV enclosure.
 - Mounted transfer switch on house.
 - Terminated and turned on temporary generator power.
 - Assisted EPS with cable termination.
- TPS-1: Began installation of gantry interface.
- TPS-2:
 - Installed fire suppression system.
 - Began termination of high voltage feeder cables.
 - Tested communication equipment in 25 kV enclosures.
 - Tested fiber connections.

- SWS-1: Continued low voltage power drop installation
- Continued to install signal kits, AFTAC boxes, and signal cases in Segment 2.
- Performed cable pulling in Segment 2.
- Installed communication equipment and spliced fiber in Segment 2.
- Continued to install signal ductbank, conduits, and cables in Segments 1, 2, 3, and 4.
- Installed transformer box at Control Point (CP) De La Cruz, CP Stockton, CP Shark, CP Alameda and CP Bird.
- Performed signal system pretesting in Segments 4 and 2.
- Installed insulated joints in Segment 2.
- Performed track bonding and impedance bond installation in Segment 4.
- Continued fiber optic cable installation and splicing in Segment 4.
- Installed overhead bridge attachments at various locations in Segment 3 and 4.
- Progressed the OCS design with BBII in all segments, which included submittal and review of Design Change Notices for revised foundation locations.
- Continued Right of Way acquisition for TPS-1 interconnection.
- Coordinated design review with local jurisdictions for the OCS, traction power facilities, and bridge attachments design, including responses to comments from jurisdictions.
- Continued to review and coordinate signal and communication design submittals with BBII.
- Continued internal discussions about design, installation and testing of signal and communications modifications to the Caltrain system and schedule for cutover plans.
- Continued discussions with VTA on Right of Way acquisition for TPS-2 interconnection.
- Worked with BBII through Site Specific Work Plans (SSWP) for upcoming field work.
- Continued model validation for the single phase study.
- PG&E continued work at East Grand and FMC substations.
- PG&E continued TPS-2 and TPS-1 Interconnection work.

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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
1	Tunnels	32	0	32	32	0	32
	A	306	0	66	259	0	0
	B	231	33	131	177	0	0
2	5	246	0	246	208	0	160
	4	317	1	317	253	33	244
	3	177	0	177	140	0	43
	2	237	9	237	205	0	60
	1	200	14	200	154	0	33
3	2	509	0	509	445	0	445
	1	392	0	392	310	0	306
4	A	242	0	242	180	0	179
	B	128	0	128	124	0	109
	CEMOF	85	0	85	84	1	83
Total		3,102	57	2,762	2,571	34	1,694

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. Update: To-date, 30 foundations have been installed by the South San Francisco in S2WA5 and 65 have been installed by the 25th Ave projects in S2WA3.

Activity Next Month

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

- PS-1:
 - Continue PG&E low voltage drop work, complete low voltage ductbank installation and set 400 AMP panel.
 - Continue to pull cable.
- PS-2:
 - Begin construction of bike lockers.
 - Complete construction of 400 AMP panel pad and set 400 AMP panel.
 - Install drain rock and finegrade.
 - Complete permanent fence installation.
- PS-3:
 - Continue installation of transformer pad.
 - Continue installation of high voltage/low voltage ductbanks to transformers.
 - Backfill ATS pad subgrade.
 - Pour 25kV enclosure walls.
 - Complete city comment responses for the IFC design and drainage drawings with PGH Wong, BBII and City of Burlingame.
- PS-4:
 - Complete PG&E inspections.
 - Install bollards.
- PS-5
 - Set 25kV enclosure.
 - Install permanent site fence.
- PS-6:
 - Continue to backfill remaining drainage and bio retention.
 - Continue installation of communication equipment and fiber connections.
 - Begin PG&E electrical work.
 - Continue low voltage cable fit-up for the 25kV enclosure.
- PS-7:
 - Continue installation of communication equipment and fiber connections.
 - Continue low voltage cable fit-up for the 25kV enclosure.
- SWS-1:
 - Install 400 AMP service ductbank.
 - Install PG&E low voltage ductbank.
 - Install remaining finegrade.
 - Install bollards.

- Continue to install conduit and foundations for signal and wayside power cubicle (WPC) units in all Segments.
- Continue cable termination at signal locations in Segment 4.
- Continue fiber installation and splicing in Segment 4.
- Continue preparation for next signal cutover in Segment 4.
- Continue conduit installations in Segments 1, 2, 3, and 4.
- Continue to install impedance bond connections.
- Continue to install bridge attachments.
- Continue to progress location-specific design for grade crossing system.
- Continue planning process for signal cutovers.
- Review BBII work plans for upcoming construction activities.
- Coordinate with PG&E on construction for PG&E infrastructure.
- Coordinate with local jurisdictions to review designs.
- Continue tree pruning and removals.
- Continue progress on Single Phase Study.

3.2. Supervisory Control and Data Acquisition

SCADA is a system that monitors and controls field devices for electrification, including traction power substations (TPS), 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 Monthly Progress Report.
- Submitted August Schedule Update.
- Continued DNP-3 Protocol Manager development for support of the required Secure Authentication Version 5 (SAv5) for TP SCADA.
- Held a workshop to review the schedule in support of SAv5, point-to-point testing, and beyond.

Activity Next Month

- Prepare and deliver the Monthly Report and the Monthly Schedule Update.
- Attend project status meetings (virtually).
- Test Protocol Manager to support SAv5 and hold a demonstration on September 17.
- Conduct training for the Caltrain control center personnel (Train the Trainer).

3.3. Tunnel Modification

Tunnel modifications will be required on the four tunnels located in San Francisco. This effort is needed to accommodate the required clearance for the OCS to support electrification of the corridor. Outside of the PCEP scope, Caltrain Engineering has requested the PCEP team to manage completion of design and construction for the Tunnel 1 and Tunnel 4 Drainage and Track Rehabilitation Project. The Tunnel Drainage and Track Rehabilitation Project is funded separately from PCEP.

Activity This Month

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

Activity Next Month

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

3.4. Interconnection Construction

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

Activity This Month

- EGS – TPS-1:
 - Gateway Boulevard Vault #1 was delivered.
 - Progressed UECCo Phase 2A construction at the Gateway and Grand Avenue intersection.
 - UECCo mobilized for Phase 2B construction in the HealthPeak parking lot.
- FMC – TPS-2:
 - Circuit #2 and redundant fiber highway crossing rescheduled to May 2022.
 - Assisted EPS with testing and field commissioning.
 - Removed 600A switch gear and set 400A per inspection.
 - Established the control house to run on PG&E power.

Activity Next Month

- EGS – TPS-1:
 - Continue Underground Phase 2A – Gateway and Grand Avenue intersection construction.
 - Continue Underground Phase 2B – HealthPeak parking lot construction.

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- Complete FAT Testing for enclosure house.
- FMC – TPS-2:
 - Begin testing ground grid.
 - Continue BBI internal testing and commissioning of 25kV enclosure house.

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

- Dynamic type testing continued on Train 1 at TTCL in Pueblo, CO, including 8-car parking brake, rollback protection, and electromagnetic interference (EMI) testing.
- Routine static and dynamic testing continued on Trainsets 3, 4, and 5.
- Production continued on Trainsets 3 through 14.
- COVID-19 related actions continued for the 18th month causing mixed disruptions to Stadler's activities:
 - Stadler's manufacturing facilities in Switzerland supporting the Caltrain Project have returned to normal levels of activity.
 - The Switzerland-based manufacturing of car shells and trucks frames is on schedule.
 - Salt Lake City-based manufacturing is delayed due to previously incurred and ongoing person-power limitations and sub-supplier parts shortages.
 - Most recently, a spike in positive COVID-19 cases (possibly due to the Delta variant) has reduced man-hours in SLC.
 - Stadler has submitted multiple requests for 'excusable delays' due to COVID-19. The extent of the continuing delay is being evaluated. Currently, delivery of the first trainset to Caltrain has been delayed 8.5 months to November 2021.
 - Stadler's supply chain has been disrupted by two supplier bankruptcies. Replacement suppliers were found, but the delivery schedule was impacted. In addition, one of the replacement suppliers is now having financial issues. Due to this, Stadler submitted another request for excusable delay in February 2021. The extent of the delay is being evaluated. The key point is Stadler's ability to assemble the luggage racks and ceiling panels themselves. Assembly of those parts began in June.
- One Final Design Review (FDR) remains open for Positive Train Control (PTC) software.

- First Article Inspections (FAI) continue to have their paperwork formalized and closed out. The individual car FAIs remain, along with FAIs for the Stadler-assembled luggage racks and ceiling panels. The door plug FAI took place in August.
- 86 carshells have been shipped from Stadler Switzerland, with 73 arriving at Stadler's Salt Lake City facility (13 shells are in transit).
- Quality Assurance audits of USA-based sub-suppliers were halted in mid-March 2020 due to COVID-19 travel restrictions. Audits will commence when sub-suppliers reopen and travel restrictions are lifted.

Activity Next Month

- Continue to close out system level FDRs and FAIs.
- Continue to support Caltrain/PCEP system integration and rail startup activation activities.
- Support type testing in SLC and at TTCl.

4.2. Centralized Equipment Maintenance and Operations Facility Modifications

The CEMOF Modifications Project will provide work areas to perform maintenance on new EMUs.

Activity This Month

- North Pit and South Pit:
 - Completed grout pads under rail baseplate.
 - Submitted revised Industrial Waste shop drawing.
 - Installed WSP conduit and backfill.
 - Continued shop drawings/submittals for north pit repair.
- Component Test Room:
 - Installed floor leveling, T-Bar ceiling and wall panels.
 - Completed electrical work.
- Part Storage Building:
 - Continued electrical work.
 - Installed handrail.
 - Started off-hauling for Class II pile.

Activity Next Month

- North Pit and South Pit:
 - Install track rubber, pit lighting, and pit compressed air and site lighting for south pit.
 - Implement north pit repairs.
 - Install IW connection.

- Continue shop drawings/submittals for north pit repair.
- Component Test Room:
 - Continue pulling wires and trim out boxes.
 - Repair floor leveling and install window.
 - Schedule punch list site walk.
- Part Storage Building:
 - Install aerial cable conduit and site lighting.
 - Off-haul Class II soil.
 - Install exterior light photocells and fire alarm.
 - Schedule punch list site walk.

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5.0 SAFETY

Safety and Security requirements and plans are necessary to comply with applicable laws and regulations related to safety, security, and emergency response activities. Safety staff coordinates with contractors to review and plan the implementation of contract program safety requirements. Safety project coordination meetings continue to be conducted on a monthly basis to promote a clear understanding of project safety requirements as defined in contract provisions and program safety documents.

Activity This Month

- Project staff provided input and continued its participation in the BBII contractor workforce safety meetings. Project incidents continue to be reviewed with project staff to reinforce the application of recommended safety mitigation measures.
- Conducted the monthly employee injury review for BBII and its subcontractors.
- 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.
- Coordinated with Segment 4 (Santa Clara County) emergency responders in preparation of electrification system familiarization activities.
- Continued to perform reviews and provide comments on the BBII Safety and Security Certification Design Criteria Conformance Checklists (DCCC) and Construction Specification Conformance Checklist (CSCC) submittals.
- Participated with internal stakeholders in Rail Activation Committee meetings.
- Investigated project incident occurrences and worked with the contractor representatives to identify incident root causes and develop and implement safety and security mitigation measures.
- Coordinated with the PMOC in support of the FTA Oversight Procedure 54 (OP-54) readiness review of Segment 4 Milestone 1 activation.
- Conducted ongoing safety inspections of contractor field activities.
- Participated in weekly project coordination meetings with the contractor to review open issues and recommended action items.

Activity Next Month

- Conduct monthly virtual safety communication meetings for the Project Safety and Security Certification Committee, Rail Activation Committee, and other project-related contractor and JPB safety meetings to discuss safety priorities.
- Conduct the September Fire/Life Safety Committee meeting onsite at TPS-2.
- Finalize project emergency responder presentations, schedule Segment 4 onsite systems familiarization visits for Fire Department staff and develop proposed tabletop and emergency response exercises for Segment 4, Milestone 1.
- Continue to finalize safety and security certification documentation requirements in coordination with project testing and commissioning activities.

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- Continue to coordinate with the PMOC on the ongoing OP-54 Segment 4 readiness review.
- Continue focus on performing site safety inspections on the OCS foundations, pole installations, potholing, and CEMOF work activities to assess safety work practices and identify additional opportunities for improvement. Conduct contractor equipment inspections as needed.
- Reinforce the ongoing application of recommended mitigation measures in response to the COVID-19 virus.
- Investigate project incident occurrences as needed and work with the contractor representatives to identify incident root cause, contributing factors and safety mitigation measures.

6.0 QUALITY ASSURANCE

The Quality Assurance (QA) staff performs technical reviews for planning, implementing, evaluating, and maintaining an effective program to verify that all equipment, structures, components, systems, and facilities are designed, procured, constructed, installed, and maintained in accordance with established criteria and applicable codes and standards throughout the design, construction, startup and commissioning of the PCEP.

Activity This Month

- Reviewed BBII submittals of Inspector Daily Reports (IDR) and Contractor Quality Control Report (CQCR).
- Provided QA review of BBII submittals of Material Review Reports (MRR) to ensure that purchase order quality and test document requirements are met and included in the receiving inspection document package.
- Provided QA review of BBII submittals of Certificates of Conformance (C of C) and Certificates of Analysis (C of A).
- Provided QA review of BBII Non-Conformance Reports (NCR) and Construction Discrepancy Reports (CDR) to assure that in-process discrepancies are processed as required.
- Provided review of BBII QA Audit Surveillance Reports.
- Provided QA review of Supplier Certified Test Reports (CTR), and Certified Material Tests Reports (CMTR).
- Prepared for upcoming audits for design, quality audits, quality records and training.
- Continued review of BBII record set of As-Built Drawings related to open NCRs.
- Continued monitoring NCR #14 issued to BBII for Impedance Bond work performed to unapproved drawing.
- Reordered parts for NCR #15 issued to BBII for condensation build-up in TPS-2 unit.
- Conducted audit of CDRL #38110 for switch isolation and CDRL #35270 for system ductbanks on August 16.

