AGENDA
PENINSULA CORRIDOR JOINT POWERS BOARD
Bacciocco Auditorium, 2nd Floor
1250 San Carlos Avenue, San Carlos CA 94070

November 1, 2018 - Thursday  10:00 am

1. Call to Order / Pledge of Allegiance
2. Roll Call
3. 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.
4. Consent Calendar
   Members of the Board may request that an item under the Consent Calendar be
   considered separately
   a. Approve Special Meeting Minutes of October 4, 2018  MOTION
   b. Approve Minutes of October 4, 2018  MOTION
   c. Approve 2019 Board Meeting Calendar  MOTION
   d. Accept Statements of Revenues and Expenditures for September 2018  MOTION
   e. Receive Key Caltrain Performance Statistics - September 2018  INFORMATIONAL
   f. Receive State and Federal Legislative Update  INFORMATIONAL
   g. Receive Caltrain Business Plan Monthly Update - October 2018  INFORMATIONAL
   h. Award of Contract for On-Call Special Inspection and Testing Services  RESOLUTION
   i. Authorize Disposition of Equipment  MOTION
   j. Award of Contract for Printing and Delivery of Thermal and Non-Thermal Tickets  RESOLUTION
   k. Caltrain Community Choice Energy Program Update and Opt-In to San José Clean Energy Program  RESOLUTION
5. Report of the Chair
6. Report of the Citizens Advisory Committee
7. Report of the Executive Director

Note: All items appearing on the agenda are subject to action by the Board. Staff recommendations are subject to change by the Board.
8. **Adopt the Caltrain Fare Policy**

9. **Authorize Execution of Change Order to the Peninsula Corridor Electrification Project Contract with Balfour Beatty for Design of Pole Changes Requested by California High Speed Rail Authority**

10. **Authorize Amendment to Contract with Proven Management, Inc. for the Tunnel Modifications and Track Rehabilitation Project for PCEP to Include the Overhead Catenary System Option and Increase Contract Amount**

11. **Award of Contracts for On-Call General Engineering Design Services**

12. **Adopt a Transit Asset Management Policy**

13. **Correspondence**

14. **Board Member Requests**

15. **General Counsel Report**

16. **Date/Time of Next Regular Meeting: Thursday, December 6, 2018 at 10:00 a.m. San Mateo County Transit District Administrative Building, 2nd Floor, 1250 San Carlos Avenue, San Carlos, CA 94070**

17. **Adjourn**

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*Note: All items appearing on the agenda are subject to action by the Board. Staff recommendations are subject to change by the Board.*
**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 650.508.6279. 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.

**Location, Date and Time of Regular Meetings**

Regular meetings are held at the San Mateo County Transit District Administrative Building located at 1250 San Carlos Avenue, San Carlos, one block west of the San Carlos Caltrain Station on El Camino Real, accessible by SamTrans bus Routes ECR, FLX, 260, 295 and 398. Additional transit information can be obtained by calling 1.800.660.4287 or 511.

The JPB meets regularly on the first Thursday of the month at 10 a.m. The JPB Citizens Advisory Committee meets regularly on the third Wednesday of the month at 5:40 p.m. at the same location. Date, time and place may change as necessary.

**Public Comment**

If you wish to address the Board, please fill out a speaker’s card located on the agenda table and hand it to the JPB Secretary. If you have anything that you wish distributed to the Board and included for the official record, please hand it to the JPB Secretary, who will distribute the information to the Board members and staff.

Members of the public may address the Board on non-agendized items under the Public Comment item on the agenda. Public testimony by each individual speaker shall be limited to two minutes and items raised that require a response will be deferred for staff reply.

**Accessibility for Individuals with Disabilities**

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 public meetings. Please send a written request, including your name, mailing address, phone number and brief description of the requested materials and a preferred alternative format or auxiliary aid or service at least two days before the meeting. Requests should be mailed to the JPB Secretary at Peninsula Corridor Joint Powers Board, 1250 San Carlos Avenue, San Carlos, CA 94070-1306; or emailed to board@caltrain.com; or by phone at 650.508.6242, or TDD 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.

Note: All items appearing on the agenda are subject to action by the Board. Staff recommendations are subject to change by the Board.
Peninsula Corridor Joint Powers Board
Board of Directors Meeting
1250 San Carlos Avenue, San Carlos CA 94070

MINUTES OF OCTOBER 4, 2018
SPECIAL MEETING

MEMBERS PRESENT: J. Bruins, Chair; C. Brinkman, C. Chavez (9:13 a.m.), J. Gee, G. Gillett, C. Stone (9:07 a.m.), M. Zmuda

MEMBERS ABSENT: D. Davis, D. Pine


CALL TO ORDER / PLEDGE OF ALLEGIANCE
Chair Bruins called the meeting to order at 9:04 a.m. She expressed appreciation to everyone for coming to an early meeting/workshop on the Caltrain Business Plan.

ROLL CALL
Acting District Secretary Gumpal called the roll. At the time of roll call, Directors Chavez, Davis, Pine, and Stone were absent. A quorum was present.

CALTRAIN BUSINESS PLAN UPDATE
Chair Bruins introduced Sebastian Petty, Senior Policy Advisor, who provided an in-depth quarterly update on the Caltrain Business Plan progress from July through September of 2018.

Mr. Petty recalled the purpose of the Business Plan: addressing the future potential of the railroad over the next 20-30 years, employing a long-term business strategy. The plan will address benefits, impacts and costs of future service and will allow the public and stakeholders an opportunity to engage in developing a more achievable and financially feasible railroad based on local, regional and statewide needs. Mr. Petty proceeded to present details based on four technical tracks contained in the plan: Service, Business Case, Community Interface, and Organization and discussed each segment in detail.

Mr. Petty briefly paused and responded to questions of board members.

Mr. Petty discussed the next steps in the Business Plan process and displayed a project schedule for a spring 2019 draft recommendation at a subsequent workshop, followed by final adoption of the plan. He thanked the partner agencies and stakeholders that have been involved in the formation of the plan and for their attendance at numerous meetings.
Board members provided commentary on the presentation:

Director Brinkman inquired if electrification and high speed rail could operate along the corridor without grade separations. Mr. Petty responded that electrification could operate and there would be issues with high speed rail; but ideally, the corridor should be fully separated for maximum operation.

Director Gee discussed several tension points that need to be considered through the planning process: using unconstrained thinking when it comes to planning the corridor and perhaps looking at what it would take to go to four tracks (versus planning for two future tracks only); keeping in mind that there will be issues, concerns and view in each of the 20 cities along the right of way in San Mateo County; thinking about whether a different partnership model for the agency should be reviewed; and acknowledging that all of these questions are hard questions to ask.

Director Stone thanked staff for an excellent presentation. He cautioned that, as the plan moves forward, we need to be wary of several things: pent up demand created by the system itself; how land use decisions effect the towns along the corridor; a need to embrace the awkward and painful discussions in the visioning process; a need to better define the system's financial challenges, such as lack of a dedicated revenue source; and how to envision what the future looks like without a dedicated funding source, and the resulting struggle between partners' contributions and/or service cuts.

Director Zmuda thanked the staff for such a huge undertaking. She inquired about the potential solutions to accomplish 42 grade separations; if the Business Plan budget was adequate; and if the plan analyzes the contracting out of service versus hiring employees to run the service. Mr. Petty responded that while funding would be an issue for grade separations, analysis needs to be performed on how to construct separations while still running a railroad. He stated that the Business Plan budget is adequate to finish the plan, and that the plan would review whether it is feasible to continue contracting out for employees from the private sector versus employing personnel directly as Caltrain employees.

Director Gillett stated she was delighted to serve on the ad hoc committee. She reiterated and echoed Director Gee’s comments. She stated that the critical path in order to achieve electrification is resourcing the critically necessary technical people needed for that implementation of the new system; the needs should be defined and addressed.

Chair Bruins thanked Mr. Petty for his incredible work. She stated she supported some of the comments to broaden the thinking and encourage political will.

After further board member discussion and commentary, Chair Bruins called for public comment.

PUBLIC COMMENT
Nadia Naik, Californians Advocating Responsible Rail Design. She requested that the Local Policymaker Group be video streamed, and discussed train service scheduling and how to engage underserved cities along the corridor.

Jeff Carter, Millbrae, discussed a four track option, grade separations, constrained capacity and longer train consists.

Emily Beach, Burlingame, discussed the great attendance at the Local Policymaker Group, and stated the cities are depending on robust Caltrain service along the corridor as housing decisions are made.

Eric Schotmeir, Friends of the (SF) Downtown Extension and original Caltrain planning manager, discussed the importance of visioning and the importance of having service to downtown San Francisco and connections to regional carriers.

Vaugh Wolffe, Pleasanton, provided several suggestions to incorporate in the plan.

Adina Levin, Friends of Caltrain, expressed support for the Business Plan.

Roland Lebrun, San Jose, provided suggestions to incorporate into the Business Plan.

Director Chavez concluded by thanking staff for the presentation. She requested that when the Business Plan is brought back to the Board for further discussion, she would like to have a better discussion of the partnerships with local agencies, on what sources revenue are available to Caltrain and on the financial health of the agency.

**ADJOURN**

The special meeting adjourned at 10:24 a.m.

An audio/video recording of this meeting is available online at [www.caltrain.com](http://www.caltrain.com). Questions may be referred to the Board Secretary's office by phone at 650.508.6279 or by email to board@caltrain.com.
MINUTES OF OCTOBER 4, 2018

MEMBERS PRESENT: J. Bruins, Chair; C. Brinkman, C. Chavez, J. Gee, G. Gillett, C. Stone, M. Zmuda

MEMBERS ABSENT: D. Davis, D. Pine


CALL TO ORDER / PLEDGE OF ALLEGIANCE
Chair Bruins called the meeting to order at 10:25 a.m. and led the Pledge of Allegiance.

ROLL CALL
Acting District Secretary Gumpal called the roll. A quorum was present.

PUBLIC COMMENT
Vaughn Wolfe, Pleasanton, discussed the height of transit-oriented development and capacity of accompanying transit systems.

Shirley Johnson, San Francisco, discussed the 2018 passenger counts and the increased bikes-on-board statistics.

Roland Lebrun, San Jose, discussed the last closed session held and believed other topics may have been discussed. Through the Chair, Director Stone commented that the Board only discussed posted closed session items, according to the law.

CONSENT CALENDAR
a. Approve Special Meeting Minutes of September 6, 2018
b. Approve Minutes of September 6, 2018
c. Approve Accept Statements of Revenues & Expenditures for August and June 2018
d. Receive Key Caltrain Performance Statistics – August 2018
e. Receive State and Federal Legislative Update
f. Receive Caltrain Business Plan Monthly Update – September 2018
g. Authorize Receipt of Funding and Amendment of the Fiscal Year 2019 Budget for Positive Train Control Project (Resolution 2018-41)
i. Reject Proposals for MP36PH-3C Locomotives Mid-Life Overhaul Services
Public Comment
Roland Lebrun, San Jose, commented on Consent Calendar items b. Minutes of September 6, 2018 and g. Authorize Receipt of Funding and Amendment of the Fiscal Year 2019 Budget for Positive Train Control Project.

Motion/Second: Gee/Brinkman approved Consent Calendar items a - i.
Ayes: Brinkman, Chavez, Gee, Gillett, Stone, Zmuda, Bruins
Absent: Davis, Pine

REPORT OF THE CHAIR
None.

REPORT OF THE CITIZENS ADVISORY COMMITTEE
Brian Shaw, Chair of the Caltrain Citizens Advisory Committee, provided highlights of the meeting held recently and noted a vacancy on the Advisory Committee from San Mateo County.

Public Comment
Shirley Johnson, San Francisco, discussed bike theft and remedies to prevent theft.

REPORT OF THE EXECUTIVE DIRECTOR

Peninsula Corridor Electrification Project Monthly Report for August, 2018
John Funghi, CalMod Chief Officer, provided an update on the electrification project. He stated work is continuing on potholing in San Jose, tree trimming in Palo Alto and San Jose and traction power substation work also in San Jose. Mr. Funghi stated the tunnel modification work has started and bus bridge services are being offered during construction. He noted the arrival of two electric multiple unit cab shells in Salt Lake City.

MONTHLY REPORT ON POSITIVE TRAIN CONTROL
Michelle Bouchard, Chief Operating Officer, Rail, referred to her written report on the progress to date and noted that substitute criteria was submitted to the Federal Rail Administration to receive an extension for implementation.

Jim Hartnett, Executive Director, referred to his written report. He added that Caltrain has commissioned a panel of peer review experts from the American Public Transit Association to review Caltrain’s security and law enforcement services and make recommendations, if any.

Public Comment
Shirley Johnson, San Francisco, referred to the PCEP report and discussed the installation of seats in front of emergency exit windows on the bike cars to deter bicycle theft.

Andy Chow, Redwood City, commented on the missed connection of VTA buses to the Mountain View Caltrain station following a large concert.
CALTRAI N FARE POLICY UPDATE
Chair Bruins announced that the agenda item would be discussed in a workshop-type of setting, where staff would present key concepts and ideas and Board members would provide commentary in order for staff to begin the drafting of a policy. She stated it was intended that a policy would be adopted by the Board in November or December.

Michelle Bouchard, Chief Operating Officer, Rail, introduced Melissa Jones, Principal Planner and project manager of the study.

Ms. Jones presented four main topic areas as the backbone for discussion: Financial Sustainability, Customer Experience, Equity and Ridership. Board members provided extensive commentary on each topic area. At the end of the workshop session, Ms. Jones concluded by thanking the Board for its feedback and promised to return in November with a draft policy for possible adoption by the Board.

At that time, Chair Bruins called for public comment.

Public Comment
Jeff Carter, Millbrae, stated he submitted written comments, adding that the policy should maximize ridership, generate revenue and incentivize people to use the train. He also discussed bikes on trains.

Roland Lebrun, San Jose, discussed farebox recovery in other countries. He recommended termination of the Go Pass, elimination of the managing agency’s overhead and contracting out services to manage Caltrain.

Adina Levin, Friends of Caltrain, discussed equity, ridership and means-based fares.

Andy Chow, Redwood City, discussed provisions related to use of the Go Pass.

TRANSIT AND INTERCITY PASSENGER RAIL PROGRAM (TIRCP) UPDATE
Michelle Bouchard, Chief Operating Officer, Rail, stated a grant in the amount of $164,522,000 was awarded by the State of California to Caltrain, with a local matching fund requirement of $39,116,000. She noted that she is working to secure the local matching funds from a variety of available sources.

Ms. Bouchard stated staff will be proceeding with a scope of work that maximizes the grant and will purchase 37 additional Electric Multiple Units (EMUs), implement on-board broadband communications (wi-fi), implement wayside bike access improvements and support planning of these and future TIRCP-funded improvements.

Ms. Bouchard noted that the funding is predicated upon California Transit Commission approval and funds from Senate Bill 1. She stated she would return to the Board in November with an update on plans for awarding a contract for the work.
Public Comment
Roland Lebrun, San Jose, discussed the proposed car replacement and the contract with Stadler.

Jeff Carter, Millbrae, expressed appreciation for the additional train cars.

Adina Levin, Friends of Caltrain, stated she hoped for eight-car consists rather than seven. She cited the City of Mountain View’s proposed tax on the November ballot and expressed opposition to Proposition 6.

Director Gillett commented that she hoped that the bike parking component could be flexible enough to accommodate bike-share parking, if necessary.

CORRESPONDENCE
Correspondence was included in the Board’s reading files and posted on line.

At 12:20 p.m. Director Gee was excused from the remainder of the meeting.

BOARD MEMBER REQUESTS
Director Gillett requested an update on Clipper from a representative of the Metropolitan Transportation Commission and wished Susan Gygi, Staff Coordinating Council representative, good luck in her new endeavors.

GENERAL COUNSEL REPORT
Legal Counsel Cassman announced the Board would take the two agenda listed items in reverse order so that the Board could meet in closed session first to maintain a quorum; after that, the Board would take up the first item in open session. The meeting recessed at 12:32 p.m. to a closed session, as outlined below.

b. Closed Session: Conference with Real Property Negotiators
   (Joan L. Cassman, General Counsel, Brian Fitzpatrick and Gary Cardona, JPB Real Estate Staff) pursuant to Government Code Section 54956.8:
   Property Locations and Parties:
   1. 4000 Campbell Avenue, Menlo Park, CA (APN: 055-253-120)
      (Owners: Julie Del Secco Forrest, Jonathon Del Secco and Clayton R. and Carol Del Secco, Trustees of the Del Secco Revocable Trust, dated December 16, 1987)
   2. 4020 Campbell Avenue, Menlo Park, CA (APN: 055-253-090)
      (Owner: Campbell Avenue Portfolio, LLC)
      Under negotiation: Price and terms of contracts

At 12:38 p.m. Director Stone was excused from the remainder of the meeting.
The meeting reconvened into open session at 12:40 p.m. and Ms. Cassman announced that no action was taken in closed session.
a. Discussion of Initial and Continuing Disclosure Obligations

Legal Counsel Cassman introduced bond counsel Kathleen Leak and Erin Pham from Orrick Herrington & Sutcliffe. Ms. Leak and Ms. Pham reviewed parameters surrounding the issuance of Peninsula Corridor Joint Powers Board farebox revenue bonds and the responsibilities related to government disclosures.

DATE/TIME OF NEXT REGULAR MEETING: Thursday, November 1, 2018 at 10:00 a.m. San Mateo County Transit District Administrative Building, 2nd Floor, 1250 San Carlos Avenue, San Carlos, CA.

ADJOURN
The meeting adjourned at approximately 12:53 p.m.
TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Cindy Mamaradlo-Gumpal
Acting Executive Officer,
District Secretary/Executive Administration

SUBJECT: 2019 BOARD OF DIRECTORS MEETING CALENDAR

ACTION
Staff Coordinating Council recommends the Board approve the attached meeting
calendar for 2019.

SIGNIFICANCE
The Board of Directors’ regular monthly meetings are scheduled for the first Thursday of
each month at 10:00 am. The Board may want to consider moving the January
meeting from the 3rd to the 10th to avoid conflict with the New Year’s Day holiday, and
the July meeting to the 11th since the first Thursday is the Fourth of July holiday.

BUDGET IMPACT
There is no impact on the budget.
# Peninsula Corridor Joint Powers Board Meeting Calendar 2019

<table>
<thead>
<tr>
<th>Month</th>
<th>Date</th>
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</thead>
<tbody>
<tr>
<td>January</td>
<td>10*</td>
</tr>
<tr>
<td>February</td>
<td>7</td>
</tr>
<tr>
<td>March</td>
<td>7</td>
</tr>
<tr>
<td>April</td>
<td>4</td>
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<tr>
<td>May</td>
<td>2</td>
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<tr>
<td>June</td>
<td>6</td>
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<tr>
<td>July</td>
<td>11*</td>
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<tr>
<td>August</td>
<td>1</td>
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<tr>
<td>September</td>
<td>5</td>
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<tr>
<td>October</td>
<td>3</td>
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<tr>
<td>November</td>
<td>7</td>
</tr>
<tr>
<td>December</td>
<td>5</td>
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*Second Thursday

The Board meets the first Thursday of the month unless otherwise noted.

All meetings are held at 1250 San Carlos Ave., Second Floor, San Carlos, CA 94070.
TO:    Joint Powers Board

THROUGH:  Jim Hartnett
           Executive Director

FROM:  Derek Hansel
       Chief Financial Officer

SUBJECT:  STATEMENT OF REVENUES AND EXPENSES FOR THE PERIOD ENDING SEPTEMBER 30, 2018

ACTION
Staff proposes that the Board of Directors accept and enter into the record the Statement of Revenues and Expenses for the month of September, 2018.

This staff report provides a brief discussion of significant items and trends on the attached Statement of Revenues and Expenses through September 30, 2018. The statement has been designed to follow the Agency wide line item rollup as included in the adopted budget. The columns have been designed to provide easy comparison of year to date prior to current actuals for the current fiscal year including dollar and percentage variances. In addition, the current forecast of Revenues and Expenses is compared to the Adopted Budget for Fiscal Year 2019.

SIGNIFICANCE

Annual Forecast: The annual forecast is currently the same as budget and will be updated twice a year and presented at the February and April board meetings.

Year to Date Revenues: As of September year-to-date actual, the Total revenue (page 1, line 17) is $3.8 million higher than the prior year. This is primarily driven by higher Farebox Revenue (page 1, line 1), Operating Grants (page 1, line11) and JPB Member Agencies contributions (page 1, line 12).

Year to Date Expenses: As of September year-to-date actual, the Total Expense (page 1, line 48) is $2.0 million higher than the prior year-to-date actual. This is primarily due to Fuel and Lubricants (page 1, line 27), Managing Agency Admin OH Cost (page 1, line 38), Professional Services (page 1, line 40) and Wages & Benefits (page 1, line 37) due to inclusion of unfunded CalPERS and Other Post-Employment Benefits (OPEB) liability (this expense will not recur throughout the year).
**BUDGET IMPACT**
There are no budget amendments for the month of September, 2018.

**STRATEGIC INITIATIVE**
This item does not achieve a strategic initiative.

Prepared By: Maria Pascual, Accountant 650-508-6288
Jennifer Ye, Manager, General Ledger 650-622-7890
# Statement of Revenue and Expense

**PENINSULA CORRIDOR JOINT POWERS BOARD**  
**STATEMENT OF REVENUE AND EXPENSE**  
**Fiscal Year 2019**  
**September 2018**

## Revenue

### OPERATIONS:

<table>
<thead>
<tr>
<th>Description</th>
<th>Prior Year</th>
<th>Current Year</th>
<th>$ Variance</th>
<th>% Variance</th>
<th>Approved Budget</th>
<th>Forecast</th>
<th>% Variance</th>
<th>Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td>Farebox Revenue</td>
<td>24,473,109</td>
<td>26,683,182</td>
<td>2,210,073</td>
<td>9.0%</td>
<td>107,795,329</td>
<td>107,795,329</td>
<td>0.0%</td>
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</tr>
<tr>
<td>Parking Revenue</td>
<td>1,398,254</td>
<td>1,346,215</td>
<td>-52,978</td>
<td>-3.6%</td>
<td>5,845,900</td>
<td>5,845,900</td>
<td>0.0%</td>
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<tr>
<td>Shuttles</td>
<td>569,403</td>
<td>521,416</td>
<td>-48,997</td>
<td>-8.9%</td>
<td>2,683,400</td>
<td>2,683,400</td>
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</tr>
<tr>
<td>Rental Income</td>
<td>478,932</td>
<td>463,024</td>
<td>-15,877</td>
<td>-3.3%</td>
<td>1,873,000</td>
<td>1,873,000</td>
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</tr>
<tr>
<td>Other Income</td>
<td>296,762</td>
<td>377,318</td>
<td>80,556</td>
<td>27.1%</td>
<td>1,192,000</td>
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### Contributions:

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<tr>
<th>Description</th>
<th>Amount</th>
<th>% of Year Elapsed</th>
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<tbody>
<tr>
<td>AB434 Peninsula &amp; TA Shuttle Funding</td>
<td>426,556</td>
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<td>Operating Grants</td>
<td>1,066,412</td>
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<td>JPJ Member Agencies</td>
<td>9,693,119</td>
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<tr>
<td>Use of Reserves</td>
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### TOTAL OPERATING REVENUE

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<tr>
<th>Description</th>
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<th>% of Year Elapsed</th>
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<tbody>
<tr>
<td>TOTAL OPERATING REVENUE</td>
<td>27,216,460</td>
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### Grand Total Revenue

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<tr>
<th>Description</th>
<th>Amount</th>
<th>% of Year Elapsed</th>
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<tbody>
<tr>
<td>TOTAL CONTRIBUTED REVENUE</td>
<td>42,169,053</td>
<td>3.2%</td>
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## Expense

### Operating Expense:

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<tr>
<th>Description</th>
<th>Amount</th>
<th>% of Year Elapsed</th>
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<tbody>
<tr>
<td>Rail Operator Service</td>
<td>19,475,283</td>
<td>5.6%</td>
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<tr>
<td>Positive Control Train</td>
<td>-</td>
<td>0.0%</td>
</tr>
<tr>
<td>Security Services</td>
<td>1,380,971</td>
<td>0.5%</td>
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<tr>
<td>Shuttles Services</td>
<td>1,229,440</td>
<td>0.4%</td>
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<tr>
<td>Fuel and Lubricants</td>
<td>2,244,420</td>
<td>0.7%</td>
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<tr>
<td>Timetables and Tickets</td>
<td>5,709</td>
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<tr>
<td>Insurance</td>
<td>1,519,314</td>
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<td>Utilities</td>
<td>485,134</td>
<td>0.1%</td>
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<tr>
<td>Maint &amp; Services-Bldg &amp; Other</td>
<td>319,010</td>
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### TOTAL OPERATING EXPENSE

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
<th>% of Year Elapsed</th>
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<tbody>
<tr>
<td>TOTAL OPERATING EXPENSE</td>
<td>27,112,503</td>
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### Administrative Expense

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
<th>% of Year Elapsed</th>
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<tbody>
<tr>
<td>Wages and Benefits</td>
<td>2,857,937</td>
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<tr>
<td>Managing Agency Admin OH Cost</td>
<td>1,479,808</td>
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<td>Board of Directors</td>
<td>3,511</td>
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<tr>
<td>Professional Services</td>
<td>709,873</td>
<td>0.2%</td>
</tr>
<tr>
<td>Communications and Marketing</td>
<td>15,819</td>
<td>0.0%</td>
</tr>
<tr>
<td>Office Expenses and Services</td>
<td>514,061</td>
<td>0.1%</td>
</tr>
</tbody>
</table>

### TOTAL ADMINISTRATIVE EXPENSE

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
<th>% of Year Elapsed</th>
</tr>
</thead>
<tbody>
<tr>
<td>TOTAL ADMINISTRATIVE EXPENSE</td>
<td>5,581,009</td>
<td>0.5%</td>
</tr>
</tbody>
</table>

### Long Term Debt Expense

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
<th>% of Year Elapsed</th>
</tr>
</thead>
<tbody>
<tr>
<td>Long Term Debt Expense</td>
<td>326,960</td>
<td>0.0%</td>
</tr>
</tbody>
</table>

### Grand Total Expense

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
<th>% of Year Elapsed</th>
</tr>
</thead>
<tbody>
<tr>
<td>TOTAL GRAND EXPENSE</td>
<td>33,020,473</td>
<td>3.0%</td>
</tr>
</tbody>
</table>

### NET Surplus / (Deficit)

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
<th>% of Year Elapsed</th>
</tr>
</thead>
<tbody>
<tr>
<td>NET SURPLUS</td>
<td>5,382,074</td>
<td>0.4%</td>
</tr>
</tbody>
</table>

10/23/18 11:13 AM
# PENINSULA CORRIDOR JOINT POWERS BOARD

## INVESTMENT PORTFOLIO

### AS OF SEPTEMBER 30, 2018

<table>
<thead>
<tr>
<th>TYPE OF SECURITY</th>
<th>MATURITY DATE</th>
<th>INTEREST RATE</th>
<th>PURCHASE PRICE</th>
<th>MARKET RATE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Local Agency Investment Fund (Unrestricted)</td>
<td>* Liquid Cash</td>
<td>2.063%</td>
<td>10,604,215</td>
<td>10,604,215</td>
</tr>
<tr>
<td>County Pool (Restricted)</td>
<td>** Liquid Cash</td>
<td>1.925%</td>
<td>1,000,000</td>
<td>1,000,000</td>
</tr>
<tr>
<td>County Pool (Unrestricted)</td>
<td>** Liquid Cash</td>
<td>1.925%</td>
<td>997,378</td>
<td>997,378</td>
</tr>
<tr>
<td>Other (Unrestricted)</td>
<td>Liquid Cash</td>
<td>0.000%</td>
<td>45,220,826</td>
<td>45,220,826</td>
</tr>
<tr>
<td>Other (Restricted)</td>
<td>*** Liquid Cash</td>
<td>0.200%</td>
<td>18,878,929</td>
<td>18,878,929</td>
</tr>
</tbody>
</table>

**Total Portfolio:** $76,701,349

#### Accrued Earnings for September 2018
$37,238.17

#### Cumulative Earnings FY2019
$74,952.24

---

* 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.

