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

January 3, 2008 - Thursday 10:00 AM

1. Pledge of Allegiance

2. Call to Order/Roll Call

3. Report from Nominating Committee – Election of 2008 Officers

4. Public Comment

5. Consent Calendar
   Members of the public or Board may request that an item under the Consent Calendar be considered separately
   a) Approval of Minutes of December 6, 2007
   b) Acceptance of the Statement of Revenues and Expenses, November 2007
   c) Authorizing Award of a Contract to Sire Technologies, Inc. for Provisions of an Electronic Document and Records Management System and Software Maintenance and Support Services for a Fixed Price of $76,969
   d) 2008 Caltrain State and Federal Legislative Program

6. Chairperson’s Report
   a) Resolution of Appreciation to Outgoing Chair, José Cisneros
   b) Certificate of Appreciation to Outgoing CAC Chair, Michael Kiesling

7. MTC Liaison Report (Sue Lempert)

8. Report of the Citizens Advisory Committee

9. Report of the Executive Director
   a) Caltrain Performance Report – November 2007

10. Authorizing the Exercise of a One-Year Option to Extend the Contract with Amtrak

11. Authorizing Award of a Contract to Plasser American Corporation for Purchase and Delivery of One Dynamic Track Stabilizer for a Total Cost of $1,631,814


13. Presentation on the Transbay Terminal

RESOLUTION
INFORMATIONAL
14. Correspondence

15. Board Member Requests

16. Date/Time of Next Meeting
   Thursday, February 7, 2008, 10 a.m. at San Mateo County Transit District Administrative Building, Bacciocco Auditorium, 2nd Floor, 1250 San Carlos Avenue, San Carlos, CA 94070

17. Report Legal Counsel
   a) Closed Session: Anticipated Litigation Significant Exposure to Litigation Pursuant to Subdivision (c) of Section 54956.9 (One Potential Case)

18. Adjourn
INFORMATION FOR THE PUBLIC

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

If you have questions on the agenda, please contact the JPB Secretary at 650.508.6242. Assisted listening devices are available upon request. Agendas are available on the JPB Website at www.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 Ave., San Carlos, which is located one block west of the San Carlos Caltrain Station on El Camino Real. The building is also accessible by SamTrans bus Routes: 260, 295, 390, 391, and KX.

The JPB meets regularly on the first Thursday of the month at 10 AM. The JPB Citizens Advisory Committee meets regularly on the third Wednesday of the month at 6 PM 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 one minute and items raised that require a response will be deferred for staff reply.

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

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.
Chair José Cisneros, called the meeting to order at 10:04 a.m. and led the Pledge of Allegiance.

PUBLIC COMMENT
Jeff Carter, Burlingame, said passengers and conductors are not aware that effective January 1, 2008, BART will no longer be serving the airport from Millbrae. Announcements need to be made for passengers to be aware of this change. Mr. Carter would like to see some consideration be given for express trains on weekends.

CONSENT CALENDAR
The Board approved the items under the Consent Calendar as follows:
   a) Approval of Minutes of November 1, 2007
   b) Acceptance of the Statement of Revenues and Expenses, October 2007

   Director Ford arrived at 10:10 a.m.

CHAIRPERSON’S REPORT
   • Chair Cisneros appointed Directors Hill, Maxwell and Williams to the nominating committee for the 2008 Chair and Vice-Chair.
   • The JPB Citizens Advisory Committee is accepting applications for one of the San Francisco representative seats.

   MTC Liaison Lempert arrived at 10:12 a.m.

MTC LIAISON REPORT
Sue Lempert, MTC Liaison, reported that the MTC is going through an involved 2035 plan. MTC is committed to aggressive goals to reduce congestion, reduce emissions and save the planet, which involves increased use of transit. A high priority is developing areas near transit, in which San Francisco, San Mateo and Santa Clara have been leaders. Funds for this are available and the process is going on through June.
REPORT OF THE CITIZENS ADVISORY COMMITTEE (CAC)
Michael Kiesling, CAC Chair, reported that the Committee met in Santa Clara last month. The committee received an update on the new Website, a slide presentation on the CEMOF opening and a nominating committee was formed for the 2008 Chair and Vice-Chair. The next meeting will be on December 19.