Activity Next Month

- Review BBII quality records and prepare for upcoming audits for design, quality audits, quality records and training.

Table 6-1 below provides details on the status of audits performed through the reporting period.

Table 6-1 Quality Assurance Audit Summary

Quality Assurance Activity	This Reporting Period	Total to Date
Audits Conducted	1	132

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Audit Findings		
Audit Findings Issued	0	81
Audit Findings Open	0	0
Audit Findings Closed	0	81
Non-Conformances		
Non-Conformances Issued	0	15
Non-Conformances Open	6	6
Non-Conformances Closed	0	9

7.0 SCHEDULE

JPB has proposed a new revised Revenue Service Date (RSD) as a result of the risk refresh exercise performed by FTA-PMOC in December 2020. RSD is forecasted to occur between January 1, 2024 and March 31, 2024. When six to eight months of risk contingency is included, the new proposed revised RSD is September 26, 2024.

Milestone #1 Segment 4 construction completion has a 46-day schedule delay. This period update is due to BBII’s long lead procurement of batteries, as the original batteries were found to not meet PG&E discharging test specifications. The new forecast date for Milestone # 1 Segment 4 construction completion is January 28, 2022.

The JPB’s forecasted electrification substantial completion date for the BBII contract in the MPS August update remains December 31, 2023. JPB is working with BBII to improve progress on both the signal systems, which lags behind baseline productivity level, and traction power facilities, which continue to progress at a slow rate.

Arrival of the first trainset on JPB property has a schedule delay this period due to supply chain challenges and material shortages. The new forecast date for the arrival of the first trainset is December 18, 2021. This delay is not expected to affect the overall delivery and acceptance schedule for Stadler, with the acceptance of the final trainset remaining on December 9, 2022.

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

Table 7-1 Schedule Status

Milestones	Program Plan	Progress Schedule (August 2021) ¹
Arrival of First Vehicle at JPB	N/A	12/18/2021 ²
Milestone #1 Segment 4 Construction Completion	11/21/2019	01/28/2022 ¹
PG&E Provides Permanent Power	09/09/2021	05/12/2022
FFGA RSD	08/22/2022	08/22/2022
Acceptance of 14 th Trainset	08/20/2021	12/09/2022 ²
Electrification Substantial Completion	08/10/2020	12/31/2023 [*]
Revenue Service Date (RSD) – Period Range	12/09/2021	01/01/2024 – 03/31/2024
Proposed Revised RSD with Contingency	N/A	09/26/2024

Note:

- ¹ Dates may shift slightly in the upcoming progress schedule update due to the grounding & bonding at CEMOF and holidays.
- ² These dates are expected to be delayed due to supply chain challenges and materials shortage.
- ^A Completed Milestone.
- ^{*} Pending mediation process resolution with BBII.

Notable Variances

The procurement of new batteries for TPS-2 to replace the old batteries, which did not meet PG&E discharging test specifications, has resulted in a schedule delay to the 115

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KV power availability and pushed Milestone #1 construction completion date to January 28, 2022.

Supply chain and material shortages are hindering Stadler to complete the first trainset, which resulted in pushing the first trainset arrival at JPB date to December 18, 2021.

Schedule delay in the CEMOF Substantial completion date due to repair work that required long lead procurement material, resulted in a revised forecast date of October 31, 2021.

Table 7-2 Critical Path Summary

Activity	Start	Finish
Signals System Design, Installation & Cutover, and Integration Testing	05/01/2020	12/31/2023
Forecast Revenue Service Date - RSD / Period Range	01/01/2024	03/31/2024

Schedule Hold Points

Schedule Hold Points (SHP) represent key milestones on or near a schedule’s critical path that are used as measurement points with respect to contingency drawdown. Delays to these key milestones will result in consuming program schedule contingency.

Table 7-3 below reflects the SHPs for the PCEP master program schedule. The dates indicated the planned completion dates for each SHP.

Table 7-3 Schedule Hold Points

Schedule Hold Point (SHP)	Date
Arrival of 1 st Trainset at JPB	12/18/2021 ²
Segment 4 Construction Completion	01/28/2022 ¹
Conditional Acceptance of 14th Trainset	12/09/2022 ²
Signal system Installation & Cutover – Segment 2	12/31/2022
Signal system Installation & Cutover – Segment 1	4/30/2023
Signal system Installation & Cutover – Segment 3	9/30/2023
System-Wide Integrated Testing	12/31/2023 [*]
Forecasted Revenue Service Date (RSD) – Period Range	01/01/ 2024-03/31/2024 ^{2*}

Note:

- ¹ Dates may shift slightly in the upcoming progress schedule update due to the grounding & bonding at CEMOF and holidays.
- ² These dates are expected to be delayed due to supply chain challenges and materials shortage.
- ^A Completed Milestone.
- ^{*} Pending mediation process resolution with BBII.

8.0 BUDGET AND EXPENDITURES

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

In December 2020, the FTA conducted a risk refresh that reviewed the existing delays, updated contractor schedules, and independent schedules prepared by the JPB. On June 17, 2021, a draft FTA-led Risk Refresh Report was issued forecasting an additional budget need of \$333M. At the June 3, 2021 JPB Board meeting, in alignment with the FTA report, PCEP proposed a \$333M budget increase consisting of \$161M in known and allocated costs and \$172M in reserve. The additional budget need has been incorporated into the estimate to complete (ETC) at the bottom of budget Table 8-3 for a total estimate at completion (EAC) of \$2.313B and Appendix D for an FTA project EAC of \$2.263B. The re-baseline allocation of the additional budget to the current budgets will be implemented after resolution of the Two-Speed Check Solution.

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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) ^{3,4}	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
ELECTRIFICATION						
Electrification ⁽⁵⁾	\$696,610,558	\$750,190,907	\$6,190,343	\$545,656,012	\$204,534,895	\$750,190,907
SCADA	\$0	\$4,017,371	\$0	\$2,863,940	\$1,153,431	\$4,017,371
Tunnel Modifications	\$11,029,649	\$41,934,841	\$465,319	\$41,779,708	\$155,132	\$41,934,841
Real Estate	\$28,503,369	\$28,503,369	\$60,378	\$23,684,529	\$4,818,840	\$28,503,369
Private Utilities ⁽⁶⁾	\$63,515,298	\$117,906,334	\$3,764,884	\$145,859,906	(\$27,953,572)	\$117,906,334
Management Oversight	\$141,506,257	\$179,313,572	\$1,561,370	\$164,722,640	\$14,590,931	\$179,313,572
Executive Management	\$7,452,866	\$10,155,509	\$45,302	\$9,519,345	\$636,164	\$10,155,509
Planning	\$7,281,997	\$6,281,997	\$6,611	\$6,020,757	\$261,240	\$6,281,997
Community Relations	\$2,789,663	\$1,789,663	\$6,866	\$1,498,308	\$291,355	\$1,789,663
Safety & Security	\$2,421,783	\$5,823,965	\$91,951	\$4,771,168	\$1,052,797	\$5,823,965
Project Management Services	\$19,807,994	\$17,526,725	\$140,440	\$14,546,032	\$2,980,693	\$17,526,725
Engineering & Construction	\$11,805,793	\$15,455,709	\$146,222	\$13,614,587	\$1,841,123	\$15,455,709
Electrification Eng & Mgmt	\$50,461,707	\$57,850,417	\$283,773	\$53,803,859	\$4,046,558	\$57,850,417
Construction Management	\$0	\$15,158,605	\$556,067	\$12,861,415	\$2,297,189	\$15,158,605
IT Support	\$312,080	\$507,170	\$8,133	\$416,385	\$90,785	\$507,170
Operations Support	\$1,445,867	\$3,337,383	\$37,335	\$3,156,645	\$180,738	\$3,337,383
General Support	\$4,166,577	\$7,451,503	\$35,593	\$6,924,815	\$526,688	\$7,451,503
Budget / Grants / Finance	\$1,229,345	\$1,638,553	\$1,719	\$1,629,476	\$9,077	\$1,638,553
Legal	\$2,445,646	\$5,542,712	\$109,229	\$5,441,661	\$101,051	\$5,542,712
Other Direct Costs	\$5,177,060	\$6,085,783	\$92,131	\$5,810,309	\$275,473	\$6,085,783
Prior Costs 2002 - 2013	\$24,707,878	\$24,707,878	\$0	\$24,707,878	\$0	\$24,707,878
TASIS Support	\$55,275,084	\$81,491,893	\$1,465,611	\$63,574,522	\$17,917,370	\$81,491,893
Insurance	\$3,500,000	\$4,543,588	\$0	\$4,543,588	\$0	\$4,543,588
Environmental Mitigations	\$15,798,320	\$14,438,866	\$190,228	\$1,090,079	\$13,348,787	\$14,438,866
Required Projects	\$17,337,378	\$10,529,422	\$86,154	\$1,470,362	\$9,059,059	\$10,529,422
Maintenance Training	\$1,021,808	\$1,021,808	\$0	\$0	\$1,021,808	\$1,021,808
Finance Charges	\$5,056,838	\$6,137,156	\$0	\$4,771,783	\$1,365,373	\$6,137,156
Contingency	\$276,970,649	\$76,096,081	N/A	N/A	\$12,460,290	\$12,460,290
Forecasted Costs and Changes	\$0	\$0	N/A	N/A	\$83,635,791	\$83,635,791
ELECTRIFICATION SUBTOTAL	\$1,316,125,208	\$1,316,125,208	\$13,784,288	\$1,000,017,071	\$336,108,137	\$1,336,125,208

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. Column D "Cost To Date" is exclusive of Caltrain capital overhead on non-staff costs for the period since methodology changed in January 2021. The cost and budget for overhead will be reconciled with the amendment of the program budget.
5. Cost To Date for "Electrification" includes 5% for Contractor's retention until authorization of retention release.
6. Private utilities cost to date includes the unbudgeted upfront cost for PG&E's share of substation improvements prior to PG&E reimbursement.

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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) ^{3,4}	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
EMU						
EMU	\$550,899,459	\$555,247,601	\$0	\$239,730,227	\$315,517,374	\$555,247,601
CEMOF Modifications	\$1,344,000	\$7,404,023	\$79,617	\$6,594,284	\$809,739	\$7,404,023
Management Oversight	\$64,139,103	\$62,783,401	\$626,605	\$53,781,090	\$9,002,311	\$62,783,401
Executive Management	\$5,022,302	\$6,615,622	\$31,962	\$6,062,960	\$552,662	\$6,615,622
Community Relations	\$1,685,614	\$975,782	\$4,208	\$702,748	\$273,033	\$975,782
Safety & Security	\$556,067	\$1,117,978	\$14,832	\$792,090	\$325,887	\$1,117,978
Project Mgmt Services	\$13,275,280	\$11,275,280	\$86,076	\$9,090,269	\$2,185,011	\$11,275,280
Eng & Construction	\$89,113	\$89,113	\$0	\$23,411	\$65,702	\$89,113
EMU Eng & Mgmt	\$32,082,556	\$29,981,014	\$344,669	\$25,487,193	\$4,493,821	\$29,981,014
Construction Management	\$0	\$1,841,395	\$57,188	\$1,661,090	\$180,306	\$1,841,395
IT Support	\$1,027,272	\$852,089	\$4,992	\$792,175	\$59,914	\$852,089
Operations Support	\$1,878,589	\$781,858	\$6,398	\$436,566	\$345,292	\$781,858
General Support	\$2,599,547	\$3,138,784	\$17,326	\$2,903,574	\$235,210	\$3,138,784
Budget / Grants / Finance	\$712,123	\$1,050,507	\$739	\$1,041,563	\$8,944	\$1,050,507
Legal	\$1,207,500	\$1,369,563	\$2,888	\$1,264,117	\$105,446	\$1,369,563
Other Direct Costs	\$4,003,139	\$3,694,416	\$55,326	\$3,523,333	\$171,083	\$3,694,416
TASI Support	\$2,740,000	\$2,789,493	\$13,648	\$476,201	\$2,313,292	\$2,789,493
Insurance	\$0	\$38,263	\$0	\$38,263	\$0	\$38,263
Required Projects	\$4,500,000	\$1,063,821	\$0	\$674,280	\$389,541	\$1,063,821
Finance Charges	\$1,941,800	\$3,761,482	\$0	\$2,924,641	\$836,841	\$3,761,482
Contingency	\$38,562,962	\$31,039,241	N/A	N/A	\$5,249,261	\$5,249,261
Forecasted Costs and Changes	\$0	\$0	N/A	N/A	\$5,789,979	\$5,789,979
EMU SUBTOTAL	\$664,127,325	\$664,127,325	\$719,870	\$304,218,986	\$339,908,339	\$644,127,325

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. Column D "Cost To Date" is exclusive of Caltrain capital overhead on non-staff costs for the period since methodology changed in January 2021. The cost and budget for overhead will be reconciled with the amendment of the program budget.