** As of September 2018, the total cost of the Total County County was $4,305,063,795.78 and the fair market value per San Mateo County Treasurer’s Office was $4,288,060,080.98.

*** 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.
AGENDA ITEM #4 (e)
NOVEMBER 1, 2018

PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT

TO: Joint Powers Board

THROUGH: Jim Hartnett
    Executive Director

FROM: Michelle Bouchard
    Chief Operating Officer, Rail

SUBJECT: KEY CALTRAIN PERFORMANCE STATISTICS - SEPTEMBER 2018

ACTION
Staff Coordinating Council recommends that the Board receive the Performance Report for September 2018.

SIGNIFICANCE
Staff will provide monthly updates to Key Caltrain Performance Statistics, Caltrain Shuttle Ridership, Caltrain Promotions, Special Event Updates and Social Media Analytics.

BUDGET IMPACT
There is no budget impact.

MONTHLY UPDATE
In September 2018, Caltrain's average weekday ridership (AWR) increased 4.9 percent to 64,405 from September 2017 AWR of 61,372. The total number of passengers who rode Caltrain in September 2018 increased 1.6 percent to 1,570,308 from 1,545,269 in September 2017. This month ticket sales for One Way tickets (up 34 percent), ED One Way tickets (up 21.4 percent) and Day Passes (up 2.8 percent) increased from September 2017. Ticket sales for ED Day Passes (down 17.1 percent), Monthly Passes (down 6.7 percent) and ED Monthly Passes (down 6.4 percent) decreased from September 2017. The shift in fare product usage is due to elimination of the 8-ride ticket and recent Monthly Pass fare increase effective July 2018. The implementation of Caltrain Mobile Ticketing (which includes One Way, ED One Way, Day Pass, ED Day Pass, Zone Upgrades and Joint Caltrain + VTA Day Pass purchases) accounted for approximately 2.9 percent (45,959 rides) of September 2018 rides and 3.9 percent ($337,059) of September 2018 Monthly Ticket Sales Revenue. The number of Eligible Go Pass Employees decreased 1.9 percent to 80,718 from 82,266 from September 2017. The number of participating Go Pass Companies increased to 131 from 124 from September 2017. Farebox Revenue increased 9.9 percent to $8,659,046 from $7,878,103 in September 2017.
On-time performance (OTP) for September 2018 was 92.6 percent compared to 94.7 percent OTP for September 2017. In September 2018 there were more minutes of delay due to a trespasser strike resulting in a fatality, JPB’s aggressive capital construction program (single tracking in multiple work segments for various projects while coordinating PTC testing in parallel), mechanical issues (triggered by the overhaul of locomotives impacting the State of Good Repair Program) and delays from on-board passengers. In September 2018 there were 1514 minutes of delay due to mechanical issues compared to 415 minutes in September 2017.

Looking at customer service statistics, there were 10.2 complaints per 100,000 passengers in September 2018 which increased from 8.2 in September 2017.

Shuttle ridership for September 2018 is down 5 percent from September 2017. For the station shuttles, the Millbrae-Broadway shuttle averaged 172 daily riders. The weekend Tamien-San Jose shuttle averaged 24 daily riders. When the Marguerite shuttle was removed, the impact to ridership was a decrease of 18.3 percent. Due to ongoing service issues with the Shuttle Partner contractor due to a staffing shortage. Shuttle routes continued to have DNOs (Did Not Operate trips). Staff management is continuing to work on resolving the issue with the Shuttle contractor. As a result, the Belmont-Hillsdale shuttle and Menlo Park Midday Shuttle remain temporarily discontinued as of Tuesday, September 4, 2018. During the shuttle suspension, riders can use the SamTrans ECR or ECR Rapid, which provides service along El Camino Real and serves Hillsdale and Belmont Caltrain stations.

Caltrain Promotions - September 2018

49ers At Levi’s® Stadium - The 49ers regular season kicked off September 16 taking fans heading to Levi’s® Stadium for football action. Caltrain will be running one pre-game Baby Bullet train to all Sunday home games and one post-game train departing the Mountain View station approximately 75 minutes, or when full. This years’ service will be impacted by the San Francisco tunnel weekend closures but still anticipating larger than normal ridership. The 49ers will be posting Bus Bridge information and post-game service on website, news release, social media and digital billboards in stadium. Last year Caltrain saw a decline in ridership of 30 percent as the team struggled the entire season and game attendance was at an all-time low. This year, marketing efforts will flight from September through December. To help promote the service, strategies include geo-targeted with retargeted sponsored Facebook click ads will run two weeks leading up to each home game, geo-targeted display ads running and cross device on premium news sports sites, geo-fence Levi’s Stadium at all home games, and keyword search campaign. Internal communications include news release/blogs, organic social media, and posting on Special Events web page and station visual messages/conductor announcements.

Stanford Football - Stanford Football is back! Stanford hosted two home games in September. Selected weekend local trains served Stanford Stadium Station on game days. The service was promoted through sponsored SFGate.com programmatic geo-targeted display ad with geo-fence around Stanford University and e-mail blast targeting Stanford College Football fans in San Francisco, San Mateo and Santa Clara
counties. Additional sponsored ads with retargeted Facebook ads running two weeks leading up to each home game. Internal communication included organic social media, Caltrain’s Special Events website and news releases/blog. As part of Caltrain’s partnership, Stanford will e-mail blast season ticket holders before each home game and game day social media posts. Stanford also posted take-ones and interior ad cards onboard the train.

**Caltrain Rail Safety Month** - For Rail Safety Month in September, Caltrain conducted two targeted outreaches at Facebook Festivals on September 8, and in Redwood City on September 25 as part of national effort called Operation Save Track. At the Facebook Festivals, approximately 1,200 people visited the Caltrain Rail Safety Booth, where attendees received rail safety education brochures and had the opportunity to spin the prize wheel for a chance to win Caltrain swag. During Operation Safe Track, the Transit Police educated and enforced safety at three crossings in Redwood City, including Whipple, Brewster and Broadway during the morning commute hours. Deputies issued 15 citations for rail related driving offenses and gave verbal warnings, which included the Caltrain safety brochure to 40 citizens. Organic communications included new release/blog and social media posts.

**Partnership** - Marketing staff works with event organizers to promote train ridership to fun events throughout the Peninsula. These in-kind trade promotions include collateral material, social media and website promotions. In September, Caltrain partnered with Mountain View Art and Wine Festival. The event was promoted as partner on the go.caltrain website event page, organic social media, news releases, go.caltrain take-one and interior ad cards.

**Caltrain September 2018 Social Media Analytics** - In September, Caltrain promoted service to Giants, 49ers, Sharks and Stanford. Caltrain also promoted service to Beyoncé and Jay-Z at Levi’s plus a few contests. Caltrain also kept the public aware of CAC volunteer openings and construction work at San Carlos, Lawrence, Sunnyvale and Hillsdale stations. The Weekend SF Tunnel Closure also dominated social communications.
**Caltrain Digital Metrics - SEPT 2018**

**New Followers**
+545  
Sept 18 - 174,603  
Aug 18 - 174,058  
Sept 17 - 163,970  

**Caltrain.com Pageviews**
Sept 18 - 851,460  
Aug 18 - 916,197  
Sept 17 - 825,409  

**Monthly Yelp & FB Rating**
(3 Sept reviews)

**Mobile App - Sept, 18**
13,804 - Downloads  
25,830 - Active Users  
1.9 (65 reviews) - Overall Rating

**Top Tagged Issues**
1. Delays  
2. SF Closure  
3. Bike Car  
4. Capacity  
4. Compliment

**Social Sentiment**
Social Mentions by Sentiment

Neutral 1590  
Positive 1012  
Negative 1293

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**Social Media Impression Spikes**
**September, 2018**

Your Tweets earned 2.2M impressions over this 30 day period

---

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

Prepared by:  
James Namba, Marketing Specialist  650.508.7924  
Jeremy Lipps, Social Media Officer  650.622.7845  
Patrice Givens, Data Specialist  650.508.6347
Table A

<table>
<thead>
<tr>
<th>September 2018</th>
<th>FY2018</th>
<th>FY2019</th>
<th>% Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Ridership</td>
<td>1,545,269</td>
<td>1,570,308</td>
<td>1.6%</td>
</tr>
<tr>
<td>Average Weekday Ridership</td>
<td>61,372</td>
<td>64,405</td>
<td>4.9%</td>
</tr>
<tr>
<td>Total Farebox Revenue</td>
<td>$7,878,103</td>
<td>$8,659,046</td>
<td>9.9%</td>
</tr>
<tr>
<td>On-time Performance</td>
<td>94.7%</td>
<td>92.6%</td>
<td>-2.2%</td>
</tr>
<tr>
<td>Average Caltrain Shuttle Ridership</td>
<td>8,764</td>
<td>8,329</td>
<td>-5.0%</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Year-to-Date</th>
<th>FY2018</th>
<th>FY2019</th>
<th>% Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Ridership</td>
<td>4,845,297</td>
<td>4,955,705</td>
<td>2.3%</td>
</tr>
<tr>
<td>Average Weekday Ridership</td>
<td>62,116</td>
<td>64,060</td>
<td>3.1%</td>
</tr>
<tr>
<td>Total Farebox Revenue</td>
<td>$24,473,109</td>
<td>$26,683,182</td>
<td>9.0%</td>
</tr>
<tr>
<td>On-time Performance</td>
<td>95.4%</td>
<td>93.9%</td>
<td>-1.6%</td>
</tr>
<tr>
<td>Average Caltrain Shuttle Ridership</td>
<td>9,000</td>
<td>8,265</td>
<td>-8.2%</td>
</tr>
</tbody>
</table>

Graph A

Caltrain Average Weekday Ridership

- Total Ridership: 1,545,269 to 1,570,308 (1.6% increase)
- Average Weekday Ridership: 61,372 to 64,405 (4.9% increase)
- Total Farebox Revenue: $7,878,103 to $8,659,046 (9.9% increase)
- On-time Performance: 94.7% to 92.6% (2.2% decrease)
- Average Caltrain Shuttle Ridership: 8,764 to 8,329 (5.0% decrease)

- Total Ridership: 4,845,297 to 4,955,705 (2.3% increase)
- Average Weekday Ridership: 62,116 to 64,060 (3.1% increase)
- Total Farebox Revenue: $24,473,109 to $26,683,182 (9.0% increase)
- On-time Performance: 95.4% to 93.9% (1.6% decrease)
- Average Caltrain Shuttle Ridership: 9,000 to 8,265 (8.2% decrease)
Graph B

Caltrain Mobile Ticketing - Monthly Sales by Ticket Type

Zone Upgrade: 145 247 610 724 815 852 1,004 898
Day Pass: 1,003 2,681 5,108 7,027 8,727 9,307 9,228 9,490
One-Way: 2,136 6,194 10,034 14,734 20,668 25,222 28,681 26,979

Graph C

MONTHLY MECHANICAL DELAYS

Delay Minutes per Month

Delay Minutes per Month

Month: Sep-16 Nov-16 Jan-17 Mar-17 May-17 Jul-17 Sep-17 Nov-17 Jan-18 Mar-18 May-18 Jul-18 Sep-18
PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Seamus Murphy
Chief Communications Officer

SUBJECT: STATE AND FEDERAL LEGISLATIVE UPDATE

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

SIGNIFICANCE
The 2018 Legislative Program establishes the principles that will guide the legislative and regulatory advocacy efforts. Based on those principles, staff coordinates closely with our Federal and State advocates on a wide variety of issues that are considered in Congress and the State legislature. The attached reports highlight the recent issues and actions that are relevant to the Board.

Prepared By: Casey Fromson, Government and Community Affairs Director  650-508-6493
Congress

President Signs Two Appropriations Minibus Packages, Avoiding Shutdown: Ahead of the 2018 mid-term elections on November 6, President Trump has signed into law two FY 2019 appropriations packages finalizing five of the 12 appropriations bills (75 percent of the federal government appropriations). The second spending package included a continuing resolution (CR) that extended FY 2018 funding for the unfinished appropriations bills—including the Transportation-Housing and Urban Development (THUD) bill—through December 7, averting a government shutdown before the end of FY 2018 on September 30.

Though the Senate is expected to remain in session for most of October, House Republicans announced on September 28 that they were recessing with two weeks left on their October schedule to provide candidates with more time to campaign before the midterm elections on November 6. Therefore, the THUD bill will not be considered until after the 2018 mid-term elections. Lawmakers will return to Washington on November 13. The House and Senate Appropriations Committees have been conferencing on the THUD bill and are considering about $71.1 billion for the THUD conference report (the House bill included $71.8 billion and the Senate bill included $71.147 billion).

On September 21, the President signed the first minibus spending package for FY 2019 appropriations, including spending for Military Construction-Veterans Affairs (VA), Energy-Water, and Legislative Branch bills. The $147 billion package had been approved in the House and Senate in August. On September 28, the President approved the second minibus package, H.R. 6157, which includes the $674.4 billion Department of Defense Appropriations bill and the $178.1 billion Labor-Health and Human Services (HHS)-Education Appropriations bill. The Senate passed the measure in a 93-7 vote earlier in September, and the House passed it in a 361-16 vote on September 26.

FAA Reauthorization Signed Into Law: On October 5, the President signed into law a bill (H.R. 302) that included a five-year reauthorization through FY 2023 of the Federal Aviation Administration (FAA). The Senate passed the conference report on October 3 by a vote of 93 to 6, and the House passed the legislation on September 26 by a vote of 398 to 21.

The measure would expand the eligible uses of federal grants at airports, create new protections for passengers on commercial airlines, expand oversight of the NextGen technology upgrade program, streamline aircraft certification procedures, and further regulate drone use. The bill would not extend beyond FY 2018 a requirement that money in the Airport and Airway Trust Fund equal 90 percent of estimated receipts and interest for that fiscal year and unspent funds...
from the preceding year. It would repeal a requirement that provides additional funding for airport planning and development in fiscal years when amounts authorized for facilities and equipment exceed the level provided. It would extend current tax rates on aviation fuel, tickets, and air freight that support the Airport and Airway Trust Fund through September 30, 2023. Additionally, the bill does not make any changes to the PFC. Other provisions in the measure:

- Provide additional funds for disaster relief and federal disaster programs;
- Reauthorize the National Transportation Safety Board (NTSB) and the Transportation Security Administration (TSA);
- Authorize $1.02 billion for grants in FY 2019 for a new discretionary grant program for airports;
- Allow the Department of Transportation (DOT), until the end of FY 2023, to decide whether certain drones could fly over people, beyond their operator’s line of sight, or at night without a waiver or certificate, as is currently required for those activities;
- DOT would have to enter into agreements with agencies to provide expedited reviews and a one-time approval of federal drone operations;
- Expand the definition of public aircraft to include drones operated by Native American tribes;
- Give the Departments of Homeland Security (DHS) and Justice (DOJ) limited authority to intercept dangerous drones. The FAA would have to review those agencies’ use of counter drone systems; and
- Omit provisions relating to changing pilot training hours and preempts state meal and rest requirements for truckers.

2019 Transportation Agenda: The two members of Congress who are running for chairman of the House Transportation Committee, Reps. Jeff Denham (R-CA) and Sam Graves (R-MO), both predicted that infrastructure will be a majority priority in 2019, for both Congress and the Administration. Specifically, the members noted that a fix for the Highway Trust Fund (HTF) would be a committee priority. They noted that there are several ideas on the table, including a battery tax, a tire tax, and increasing the fuel tax to a vehicle-miles-traveled system. Department of Transportation Undersecretary for Policy Derek Kan has also indicated that there will be in-depth discussion on a major infrastructure bill in early 2019, and he expects to see legislation in the next two years.

ADMINISTRATION

NHTSA Reports Decrease in Traffic Deaths: The National Highway Traffic Safety Administration (NHTSA) reported a 1.8 percent decrease in traffic deaths over the prior year. Traffic crashes killed 37,133 people in the United States last year, according to new data from NHTSA's Fatality Analysis Reporting System. The agency simultaneously released a statistical projection of traffic fatalities for the first half of 2018, which also indicated a significant decline. NHTSA estimates that 17,120 people died on the roadways in the first half of 2018, a decrease of about 3.1 percent from the first half of 2017. The National Safety Council, which uses slightly different metrics to count roadway deaths, has estimated that 40,100 people lost their lives on U.S. roads in 2017. NHTSA Administrator Heidi King warned that this reduction in fatalities
does not constitute a trend. However, the report does note that the number of large truck fatalities was the largest it has been since 1989.

**DOT Set to Issue Repeal of Brake Requirements**: The Department of Transportation (DOT) issued a final rule repealing Obama Administration safety regulations for rail cars carrying oil. The rule would eliminate a 2015 requirement established in the FAST Act that crude oil rail cars be equipped with electric pneumatic brakes by the middle of the next decade. The repeal follows a study from the Government Accountability Office (GAO) that found complying with the electronically controlled pneumatic brake rule would cost more than its benefits. Removing the provision would save between $280 million and $372 million over 20 years, according to the study. The repeal will go into effect 90 days after its publication in the Federal Register, which was on September 25.

**DOT Releases AV 3.0 Guidance**: Department of Transportation (DOT) Secretary Elaine Chao introduced the third iteration of the agency’s voluntary guidelines for autonomous vehicles (AV), called AV 3.0, on October 4. The guidance builds upon the previous versions released by the agency and incorporates broad stakeholder input, such as that of regional transportation agencies, industry leaders, safety advocates, and public sector representatives. AV 3.0 provides updated voluntary guidance and policy considerations for a range of industry sectors, including: manufacturers and technology developers, infrastructure owners and operators, commercial motor carriers, bus transit, and State and local governments. It seeks to support safe development of AV technology by updating DOT AV initiatives by:

- Stating that the Department will interpret and, consistent with all applicable notice and comment requirements, adapt the definitions of “driver” or “operator” as appropriate to recognize that such terms do not refer exclusively to a human, but may include an automated system.
- Identifying and supporting the development of automation-related voluntary standards developed through organizations and associations, which can be an effective non-regulatory means to advance the integration of automation technologies.
- Affirming that the Department is continuing its work to preserve the ability for transportation safety applications to function in the 5.9 GHz spectrum.

The guidance also announces several actions that DOT plans to take to ensure that automation will be safely integrated in vehicles, such as:

- The National Highway Traffic Safety Administration (NHTSA) will request public comment on a proposal to streamline and modernize the procedures it will follow when processing and deciding exemption petitions.
- The Federal Motor Carrier Safety Administration (FMCSA) will initiate an Advance Notice of Proposed Rulemaking to address automated vehicles, particularly to identify regulatory gaps, including in the areas of inspection, repair, and maintenance for Automated Driving Systems (ADS).
- The Federal Highway Administration (FHWA) plans to update the 2009 Manual on Uniform Traffic Control Devices (MUTCD), taking into consideration new connected and automated vehicle technologies.
The Federal Railroad Administration (FRA) is initiating research to develop and demonstrate a concept of operations, including system requirements, for the use of automated and connected vehicles to improve safety of highway-rail crossings.

The Maritime Administration (MARAD) and FMCSA are evaluating the regulatory and economic feasibility of using automated truck queueing as a technology solution to truck staging, access, and parking issues at ports.

The Pipelines and Hazardous Materials Administration (PHMSA) is researching the ability to enable the digital transmission of information to first responders before they arrive at an incident that involves hazardous materials.

The Federal Transit Administration (FTA) has published a five-year research plan on automating bus transit.

AV 3.0 was published in the Federal Register on October 9, which will begin a 60-day public comment period.

Grants

Bus and Bus Facilities Infrastructure Awards Announced: On September 25, the Federal Transit Administration (FTA) awarded $366.2 million in bus and bus facilities grants. A total of 107 projects in 50 states and territories will receive funding from FTA’s Buses and Bus Facilities Infrastructure Investment Program. The state of California received a total of $29,303,452 for 13 grants. 75 percent of the funding was given in grants of $4 million or more, and the average grant size for 2018 was $3.4 million after dropping to $2.0 million in 2017. FTA stated that it received applications for 339 eligible projects totaling approximately $2 billion in funding requests, from a total of 255 applicants in 51 states and territories.

AV Grants Will Be Announced Soon: During DOT’s AV 3.0 announcement, the agency said that NHTSA will soon issue a NOFO for $60 million in AV testing grants that were created in the FY 2018 Omnibus Appropriations bill. DOT has said that private companies are investing billions of dollars in testing autonomous vehicles and DOT believes its role is to support public and private investment and avoid artificially limiting HAV testing. Please find below the relevant language from the FY 2018 Omnibus joint explanatory statement highlighted in yellow governing the NOFO that will be released:

Highly automated vehicle research and development program.-The agreement provides $100,000,000, to remain available until expended, for a highly automated vehicle research and development program to fund planning, direct research, and demonstration grants for highly autonomous vehicle (HAV) technologies and advanced driver-assistance systems (ADAS). The agreement does not include directives included in House Report 115-237 under the paragraph entitled "Highly automated commercial vehicle research and development program" and instead replaces those directives with those contained herein.

Of the total amount provided, not less than $60,000,000 shall be used for grants and cooperative agreements to fund demonstration projects that test the feasibility and safety...
of HAV and ADAS deployments, as well as necessary administrative expenses. The Secretary is directed to solicit applications within 180 days of enactment of this Act and to make funding awards within one year of enactment of this Act. The Secretary is directed to include state, local, and tribal governments, transit agencies and authorities, metropolitan planning organizations, other subdivisions of state or local governments, or a multijurisdictional group thereof, including entities designated as automated vehicle proving grounds, as eligible applicants. The Secretary may also include academic institutions or research institutions as eligible, but shall not award funds to private companies. The Department is expected to include as eligible activities the following: technologies associated with autonomous vehicles and other collision avoidance technologies, including systems using cellular technology; advanced safety systems, including vehicle-to-vehicle and vehicle-to-infrastructure communications; advanced mobility and access technologies, such as dynamic ridesharing and information systems to support human services for elderly and disabled individuals; dynamic road network mapping; roadway marking and signage; community education and outreach; and transportation data collection and analysis. In reviewing applications and making funding awards, the Secretary is directed to award no more than $10,000,000 to a single grantee, no more than $15,000,000 to grantees within a single state, and not less than $20,000,000 to entities designated as automated vehicle proving grounds. The Secretary is directed to select projects that serve a variety of communities, including urban, suburban, and rural environments, and that serve a variety of transportation markets including freight, personal mobility, and mass transit. The Secretary is directed to prioritize projects that test applications with the greatest potential to serve transportation-challenged populations, including the elderly and individuals with disabilities. For all funded projects, the Secretary is expected to require grantees to gather and share relevant data with the Department, subject to appropriate protections for confidential business information, to aid DOT research efforts, and to inform future policies and standards.

FTA Announces New Grant Opportunities: This month, the Federal Transit Administration (FTA) announced several new grant opportunities:

- **Access and Mobility Partnership Grants; Human Services Coordination Research (HSCR):** The FTA has made available $2,434,767 in funding to support the implementation of innovative strategies in the coordination of human services transportation to provide more effective and efficient public transportation services to seniors, individuals with disabilities, and low-income individuals. Proposed research projects should address gaps identified in the locally developed Coordinated Public Transit-Human Services Transportation Plan. The funds will finance operating and capital project expenditures to develop and deploy projects that improve transportation services for targeted populations as noted above through methods that effectively and efficiently coordinate human services transportation. Eligible applicants for awards are state and local governmental entities, providers of public transportation, private or nonprofit organizations. Proposals may contain projects the recipient or its subrecipients will implement. Eligible subrecipients include public agencies, private nonprofit organizations and private providers engaged in public transportation. All applications are due November 13, 2018.
- **Access and Mobility Partnership Grants: Innovative Coordinated Access and Mobility (ICAM) Pilot Program**: The FTA has made available $3,903,715 for the ICAM Pilot Program. Funds will be awarded competitively to finance innovative capital projects for the transportation disadvantaged that will improve the coordination of transportation services and nonemergency medical transportation services. **All applications are due by November 13, 2018.**

- **Expedited Project Delivery Pilot Program**: The Expedited Project Delivery Pilot Program is aimed at expediting delivery of new fixed guideway capital projects, small starts projects or core capacity improvement projects that utilize public-private partnerships, are planned to be operated and maintained by employees of an existing public transportation provider, and have a federal share not exceeding 25 percent of the project cost. **Expressions of interest to become one of the participants in this Pilot Program must be submitted to FTA by November 13, 2018.**
Peninsula Corridor Joint Powers Board Members
November General Election Preview
by Don Gilbert, Mike Robson, Trent Smith, and Jason Ikerd
October 15, 2018

Overview
The November General Election will be held on November 6. Much media attention is being placed on the fact that it is a mid-Presidential term election and therefore serves as a barometer of how the national voting public feels about the President of the United States.