REPORT OF THE EXECUTIVE DIRECTOR
Mr. Scanlon reported on the following:

• Performance Statistics for October 2007 compared to October 2006:
  a. Total Ridership was 996,063, an increase of 7.1 percent.
  b. Average Weekday Ridership was 36,204, an increase of 5.3 percent.
  c. Total Revenue was $3,220,006, an increase of 14.2 percent.
  d. On-time Performance was 3.4 percent, a decrease of 0.6 percent.
  e. Caltrain Shuttle Ridership was 5,453, an increase of 3.9 percent.

• Year-to-Date Statistics:
  a. Total Ridership was 4,066,700, an increase of 7.8 percent.
  b. Average Weekday Ridership was 38,370, an increase of 7.3 percent.
  c. Total Revenue was $13,696,720, an increase of 15.5 percent.
  d. On-time Performance was 93.7 percent, a decrease of 0.7 percent.
  e. Caltrain Shuttle Ridership was 5,317, an increase of 8.5 percent.

• On-time performance has not been at the agency’s 95 percent standard and reflects how stretched the system is.

• Staff will be recommending the expansion of service from 96 to 98 trains, which will benefit our customers.

Director Maxwell arrived at 10:17 a.m.

• Fuel costs are still an issue. 22 weeks into FY08 budget we are paying $2.54 per gallon, approximately 6 percent over budget. There continues to be a lot of volatility in fuel prices from a low of $2.20 to a high of $2.90 per gallon. Last week the cost was $2.75 per gallon.

• Virginia Harrington, Chief Financial Officer, will be bringing a budget amendment request to the Board at the February meeting to adjust for fuel costs.

• Construction going on at Angus Avenue in San Bruno and the stations at Burlingame and California Avenue in Palo Alto.

• The 7th annual Holiday Train is this weekend. The official lighting of the train is Friday night in San Francisco.

• In the Board reading file is the latest CEMOF newsletter and the October Safety and Security Report.

Public Comment
Ed DeLanoy, San Carlos, said he is puzzled by the agency’s reaction to rising fuel costs and why Caltrain insists on staying black. He said the solution to this would be to shorten trains during off-peak hours. The BART/SFO connection should not be discontinued.
APPROVE SERVICE LEVEL INCREASE TO 98 TRAINS
Michelle Bouchard, Deputy Director Rail Transportation, said this proposal has many benefits for the agency and customers and it will reduce gaps during evening service. If approved the timetable would go into effect March 2008. Staff held three drop-in public comment sessions and received 49 e-mails, which were mostly favorable with the proposal.

Public Comment
Jeff Carter, Burlingame, recommended that this service be approved and would be a welcome service to passengers in the evening. Staff should consider service every 30 minutes during peak periods in the evening.

Director Forest Williams asked what the revenue impact would be. Ms. Bouchard said that staff hasn’t determined exact revenue impact, but the extra trains provide better service from AT&T Park. This will also help during construction projects that necessitate single tracking.

The resolution (Lloyd/Gage) to approve the service level increase was approved unanimously by roll call.

AWARD OF RIGHT OF WAY FENCING TO CRUSADER FENCE CO., INC. FOR $2,764,700
Ian McAvoy, Chief Development Officer, said this item was before the Board a few months ago. Staff rebid with modified terms. The project will provide for fencing up and down the right of way at various locations. Funding is in the FY07 and FY08 capital budgets. The second option year depends on future capital budget funding. Director Williams asked if the fencing will be extended all the way to San Jose and beyond. Mr. McAvoy said the project only goes to San Jose and does not extend to Gilroy.

Public Comment
Greg Conlan, Atherton, urged the Board to accelerate funding and installation of fencing by getting funds from MTC to complete the entire project now. There is a need to get this fencing done as soon as possible for safety reasons. Mr. Scanlon said there are funds for the first year and first option year of the contract. Mr. Scanlon said that both fatalities recently in San Mateo could not have been stopped if fencing was installed.

The resolution (Williams/Lloyd) to approve the right of way fencing contract was approved unanimously by roll call.