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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) ^{3,4}	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
Electrification Subtotal	\$1,316,125,208	\$1,316,125,208	\$13,784,288	\$1,000,017,071	\$336,108,137	\$1,336,125,208
EMU Subtotal	\$664,127,325	\$664,127,325	\$719,870	\$304,218,986	\$339,908,339	\$644,127,325
Known and Allocated⁵					\$161,000,000	\$161,000,000
Reserve⁵					\$172,000,000	\$172,000,000
PCEP TOTAL	\$1,980,252,533	\$1,980,252,533	\$14,504,157	\$1,304,236,057	\$1,009,016,476	\$2,313,252,533

Notes regarding tables above:

- Column B "Current Budget" includes executed change orders and awarded contracts.
- Column C "Cost This Month" represents the cost of work performed this month.
- Column D "Cost To Date" includes actuals (amount paid) and accruals (amount of work performed) to date.
- Column D "Cost To Date" is exclusive of Caltrain capital overhead on non-staff costs for the period since methodology changed in January 2021. The cost and budget for overhead will be reconciled with the amendment of the program budget.
- Known and Allocated and Reserve includes additional budget need of \$333M in the estimate at completion (EAC) until a budget amendment is approved.

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	\$941,706	\$0	\$941,706	\$0	\$941,706
PS-3 Relocation (Design)	\$500,000	\$500,000	\$0	\$150,000	\$350,000	\$500,000
PS-3 Relocation (FEMA, BGSP Design Coord.)	\$50,000	\$50,000	\$0	\$0	\$50,000	\$50,000
TPSS-2 VTA/PCEP Pole Relocation (Design)	\$110,000	\$110,000	\$0	\$110,000	\$0	\$110,000
TPSS-2 VTA/PCEP Pole Height (Redesign)	\$31,000	\$31,000	\$3,100	\$31,000	\$0	\$31,000
Mary Avenue Advance Pre-emption	\$116,000	\$116,000	\$0	\$0	\$116,000	\$116,000
EMU Option Cars	\$172,800,047	\$172,800,047	\$0	\$60,532,812	\$112,267,235	\$172,800,047
Add Flip-Up Seats into Bike Cars	\$1,961,350	\$1,961,350	\$0	\$980,675	\$980,675	\$1,961,350
Update Virtual Reality Experience	\$43,000	\$43,000	\$0	\$43,000	\$0	\$43,000
CNPA TOTAL	\$176,611,397	\$176,553,103	\$3,100	\$62,789,194	\$113,763,910	\$176,553,103

Notes regarding tables above:

- Column B "Current Budget" includes executed change orders and awarded contracts.
- Column C "Cost This Month" represents the cost of work paid this month.
- Column D "Cost To Date" includes actuals (amount paid) to date.

Table 8-4 shows improvements outside of the scope of PCEP that are funded with non-PCEP funds. These improvements are implemented through the PCEP contracts. In FTA terminology, these efforts are categorized as Concurrent Non-Project Activities (CNPA).

CHSRA Early Pole Relocation: Relocation of 196 OCS poles as part of PCEP. Implementing these pole relocations minimizes future cost and construction impacts. This scope is funded by the CHSRA.

PS-3 Relocation (Design): Relocate PS-3 (Burlingame) as part of PCEP to avoid a future conflict with the Broadway Grade Separation Project (BGSP). This scope is funded by the BGSP.

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

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

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

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

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

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

Table 8-5 Budget Transfers of Contingency

Transfer	Description	Contingency¹
ELECTRIFICATION		
ARINC-061-CCO-002	Traction Power Facility SCADA Database Changes - Rev - 10 & 11	\$174,916
BBI-053-CCO-032B	PS-2 Relocation (Construction)	\$397,500
BBI-053-CCO-188	Permanent Steel Casing at Foundation 47.0-07	\$50,835
BBI-053-CCO-099A	Signal Cable Relocation (Field Order No. 342)	\$148,176
BBI-053-CCO-095A	Signal Cable Relocation (Field Order No. 342)	\$49,401
BBI-053-CCO-152	Mary Avenue Advance Pre-emption (BBI Design Coordination Only)	\$16,500
PROV-070-CCO-038	Inability to Perform Work due to Special Events	\$64,458
PROV-070-CCO-040	Longer Crew Shifts due to Staged Trains on Tracks	\$70,000
BT-028F	RSE Utility Locating Support for FY21 A4	\$36,614
BT-029C	Budget Allocation for GFI Electrification Eng & Mgmt - FY22	\$3,178,972
BT-042	RailPros contract for flagging services	\$25,000
BT-044	TASI - WPC-9 Removal from BART ROW	\$82,490
	ELECTRIFICATION SUBTOTAL	\$4,294,861
EMU		
PROV-071-CCO-056	Fire Alarm System in Part Storage Warehouse	\$11,268
	EMU SUBTOTAL	\$11,268
	PCEP TOTAL	\$4,306,129

Notes regarding tables above:

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

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

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

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
8/13/2021	BBI-053-CCO-032B	PS-2 Relocation (Construction)	\$397,500
8/17/2021	BBI-053-CCO-188	Permanent Steel Casing at Foundation 47.0-07	\$50,835
8/18/2021	BBI-053-CCO-099A	Signal Cable Relocation (Field Order No. 342)	\$148,176
8/18/2021	BBI-053-CCO-095A	Signal Cable Relocation (Field Order No. 342)	\$49,401
8/19/2021	BBI-053-CCO-152	Mary Ave Advance Pre-emption (BBI Design Coordination Only)	\$16,500
8/19/2021	BBI-053-CCO-152	Mary Ave Advance Pre-emption - CNPA	\$116,000
Total			\$778,412

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
	None		\$0
Total			\$0

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

SCADA Contract

Change Order Authority (15% of ARINC Contract)

15% x \$3,446,917 = \$517,038

Date	Change Number	Description	CCO Amount
8/9/2021	ARINC-061-CCO-002	Traction Power Facility SCADA Database Changes - Rev - 10 & 11	\$174,916
Total			\$174,916

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

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Tunnel Modification Contract

Change Order Authority (10% of ProVen Contract)²

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

Date	Change Number	Description	CCO Amount
	None		\$0
Total			\$0

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

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

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

CEMOF Contract

Change Order Authority (10% of ProVen Contract)

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

Date	Change Number	Description	CCO Amount
	None		\$0
Total			\$0

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

Amtrak AEM-7 Contract

Change Order Authority (Lump Sum)

Up to \$150,000

Date	Change Number	Description	CCO Amount
	None		\$0
Total			\$0

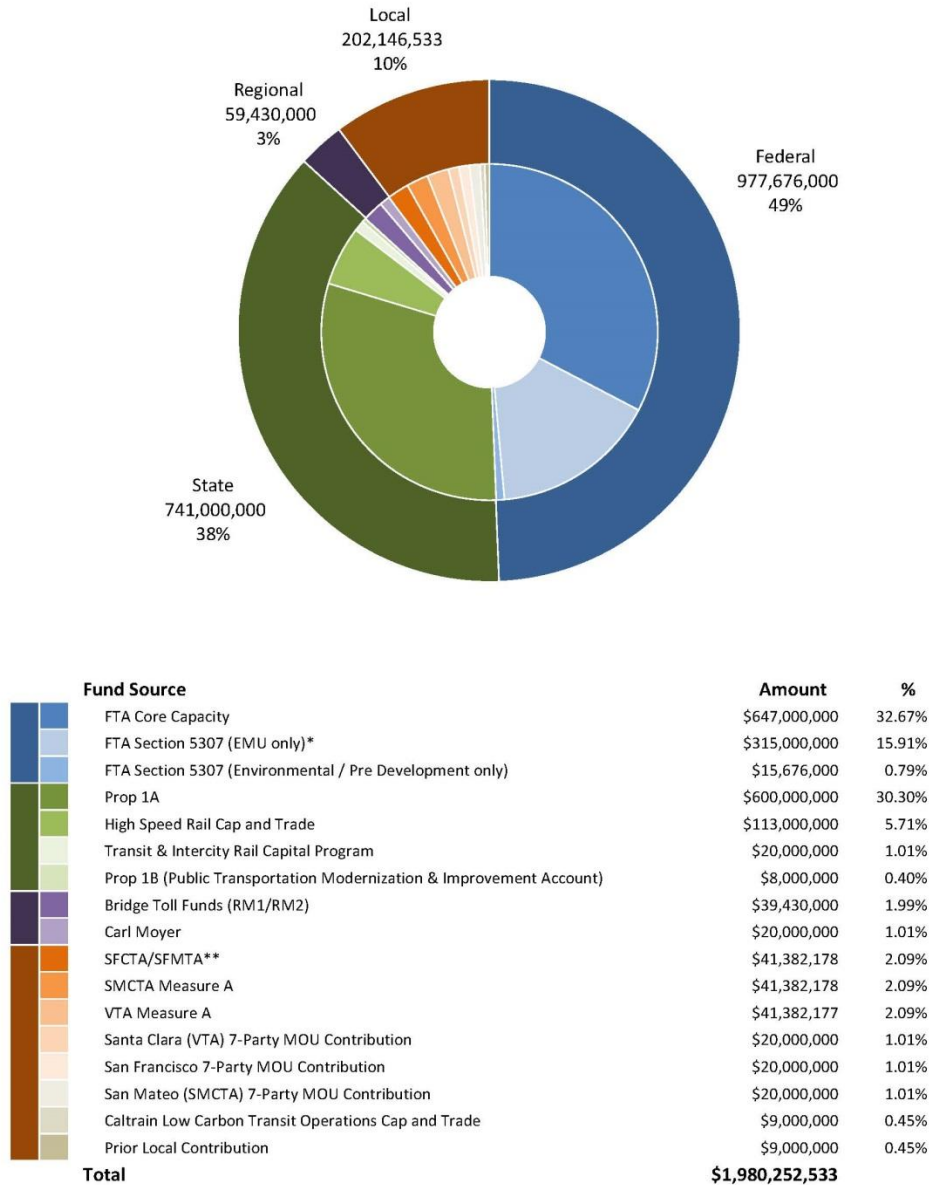
Notes:

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

10.0 FUNDING

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

Figure 10-1 Funding Plan



Notes:

*Includes necessary fund transfer with SMCTA

**Includes \$4M CMAQ Transfer considered part of SF local contribution

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11.0 RISK MANAGEMENT

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

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

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

1. The contractor may not complete signal and communication design, installation, and testing for the 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. Property not acquired in time for contractor to do work.
4. Additional property acquisition is necessitated by change in design.
5. Contractor generates hazardous materials that necessitate proper removal and disposal in excess of contract allowances and expectations.
6. Change of vehicle sub-suppliers results in additional first article inspections at cost to JPB (i.e., COVID-19, bankruptcy).
7. Solution to FRA concerns over bike storage impeding path to emergency exit windows path results in increased costs and potential rework.
8. Sub-optimal contractor sequencing, when progressing design and clearing foundation locations may result in construction inefficiencies.
9. PG&E interconnection work may not be completed on time resulting in delays to the reimbursement of PG&E Exhibit B Cost Allocation from PG&E.

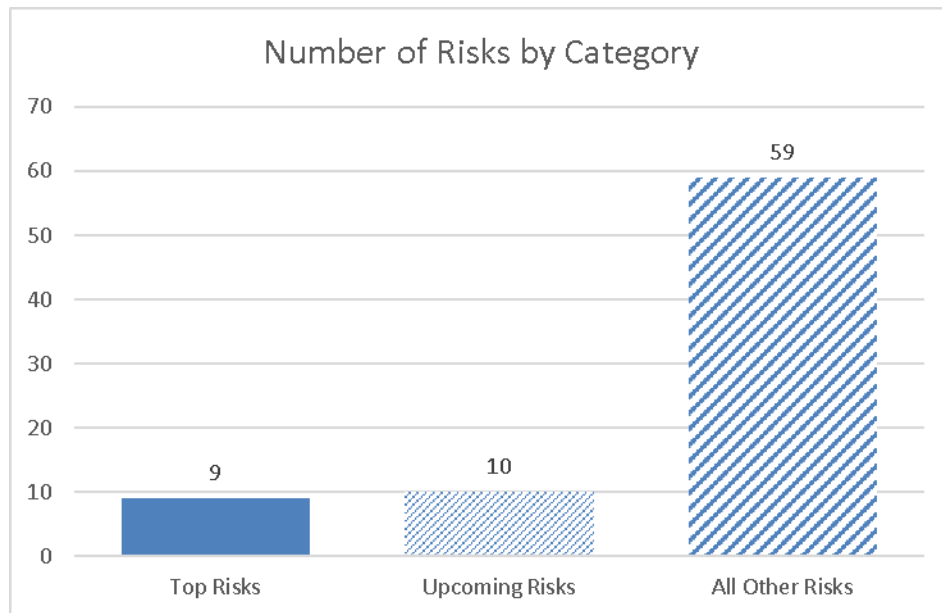
Activity This Month

- Updated risk descriptions, effects, and mitigations based upon weekly input from risk owners. Monthly cycle of risk updating was completed based on schedules established in the Risk Identification and Mitigation Plan.
- Updated risk retirement dates based upon revisions to the project schedule and input from risk owners.

- Continued weekly monitoring of risk mitigation actions and publishing of the risk register.
- Continued monitoring of issues on issues log for determination of new risks.
- The Risk Management team attended Project Delivery, Vehicle Design, Systems Integration, and Weekly Contractor Progress meetings to monitor developments associated with risks and to identify new risks.
- Updated contractor-owned risks through JPB and consultant personnel.