Many pundits believe that control of the House of Representatives, and possibly the U.S. Senate could shift from Republican to Democrat. For that to happen, however, there are many traditionally California Republican congressional seats that would need to become Democrat seats in this election. These hotly contested congressional races will have a ripple effect on the elections for Governor, statewide ballot measures, and the Legislature, which is the main focus of this report.

Going into the November election it is important to note a few basic voter registration facts in California. The key fact is that both major parties are declining in voter registration, with decline in Republican registration being more dramatic.

As of September 7, 2018:

- Democrats -- 43.8 percent
- Republicans -- 25.1 percent
- No Party Preference -- 25.5 percent

At this point, there are more people who choose neither major party than there are people who register as Republicans.

Governor
It is widely expected that the current Lt. Governor, Democrat Gavin Newsom, will prevail in the race for Governor against Republican John Cox. Newsom has raised significantly more money and has held a significant lead in every statewide poll to date. The only debate occurred as a radio debate and attracted little attention. Cox is running on fiscal responsibility and opposition to increased fees and taxes. He specifically supports Proposition 6 which would repeal the current gas tax increase passed by the Legislature in 2017. Newsom is running on populist California themes that include immigrant and women’s equality rights, education, restrictions on guns, economic development, and
criminal justice reform. It would be fair to say his campaign is an anti-Trump campaign which, if successful, could put him on the national stage as a Presidential candidate in 2020.

**U.S. Senate**
The U.S. Senate election is pertinent because it reflects the evolving demographics and philosophy of the Democratic Party in California. The incumbent is five-term Senator Dianne Feinstein who is being challenged by the former leader of the State Senate, Democrat Kevin De Leon. De Leon is running from the left of Feinstein, arguing that she does not represent the progressive values of California and makes a not-so-subtle pitch based on the age of Senator Feinstein. Interestingly, while De Leon is running as the more liberal candidate, he has closed a wide polling gap on Senator Feinstein due to Republicans indicating they will vote for anybody but Feinstein. Feinstein is still expected to prevail though it might be closer than originally expected.

**Insurance Commissioner**
Most political pundits agree that the only statewide race that might yield a change in party representation is the race for Insurance Commissioner. This race pits Democrat State Senator Ricardo Lara against former Republican Insurance Commissioner Steve Poizner who is no longer registered with the Republican party.

Mr. Poizner’s candidacy, along with the fact that no Republican made the runoff for U.S. Senate, underscores the lack of a viable statewide candidate bench in the California Republican party. It further shows the potential threat to the long-term viability of the party in California.

**Legislature**
As noted above, there are only a handful of competitive legislative seats. The suspense will be whether Democrats in the Senate regain the two-thirds supermajority and how much further the Democrats in the Assembly build on their existing supermajority. Specific interest is whether normally safe Republican seats and incumbents will be unseated based on the coattails of the millions of dollars being spent on overlapping congressional races.

**Competitive State Senate Races**
There is only one very competitive State Senate race, however as noted earlier, the money and interest in overlapping congressional races, might reveal some State Senate seats that become competitive closer to election day.
12th Senate District -- Central Valley/Monterey
This seat covers the Central Valley from Modesto to Madera and reaches over the hills to Monterey. It is a seat currently held by a termed-out Republican and pits sitting Democrat Assemblywoman, Anna Caballero against Madera County Supervisor, Rob Poythress. This seat, on paper, favors the Democrats who have a 21 point voter registration advantage. However, Republicans have successfully won this seat over the years. This is a race where the overlapping congressional seat, featuring Congressman Denham vs. challenger Josh Harder, will definitely factor into the outcome.

Competitive State Assembly Races
The Democrats in the Assembly are guaranteed to pick up one Republican seat -- the 76th Assembly District in North San Diego County. In that race, the Republicans diluted the vote among candidates in the primary to the point where no Republican advanced to the General Election. The two Democrats running are a traditional Democrat, Tasha Boerner-Horvath and a more progressive Democrat coincidentally named Elizabeth Warren.

40th Assembly District -- San Bernardino County. James Ramos (D) vs. Henry Nickel (R)
This is an open seat currently held by a Republican. Mr. Ramos is a current San Bernardino County Supervisor and has held other local elective offices and was Tribal Chairman of the San Manuel Band of Mission Indians. Mr. Nickel is a San Bernardino City Councilmember. This district has been slowly becoming more Democratic with Democrats now having a more than 10 point advantage.

38th District -- Santa Clarita/Antelope Valley. Assemblyman Dante Acosta (R) vs. Christy Smith (D)
Incumbent Republican Dante Acosta is facing Christy Smith for the second time having defeated Ms. Smith in a close race in 2016. This is another race where the overlapping congressional race between Representative Steve Knight and challenger Katie Hill will play a role in voter turnout. As it stands today, voter registration is nearly even and the final result may not be known for days after the election.

72nd District -- Orange County. Tyler Diep (R) vs. Josh Lowenthal (D)
This is a normally very safe Republican seat. However, this coastal seat has strong Democratic tendencies and Mr. Lowenthal has proved to be a very capable fundraiser candidate. In the overlapping congressional race, it is believed that Republican Congressman Rohrabacher will be defeated and that race will certainly spillover into this election as well.
60th District -- Riverside County.  Assemblywoman Sabrina Cervantes (D) vs Bill Essayli (R)
Assemblywoman Cervantes won this seat in an upset in 2016 and it was believed that it would be difficult for her to win re-election. That still may be the case. However, as a voting legislator she has voted safely and conservatively on many business and tax issues. The power of incumbency will certainly factor into the outcome of this race and it is expected that she will retain this seat in November.

32nd Assembly District -- Central Valley.  Assemblyman Rudy Salas (D) vs Justin Mendes (R)
Assemblyman Salas is always identified as an incumbent Democrat targeted by the Republicans in this conservative-leaning district. The fact is, however, that Mr. Salas always prevails and seems to have strong bipartisan support in his district.

Ballot Measures
There are 11 statewide ballot measures on the November ballot which include a legislatively approved $4 billion housing bond and a $9 billion water infrastructure bond and two measures relevant to recent legislative actions involving the gas tax and rent control.

Proposition 6 -- Gas Tax Repeal
It was hoped by Republicans that Proposition 6, to repeal the legislatively enacted higher gas taxes and fees, would help propel Republican candidates to victory in the General Election. This looked probable given the recall of Democratic Senator Josh Newman earlier in the year due to his vote for the gas tax. However, since the Newman recall, the gas tax repeal has waned in public polling. While it would be too early to predict a result, polling is trending towards defeat and with the opposition well-funded and saturating television and radio, this measure could go down in defeat.

Proposition 10 -- Rent Control
This measure would repeal existing state law that restricts local governments from enacting strict rent control measures on landlords and property owners. This measure responds to the fact that the California Legislature has refused to advance bills to reform or repeal the state law that preempts local governments from doing so. Proposition 10 is strongly opposed by property owners, realtors, and developers who argue that the measure will stifle housing development and further restrict available housing for renters. The measure is supported by organized labor and the AIDS Healthcare Foundation who argue that local governments are best-suited to determine rents in their jurisdictions.
<table>
<thead>
<tr>
<th>Bill ID/Topic</th>
<th>Location</th>
<th>Summary</th>
<th>Position</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>AB 1831</strong></td>
<td>A. CHAPETERED 6/27/2018-Approved by the Governor. Chaptered by Secretary of State - Chapter 43, Statutes of 2018.</td>
<td>Current law specifies the length of terms of appointive members of the Student Aid Commission, except student representatives, the governing body of the California Exposition and State Fair, and the High-Speed Rail Authority as 4 years, and appointive members of the Employment Training Panel as 2 years. This bill would delete the length of terms of the members appointed by the Speaker of the Assembly to the Student Aid Commission, the governing body of the California Exposition and State Fair, the High-Speed Rail Authority, and the Employment Training Panel, and would make conforming changes. <strong>Last Amended on 6/11/2018</strong></td>
<td>Supported July 2018 (via Board Chair)</td>
</tr>
<tr>
<td><strong>AB 1912</strong></td>
<td>A. CHAPETERED 9/29/2018-Approved by the Governor. Chaptered by Secretary of State - Chapter 909, Statutes of 2018.</td>
<td>The Joint Exercise of Powers Act generally authorizes 2 or more public agencies, by agreement, to jointly exercise any common power. Under the act, if an agency is not one or more of the parties to the agreement but is a public entity, commission, or board constituted pursuant to the agreement, the debts, liabilities, and obligations of the agency are the debts, liabilities, and obligations of the parties to the agreement, unless the agreement specifies otherwise. This bill would specify that the parties to the joint powers agreement may not specify otherwise with respect to retirement liabilities of the agency if the agency contracts with a public retirement system, and would eliminate an authorization for a party to a joint powers agreement to separately contract or assume responsibilities for specific debts, liabilities, or obligations of the agency. <strong>Last Amended on 8/24/2018</strong></td>
<td>Watch</td>
</tr>
<tr>
<td><strong>AB 1969</strong></td>
<td>A. DEAD 5/11/2018-Failed Deadline pursuant to Rule 61(b)(6). (Last location was A. TRANS. on 3/19/2018)</td>
<td>Current law sets forth alternative ways an transit operator may qualify for funding, including a standard under which the allocated moneys do not exceed 50% of the operator’s total operating costs, as specified, or the maintenance by the operator of a specified ratio of fare revenues to operating costs. Current law generally establishes the required fare revenues to operating cost ratio as 20% in urbanized areas and 10% in nonurbanized areas. This bill would authorize a transportation planning agency to grant an exemption, for up to 5 years, to an operator that fails to maintain the applicable fare-revenue-to-cost ratio if, based on that agency’s determination, an exemption is appropriate, as specified. The bill would require the agency to consider specified factors in determining whether to grant the exemption. <strong>Last Amended on 4/18/2018</strong></td>
<td>Watch</td>
</tr>
<tr>
<td><strong>AB 2034</strong></td>
<td>A. CHAPETERED 9/27/2018-Approved by</td>
<td>Would require, on or before January 1, 2021, specified businesses or other establishments that operate an intercity passenger rail, light rail, or bus station to provide training to new and existing</td>
<td>Watch</td>
</tr>
</tbody>
</table>
| **Peninsula Corridor Joint Powers Board**  
<table>
<thead>
<tr>
<th><strong>State Legislative Matrix as of 10/18/2018</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Human trafficking: notice.</strong></td>
</tr>
</tbody>
</table>
| **AB 2065**  
**Ting D**  
**Local agencies: surplus land.** | A. DEAD  
5/25/2018-Failed Deadline pursuant to Rule 61(b)(8). (Last location was A. APPR. SUSPENSE FILE on 5/2/2018) | *Watch*  
Current law prescribes requirements for the disposal of surplus land by a local agency. Current law defines “local agency” for these purposes as every city, county, city and county, and district, including school districts of any kind or class, empowered to acquire and hold real property. This bill would expand the definition of “local agency” to include sewer, water, utility, and local and regional park districts, joint powers authorities, successor agencies to former redevelopment agencies, housing authorities, and other political subdivisions of this state and any instrumentality thereof that is empowered to acquire and hold real property, thereby requiring these entities to comply with these requirements for the disposal of surplus land. | **Last Amended on 4/16/2018** |
| **AB 2249**  
**Cooley D**  
**Public contracts: local agencies: alternative procedure.** | A. CHAPTERED  
8/20/2018-Approved by the Governor.  
Chaptered by Secretary of State -  
Chapter 169, Statutes of 2018. | *Supported*  
May 2018  
The Uniform Public Construction Cost Accounting Act permits the governing body of a public agency, in the event all bids received for the performance of that public project are in excess of $175,000, to award the contract at $187,500 or less to the lowest responsible bidder if it determines the cost estimate of the public agency was reasonable. This bill would instead authorize public projects of $60,000 or less to be performed by the employees of a public agency, authorize public projects of $200,000 or less to be let to contract by informal procedures, and require public projects of more than $200,000 to be let to contract by formal bidding procedures. | **Last Amended on 6/4/2018** |
| **ACA 4**  
**Aguilar-Curry D**  
**Local government financing: affordable housing and public infrastructure: voter approval.** | A. DEAD  
8/31/2018-Failed Deadline pursuant to Rule 61(b)(18). (Last location was A. L. GOV. on 4/24/2017) | *Watch*  
Local government financing: affordable housing and public infrastructure: voter approval. | **Last Amended on 6/4/2018** |
| **ACA 5**  
**Frazier D**  
**Local government financing: affordable housing and public infrastructure: voter approval.** | A. CHAPTERED  
4/6/2017-Chaptered by | *Supported*  
2017  
Would add Article XIXâ€…”D to the California Constitution to require revenues derived from vehicle fees imposed under a specified chapter of the Vehicle License Fee Law to be used solely for |
### Peninsula Corridor Joint Powers Board

**State Legislative Matrix as of 10/18/2018**

<table>
<thead>
<tr>
<th>Motor vehicle fees and taxes: restriction on expenditures: appropriations limit.</th>
<th>Secretary of State- Chapter 30, Statutes of 2017</th>
<th>transportation purposes, as defined. The measure would prohibit these revenues from being used for the payment of principal and interest on state transportation general obligation bonds that were authorized by the voters on or before November 8, 2016. The measure would prohibit the revenues from being used for the payment of principal and interest on state transportation general obligation bonds issued after that date unless the bond act submitted to the voters expressly authorizes that use.</th>
</tr>
</thead>
</table>
| **SB 827**  
Wiener D  
Planning and zoning: transit-rich housing bonus. | S. DEAD  
4/27/2018-Failed Deadline pursuant to Rule 61(b)(5). (Last location was T. & H. on 4/9/2018) | Would require a local government to, if requested, grant a development proponent of a transit-rich housing project a transit-rich housing bonus if that development at the time of submittal meets specified planning standards, including complying with demolition permit requirements, complying with any local inclusionary housing ordinance or, if the local government has not adopted an inclusionary housing ordinance, agreeing to provide a specified percentage of awarded units as onsite affordable housing, preparing a relocation benefits and assistance plan, complying with any locally adopted objective zoning standards, complying with any locally adopted minimum unit mix requirements, and if the development includes specified types of parcels, agreeing to replace those units and to offer units at one of 2 specified affordable rates. |
| **SB 1119**  
Beall D  
Low Carbon Transit Operations Program. | S. CHARTERED  
9/20/2018-Approved by the Governor. Chaptered by Secretary of State. Chapter 606, Statutes of 2018. | Current law requires, for recipient transit agencies whose service areas include disadvantaged communities, as specified, that those recipient transit agencies expend at least 50% of the total moneys they received as part of the Low Carbon Transit Operations Program on projects or services that meet specified requirements and benefit those disadvantaged communities. This bill would waive the above requirement if the recipient transit agencies expend the funding provided on certain transit activities. |
| **SCA 6**  
Wiener D  
Local transportation measures: special taxes: voter approval. | S. DEAD  
8/31/2018-Failed Deadline pursuant to Rule 61(b)(18). (Last location was S. APPR. SUSPENSE FILE on 5/25/2017) | Would require that the imposition, extension, or increase by a local government of a special tax as may otherwise be authorized by law, whether a sales or transactions and use tax, parcel tax, or other tax for the purpose of providing funding for transportation purposes be submitted to the electorate by ordinance and approved by 55% of the voters voting on the proposition. The measure would authorize an ordinance submitted to the voters for approval under these provisions to provide, as otherwise authorized by law, for the issuance of bonds payable from the revenues from the special tax. |
## Ballot Measures

<table>
<thead>
<tr>
<th>Proposition 69</th>
<th>Transportation Taxes &amp; Fees Lockbox</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Proposition 69</strong></td>
<td>Placed on June 5, 2018 statewide ballot by the State Legislature through the enactment of ACA 5 (Frazier), Chapter 30, Statutes of 2017</td>
</tr>
<tr>
<td><strong>Proposition 6</strong></td>
<td>Qualified for placement on the November 6, 2018 statewide ballot through the initiative process</td>
</tr>
</tbody>
</table>

### Proposition 69
Proposition 69 was placed on the ballot by the State Legislature as part of a legislative package that included SB 1. SB 1, which was also known as the Road Repair and Accountability Act of 2017 enacted an estimated $5.2 billion annual increase in transportation-related taxes and fees, including a $0.12 cents per gallon increase of the gasoline excise tax, a $0.20 cents per gallon increase of the diesel excise tax, a 4 percentage points increase of the diesel sales tax, an annual $25 to $100 Transportation Improvement Fee, and an annual $100 zero-emission vehicles fee. The state constitution already prohibits the diversion of gasoline or diesel excise tax revenues for general non-transportation purposes.

The main feature of Proposition 69 is that it also protects proceeds derived from the Transportation improvement Fee ($1.6 billion in vehicle registration fees, which funds competitive programs) and the sales tax on diesel, which funds the Public Transportation Account. The zero-emission fee is left unprotected.

### Proposition 6
If approved by a majority of statewide voters, this measure would repeal SB 1, also known as the Road Repair and Accountability Act of 2017, which enacted an estimated $5.2 billion annual increase in transportation-related taxes and fees, including a $0.12 cents per gallon increase of the gasoline excise tax, a $0.20 cents per gallon increase of the diesel excise tax, a 4 percentage points increase of the diesel sales tax, an annual $25 to $100 Transportation Improvement Fee, and an annual $100 zero-emission vehicles fee.

The measure would also require the Legislature to submit any measure enacting specified taxes or fees on gas or diesel fuel, or on the privilege to operate a vehicle on public highways, to the electorate for approval.

The Legislative Analyst’s Office and Director of the Department of Finance estimate reduced annual state and local transportation tax revenues of $2.9 billion in 2018-19, increasing to $4.9 billion annually by 2020-21. These are revenues that are primarily being used to support state highway maintenance and rehabilitation, local streets and roads, and mass transit. In addition, potential lowering of future transportation tax revenues by requiring both legislative and voter approval of such tax increases.

### Supported and Opposed
- **Supported April 2018**
- **Opposed August 2018**
Total Measures: 11
Total Tracking Forms: 11
TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Michelle Bouchard
Chief Operating Officer, Caltrain

SUBJECT: CALTRAIN BUSINESS PLAN – MONTHLY UPDATE COVERING OCTOBER 2018

ACTION
Staff Coordinating Council recommends the Board of Directors (Board) receive the attached memo providing an update on Caltrain Business Plan activities and progress during October of 2018.

SIGNIFICANCE
Peninsula Corridor Joint Powers Board (JPB) staff has prepared the attached memo describing project activities and outreach related to the Caltrain Business Plan that occurred during October of 2018.

Staff will provide the JPB with written monthly memos and presentation materials on a monthly basis throughout the duration of the Business Plan project. These written updates will periodically be supplemented by a full presentation to the Board.

BUDGET IMPACT
There is no budget impact associated with receiving this memo.

BACKGROUND
In 2017, the JPB secured full funding for the Peninsula Corridor Electrification Project and issued notices to proceed to its contractors for corridor electrification and purchase of Electric Multiple Unit railcars. Now that construction on this long-awaited project is underway, the agency has the opportunity to articulate a long-term business strategy for the future of the system.

The initial concept for a Caltrain “Business Plan” was brought to the Board in April of 2017. The Board reviewed a draft scope of work for the Business Plan in December of 2017 and adopted a final Business Strategy and Scope of Work in February of 2018. The Business Plan has been scoped to include long-range demand modeling, and service and infrastructure planning, as well as organizational analysis and an assessment of Caltrain’s interface with the communities it traverses. It is an extensive planning effort that includes outreach in multiple venues. The plan will be completed in 2019.

Prepared by: Sebastian Petty, Senior Policy Advisor 650.622.7831
PROJECT UPDATE

The following is the fourth in a series of monthly project updates for the Caltrain Business Plan. These updates provide a high level summary of project activities and progress and are paired with an annotated presentation that reflects project materials and messaging shared with stakeholder groups during the subject month. The following “October” update covers work completed in late September and October of 2018.

ONGOING TECHNICAL WORK

The Caltrain Business Plan consulting team is accelerating technical work on the Business Plan. Key areas of focus for the team during October have included;

• Continued development of technical modeling tools and approaches that will be used to support the articulation of a 2040 service vision and accompanying business case. Key areas of focus include;
  o The specification of a ridership demand model and completion of a travel market assessment analysis
  o The ongoing development and calibration of an integrated business modeling tool
  o The development of a capital costing framework

• During October the team has also begun intensive service planning activities. Service planning will continue through November and December and will include engagement with partners, stakeholders and the public

• Completion of the initial organizational assessment and commencement of work on the functional mapping of the Caltrain organization and identification of national and international peer organizations

• Completion of formal outreach and interviews with local jurisdictions as part of the community interface assessment and ongoing documentation of findings

MEETINGS AND OUTREACH

October marked the first “quarterly update” on the Business Plan. Given this, the spectrum of outreach and stakeholder engagement activities in October has differed from typical months. The following major meetings occurred in October;

• JPB Business Plan Quarterly Update “Workshop” (October 4)
• Project Partner General Manager / Executive Quarterly Update (October 17)
• Caltrain Citizen Advisory Committee Quarterly Update (October 17)
• Stakeholder Advisory Group Meeting (October 23)

The Project Partner Committee (PPC) held its fourth meeting on October 2nd as well as a supplemental meeting to focus on initial service planning concepts on October 26.

CSCG and LPMG meetings were cancelled for the month of October while the project team focused on quarterly update meetings and the initiation of service planning activities. Major updates to these groups are anticipated in November.

NEXT STEPS

The first part of the Business Plan is focused on the development of a long-range service vision for the railroad accompanied by an assessment of the community-corridor interface and the Caltrain organization. The remainder of the project will be focused on the creation of the implementation plan, including a detailed business plan and funding approach. The Business Plan team will continue to provide monthly updates throughout the Business Plan. During the month of November the team will provide significant updates on the service planning process.
TO: Joint Powers Board

THROUGH: Jim Hartnett
        Executive Director

FROM: Derek Hansel  John Funghi
       Chief Financial Officer  Chief Officer, CalMod Program

SUBJECT: AWARD OF CONTRACT FOR ON-CALL SPECIAL INSPECTION AND TESTING SERVICES

ACTION
Staff Coordinating Council recommends the Board:

1. Award an on-call contract to Quality Assurance Engineering, Inc. dba Consolidated Engineering Laboratories (CEL) of San Ramon, California, to provide Special Inspection and Testing Services (Services) for an aggregate total estimated amount of $400,000 for a five-year base term.

2. Authorize the Executive Director, or his designee, to execute a contract with CEL in full conformity with the terms and conditions set forth in the solicitation documents and negotiated agreement, and in a form approved by legal counsel.

3. Authorize the Executive Director, or his designee, to exercise up to one, one-year option term with CEL, for an aggregate total estimated amount of $50,000, if it is deemed in the best interest of the Peninsula Corridor Joint Powers Board (JPB) to do so.

SIGNIFICANCE
Award of the contract will provide the JPB with a qualified and experienced contractor to provide on-call services for the Peninsula Corridor Electrification Project (PCEP) and the JPB Capital Construction Program.

Award of this contract will not obligate the JPB to purchase any specific level of service from CEL. All work performed under this contract will be done under Work Directives (WDs) issued on an as-needed, project-by-project basis.

BUDGET IMPACT
Each WD issued under this contract will contain a defined scope of services, separate schedule and budget for each construction project. Funds will come from approved PCEP and JPB capital budgets.
BACKGROUND
The JPB requires on-call Services from an independent and accredited testing and inspection laboratory to perform specialized and/or statistically random activities in support of construction projects for the PCEP and JPB Capital Construction Program (Program). The Services consist of sampling and testing materials assigned to the project to verify compliance with plans and specifications.

Under the Program, the JPB is required to provide quality assurance oversight of inspection and testing activities in accordance with the applicable contract drawings, specifications, codes, and regulations.

A Request for Proposals (RFP) was issued and advertised in a newspaper of general circulation and on the JPB’s procurement website as a business opportunity for interested bidders, including registered Small Business Enterprises (SBEs) and Disadvantaged Business Enterprises (DBEs). Four proposals were received. In accordance with State and Federal laws governing the procurement of engineering services, proposals were evaluated based on the proposers’ qualifications, and not on price, with price being negotiated only with the highest-ranked firm.

Staff reviewed all the proposals and assessed SBE preference points to all four firms for their proposed SBE utilization.

An Evaluation Committee (Committee) composed of qualified JPB staff from Engineering Support and PCEP reviewed, scored, and ranked the proposals according to the evaluation criteria stated in the RFP, which included the following weighted factors:

- Understanding of Scope and Services 35 points
- Qualification of Firms 25 points
- Key Personnel Qualifications and Experience 25 points
- Administrative Systems 15 points
- Small Business Enterprise Preference 5 points

After the initial scoring and ranking of proposals, three out of the four firms were found to be in the competitive range. Firms in the competitive range are listed below:

<table>
<thead>
<tr>
<th>Company</th>
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<tbody>
<tr>
<td>Quality Assurance Engineering Inc. dba Consolidated</td>
</tr>
<tr>
<td>Engineering Laboratories, San Ramon, CA</td>
</tr>
<tr>
<td>Signet Testing Laboratories, Inc., Hayward, CA</td>
</tr>
<tr>
<td>Smith-Emery, San Francisco, San Francisco, CA</td>
</tr>
</tbody>
</table>

The Committee conducted an interview and site visit with each of the three firms to confirm their compliance with applicable regulations. The Committee then reconvened, rescored all proposals and reached a final consensus ranking. Following reference checks and financial review, the Committee determined CEL, including a proposed DBE sub-consultant, to be the highest-ranked firm as it possesses the depth of experience and qualifications required to successfully perform the Services. CEL will
subcontract 10% of the total contract value to a DBE firm.

Staff determined the proposed costs to be fair, reasonable and comparable to prices paid by other local public agencies for similar services.

Services were provided in 2017 through a Request for Quote procurement process which resulted in a contract issued to Signet Testing Laboratories.

