

Memorandum

To: CHAIR AND COMMISSIONERS
CALIFORNIA TRANSPORTATION COMMISSION

CTC Meeting: June 29-30, 2016

Reference No.: 3.5
Information Item

From: NORMA ORTEGA
Chief Financial Officer

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Transportation

Subject: FISCAL YEAR 2015–16 THIRD QUARTER PROPOSITION 1A HIGH-SPEED
PASSENGER TRAIN BOND PROGRAM REPORT

Attached is the California Department of Transportation's Fiscal Year 2015–16 Third Quarter Proposition 1A High-Speed Passenger Train Bond Program Report.



Fiscal Year 2015–16 3rd Quarter Report High-Speed Passenger Train Bond Program

Quarterly Report to the
**California Transportation
Commission**



High-Speed Passenger Train Bond Program Progress Report

SUMMARY:

In 2008, voters approved Proposition 1A: Safe, Reliable High-Speed Passenger Train Bond Act for the 21st Century. Under appropriation by the California State Legislature (Legislature), the California Transportation Commission (Commission) is required to allocate funds for capital improvements to the intercity rail lines, commuter rail lines, and urban rail systems that provide direct connectivity to the high-speed train system and its facilities. As set forth in the Streets and Highways Code Section 2704.095, the Commission was required to program and allocate the net proceeds received from the sale of \$950 million in bonds authorized under Proposition 1A for the High-Speed Passenger Train Bond Program (Proposition 1A).

The Proposition 1A program is identified under two sub-programs: the Intercity Rail Program, and the Urban and Commuter Rail Program.

This report covers the third quarter of the State Fiscal Year 2015–16 for Proposition 1A. There are 16 projects that have received allocation from the Commission, with a total value of \$795.850 million in Proposition 1A funds. Located at the end of the report, Tables 1-3 provide a summary of all projects that have received allocation, including the funding phase, expenditures, and overall project status. Currently, 14 projects have received allocation for the Construction (CON) phase, 1 project for both the Preliminary Specification and Estimate (PS&E) phase as well as the CON phase, and 1 project for the Project Approval and Environmental Documentation (PA&ED) phase.

Please note, the “Project Numbers” in this report are only for reference to indicate the number of projects that have received allocation. These “Project Numbers” are subject to change in subsequent reports as projects are added.

INTERCITY RAIL FORMULA PROGRAM:

Under the Intercity Rail Formula Program, the Commission was required to program in each of the intercity rail corridors a minimum of \$47.5 million in eligible projects. The California Department of Transportation (Caltrans), in coordination with the public agencies, and the passenger rail operators on the intercity rail lines, shall present to the Commission, the list of projects for the formula portion up to the minimum allowed per corridor. The Commission reviewed the list of projects eligible under the formula program and adopted those projects that met the requirements.

The following is the status of projects under the Intercity Rail Formula Program. See Table 1 (attached) for specific project information.

Project No. 1

Positive Train Control, Moorpark to San Onofre (Pacific Surfliner)

The implementing agency, Southern California Regional Rail Authority (SCRRA), has received \$46.550 million for the Construction phase. The project consists of implementing all aspects of Positive Train Control (PTC) technology along the Pacific Surfliner Corridor between Moorpark and San Onofre.

Currently, all SCRRA-owned lines and locomotives are operating with PTC fully installed and in service. Key remaining elements of the project are to finalize interoperable testing with LA Basin Railroads, such as BNSF, Union Pacific Railroad (UPRR), North County Transit District (NCTD), and Amtrak. The PTC Safety Plan was formally re-submitted to the Federal Railroad Administration (FRA) with corrections in late December 2015 based on review comments and requests for clarifications from the FRA. As a result, PTC system certification is anticipated by mid-2016. On-going software updates are expected to continue as the industry advances its PTC implementation across the nation. Training and transition to operations are well underway. The project is expected to be complete with interoperable testing and certification by June 30, 2016.

Project No. 2

Positive Train Control, San Joaquin Corridor

The implementing agency, Caltrans, received \$9.8 million for the Construction phase. The project included purchasing, constructing, and installing links between key transmission stations, and multiple control points along BNSF Railway Company right-of-way, including signal bungalows.