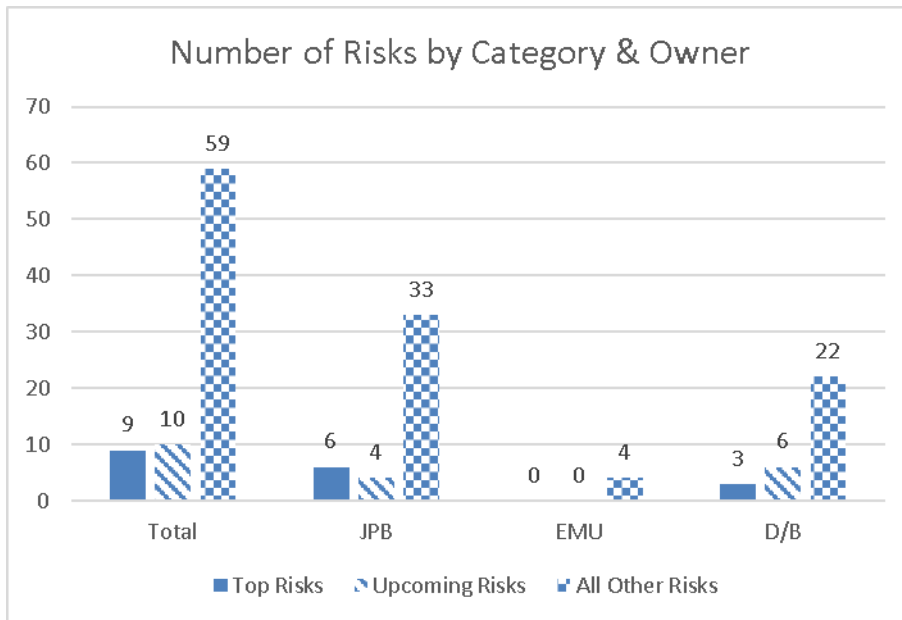
Figures 11-1 and 11-2 show the risks identified for the program. Risks are categorized as top risk, upcoming risk, and all other risks. The categories are based on a rating scale composed of schedule and cost factors. Top risks are considered to have a significantly higher than average risk grade. Upcoming 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 = 78

Figure 11-2 Risk Classification



Total Number of Active Risks = 78

Activity Next Month

- Conduct weekly monitoring of risk mitigation actions and continue publishing risk register.
- Update risk descriptions, effects, mitigations and retirement dates based on weekly monitoring and attendance at key project meetings.
- Monitor issues on issues log for determination of potential new risks.
- Convene Risk Assessment Committee meeting.

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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, tree trimming/removal, conduit installation, etc.) occurring in areas that required environmental compliance monitoring. The monitoring was conducted in accordance with measures in the MMRP in an effort to minimize potential impacts on sensitive environmental resources.
- Biological surveyors continued to conduct pre-construction surveys for sensitive wildlife species including nesting bird surveys ahead of project activities. Pre-construction nesting bird surveys during the nesting bird season continued (Nesting bird season is defined as February 1 through September 15)
- Noise and vibration monitoring also occurred during project activities, and non-hazardous soil was removed from the right of way (ROW).
- Environmentally Sensitive Area (ESA) delineation (staking and/or fencing) to delineate jurisdictional waterways and other potentially sensitive areas that should be avoided during upcoming construction activities was maintained. Round three and four of protocol-level burrowing owl surveys were conducted. Protocol level burrowing owl surveys are now complete for the 2021 season. Pre-construction surveys for sensitive wildlife species continued at previously identified potential

habitat locations. Wildlife exclusion fencing installation and monitoring occurred adjacent to portions of the alignment designated for wildlife exclusion fencing.

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

Activity Next Month

- Environmental compliance monitors will continue to monitor project activities (OCS pole foundation installation, sawcutting on station platforms, potholing for utility location, tree trimming/removal, conduit installation, abandoned signal cable removal, etc.) occurring in areas that require environmental compliance monitoring in an effort to minimize potential impacts on sensitive environmental resources in accordance with the MMRP.
- Biological surveyors will continue to conduct pre-construction surveys for sensitive wildlife species including nesting bird surveys ahead of project activities. Pre-construction nesting bird surveys during the nesting bird season will finish on September 15 when the nesting bird season ends (nesting bird season is defined as February 1 through September 15).
- Noise and vibration monitoring of project activities will continue to occur and non-hazardous soil will continue to be removed.
- BMPs installation will continue in accordance with the project-specific SWPPP, and ESA staking and fencing will continue to be maintained, to delineate jurisdictional waterways, and other potentially sensitive areas, that should be avoided during upcoming project activities.
- Wildlife exclusion fencing will continue to be maintained prior to upcoming construction activities adjacent to potentially suitable habitat for sensitive wildlife species.

13.0 UTILITY RELOCATION

Implementation of the PCEP requires relocation or rerouting of both public and private utility lines and/or facilities. Utility relocation will require coordination with many entities, including regulatory agencies, public safety agencies, federal, state, and local government agencies, private and public utilities, and other transportation agencies and companies. This section describes the progress specific to the utility relocation process.

Activity This Month

- Conducted utility coordination meeting to discuss overall status and areas of potential concern from the utilities.
- Continued relocation of Comcast and AT&T Utilities in all Segments, with a focus on Segment 3 and 4 ahead of OCS wiring.

Activity Next Month

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

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14.0 REAL ESTATE

The PCEP requires the acquisition of a limited amount of real estate. In general, Caltrain uses existing Right of Way (ROW) for the PCEP, but in certain locations, will need to acquire small portions of additional real estate to expand the ROW to accommodate installation of OCS supports (fee acquisitions or railroad easements) and associated Electrical Safety Zones (ESZ) (easements). There are two larger full acquisition areas required for wayside facilities. The PCEP Real Estate team manages the acquisition of all property rights. Caltrain does not need to acquire real estate to complete the EMU procurement portion of the PCEP.

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

The Real Estate team's current focus is working to identify new parcels and acquire them in conjunction with the project schedule.

- Staff has defined a process to ensure that BBII conveys new property needs (for poles, overhead wires and signals facilities) as soon as possible.
 - BBII must justify and JPB must approve all new parcels.
- Design needs to progress to enable BBII to identify exact acquisition areas.
- Staff is conducting pre-acquisition activities as appropriate.
- JPB has approved eight new parcels to date.

Activity This Month

- With all catenary poles installed in Segments 2, 3 and 4, staff is now focused on identifying property for ESZ and signal needs.

Activity Next Month

- Continue review of ESZ needs submitted by BBII compared to direction from contract.
- Continue to meet with internal signal team and BBII signal team to determine potential Real Estate needs.
- Make offers on two parcels for which appraisals have been completed.
- Continue to work with UPC to finalize a purchase agreement.

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15.0 THIRD PARTY AGREEMENTS

Third-party coordination is necessary for work impacting public infrastructure, utilities, ROW acquisitions, and others. Table 15-1 below outlines the status of necessary agreements for the PCEP.

Table 15-1 Third-Party Agreement Status

Type	Agreement	Third-Party	Status
Governmental Jurisdictions	Construction & Maintenance 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
		Town of Atherton	Not Needed
		County of San Mateo	Executed
		City of Menlo Park	Executed
		City of Palo Alto	Executed
		City of Mountain View	Executed
		City of Sunnyvale	Executed
		City of Santa Clara	Executed
	County of Santa Clara	Executed	
	City of San Jose	Executed	
Condemnation Authority	San Francisco	In Process	
	San Mateo	Executed	
	Santa Clara	Executed	
Utilities	Infrastructure	PG&E	Executed
	Operating Rules	CPUC	Executed
Transportation & Railroad	Construction & Maintenance	Bay Area Rapid Transit	Executed ²
	Construction & Maintenance	California Dept. of Transportation (Caltrans)	In Process
	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.

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16.0 GOVERNMENT AND COMMUNITY AFFAIRS

The Community Relations and Outreach team coordinates all issues with all jurisdictions, partner agencies, government organizations, businesses, labor organizations, local agencies, residents, community members, other interested parties, and the media. In addition, the team oversees the BBII's effectiveness in implementing its Public Involvement Program.

Presentations/Meetings

- Caltrain Citizen's Advisory Committee
- City/County Staff Coordinating Group
- San Mateo County Economic Development Association
- Local Policy Makers Group

Third Party/Stakeholder Actions

- City of Burlingame – Traction Power Facilities Plans – Issued for Construction

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17.0 DISADVANTAGED BUSINESS ENTERPRISE (DBE) PARTICIPATION AND LABOR STATISTICS

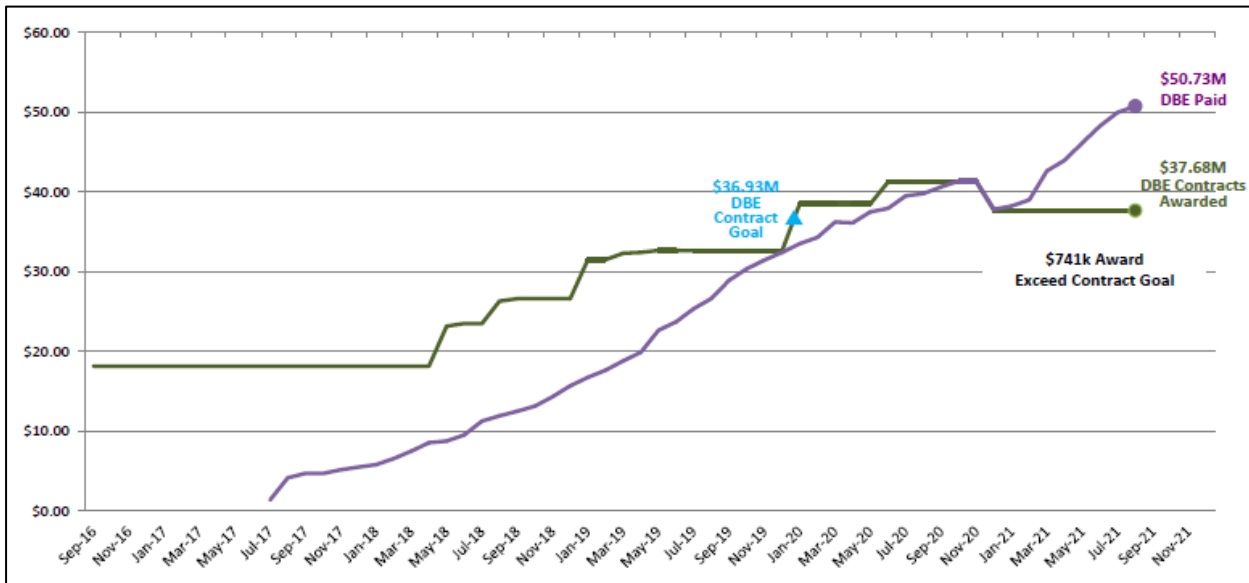
BBII proposed that 5.2% (\$36,934,921) of the DB base contract value including DBE contract change orders (\$710,286,950) would be subcontracted to DBEs.

Activity This Month

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

- **\$ 50,732,527** has been paid to DBE subcontractors.
- **\$ 37,675,908** of DBE contracts have been awarded.
- **7.14%** has been achieved.
- All reported figures are subject to verification by DBE Administrator.
- As a result of JPB’s DBE Office’s review of BBII’s DBE reports, one subcontractor was disqualified in December 2020. After removing amounts paid to the disqualified subcontractor, BBII’s reported awarded and achieved amounts show a decline from previous months. These amounts and are to be verified by JPB’s DBE Administrator.

Figure 17-1 DBE Participation



Activity Next Month

BBII has proposed the following key actions:

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

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18.0 PROCUREMENT

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

- None

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

- None

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

- None

Contract Awards this Month:

- None

Work Directive (WD)/Purchase Order (PO) Awards & Amendments this Month:

- Multiple WDs & POs issued to support the program needs

Upcoming Contract Awards/Contract Amendments:

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

Upcoming IFB/RFQ/RFP to be Issued:

- None

Existing Contracts Amendments Issued:

- None

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19.0 TIMELINE OF MAJOR PROJECT ACCOMPLISHMENTS

Below is a timeline showing major project accomplishments from 2001 to 2021:

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

Peninsula Corridor Electrification Project
Monthly Progress Report

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

APPENDICES

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Appendix A – Acronyms

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

Peninsula Corridor Electrification Project
Monthly Progress Report

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

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

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Appendix B – Funding Partner Meetings

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Funding Partner Meeting Representatives
Updated May 21, 2021