Procurement Administrator II: Cathy Hoang 650.295.6866
Project Manager: Lin Guan, Deputy Director, CalMod Project Delivery 650.508.7976
RESOLUTION NO. 2018 -

BOARD OF DIRECTORS, PENINSULA CORRIDOR JOIN POWERS BOARD
STATE OF CALIFORNIA

***

AWARDING A CONTRACT TO CONSOLIDATED ENGINEERING LABS, INC. FOR ON-CALL SPECIAL INSPECTION AND TESTING SERVICES FOR AN AGGREGATE TOTAL AMOUNT OF $400,000 FOR A FIVE-YEAR TERM

WHEREAS, the Peninsula Corridor Joint Powers Board (JPB) issued a Request for Proposals (RFP) for on-call special inspection and testing services for a five-year base term in support of the Peninsula Corridor Electrification Project and other JPB capital projects; and

WHEREAS, in response to the RFP, the JPB received four proposals; and

WHEREAS, an Evaluation Committee (Committee) composed of qualified staff reviewed and evaluated the firms’ proposals, scored and ranked the proposals according to the evaluation criteria set forth in the RFP, and ranked three out of the four firms to be in the competitive range; and

WHEREAS, following onsite visits and interviews, the Committee rescored the proposals and determined that Quality Assurance Engineering, Inc. dba Consolidated Engineering Laboratories (CEL) of San Ramon, California to be the highest ranked firm; and

WHEREAS, the Committee further determined that CEL will perform the required services at fair and reasonable prices; and

WHEREAS, staff and legal counsel reviewed CEL’s proposal and determined that it complies with the requirements of the solicitation documents; and

WHEREAS, Staff Coordinating Council recommends, and the Executive Director concurs, that the Board of Directors award a contract to CEL for on-call special
inspection and testing services for the PCEP and JPB Capital Construction Programs for an aggregate total estimated amount of $400,000 for a five-year base term, with up to one, one-year option term for an aggregate total estimated amount of $50,000.

Now, therefore, be it resolved that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby awards a contract for on-call special inspection and testing services to Quality Assurance Engineering, Inc. dba Consolidated Engineering Laboratories of San Ramon, California for a five-year base term for an aggregate total estimated amount of $400,000; and

Be it further resolved the Executive Director, or his designee, is authorized to execute a contract with CEL in full conformity with all the terms and conditions of the RFP and in a form approved by legal counsel; and

Be it further resolved the Executive Director, or his designee, is authorized to exercise up to one, one-year option term to the contract with CEL for an aggregate total estimated amount of $50,000, if it is deemed in the best interest of the JPB to do so.

Regularly passed and adopted this 1st day of November, 2018 by the following vote:

Ayes:

Noes:

Absent:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary
AGENDA ITEM #4 (i)  
NOVEMBER 1, 2018

PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Derek Hansel          Michelle Bouchard  
Chief Financial Officer      Chief Operating Officer, Rail

SUBJECT: AUTHORIZE DISPOSITION OF EQUIPMENT

ACTION
Staff Coordinating Council (SCC) recommends the Board authorize the Executive Director, or his designee, to dispose of the following equipment in compliance with the Peninsula Corridor Joint Powers Board’s (JPB) procurement policy:

• Genie Lift Z20/8 Manlifter
• Tennant Floor Scrubber

SIGNIFICANCE
The proposed action will implement the JPB’s policy to routinely dispose of surplus equipment that is no longer viable for service. JPB approved methods of disposition are by sealed bid, public auction, sale, negotiation, transfer to another public agency, or by discarding as scrap. Under this proposed action, the equipment will be disposed of by public auction.

BUDGET IMPACT
The equipment was purchased with State Transit Assistance funds and JPB Member Agency contributions. Proceeds from the auction, net of any disposal costs, will be made available for use in funding future capital projects.

BACKGROUND
The JPB purchased the equipment for staff to perform facilities related maintenance tasks at the Centralized Equipment Maintenance and Operations Facility in San Jose. The equipment has reached the end of its useful life and has been identified for disposal.

Procurement Administrator II: Brian Geiger 650.508.7973
Project Manager: Henry Flores, Deputy Director, Rail Vehicle Maintenance 408.793.5441
AGENDA ITEM #4 (j)  
NOVEMBER 1, 2018

PENINSULA CORRIDOR JOINT POWERS BOARD  
STAFF REPORT

TO: Joint Powers Board  
THROUGH: Jim Hartnett  
Executive Director

FROM: Derek Hansel  
Chief Financial Officer  
Seamus Murphy  
Chief Communications Officer

SUBJECT: AWARD OF CONTRACT FOR PRINTING AND DELIVERY OF THERMAL AND NON-THERMAL TICKETS

ACTION
Staff Coordinating Council (SCC) recommends the Board:

1. Award a contract to the lowest, responsive and responsible bidder, Canada Ticket, Inc., (Canada Ticket) of Langley, British Columbia, Canada, to provide printing and delivery of thermal and non-thermal tickets for an estimated not-to-exceed amount of $220,000 for a five-year term.

2. Authorize the Executive Director, or his designee, to execute a contract with Canada Ticket in full conformity with the terms and conditions of the bid specification documents and in a form approved by legal counsel.

SIGNIFICANCE
Award of this contract will provide the Peninsula Corridor Joint Powers Board (JPB) with a dedicated supplier to provide printing and delivery of thermal and non-thermal tickets for Caltrain, including for distribution via ticket vending machines.

BUDGET IMPACT
Funds for this contract are included in the current operating budget and will be included in future operating budgets.

BACKGROUND
The San Mateo County Transit District and the JPB, collectively referred to as “Agencies,” jointly issued an Invitation for Bids (IFB) designed with the flexibility to award separate contracts based on the lowest bid for each type of fare media (thermal or non-thermal tickets). Staff advertised the IFB in a newspaper of general circulation and on the Agencies' procurement website. Notifications were sent to interested bidders in the printing industry. Staff determined that there are no local, small, or Disadvantaged Business Enterprise firms engaged in this type of work. Three bids were received for the JPB's scope of work and are as follows:
<table>
<thead>
<tr>
<th>Company</th>
<th>Bid Amount</th>
</tr>
</thead>
</table>
| 1. Canada Ticket, Inc., Langley, British Columbia, Canada | Section A - Non-Thermal Tickets: $35,689.72  
Section B - Thermal Tickets: $169,234.00 |
| 2. Paper Solutions, Inc., Indianapolis, IN | Section A - Non-Thermal: No Bid  
Section B - Thermal Tickets: $179,500.00 |
| 3. Electronic Data Magnetics, High Point, NC | Section A - Non-Thermal Tickets: No Bid  
Section B – Thermal Tickets: $368,410.00 |

Because Canada Ticket was the sole bidder for non-thermal tickets, staff conducted an analysis of its pricing and determined that it is comparable to market pricing and is fair and reasonable.

Canada Ticket submitted the lowest, responsive, and responsible bid and, with the exception of minor irregularities, which legal counsel determined could be waived, it met all of the bid requirements. This is a requirements-based contract; the amount of the contract is estimated based on the bid amount plus taxes.

Paper Solutions, Inc., the incumbent vendor, has held the printing contract since January 1, 2014.

Procurement Administrator II: Brian Geiger  650.508.7973
Project Manager: Melissa Wicklow, Market Development Specialist  650.508.6292
WHEREAS, the Peninsula Corridor Joint Powers Board (JPB) solicited competitive bids to provide printing and delivery of thermal and non-thermal ticket media; and

WHEREAS, in response to the JPB’s Invitation for Bids, three firms submitted bids; and

WHEREAS, staff and legal counsel have reviewed the bids and determined that Canada Ticket, Inc. of Langley, British Columbia submitted the lowest responsive and responsible bid for both non-thermal and thermal tickets; and

WHEREAS, Staff Coordinating Council recommends, and the Executive Director concurs, that a contract be awarded to Canada Tickets, Inc., whose bid meets the requirements of the solicitation documents; and

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby awards a contract to provide printing and delivery of non-thermal and thermal ticket media to Canada Ticket, Inc. for a five-year term for an estimated not-to-exceed amount of $220,000, inclusive of all delivery and other costs and expenses, based on the estimated requirements of the JPB during the term and unit prices submitted by Canada Ticket, Inc.; and

BE IT FURTHER RESOLVED that the Executive Director, or his designee, is authorized to execute a contract on behalf of the JPB with Canada Ticket, Inc. in full conformity
with the terms and conditions of the bid specification documents and in a form approved by legal counsel.

Regularly passed and adopted this 1st day of November, 2018, by the following vote:

AYES:

NOES:

ABSENT:

______________________________________________________________
Chair, Peninsula Corridor Joint Powers Board

ATTEST:

___________________________
JPB Secretary
TO: Joint Powers Board

THROUGH: Jim Hartnett
General Manager/CEO

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

SUBJECT: COMMUNITY CHOICE ENERGY PROGRAM UPDATE AND OPT-IN TO SAN JOSÉ CLEAN ENERGY PROGRAM

ACTION
Staff Coordinating Council (SCC) recommends the Board continue Caltrain’s participation in the Community Choice Energy (CCE) programs, and approve enrollment with a new CCE program that will begin providing generation in 2019: San José Clean Energy (SJCE).

SIGNIFICANCE
At its March 2017 Board of Directors (Board) meeting, the Peninsula Corridor Joint Powers Board (JPB) approved the agency’s enrollment in the 100 percent renewable electricity service options for the three CCE programs available in Caltrain’s service area (CleanPowerSF, Peninsula Clean Energy, and Silicon Valley Clean Energy) and the two municipal utilities (City of Palo Alto Utilities and Silicon Valley Power) operating in the Caltrain service area.

Staff will present an analysis summarizing the cost of participating in the CCE program compared to the cost of procuring electricity from PG&E (under the default service option) and the municipal utilities (under their default service options) after approximately one year of enrollment. Staff will seek Board approval to approve enrollment with an additional CCE program called San José Clean Energy (SJCE), the City of San José’s new CCE program. SJCE is scheduled to begin offering citywide residential and commercial generation in March 2019 and will offer two commercial energy options: Green Source (40 percent renewable) and Total Green (100 percent renewable). Caltrain’s electricity use in the SJCE service area represents approximately 50 percent of the agency’s total electricity usage.

BUDGET IMPACT
Participation in the CCE programs approved by the Board in March 2017 increased Caltrain’s electricity costs by approximately 2.1 percent relative to default service by PG&E and the municipal utilities (an increase of approximately $28,191).
Approving enrollment in SJ CE’s Total Green program would result in a cost increase for electricity within the City of San José by an additional 5.6 percent, or $36,123 in annual cost, for a combined overall program increase of approximately 4.8 percent system wide (approximately $64,000 annually). Since the SJ CE Program is not expected to launch until March 2019, staff anticipates the additional prorated Fiscal Year (FY) 2019 cost to be slightly under $10,000, which can be covered in the FY2019 Operating Budget.

BACKGROUND
CCE program enables local municipalities to aggregate the electricity demand of their communities and procure power separate from the incumbent investor-owned utility (in this case, PG&E). The CCE model allows for more local control over the cost and source of electricity supply and has resulted in customer options for higher renewable energy content at competitive rates. The electricity continues to be delivered over the existing electricity lines by the incumbent utility.

The San José Clean Energy CCE program will offer two commercial energy options: Green Source (40 percent renewable) and Total Green (100 percent renewable) energy options. Final rates for Total Green have not yet been published.

Prepared By: Amelia Timbers
Principal Planner, Sustainability

650.508.7713
RESOLUTION NO. 2018 -

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

***

APPROVING PENINSULA CORRIDOR JOINT POWERS BOARD ENROLLMENT IN THE
100 PERCENT RENEWABLE ELECTRICITY SERVICE OPTION OF THE SAN JOSÉ CLEAN
ENERGY COMMUNITY CHOICE ENERGY PROGRAM

WHEREAS, San José Clean Energy is a Community Choice Energy (CCE) Program
serving the City of San José, California; and

WHEREAS, the City of San José has elected to allow San José Clean Energy to
supply electricity within its jurisdiction, and therefore each electricity customer in this
jurisdiction, including the Peninsula Corridor Joint Powers Board (JPB), will be
automatically enrolled in the CCE program unless the customer submits an opt-out
request to return to the incumbent utility, Pacific Gas & Electric Company (PG&E); and

WHEREAS, under the CCE program, PG&E will continue to deliver electricity,
repair and maintain its infrastructure, provide customer service functions, and
administer billing services; and

WHEREAS, the JPB can opt-out of the CCE program and return to PG&E-sourced
electricity at any time, potentially with an administrative fee; and

WHEREAS, the CCE program offers customers a 40 percent renewable energy
default electricity service option at a slightly higher cost than PG&E’s 33 percent
renewable energy default option; and

WHEREAS, PG&E offers 25, 50 and 100 percent renewable energy options at cost
premiums; and

WHEREAS, San José Clean Energy offers a 100 percent renewable energy
electricity service option at a cost premium; and
WHEREAS, the Caltrain Strategic Plan 2015-2024 includes goals to minimize Caltrain’s environmental footprint (focus area: social responsibility) and efficiently deliver service (focus area: finance); and

WHEREAS, reliable electricity service is essential to Caltrain fleet operations, facilities and signals, and JPB administrative operations; and

WHEREAS, JPB completed a technical evaluation to assess the advantages, disadvantages, and risks of securing electricity through the 40 percent and 100 percent renewable electricity service options being offered to San José Clean Energy customers; and

WHEREAS, Staff Coordinating Council recommends that the Board approve the JPB's enrollment in the San José Clean Energy 100 percent renewable electricity service option.

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the Peninsula Corridor Joint Powers Board approves the JPB’s enrollment in the 100 percent renewable electricity service option at the San José Clean Energy Community Choice Energy program, which will have higher renewable energy content and lower greenhouse gas emissions than the default electricity service option provided by PG&E; and

BE IT FURTHER RESOLVED that the Board of Directors delegates authority to the Executive Director or his designee to execute documents and take all other actions necessary to give effect to this Resolution.
Regularly passed and adopted this 1\textsuperscript{st} day of November, 2018 by the following vote:

AYES:

NOES:

ABSENT:

\hline
\textbf{Chair, Peninsula Corridor Joint Powers Board}

ATTEST:

\hline
\textbf{J PB Secretary}
Update on Community Choice Energy Cost for Caltrain Electricity Service

Board of Directors
November 1, 2018
Agenda Item 4 (k)
How Community Choice Energy (CCE) Works

Energy Generation (Power Plants)

Energy Delivery (Transmission System)
Higher voltage, Longer distance

Energy Delivery (Distribution System)
Lower voltage, Local distance

Previous:

Current Path:

Stations, Signals, CEMOF

Traction Power Substations for EMUs
Board Actions

• June 2016
  - Board took action to participate in CCE

• March 2017
  - Board opted for 100% renewable option at CCE

• Fall 2018
  - Staff evaluates 1 year actual CCE billing data
  - Update Board
# Current Caltrain Energy Sources
(As of March 2017)

<table>
<thead>
<tr>
<th>Provider</th>
<th>Type</th>
<th>Current</th>
</tr>
</thead>
<tbody>
<tr>
<td>PG&amp;E (note 1)</td>
<td>Investor-Owned Utility</td>
<td>50%</td>
</tr>
<tr>
<td>cleanpowerSF</td>
<td>Community Choice Energy</td>
<td>16%</td>
</tr>
<tr>
<td>PENINSULA CLEAN ENERGY</td>
<td>Community Choice Energy</td>
<td>21%</td>
</tr>
<tr>
<td>SILICON VALLEY CLEAN ENERGY</td>
<td>Community Choice Energy</td>
<td>7%</td>
</tr>
<tr>
<td>CITY OF PALO ALTO UTILITIES</td>
<td>Municipal Utility</td>
<td>4%</td>
</tr>
<tr>
<td>Silicon Valley Power</td>
<td>Municipal Utility</td>
<td>2%</td>
</tr>
</tbody>
</table>

Note 1: PG&E is the current energy provider to San Jose Caltrain meters
JPB CCE Bills Compared to PG&E Rates

- The actual cost of Community Choice Energy renewable energy options is 2.1% more than PG&E's default service.
- This is slightly below initial projections of a 2.8% higher cost.

<table>
<thead>
<tr>
<th>Total Electricity Use</th>
<th>PG&amp;E + Municipals Estimated</th>
<th>PG&amp;E + CCAs + Municipals Actual</th>
<th>% Cost Difference</th>
<th>$ Cost Difference</th>
</tr>
</thead>
<tbody>
<tr>
<td>7,262,074 kWh</td>
<td>$1,329,251</td>
<td>$1,357,442</td>
<td>2.1%</td>
<td>$28,191</td>
</tr>
</tbody>
</table>
Proposed Caltrain Energy Sources
(San Jose Clean Energy provides electricity to San Jose Caltrain meters)

<table>
<thead>
<tr>
<th>Provider</th>
<th>Type</th>
<th>Current</th>
</tr>
</thead>
<tbody>
<tr>
<td>SAN JOSE CLEAN ENERGY</td>
<td>Community Choice Energy</td>
<td>50%</td>
</tr>
<tr>
<td>cleanpowerSF.</td>
<td>Community Choice Energy</td>
<td>16%</td>
</tr>
<tr>
<td>PENINSULA CLEAN ENERGY</td>
<td>Community Choice Energy</td>
<td>21%</td>
</tr>
<tr>
<td>SILICON VALLEY CLEAN ENERGY</td>
<td>Community Choice Energy</td>
<td>7%</td>
</tr>
<tr>
<td>CITY OF PALO ALTO UTILITIES</td>
<td>Municipal Utility</td>
<td>4%</td>
</tr>
<tr>
<td>CITY OF SANTA CLARA POWER</td>
<td>Municipal Utility</td>
<td>2%</td>
</tr>
</tbody>
</table>
San Jose Clean Energy Cost

- In early 2019 Caltrain will have the opportunity to participate in San Jose Clean Energy. Caltrain will have option to enroll in the 100% renewable energy option, as Caltrain has done for its other accounts. San Jose’s 100% clean energy service is expected to cost 5.6% over PG&E’s default service.

<table>
<thead>
<tr>
<th>Option</th>
<th>% Renewable Energy</th>
<th>Estimated Cost Difference Compared to PG&amp;E at SJ Meters</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>%</td>
<td>$</td>
</tr>
<tr>
<td>PG&amp;E Default (with PDP)</td>
<td>33%</td>
<td>0%</td>
</tr>
<tr>
<td>SJCE Total Green</td>
<td>100%</td>
<td>+ 5.6%</td>
</tr>
</tbody>
</table>
## Summary

<table>
<thead>
<tr>
<th>Electricity Service</th>
<th>% RE</th>
<th>Annual Cost Difference</th>
<th>Cost of Option</th>
<th>Cost Including Option</th>
</tr>
</thead>
<tbody>
<tr>
<td>PREVIOUS</td>
<td>33%</td>
<td>0%</td>
<td>$0</td>
<td>$1,329,251</td>
</tr>
<tr>
<td>CURRENT 2017 Cost CCAs PG&amp;E in San Jose</td>
<td>65%</td>
<td>+2.1%</td>
<td>$28,191</td>
<td>$1,357,442</td>
</tr>
<tr>
<td>PROPOSED All CCAs (including SJCE Total Green)</td>
<td>100%</td>
<td>+ 4.8%</td>
<td>$64,314</td>
<td>$1,393,565</td>
</tr>
</tbody>
</table>
Additional Considerations

• In September 2018 California enacted SB 100 which requires the state’s electricity to come from 100% GHG-free sources by 2045. This will significantly change the energy landscape within California.

• This cost estimate does not account for Caltrain’s future electricity consumption as a result of CalMod, which is anticipated to increase Caltrain’s electricity consumption tenfold. Staff is evaluating energy options post-Electrification.
Staff Recommendation

Staff Coordinating Council (SCC) recommends the Board continue Caltrain’s participation in the Community Choice Energy (CCE) Programs, and elect to opt in to the new San José Clean Energy (SJCE) program.
Questions
MINUTES OF OCTOBER 17, 2018

MEMBERS PRESENT: K. Burke, C. Chang, P. Escobar, L. Klein, C. Tucker, R. Valenciana (Vice Chair)

MEMBERS ABSENT: B. Shaw (Chair), L. Fernandez

STAFF PRESENT: C. David, J. Navarrete, S. Petty

Vice Chair Ricardo Valenciana called the meeting to order at 5:40 p.m. and led the Pledge of Allegiance.

APPROVAL OF MINUTES OF SEPTEMBER 19, 2018

Motion/Second: Burke / Chang
Ayes: Escobar, Tucker, Valenciana,
Absent: Klein, Fernandez, Shaw

Member Larry Klein arrived at 5:46 p.m. after the minutes were approved

PUBLIC COMMENT

Jeff Carter, Millbrae, stated that he has submitted comments and can be found in the correspondence packet. He stated that earlier this month the Board discussed the Fare Policy however it appears that the Board is not soliciting input from the CAC, passengers or stakeholders. He said that a previous staff report included a fare study that indicates that in 2001, elasticity was found to be a significant deterrent to fare increases. He referenced attachments in his correspondence.

Roland Lebrun, San Jose, recognized the reduction in major incident delays because of the efforts of Joe Navarro, Deputy Chief of Rail Operations. Roland went on to say that the trespasser strike at Redwood City is a 50% chance that it was not intentional and was truly an accident due to the pedestrian crossing with trains going 79 mph. He pointed out that in the future trains will blow by at 110 mph and hopes that grade separation will be discussed soon.

CHAIRPERSON’S REPORT

None
COMMITTEE COMMENTS
Member Kevin Burke recognized staff’s efforts in notifying the public of the San Francisco Weekend Closure. Mr. Burke also asked for details regarding the upcoming Hillsdale station closure plan. Jennifer Navarrete, Customer Experience Communications Lead, said that she would take note of his question and follow-up at a later date.

Member Cat Chang also recognized staff for communicating the San Francisco Weekend Closure to passengers well. Additionally, commented that the supplemental bus service provided, worked well.

Catherine David, Principal Planner, Rail Operations, responded that staff is working closely with Bus Operations and monitoring ridership during the San Francisco Weekend Closure. She also advised that she would be sitting in for Robert Sebez, Manager, Rail Compliance, as he needed to report to the incident in Redwood City. Jennifer Navarrete, Customer Experience Communications Lead, would deliver staff report and Customer Experience Taskforce Update.

PUBLIC COMMENT CONTINUED
Vice Chair Valenciana allowed additional public comment from Roland Lebrun, San Jose. Roland stated that $2M of the Prop K fund was authorized for the improvements at the Bayshore station for the foot path and for addition lighting.

CALTRAIN BUSINESS PLAN QUARTERLY UPDATE
Sebastian Petty, Principal Planner, presented the Caltrain Business Plan Quarterly Update. The full PowerPoint presentation can be found on caltrain.com

Business Plan Overview:
- Business Plan Overview
- A Vision for Growth
- Crafting a Vision
- Next Steps

Business Plan Overview:
The Business Plan addresses the future potential of the railroad over the next 20-30 years. It will assess the benefits, impacts, and costs of different service visions, building the case for investment and a plan for implementation.

The Business Plan allows the community and stakeholders to engage in developing a more certain, achievable, financially feasible future for the railroad based on local, regional, and statewide needs.

The Business Plan will cover the following:
Service
- Number of trains
- Frequency of service
• Number of people riding the trains
• Infrastructure needs to support different service levels

Business Case
• Value from investments (past, present, and future)
• Infrastructure and operating costs
• Potential sources of revenue

Community Interface
• Benefits and impacts to surrounding communities
• Corridor management strategies and consensus building
• Equity considerations

Organization
• Organizational structure of Caltrain including governance and delivery approaches
• Funding mechanisms to support future service

Mr. Petty informed the committee that staff is in phase 1 of the Business Plan process which is Service Vision Development. Caltrain has partnered with Stanford and is contributing Technical Support to the plan.

A Vision for Growth:
Mr. Petty reported that the corridor has been around for over 150 years

Milestones that Shaped the Railroad’s Future
• 2008:
  o CHSRA specifies its alignment
• 2011 - 2013:
  o “Blended System” introduced
  o CHSRA Business Plan confirms Blended System
  o Senate Bills 1029 and 557 provide Prop 1A funds and codify 2-track blended system
• 2013 – 2017:
  o Peninsula Corridor Electrification Program environmentally cleared
  o Receipt of Federal Full Funding Grant Agreement
  o Full Notice to Proceed issued

Mr. Petty said that in the spring of 2019 the team will present two growth scenarios to the Board. One will generally reflect past and ongoing Blended System planning efforts while another will explore a higher level of growth. Each scenario will provide a detailed picture of how the railroad could grow over the next 20-30 years. The Board will be asked to choose one of these growth scenarios as the “Service Vision” for the corridor

Crafting a Vision:
Mr. Petty informed the committee that staff is working backward from a service vision of a fully realized Caltrain system in 2040. This will allow staff to make the best use of
resources and make decisions along the way to keep on the path of the long range vision.

The Service Vision for an achievable end state for the corridor in 2040 includes:
- Train Service - Frequencies, stopping patterns, service type and number of trains
- Infrastructure Needs - Fleet, systems, infrastructure and support facilities
- Costs - Operating, maintenance and capital
- Outcomes - Ridership, mobility benefits and revenues

Mr. Petty advised that the Service Vision exists within an established framework:
- Existing Policy Decisions
- Planned Projects
- Community Acceptability
- Market Responsiveness
- Fiscal Reality

Building Blocks for a 2040 Service Vision:
Details can be found on the Business Plan update PowerPoint on caltrain.com

Mr. Petty advised that there are constraints and questions staff is dealing with. Decisions and commitments that have already been made on the corridor bring three fundamental service planning questions into tension with one another:
1. Service Differentiation - How can local, regional and high speed services be blended and balanced on the corridor to best serve multiple markets?
2. Peak Service Volume - How much growth in peak train traffic volume can the corridor support and what kinds of growth may be required to meet long term demand?
3. Service Investments - What types of investments into operations, systems and infrastructure will be required to achieve the desired types and volumes of service?