APPROVAL OF A CHANGE ORDER TO CONTRACT WITH SHIMMICK CONSTRUCTION COMPANY FOR AN AMOUNT NOT-TO-EXCEED $300,000 – CALIFORNIA AVE/PALO ALTO UNDERPASS AND IMPROVEMENTS PROJECT
Mr. McAvoy said that staff is requesting the Board approve the change order with Shimmick Construction. Staff has identified items in baseline design such as caissons and grounding for the platforms needed for eventual electrification. Staff is looking very closely at projects as we move forward so these items preparatory to electrification are included in the scope of work. It is more cost effective to do this work now.
Director Ford asked what is the contingency level under the Executive Director’s power.
Mr. Scanlon said it is 10 percent, but felt it was better to bring this item to the Board since it may be considered as electrification construction or in preparation for electrification. David Miller, Legal Counsel, said this fits into the category of preparation for electrification.

The resolution (Ford/Lloyd) to approve the change order with Shimmick Construction was unanimously approved by roll call.

**AUTHORIZATION FOR DISPOSITION OF FOUR (4-PLEX) SURPLUS COMMERCIAL MODULAR CONSTRUCTION TRAILERS**
Mr. McAvoy said that staff recommends that the Board authorize the disposition of construction trailers built in 1985 that have been used over the span of two major construction projects and have reached the end of their useful lives.

The resolution (Ford/Harnett) to approve the disposition of the surplus construction trailers was approved unanimously by roll call.

**AUTHORIZATION TO REJECT PROPOSALS FOR FEDERAL LEGISLATIVE ADVOCACY SERVICES**
Mr. McAvoy said that staff recommends that the Board reject all proposals for federal legislative advocacy services. An RFP was issued in July 2007, but staff realized that they needed more time to review how they would be utilizing these services. Staff will be coming back to the Board in two-three months with an action item that will coincide with the FY09 budget.

Ms. Lempert said she was glad that this is being considered and this should be a high priority for Caltrain. There needs to be an advocate on the federal side at all times. This service is worth the money. Caltrain needs these services to reach its optimal goal.

The resolution (Lloyd/Ford) to reject proposals for federal legislative advocacy services was approved by motion.

**CAPITAL QUARTERLY REPORT**
Mr. McAvoy said that it has been very busy out in the field as well as with design and planning. The electrification program staff has been working with the California Public Utilities Commission and is very close to the 35 percent design both on the catenary system and the traction power control systems. Staff is working very closely with MTC on this project to make sure it continues to remain in both the strategic plan and also Resolution 3434. Work continues at Burlingame and is just beginning at California Avenue in Palo Alto.

**CORRESPONDENCE**
Provided in the reading file.

**BOARD MEMBER REQUESTS**
None.
REPORT OF LEGAL COUNSEL
Mr. Miller said that legal counsel is working with staff and Union Pacific to obtain a restoration of funds from the CEMOF construction. These negotiations are progressing well and hope to conclude these discussions this month and bring an action item to the Board in a closed session in January.

DATE/TIME OF NEXT MEETING
Thursday, January 3, 2008, 10 a.m. at San Mateo County Transit District Administrative Building, 1250 San Carlos Avenue, San Carlos CA 94070.

ADJOURNED
The meeting adjourned at 11:00 a.m.
TO: Joint Powers Board

THROUGH: Michael J. Scanlon
Executive Director

FROM: Virginia Harrington
Chief Financial Officer

SUBJECT: STATEMENT OF REVENUE AND EXPENSE FOR THE PERIOD ENDING NOVEMBER 30, 2007 AND SUPPLEMENTAL INFORMATION

ACTION

Staff proposes that the Board of Directors accept and enter into the record the Statement of Revenue and Expense for the month of November 2007 and supplemental information.

SIGNIFICANCE

Revenue: For November of fiscal year 2008, Total Operating Revenue (line 7) is better than budget by $1,809,109 or 10.0 percent. This is due to higher than anticipated Farebox Revenue (line 1), Parking Revenue (line 2), Rental Income (line 4) and Other Income (line 5) which together was $1,824,000 or 10.4 percent better than budget and is offset by Shuttles (line 3), which is worse than budget by $14,890 or 3.3 percent. Compared to the prior year, Total Operating Revenue (line 7) is $2,582,221 or 14.9 percent better.