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) • Sharath Murthy (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 • Sharath Murthy (info only) 	<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 • James Costantini • Jim Lawson
Master Program Schedule Update (monthly)	<ul style="list-style-type: none"> • Wai Siu • Sharath Murthy 	<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 • Sharath Murthy 	<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 • Sharath Murthy 	<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 • James Costantini
Systems Integration Meeting (bi-weekly)	<ul style="list-style-type: none"> • Wai Siu • Sharath Murthy 	<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	Remaining Duration	Start	Finish	Variance - Last Month	Total Float	2014				2015				2016				2017				2018				2019				2020				2021				2022				2023				2024			
							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	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4					
51	PREPARE SOLE SOURCE & AWARD	0	30-Mar-15 A	16-Oct-17 A	0																																													
52	DESIGN	0	16-Oct-17 A	31-May-18 A	0																																													
53	IMPLEMENTATION, TEST, INSTALL & CUTOVER	326	04-Sep-18 A	07-Dec-22	0	277																																												
54	CEMOF (Various)	59	16-Nov-17 A	22-Nov-21	-10	743																																												
55	CEMOF MODIFICATIONS (ProVen)	43	16-Nov-17 A	31-Oct-21	-43	759																																												
56	DESIGN	0	16-Nov-17 A	31-Jul-18 A	0																																													
57	BID & AWARD	0	01-Aug-18 A	07-Feb-19 A	0																																													
58	CONSTRUCTION	43	29-Apr-19 A	31-Oct-21	-43	759																																												
59	PANTOGRAPH INSPECTION & MONITORING SYSTEM (Ctr TBD)	58	01-Mar-19 A	22-Nov-21	-10	529																																												
60	SCISSOR LIFT WORK PLATFORM (Ctr TBD)	0	01-Mar-19 A	24-Jun-21 A	29																																													
61	TUNNEL MODIFICATION (ProVen)	0	31-Oct-14 A	17-Sep-20 A	0																																													
62	ELECTRIC LOCOMOTIVE (Amtrak / Mitsui)	2	01-Mar-17 A	02-Sep-21	-23	521																																												
63	BID & AWARD	0	01-Mar-17 A	29-Jun-18 A	0																																													
64	REHAB / TEST/ TRAIN / SHIP	2	10-Sep-18 A	02-Sep-21	-23	521																																												
65	EMU (Stadler)	333	01-May-14 A	09-Dec-22	0	276																																												
66	DEVELOP RFP, BID & AWARD	0	01-May-14 A	02-Sep-16 A	0																																													
67	DESIGN	0	06-Sep-16 A	01-Mar-21 A	0																																													
68	PROCUREMENT (Material)	0	16-Jan-17 A	01-Mar-21 A	0																																													
69	MANUFACTURING & TESTING	333	04-Dec-17 A	09-Dec-22	0	276																																												
70	TRAINSET 1	128	04-Dec-17 A	28-Feb-22	0	481																																												
71	TRAINSET 2	107	22-Feb-18 A	27-Jan-22	0	501																																												
72	TRAINSET 3	168	06-Aug-18 A	22-Apr-22	-17	440																																												
73	TRAINSET 4	158	03-Jun-19 A	08-Apr-22	0	450																																												
74	TRAINSET 5	178	02-Dec-19 A	06-May-22	0	430																																												
75	TRAINSET 6	198	13-Jan-20 A	03-Jun-22	0	410																																												
76	TRAINSET 7	204	10-Feb-20 A	13-Jun-22	0	404																																												
77	TRAINSET 8	219	04-May-20 A	04-Jul-22	0	389																																												
78	TRAINSET 9	236	22-Jun-20 A	27-Jul-22	0	372																																												
79	TRAINSET 10	258	22-Jun-20 A	26-Aug-22	0	350																																												
80	TRAINSET 11	264	17-Aug-20 A	05-Sep-22	0	344																																												
81	TRAINSET 12	283	01-Dec-20 A	30-Sep-22	0	325																																												
82	TRAINSET 13	308	01-Dec-20 A	04-Nov-22	0	300																																												
83	TRAINSET 14	333	15-Feb-21 A	09-Dec-22	0	275																																												
84	PG&E INFRASTRUCTURE	182	01-Mar-17 A	12-May-22	-84	426																																												
85	INTERCONNECT	65	01-Mar-17 A	30-Nov-21	0	478																																												
86	TPS-1 Interconnection	62	24-Mar-21 A	30-Nov-21	0	476																																												
87	TPS-2 Interconnection	0	01-Mar-17 A	29-Jan-21 A	0																																													
88	INTERIM POWER	0	01-Aug-17 A	05-Nov-18 A	0																																													
89	PERMANENT POWER	177	01-Aug-17 A	12-May-22	-84	426																																												
90	DESIGN & PERMITTING	0	01-Aug-17 A	12-Apr-19 A	0																																													
91	CONSTRUCTION	177	15-Apr-19 A	12-May-22	-84	426																																												
92	FMC - Permanent Power - Power Available to TPS-2	0	15-Apr-19 A	17-Dec-21	-43	528																																												
93	FMC - Permanent Power - Connect Circuit #2 to FMC	103	17-Dec-21	12-May-22	-148	426																																												
94	EGS - Permanent Power	93	15-Apr-19 A	14-Jan-22	0	445																																												
95	TESTING & STARTUP (JPB)	362	01-Oct-23	26-Sep-24	0	0																																												
96	PRE-REVENUE TESTING	45	01-Oct-23	14-Nov-23	0	138																																												
97	REVENUE OPERATIONS	270	01-Jan-24	26-Sep-24	0	0																																												
98	RISK CONTINGENCY	270	01-Jan-24	26-Sep-24	0	0																																												
99	RAIL ACTIVATION	168	01-Jul-20 A	25-Apr-22	-17	537																																												

Prog Plan (C16.00)
 Progress
 Near Critical
 Critical
 Last Months Update
 Remaining
 Start Milestone
 Finish Milestone
 Prog Plan (C16.00)

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	\$27,834,841	\$550,856	\$25,622,018	\$2,641,209	\$28,263,227
10.02 Guideway: At-grade semi-exclusive (allows cross-traffic)	\$2,500,000	\$2,500,000	\$85,538	\$287,896	\$2,212,104	\$2,500,000
10.07 Guideway: Underground tunnel	\$8,110,649	\$25,334,841	\$465,319	\$25,334,122	\$429,104	\$25,763,227
10.07 Allocated Contingency	\$3,646,090	\$0	\$0	\$0	\$0	\$0
30 - SUPPORT FACILITIES: YARDS, SHOPS, ADMIN. BLDGS	\$2,265,200	\$8,194,234	\$79,617	\$6,989,389	\$1,431,724	\$8,421,114
30.03 Heavy Maintenance Facility	\$1,344,000	\$8,194,234	\$79,617	\$6,989,389	\$1,431,724	\$8,421,114
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	\$265,715,368	\$5,535,723	\$256,363,911	\$21,556,984	\$277,920,895
40.01 Demolition, Clearing, Earthwork	\$3,077,685	\$10,136,067	(\$38,300)	\$8,005,124	\$2,127,156	\$10,132,280
40.02 Site Utilities, Utility Relocation	\$62,192,517	\$101,238,387	\$3,442,540	\$133,885,747	(\$28,308,801)	\$105,576,945
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	\$8,744,961	\$476,240	\$9,936,841	\$1,994,270	\$11,931,111
40.04 Environmental mitigation, e.g. wetlands, historic/archeologic, parks	\$32,579,208	\$19,504,208	\$22,075	\$2,692,970	\$18,266,238	\$20,959,208
40.05 Site structures including retaining walls, sound walls	\$568,188	\$0	\$0	\$0	\$0	\$0
40.06 Pedestrian / bike access and accommodation, landscaping	\$804,933	\$2,735,000	\$216,500	\$634,500	\$2,132,159	\$2,766,659
40.07 Automobile, bus, van accessways including roads, parking lots	\$284,094	\$0	\$0	\$0	\$0	\$0
40.08 Temporary Facilities and other indirect costs during construction	\$107,343,777	\$121,771,745	\$1,416,668	\$101,208,730	\$24,932,009	\$126,140,739
40.08 Allocated Contingency	\$20,160,000	\$1,585,000	\$0	\$0	\$413,953	\$413,953
50 - SYSTEMS	\$504,445,419	\$509,433,659	\$4,713,891	\$315,734,753	\$225,698,985	\$541,433,738
50.01 Train control and signals	\$97,589,149	\$120,343,517	\$956,756	\$67,114,987	\$54,365,263	\$121,480,249
50.01 Allocated Contingency	\$1,651,000	\$0	\$0	\$0	\$0	\$0
50.02 Traffic signals and crossing protection	\$23,879,905	(\$0)	\$0	\$0	(\$0)	(\$0)
50.02 Allocated Contingency	\$1,140,000	\$1,140,000	\$0	\$0	\$1,140,000	\$1,140,000
50.03 Traction power supply: substations	\$69,120,009	\$102,212,507	(\$688,606)	\$65,295,349	\$39,361,479	\$104,656,828
50.03 Allocated Contingency	\$31,755,013	\$2,808,090	\$0	\$0	\$1,935,717	\$1,935,717
50.04 Traction power distribution: catenary and third rail	\$253,683,045	\$273,430,196	\$4,330,241	\$182,588,928	\$123,141,214	\$305,730,142
50.04 Allocated Contingency	\$18,064,000	\$3,934,349	\$0	\$0	\$925,802	\$925,802
50.05 Communications	\$5,455,000	\$5,547,000	\$115,500	\$735,489	\$4,811,511	\$5,547,000
50.07 Central Control	\$2,090,298	\$0	\$0	\$0	\$0	\$0
50.07 Allocated Contingency	\$18,000	\$18,000	\$0	\$0	\$18,000	\$18,000
60 - ROW, LAND, EXISTING IMPROVEMENTS	\$35,675,084	\$35,675,084	\$60,378	\$22,084,341	\$14,398,880	\$36,483,220
60.01 Purchase or lease of real estate	\$25,927,074	\$25,927,074	\$60,378	\$21,950,349	\$13,532,871	\$35,483,220
60.01 Allocated Contingency	\$8,748,010	\$8,748,010	\$0	\$0	(\$0)	(\$0)
60.02 Relocation of existing households and businesses	\$1,000,000	\$1,000,000	\$0	\$133,992	\$866,008	\$1,000,000
70 - VEHICLES (96)	\$625,544,147	\$619,286,318	\$527,055	\$285,622,755	\$335,011,867	\$620,634,622
70.03 Commuter Rail	\$589,167,291	\$591,215,161	\$527,055	\$282,860,583	\$313,917,678	\$596,778,261
70.03 Allocated Contingency	\$9,472,924	\$4,239,405	\$0	\$0	\$24,610	\$24,610
70.06 Non-revenue vehicles	\$8,140,000	\$5,067,821	\$0	\$538,280	\$4,529,541	\$5,067,821
70.07 Spare parts	\$18,763,931	\$18,763,931	\$0	\$2,223,893	\$16,540,038	\$18,763,931
80 - PROFESSIONAL SERVICES (applies to Cats. 10-50)	\$323,793,010	\$379,242,974	\$3,036,637	\$334,540,867	\$65,370,561	\$399,911,428
80.01 Project Development	\$130,350	\$130,350	\$0	\$289,233	(\$158,883)	\$130,350
80.02 Engineering (not applicable to Small Starts)	\$180,227,311	\$219,742,737	\$1,243,701	\$206,291,669	\$13,729,754	\$220,021,423
80.02 Allocated Contingency	\$1,866,000	\$4,678	\$0	\$0	\$4,678	\$4,678
80.03 Project Management for Design and Construction	\$72,029,265	\$92,879,661	\$829,613	\$89,334,494	\$16,521,077	\$105,855,571
80.03 Allocated Contingency	\$9,388,080	\$3,725,231	\$0	\$0	(\$0)	(\$0)
80.04 Construction Administration & Management	\$23,677,949	\$38,941,008	\$663,250	\$27,997,335	\$21,443,673	\$49,441,008
80.04 Allocated Contingency	\$19,537,000	\$4,914,740	\$0	\$0	\$4,914,740	\$4,914,740
80.05 Professional Liability and other Non-Construction Insurance	\$3,500,000	\$4,581,851	\$0	\$4,581,851	\$0	\$4,581,851
80.06 Legal; Permits; Review Fees by other agencies, cities, etc.	\$7,167,275	\$9,254,887	\$299,457	\$5,991,795	\$3,821,423	\$9,813,218
80.06 Allocated Contingency	\$556,000	\$0	\$0	\$0	\$0	\$0
80.07 Surveys, Testing, Investigation, Inspection	\$3,287,824	\$3,418,022	\$616	\$54,490	\$3,444,291	\$3,498,781
80.08 Start up	\$1,797,957	\$1,021,808	\$0	\$0	\$1,021,808	\$1,021,808
80.08 Allocated Contingency	\$628,000	\$628,000	\$0	\$0	\$628,000	\$628,000
Subtotal (10 - 80)	\$1,761,052,001	\$1,845,382,478	\$14,504,157	\$1,246,958,034	\$666,110,210	\$1,913,068,245
90 - UNALLOCATED CONTINGENCY	\$162,620,295	\$75,389,818	\$0	\$0	\$7,704,051	\$7,704,051
Subtotal (10 - 90)	\$1,923,672,296	\$1,920,772,296	\$14,504,157	\$1,246,958,034	\$673,814,261	\$1,920,772,296
100 - FINANCE CHARGES	\$6,998,638	\$9,898,638	\$0	\$7,696,424	\$2,202,215	\$9,898,638
Total Project Cost (10 - 100)	\$1,930,670,934	\$1,930,670,934	\$14,504,157	\$1,254,654,458	\$676,016,476	\$1,930,670,934
KNOWN AND ALLOCATED					\$161,000,000	\$161,000,000
RESERVE					\$172,000,000	\$172,000,000
Total Project Cost w/ Additional	\$1,930,670,934	\$1,930,670,934	\$14,504,157	\$1,254,654,458	\$1,009,016,476	\$2,263,670,934

Notes:

- Known and Allocated and Reserve includes additional budget need of \$333M in the estimate at completion (EAC) until a budget amendment is approved.