Mr. Petty advised that with those constraints in mind, Caltrain is planning for the Service customers want.
- Network Integration
  o Caltrain is part of a local, regional and statewide transportation network. Planning for enhanced connectivity and a seamless customer experience is a priority.
- Coordinated Transfers
  o Timed, well-coordinated transfers increase the usability of the rail system and help provide high quality service to a larger range of travel markets.
- Clock-Face Scheduling
  o With clock-face scheduling, trains arrive and depart at consistent intervals, like every 10 minutes. This simplicity makes it easy for customers to remember train schedules, which cuts down on travel planning complexity.
- All-Day Service
  o Expanded all-day service makes the system more useful to a range of different customers and helps build new markets
Mr. Petty said that Caltrain must also consider how to balance competing priorities as it plans its future service.

Mr. Petty went on to report on the Market for Caltrain, both today and what the future might look like. He advised that the following material he will cover is given to the local policy maker groups on a monthly basis and can be found with there.

Potential, Long-Term Demand for Caltrain Service:

*Purpose*
- Understand the underlying long range, order-of-magnitude demand for rail service in the Caltrain corridor.
- Establishes a rough, quantified benchmark that informs how a long range service vision can be calibrated and scaled

*Methodology*
- Use VTA – C/CAG Model updated with latest Plan Bay Area land use forecasts
- Develop a sensitivity test using an imaginary, high frequency, unconstrained service plan that includes:
  - Realistic train times (60-80 minutes SF-SJ)
  - High level of sustained all-day service (8 to 16 trains per hour per direction. These frequencies are comparable to many sections of the BART system)

Mr. Petty stated that this sensitivity test suggests that providing BART-like frequencies on the Caltrain Corridor has the potential to yield BART-like ridership. Today, Caltrain serves approximately 1,300 daily passengers per mile between San Francisco and Tamien Stations, while BART serves approximately 5,200 passengers per mile along its Richmond-Daly City and Fremont-Daly City trunk lines. The sensitivity test suggests Caltrain has a long term (2040) unconstrained demand of about 4,600 passengers per mile, comparable to BART’s core service in San Francisco and the inner East Bay. However, demand per mile south of Tamien is approximately 1/10th demand north of Tamien.

Mr. Petty also reported on other analysis being completed.

- The Business Case for the Service Vision - The project team will develop two “growth scenarios” or versions of a long range “Service Vision.” Each version of the potential service vision will have a business case that lays out the cumulative costs and benefits associated with it.

- A Framework for Decision-making - The business case helps the JPB Board select a 2040 Service Vision with a fully informed understanding of what their choice means for the long-term costs and benefits of the system. Once the Board has selected a long range Service Vision the business case can then be further optimized and detailed.

- Building an Integrated Business Model (IBM) - The IBM evaluates changes to the Caltrain System by integrating a broad range of data inputs and analysis. It is a tool that supports the active and informed management of Caltrain’s business.
Wider Economic Benefits of Caltrain for Communities - User Benefits and Regional Economic Benefits will be Calculated for the Following Major Categories:
  - Direct & Indirect Jobs
  - User Benefits
  - Societal Benefits
  - Land Value

Community Interface: Analysis
- Document the interface between the railroad and its surroundings
- Understand how the interface could change as the railroad and its surrounding communities grow
- Describe how the corridor-community interface is “managed” today
- Decision-making
- Delivery of projects
- Funding
- Compare with approaches used by national and international peer rail corridors

Outcomes
- Work with the communities to identify opportunities for how the corridor, not just individual projects, could be better managed to achieve both community and railroad goals. This includes considering both the appetite and need for a corridor-wide approach to address at-grade crossings.

Organizational Assessment
Key Concepts:
- Service Delivery
  - How Caltrain operates and manages service (both on and off the corridor)
  - Includes activities like train operations, maintenance, capital project delivery, joint development, planning, and budgeting
- Governance
  - The manner in which Caltrain is overseen by the Board
  - Focus on the agency’s decision making process and the Board’s oversight of the Caltrain organization
- Analysis
  - Initial organizational assessment and interviews with stakeholders
  - Organizational “mapping” and analysis of current Caltrain structure
  - Analysis of national and international peer railroads
- Outcomes
  - Understand the range of potential organizational structures for both service delivery and governance and evaluate at a high level
  - Work with JPB and JPA members to determine strategy and next steps
  - Identify near term priorities related to Business Plan implementation

Next Steps:
- Stakeholder Meeting Schedule
  - JPB Ad Hoc Committee
Member Cat Chang asked whether different technologies can help impact the goals around the business model. For example, the integration between different service networks, aside from aligning timetables. Are there better ways to communicate within Rail Operations? She also asked whether there are better ways to communicate with passengers using station displays and whether Wi-Fi makes Caltrain a more compelling service for riders. Additionally she asked Mr. Petty to share details around the organizational model. Mr. Petty responded that he will have further details after staff completes peer studies.

Member Paul Escobar asked, regarding the stakeholder outreach, whether there will be direct interface with the public, other than through advisory committees or city councils. Mr. Petty responded that staff will be doing more direct public outreach as part of the business plan starting in November and will hold a series of public meetings along the corridor and will conduct surveys. There will also be a dedicated webpage, starting next month, on caltrain.com. Public outreach will continue in the beginning of 2019 after staff has a better idea of the service vision.

Member Kevin Burke asked what constraints prevent Caltrain from providing additional service and 10 minute headways. Mr. Petty responded that currently the physical constraints are the grade separations and the fact that Caltrain is primarily a 2 track system. Another constraint is funding and is the reason for the business case to understand the cost with more service. Kevin Burke also asked whether staff will have blended service information from the High Speed Rail Authority in time for the board decision. Mr. Petty confirmed that staff will have that information by then. Mr. Burke asked how the fare strategy will show up in the long term 2040 business plan. Mr. Petty said for the long term 2040 vision, staff will look at what the board adopts in the fare policy and that they will not assume changes and those fares will hold constant and grow with inflation.

Member Cat Tucker suggested including trigger points for increasing or decreasing service in the business plan due to city population growth or reduction. Mr. Petty advised that it is essentially the intent to with the business plan.
Member Larry Klein stated that grade separation improvements need to be part of the High Speed Rail funding. He stated that it is critical to resolve the grade separation problem in order to be successful at the blending of service. Mr. Petty advised that the decision is made outside of Caltrain that include High Speed Rail, the State and other parties. Mr. Klein also stated that it is important to include, in the business plan, the changing of policy around building housing and office space on Caltrain owned property as those funding sources can become part of Caltrain’s revenue stream. Mr. Petty responded that regarding development, it may be a potential significant source of revenue for Caltrain, however it will not be fully captured in the 1st phase of the business plan and that it will be further explored in the 2nd phase.

Public comment:
Andy Chow, Redwood City, would like to see different integration of services in the business plan. He said that there is an opportunity to integrate service and fares with Samtrans. This would allow for more buses to run when Caltrain has less service and vice versa. This may improve the service to Gilroy as it may cost less to run a bus than a train to Gilroy. In addition, with fare integration, passengers would not pay an extra fee to transfer from one service to the other.

Jeff Carter, Millbrae, said that the business plan does not address trains that are already overcrowded and asked whether anything can be done in the interim to expand service and although Caltrain expanded service with the Bombardier cars, Caltrain needs to expand capacity now with longer trains to accommodate the demand that exist now. Mr. Carter also said that some stations need 4 tracks to allow for express trains. In addition, he stated that there needs to be more grade separations and that the public may say that this will incur more traffic, however he stated that it is no different than a stop light that changes every 90 seconds.

Roland Lebrun, San Jose, stated that with a 7-car EMU, that there are 12 more seats than with a 5-car Bombardier. He said that the corridor needs to run 7-car Bombardier, however with an 8-car EMU; Caltrain will have 200 seats less than a 7-car Bombardier. He said that San Francisco will not allow Caltrain to run more than 6 trains per direction until 16th street is grade separated. Roland stated that the only solution is to run double length trains and with that, platforms should run 1400 ft. He said that Blossom Hill, Gilroy, Diridon, Mountain View, Sunnyvale & Bayshore already have a 1400 ft. platform. Roland stated that clock face scheduling and blended service will never happen. Roland also stated that Caltrain needs Tamien-like service to Gilroy. In regards to Governance of Caltrain, Roland stated that it needs to follow the BART model and not have an appointed board, but instead an elected board. Lastly, Roland said that High Speed Rail will not do grade separation.

Drew, San Mateo County, asked how public comment get integrates to the business plan. He asked whether there is a way to trace an idea driven by public comment.

**STAFF REPORT UPDATE**

Jenifer Navarrete, Customer Experience Communications Lead, reported:
On-time Performance (OTP) -

- **September:** The September 2018 OTP was 92.6% compared to 94.7% for September 2017.
  
  - **Vehicle on Tracks** - There was one day on September 28, with a vehicle on the tracks that caused train delays.
  
  - **Mechanical Delays** - In September 2018 there were 1514 minutes of delay due to mechanical issues compared to 415 minutes in September 2017.
  
  - **Trespasser Strikes** - There were two trespasser strikes on September 23 and 26, one resulting in a fatality.

- **August:** The August 2018 OTP was 93.0% compared to 95.7% for August 2017.
  
  - **Trespasser Strikes** - There was one trespasser strike on August 24, resulting in a fatality.

**SF Weekend Caltrain Closure** -
Ms. Navarrete reported that the San Francisco Weekend Closure went well despite a busy weekend with events like Fleet Week, SF 49ers game, Stanford Game and the Hardly Strictly Bluegrass event at Golden Gate Park.

**Special Event Train Service** -

**Services Performed:**

- **Giants Baseball** - The Giants hosted 13 regular season home games in August. Total additional riders alighting and boarding at the San Francisco station, was 68,801. Year-to-date pre and regular season ridership, alighting and boarding at the San Francisco station, was 398,303, a 14 percent decrease compared to the same number of games in 2017.

  The Giants hosted 14 regular season home games in September. Event ridership will be provided in November.

- **SF 49ers Pre-Season** - The SF 49ers hosted the Dallas Cowboys on Thursday, August 9 at 7:00 p.m. and the Los Angeles Chargers on Thursday August 30, at 7:00 p.m. at Levi’s Stadium. Caltrain operated one extra post-game local train from Mountain View to San Francisco. For preseason home games in August, the total year to date ridership alighting and boarding at Mountain View station was 2,586, a 57 percent increase compared to the same number of games in 2017.

**Services Scheduled:**
SF 49ers Regular Season - The 49ers will host the LA Rams on Sunday, October 21, 2018 at 5:20 p.m. For weekend 49er home games, Caltrain will operate one additional pre-game southbound train with limited stops from San Francisco to Mountain View for passengers to connect to the VTA light rail. The extra train will then express to San Jose Diridon station, the last station stop. After all 49er home games, Caltrain will operate one extra post-game local train from Mountain View to San Francisco that will depart approximately 75 minutes after the game ends, or when full. While the Weekend Bus Bridge is in effect, all trains (including Special trains) will start and terminate at the Bayshore Station and connect to SamTrans Buses. Bus service will be provided to and from 22nd Street and San Francisco stations.

2018 Customer Satisfaction Survey
- The 2018 Customer Satisfaction Survey results have been finalized and will be presented to the CAC in December.

Public comment:
Jeff Carter, Millbrae, recognized Catherine David for a job well done with the Annual Counts this year. Ms. David responded and acknowledged that the new Senior Planner, Yu Hanakura, worked on the Annual Counts and included additional data and tables.

JPB CAC Work Plan

November 14, 2018
- Camera System
- Visual Messaging System Station Signage
- Grade Crossings Improvement

December 19, 2018
- Proof of Payment
- Wi-Fi Update
- Customer Satisfaction Survey (Key Findings)

Items to be scheduled
- Station Management Plan (getting to stations, capacity, usage, forecast, and planning) – requested by chair 3/2/16, modified 3/16/16 by Adina
- Schedule Audit – requested on 3/6/18 by Member Lauren Fernandez
- Presentation on a plan to clean-up right of way – requested by chair, Brian Shaw on 8/15/18.

DATE, TIME AND LOCATION OF NEXT REGULAR MEETING:
November 14, 2018 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 7:09 pm
AGENDA ITEM #7

Memorandum

Date: October 23, 2018
To: Board of Directors
From: Jim Hartnett, Executive Director
Subject: November 1, 2018 JPB Board Meeting Executive Director’s Report

- **On-time Performance** –
  
  o **Through October 22:** The preliminary October 2018 OTP was 95.8 percent compared to 93.5 percent for October 2017.

  o **September:** The September 2018 OTP was 92.6 percent compared to 94.7 percent for September 2017.

    ➢ **Trespasser Strike** – There were two trespasser strikes on September 23 and 26, one resulting in a fatality.

- **SF Weekend Caltrain Closure** – The first weekend of the SF Weekend Closure on October 6 and 7 was a success due to collaborative planning and execution efforts between Caltrain and SamTrans. During the busy weekend with same day events including the Fleet Weekend, Hardly Strictly Blue Grass Festival, Stanford college football game and 49ers football game, staff was at San Jose Diridon, Millbrae, Bayshore and SF stations to assist customers and provide information. Caltrain Bayshore Station Ridership for the first three weekends is significantly lower (24-37%) compared to the 2018 Annual Count Baseline ridership when excluding days when extra service for special events was provided. Details are presented in the table on the next page:
### Caltrain Bayshore Station Ridership - Comparison vs. 2018 Annual Count

<table>
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<tr>
<th>Wknd #</th>
<th>Date</th>
<th>NB (Alight)</th>
<th>SB (Board)</th>
<th>Daily Total</th>
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<th>% Diff. vs. 2018 Annual Count</th>
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<td>5,267</td>
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<td>-4.3%</td>
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* Baseline = total passenger load (number of passengers on board) at Bayshore recorded in the 2018 Caltrain Annual Passenger Count

** Indicates Special Event Extra Service

24 hour/day weekend work:
- Start: Friday Night after Revenue Service
- Finish: Monday Morning before Revenue Service

Weekends - Oct 6, 2018 to Late Spring 2019:
- Caltrain service north of the Bayshore Station will be suspended on the weekends
- Caltrain service south of Bayshore will remain unchanged
- Bus service will be provided from Bayshore to 4th and King and 22nd Street stations
- Caltrain weekday service will remain unchanged
- Bus Bridge Schedule and additional details are available at:
  [www.caltrain.com/SFWeekendClosure](http://www.caltrain.com/SFWeekendClosure)

- **Caltrain 2018 Annual Passenger Count** – A summary presentation to the Board was presented at the September 6 Board Meeting. The 2018 Annual Passenger Count Key Findings report is posted on the Caltrain website:
  [http://www.caltrain.com/about/statsandreports/Ridership.html](http://www.caltrain.com/about/statsandreports/Ridership.html)
• **CAC Meeting** – The Citizens Advisory Committee met on Wednesday, October 17, in San Carlos. Sebastian Petty, Senior Policy Advisor, provided a presentation on the Caltrain Business Plan. Jennifer Navarrete, Customer Experience Communications Lead - Rail Operations, provided the Staff Report. The next CAC meeting is scheduled for Wednesday, November 14, in San Carlos.

• **BAC Meeting** – The next Bicycle Advisory Committee meeting is scheduled for Thursday, November 15, in San Carlos.

• **Special Event Train Service** –

**Services Provided**

- **Giants Baseball** – September Close Out: There were 14 home games in September. Total additional ridership alighting and boarding at San Francisco station, was 57,670.

  Total pre and regular season additional ridership alighting and boarding at San Francisco station was 452,538, representing a 13 percent decrease over 2017.

- **San Jose Sharks** – There were 3 pre-season home games in September. Total post-game riders, including regular riders and Sharks fans, boarding at San Jose Diridon station in September was 416.

  The season home opener was on Wednesday, October 3 at 7:30 p.m. vs. the Anaheim Ducks. Event ridership will be provided in December.

- **Stanford Football** – The Stanford Cardinal hosted Utah on Saturday, October 6 (the same day the SF Weekend Closure took effect) at 7:30 p.m. Caltrain served the Stanford Stadium station with both northbound and southbound trains before and after the game. Event ridership will be provided in December.

- **SF 49ers Regular Season** – The 49ers hosted the Arizona Cardinals on Sunday, October 7 at 1:25 p.m. (the same weekend the SF Weekend Closure took effect) and the LA Rams on Sunday, October 21 at 1:25 p.m. Caltrain operated one extra pre-game train with limited stops and one extra post-game local train from Mountain View to San Francisco. Event ridership will be provided in December.
- **Eagles, Zac Brown and Doobie Brothers Concert at AT&T Park** – On Thursday, September 20 the Eagles, Zac Brown and the Doobie Brothers performed at AT&T Park starting at 5:00 p.m. Caltrain operated two extra post-event local trains that departed San Francisco after the concert. Total additional ridership alighting and boarding at the San Francisco station was 5,279.

- **Journey, Def Leppard and Foreigner Concert at AT&T Park** – On Friday, September 21 Journey, Def Leppard and Foreigner performed at AT&T Park starting at 6:00 p.m. Caltrain operated two extra post-event local trains that departed San Francisco after the concert. Total additional ridership alighting and boarding at the San Francisco station was 7,406.

- **Jay-Z and Beyoncé Concert at Levi’s Stadium** – On Saturday, September 29 at 7:30 p.m. Jay-Z and Beyoncé Concert performed at Levi’s Stadium for their ‘OTR II’ concert tour. Caltrain provided one extra post-event northbound local train. Total additional ridership alighting and boarding at Mountain View station was 582.

- **Stanford Scavenger Hunt** – The event took place in San Francisco on the weekend of September 29 and 30. The total number of tickets sold was 941, representing a 34 percent decrease over the 2017 event. There were seven less residences participating in 2018 (13) than in 2017 (20).

  Note: tickets were sold for travel in September only, due to the change in weekend service between San Francisco and Bayshore stations, effective October 6. In previous years tickets were sold for travel in September and October.

- **San Francisco Fleet Week** – On Saturday, October 6 and Sunday, October 7, Caltrain provided one extra pre-event train with limited stops from San Jose to Bayshore on both days before the Fleet Week airshows from 12:00 p.m. to 4:00 p.m. in anticipation of large crowds. There was no extra post-event service as this event occurred the same weekend the SF Weekend Closure took effect. Fleet week riders and regular riders alighting and boarding at Bayshore station was 6,908, a 64 percent decrease compared to 2017.

- **Warriors vs. Lakers Pre-Season** – The Warriors hosted a Pre-Season game vs. the Lakers on Friday, October 12 at 7:30 p.m. at SAP Center. Post-game additional ridership including regular riders and fans, boarding at San Jose Diridon station was 531.
Services Scheduled:

- **SF 49ers Regular Season** – The 49ers will host the Oakland Raiders on Thursday, November 1 at 5:20 p.m., NY Giants on Monday, November 12 at 5:15 p.m. and the Indianapolis Colts on Sunday, December 9 at 1:05 p.m. For the remaining weekend 49er home games, Caltrain will operate one additional pre-game southbound train with limited stops from Bayshore to Mountain View for passengers to connect to the VTA light rail. The extra train will then express to San Jose Diridon station, the last station stop. After all 49er home games, Caltrain will operate one extra post-game local train that will depart Mountain View station approximately 75 minutes after the game ends, or when full. While the Weekend Bus Bridge is in effect, all trains (including Special trains) will start and terminate at the Bayshore Station and connect to SamTrans Buses. Bus service will be provided to and from 22nd Street and San Francisco stations.

- **Stanford Football** – The Stanford Cardinal will host Washington State on Saturday, October 27 at 4:00 p.m. and Oregon State on Saturday, November 10 (start time to be announced). For weekend home games, Caltrain will serve the Stanford Stadium station with both northbound and southbound trains before and after games. Fans can tag on and tag off using their clipper cards at the Stanford Stadium station for all weekend home games.

- **San Jose Sharks** – The Sharks will host two more regular season games (total of 4 games) in October and nine games in November. Caltrain will track post-game ridership for all home games. No extra special trains are planned. For weeknight and Saturday night games, the last northbound train departs SJ Diridon station at 10:30 p.m. or 15 minutes after the game ends but departs no later than 10:45 p.m.

- **Holiday Service** – During the following Holidays, Caltrain will run the following services:
  - Thursday, November 22 – Thanksgiving (Holiday/Sunday Service)
  - Monday, December 24 – Christmas Eve (Regular Weekday Service)
  - Tuesday, December 25 – Christmas Day (Holiday/Sunday Service)
  - Monday, December 31 – New Year’s Eve (Regular Weekday Service + Pre & Post-Fireworks Special Trains)
  - Tuesday, January 1 – New Year’s Day (Holiday/Sunday Service)

- **Modified Service** – The Modified Service is a Modified Saturday Schedule with four extra trains in each direction and includes one round trip from
Gilroy to SF. The Modified Service will be implemented during the following Observed Holidays:

- Friday, November 23 – Day After Thanksgiving
- Monday, February 18 – President’s Day

- **PAC-12 College Football Championship Game** – The PAC-12 College Football Championship game will be held at Levi’s Stadium on Friday, November 30 at 5:00 p.m. The teams are still to be determined. Caltrain will track pre- and post-game ridership.

- **Holiday Train** – Caltrain will operate the Holiday Train in collaboration with the Silicon Valley Community Foundation (SVCF) on Saturday, December 1 and Sunday, December 2. With glittering lights and holiday decorations, the dazzling show-train will visit nine Caltrain stations between San Francisco and Santa Clara over two nights in December, providing holiday entertainment and collecting toy and monetary donations for local children who otherwise might not receive a gift during the holidays. Caltrain and SVCF also partner with local organizations to collect toys at each station for underserved children in our communities. On Saturday, December 1, the train will depart San Francisco and make stops at Burlingame, Redwood City, Mountain View, and Santa Clara. On Sunday, December 2, the train will depart San Francisco and make stops at Millbrae, San Mateo, Menlo Park, and Sunnyvale.

Due to operational changes to enhance safety at the Holiday Train stations, there will be impacts to regular train service. On Saturday, December 1 Southbound Train 434 will stop on the Northbound Platform at the Broadway, Burlingame, San Mateo, Belmont (Island Platform), San Carlos and Redwood City. Southbound Train 436 will also stop on the Northbound Platform at Santa Clara. On Sunday, December 2 Southbound Train 434 will stop on the Northbound Platform at Millbrae, Broadway, Burlingame and San Mateo. Southbound Train 436 will also stop on the Northbound Platform at Sunnyvale and Lawrence.

- **Capital Projects** –

The Capital Projects information is current as of October 17, 2018 and is subject to change between October 17 and November 1, 2018 (Board Meeting). Additional information can be found in the quarterly report presented at this Board meeting.

- **San Francisco Highway Bridges**: Replace three obsolete overhead vehicular bridges located in San Francisco at 23rd Street, 22nd Street, and
Paul Avenue. Construction started in March 2015 and was substantially completed in May 2017.

Resolution of a Buy America issue with Caltrans continues that will also resolve funding issues for the project. Discussions regarding cost reimbursement from the City of San Francisco for their Auxiliary Water Supply System (AWSS) also continue. The AT&T relocation reimbursement request for performing utility relocation on their behalf is in the process of being transmitted.

- **San Mateo 25th Avenue Grade Separation Project:** Raise the elevation of the alignment from Hillsdale Boulevard to south of the Highway 92 Overcrossing in the city of San Mateo. The project creates a grade separation at 25th Avenue, relocates the Hillsdale Station to the north, and creates two new east-west street grade-separated connections at 28th and 31st Avenues in San Mateo. Construction of the elevated rail alignment and the new Hillsdale Station will be phased to limit impact to the operating railroad.

In October, PG&E gas pipeline relocation along Delaware continued as well as underground PG&E electrical and, third-party and Caltrain’s Positive Train Control (PTC) Fiber Optic relocations. Construction of the 25th and 28th Avenue Bridges superstructures also continued. Construction of the Mechanically Stabilized Earth (MSE) walls began at the northern section of the project near Borel Creek and 25th Avenue.

The temporary closure of the Hillsdale Station, to allow completion of the project, is now forecast to occur in the Fall of 2019 until Spring of 2020. During the temporary closure, enhanced bus and shuttle service to the Belmont Station will be provided to minimize the temporary inconvenience.

Due to delays associated with obtaining UPRR approvals and its impact to beginning 3rd party fiber optic relocations; the project schedule has been affected. Overall construction completion is now forecast to be approximately 10-months late, with the completion date extended from early 2020 to October 2020. In addition, to the schedule impacts, the project has experienced significant impacts due to the inefficiency of working around a live fiber facility, as well as incurring additional construction costs associated with installing and working around temporary steel plate, and soldier pile walls, required to protect the 3rd party fiber optic during construction.

- **South San Francisco Station Improvements:** Replace the existing side platforms with a new centerboard platform, construction of a new...
connecting pedestrian underpass to the two new plazas in downtown South San Francisco to the west and the shuttle area to east. Upon completion, the hold-out rule at this station will be removed that currently impacts the overall system operational efficiency.

In October, mobilization for third party utility relocations for water, gas and electric was in progress. PG&E completed their utility relocations along Poletti Way. Critical third-party utility relocations that were originally scheduled to begin in November 2017 were delayed until August due to delays in obtaining Caltrans permits. Due to physical conflicts between third-party utility relocations and civil construction for critical path activities such as the pedestrian underpass, a partial suspension has been issued for construction to minimize delays and inefficiencies that would be caused by the stacking of the utilities and construction work. Critical path construction is now planned to resume in April 2019. Non-critical path activities such as OCS foundations for the Electrification project and work on Poletti Way will continue during the suspension period. Project delays due to Caltrans issues are projected to extend project completion from mid-2019 to mid-2020.

- **FY16 Grade Crossing Improvements Project:** The scope of this project is to improve the safety at 10 grade crossings along the corridor. Work items included are the installation of signals, fences, gates, curbs, lighting and signs. The existing grade crossing warning devices will be retrofitted to meet the latest California Public Utilities Commission standards. The crossings to be improved include 16th Street in San Francisco, Broadway in Burlingame, Peninsula and 4th Ave. in San Mateo, Ravenswood in Menlo Park, Alma and Charleston in Palo Alto, Rengstorff and Castro in Mountain View, and Mary in Sunnyvale.

  The construction contract also includes the installation of medians at five crossings in Santa Clara County. The scopes of two projects were combined into a single construction contract to improve cost and administrative efficiency. These medians are required by the FRA and are intended to create a barrier that discourages vehicles from driving around down crossing gates. The five crossings are Churchill and East Meadow in Palo Alto, Sunnyvale Avenue in Sunnyvale, and Auzerais and West Virginia in San Jose.

