

## Memorandum

To: CHAIR AND COMMISSIONERS  
CALIFORNIA TRANSPORTATION COMMISSION

CTC Meeting: March 15-16, 2017

Reference No.: 3.5  
Information Item

From: NORMA ORTEGA  
Chief Financial Officer

Prepared by: Steven Keck, Chief (Acting)  
Division of Rail and Mass  
Transportation

Subject: **FISCAL YEAR 2016–17 SECOND QUARTER PROPOSITION 1A HIGH-SPEED  
PASSENGER TRAIN BOND PROGRAM REPORT**

Attached is the California Department of Transportation's Fiscal Year 2016–17 Second Quarter Proposition 1A High-Speed Passenger Train Bond Program Report.

Attachment



# **Fiscal Year 2016–17 Second 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 21<sup>st</sup> 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 second quarter of the State Fiscal Year 2016–17 for Proposition 1A. There are 17 projects that have received allocation from the Commission, with a total value of \$819.998 million in Proposition 1A funds. Tables 1-3 provide a summary of all projects that have received allocation, including the funding phase, expenditures, and overall project status. Currently, 15 projects have received allocation for the construction phase, 1 project for both the preliminary specification and estimate phase as well as the construction phase, and 1 project for the project approval and environmental documentation 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 for a combined total of \$142 million. 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, has received \$46.550 million for the construction phase. The project consists of implementing all aspects of Positive Train Control technology along the Pacific Surfliner Corridor between Moorpark and San Onofre.

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

**Project No. 3****Capitol Corridor (and ACE) Travel Time Reduction Project**

The implementing agency, Capitol Corridor Joint Powers Authority received \$10.180 million for the Travel Time Reduction project. The goal of this project is to reduce the total travel time of the Capitol Corridor by ten minutes, through the removal of station dwell times, implementing superelevating curves and replacing the existing rail to allow for higher operating speeds.

Construction has been initiated. The rail replacement between Newark and Santa Clara is at 90 percent completion. The track curve geometry work has begun and will progress through 2017. The material needed for other track upgrades have been ordered. Installation will commence pending the availability of construction crews. Project is on schedule and expected to be completed in May 2019.

**INTERCITY RAIL COMPETITIVE PROGRAM:**

Under the Intercity Rail Competitive Program, the Commission was required to program up to \$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, was required to select projects within each of the three corridors for the remaining 25 percent of the \$190 million appropriated to intercity rail under both formula and competitive projects, and present the list of projects 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. 4**

##### **Positive Train Control, San Onofre to San Diego**

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

NCTD is concerned regarding the schedule updates that the contractor submitted in 2015 and is currently working with the contractor to resolve the issues. NCTD plans to submit the Positive Train Control Safety Plan to the Federal Rail Administration on or prior to March 31, 2017. Current accomplishments for this project include interoperability meetings and the Caltrans quarterly meeting held in November 2016. The application to enter Revenue Service Demonstration was submitted December 30, 2016. Construction is expected to be completed by December 31, 2018.

#### **Project No. 5**

##### **Positive Train Control, Los Angeles to Fullerton Triple Track**

The implementing agency, Caltrans, has received \$2.940 million for the construction phase. The project includes the installation of Positive Train Control (PTC) components, 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.

The project was completed in December 2015. The final billing was processed January 2016. PTC was part of a larger contract that expired December 31, 2016. Final closeout reports will be prepared in July 2017. There will be no further action on this project.

#### **Project No. 6**

##### **San Joaquin Corridor, Merced to Le Grand Segment 1 and a Portion of Segment 2**

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 Capital

improvements on Segment 2 work consist of construction of 4.1 miles of main track, including but not limited to, three turnouts, three public road crossings, two private road crossings, one bridge, culverts and drainage facilities, placement of embankment/base rock subgrade and wayside signal/telecom.

The construction of Segment 1 is now complete. Due to a substantial cost savings, the Commission at its August 2016 meeting, approved a revision to the contract scope of work to include construction of a portion of Segment 2. The contract termination date has been extended to October 31, 2019.

### **URBAN AND COMMUTER RAIL PROGRAM:**

Under this program, \$760 million was divided among 11 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. 7**

#### **Sacramento Intermodal Facility Improvements Project**

The implementing agency, Sacramento Regional Transit District, initially received \$1.752 million for the project approval and environmental documentation (PA&ED) phase. At the June 2016 meeting, \$1.152 million was deallocated from PA&ED due to cost savings. In addition, the remaining deallocated balance was reprogrammed to construction phase. A project scope modification was also included and approved by the Commission to add a component of the Sacramento Streetcar project that will directly connect to light rail and expand the catchment and disbursement area to be served by high-speed rail.

After the scope change to the project the following section will be divided into a brief summary with each component separated. Component #1 will refer to the Sacramento Valley Station loop portion of the project. Component #2 will refer to the Downtown-Riverfront Streetcar portion of the project.

Starting with component one, California Environmental Quality Act clearance has officially been completed. A complete design of the project is underway with the expectation of

completion no later than June 2018. An allocation request for project, specifics and estimates is anticipated by the end of fiscal year 2016-17 and completion of construction is anticipated by June 2019.