All Proposition 1A appropriated funding has been allocated and expended. The project was completed March 1, 2013.

INTERCITY RAIL COMPETITIVE PROGRAM:

Under the Intercity Rail Competitive Program, the Commission was required to program up to an additional \$47.5 million in projects to any of the three intercity rail corridors. Caltrans, in coordination with the public agencies and the passenger rail operators on the intercity rail lines, were required to select projects within each of the three corridors for the remaining 25 percent, and present them to the Commission for approval. The Commission gave priority to those projects selected in the following order:

- Projects that provided direct connectivity to the high-speed train system
- Projects that were eligible for or had committed federal funds
- Projects that promoted increased ridership, increased on-time-performance, and decreased running times

The following is the status of projects under the Intercity Rail Competitive Program. See Table 2 (attached) for specific project information.

Project No. 3**Positive Train Control, San Onofre to San Diego**

The implementing agency, North County Transit District (NCTD), has received \$24.010 million for the Construction phase. The project consists of implementing all aspects of PTC technology along the Pacific Surfliner Corridor between San Onofre and San Diego.

NCTD is now federated with Metrolink and BNSF. All aspects of the project are installed and testing is underway. For all 17 vehicles, installation of onboard components was completed in March 2016. Functional field testing is ongoing for interoperable train control messaging, communications, and computer-aided dispatching/back office server segments. Stationary field testing is underway with test vehicles. Most radios have passed testing, 15 of 17, with the remaining two radios scheduled to complete testing in April 2016. All 48 wayside units and all 19 base station radios have completed testing. Pending FRA approval, brake testing is expected to begin mid-June, 2016. The project is expected to be completed and fully operational by December 31, 2018.

Project No. 4**Positive Train Control, LA to Fullerton Triple Track**

The implementing agency, Caltrans, has received \$2.940 million for the Construction phase. The project includes the installation of PTC components, the scope of which includes, but is not limited to, the installation of links between key transmission stations and control points along the BNSF Railway Company right-of-way; the installation of signal bungalows; and the installation of critical locomotive and cab car on-board equipment.

As of December 31, 2015, all Proposition 1A appropriated funding has been allocated and expended for this project; however, this PTC project is only one segment of the LA to Fullerton Triple Track Project, which is still active and in progress. Project completion is expected by December 31, 2016.

Project No. 5**San Joaquin Corridor, Merced to Le Grand Segment 1**

The implementing agency, Caltrans, has received \$40.750 million for the Construction phase. The project consists of capital improvements on the Merced to Le Grand Double Track, Segment 1, between Milepost 1041.99 and Milepost 1050.4. Capital improvements include construction of 8.41 miles of track; modification and upgrade to signal and track components (including five public at-grade road crossings); and engineering/civil work.

The project is under construction and on target with no anticipated changes or delays. Project completion is expected by October 31, 2016.

URBAN AND COMMUTER RAIL PROGRAM:

Under this program, \$760 million was divided among ten eligible recipients using a formula distribution that incorporated track miles, vehicle miles, and passenger trips. The funding share totals identified for each eligible agency were determined using the distribution factors

gathered from the most current available data in the National Transit Database, Federal Transit Administration. The Commission accepted from each eligible agency their priority list of projects, up to their targeted amounts. Each project had to meet the criteria set forth in Section 2704.095 (c) through (j) of the Streets and Highways Code. The Commission took the following factors under consideration:

- Priority given to projects that provide direct connectivity to the high-speed train system
- Required matching funds be non-state funds (Non-state funds were defined as local, private, and federal funds, as well as those state funds not under the Commission's purview)

The following is a status of projects under the Urban and Commuter Rail Program. See Table 3 (attached) for specific project information.

Project No. 6

Sacramento Intermodal Facility High-Speed

The implementing agency, Sacramento Regional Transit District (SacRT), received \$1.752 million for the Project Approval and Environmental Documentation phase. The project consists of improvements to the existing regional transit facility and surrounding components, to provide connectivity to high-speed rail. An additional \$23.471 million remains programmed for future use on this project.