  In October, work has been completed at Ravenswood Avenue in Menlo Park, Peninsula Avenue in San Mateo, and Broadway in Burlingame. Work is now underway at Rengstorff Avenue and Castro Street in Mountain View. Overall construction is expected to complete by February 2019.
o **Sunnyvale Station Rehabilitation Project:** Replace the surface pavers in the station platform with colored cast-in-place concrete and the relocation of the north pedestrian crossing to the north by approximately 83 feet. Some of the surfaces of the platform pavers have become uneven and this project will create a smooth and even platform surface. The relocation of the north pedestrian crossing will help to clear the southern crossing that is currently partially blocked when northbound 6-car consists arrive at the Sunnyvale Station.

The construction is being phased in six partial sections of the station platforms so that passenger service may continue during construction. In October, the north pedestrian crossing was closed in order for the contractor to construct the 83-foot extension of the station platform. Overall completion is forecast by the end of November.

o **F-40 Locomotive Mid-Life Overhaul Project:** Perform mid-life overhaul of three F40PH2C locomotives. The mid-life overhaul of the locomotives shall include compete disassembly of the main diesel engine, overhauling by reconditioning re-usable main frame components and re-assembly with new engine components and replacement of the Separate Head-End Power (SEP-HEP) unit and all electrical components of the SEP-HEP compartment. All areas of the locomotive car body, trucks, wheels and electrical components shall be reconditioned to like-new condition or replaced with new material. The work shall be completed off-site at contractor’s (Motive Power) facility location at Boise, Idaho. The three locomotives are Locomotive #'s 920, 921 and 922.

Locomotives #'s 920 and 921 were shipped to the vendor’s facility in February and March. Both locomotives are still undergoing overhaul; the expected returned to the CEMOF facility in San Jose for acceptance testing has been delayed by approximately 5 months to January and February return dates for acceptance testing due to the vendor’s labor shortages. Locomotive #922 is now scheduled to be shipped to the vendor’s facility in December with an anticipated return date to CEMOF in September 2019 for acceptance testing.
TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: John Funghi
Chief Officer, Caltrain Modernization Program

SUBJECT: PENINSULA CORRIDOR ELECTRIFICATION PROJECT MONTHLY PROGRESS REPORT

ACTION

SIGNIFICANCE
Staff prepares and submits a report covering the PCEP on a monthly basis.

BUDGET IMPACT
There is no impact on the budget.

BACKGROUND
The MPR is intended to provide funding partners, stakeholders, and the public a PCEP overview and an overall update on project progress. This document provides information on the scope, cost, funding, schedule, and project implementation.

Prepared by: Josh Averill, Program Management Administrator 650.508.6453
AGENDA ITEM # 7 (a)

PENINSULA CORRIDOR ELECTRIFICATION PROJECT (PCEP)

Q1 Quarterly Update #16
July 1 – September 30, 2018

JPB Board Meeting
November 1, 2018
Agenda Item # 7(a)

PCEP Work Segment Map
ELECTRIFICATION

Progression of Design

• Overhead Catenary System (OCS):
  – Continued final design and Design Change Notices (DCNs) for all segments
  – Continued technical coordination with Union Pacific Railroad (UPRR) for Segment 4 OCS design changes

• Signal System:
  – Continued technical coordination with UPRR for systemwide signal system design
  – Continued developing Consistent Warning Time (CWT) solution, including an updated design approach and typical designs for 3 locations
  – Continued review of Line of Sight studies

• Traction Power System:
  – Continued design of Traction Power Facilities plans in all segments
  – Completed design of Traction Power Substation (TPS) 1 and Paralleling Station (PS) 4 in Segment 2
  – Issued change for location of PS-3 based on coordination with the City of Burlingame
  – Continued coordination with PG&E on design of interconnection and VTA on design of TPS-2 interconnection

• Communication System:
  – Continued work on systemwide communication design

• Systems Integration:
  – Continued design of Systems Integration Testing Plan
### ELECTRIFICATION

#### Issued for Construction Designs Completed

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Note: Data as of September 30, 2018

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### ELECTRIFICATION

#### Construction Progress

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<tr>
<td><strong>Total</strong></td>
<td><strong>1,232</strong></td>
<td><strong>446</strong></td>
<td><strong>941</strong></td>
</tr>
</tbody>
</table>

Note: Foundations Required do not match Poles Required as guy foundations are needed in some locations for extra support.

Note: Data as of October 18, 2018
TPS-2 Transformer Installation

Construction Photos: Runs of Static Wire in S2WA5
Construction Photos: Runs of Static Wire in S2WA5

Other Electrification Contracts

- Supervisory Control and Data Acquisition (SCADA)
  - Performed power, heating, ventilation and air conditioning site review and developed a sufficiency study
  - Received equipment and established lab
  - Continued to implement features such as clearance and remote power terminal
- Centralized Equipment Maintenance and Operations Facility (CEMOF)
  - Design complete
  - IFB Release: July 26, 2018
  - Pre-Bid: August 8, 2018
  - Bids Due: November 9, 2018
  - NTP: March 1, 2019
Other Electrification Contracts (continued)

• Pacific Gas and Electric (PG&E)
  – Continued design of Permanent Power at FMC and East Grand
  – Continued construction for FMC Temp Power–Cutover for Temp Power scheduled for November
  – Continued Material procurement for Permanent Power

Tunnel Modifications

• Tunnel Modifications Contract awarded to Proven Management (PMI)
  – Limited Notice to Proceed issued August 1
  – Notice to Proceed issued October 6
• Work in tunnels to be performed during weekend shutdowns between Bayshore Station and 4th and King Station from October 6, 2018 to late spring 2019
• Two consecutive weekend shutdowns have occurred as of 10/19/18
• Work performed to date includes:
  – Grouting work began (Tunnel 1 completed 10/14/18)
  – Hand notching began in Tunnel 2
  – Tunnel and OCS location survey
  – OCS Termination structure foundation potholing
• No impacts to service on Monday mornings
**DISADVANTAGED BUSINESS ENTERPRISE (DBE)**

Goal of 5.2% ($36,223,749) of the DB contract

- As of September 30, 2018
  - $12,511,296 has been paid to DBE subcontractors

![Graph showing DBE contracts awarded and goal progress]

**ELECTRIC MULTIPLE UNITS (EMU)**

**Stadler**

- System, Car and Trainset level designs continue to be finalized
- System level design conformance testing commenced
- First 2 carshells have arrived in Stadler’s new Salt Lake City facility
- Shells undergoing preparation for interior assembly
- Remaining cars for Trainset 1 in transit to Salt Lake City
- Stadler new Salt Lake City facility construction on schedule and progressively completed to support car assembly advancement
- Carshells for Trainsets 2 and 3 in various stages of fabrication in Altenrhein
- Bogie (truck frame) fabrication underway in Winterthur
- Onboard Positive Train Control equipment supplier substitution advances with no known car delivery delays or additional cost
Car Progressive Assembly Area (under construction)

First 2 Carshells Arriving at Stadler SLC Facility

First Cab Carshell Offloaded at SLC ‘Displacement Hall’

**CalMod**

**EMU**

**SCHEDULE**

**MILESTONES**

- Caltrain strategic plan makes electrification a priority
- Environmental Clearance
- Award Contract
- Groundbreaking
- First Electric Train Arrives
- Passenger Service with Electric Trains
- Additional Capacity Improvements
- Electrification Infrastructure Construction
- Final System Testing

*Please keep in mind that testing and construction will overlap as each segment will be tested individually, prior to final system testing.*

**Note:** Schedule Subject to Change
RISK MANAGEMENT

- Review Cost and Schedule Impacts of Risk Register
- 286 risks; 93 active; 193 retired
- Top Risk: BBII may be unable to develop grade crossing modifications that meet regulatory requirements prior to scheduled testing and commissioning of the consistent warning system
- Mitigation:
  - Develop solution per contract terms and budget
  - Advance speed check solution
  - Coordinate solution with Operations
  - Meet with FRA, CPUC and UPRR
  - Revise budget to achieve desired solution

BUDGET & EXPENDITURES
## BUDGET & EXPENDITURES (in millions)

<table>
<thead>
<tr>
<th>Item</th>
<th>Budget</th>
<th>Current Budget</th>
<th>FY19 Q1 Costs</th>
<th>Costs to Date</th>
<th>Estimate at Completion</th>
</tr>
</thead>
<tbody>
<tr>
<td>Electrification</td>
<td>$696.61</td>
<td>$711.99</td>
<td>$26.72</td>
<td>$251.31</td>
<td>$711.99</td>
</tr>
<tr>
<td>SCADA</td>
<td>$0.00</td>
<td>$3.45</td>
<td>$0.52</td>
<td>$1.90</td>
<td>$3.45</td>
</tr>
<tr>
<td>EMU</td>
<td>$550.90</td>
<td>$550.56</td>
<td>$4.23</td>
<td>$92.40</td>
<td>$550.56</td>
</tr>
<tr>
<td>PG&amp;E</td>
<td>$57.22</td>
<td>$88.49</td>
<td>$2.22</td>
<td>$24.55</td>
<td>$88.49</td>
</tr>
<tr>
<td>Tunnel Notching</td>
<td>$11.03</td>
<td>$25.82</td>
<td>$2.90</td>
<td>$2.90</td>
<td>$25.82</td>
</tr>
<tr>
<td>Separate Contract &amp; Support Costs</td>
<td>$348.96</td>
<td>$346.45</td>
<td>$15.30</td>
<td>$168.28</td>
<td>$346.45</td>
</tr>
<tr>
<td>Contingency</td>
<td>$315.53</td>
<td>$253.43</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$236.83</td>
</tr>
<tr>
<td>Anticipated Changes</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$16.60</td>
</tr>
<tr>
<td><strong>PCEP Total</strong></td>
<td><strong>$1,980.25</strong></td>
<td><strong>$1,980.25</strong></td>
<td><strong>$51.89</strong></td>
<td><strong>$541.34</strong></td>
<td><strong>$1,980.25</strong></td>
</tr>
</tbody>
</table>

Note: Budget / Expenditures as of September 31, 2018

## ACTUAL VS PLANNED

- Current Available Funds: $618,843,971
- Future Expenditures: $541,340,215 as of 09/31/18
## CONTINGENCY DRAWDOWN

<table>
<thead>
<tr>
<th>Contracts</th>
<th>Amount</th>
<th>Contingency</th>
</tr>
</thead>
<tbody>
<tr>
<td>Beginning Contingency</td>
<td>$315,533,611</td>
<td></td>
</tr>
<tr>
<td>Drawdown</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Executed Change Orders</td>
<td>$12,546,404</td>
<td></td>
</tr>
<tr>
<td>SCADA Contract</td>
<td>$3,446,917</td>
<td></td>
</tr>
<tr>
<td>PG&amp;E Supplemental #4</td>
<td>$31,263,082</td>
<td></td>
</tr>
<tr>
<td>Tunnel Modifications</td>
<td>$14,786,286</td>
<td></td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$62,042,689</strong></td>
<td></td>
</tr>
<tr>
<td>Remaining Contingency</td>
<td></td>
<td>$253,490,922</td>
</tr>
</tbody>
</table>

Note: As of September 31, 2018

## ANTICIPATED CONTINGENCY DRAWDOWN

<table>
<thead>
<tr>
<th>Contracts</th>
<th>Amount</th>
<th>Contingency</th>
</tr>
</thead>
<tbody>
<tr>
<td>Remaining Contingency</td>
<td>$253,490,922</td>
<td></td>
</tr>
<tr>
<td>Pending Contingency Drawdown</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tunnel OCS</td>
<td>$16,600,000</td>
<td></td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$16,600,000</strong></td>
<td></td>
</tr>
<tr>
<td>Anticipated Remaining Contingency</td>
<td>$236,890,922</td>
<td></td>
</tr>
</tbody>
</table>

Note: As of September 31, 2018
COMMUNITY OUTREACH
OUTREACH

Meetings, Mailers & Website

MEETINGS
14 PUBLIC MEETINGS

MAILERS
64,913 DIRECT MAILERS

CALMOD.ORG WEBSITE
27.88% USERS (8,480 VS. 6,631)
84.8% NEW VISITORS
15.2% RETURNING VISITORS

CalMod E-Newsletter

JULY
1,341 SUBSCRIBERS
43% OPEN
93 TOTAL UNIQUE CLICKS

AUGUST
1,387 SUBSCRIBERS
45% OPEN
102 TOTAL UNIQUE CLICKS

SEPTEMBER
1,523 SUBSCRIBERS
38% OPEN
86 TOTAL UNIQUE CLICKS

CONTACT

CALMOD CONTACT INFORMATION

WEBSITE CalMod.org
EMAIL CalMod@caltrain.com
PHONE 650-399-9659
800-660-4287 (Toll Free)

OFFICE 2121 S. El Camino, Suite A-100
San Mateo, CA 94403
9 a.m. - 5 p.m. Monday - Friday

FACEBOOK www.facebook.com/caltrain
TWITTER @caltrain
QUESTIONS
TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Michelle Bouchard
Chief Operating Officer, Rail

SUBJECT: CALTRAIN POSITIVE TRAIN CONTROL PROJECT UPDATE – OCTOBER 2018

ACTION
Staff Coordinating Council recommends that the Board receive the Positive Train Control (PTC) report for October 2018.

SIGNIFICANCE
Staff will provide monthly updates covering PTC related activities during the previous month and provide a preview of activities anticipated to take place during the current month.

BUDGET IMPACT
There is no budget impact.

MONTHLY UPDATE

1. Status on Major Milestones to Successfully Enter RSD December 2018

<table>
<thead>
<tr>
<th>Key Project Activity</th>
<th>Expected Completion</th>
<th>Progress As Of 9/30/18</th>
<th>Progress On Track?</th>
<th>Mitigation Required or Approvals Needed</th>
</tr>
</thead>
<tbody>
<tr>
<td>Approval of Designated RSD Test Request</td>
<td>May 31st</td>
<td>Completed</td>
<td>Yes</td>
<td>Formal conditional approval received on September 10. Team incorporating FRA conditions in test plan to insure compliance approval.</td>
</tr>
<tr>
<td>Approval of revised project PTC Implementation Plan (PTCIP) and Request for Amendment (RFA)</td>
<td>May 31st</td>
<td>Completed</td>
<td>Yes</td>
<td>Formal approval received on September 20.</td>
</tr>
<tr>
<td>Pilot Installations (4) Completed</td>
<td>June 20th</td>
<td>Completed</td>
<td>Completed</td>
<td>All pilots completed</td>
</tr>
<tr>
<td>Submit Designated RSD Application</td>
<td>Oct 15th</td>
<td>In Process</td>
<td>Yes</td>
<td>Designated RSD area V&amp;V informal survey completed and submitted to FRA</td>
</tr>
<tr>
<td>Complete Critical Feature V&amp;V</td>
<td>Oct 30th</td>
<td>Completed</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>Designated RSD Training Complete</td>
<td>Nov 14th</td>
<td>In Process</td>
<td>No</td>
<td>Training started in October, on critical path for Alternative Schedule request</td>
</tr>
<tr>
<td>Designated RSD - Required Vehicle Install Completion*</td>
<td>Dec 3rd</td>
<td>In Process</td>
<td>Yes</td>
<td>(44) Total installs required – (4) pilots plus (40) other vehicles - 84% completed (37) thru October 19th</td>
</tr>
<tr>
<td>Complete All Designated RSD Testing (Lab, Functional and FQT)</td>
<td>Dec 18th</td>
<td>In Process</td>
<td>Yes</td>
<td>1st cycle of Lab completed, FIT testing began Oct 22nd</td>
</tr>
<tr>
<td>Start of Designated RSD*</td>
<td>Dec 19th</td>
<td>Not Started</td>
<td>Yes</td>
<td>Receive FRA approval to run in PTC mode in Designated RSD area</td>
</tr>
</tbody>
</table>

*Key project activity that is tied to Wabtec performance incentive payment
Major Wabtec activities started and / or completed in October:

- Production installations of I-ETMS onboard equipment on Caltrain locomotive and Caltrain cab cars ongoing, cars may be used in normal operations with PTC not engaged. (37) units completed through October 19.
- Training by Wabtec for Caltrain and TASI staff (62 total to support RSD) began in October after delays in receiving Wabtec training material for review and approval. Training is a statutory criteria to requesting an alternative schedule and will be a critical path item until completed.
- Senior management review held between Caltrain and Wabtec senior staff to discuss project progress. Meetings will continue through year end to ensure all Caltrain concerns are addressed promptly.
- Field Verification & Validation testing continues, Wabtec completed the mandatory FRA brake testing for the two locomotive and two cab car vehicle types required, data has been submitted to the FRA.
- Initial round of lab testing completed at the Wabtec Jacksonville facility, results analyzed and second round has begun.
- Significantly large number of contract submittals continue to be submitted and re-submitted by Wabtec, reviewed and comments returned by Caltrain project team. A sampling of the submittals in October included:
  - Critical Features Validation and Verification Test Plan
  - Training materials for
    - PTC Overview
    - Base Stations
    - Onboard operation
    - Wayside operation
  - Brake Testing test plans for locomotives and cab cars
  - Bills of Material for multiple locomotives and cab cars
  - RSD Application
  - Brake Test results for multiple locomotives and cab cars
  - Functional Test plan
  - Field Qualification Test plan
  - Multiple Requests for Information

2. Change Order Log - There have been no change orders requested from Wabtec during this reporting period, and there are none in process or review by CALTRAIN.

3. Risk Management - Caltrain and Wabtec have agreed to share the management of an identified list of risk items which were identified during the contract negotiations. The total cost allocated to these risks is $1.9M to be shared amongst both parties. Unrealized risks will result in cost savings to the Caltrain.

   To date no risks have been identified requiring use of the risk funds. There are also risks to be monitored outside the Wabtec specific contract that the project team monitors and mitigates as necessary. The following table captures the top risks both external (outside the Wabtec contract) and internal (specific to the Wabtec contract):
### Risk Item | Type | Mitigation Action
--- | --- | ---
Potential EMU delay due to move from I-ITCS to I-ETMS | External | Project team continues to support EMU team effort to bring Wabtec under contract to provide PTC solution required for EMU cars with minimal delay.
FRA process changes | External | Maintain close and open relationship with key FRA contacts to ensure all submittals are done correctly within required time frame to achieve 2018 RSD.
FRA review cycle delays | External | Delays were being incurred due to significant volume of submittals from all properties requiring review and approval of RSD documentation prior to year end. Team working with FRA to minimize any delays incurred with Caltrain documentation and speed FRA review process (see #4 FRA document status below).
Interoperability delays | External | Caltrain is working with UPRR and tenants to ensure agreed to interoperability schedule dates are maintained.
Onboard installation delays | Internal | Pilot installations are complete, production units in progress. Wabtec must ensure production installation schedule is maintained to achieve required 2018 installs to achieve RSD.
Track access delays | Internal | Ensure field test schedule is maintained by coordinating all field work in combination with other capital projects needs, particularly the PCEP project.
Back Office Server (BOS) documentation scope creep | Internal | Ensure standard documentation supplied by Wabtec meets requirements of Caltrain specification criteria.

### Caltrain PTC Project FRA Documentation Status

Weekly calls with FRA review team instituted in August have continued through October. Continued progress occurred this month to gain FRA approval of key project documents required to enter RSD (see below), in particular receiving the formal written approval of the revised PTC Implementation Plan.

<table>
<thead>
<tr>
<th>Document Name</th>
<th>Status - Through October 19th</th>
<th>Projected Submittal Date</th>
<th>Actual Submittal Date</th>
<th>Need FRA Approval By</th>
</tr>
</thead>
<tbody>
<tr>
<td>Updated PTC Implementation Plan and Request for Amendment of the PTCIP</td>
<td>Formally approved</td>
<td>6/22/2018 (final)</td>
<td>Received September 2018</td>
<td></td>
</tr>
<tr>
<td>Test Request</td>
<td>Formal approval received 9/10/18</td>
<td>6/22/2018 (final)</td>
<td>Received September 2018</td>
<td></td>
</tr>
<tr>
<td>Subdivision and Critical Asset Configuration Management Plan</td>
<td>Final approved by FRA - 8/13/2018</td>
<td>7/25/2018</td>
<td>Received September 2018</td>
<td></td>
</tr>
<tr>
<td>Critical Features Verification and Validation Procedure</td>
<td>Final approved by FRA - 8/16/2018</td>
<td>8/15/18</td>
<td>Received August 2018</td>
<td></td>
</tr>
<tr>
<td>Critical Features Verification and Validation Plan - Designated Track Section</td>
<td>Final approved by FRA - 8/16/2018</td>
<td>8/15/18</td>
<td>Received August 2018</td>
<td></td>
</tr>
<tr>
<td>Critical Features Verification and Validation Plan - Brake Test Area</td>
<td>Final approved by FRA - 8/16/2018</td>
<td>8/15/18</td>
<td>Received August 2018</td>
<td></td>
</tr>
<tr>
<td>Signal and Switch (WIU) Verification and Validation Procedure</td>
<td>Final approved by FRA - 8/16/2018</td>
<td>8/15/18</td>
<td>Received August 2018</td>
<td></td>
</tr>
<tr>
<td>Signal and Switch (WIU) Verification and Validation Plan - Designated Track Section</td>
<td>Final approved by FRA - 8/16/2018</td>
<td>8/15/18</td>
<td>Received August 2018</td>
<td></td>
</tr>
<tr>
<td>Static Bulletin Delivery Confirmation</td>
<td>Final approved by FRA - 8/16/2018</td>
<td>8/15/18</td>
<td>Received August 2018</td>
<td></td>
</tr>
<tr>
<td>Brake Test Plan - F40 locomotive</td>
<td>Final approved by FRA - 8/22/2018</td>
<td>8/21/2018</td>
<td>Received August 2018</td>
<td></td>
</tr>
<tr>
<td>Brake Test Plan - Gallery cab car</td>
<td>Final approved by FRA - 8/22/2018</td>
<td>8/21/2018</td>
<td>Received August 2018</td>
<td></td>
</tr>
</tbody>
</table>
5. **Caltrain Roadmap to RSD**

- Caltrain is pursuing the following steps to first achieve FRA-approved Designated Revenue Service Demonstration (RSD), followed by full RSD status:
  1. Complete training of personnel required to support Designated RSD (training started in October, targeting November completion).
  2. Complete installation of I-ETMS equipment on vehicles required to support Designated RSD (in process, targeting late November completion).
  3. Completed required brake testing of designated RSD vehicles and round 1 of lab integration testing, started FIT testing for the Designated RSD area (15 miles of track on Caltrain property).
  4. Submission of Designated RSD application for approval by FRA.
  5. Once Designated RSD is achieved, Caltrain will complete remaining vehicle installations, train remaining personnel, and finish testing the remainder of the Caltrain property in 2019 to achieve full RSD. Caltrain will also complete tenant testing on Caltrain property and interoperability requirements on UPRR property as well.

- To limit the risk of not completing the above steps, Caltrain is also pursuing an alternative FRA-approved path to achieve RSD:
  - Submission for FRA approval of Caltrain-specific Substitute Criteria activities to be completed in 2018. Caltrain’s requested Substitute Criteria includes a detailed list of testing results that support completion of one cycle of Lab Integration End to End (LIEE) testing.
  - Upon completion of Statutory and Substitute Criteria activities, submission for FRA approval of Alternative Schedule to be followed to achieve RSD.
  - Upon approval of Alternative Schedule, submission of RSD application for approval by FRA.
  - Once RSD achieved, Caltrain will complete necessary steps to complete tenant testing on Caltrain property as well as interoperability requirements on UPRR property as well.

- To date, the FRA has been very receptive and supportive to both the Caltrain Designated RSD strategy as well as the Caltrain alternative path strategy.
Caltrain will continue working toward achieving the Designated RSD approval in 2018 while preparing submissions as needed to pursue the alternative path should conditions warrant its use.

6. Cost - Spend vs budget - through September 30, 2018

<table>
<thead>
<tr>
<th>Project</th>
<th>Original Budget (US$MM)</th>
<th>Approved Changes (Contractor) (US$MM)</th>
<th>Project Current Budget (US$MM)</th>
<th>Expended and Accrual To Date (US$MM)</th>
<th>Estimated at Completion (EAC) (US$MM)</th>
<th>Variance at Completion (US$MM)</th>
<th>% Expended of EAC</th>
</tr>
</thead>
<tbody>
<tr>
<td>CBOSS PTC Project (Jan 2008 - Feb 2018)</td>
<td>$231.00</td>
<td>$239.88</td>
<td>$202.26</td>
<td>$202.26</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Caltrain PTC Project (March 1st 2018 - June 2020):</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Integrator WABTEC Contract</td>
<td>$43.01</td>
<td>$43.01</td>
<td>$6.11</td>
<td>$43.01</td>
<td>-$</td>
<td>14.20%</td>
<td></td>
</tr>
<tr>
<td>Other Contractors</td>
<td>$6.00</td>
<td>$6.00</td>
<td>$0.43</td>
<td>$6.00</td>
<td>-$</td>
<td>7.21%</td>
<td></td>
</tr>
<tr>
<td>Potential Changes</td>
<td>$2.00</td>
<td>$2.00</td>
<td>$2.00</td>
<td>$2.00</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Potential Incentive - WABTEC</td>
<td>$2.00</td>
<td>$2.00</td>
<td>$2.00</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other Program Costs</td>
<td>$30.34</td>
<td>$30.34</td>
<td>$4.34</td>
<td>$29.77</td>
<td>$0.57</td>
<td>14.59%</td>
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</tr>
<tr>
<td>Project Contingency</td>
<td>$6.06</td>
<td>$6.06</td>
<td>$5.95</td>
<td>$5.95</td>
<td>$0.11</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total PTC Project</td>
<td>$89.41</td>
<td>$89.41</td>
<td>$10.89</td>
<td>$88.73</td>
<td>$0.68</td>
<td>12.27%</td>
<td></td>
</tr>
</tbody>
</table>

Note:
1. Expended and Arrual to Date is through September 30, 2018;
2. Integrator Wabtec Contract Value includes Shared Risk with Not to Exceed Total of $1.91MM;
3. Other Contractors amount includes ROCS Modification and potential fiber fixes;
4. Potential Changes amount is set for future project change orders as result of WABTEC assessment and survey for the communications and office subsystems;
5. Potential incentive amount reflects what is in the WABTEC conformed agreement;
6. Other Program Costs includes JPB project oversight costs, TASI support and Other Direct Cost for PTC project delivery;
7. Project contingency includes a) contingencies for WABTEC contract per Board Staff Report; b) JPB project team cost contingency;
8. CBOSS PTC project budget and actual cost are highlighted to reflect prior March 1st, 2018 CBOSS project financial data.