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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 Usage¹	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	0.00% ²	-
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%	\$33,187,956
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 %	\$31,525,456

Peninsula Corridor Electrification Project
Monthly Progress Report

Change Order Authority (5% of BBII Contract)

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

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

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

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

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

Date	Change Number	Description	CCO Amount	Change Order Authority Usage ¹	Remaining Authority
2/16/2021	BBI-053-CCO-103 REV1	Track Access Delays – 2017 Quarter 3	\$164,518	0.47 %	\$17,041,918
2/23/2021	BBI-053-CCO-072A REV2	SVP Requirements for Joint SIS & SPS (Tasks 0-5) – voided	(\$300,000)	(0.86)%	\$17,341,918
2/23/2021	BBI-053-CCO-072B	Requirements for PCEP Joint System Impact Study & Single Phase Study	\$520,000	1.49 %	\$16,821,918
3/17/2021	BBI-053-CCO-203	Increase in Permit Allowance (Bid Allowance Item #5)	\$300,000	0.86 %	\$16,521,918
3/17/2021	BBI-053-CCO-205	Increase in Partnering Allowance (Bid Allowance Item #2)	\$186,000	0.53 %	\$16,335,918
3/26/2021	BBI-053-CCO-192	Abandoned Utility Pole Removal at MP24.72	\$2,766	0.01 %	\$16,333,151
4/23/2021	BBI-053-CCO-108A	Deletion of 5 & 5A Switch Crossover at CP Shark (Part 1)	\$163,996	0.47 %	\$16,169,156
4/23/2021	BBI-053-CCO-024C	TPSS 1&2 PG&E Interconnection-Procurement of Long Lead Materials (Credit)	(\$1,345,033)	(3.86)%	\$17,514,188
4/30/2021	BBI-053-CCO-113A	Walk-in Enclosure at Luther Junction (BBI, PGH Wong and QEI)	\$51,281	0.15 %	\$17,462,907
5/27/2021	BBI-053-CCO-073	South San Francisco Bioswale Redesign	\$26,067	0.07 %	\$17,436,840
6/11/2021	BBI-053-CCO-135A	Protection of On-track Eqpt Traveling thru Gated Crossings	\$133,645	0.38 %	\$17,303,195
6/18/2021	BBI-053-CCO-157	Track Access Delays - July 2017 to October 2020	\$4,350,000	12.49 %	\$12,953,195
6/22/2021	BBI-053-CCO-039	NorCal Utility Potholing CBOSS (FO#35&037)	\$140,691	0.40 %	\$12,812,505
6/22/2021	BBI-053-CCO-079	NorCal Utility Potholing (FO#52)	\$82,108	0.24 %	\$12,730,396
6/27/2021	BBI-053-CCO-204A	Increase in PG&E Service Allowance (Bid Allowance Item #8)	\$3,000,000	8.61 %	\$9,730,396
6/25/2021	BBI-053-CCO-049C	Long-reach Foundations Installation - Unit Price	\$139,680	0.40 %	\$9,590,716
7/6/2021	BBI-053-CCO-096A	Signal Cable Relocation (Field Order No. 342)	\$36,268	0.10 %	\$9,554,448
7/7/2021	BBI-053-CCO-097A	Signal Cable Relocation (Field Order No. 342)	\$63,422	0.18 %	\$9,491,027
7/7/2021	BBI-053-CCO-098A	Signal Cable Relocation (Field Order No. 342)	\$105,576	0.30 %	\$9,385,450
7/16/2021	BBI-053-CCO-060	Contract Relief of DVR Requirements - Credit	(\$41,781)	(0.12)%	\$9,427,231
7/22/2021	BBI-053-CCO-167	CP Stockton Compliance with UPRR Requirements	\$100,315	0.29 %	\$9,326,917
7/27/2021	BBI-053-CCO-062	Bumper Post Conflict at Foundations 9.8-02 & 9.8-D02	\$12,000	0.03 %	\$9,314,917
7/27/2021	BBI-053-CCO-173	Relocate OCS Foundation Rebar Cages from PMI Yard	\$1,050	0.00 %	\$9,313,867
7/27/2021	BBI-053-CCO-191	Foundation Installation at Cal Ave Station	\$4,321	0.01 %	\$9,309,546
7/30/2021	BBI-053-CCO-237	Reroute Utilities in Conflict with Built-in Anchor Bolts	\$10,768	0.03 %	\$9,298,778
8/13/2021	BBI-053-CCO-032B	PS-2 Relocation (Construction)	\$397,500	1.14 %	\$8,901,278
8/17/2021	BBI-053-CCO-188	Permanent Steel Casing at Foundation 47.0-07	\$50,835	0.15 %	\$8,850,443
8/18/2021	BBI-053-CCO-099A	Signal Cable Relocation (Field Order No. 342)	\$148,176	0.43 %	\$8,702,267
8/18/2021	BBI-053-CCO-095A	Signal Cable Relocation (Field Order No. 342)	\$49,401	0.14 %	\$8,652,867
8/19/2021	BBI-053-CCO-152	Mary Ave Advance Pre-emption (BBI Design Coordination Only)	\$16,500	0.05 %	\$8,636,367
8/19/2021	BBI-053-CCO-152	Mary Ave Advance Pre-emption - CNPA	\$116,000	0.33 % ³	\$8,520,367
Total			\$55,012,347	75.54 %	\$8,520,367

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.

**Peninsula Corridor Electrification Project
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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
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
9/14/2020	STA-056-CCO-027	EMU Liquidated Damages, and Delivery and Testing Schedule Modifications	\$0	0.00 %	\$21,637,464
10/12/2020	STA-056-CCO-029	Multiple No Cost / No Schedule Impact Changes Group 7	\$0	0.00 %	\$21,637,464
1/28/2021	STA-056-CCO-028	Procure Pantograph Automated Inspection System	\$790,211	2.87 %	\$20,847,253
2/26/2021	STA-056-CCO-031	Bike Car Dividers	\$194,940	0.71 %	\$20,652,313
3/8/2021	STA-056-CCO-030	Video of trainset while at TTC	\$9,833	0.04 %	\$20,642,481
3/25/2021	STA-056-CCO-032	Credit for Waived Testing	(\$1,040,000)	(3.78)%	\$21,682,481
6/23/2021	STA-056-CCO-033	Multiple Changes Group 8	\$0	0.00 %	\$21,682,481
Total			\$179,152,539	21.28 %	\$21,682,481

Notes:

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

Peninsula Corridor Electrification Project

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². Change approved by the Board of Directors – not counted against the Executive Director’s Change Order Authority.

³. Third party improvements/CNPA projects that are funded with non-PCEP funds.

SCADA Contract

Change Order Authority (15% of ARINC Contract)				15% x \$3,446,917 = \$517,038	
Date	Change Number	Description	CCO Amount	Change Order Authority Usage¹	Remaining Authority
2/11/2021	ARINC-061-CCO-001	Traction Power Facility SCADA Database Changes	\$395,538	76.50 %	\$121,500
8/9/2021	ARINC-061-CCO-002	Traction Power Facility SCADA Database Changes - Rev - 10 & 11	\$174,916	0.00% ²	\$121,500
Total			\$570,454	76.50 %	\$121,500

Notes:

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

². Change approved by the Board of Directors – not counted against the Executive Director’s Change Order Authority.

Tunnel Modifications Contract

Change Order Authority (10% of ProVen Contract¹)				10% x \$55,077,777 = \$5,507,778	
Date	Change Number	Description	CCO Amount	Change Order Authority Usage²	Remaining Authority
3/27/2019	PROV-070-CCO-003	Track Access Delay	\$25,350	0.46 %	\$5,482,428
3/27/2019	PROV-070-CCO-004	Additional OCS Potholing Due to Conflict with Existing Utilities	\$70,935	1.29 %	\$5,411,493
3/27/2019	PROV-070-CCO-005	Install Tie Backs and Piles in Boulders at Tunnel 4	\$29,478	0.54 %	\$5,382,015
3/28/2019	PROV-070-CCO-001	Partnering Meetings (50% PCEP)	\$14,443	0.26 % ⁴	\$5,367,572
4/25/2019	PROV-070-CCO-002	Furnish Galvanized E-clips	\$37,239	0.68 %	\$5,330,333
4/30/2019	PROV-070-CCO-006	Additional Rock Bolts and Testing	\$22,549	0.41 %	\$5,307,784
5/23/2019	PROV-070-CCO-013	Late Removal of Leaky Feeder Tunnel 4 (T-4)	\$21,225	0.39 %	\$5,286,559
5/28/2019	PROV-070-CCO-014	OCS Piles Utility Conflict at Tunnel-1 South (T-1S)	\$16,275	0.30 %	\$5,270,284
5/29/2019	PROV-070-CCO-012	OCS Piles Utility Conflict at T-4S	\$6,871	0.12 %	\$5,263,413
5/31/2019	PROV-070-CCO-016A	Portal Structure Detailing Changes	\$84,331	1.53 %	\$5,179,082
6/18/2019	PROV-070-CCO-009	Creosote Ties Covering (CNPA - Drainage \$3,116.00)	\$3,116	0.06 % ⁴	\$5,175,966
6/28/2019	PROV-070-CCO-008	Micropiles at South Tunnel-2 South (T-2S)	\$41,322	0.75 %	\$5,134,644
6/28/2019	PROV-070-CCO-010	Salvage Transition Panels (CNPA - Drainage \$6,144.00)	\$6,144	0.11 % ⁴	\$5,128,500
6/28/2019	PROV-070-CCO-011	Demo PVC and Plug Tunnel-1 South (T-1S) (CNPA - Drainage \$4,035.00)	\$4,035	0.07 % ⁴	\$5,124,465
6/28/2019	PROV-070-CCO-020	Unidentified SD Conflict with Junction Inlet (CNPA - Drainage \$1,976.00)	\$1,976	0.04 % ⁴	\$5,122,489
9/26/2019	PROV-070-CCO-007	Canopy Tube Drilling	\$89,787	1.63%	\$5,032,702
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

**Peninsula Corridor Electrification Project
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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
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
8/20/2020	PROV-070-CCO-034	Milestone No. 2 - Overall Substantial Completion	\$0	0.00 %	\$5,043,470
1/27/2021	PROV-070-CCO-037	Additional Fence	\$15,651	0.28 %	\$5,027,819
7/26/2021	PROV-070-CCO-019	Drainage Conflicts at T1N (CNPA - Drainage \$30,000)	\$30,000	0.54 % ⁴	\$4,997,819
7/26/2021	PROV-070-CCO-022	OCS Foundation Redesign Support	\$4,902	0.09 %	\$4,992,917
7/26/2021	PROV-070-CCO-024	Reroute Leaky Feeder Cable at T-1 (CNPA - Drainage: \$19,554)	\$19,554	0.36 % ⁴	\$4,973,363
7/26/2021	PROV-070-CCO-039	Staging and Carroll Avenue	\$70,000	1.27 %	\$4,903,363
7/26/2021	PROV-070-CCO-041	Additional Mechanical Anchors at T-2	\$36,925	0.67 %	\$4,866,438
7/26/2021	PROV-070-CCO-042	Install Wedge Anchors in Tunnel 2	\$45,261	0.82 %	\$4,821,177
7/26/2021	PROV-070-CCO-043	Post Insulators at Tunnel Portals	\$45,557	0.83 %	\$4,775,620
7/26/2021	PROV-070-CCO-044	Water Leaking onto Conductor Rail	\$15,216	0.28 %	\$4,760,404
7/26/2021	PROV-070-CCO-038	Inability to Perform Work due to Special Events	\$64,458	1.17 %	\$4,695,946
7/26/2021	PROV-070-CCO-040	Longer Crew Shifts due to Staged Trains on Tracks	\$70,000	1.27 %	\$4,625,946
7/29/2021	PROV-070-CCO-049	Feeder Cable Lashing	\$113,000	2.05 %	\$4,512,946
Total			\$994,831	18.06 %	\$4,512,946

Notes:

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

CEMOF Modifications Contract

Change Order Authority (10% of ProVen Contract)

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

Date	Change Number	Description	CCO Amount	Change Order Authority Usage ¹	Remaining Authority
1/16/2020	PROV-071-CCO-001	Change Casing Size of Siphon Line to Schedule 80 PVC Pipe	\$3,849	0.59 %	\$651,229
1/13/2020	PROV-071-CCO-002	Leakage test for IW line	\$1,339	0.20 %	\$649,890
1/15/2020	PROV-071-CCO-003	Roughen surface of existing concrete	\$3,159	0.48 %	\$646,731
1/9/2020	PROV-071-CCO-004	Change Catch Basin Size from 24"X24" to 36" Round	\$14,415	2.20 %	\$632,316
1/15/2020	PROV-071-CCO-005	Hand Dig around Communication Lines	\$906	0.14 %	\$631,410
1/17/2020	PROV-071-CCO-008	Change Storm Drain Line A Material from 12-inch RCP Pipe to 12-inch PVC Pipe	\$3,583	0.55 %	\$627,827
1/16/2020	PROV-071-CCO-009	Demolition of Existing Exterior Light	\$1,558	0.24 %	\$626,269
2/13/2020	PROV-071-CCO-010	Deletion of Plastic Bollards Around New Inspection Pit	(\$3,324)	(0.51)%	\$629,593
2/13/2020	PROV-071-CCO-011	Fixing Broken Conduit in Concrete Slab North of Maintenance Building	\$4,286	0.65 %	\$625,307
2/13/2020	PROV-071-CCO-012	Epoxy Dowels at New Stairwells	\$3,526	0.54 %	\$621,781
2/13/2020	PROV-071-CCO-013	Deletion of the Removal and Replacement of Pump Disconnect Switches	(\$7,007)	(1.07)%	\$628,788

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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
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
7/24/2020	PROV-071-CCO-036	Storm Drain Line A	\$2,066	0.32 %	\$425,144
7/30/2020	PROV-071-CCO-037	Owner Supplied WSP Cabinet - Added Mechanical Pad and Conduit Pull	\$5,922	0.90 %	\$419,222
7/30/2020	PROV-071-CCO-038	Interior and Exterior Metal Wall Panels at CTR	\$10,317	1.57 %	\$408,905
7/30/2020	PROV-071-CCO-039	Exterior CMU Wall at CTR	\$16,152	2.47 %	\$392,753
7/30/2020	PROV-071-CCO-040	Membrane Waterproofing Specification Modifications	\$36,233	5.53 %	\$356,520
12/17/2019	PROV-071-CCO-007	Demolition of Existing Transition Slab at North and South Pits	\$8,101	1.24 %	\$348,419
8/13/2020	PROV-071-CCO-041	Abandonment of Drainage Structure in Conflict with Shoring at Stair No. 71	\$11,015	1.68 %	\$337,404
8/14/2020	PROV-071-CCO-043	Lighting Circuit Restoration	\$2,980	0.45 %	\$334,424
8/18/2020	PROV-071-CCO-026B	Removal of Hazardous Soil from PSW Ductbank Excavation	\$6,838	1.04 %	\$327,586
8/24/2020	PROV-071-CCO-044	Aerial Cable and Waterproofing Cable Penetrations at the CCF and PSW Buildings	\$14,589	2.23 %	\$312,997
8/24/2020	PROV-071-CCO-045	Conduit Outside Component Test Room	\$6,865	1.05 %	\$306,132