SacRT's Project Consultant has continued with contracted service for preparation of environmental documents, and has revised, released, and closed the comment period for the administrative draft of the Initial Study/Mitigation Negative Declaration (IS/MND). Approval for the IS/MND is scheduled for mid-June, 2016. Stakeholder outreach continues to help refine the final design concept. It is anticipated that delays in matching funds could create a potential issue for maintaining the schedule long term. Project completion is expected in April 2020.

Project No. 7

Caltrain Advanced Signal System/Positive Train Control

The implementing agency, Peninsula Corridor Joint Powers Board (PCJPB), has received \$105.445 million for both the Design and the Construction phase. The project consists of installing PTC technology along the Caltrain corridor.

The installation of wayside interface units and equipment on rail vehicles has been completed. Dynamic system testing using dedicated test trains continues, along with efforts to work with the Federal Railroad Administration (FRA) on document review, testing, and field inspections. Outreach efforts for the Communication Based Overlay Signal System installation along the right-of-way are on-going as well as efforts to work with tenant railroads on interoperability. The project has been delayed due to software delivery issues, as well as coordination needed with the FRA for system testing. As a result, the PTC is expected to be approved, activated, and in-service across the entire system by October 31, 2016, and the final acceptance date has been extended to May 1, 2017. The PCJPB is still evaluating the

budget impact of the schedule delay and will determine the amount and source of funding as part of the Fiscal Year 2016–17 capital budget development cycle.

Project No. 8

Central Subway

The implementing agency, San Francisco Municipal Transportation Agency, received \$61.308 million for the Construction phase. The project extends the 5.2-mile T-Third light rail line from its current junction at the Caltrain terminus area to south of Union Square and Chinatown for 1.7 miles.

All Proposition 1A appropriated funding has been allocated and expended. This project phase has been closed out by Caltrans; however, the project is still ongoing. Excavation continues at Yerba Buena/Moscone Station, Union Square/Market Street Station, and Chinatown Station. There has been no significant change to project scope, budget, or schedule. Project completion is expected by December 31, 2018.

Project No. 9

Millbrae Station Track Improvement and Car Purchase

The implementing agency, San Francisco Bay Area Rapid Transit District (BART), has received \$140 million for the Construction phase. The project consists of purchasing 46 new rail cars and lengthens all three of BART's rail storage tracks immediately south of the Millbrae station.

The first pilot vehicle was delivered late March 2016, and the second pilot vehicle is expected to be delivered next quarter. Currently, there is a 10.5 month delay in Pilot Vehicle delivery, and 4.5 months for start of production vehicle delivery. Reasons for delays include: Delay in completion of First Article Configuration Inspections and Subsystem Qualification Testing; heat rise on electrical components of the Auxiliary Power Supply Equipment at the maximum design temperature; draft sill or bolster welding difficulties; and failure of underfloor threaded insert during the fire barrier installation. The contractor, Bombardier, anticipates recovering 4 months during qualification testing of the pilot vehicles. Disadvantaged Business Enterprise development efforts are ongoing. Project completion is expected by September 2026.

Project No. 10

Metrolink Positive Train Control

The implementing agency, the SCRRA, has received \$35 million for the Construction phase. The project consists of installing predictive collision avoidance technology throughout the Metrolink system.

All Proposition 1A appropriated funding has been allocated. The SCRRA has continued to perform software updates and testing to the PTC infrastructure that has been in place and in service since June 2015. SCRRA has coordinated closely with the FRA on substantial revisions to the PTC Safety Plan that was re-submitted to the FRA in late December 2015. Coordination continues with the FRA to secure certification of the PTC Safety Plan, as well as the host railroads on interoperability issues. Close-out of the PTC Vendor/Integrator contract,

and PTC System Certification from the FRA are anticipated late 2016. Project completion is expected mid-2018.

Project No. 11

Regional Connector Transit Corridor

The implementing agency, Los Angeles County Metropolitan Transportation Authority (LACMTA), has received \$114.874 million for the Construction phase. The project consists of construction of a two-mile extension that will connect the Metro light rail system to high speed rail through downtown, including construction of three new underground light rail stations.