Expense: Grand Total Expense (line 47) shows a favorable variance of $2,546,201 or 7.1 percent better than budget. Contract Operating & Maintenance (line 24) costs are $1,578,258 or 7.0 percent better than budget, Facilities and Equipment Maintenance (line 29) costs are $328,084 or 43.5 percent better than budget, Utilities (line 30) costs are $286,927 or 40.2 percent better than budget and Total Administrative Expense (line 41) costs are $490,342 or 14.2 percent better than budget. However, shortfalls in these items are due to timing and are expected to approach budget as the fiscal year progresses. Fuel (line 26) costs are $351,349 or 7.4 percent worse than budget as a result of volatility in the fuel market. The fuel costs were budgeted at $2.40 per gallon whereas the average price as of the end of November was $3.13 per gallon.

Compared to prior year, Grand Total Expense (line 47) is $2,561,881 or 8.3 percent higher. The increase in expenses over the prior year are mainly due to the rise in Contract Operating & Maintenance costs (line 24), the increased cost of Fuel (line 26), Insurance (line 28) and Wages & Benefits (line 35). The current year expenses also include start up cost for CEMOF.

Budget Revisions: There are no budget revisions this month.

Prepared by: Ladi Millard, Manager, Budgets 650.508.7755
Angela Ho, Senior Accountant 650.508.6416
## Statement of Revenue and Expense

### Fiscal Year 2008
November 2007

### % of Year Elapsed: 41.7%

### Revenue

#### Operations:

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<tr>
<th>MONTH</th>
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<tr>
<td>Farebox Revenue</td>
<td>3,130,183</td>
<td>14,513,493</td>
<td>16,827,343</td>
<td>15,354,598</td>
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<tr>
<td>Parking Revenue</td>
<td>204,314</td>
<td>698,792</td>
<td>836,452</td>
<td>767,050</td>
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<td>Shuttles</td>
<td>89,646</td>
<td>420,233</td>
<td>437,380</td>
<td>452,270</td>
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<tr>
<td>Rental Income</td>
<td>133,992</td>
<td>601,380</td>
<td>640,130</td>
<td>583,850</td>
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<tr>
<td>Other Income</td>
<td>293,798</td>
<td>1,039,369</td>
<td>1,114,183</td>
<td>888,610</td>
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<tr>
<td>TOTAL OPERATING REVENUE</td>
<td>3,851,934</td>
<td>17,273,266</td>
<td>19,855,487</td>
<td>18,046,378</td>
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#### Contributions:

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<tr>
<td>AB-434-Peninsula Feeder Shuttle</td>
<td>86,196</td>
<td>441,415</td>
<td>430,981</td>
<td>100.0%</td>
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<td>FTA Operating/Planning Grant</td>
<td>3,347</td>
<td>0</td>
<td>50,359</td>
<td>100.0%</td>
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<td>STA Operating Grant</td>
<td>6,480</td>
<td>0</td>
<td>32,400</td>
<td>100.0%</td>
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<td>JPB Member Agencies</td>
<td>3,189,044</td>
<td>12,966,448</td>
<td>15,945,222</td>
<td>15,945,221</td>
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<tr>
<td>Other Sources</td>
<td>79,681</td>
<td>273,850</td>
<td>438,469</td>
<td>100.0%</td>
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<td>TOTAL REQUIRED REVENUE</td>
<td>3,364,748</td>
<td>13,681,713</td>
<td>16,897,432</td>
<td>16,897,431</td>
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#### Grand Total Revenue

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<tr>
<td>7,216,682</td>
<td>30,954,979</td>
<td>36,752,919</td>
<td>34,943,809</td>
<td>105.2%</td>
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### Expense