**Peninsula Corridor Electrification Project
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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
9/15/2020	PROV-071-CCO-030B	Component Test Room Data and Electrical Outlets and Masonry Work	\$12,530	1.91 %	\$293,602
9/17/2020	PROV-071-CCO-042	Shallow Fire Sprinkler Line	\$162,000	0.00% ²	-
10/19/2020	PROV-071-CCO-046A	Electrical Duct Bank Extension from Parts Storage Warehouse to CCF Building	\$20,307	3.10 %	\$273,295
10/19/2020	PROV-071-CCO-047	Removal of Oil Line at the Exterior of the Maintenance Building in the Way of Storm Drain Line A	\$262	0.04 %	\$273,033
10/20/2020	PROV-071-CCO-048	Electrical Conduit and Wires at Track 5	\$6,770	1.03 %	\$266,263
11/30/2020	PROV-071-CCO-033B	Light Towers for Maintenance Building Yard	\$10,393	1.59 %	\$255,870
11/17/2020	PROV-071-CCO-049	Lighting at Parts Storage Warehouse	\$6,358	0.97 %	\$249,512
11/25/2020	PROV-071-CCO-050	NTP Delay – Non-Compensable Time Extension	\$0	0.00 %	\$249,512
11/19/2020	PROV-071-CCO-051	Relocation of an Existing Boosted Water Line in Conflict with South Pit Extension	\$250,000	0.00% ²	-
2/26/2021	PROV-071-CCO-052	Acoustic Ceiling Framing at the Component Test Room	\$3,998	0.61 %	\$245,514
2/26/2021	PROV-071-CCO-053	Temporary Sanitary Facilities During Boosted Water/Copper Line Work	\$963	0.15 %	\$244,551
3/3/2021	PROV-071-CCO-054	Relocation of Material Onsite for OCS Foundation Project	\$1,772	0.27 %	\$242,779
5/7/2021	PROV-071-CCO-055	Windows and Glazing at Component Test Room	\$17,679	2.70 %	\$225,100
7/16/2021	PROV-071-CCO-056	Fire Alarm System in Part Storage Warehouse	\$11,268	1.72 %	\$213,832
Total			\$853,246	67.36 %	\$213,832

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.

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:

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

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Appendix F – Risk Table

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Listing of PCEP Risks and Effects in Order of Severity

ID	RISK DESCRIPTION	EFFECT(S)
314	The contractor may not complete signal and communication design, installation and testing for the Two-speed check (2SC) modifications within budget and schedule.	Delay to integrated testing and operations/revenue service
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
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)
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.
273	Contractor generates hazardous materials, that necessitates proper removal and disposal in excess of contract allowances and expectations.	Delay to construction while removing and disposing of hazardous materials resulting in schedule delay, increased construction costs, and schedule delay costs.
308	Rejection of DVR for ATF and static wires results in cost and schedule impacts to PCEP.	Delay and delay claims
318	Change of vehicle sub-suppliers results in additional first article inspections at cost to JPB (i.e., COVID, bankruptcy)	PCEP incurs additional cost to validate supplier and product, including repeat FAIs as needed
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
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

Peninsula Corridor Electrification Project
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ID	RISK DESCRIPTION	EFFECT(S)
330	PG&E interconnection work may not be completed on time resulting in delays to the reimbursement of PG&E Exhibit B Cost Allocation from PG&E.	<ul style="list-style-type: none"> • Potential cash flow issue requiring use of line-of-credit • Failure to receive reimbursement during course of project • Delay or otherwise affect close-out of FFGA
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
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
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.
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
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.

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ID	RISK DESCRIPTION	EFFECT(S)
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.
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.
296	PG&E needs to complete interconnection to be sufficiently complete to accept interim power	SCC
321	Single Phase Study and interconnection agreement may be delayed but will not prevent energization of Segment 4 for milestone 1; may require additional work for PCEP	
082	Unexpected restrictions could affect construction progress: <> night work <> noise <> local roads <> local ordinances	<ul style="list-style-type: none"> • Reduced production rates. • Delay
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 may significantly exceed JPB authorized amount.	Schedule delay. Cost increase.
078	Need for unanticipated, additional ROW for new signal enclosures.	Delay while procuring ROW and additional ROW costs.

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

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ID	RISK DESCRIPTION	EFFECT(S)
150	Number of OCS pole installation is significant. Any breakdown in sequencing of operations or coordination of multiple crews will have a substantial effect on the project.	Delay.
245	Failure of BBI to submit quality design and technical submittals in accordance with contract requirements • \$3-\$5M/month burn rate for Owner's team during peak	Delays to project schedule and additional costs for preparation and review of submittals.
252	Failure of BBI to order/manufacture long lead items prior to 100% IFC design document approval by JPB	Delays to project schedule and additional cost for contractor and JPB staff time.
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.
322	BBI needs to complete traction power substations to be sufficiently complete to accept interim power	Delay in testing and increased costs
025	Potential that vehicles cannot meet requirements for "Mean Time to Repair" (MTTR).	Increased maintenance cost.
053	Failure to meet Buy America requirements. (Contractor definition of component v. sub-component may not be accepted by Caltrain / FTA.)	Potential need for negotiations that might lead to delay of project award. (BA is not negotiable)
069	Potential need for additional construction easements. Especially for access and laydown areas. Contractor could claim project is not constructible and needs more easements after award.	Increased cost Delay

Peninsula Corridor Electrification Project
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ID	RISK DESCRIPTION	EFFECT(S)
106	<p>Potential that DB contractor will have insufficient field resources (personnel or equipment) to maintain aggressive schedule.</p> <p>Multiple segments will need to be under design simultaneously.</p> <p>Labor pool issue. 32 qualified linemen will be needed. Potential there is not enough available. Big storm damage anywhere in US will draw from the pool to make line repairs.</p> <p>Possible shortages with other specialty crafts as well.</p>	Delay.
151	Public could raise negative concerns regarding wheel/rail noise.	Increased cost to mitigate: <> grind rails <> reprofile wheels <> sound walls
161	Unanticipated costs to provide alternate service (bus bridges, etc.) during rail service disruptions.	Cost increase.
192	Environmental compliance during construction. - Potential impact to advancing construction within the vicinity of any cultural finds that are excavated. - Failure to meet the commitments contained within the PCEP EA, FEIR and permit conditions	<ul style="list-style-type: none"> • 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.
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.

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ID	RISK DESCRIPTION	EFFECT(S)
248	3rd party coordination <>Jurisdictions, Utilities, UP, Contractors <>D/B needs to provide timely information to facilitate 3rd party coordination <>Risk is for construction	Delays in approvals resulting in project schedule delays and associated costs.
250	Potential for municipalities and other agencies to request betterments as part of the electrification project	Delay to project schedule in negotiating betterments as part of the construction within municipalities and associated increased cost to the project as no betterments were included in the project budget.
254	Potential that bridge clearance data are inaccurate and that clearances are not sufficient for installation of catenary.	Results in additional design and construction to create sufficient clearance.
266	Verizon poles in conflict with OCS may not be removed in advance of OCS installation.	Delay in progress of catenary installation resulting in claims and schedule delay
270	OCS poles or structures as designed by Contractor fall outside of JPB row	Additional ROW Take, additional cost and time
274	JPB as-built drawings and existing infrastructure to be used as basis of final design and construction is not correct	Additional cleanup of as-builts after PCEP construction
275	DB fails to verify as-built drawings and existing infrastructure	Additional cleanup of as-builts after PCEP construction
278	Failure of D/B contractor and subcontractors and suppliers to meet Buy America requirements	Delays while acceptable materials are procured and additional costs for delays and purchase of duplicative equipment.
282	Failure to maintain dynamic envelope and existing track clearances consistent with requirements.	Redesign entailing cost and schedule impacts.
284	Compliance with project labor agreement could result in inefficiencies in staffing of construction.	Increase in labor costs and less efficient construction resulting in schedule delays.
290	Delays in agreement and acceptance of initial VVSC requirements database.	Delay to design acceptance
292	Communications equipment, including the UPS, will not fit in the spaces allotted to communications work within the buildings.	Requisite equipment under design criteria could result in the need for larger unit than originally planned resulting in design and fabrication changes and associated schedule delays and costs.
311	Although project recordable injuries remain below the industry average, there have been numerous small impact incidents occurring that could potentially lead to a more serious event occurring.	The occurrence of a high impact safety event could result in project rework, construction delays, and increased project costs.
331	Theft of impedance bond cables.	Delays to project because signal locations cannot be cutover and put into service without the required impedance bond cables to make the signal system 25kV compatible. Cost of theft should be borne by the contractor as security of contractor installed materials are a contract requirement

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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, 2019, 2020, and 2021 at previously identified potentially suitable habitat locations. Note that all of these locations are in Construction Segment 4 (southern Santa Clara and San Jose). No Burrowing Owls have been observed during the 2017-2019 or 2021 surveys. Survey reports for the 2017, 2018, 2019, and 2020 surveys have been submitted

Mitigation Monitoring and Reporting

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

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						<p>the buffer was removed. The second round of protocol BUOW surveys were conducted in May and no BUOWs or signs were detected. The final two rounds of surveys were conducted this month and no BUOW or associated signs were observed.</p> <p>The Biologist will continue to conduct preconstruction surveys for nesting burrowing owls no more than 7 days prior to ground disturbance as needed throughout the 2021 nesting season.</p>
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	<p>Nesting Bird and raptor surveys were conducted from February 1 through September 15, in 2017, 2018, 2019, and 2020, prior to project-related activities with the potential to impact nesting birds. Nesting bird surveys continued during this reporting period for the 2021 nesting season. Previously active cliff swallow nests previously observed on the underside of the Tunnel Ave bridge were declared inactive on August 25, 2021. Currently, there are no active nests on the Project site.</p>
BIO-1h: Conduct biological resource survey of future contractor-determined staging areas.	X	X			Ongoing	<p>The agency-approved Qualified Biologist has conducted surveys of the staging areas currently being used for construction activities. No special-status species or other potentially sensitive biological resources were observed. The agency-approved Qualified Biologist will continue to survey ahead of the initiation of activities at planned staging areas as the Project moves into new construction areas.</p>

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Mitigation Monitoring and Reporting

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

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						does not extend to Communication Hill. This measure is not needed.
CUL-1a: Evaluate and minimize impacts on structural integrity of historic tunnels.	X				Upcoming	To be implemented prior to construction in tunnels.
CUL-1b: Minimize impacts on historic decorative tunnel material.	X				Upcoming	To be implemented prior to construction in tunnels. Historic American Engineering Record (HAER) documentation was completed in October 2018, pursuant to this measure.
CUL-1c: Install project facilities in a way that minimizes impacts on historic tunnel interiors.	X				Upcoming	To be implemented prior to construction in tunnels.
CUL-1d: Implement design commitments at historic railroad stations	X				Complete	The Qualified Architectural Historian completed and submitted the HABS Level III documents to the JPB for all seven of the historic stations. Pole placement has been designed to minimize the visual impact to historic stations and all design changes are reviewed by the Environmental Compliance Lead to ensure the mitigation measure is being implemented as the design of the project progresses.

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	Pre-Construction	Construction	Post-Construction	Operation		
CUL-1e: Implement specific tree mitigation considerations at two potentially historic properties and landscape recordation, as necessary.	X	X			Complete	It was determined that the project is not acquiring any ROW at either of the subject properties so all tree effects would be within the JPB ROW. Therefore, the APE does not include these two historic properties. This measure is no longer needed.
CUL-1f: Implement historic bridge and underpass design requirements.	X				Ongoing	This measure is being implemented as described during the design process and will be incorporated into the final design. The four bridges that are included in the MMRP are rail bridges crossing over another feature. Design of the OCS system is taking into account that there are requirements that restrict the design. Thus far, the designs for Construction Segments 2 & 4 are in process and designs are not yet complete. The D-B will forward to the Architectural Historian once complete.
CUL-2a: Conduct an archaeological resource survey and/or monitoring of the removal of pavement or other obstructions to determine if historical resources under CEQA or unique archaeological resources under PRC 21083.2 are present.	X				Ongoing	Periodic inspections of ground surface areas along the alignment, in conjunction with cultural monitoring as-needed of project activities in culturally sensitive areas are ongoing. The Archaeological Final Report will be provided at the conclusion of construction activities.

Mitigation Monitoring and Reporting

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

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
CUL-2e: Stop work if cultural resources are encountered during ground-disturbing activities.	X	X			Ongoing	No prehistoric or historic-period cultural materials have been observed during cultural monitoring.
CUL-2f: Conduct archaeological monitoring of ground-disturbing activities in areas as determined by JPB and SHPO.		X			Ongoing	Cultural monitoring as-needed of project activities in culturally sensitive areas is ongoing. The Archaeological Final Report will be provided at the conclusion of construction activities.
CUL-3: Comply with state and county procedures for the treatment of human remains discoveries.		X			Ongoing	No human remains have been observed to date on the Project. On June 18, 2021, construction crews observed a series of bones at the PS-3 work area. Upon inspection by a qualified archaeologist, the bones were determined to be from two medium-sized terrestrial mammals (not human). In addition, due to the lack of cultural resources found in proximity to the bones, the archaeologist concluded that the find was not archaeological in nature, and released the crew to continue work in the area.