The project schedule is reflecting a five-month-delay due to advance utility relocation work transferred to the design-build contract. Metro and Regional Connector Contractors (RCC) are collaborating on a schedule recovery plan which includes significant re-sequencing of work and additional measures to complete the project by the Full Funding Grant Agreement Revenue Service Date of May 29, 2021. Elements of this recovery plan are dependent upon obtaining various street closures for station and guideway construction. Approvals of such closures are being vigorously pursued.

Late submittals and city approvals of traffic control plans and shoring designs, may impact construction progress at 1st/Central, 2nd/Broadway Stations, and Flower Street. Metro is working with RCC, Los Angeles Department of Transportation, and the Bureau of Engineering, to actively expedite submission, quality review, and approvals of required plans. End of construction will be completed by March 2021, and the Revenue Service Date is now June 2021. Project completion is expected in June 2021.

Project No. 12

Metrolink High-Speed Rail Readiness Program

The implementing agency, SCRRA, has received \$68.5 million for the Construction phase. The project consists of acquisition of 20 high-powered Tier 4 locomotives.

The first three prototypes are still experiencing quality and design issues. SCRRA continues to work with the manufacturing company to provide input to help expedite progress. Testing on the first locomotive is in progress awaiting Environmental Protection Agency certification. It is now estimated the delivery of the first locomotive will be in June 2016. Assembly and testing of additional locomotives is progressing. The second locomotive has been assembled and is finishing production testing, while the third locomotive has been assembled and is ready to begin testing. SCRRA is in the process of developing a Change Order Proposal to adjust the project scope to include integration of Automatic Train Stop controls for operation on non-Metrolink lines that don't support PTC. SCRRA is waiting for a cost estimate to confirm there would be no additional cost before moving forward with the scope change request. The estimated project completion date is May 17, 2019.

Project No. 13**Stockton Passenger Track Extension**

The implementing agency, San Joaquin Regional Rail Commission (SJRRC), initially received \$10.974 million for the Construction phase. The project consists of constructing a 2.57 mile extension of dedicated passenger rail track north of downtown Stockton, interlocking between the UPRR and the BNSF Railway.

The Commission approved a de-allocation of \$10.579 million at the October 2014 meeting, due to delays in anticipated federal funds. At the August 2015 meeting, the Commission approved a re-allocation of \$5,319,325. The award of a construction contract was expected by February 2016; however, due to prolonged negotiations with UPRR on project plans, SJRRC requested and received approval for a twelve-month time extension from the Commission during the March 2016 meeting, extending the time to award a third party construction contract to February 2017. Due to the constrained aspect of the corridor, the track clearance requirements and the final track geometry needs to be negotiated and approved by the UPRR to meet strict standards. SJRRC continues to work with UPRR to propose track geometries that provide for safe railroad operations within the existing right-of-way. The additional \$5.26 million that remains de-allocated, yet still programmed to this project, will be requested at a later date. Project completion is expected by September 2017.

Project No. 14**Blue Line Light Rail Improvements**

The implementing agency, San Diego Association of Governments, has received \$57.855 million for the Construction phase. The project consists of improvements to existing infrastructure on the Blue Line Trolley including: replacing worn out rails and tracks; replace/rehabilitate switches and signaling and reconstruction of existing platforms to accommodate low-floor vehicles.

All Proposition 1A appropriated funding has been allocated, and the final invoice will be submitted soon. All twelve light rail stations have been completed, and approximately 100 percent of the rail track has been replaced. Other final improvements that remain, include the replacement of a switch and rail along the northbound tracks between the 8th Street and 24th Street stations. The expected project closeout is being extended to December 31, 2016, due to a delay in awarding contract for construction.

Project No. 15**Positive Train Control**

The implementing agency, North County Transit District (NCTD), has received \$17.833 million for the Construction phase. The project consists of implementing all aspects of PTC technology along the Coaster Corridor between San Onofre and San Diego.

NCTD is now federated with both Metrolink and BNSF. All Proposition 1A Urban Commuter appropriated funding has been allocated, all aspects of the project are installed, and testing is underway. Installations are complete for all 17 vehicles with installation of onboard components completed as of March 2016. Functional field testing is ongoing for

interoperable train control messaging, communications, and computer-aided dispatching/back office server segments. Stationary field testing is underway with test vehicles. Most radios have passed testing, 15 of 17, with the remaining two scheduled to complete testing in April 2016. All 48 wayside units, and all 19 base station radios have completed testing. Pending FRA approval, brake testing is expected to begin mid-June, 2016. The project is expected to be completed and fully operational by December 31, 2018.