Caltrain continues effort to reduce previously identified $30M funding gap. Award of $18.7M CRISI grant (noted below) is used to reduce gap, Caltrain will reallocate funds from other resource avenues.

7. Items of note in October – This section reports on PTC general progress and issues being tracked outside the Wabtec contract during the current reporting month.

1) Received formal written conditional approval of Caltrain Implementation Plan (IP) and Request For Amendment (RFA) (submitted June 22) from FRA. PTC IP is a key document requiring approval for entering RSD.
2) Team continued to submit test plans to the FRA for review, updating as comments are received, then re-submitted until FRA approval is received.
3) Team participated in MTA04 design meeting with regional partners and TTCI representatives to continue to ensure of Spectrum radio bandwidth needs are met for all participating railroads.
4) Team worked with ARINC to clarify modifications required for ROCS to support PTC implementation, including CCF and BCCF updates as required.
5) The PTC project continues its coordination efforts with the Electrification and EMU programs via regularly scheduled status meetings such as the Biweekly CalMod Systems Integration, the PCEP Delivery Coordination and the PTC-PCEP coordination meetings. Ad hoc meetings to discuss topics requiring in-depth or immediate decisions are held as needed. Data sharing of fiber audit results and testing schedules (sharing of track and time) ongoing to insure both teams coordinate needs.
6) Caltrain configuration management (CM) manager continues full integration into project team to ensure all Caltrain CM requirements are maintained during project execution and transition to daily operations upon project completion.
7) Caltrain Go Live team reinstated to ensure smooth transition of PTC operations and maintenance upon project completion. These efforts include manloading planning for...
both Caltrain and TASI operations and maintenance, as well as coordination of Master Service Agreements (MSA) negotiations with key suppliers required to support PTC long term service needs.

8. Upcoming Key Activities in November -
1) Continue Critical Feature Validation and Verification (V&V) field testing of non-designated RSD.
2) Complete Field Integration Testing (FIT) and begin Field Qualification Testing (FQT) activities in designated RSD area.
3) Continue meeting with UPRR PTC counterparts to strengthen relationship needed to successfully implement interoperability on both properties. Caltrain requires UPRR continued support to receive FRA 2019 extension, no issues foreseen at this time.
4) Continue production onboard installations on Caltrain fleet - Continue production effort to complete onboard PTC product installation on (40) production vehicles that have been chosen for the (44) total vehicles to be installed and tested to complete the RSD requirements for fleet installations.
5) Continue regular monthly review with Wabtec senior management to ensure the Wabtec project team maintains focus on completing all activities required to meet 2018 RSD requirements.
6) Continue to work closely with the FRA regional and national representatives to ensure all aspects of documentation and testing requirements are maintained and approvals (by FRA) granted.

9. Vehicle Installation
- Continued good progress in October, integrator has continued to improve installation time as experience increases. Integrator needs to focus on remaining 2018 installs as gaining cars to retrofit will be harder as pool to complete is reduced. 44 vehicles require full installation of PTC equipment by December 2018 to achieve RSD goal.

| I-ETMS On-Board Installation Progress (As of 10/19/18) |
|---------------------------------|---------|---------|---------|
| **Equipment**                   | **Completed** | **In Progress** | **Pending** |
| F40PH-2CAT                      | 14      | 1       | 1       |
| MP36                            | 3       | 0       | 3       |
| Bombardier Cab                  | 3       | 1       | 1       |
| Gallery Cab                     | 17      | 0       | 0       |
| **Total**                       | **37**  | **2**   | **5**   |
| **%**                           | **84%** | **5%**  | **11%** |

Prepared By: Matt Scanlon, Deputy Director, Systems
TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Michelle Bouchard
Chief Operating Officer, Rail

SUBJECT: ADOPT CALTRAIN FARE POLICY

ACTION
Staff Coordinating Council recommends the Board adopt the Caltrain Fare Policy.

SIGNIFICANCE
The Peninsula Corridor Joint Powers Board (JPB) does not currently have a fare policy for the Caltrain system. The proposed Caltrain Fare Policy (Fare Policy), attached to the proposed resolution, consists of a framework of high-level goals that will underlie and guide future fare-related decisions for the agency. The agency's Codified Tariff, which sets fare products and prices, should align with and implement the adopted Fare Policy.

BUDGET IMPACT
There is no budget impact caused by adoption of the Fare Policy. Implementation of the Fare Policy through future changes to the Codified Tariff could result in budget impacts.

BACKGROUND
Adoption of a fare policy was a recommendation from Phase 1 of the Fare Study and a request from the Board of Directors (Board). Caltrain does not currently have a Board-adopted fare policy, and it has not established formal goals and principles to guide its decision-making with respect to setting fares. The fare products currently offered were developed at a time when attracting ridership was a primary goal of the agency. The agency currently relies on its fares to cover about 70 percent of its operating costs, because it does not have a dedicated source of funding. Historically, Caltrain has increased its fares every few years without an in-depth analysis of fare elasticities and how different products and pricing could impact ridership; additionally, many of the agency's recent fare changes were adopted in response to budget shortfalls. The Caltrain Fare Policy is sought to establish high-level goals to guide future decision-making regarding fares, thus providing policy guidance for addressing financial, ridership, and equity issues for fares.
Based on extensive discussions about fares that occurred throughout Phase 1 of the Fare Study with the Caltrain Board of Directors, JPB staff and leadership, and members of the public, staff developed four potential topic areas for goals to include in the Caltrain Fare Policy. At the JPB's October 2018 Board meeting, staff presented background information for the Fare Policy and led a workshop-style discussion with the Board. Staff solicited Board members' feedback on four potential topic areas to be covered in the Fare Policy and the specific goals that could be included in each topic area. Following a robust Board discussion, staff drafted the attached proposed Fare Policy for Board consideration and approval.

ADDITIONAL INFORMATION
At the October 2018 Board meeting, the Board provided staff with feedback during the workshop-style discussion, and it has been carefully considered in the drafting of the proposed Fare Policy. The text below provides additional information about how some of the specific Board comments in each topic area were considered and addressed in the proposed Fare Policy.

Financial Sustainability
Board members supported a policy goal that includes support for both Caltrain’s operating and capital budgets.

There was significant Board discussion around the subject of including a farebox recovery ratio for Caltrain’s operating budget in the proposed Fare Policy. Most Board members seemed to favor including a goal that references a specific ratio number or a range to be achieved. The proposed Fare Policy includes a minimum level of 65 percent for the farebox recovery ratio goal; this number is lower than the Fiscal Year (FY) 2018 farebox recovery ratio of approximately 72 percent (unaudited) and the FY 2017 ratio of approximately 69 percent. This minimum farebox recovery ratio conveys to the public that fares will need to be a significant portion of Caltrain's operating revenues for the time being. The proposed Fare Policy does not include a maximum farebox recovery level, so that the Board has the flexibility to raise the fares higher, if necessary. The proposed Fare Policy also contains a clause that this minimum level should remain in place until there is a stable external source of funding available to cover a significant portion of the operating budget, reflecting a concern by some Board members that the current fare levels are higher than should be required for public transportation.

Equity
Board members agreed that achieving consistency across the fare products in the revenue generated per passenger and per passenger mile is an important goal. Additionally, Board members acknowledged that the current fare products and pricing under the Codified Tariff will need to be examined carefully to determine where inconsistencies currently exist and how greater consistency can be achieved.

Board members also discussed age-based discounts, and language is included in the proposed Fare Policy to be clear that the agency will, at a minimum, comply with the federal requirements for such discounts. The proposed goal also leaves open the possibility that the Board could make changes while remaining within those federal limits (i.e., peak vs. off-peak discounts for seniors and riders with disabilities). The
The proposed Fare Policy further memorializes the agency's commitment to minimizing disparate impacts on minority riders and disproportionate burdens on low income riders, as required under Title VI of the Civil Rights Act of 1964 and the FTA's Title VI Circular.

The proposed Fare Policy also reflects the expressed desire of Board members to "advocate for and participate in" regional fare programs to make transit more affordable for low-income customers.

**Customer Experience**

There was Board agreement on the importance of providing predictable and incremental fare changes for the public and for the agency. The proposed goal provides flexibility regarding the amount and timing of fare changes, rather than prescribing exactly which changes must be considered when. This proposed goal will allow the Board to strategically adjust the Codified Tariff and ensure it aligns with the proposed Fare Policy, while also providing direction to the Board and staff about how to implement those fare adjustments.

Board members also discussed the importance of including a goal that addresses connectivity to other transit systems and other non-automobile modes of travel. The proposed Fare Policy contains a goal to encourage intermodal connections and consistency with Caltrain’s Comprehensive Access Policy, which establishes system-wide access priorities in the rank order of walk, transit, bike, and auto.

**Ridership**

The proposed Fare Policy reflects the Board’s expressed desire to include a goal to maximize the use of the agency’s infrastructure assets.

There was substantial discussion among Board members about bikes and Caltrain, including on-board the trains and at the stations. Upon further reflection, staff believes that future policy discussions will be needed to fully address these important access issues and questions, including how and when bicyclists and scooter users access the system. The proposed Fare Policy, as currently drafted, has flexibility to support fare decisions that may be made to incentivize desired rider behavior in support of the agency’s policy goals, including those concerning multimodal access or other operational goals.

**NEXT STEPS**

After the Fare Policy is adopted by the Board, it is recommended that the Codified Tariff be reviewed to ensure it aligns with and implements the Fare Policy. For any inconsistencies between the Codified Tariff and the Fare Policy, it is recommended that staff develop potential revisions to the Codified Tariff for Board consideration.

Prepared by: Melissa Jones, Principal Planner, Caltrain Planning 650.295.6852
RESOLUTION NO. 2018 -

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

***

ADOPTING THE CALTRAIN FARE POLICY

WHEREAS, the Peninsula Corridor Joint Powers Board (JPB) administers the Caltrain system, including setting fares; and

WHEREAS, Phase 1 of the JPB's Fare Study included a recommendation to adopt a Caltrain Fare Policy (Fare Policy) to establish a framework of high-level goals that underlie and guide fare-related decisions for the Caltrain system; and

WHEREAS, at its October 4, 2018 meeting, the Board of Directors (Board) provided staff with guidance on a series of topic areas and goals for inclusion in the Fare Policy; and

WHEREAS, consistent with the Board's guidance, staff prepared a proposed Fare Policy consisting of goals for four topic areas: financial sustainability, equity, customer experience, and ridership; and

WHEREAS, the Fare Policy supersedes Resolution No. 2013-06, which establishes a farebox recovery goal for the Caltrain system, in its entirety; and

WHEREAS, the Codified Tariff should implement the Fare Policy by setting the fare strategy (zone- vs. distance-based fares), products, and pricing in alignment with the goals of the Fare Policy; and

WHEREAS, Staff Coordinating Council recommends, and the Executive Director concurs, that the Board adopt the attached Fare Policy.
NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby adopts the Caltrain Fare Policy, attached hereto as Exhibit A, and incorporated by reference; and

BE IT FURTHER RESOLVED that the Board of Directors hereby directs staff to review the Codified Tariff to ensure that it aligns with and implements the Caltrain Fare Policy.

Regularly passed and adopted this 1st day of November, 2018 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary
Exhibit A

Caltrain Fare Policy

The Caltrain Fare Policy (Fare Policy) is a framework of high-level goals that underlie and guide fare-related decisions for the Caltrain system. Caltrain's Codified Tariff is a separate legal document that should align with and implement the Fare Policy by setting the fare strategy (zone- vs. distance-based fares), products, and pricing. When making fare-related decisions, all of the goals in this Fare Policy should be considered as a whole. This Fare Policy may be reviewed and updated as needed, including for alignment with the implementation of the Caltrain Business Plan or the start of electrified train service.

Financial Sustainability
- Ensure the agency's ongoing financial health, including the need for a balanced operating budget and support for capital programs.
- Achieve a farebox recovery ratio for the operating budget of at least 65 percent, until such time as there is an independent, stable source of funding to cover a significant portion of the agency's operating costs.
- Support achievement of other financial policy goals of the agency, such as the Caltrain Reserve Policy.
- Maintain fare products and collection methods that are cost-effective and easy for the agency to administer.

Equity
- Ensure consistency across fare products in the revenue generated per passenger and per passenger mile.
- Comply, at a minimum, with federal requirements for providing fare discounts, and for minimizing disparate impacts on minority riders and disproportionate burdens on low-income riders.
- Advocate for and participate in regional programs that make it more affordable for low-income customers to use transit.

Customer Experience
- Ensure that the fare system, including strategy, products, and pricing, is easy for customers to understand and use.
- Provide predictable and incremental fare changes.
- Encourage intermodal connections and consistency with the agency's Comprehensive Access Policy.
- Seek integration with regional fare programs.

Ridership
- Support achievement of the agency's goals on ridership.
- Maximize the use of the agency's infrastructure assets.
- Consider structuring fares to incentivize rider behavior in support of the agency's policy goals.
Caltrain Fare Policy Adoption

Board of Directors
November 1, 2018
Agenda Item #8
Caltrain Fare Policy Overview
What is a Fare Policy?

• **A fare policy:**
  - Contains the principles and goals that guide a transit agency in setting and collecting fares
  - Is adopted by the Board of Directors

• **A fare structure:**
  - Consists of fare strategy (zone vs. distance fares), fare media, and pricing levels

• **A codified tariff:**
  - Is a separate legal document, also adopted by Board
  - Implements the fare policy
  - Codifies the fare structure (including fare media and pricing) for the agency
Context for Caltrain’s Fare Policy

- This will be Caltrain’s first Fare Policy
  - Previous fare changes have generally been driven by budget shortfalls
  - Policy will establish high-level goals to guide decision-making around fares
- Developing a fare policy was a key recommendation from Fare Study Phase 1
  - Provide policy guidance for addressing financial, ridership, and equity issues with fares
- Requested by the Board of Directors
Context for Caltrain’s Fare Policy

- Informed by extensive discussion about fares with Board members, staff, and the public at JPB meetings dating back to 2016:
  - Phase 1 of the Fare Study:
    - August 2016
    - June 2017
    - January 2018
    - May 2018
  - Fare Policy:
    - October 2018
Proposed Policy Overview

• Four topic areas for policy goals discussed with Board in October:
  - Financial Sustainability
  - Equity
  - Customer Experience
  - Ridership

• All goals are equally important

• Caltrain Fare Policy proposed for adoption today
Proposed Caltrain Fare Policy
Caltrain Fare Policy – Preamble

• The Caltrain Fare Policy (Fare Policy) is a framework of high-level goals that underlie and guide fare-related decisions for the Caltrain system. Caltrain’s Codified Tariff is a separate legal document that should align with and implement the Fare Policy by setting the fare strategy (zone- vs. distance-based fares), products, and pricing. When making fare-related decisions, all of the goals in this Fare Policy should be considered as a whole. This Fare Policy may be reviewed and updated as needed, including for alignment with the implementation of the Caltrain Business Plan or the start of electrified train service.
Financial Sustainability

- Ensure the agency’s ongoing financial health, including the need for a balanced operating budget and support for capital programs.

- Achieve a farebox recovery ratio for the operating budget of at least 65 percent, until such time as there is an independent, stable source of funding to cover a significant portion of the agency’s operating costs.

- Support achievement of other financial policy goals of the agency, such as the Caltrain Reserve Policy.

- Maintain fare products and collection methods that are cost-effective and easy for the agency to administer.
Equity

• Ensure consistency across fare products in the revenue generated per passenger and per passenger mile.

• Comply, at a minimum, with federal requirements for providing fare discounts, and for minimizing disparate impacts on minority riders and disproportionate burdens on low-income riders.

• Advocate for and participate in regional programs that make it more affordable for low-income customers to use transit.
Customer Experience

• Ensure that the fare system, including strategy, products, and pricing, is easy for customers to understand and use.
• Provide predictable and incremental fare changes.
• Encourage intermodal connections and consistency with the agency’s Comprehensive Access Policy.
• Seek integration with regional fare programs.
Ridership

- Support achievement of the agency’s goals on ridership.
- Maximize the use of the agency’s infrastructure assets.
- Consider structuring fares to incentivize rider behavior in support of the agency’s policy goals.
Next Steps
Recommended Next Steps

- November JPB:
  - Seek Board adoption of Proposed Fare Policy
- Winter 2019:
  - Review Codified Tariff and report to Board on recommended changes to align with Fare Policy
  - Seek Board approval of changes to Codified Tariff
TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: John Funghi
Chief Officer, CalMod Program

SUBJECT: AUTHORIZATION TO EXECUTE A CHANGE ORDER TO THE PENINSULA CORRIDOR ELECTRIFICATION PROJECT CONTRACT WITH BALFOUR BEATTY, INC. FOR THE DESIGN OF POLE CHANGES REQUESTED BY THE CALIFORNIA HIGH SPEED RAIL AUTHORITY

ACTION
Staff Coordinating Council recommends the Board authorize the Executive Director, or his designee, to execute a change order to the Peninsula Corridor Electrification Project (PCEP) design-build contract with Balfour Beatty, Inc. (Contract) to include design of California High Speed Rail Authority (CHSRA)-initiated pole changes in the amount of $625,000 and in a form approved by legal counsel.

SIGNIFICANCE
The scope of the proposed change order consists of the design of CHSRA-requested modifications to relocate 196 Overhead Catenary System (OCS) poles by up to 3 feet. All of the pole relocations will be accommodated within the Peninsula Corridor Joint Powers Board (JPB) right of way.

By Resolution No. 2015-03, the JPB certified the PCEP Final Environmental Impact Report (FEIR) on January 8, 2015. Since certification of the FEIR, the JPB and the CHSRA have coordinated to meet the PCEP objective of accommodating blended Caltrain and High-Speed Rail (HSR) service on the newly-electrified right of way. As discussed in the PCEP FEIR, certain areas of track will need to be realigned in order to meet HSR and Caltrain service time goals in a blended system and support speeds up to 110 miles per hour.

The track realignment work will be implemented by CHSRA, not as part of the PCEP, after the blended system environmental clearance is completed. However, CHSRA has requested that the JPB make minor adjustments to the planned location of the OCS poles during the PCEP design-build process to accommodate anticipated future CHSRA realignment of certain track segments.

Revising the location of certain OCS poles and wires before PCEP construction will avoid future additional disruption to Caltrain service and neighboring communities, as
well as additional costs. The relocations would be implemented only where OCS alignments will:

- Work with both existing and future track alignments (e.g., the locations would work with the existing track alignment whether or not HSR track realignments are ever built);
- Not restrict alternatives under consideration in the CHSRA environmental process (e.g., the poles will not be relocated where multiple alignments are under consideration by CHSRA);
- Not result in substantial impacts to Caltrain or other infrastructure (such as stations, underpasses, or overpasses);
- Not require modification of the PCEP environmental permits; and
- Not result in new significant environmental impacts or substantially more severe environmental impacts than disclosed in the PCEP FEIR.

As required by the California Environmental Quality Act (CEQA), staff and the JPB environmental consultant, ICF International, prepared Addendum #2 to the PCEP FEIR to capture the OCS realignment work described above. Addendum #2 did not identify any new issues that would require a supplemental or subsequent Environmental Impact Report (EIR). On October 5, 2017, pursuant to Resolution No. 2017-50, the JPB certified Addendum #2 and approved the inclusion of the proposed OCS realignments. Additionally, as required by the National Environmental Policy Act (NEPA), the scope of the OCS pole modifications was re-evaluated by the Federal Transit Administration (FTA) and FTA determined that there were no new or substantially more severe environmental impacts than those disclosed in the federal environmental clearance for PCEP.

The proposed change order will allow the PCEP contractor to proceed with the design of the CHSRA-requested OCS pole locations. Potential construction costs due to the pole location changes are currently being evaluated and would be the subject of a subsequent change order.

The change order proposed for Board action has been approved by the PCEP Change Management Board.

**BUDGET IMPACT**

This Contract change order, as well as associated staff and other consultant costs, will be funded by CHSRA.

**BACKGROUND**

The PCEP is a key component of the Caltrain Modernization (CalMod) Program. The PCEP will electrify the Caltrain Corridor from San Francisco’s 4th and King Caltrain Station to approximately the Tamien Caltrain Station, convert diesel-hauled to electric trainsets (“Electric Multiple Unit” or “EMU”), and increase service to up to six Caltrain trains per peak hour per direction.
The Design-Build and Electric Multiple Unit contracts, which are the cornerstone contracts of the Caltrain Electrification Program, represent approximately 60 percent of the CalMod budget.

The Board of Directors has authorized the Executive Director to enter into change orders of up to 5%. As the proposed Contract change order would be specifically approved by the Board, the proposed action will not decrease the Executive Director’s remaining change order authority.

Presented By: Stacy Cocke, Deputy Director, Program Management 650.508.6207
RESOLUTION NO. 2018 -

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

***

AUTHORIZING THE EXECUTIVE DIRECTOR TO EXECUTE A CONTRACT CHANGE ORDER FOR
THE DESIGN BUILD CONTRACT WITH BALFOUR BEATTY, INC. FOR DESIGN OF OVERHEAD
CATenary SYSTEM POLE RELOCATIONS REQUESTED BY CALIFORNIA HIGH-SPEED
RAIL AUTHORITY

WHEREAS, the Peninsula Corridor Electrification Project ("PCEP" or "Project"), a key
component of the Caltrain Modernization program, will electrify the Caltrain Corridor
from San Francisco's 4th and King Caltrain Station to approximately the Tamien Caltrain
Station, replace diesel-hauled trainsets with Electric Multiple Unit trainsets, and increase
service to up to six Caltrain trains per peak hour per direction; and

WHEREAS, the primary purposes of the PCEP are to improve Caltrain system
performance and to reduce long-term environmental impacts associated with Caltrain
service by reducing noise, improving regional air quality and reducing greenhouse gas
emissions; and

WHEREAS, another goal of the PCEP is to construct an Overhead Catenary
System (OCS) in a manner that will not preclude the future implementation of high
speed rail service by the California High-Speed Rail Authority (CHSRA); and

WHEREAS, at the July 7, 2016 meeting, by Resolution 2016-35, the Peninsula
Corridor Joint Powers Board (JPB) Board of Directors (Board) authorized award of a
contract to Balfour Beatty, Inc., for design-build services for PCEP (Contract); and

WHEREAS, since that time, the CHARA has identified 196 locations where the
proposed placement of OCS poles and wires would complicate and increase the cost
of future development of the corridor for high speed rail service; and
WHEREAS, the JPB adopted addendum #2 to the Final Environmental Impact Report for PCEP on October 5, 2017 to reflect these pole and wire relocations; and

WHEREAS, the PCEP project team has successfully negotiated a Contract change order with Balfour Beatty to cover the design of the CHSRA-requested pole relocations (Change Order); and

WHEREAS, CHSRA has agreed to fund the cost of the Change Order and associated staff and other consultant costs; and

WHEREAS, this Change Order has been reviewed and approved by the PCEP Change Management Board; and

WHEREAS, the Staff Coordinating Council recommends that the Board approve the issuance of the above-referenced Change Order with the understanding that the Change Order will not count against the five percent contingency authority previously granted to the Executive Director for future Contract modifications.

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby authorizes the Executive Director to issue a change order to the Peninsula Corridor Electrification Project design-build contract with Balfour Beatty, Inc. to include the design of pole relocations requested by the California High Speed Rail Authority, in full conformity with the terms and conditions set forth in the Contract and in a form approved by legal counsel; and

BE IT FURTHER RESOLVED that the Board of Directors hereby directs that the above change order is to be issued without impacting the five percent contingency authority granted to the Executive Director to address future Contract modifications.
Regularly passed and adopted this 1st day of November, 2018 by the following vote:

AYES:

NOES:

ABSENT:

__________________________
Chair, Peninsula Corridor Joint Powers Board

ATTEST:

__________________________
J PB Secretary
TO: Joint Powers Board
THROUGH: Jim Hartnett
Executive Director
FROM: Derek Hansel John Funghi
Chief Financial Officer Chief Officer, CalMod Program
SUBJECT: AUTHORIZE AN AMENDMENT TO THE CONTRACT WITH PROVEN MANAGEMENT, INC. FOR THE TUNNEL MODIFICATIONS AND TRACK REHABILITATION PROJECT FOR THE PENINSULA CORRIDOR ELECTRIFICATION PROGRAM TO INCLUDE THE OVERHEAD CATENARY SYSTEM CONTRACT OPTION AND INCREASE THE CONTRACT AMOUNT BY $16,600,000

ACTION
Staff Coordinating Council recommends the Board authorize the Executive Director, or his designee, to execute an amendment to the contract for the Tunnel Modifications and Track Rehabilitation Project (Project) with Proven Management, Inc. (PMI) of Oakland, CA, in a form approved by legal counsel, to:

1. Include the contract option for the Peninsula Corridor Electrification Project (PCEP) Tunnel Overhead Catenary System (OCS) work (contract option); and
2. Increase the contract authority by a total sum of $16,600,000.

SIGNIFICANCE
The Project objective is to install the OCS in four existing tunnels (Tunnel Nos. 1, 2, 3, and 4). Installation of the OCS in the tunnels is required to provide electrified service. This work was included as a contract option in the Invitation for Bids (IFB) for the Project contract. The contract award to PMI in June 2018 did not include the contract option because the bid amount for the contract option was approximately twice the Engineer’s estimate.

The June 2018 contract award authorized the Executive Director, or his designee, to negotiate the final terms and conditions of the contract. Staff negotiated with PMI to reduce the price for the base work from $41,837,777 to $38,437,777 and entered into a contract with PMI. Although staff had previously determined not to proceed with the award of the OCS work in the contract option, other alternatives for procuring the contract option work were not feasible. Staff subsequently negotiated with PMI to reduce the Option price from $19,639,614 to $16,600,000 and now desires to amend the contract to include this work.
**BUDGET IMPACT**

The proposed contract amendment will increase the total contract amount by $16,600,000. This amount will be drawn from the contingency fund included in the PCEP Budget. This will result in a remaining balance of $236,890,922 from the original contingency budget of $315,533,611.