#### Operating Expense:

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<tr>
<td>Contract Operating &amp; Maintenance</td>
<td>4,113,239</td>
<td>19,970,267</td>
<td>20,869,413</td>
<td>22,447,671</td>
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<tr>
<td>Shuttles (Including Peninsula Pass)</td>
<td>237,429</td>
<td>1,135,619</td>
<td>1,172,679</td>
<td>1,181,058</td>
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<tr>
<td>Fuel</td>
<td>1,074,026</td>
<td>4,420,730</td>
<td>5,106,312</td>
<td>4,754,963</td>
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<tr>
<td>Timetables &amp; Tickets</td>
<td>0</td>
<td>41,847</td>
<td>85,150</td>
<td>118,583</td>
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<td>Insurance</td>
<td>307,184</td>
<td>1,320,077</td>
<td>1,496,777</td>
<td>1,587,490</td>
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<td>Facilities and Equipment Maintenance</td>
<td>72,230</td>
<td>397,810</td>
<td>425,351</td>
<td>753,435</td>
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<td>Utilities</td>
<td>59,061</td>
<td>413,788</td>
<td>426,283</td>
<td>713,210</td>
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<td>Services</td>
<td>97,013</td>
<td>332,656</td>
<td>404,758</td>
<td>436,507</td>
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<tr>
<td>TOTAL OPERATING EXPENSE</td>
<td>5,960,182</td>
<td>28,032,794</td>
<td>32,042,917</td>
<td>32,042,917</td>
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#### Administrative Expense:

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<tr>
<td>Wages &amp; Benefits</td>
<td>405,432</td>
<td>1,850,526</td>
<td>2,114,031</td>
<td>2,267,997</td>
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<tr>
<td>Board Of Directors</td>
<td>843</td>
<td>5,065</td>
<td>4,025</td>
<td>6,792</td>
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<td>Professional Services</td>
<td>64,082</td>
<td>451,314</td>
<td>364,485</td>
<td>633,821</td>
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<td>Communications/Marketing</td>
<td>9,120</td>
<td>35,937</td>
<td>31,131</td>
<td>111,500</td>
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<td>Other Office Expense and Services</td>
<td>98,893</td>
<td>426,748</td>
<td>455,442</td>
<td>439,345</td>
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<tr>
<td>TOTAL ADMINISTRATIVE EXPENSE</td>
<td>578,370</td>
<td>2,769,590</td>
<td>2,969,113</td>
<td>3,459,455</td>
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### Grand Total Expense

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<tr>
<td>6,618,233</td>
<td>30,954,979</td>
<td>33,516,860</td>
<td>36,063,061</td>
<td>92.9%</td>
</tr>
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* % OF YEAR ELAPSED provides a general measure for evaluating overall progress against the annual budget. When comparing it to the amounts shown in the % REV BUDGET column, please note that individual line items reflect variations due to seasonal activities during the year.
## PENNSULA CORRIDOR JOINT POWERS BOARD

### INVESTMENT PORTFOLIO

**AS OF NOVEMBER 30, 2007**

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<tr>
<th>TYPE OF SECURITY</th>
<th>MATURITY DATE</th>
<th>INTEREST RATE</th>
<th>PURCHASE PRICE</th>
<th>MARKET RATE</th>
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<tbody>
<tr>
<td>County Pool # 3  (Capital projects, other)</td>
<td>Liquid Cash</td>
<td>4.52%</td>
<td>30,728,719</td>
<td>30,593,461</td>
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<tr>
<td>County Pool # 3  (Restricted)</td>
<td>Liquid Cash</td>
<td>4.52%</td>
<td>2,000,000</td>
<td>1,991,197</td>
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_____________________________  _______________________________  _______________________________  _______________________________  _______________________________

32,728,719 32,584,657

Accrued Earnings for November 2007 $116,001.81 (1)
Cumulative Earnings FY2008 $494,910.86

(1) Earnings do not include prior period adjustments

* County Pool average yield for the month ending November 30, 2007 was 4.52%. As of November 30, 2007, the amortized cost of the Total Pool was $2,609,673,631.15 and the fair market value per San Mateo County Treasurer’s Office was $2,598,186,679.02.