For component two, both federal and State environmental requirements have achieved clearance and completion. The overall design for the project has commenced and is expected to be complete by June 2018. Progress has been made towards obtaining federal match monies in preparation for construction which is anticipated no later than June 2018. Completion of construction is expected by June 2021.

## **Project No. 8**

### **Caltrain Advanced Signal System/Positive Train Control**

The implementing agency, Peninsula Corridor Joint Powers Board (PCJPB), has received \$105.445 million for the PS&E and construction phase. The project consists of installing Positive Train Control technology along the Caltrain corridor.

During the past reporting period, system testing along the right-of-way has progressed as part of an ongoing Federal Railroad Administration (FRA) system acceptance effort. Testing with the current version of the software is nearing completion and a significant part of the brake testing has been completed. The Revenue Service Demonstration (RSD) version of the software for Caltrain is anticipated to be finalized this spring. However, due to unexpected difficulties with the implementation of the RSD software, the project schedule has been pushed back. PCJPB is in the process of working with the contractor, tenant railroads and FRA to re-baseline the project schedule based on the ongoing testing and regulatory requirements. The priority of PCJPB remains delivering the federally mandated project elements and a revised project schedule as soon as it's available. The final acceptance date is still expected by May 2017.

## **Project No. 9**

### **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; however, the project is still ongoing. Excavation continues at Yerba Buena/Moscone Station, Union Square/Market Street Station, and Chinatown Station as work is advancing towards the respective station inverts. Surface, track and systems continues to tunnel invert drain pipe and catch basins installations in the southbound and northbound tunnels. There has been no significant change to the project scope, budget or schedule. Substantial project completion is now expected by February 2018.

**Project No. 10****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.

Ten pilot vehicles have been delivered to the district test track. Qualification testing continues at the test track and mainline. The train operator training simulator was delivered and training has commenced. Series vehicle production at the manufacturing car body facility is ongoing. The project is delayed 15 months for delivery of pilot vehicles and 8 months for delivery of production vehicles. Project completion is expected by May 2026.

**Project No. 11****Metrolink Positive Train Control**

The implementing agency, Southern California Regional Rail Authority (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. SCRRA is waiting on Federal Transit Administration approval of the Positive Train Control (PTC) System Certification. Progress is continuing with partner railroads on preparing for demonstrating interoperability as soon as spring 2017 on BNSF owned territory. SCRRA has also procured PTC spectrum which provides them with long-term reliability and control over our communications network. Project completion is expected by mid-2018.

**Project No. 12****Regional Connector Transit Corridor**

The implementing agency, Los Angeles County Metropolitan Transportation Authority, 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 is still reflecting an approximate 5 month delay to the revenue service date, due to the differing site conditions related to underground utilities. Pile installation has been completed along the 1<sup>st</sup> Street Leg. Pile and deck beam installation at 2<sup>nd</sup> and Broadway has been completed. Water and power relocation along Flower St. continues. Project completion is now expected by May 2021.



**Project No. 13****Metrolink High-Speed Rail Readiness Program**

The implementing agency, the Southern California Regional Rail Authority (SCRRA), has received \$68.5 million for the construction phase. The project consists of acquisition of 20 high-powered Tier 4 locomotives.

SCRRA has submitted a pre-revenue rest plan to Federal Railroad Administration for review and approval. SCRRA is awaiting delivery of five locomotives by the end of March 2017. All 40 locomotives continue to be on schedule for in-service operation by early summer 2018. Project completion is expected May 2019.

**Project No. 14****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 Union Pacific Railroad (UPRR) and the BNSF Railway.

In the last quarter, SJRRC has been actively coordinating the track extension project with UPRR. On November 11, 2016, SJRRC and UPRR participated in a conference call to review the track geometry and Harding Ave Bridge designs. The conference call was productive and SJRRC instructed Henningson, Durham and Richardson, Inc. (Also known as HDR, the contracted engineering firm hired by SJRRC) to continue with both the design document and UPRR's review. An additional survey was required and HDR obtained permission to enter UPRR property for the survey in the third week of November. This additional survey was critical to finalizing the Harding Ave Bridge design. UPRR provided comments to the track design on November 23, 2016 and the team was still awaiting comments from the UPRR Structures Team. SJRRC has started the Invitation to Bid process internally by preparing the Division 00 and Division 01 project specifications. A National Environmental Policy Act (NEPA) Categorical Exclusion (CE) was filed with the Federal Railroad Administration (FRA) on November 9th, 2016. The FRA provided comments to the NEPA CE on December 1, 2016 and SJRRC is in the process of responding to those comments. The project is currently delayed by a quarter, but it is believed that the time can be recovered and still meet the construction deadline of June 2018.

**Project No. 15****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.

The project has been completed and is now closed out. All funds have been expended.

### **Project No. 16**

#### **Positive Train Control**

The implementing agency, the North County Transit District, has received \$24.010 million for the construction phase. The project consists of implementing all aspects of Positive Train Control technology along the Pacific Surfliner Corridor between San Onofre and San Diego.