**BACKGROUND**

The Project will provide required infrastructure improvements and modifications for four tunnels (nos. 1, 2, 3 and 4) located on the Caltrain Corridor Right of Way (ROW) within the City and County of San Francisco. The contract's base scope of work consists of infrastructure improvements needed for the Peninsula Corridor Joint Powers Board to provide clearance to accommodate future electrified vehicles and existing diesel vehicles for both passenger and freight operations in the four tunnels, and to improve drainage, stabilize the track bed, and minimize pumping in the tunnels. In addition to installation the OCS in the tunnels, the optional scope of work also includes interconnection to the cross spans at eight portal termination structures.

One complete bid for the Project was received as listed below:

<table>
<thead>
<tr>
<th>Company</th>
<th>Total Option Bid Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Engineer’s Estimate</strong></td>
<td>$29,759,511 - Base Bid</td>
</tr>
<tr>
<td></td>
<td>$9,892,900 - Option Bid</td>
</tr>
<tr>
<td>1. Proven Management, Inc. Oakland, CA</td>
<td>$41,837,777 - Base Bid</td>
</tr>
<tr>
<td></td>
<td>$38,437,777 - Negotiated Amount of Base Bid</td>
</tr>
<tr>
<td></td>
<td>$19,639,614 - Option Bid</td>
</tr>
<tr>
<td></td>
<td>$16,600,000 - Negotiated Amount of Option Bid</td>
</tr>
</tbody>
</table>

PMI submitted all required bid documentation for the base bid and Option bid. Staff previously determined, and legal counsel concurred, that PMI was the lowest, responsive and responsible bidder.

Contract Officer: Cathy Hoang 650.295.6866
Project Manager: Liria Larano, Deputy Chief Officer, CalMod 650.622.7878
RESOLUTION NO. 2018-

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

*   *   *

AUTHORIZING AN AMENDMENT TO THE CONTRACT WITH PROVEN MANAGEMENT, INC.
FOR THE TUNNEL MODIFICATIONS AND TRACK REHABILITATION PROJECT FOR THE
PENINSULA CORRIDOR ELECTRIFICATION PROGRAM TO INCLUDE THE
OVERHEAD CATENARY SYSTEM OPTION AND INCREASE THE CONTRACT AMOUNT BY
$16,600,000

WHEREAS, the Peninsula Corridor Joint Powers Board (JPB) solicited competitive
bids for the Tunnel Modification Project (Project) to facilitate the Peninsula Corridor
Electrification Project (PCEP); and

WHEREAS, staff and legal counsel reviewed the sole submitted by Proven
Management, Inc., (PMI) of Oakland, CA and determined that PMI was the lowest,
responsive and responsible bidder; and

WHEREAS, because PMI's base bid was approximately 41 percent higher than the
engineer’s estimate, on June 7, 2018, the Board of Directors (Board) authorized staff to
negotiate with the sole bidder to achieve a price for the contract work that the PCEP
and capital budgets could accommodate; and

WHEREAS, staff negotiated with PMI to reduce the price for the base work from
$41,837,777 to $38,437,777 and entered into a contract with PMI; and

WHEREAS, the award of the Project contract to PMI in June 2018 did not include
the option for the Overhead Catenary System (OCS) work (Option) because the bid
amount for the Option was approximately twice the Engineer’s estimate; and

WHEREAS, although staff had previously determined not to proceed with the
optional work, staff subsequently negotiated with PMI to reduce the Option price from
$19,639,614 to $16,600,000 and now desires to amend the contract to include this work; and

WHEREAS, the Staff Coordinating Council recommends, and the Executive Director concurs, that the Board amend the contract with PMI to include the Option and increase the contract authority by $16,600,000 to facilitate the PCEP.

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby authorizes the Executive Director to execute an amendment to the contract for the Tunnel Modifications Project with Proven Management, Inc., in a form acceptable to legal counsel, to include the Overhead Catenary System work and increase the contract amount by a total sum of $16,600,00.

Regularly passed and adopted this 1st day of November, 2018 by the following vote:

AYES:

NOES:

ABSENT:

______________________________
Chair, Peninsula Corridor Joint Powers Board

______________________________
J PB Secretary

ATTEST:
AGENDA ITEM # 11
NOVEMBER 1, 2018

PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Derek Hansel                     Michelle Bouchard
Chief Financial Officer                Chief Operating Officer, Rail

SUBJECT: AWARD OF CONTRACTS FOR ON-CALL GENERAL ENGINEERING DESIGN SERVICES

ACTION
Staff Coordinating Council recommends the Board:

1. Award contracts to AECOM Technical Services, Inc. of Oakland, California and
HNTB Corporation of Oakland, California for an aggregate total not-to-exceed
amount of $25,700,000 to provide on-call, as needed, general engineering
design and design support services (Design Services) for a five-year term at the
negotiated rates specified in each contract.

2. Authorize the Executive Director, or his designee, to execute a contract with
each of the above firms in full conformity with the terms and conditions of the
solicitation documents and in a form approved by legal counsel.

SIGNIFICANCE
To meet an on-going need, the Peninsula Corridor Joint Powers Board (JPB) has
contracted with general engineering consultants to provide Design Services in support
of capital projects. Approval of the above actions will benefit the JPB by having
multiple, qualified firms available for provision of Design Services for successful
completion of current and future capital projects.

Award of these contracts will not obligate the JPB to purchase any specific level of
service from either of the firms selected as the Design Services will be performed under
Work Directives (WDs) issued to each firm on an on-call and project-by-project basis.

BUDGET IMPACT
Each WD will contain a defined scope of services, with a discrete schedule and
budget. WDs will be funded from approved capital and/or operating budgets using a
variety of funding mechanisms and sources and may include Federal, State, and local
revenues and grants.

BACKGROUND
The JPB has an ongoing need for Design Services, primarily consisting of multi-discipline
engineering, design, analysis, and architectural support services, to support the
planning and implementation of various capital projects.
The JPB issued a Request for Proposals (RFP) and advertised the RFP in a newspaper of general circulation, and on the JPB’s procurement website. Four firms submitted proposals:

1. AECOM Technical Services, Inc. of Oakland, California
2. HNTB Corporation of Oakland, California
3. T.Y. Lin International of Oakland, California
4. TranSystems Corporation of Berkeley, California

In accordance with federal and state law governing the procurement of architecture and engineering services, proposals were evaluated, scored and ranked solely on qualifications, with price being negotiated only with the highest ranked firms. An Evaluation Committee (Committee), composed of qualified staff from JPB Capital Program Delivery, Railroad Systems Engineering and Railroad Infrastructure Maintenance departments, reviewed and scored the proposals in accordance with the following weighted criteria:

- Qualifications and Experience of Key Personnel 30%
- Qualifications and Experience of Firm 25%
- Project Understanding and Management Plan 25%
- Quality Control Plan 20%
- Small Business Enterprise (SBE) Preference 5%

After initial review and screening of the technical proposals, two of the four firms were found to be in the competitive range. Both firms are qualified and established consultants that have successful experience with the JPB. The Committee, therefore, determined oral interviews would not be necessary. Staff successfully negotiated contract terms and conditions, including price, with each of the highest ranked firms and determined the prices to be fair, reasonable, and consistent with those currently paid by the JPB, and other public agencies in the Bay Area, for similar services.

Staff assessed Small Business Enterprise (SBE) preference points to all four firms for their proposed utilization of SBEs. AECOM Technical Services, Inc. committed to utilizing SBEs for 18% of the total contract value, including utilizing DBE subconsultants for 12% of the total contract value. HNTB Corporation committed to utilizing SBEs for 40% of the total contract value, including utilizing DBE subconsultants for 38% of the total contract value.

The two firms possess the requisite experience and qualifications required for successful performance of the scope of services defined in the solicitation documents, and are fully capable of providing the specified services. Design Services are currently provided by Rail Surveyors & Engineers, Inc. of Belmont, California and HDR Engineering, Inc., of Walnut Creek, California. The contracts expire in January 2019.

Procurement Administrator II: Jillian Ragia 650.508.7767
Project Manager: Chuck Bernardo, Senior Project Manager 650.508.6410
RESOLUTION NO. 2018- ___

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

*   *   *

AWARDING CONTRACTS TO AECOM TECHNICAL SERVICES, INC.
AND HNTB CORPORATION FOR PROVISION OF ON-CALL GENERAL
ENGINEERING DESIGN SERVICES FOR AN AGGREGATE TOTAL
NOT-TO-EXCEED AMOUNT OF $25,700,000 FOR A FIVE-YEAR TERM

WHEREAS, the Peninsula Corridor Joint Powers Board (JPB) issued a Request for
Proposals (RFP) for general engineering design and design support services; and

WHEREAS, in response to the RFP, the JPB received four proposals; and

WHEREAS, an Evaluation Committee (Committee) reviewed, evaluated, scored,
and ranked all the proposals according to the evaluation criteria set forth in the RFP,
and determined that two firms were in the competitive range; and

WHEREAS, the Committee completed its evaluation process, including
negotiation of cost, and determined that AECOM Technical Services, Inc. of Oakland,
California and HNTB Corporation of Oakland, California possess the necessary
qualifications and requisite experience to successfully perform the scope of services
defined in the solicitation documents, and have agreed to perform the specified
services at fair and reasonable prices; and

WHEREAS, staff and legal counsel have reviewed the proposals found to be in
the competitive range and have determined that the proposals comply with the
requirements of the solicitation documents; and
WHEREAS, Staff Coordinating Council recommends, and the Executive Director concurs, that the Board of Directors award contracts to AECOM Technical Services, Inc. and HNTB Corporation for general engineering design and design support services for an aggregate not-to-exceed amount of $25,700,000 for a five-year term.

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby awards contracts for general engineering design and design support services to AECOM Technical Services, Inc. and HNTB Corporation for a five-year term for an aggregate not-to-exceed amount of $25,700,000; and

BE IT FURTHER RESOLVED the Executive Director, or his designee, is authorized to execute contracts with AECOM Technical Services, Inc. and HNTB Corporation in full conformity with all of the terms and conditions of the RFP and agreement, and in a form approved by legal counsel.

Regularly passed and adopted this 1\textsuperscript{st} day of November, 2018 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

J PB Secretary
TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Michelle Bouchard
Chief Operating Officer, Rail

SUBJECT: ADOPT A TRANSIT ASSET MANAGEMENT POLICY

ACTION
Staff Coordinating Council recommends the Board adopts a Transit Asset Management Policy for the Peninsula Corridor Joint Powers Board (JPB).

SIGNIFICANCE
The purpose of Transit Asset Management (TAM) is to help achieve and maintain a State of Good Repair (SOGR) for an agency’s public transportation assets. TAM is a business model that uses transit asset condition to guide the optimal prioritization of funding.

If the Board of Directors (Board) adopts this TAM Policy, staff will move forward with implementing the TAM Plan that describes and formalizes the steps to develop a TAM Program, maintain JPB assets in a SOGR, and communicate JPB's progress to all relevant stakeholders.

BUDGET IMPACT
There is no budget impact that results from the adoption of the TAM Policy. However, future implementation of TAM Plan requirements will require additional resources, such as consultant and/or software support for updating an asset inventory that corresponds to asset condition ratings, or identifying SOGR needs. The TAM Plan also identifies the potential systems and staff enhancements that may be needed to achieve full compliance with Federal Transit Administration (FTA) regulations. Furthermore, the TAM Plan provides recommendations for SOGR investments which will need to be prioritized and integrated with future budget activities. Finally, resources will need to be identified to update the TAM Plan every four years, and to monitor and report on the JPB's progress.

BACKGROUND
In July 2016, FTA published the Transit Asset Management Final Rule (TAM Rule). The TAM Rule requires the JPB to develop its own TAM Plan and designate an Accountable Executive to ensure that necessary resources are available to carry out the TAM Plan. The initial TAM Plan was required to be completed by October 1, 2018. The TAM Plan
must then be updated at least every four (4) years.

On September 28, 2018, the JPB’s Executive Director approved the TAM Plan, meeting this requirement of the TAM Rule. The TAM Plan contains several key elements, such as:
- Agency-wide TAM Policy
- TAM Program implementation details
- An asset inventory
- A recommended capital reinvestment plan.

The TAM Plan aligns with the JPB’s vision to “provide a safe, reliable, sustainable modern rail system that meets the growing mobility needs of the San Francisco Bay Area region.” Naturally, the TAM Policy is an extension of the vision statement by setting the direction for establishing and continually improving asset management strategies and practices.

The JPB’s proposed TAM Policy reads as follows:

Caltrain is committed to sustainably maintaining its assets in a State of Good Repair in order to deliver a safe and reliable passenger rail service. This commitment will be ensured through financial stewardship and resource allocation, promoting a culture that supports asset management across the organization, and focusing on high quality information to provide the foundation for a risk-based approach for decision making.

The proposed TAM Policy also includes the following Focus Areas and Goals:

<table>
<thead>
<tr>
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<th>TAM GOAL</th>
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<td>Infrastructure &amp; Rolling Stock</td>
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<td>Strengthen asset management processes</td>
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<tr>
<td>People and TAM Culture</td>
<td>Promote asset management culture throughout the organization</td>
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</table>

Staff will be providing a supplemental presentation to discuss the TAM Plan, including the TAM Policy and findings.

Prepared By: Aaron Lam, Manager, Engineering, Configuration Management and Transit Asset Management 650.508.7785
RESOLUTION NO. 2018 -
BOARD OF DIRECTORS, PENINSULA CORRIDOR JOINT POWERS BOARD
STATE OF CALIFORNIA

***

ADOPTING A TRANSIT ASSET MANAGEMENT POLICY

WHEREAS, the Peninsula Corridor Joint Powers Board (JPB) desires to establish a policy that requires the agency to implement a strategic and systematic process for maintenance and improvement of Caltrain assets serving the Counties of San Francisco, San Mateo, and Santa Clara; and

WHEREAS, Transit Asset Management (TAM) is a business model that prioritizes funding based on the condition of transit assets to achieve and maintain a state of good repair for public transportation assets; and

WHEREAS, the Federal Transit Administration (FTA) requires the JPB to develop a TAM Plan, including a TAM Policy, per Title 49 Code of Federal Regulations Part 625; and

WHEREAS, on September 28, 2018, the Executive Director approved a TAM Plan, meeting the FTA requirement; and

WHEREAS, Staff Coordinating Council recommends that the Board adopt the TAM Policy as approved by the Executive Director.

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby adopts the following policy, to be effective immediately upon its passage:

Caltrain is committed to sustainably maintaining its assets in a state of good repair in order to deliver a safe and reliable passenger rail service. This commitment will be ensured through financial stewardship and resource allocation, promoting a culture that supports asset management across the
organization, and focusing on high quality information to provide the foundation for a risk-based approach for decision-making.

Caltrain's Transit Asset Management Program will focus on the following areas and goals:

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</table>
Regularly passed and adopted this 1st day of November, 2018 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

J PB Secretary
Transit Asset Management (TAM)

Board of Directors
November 1, 2018
Agenda Item # 12
Overview

- TAM Requirements
- New TAM Policy
- New TAM Program
- Next Steps
TAM Requirements

• Aging Assets - $90B nationwide backlog
• 2016: New FTA TAM Rule
  – Requirement to receive federal funds
  – TAM Plan due Oct 1, 2018
• TAM Plan completed Sep 28, 2018
  – Request Board to adopt new TAM Policy
New TAM Policy

“Caltrain is committed to sustainably maintaining its assets in a State of Good Repair in order to deliver a safe and reliable passenger rail service.

This commitment will be ensured through:
- Financial stewardship and resource allocation
- Promoting a culture that supports asset management
- Focusing on high quality information
- Risk-based approach for decision making”
### New TAM Policy

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New TAM Program

Prioritizes funding based on useful-life, age, or condition to maintain a SOGR

- Based on FTA guidelines
- Systematic process
- Risk-based evaluation
- Consistent approach for different types of assets
- Coordinated by Engineering; Agency-wide effort
New TAM Program

What does it provide?

• Distribution of available funds by asset types
• Estimated costs for future SOGR projects
• Asset information to meet reporting requirements
• Planning tool - 20 year outlook
• Transparency
• Lower long-term maintenance costs
• Key Performance Indicators (KPI)
• Increase reliability
• Improve safety
Asset Overview by Replacement Value

Total Current Asset Value: $3.5B*

Current Assets
- Rolling Stock
- MOW Equipment & Service Vehicles
- Track
- Stations
- Structures
- Maintenance Facilities
- Signals
- Communications
- Fiber

*Future Assets – (additional $720M)
- Positive Train Control
- Overhead Contact System
- Traction Power System
- Additional Rolling Stock

Total Asset Overview: $3.5B*
Facilities Track and Structures

Stations Systems *Vehicles

Current Backlog

Total Unaddressed Backlog: $283M

* EMU replacement addresses an additional vehicle backlog which is not shown here.
Next Steps

- Recommend adopting TAM Policy

- Program Rollout
  - Resource enhancements
  - SOGR investment recommendation
  - Integrate with future budget planning
  - Future TAM Plan updates

- **Additional SOGR needed for new assets**
JPB BOARD MEETING
November 1, 2018

Correspondence Packet as of October 24, 2018
Thank you Cindy.

Sent from my iPhone

On Sep 28, 2018, at 3:17 PM, Board (@caltrain.com) <BoardCaltrain@samtrans.com> wrote:

Good afternoon,

Thank you for your email. I will forward this information to the appropriate staff and include it in the correspondence file for the next Board meeting.

Please contact me if you have any questions.

Cindy Gumpal
Acting District Secretary
650-508-6279

Good Afternoon Caltrain Board,

I am writing to the Board to learn of what I hope to be a definitive plan of how Caltrain will keep riders advised of train movement within the system. The current “My Caltrain” app/Twitter feed is woefully inadequate and the station reader boards and audio announcements often lack accurate information. This need for real time train location availability to passengers, is vital during significant delays when mechanical or emergency incidents arise. My question is simple: If private ride share companies and the airline industry can provide a smart phone user with the location and movement of the car/plane they will be using, why does Caltrain not utilize that same, inexpensive and widely available technology?
During large incidents/long system wide delays, passengers need real-time data to make informed decisions of how they will get home, to work, or to an event. Riders must know if the train is moving to them or stuck at a station in order to arrange for a ride, take the bus, or even if they have time to get something to eat. The current system does none of that. The nature and details of what happened and why trains are not moving is irrelevant. Most reasonable folks know Caltrain is working hard at getting things back to normal given the circumstances. It is the lack of communication that is both maddening and frankly, inexcusable given the resources and technology available.

Passengers commit and sacrifice their family time and ever increasing expense to support public transportation. We deserve accurate and real-time communication. I am a Gilroy resident who bikes and rides the train to work each day, 12 months per year despite the weather. I have done so for more than five years and no intention of stopping. I rely on Caltrain. I work in local government and encourage my colleagues to leave the car at home and give public transportation a try. Many of my colleagues live along the Caltrain corridor, yet do not ride. Our City is actively pursuing employee incentives to expand alternative commute options. Caltrain has a pole position in that initiative. It is however, very difficult when something as simple as poor, outdated communication techniques, turn people off. I am the only City employee who rides Caltrain and am asked about my experience by curious would-be riders. I am honest with the good and bad. How can I be your advocate when it comes to the incredibly poor communication? A vague "not knowing" train status equates to system unreliability to the non-rider. We both know unreliability, perceived or not, is the bane of public transportation. You can erode that myth quite simply with a solid plan and implementation.

I’m not going anywhere. I believe in what you do. I support the electrification, and I will continue to ride daily. I do however, believe strongly that Caltrain needs to step up its game with communicating in a real-time way. Accidents and equipment malfunctions will always be a challenge. The low hanging fruit for Caltrain is the communication. Grab it. Do it.
Living in Gilroy and working in the San Jose area I am unable to attend Board meetings in San Carlos, but I would appreciate if this communication could be included as written communications in lieu of my ability to speak at the public comment item of your next Board meeting. Thank you in advance for your time and I appreciate your thoughtful response.

Alex Wykoff
Gilroy, CA
Dear Mr. Bomar,

Council Member Gee brought your feedback to our attention, and I wanted to get back to you. First, thank you for taking the time to inform us of your experience. We are currently working to increase the availability of Caltrain’s keyed bike lockers by monitoring locker activity and cancelling rental agreements at underused lockers. We are also interested to hear from Caltrain customers about how we can improve bike parking operations at our stations.

I also wanted to let you know that in 2017, the Board approved the Bike Parking and Management Plan (BPMP) which recommends a set of management and administrative reforms and implementation strategies to optimize the performance of Caltrain’s bike parking system. To enact the plan, Caltrain recently hired Dan Provence, a full-time staff member focused on BPMP implementation. We’re excited about the upcoming improvements to Caltrain’s bicycle parking program, as bikes are a sustainable first and last mile solution. You can contact Dan at provenced@samtrans.com to provide more details about your experience and how things can be improved in the future.

Thank you again for your feedback.

Best,

Lori Low

From: Daniel J. Bomar <>
Sent: Friday, September 28, 2018 5:43 AM
To: Council-Jeff Gee
Subject: Two months waiting on a bike locker key

Dear Mr Gee,

You are receiving this letter because you are a representatives of San Mateo County Transit District.

I want to begin by thanking Simone for meeting me and attempting to explain why it has taken more than two month to get a key to my locker.

I received the key on Wednesday 19th Sept. Thanks for the key guys, not sure why it took 9 weeks to do what should have taken two to three days.

From a customer's stand point, this delay is unwarranted. Though customers are renting the lockers and are not owner, they still have some basic rights. May I suggest management review the protocol for replacing a lock and incorporate some of the ideas/concepts from the following statement:

If it isn't an emergency, and the lessor of the locker has not request an emergency lock change, the lock should not be removed until the lessor has a key to the new lock in their possession.

On the surface Caltrain presents it's self as a well ran professional organization. It only took a small scratch to expose a maintenance department that has issues duplicating and mailing a key. What is going on in this department and why doesn't management seem to care to address the issue. Are they that understaffed that someone couldn't take 10 to 15 minutes to mail a key? If the person who has delayed the delivery of my locker key by two month is an employee, than they need to explain to management why the excessive delay in delivering a key. If they are a contractor, than their contract with Caltrain should be reviewed and cancelled if all possible.
Can you please be kind enough to extend my contract to cover the time I wasn't able to use my locker.

Thanks,
Respectively,
Daniel J. Bomar
PA Locker #10
Regards,
Karthik.
October 4, 2018

Honorable V. Raymond Swope
Judge of the Superior Court
Hall of Justice
400 County Center, 2nd Floor
Redwood City, CA 94063-1655

Dear Judge Swope:

I am writing on behalf of the Board of Directors of the Peninsula Corridor Joint Powers Board (JPB). This letter will serve as the JPB’s formal response to the July 24, 2018 letter from the Superior Court transmitting the report from the 2017-2018 Civil Grand Jury with regard to management of the Caltrain Modernization (CalMod) Program and the relative ease with which the public can locate information on CalMod. The JPB’s Board of Directors reviewed and approved (on October 4, 2018) this response to the Grand Jury report’s 11 findings (numbered F1 and F3-F12) and three recommendations (R1-R3).

As the report notes, the $1.98 billion CalMod Program includes electrification of the Caltrain right-of-way between San Jose and San Francisco and phased replacement of Caltrain’s fleet of diesel rail cars with new high-performance electric-powered rail cars (known as Electric Multiple Units or “EMUs”).

It is apparent, and the JPB appreciates, that the report was extensively and carefully researched, and takes appropriate notice of the numerous oversight mechanisms in place for the CalMod Program. The JPB also appreciates the opportunity to respond to the report’s findings and recommendations.

Findings

The JPB agrees with all of the findings set forth in the report. Relative to findings F9, F11 and F12, and as addressed further below, the JPB has made and will continue to make improvements to information available on the Caltrain and CalMod websites, including CalMod Monthly Progress Reports, which will include more detail on the use of contingency funds, project schedules and milestones.

Recommendations

The JPB values the Grand Jury’s recommendations, all of which concern the transparency of CalMod information. As the three recommendations are so intertwined, we offer the following response to all of them.
As the report notes, publicly-available CalMod budget and schedule information is updated regularly and made available through the PCEP Monthly Progress Reports. To access these reports, it is not necessary to navigate through each Board of Directors agenda link. Rather, these reports are consolidated in the online “CalMod Documents Library,” which is accessible in two clicks from either the Caltrain homepage or the Calmod.org homepage. Still, it is concerning that the Civil Grand Jury was not able to navigate to this resource. In response, the JPB has changed both webpages to make this information more readily accessible, including by making updates to the sites’ search functionality.

Furthermore, the CalMod Monthly Progress Reports currently include a chart that tracks CalMod’s progress vis a vis its projected budget. Also, the Executive Summary of each CalMod Monthly Reports lists critical milestones, and tracks the completion of these milestones against their projected completion dates. However, Caltrain will explore strategies for elevating and expanding this information within the Monthly Progress Report and on the websites, and will focus such improvements on providing meaningful transparency for the public.

In addition, the JPB wishes to address some of the Grand Jury report’s assumptions and recommendations related to the CalMod contingency. For “mega” projects like CalMod, the contingency is not simply a dollar amount added to an overall project budget. Instead, it is an essential part of the funding plan and is actively managed throughout project implementation as risks are anticipated and then retired, one by one, over time. This contingency and risk register process and progress are addressed in the CalMod Quarterly Reports, located on the same webpage as the CalMod Monthly Reports. To date, all CalMod contingency expenditures have been within the contingency budget.

In sum, the JPB believes that the completed and planned changes will fully address recommendations R2 and R3, and will address underlying needs expressed in recommendation R1. However, the JPB has determined that development of an interactive dashboard would be disproportionately costly relative to its value as all of the information that would be contained in such a resource already is available or planned through the means described above.

Thank you for the opportunity to respond to your report; I trust you will find our comments helpful.

Sincerely,

Jim Hartnett
Executive Director, Peninsula Corridor Joint Powers Board

cc: Board of Directors
via email to: grandjury@sanmateocourt.org
Again.