Project No. 16

Maintenance Shop and Yard Improvements

The implementing agency, San Francisco BART, has received \$78.639 million for the Construction phase. This project will provide expanded capacity for maintenance and warehouse activities for the future BART fleet. The project consists of expanding the existing Main Shop to support back shop double-ended operation, constructing a new Component Repair Shop, retrofitting the Maintenance and Engineering (M&E) storage facility, and constructing new track work, retaining walls, and soundwalls, that will serve to connect the Hayward Maintenance Complex to the existing mainline BART tracks.

Contract Nos. 01RQ-130 and 01RQ-140 have been granted final acceptance. The Construction of a new Component Repair Shop, and the installation of seven new Lifts in Main Shop received notice-to-proceed effective October 21, 2015. Foundation construction is in progress for the New Component Repair Shop. Field construction work continues, including installation and relocation of underground utilities, and construction of the soundwall. Instead of retrofitting the Central Warehouse and the M&E facility, both buildings will be demolished and rebuilt. For the Component Repair Shop and the Vehicle Overhaul and Heavy Repair Shop, an available 34.5 kV system will be used to provide superior back-up power instead of designing a new back-up generator. Preliminary design is in progress for the Vehicle Overhaul and Heavy Repair Shop, and final design work is in progress for the new Yard Turntable relocation. Next quarter, Contract Nos. 01RQ-130 and 01RQ-140 are expected to be released from retention and closed out. Project completion is expected by May 2020.

LETTERS OF NO PREJUDICE:

The Letters of No Prejudice (LONP) Guidelines were approved in September 2010, under Resolution LONP1A-G-1011-01. There were three projects that were approved for a LONP; all 3 of these projects have since been funded.

BACKGROUND:

On November 4, 2008, the voters approved Proposition 1A for the 21st Century, authorized by the Commission upon appropriation by the Legislature, to allocate funds for the capital improvements to intercity, commuter, and urban rail lines that provide direct connectivity to the high-speed train system and its facilities, or that are part of the construction of the high-speed train system.

ATTACHMENTS:

1. Table 1-Intercity Rail Formula Program
2. Table 2-Intercity Rail Competitive Program
3. Table 3-Urban and Commuter Rail Program

This report includes several attachments that provide detailed information on project status. Please note that the “Project Numbers” in these lists are for clarification and are only for reference to indicate the number of projects in this report. These “Project Numbers” are subject to change in subsequent reports as projects are added. Currently, there are 16 projects shown in the tables in this report.

Table 1

Intercity Rail Formula Program																		
Project No.	Co.	Agency	Project Name	End PA&ED	End PS&E	End R/W	End CON	Funding Phase	% of Allocation Expended	Programmed Amount (millions)	Funding Allocated (millions)	Prop 1A Expenditures (millions)	Allocation Date	Contract Award Date	Scope	Budget	Schedule	Project Completion
1	Various	SCRRA	Positive Train Control, Moorpark to San Onofre (Pacific Surfliner)	-	-	-	Dec-15	CON	68%	\$46,550	\$46,550	\$31,517	Jan-11	Oct-10	▲	▲	◆	Jun-16
2	SJ	Caltrans	Positive Train Control, San Joaquin Corridor	-	-	-	Jan-13	CON	100%	\$9,800	\$9,800	\$9,800	Oct-11	June-12	▲	▲	▲	Mar-13
TOTAL:									73%	\$56,350	\$56,350	\$41,317						

LEGEND

- ▲ Project is on-time, on-budget, and /or within scope
- Allocation request is late or construction start date has been delayed
- ◆ Schedule or cost is changing, pending review and acceptance