NCTD is concerned regarding the schedule updates that the contractor submitted in 2015 and is currently working with them to resolve the issues. NCTD plans to submit the Positive Train Control Safety Plan to the Federal Rail Administration on or prior to March 31, 2017. Current accomplishments for this project include interoperability meetings and the Caltrans quarterly meeting held in November 2016. The application to enter Revenue Service Demonstration was submitted December 30, 2016. Construction is expected to be completed by December 31, 2018.

### **Project No. 17**

#### **Maintenance Shop and Yard Improvements**

The implementing agency, San Francisco Bay Area Rapid Transit District (BART), has received \$78.639 million for the construction phase. 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 sound walls, that will serve to connect the Hayward Maintenance Complex to the existing mainline BART tracks.

The foundation construction and structural steel erection are complete for the new component maintenance repair shop. Work continues on three new lifts in the Hayward Main Shop. Factory inspections were conducted for the Macton Lifts and the Savage Wheel Presses. A new mainline track crossover and turn-out were installed on the existing BART mainline tracks, and a new water loop was installed under the BART mainline tracks. Work has commenced on rough grading and track work for the M&E Shop and the T2 track. For the next quarter it is anticipated that field construction work will continue for the new component repair shop, three new lifts in the Hayward main shop, and the track work installation for the new T2 track. There are currently two differing site condition changes that could delay the completion of the three new lifts in the Hayward Main Shop by approximately two months. Project completion is anticipated January 2024.

**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 21<sup>st</sup> 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 17 projects shown in the tables in this report.

**Table 1**

<b>Intercity Rail Formula Program</b>																		
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	SCRRRA	Positive Train Control, Moorpark to San Onofre (Pacific Surfliner)	-	-	-	Dec-15	CON	100%	\$46,550	\$46,550	\$46,550	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
3	Various	CCJPA	Capitol Corridor (and ACE) Travel Time Reduction Project	-	-	-	May-19	CON	0%	\$10,180	\$10,180	\$0	May-16	N/A	▲	▲	▲	May-19
<b>TOTAL:</b>										<b>\$66,530</b>	<b>\$66,530</b>	<b>\$56,695</b>						

**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**

<b>Intercity Rail Competitive Program</b>																		
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
4	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
5	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
6	SJ	Caltrans	San Joaquin Corridor, Merced to Le Grand Segment 1	-	-	-	Oct-16	CON	68%	\$40,750	\$40,750	\$27,929	May-13	Nov-13	◆	▲	◆	Oct-19
<b>TOTAL:</b>											<b>\$67,700</b>	<b>\$67,700</b>	<b>\$48,991</b>					

**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**

<b>Urban and Commuter Rail Program</b>																		
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
7	SAC	SacRT	Sacramento Intermodal Facility Improvements	June -16	-	-	-	PA&ED	96%	\$25,223	\$600	\$575	Oct-13	N/A	◆	▲	◆	Jun-21
8	Various	PCJPB	Caltrain Advanced Signal System (CBOSS/PTC)	-	Dec -16	-	Aug-16	PS&E/ CON	58%	\$105,445	\$105,445	\$61,139	May-13	Aug-13	▲	▲	◆	May-17
9	SF	SFMTA	Central Subway	-	-	-	Oct-15	CON	100%	\$61,308	\$61,308	\$61,308	Sept-12	Oct-12	▲	▲	◆	Feb-18
10	SF	BART	Millbrae Station Track Improvements and Car Purchase	-	-	-	Jan-17	CON	58%	\$140,000	\$140,000	\$81,894	Oct-13	Jan-14	▲	▲	◆	May-26
11	Various	SCRRA	Metrolink Positive Train Control	-	-	-	June-18	CON	82%	\$35,000	\$35,000	\$28,610	Aug-11	Oct-10	▲	▲	▲	Mid 2018
12	LA	LACMTA	Regional Connector Transit Corridor	-	-	-	May-17	CON	90%	\$114,874	\$114,874	\$103,387	May-13	May-14	▲	▲	◆	May-21
13	Various	SCRRA	Metrolink High-Speed Rail Readiness Program	-	-	-	May-17	CON	26%	\$88,707	\$68,500	\$18,017	Jan-14	May-14	▲	▲	◆	May-19
14	SJ	SJRRRC	Stockton Passenger Track Extension	-	-	-	Feb-17	CON	7%	\$10,974	\$5,714	\$395	Aug-15	Pending	▲	▲	◆	June-18
15	SD	SANDAG	Blue Line Light Rail Improvements	-	-	-	May-16	CON	100%	\$57,855	\$57,855	\$57,855	Aug-12	May-13	▲	▲	▲	Dec-16
16	SD	NCTD	Positive Train Control	-	-	-	Dec-15	CON	50%	\$17,833	\$17,833	\$8,857	Jan-11	Aug-11	▲	▲	▲	Dec-18
17	ALA	BART	Maintenance Shop & Yard Improvements	-	-	-	Jul-18	CON	30%	\$78,639	\$78,639	\$23,592	Oct-14	July-15	▲	▲	◆	Jan-24
<b>TOTAL:</b>											<b>\$735,858</b>	<b>\$685,768</b>	<b>\$445,659</b>					

**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