** The Portfolio and this Investment Report comply with the Investment Policy and the provisions of SB 564. The Joint Powers Board has the ability to meet its expenditure requirements for the next six months.
AGENDA ITEM # 5 (c)  
JANUARY 3, 2008

PENINSULA CORRIDOR JOINT POWERS BOARD  
STAFF REPORT

TO: Joint Powers Board

THROUGH Michael J. Scanlon  
Executive Director

FROM: George Cameron    Ian McAvoy  
Chief Administrative Officer   Chief Development Officer

SUBJECT: AUTHORIZING AWARD OF A CONTRACT TO SIRE TECHNOLOGIES, INC. FOR PROVISION OF AN ELECTRONIC DOCUMENT AND RECORDS MANAGEMENT SYSTEM AND SOFTWARE MAINTENANCE AND SUPPORT SERVICES

ACTION

Staff Coordinating Council (SCC) recommends that the Board:

1. Award a contract to SIRE Technologies, Inc. of Salt Lake City, Utah, to provide software, technical support, and training to implement an Electronic Document and Records Management System (EDRMS) and provide the first year of maintenance and support services for a fixed price of $76,969.

2. Authorize the Executive Director or his designee to execute a contract with SIRE Technologies, Inc., the highest consensus-ranked firm, on behalf of the JPB, in a form approved by Legal Counsel.

3. Authorize the Executive Director or his designee to execute up to four additional one-year option terms for software maintenance and support services with SIRE Technologies, Inc. for a total not-to-exceed cost of $31,942, and to purchase additional software licenses as needed at the cost specified in the proposal submitted by SIRE Technologies provided it is in the best interest of the JPB.

SIGNIFICANCE

Approval of the above actions will allow the JPB to implement a networked state-of-the art EDRMS for the Development Division, Engineering Records and Document Control that will enhance workflow and document handling efficiency. The proposed EDRMS will capture Engineering Records and Document Control’s various databases and records into a centralized software system, will assign retention disposition, and will store, index, and retrieve electronic documents.
**BUDGET IMPACT**

Capital funds are budgeted in FY08 to support the project’s implementation and first year of software maintenance and support services. Future years of software maintenance services will be funded by projected operating budgets.

**BACKGROUND**

A Request for Proposals (RFP) was issued on July 25, 2007, detailing the JPB’s scope of services. The solicitation information was advertised in a local newspaper and on the JPB’s procurement Website. Solicitation notices also were sent to interested proposers and disadvantaged business enterprises (DBEs). Fifty-four firms downloaded the RFP from the JPB’s procurement Website. Staff received 10 proposals, including 2 from DBE firms.

An Evaluation/Selection Committee evaluated and ranked proposals according to the following weighted criteria:

- Responsiveness of the proposal  15%
- Consultant’s qualifications and experience  30%
- Software functionality    40%
- Cost proposal     15%

After review, evaluation and initial ranking of all proposals, four firms were found to be within the competitive range and were invited to participate in an interview. Upon completion of interviews and final scoring, the evaluation committee determined that SIRE Technologies was the highest ranked firm of the firms listed below in order of their consensus ranking:

1. SIRE Technologies, Inc., Salt Lake City, UT
2. Sword-Cimage, Houston, TX
3. Image X-Triadd Software, Goleta, CA
4. PACO Group, New York, NY (a DBE firm)

SIRE Technologies meets all of the solicitation requirements and is fully capable of providing the specified services at a fair and reasonable price. Staff therefore recommends award of the contract to SIRE Technologies.

Contract Officer:  Julie Taylor, Contract Officer     650.508.7915
Project Manager: Kelvin Yu, Manager, Project Controls    650.622.7853
RESOLUTION NO. 2008-

BOARD OF DIRECTORS, PENINSULA CORRIDOR JOINT POWERS BOARD

STATE OF CALIFORNIA

* * *

AUTHORIZING AWARD OF A CONTRACT TO SIRE TECHNOLOGIES TO IMPLEMENT AN ELECTRONIC DOCUMENT AND RECORDS MANAGEMENT SYSTEM AND PROVIDE SOFTWARE MAINTENANCE AND SUPPORT SERVICES

WHEREAS, Implementation of an electronic document and records management system will allow the Peninsula Corridor Joint Powers Board’s (JPB) Development Division to enhance work flow and document handling efficiency by providing increased access to engineering drawings and construction contract files and, efficient and effective records storage; and

WHEREAS, the JPB has solicited competitive proposals for the provision of an electronic document and records management system and software maintenance and support services; and