Table 2

Intercity Rail Competitive Program																		
Project No.	Co.	Agency	Project Name	End PA&ED	End PS&E	End R/W	End CON	Funding Phase	% of Allocation Expended	Programmed Amount (millions)	Funding Allocated (millions)	Prop 1A Expenditures (millions)	Allocation Date	Contract Award Date	Scope	Budget	Schedule	Project Completion
3	SD	NCTD	Positive Train Control, San Onofre to San Diego	-	-	-	Dec-15	CON	75%	\$24,010	\$24,010	\$18,122	Jan-11	Aug-11	▲	◆	◆	Dec-18
4	LA	Caltrans	Positive Train Control, LA to Fullerton Triple Track	-	-	-	Dec-15	CON	100%	\$2,940	\$2,940	\$2,940	Nov-11	Dec-11	▲	▲	▲	Dec-16
5	SJ	Caltrans	San Joaquin Corridor, Merced to Le Grand Segment 1	-	-	-	Oct-16	CON	46%	\$40,750	\$40,750	\$18,669	May-13	Nov-13	▲	▲	▲	Oct-16
TOTAL:									59%	\$67,700	\$67,700	\$39,731						

LEGEND

- ▲ Project is on-time, on-budget, and /or within scope
- Allocation request is late or construction start date has been delayed
- ◆ Schedule or cost is changing, pending review and acceptance

Table 3

Urban and Commuter Rail Program																		
Project No.	Co.	Agency	Project Name	End of PA&ED	End of PS&E	End of R/W	End of CON	Funding Phase	% of Allocation Expended	Programmed Amount (millions)	Funding Allocated (millions)	Prop 1A Expenditures (millions)	Allocation Date	Contract Award Date	Scope	Budget	Schedule	Project Completion
6	SAC	SacRT	Sacramento Intermodal Facility High-Speed	June -16	-	-	-	PA&ED	22%	\$25,223	\$1,752	\$393	Oct-13	N/A	▲	▲	▲	Apr-20
7	Various	PCJPB	Caltrain Advanced Signal System (CBOSS/PTC)	-	Dec -16	-	Aug-16	PS&E/CON	50%	\$105,445	\$105,445	\$52,828	May-13	Aug-13	▲	▲	◆	May-17
8	SF	SFMTA	Central Subway	-	-	-	Oct-15	CON	100%	\$61,308	\$61,308	\$61,308	Sept-12	Oct-12	▲	▲	▲	May-19
9	SF	BART	Millbrae Station Track Improvements and Car Purchase	-	-	-	Jan-17	CON	51%	\$140,000	\$140,000	\$71,620	Oct-13	Jan-14	▲	▲	◆	Sept-26
10	Various	SCRRA	Metrolink Positive Train Control	-	-	-	June-18	CON	70%	\$35,000	\$35,000	\$24,546	Aug-11	Oct-10	▲	▲	◆	Mid 2018
11	LA	LACMTA	Regional Connector Transit Corridor	-	-	-	May-17	CON	90%	\$114,874	\$114,874	\$103,387	May-13	May-14	▲	▲	◆	June-21
12	Various	SCRRA	Metrolink High-Speed Rail Readiness Program	-	-	-	May-17	CON	18%	\$88,707	\$68,500	\$12,052	Jan-14	May-14	▲	▲	◆	May-19
13	SJ	SJRRRC	Stockton Passenger Track Extension	-	-	-	Feb-17	CON	7%	\$10,974	\$5,714	\$395	Aug-15	Pending	▲	▲	◆	Sep-17
14	SD	SANDAG	Blue Line Light Rail Improvements	-	-	-	May-16	CON	99.87%	\$57,855	\$57,855	\$57,780	Aug-12	May-13	▲	▲	◆	Dec-16
15	SD	NCTD	Positive Train Control	-	-	-	Dec-15	CON	50%	\$17,833	\$17,833	\$8,858	Jan-11	Aug-11	▲	▲	◆	Dec-18
16	ALA	BART	Maintenance Shop & Yard Improvements	-	-	-	Jul-18	CON	2%	\$78,639	\$78,639	\$1,644	Oct-14	July-15	▲	▲	▲	May-20
TOTAL:									56%	\$735,858	\$686,920	\$394,811						

LEGEND

- ▲ Project is on-time, on-budget, and /or within scope
- Allocation request is late or construction start date has been delayed
- ◆ Schedule or cost is changing, pending review and acceptance