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

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
HAZ-2a: Conduct a Phase II Environmental Site Assessment prior to construction.	X				Complete	A Phase II Environmental Assessment was completed prior to construction by the JPB consultant, and the results were provided to BBI, and the required mitigation is being implemented prior to the initiation of construction activities.
HAZ-2b: Implement engineering controls and best management practices during construction.	X	X			Ongoing	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. During the reporting period, a certified asbestos consultant conducted exposure monitoring at PS-1 where naturally occurring asbestos was detected. Also, during the reporting period, samples of wrapped conduit at MP 46.7-12A were collected for asbestos analysis.
HYD-1: Implement construction dewatering treatment, if necessary.	X	X			Ongoing	Facilities & BMPs are in place to deal with this requirement should it arise in the OCS foundations.

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

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
NOI-1b: Conduct site-specific acoustical analysis of ancillary facilities based on the final mechanical equipment and site design and implement noise control treatments where required.	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. PGH Wong has completed analysis and design and issued for JPB review.
NOI-2a: Implement Construction Vibration Control Plan.	X	X			Ongoing	The Noise and Vibration Control Plan has been submitted and is being implemented. Field activity is monitored per the Plan.
PSU-8a: Provide continuous coordination with all utility providers.	X	X			Ongoing	The design requirements indicated in the measure will be implemented through the final design as described. Coordination with utility providers is ongoing and there have not been any service interruptions thus far.
PSU-8b: Adjust OCS pole foundation locations.	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described.
PSU-8c: Schedule and notify users about potential service interruptions.	X	X			Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. There have not been any service interruptions thus far.
PSU-9: Require application of relevant construction mitigation measures to utility relocation and transmission line construction by others.	X	X			Ongoing	JPB has initiated coordination with PG&E regarding transmission line construction. PG&E is currently raising overcrossing lines in Segment 2.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
TRA-1a: Implement Construction Road Traffic Control Plan.	X	X			Ongoing	The D-B has begun traffic control design and permit applications with the City of Millbrae, Burlingame and San Mateo. Other communities will follow. Designs have been completed for all cross-over bridges in Segments 2 & 4 and submitted.
TRA-1c: Implement signal optimization and roadway geometry improvements at impacted intersections for the 2020 Project Condition.	X	X			Upcoming	This measure has not started
TRA-2a: Implement construction railway disruption control plan.	X	X			Ongoing	Minimization of railway disruption is being coordinated by the Site Specific Work Plan. A Construction Railway Disruption Control Plan was prepared to document the measures that are being implemented.
TRA-3b: In cooperation with the City and County of San Francisco, implement surface pedestrian facility improvements to address the Proposed Project's additional pedestrian movements at and immediately adjacent to the San Francisco 4th and King Station.	X	X	X		Upcoming	This measure has not started.
TRA-4b: Continue to improve bicycle facilities at Caltrain stations and partner with bike share programs where available following guidance in				X	Ongoing	The JPB adopted the Caltrain Bicycle Parking Management Plan in November 2017, and staff have been working to implement the Plan's recommendations to improve wayside bike parking facilities along

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
Caltrain's Bicycle Access and Parking Plan.						the corridor. Staff have also been coordinating with local jurisdictions that have launched bikeshare pilot programs to safely site bicycles near Caltrain stations.
NOI-CUMUL-1: Implement a phased program to reduce cumulative train noise along the Caltrain corridor as necessary to address future cumulative noise increases over FTA thresholds				X	Upcoming	This measure will be implemented during project operation.
NOI-CUMUL-2: Conduct project-level vibration analysis for Blended System operations and implement vibration reduction measures as necessary and appropriate for the Caltrain corridor				X	In Progress	CHSRA is conducting this analysis as part of the EIR/EIS for the San Francisco to San Jose section.
TRA-CUMUL-1: Implement a phased program to provide traffic improvements to reduce traffic delays near at-grade crossings and Caltrain stations				X	Upcoming	This measure will be implemented during project operation.
TRA-CUMUL-2: Implement technical solution to allow electric trolley bus transit across 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.

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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.

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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.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
BIO-1f: Implement western burrowing owl avoidance measures.	X	X			Ongoing	Protocol surveys for Western Burrowing Owl were conducted from April 2017 through July 2017 at previously identified potentially suitable habitat locations. Note that all of these locations are in Construction Segment 4 (southern Santa Clara and San Jose). No Burrowing Owls were observed during the surveys. Construction in Segment 4 is anticipated to occur in 2018. Prior to construction activities in Segment 4, pre-construction surveys of the potential habitat areas will occur no more than 7 days prior to the onset of construction activities. In addition, protocol surveys were initiated in March 2018, and were completed in June 2018, at the previously identified potentially suitable habitat locations, which will allow work to occur during the 2019 breeding season, if necessary. No Burrowing Owls were observed during the 2018 surveys.
BIO-1g: Implement northern harrier, white-tailed kite, American peregrine falcon, saltmarsh common yellowthroat, purple martin, and other nesting bird avoidance measures.	X	X			Ongoing	Nesting Bird surveys were conducted from February 1 through September 15, 2017 prior to project-related activities with the potential to impact nesting birds. No active nests were observed during this reporting period. Nesting Bird surveys were initiated on February 1, 2018 and continued throughout the reporting period. Active nests were observed during this reporting period, and no-disturbance buffers were implemented to avoid any impacts to active nests, and all project activities which occurred nearby active nests

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

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
BIO-3: Avoid or compensate for impacts on wetlands and waters.	X	X	X		Complete	The JPB has compensated for unavoidable wetland impacts by purchasing adequate credits from a wetlands mitigation bank approved by USACE and SFRWQCB.
BIO-5: Implement Tree Avoidance, Minimization, and Replacement Plan.	X	X	X		Ongoing	Tree removal and pruning activities were initiated in August 2017, and are ongoing, under the guidance of the BBI Arborist, and in accordance with the Tree Avoidance, Minimization, and Replacement Plan. Tree Removal and Pruning status is provided to the JPB on a 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 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.

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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.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
CUL-2c: Conduct limited subsurface testing before performing ground-disturbing work within 50 meters of a known archaeological site.	X				Ongoing	Exploratory trenching and subsurface testing of all potentially culturally sensitive areas occurred prior to the initiation of construction activities in those areas. The results will be included in the Archaeological Final Report. No cultural resources requiring the development of a treatment plan were observed. A Native American monitor has been present for all exploratory trenching and subsurface testing work.
CUL-2d: Conduct exploratory trenching or coring of areas within the three zones of special sensitivity where subsurface project disturbance is planned.	X				Ongoing	Exploratory trenching and subsurface testing of all potentially culturally sensitive areas occurred prior to the initiation of construction activities in those areas. The results will be included in the Archaeological Final Report. No cultural resources requiring the development of a treatment plan were observed. A Native American monitor has been present for all exploratory trenching and subsurface testing work.
CUL-2e: Stop work if cultural resources are encountered during ground-disturbing activities.	X	X			Ongoing	No prehistoric or historic-period cultural materials have been observed during cultural monitoring.
CUL-2f: Conduct archaeological monitoring of ground-disturbing activities in areas as determined by JPB and SHPO.		X			Ongoing	Cultural monitoring as-needed of project activities in culturally sensitive areas is ongoing. The Archaeological Final Report will be provided at the conclusion of construction activities.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
CUL-3: Comply with state and county procedures for the treatment of human remains discoveries.		X			Ongoing	No human remains have been observed to date on the Project.
EMF-2: Minimize EMI effects during final design, Monitor EMI effects during testing, commission and operations, and Remediate Substantial Disruption of Sensitive Electrical Equipment.	X	X	X		Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. Designs are submitted and reviewed/commented on by JPB. Monitoring EMI effects will occur post construction.
GEO-1: Perform a site-specific geotechnical study for traction power facilities.	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. Geotechnical studies 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

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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 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.

Peninsula Corridor Electrification Project
Monthly Progress Report

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

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 16th Street without OCS conflicts in cooperation with SFMTA.	X				Complete	Not applicable. SFMTA has elected to not electrify the 16 th Street crossing. This measure no longer applies.
Mitigation Measure TRA-CUMUL-3: As warranted, Caltrain and freight operators will partner to provide Plate H clearance				X	Upcoming	This measure will be implemented during project operation.

Peninsula Corridor Electrification Project
Monthly Progress Report

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: Michelle Bouchard
Acting Executive Director

FROM: Sebastian Petty
Deputy Chief, Caltrain Planning

SUBJECT: **REGIONAL FARE COORDINATION AND INTEGRATION STUDY UPDATE**



Finance Committee
Recommendation



Work Program-
Legislative-Planning



Staff Coordinating
Council Reviewed



Staff Coordinating Council
Recommendation

ACTION

This report is for information only. No Board action is required at this time.

SIGNIFICANCE

The Regional Fare Coordination and Integration Study (FCIS) was launched by the Bay Area's transit operators and MTC to identify changes to the Bay Area's transit fare policies as a way to improve the passenger experience and grow transit ridership. Co-managed by BART and MTC, the study commenced in 2020 and is anticipated to conclude in fall 2021. The FCIS project management team will provide an informational update for the Caltrain Board on draft recommendations that are emerging from the study. Additional background and information on the FCIS are provided in the background section.

BUDGET IMPACT

There is no budget impact associated with receiving this report. Caltrain's revenue statistics associated with the pilot program are presented in the Background section of this staff report.

BACKGROUND

The Regional Fare Coordination and Integration Study (FCIS) was launched in 2020 by the Bay Area's transit operators and MTC to identify changes to the Bay Area's transit fare policies as a way to improve the passenger experience and grow transit ridership. The Study is co-managed by BART and MTC, with a team of staff from the majority of the Bay Area transit operators providing close input on study tasks and deliverables.

The Clipper Executive Board has established a Fare Integration Task Force consisting of the members of the Clipper Executive Board as well as the Chair and Vice Chair of the

Bay Area County Transportation Agencies (BACTA) group, currently the executive directors of the Solano Transportation Authority (STA) and the Napa Valley Transportation Authority (NVTA). The Fare Integration Task Force has project oversight responsibilities for all aspects of the project, and is chaired by Michael Hursh (AC Transit), with Denis Mulligan (Golden Gate Transit) as the vice chair.

Key objectives of the FCIS include:

- Developing goals for the regional fare system that will support an improved user experience, increased transit ridership and build on robust public outreach;
- Identifying barriers, especially barriers related to fares and the user experience, that are impeding increased ridership;
- Identifying opportunities to increase transit ridership by improving the regional fare system through regional fare coordination and integration strategies; and,
- Developing a detailed implementation plan, including funding plan, for recommended improvements.

The FCIS has included documentation of the existing conditions of fares in the Bay Area as well as a best practices/peer review of national and international examples of fare integration. Additionally, robust user research has been included in the FCIS to understand how people perceive fares and fare policies in the Bay Area, and how fares impact the decision to use transit. Six options for regional fare integration and coordination have been developed and analyzed using a business case methodology (which includes financial, ridership, and user impacts). With analysis now complete, the project team has been developing draft implementation strategies and recommendations.

Once the recommendations are drafted, the FCIS Project Manager team will attend the regular board meetings of the "Big 7" transit operators, including Caltrain, to present the draft recommendations and provide an opportunity for board members to review and comment. After these board meetings, the recommendations will be finalized and compiled in a report, anticipated to be adopted by the Fare Integration Task Force by fall 2021. The report will include recommended next steps for implementation of the final fare coordination and integration strategies, and any implementation activities would follow after completion of the study. For example, there may be pilot program opportunities as a next step once the study concludes, and a regional approach to Title VI could be developed to support implementation.

Prepared by: Melissa Jones, Deputy Director, Caltrain Policy Development 650-295-6852

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michelle Bouchard
Acting Executive Director

FROM: April Chan
Chief Officer, Planning, Grants/Transportation Authority

SUBJECT: **METROPOLITAN TRANSPORTATION COMMISSION (MTC) - BLUE RIBBON
TRANSIT RECOVERY TASK FORCE UPDATE**

Finance Committee
Recommendation

Work Program-
Legislative-Planning

Staff Coordinating
Council Reviewed

Staff Coordinating Council
Recommendation

ACTION

Staff will provide an update on the work of the MTC Blue Ribbon Transit Recovery Task Force (BTRTF); no action is required.

SIGNIFICANCE

MTC convened the BTRTF in May 2020 in response to the COVID-19 pandemic. Membership of the BTRTF included General Managers of a number of transit agencies, along with MTC Commissioners, State of California representatives and other key stakeholders.

The first charge of the BTRTF was to advise MTC on the fair distribution of federal relief funds under the 2020 Federal CARES Act. Next, the BTRTF supported transit operators' efforts to determine essential public safety commitments as COVID protocols were evolving. Then in late 2020, the BTRTF turned its focus to work on the Bay Area Transit Transformational Action Plan (Plan). Purpose of the Plan is to identify specific, near-term actions needed to achieve a more connected, efficient and user-focused mobility network across the Bay Area and beyond.

The work of the BTRTF recently ended in July 2021. MTC and the transit operators are now turning to focus on the priorities outlined in the Plan, including the completion of a business case analysis of network management. The MTC will be forming an ad hoc advisory committee to oversee this body of analytical work.

At the October meeting, staff will present via a PowerPoint presentation a summary of the work completed by the BTRTF as well as work anticipated to continue at the regional level.

BUDGET IMPACT

There is no budget impact associated with this update.

Prepared By: April Chan,
Chief Officer, Planning, Grants & TA

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