WHEREAS, in response to the JPB’s solicitation for proposals, proposals were received from 10 firms; and

WHEREAS, staff has reviewed and ranked all of the proposals according to the evaluation criteria set forth in the request for proposals and conducted interviews with the four highest ranked firms; and

WHEREAS, upon completion of the evaluation and selection process, SIRE Technologies, Inc. received the highest consensus ranking; and

WHEREAS, JPB legal counsel has reviewed SIRE Technologies’ proposal and has determined that it is technically responsive to the solicitation documents; and

WHEREAS, the Executive Director recommends that the contract be awarded to SIRE Technologies, Inc. of Salt Lake City, Utah, whose proposal meets the requirements of the request for proposals.
NOW, THEREFORE, BE IT RESOLVED that the Board of Directors (Board) of the Peninsula Corridor Joint Powers Board hereby awards a contract to SIRE Technologies, Inc. of Salt Lake City, Utah, for the provision of an electronic document and records management system and the first year of software maintenance and support services, for a not-to-exceed cost of $76,969 based upon the requirements of the JPB, as contemplated by the RFP, and supplemented by the proposal received from SIRE Technologies; and

BE IT FURTHER RESOLVED that the Board authorizes the Executive Director or his designee to execute a contract on behalf of the JPB with SIRE Technologies in full conformity with all the terms and conditions of the solicitation documents; and

BE IT FURTHER RESOLVED that the Executive Director or his designee is authorized to exercise up to four additional one-year option terms of maintenance and support services with SIRE Technologies for a total not-to-exceed amount of $31,942 for all four years, if deemed in the best interest of the JPB to do so; and

BE IT FURTHER RESOLVED that the Executive Director or his designee is authorized to purchase additional licenses as necessary at the cost stated in the proposal at the appropriate time and if deemed in the best interest of the JPB to do so.

Regularly passed and adopted this 3rd day of January, 2008 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Board of Directors

ATTEST:

JPB Secretary
TO: Joint Powers Board

THROUGH: Michael J. Scanlon
Executive Director

FROM: Ian McAvoy
Chief Development Officer

SUBJECT: 2008 CALTRAIN STATE AND FEDERAL LEGISLATIVE PROGRAM

ACTION

Staff Coordinating Council (SCC) proposes Board adoption of the attached legislative program to guide the District’s advocacy efforts in Sacramento and Washington D.C. over the course of the coming year.

SIGNIFICANCE

The 2008 State and Federal Legislative Program sets forth the principles that will guide Caltrain’s advocacy efforts at the state and federal levels during next year’s session of the state Legislature and the 110th Congress. The program is intended to be broad enough to cover the wide variety of issues that may be taken up in Sacramento and Washington D.C., and flexible enough to allow Caltrain, its staff, and its legislative advocates to respond swiftly and effectively to unanticipated developments. Adoption of the program provides our legislative delegation and our transportation partners with a Board-approved statement of Caltrain’s priorities.

The State Legislative Program is organized around five primary themes:

1. Obtain financial stability for transportation;
2. Seek reform of state policies to improve project delivery;
3. Seek reform with state regulatory agencies, primarily the California Public Utilities Commission, to allow level boarding at Caltrain stations and provide efficient rail operations;
4. Support legislative actions consistent with JPB’s endorsement of the Guiding Principles of the Silicon Valley High Speed Rail Coalition; and
5. Promote policies that recognize the economic and environmental benefits of transit and role in greenhouse gas reduction.
The Federal Legislative Program is focused on the following seven primary themes:

1. Ensure that SAFETEA-LU reauthorization is implemented in a manner that maximizes opportunities for maintaining and expanding public transportation;
2. Seek discretionary federal funds for projects that are of benefit to the Caltrain Corridor;
3. Advocate for greater federal funding for transit security programs, and support continuing efforts that would direct Department of Homeland Security funding to operators in high-threat urban areas;
4. Advocate for federal policies and funding to further public transportation’s positive role and impact in mitigating climate change;
5. Seek reform with the federal regulatory agencies, including but not limited to Federal Railroad Administration and the Surface Transportation Board, to maximize Caltrain operation performance;
6. Advocate that the implementation of The Tax Increase Prevention and Reconciliation Act of 2005 (the Tax Act) would not impact Lease In/Lease Out (LILO) and Sale In/Lease Out (SILO) transactions entered into prior to its enactment; and
7. Support funding and reform to Amtrak to ensure protection of existing contractual Amtrak arrangements with passenger rail operators, including Caltrain.

**BUDGET IMPACT**

Adoption of the 2008 State and Federal Legislative Program has no impact on Caltrain’s adopted budget.

**BACKGROUND**

Staff actively monitors state and federal legislative activity, and will seek positions on selected bills as appropriate to further Caltrain’s legislative objectives and to provide policy support for our advocacy efforts. Tracking legislative developments will provide the board an opportunity to amend positions on bills and to review whether bills have progressed, failed, or been modified in the legislative process.

Prepared by: Dillon Auyoung, Manager, Government Affairs 650.508.6385
<table>
<thead>
<tr>
<th>Issue</th>
<th>Objective</th>
<th>Comments</th>
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<tr>
<td>Obtain Financial Stability for Transportation</td>
<td>Proposition 1B Implementation</td>
<td>Proposition 1B provides $19.9 billion in funding to improve the state’s transportation infrastructure. Of the $19.9 billion, $3.6 billion will be distributed by formula to transit operators statewide via the existing State Transit Assistance program formula, and Caltrain is slated to receive approximately $40.4 million. These funds are to be provided over a ten-year period and are restricted to capital uses only. Other categories in Proposition 1B will benefit public transit as well, including $1 billion for transit security, $2 billion for the State Transportation Improvement Program, and $1 billion for the State Local Partnership Program. Caltrain will continue to closely monitor and support efforts in the development of statutory guidelines for a number of these categories to ensure the guidelines are developed in meeting public transit’s needs. Activities will include supporting legislation to allocate funds from the Transit System Safety, Security and Disaster Response account to protect transit facilities from potential natural disasters and terrorist activity; and providing an allocation scheme for the remainder of the Public Transportation Modernization, Improvement and Service Enhancement Account.</td>
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<tr>
<td>Preserve transit funding including “spillover” gas tax revenues for public transit use</td>
<td></td>
<td>The rise in gas prices has generated a windfall in gasoline sales tax revenues which would ordinarily be dedicated to transit operators through the state’s Public Transportation Account (PTA). However, one of the trailer bills, SB 79 for the 2007-2008 Budget Act requires that starting in 2008-2009 and beyond, all future “spillover” dollars (i.e. that are supposed to flow 100% into the PTA under current law) would be divided in half, with 50% going to the General Fund and 50% to the PTA. Caltrain will continue to work with the California Transit Association and other public transit operators to protect traditional sources of transit funding from being diverted for State General fund purposes, which includes any potential spillover funds, and to increase the Legislature’s awareness of the importance of these revenues to transit agencies, particularly in a period of high fuel prices, constrained transit agency budgets, and increasing demands for alternatives to auto commuting.</td>
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<tr>
<td>Enhance funding for public transit</td>
<td></td>
<td>Caltrain will support efforts to increase funding levels for transportation and for public transit operations in particular. This could include initiatives such indexing the gas tax for inflation, creating transit benefit assessment districts, and other measures.</td>
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<td><strong>Issue</strong></td>
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<tr>
<td>Seek Reform of State Policies to Improve Project Delivery</td>
<td>Support efforts to improve transportation project delivery, financing, and oversight mechanisms at the state level</td>
<td>Caltrain will support efforts to expedite project delivery that apply to both highway and transit projects. In particular, Caltrain will seek reforms that allow public agencies to pursue innovative contracting methods such as design-build, construction manager at-risk, and job order contracting as well as innovative financing mechanisms such as public-private partnerships.</td>
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<tr>
<td>Remove Legal and Regulatory Barriers to the Provision of Safe and Efficient Rail Transit Service</td>
<td>Seek reform with state regulatory agencies, primarily the California Public Utilities Commission, to allow level boarding at Caltrain stations and provide efficient rail operations</td>
<td>The California Public Utilities Commission (CPUC) currently enforces a regulation that imposes a horizontal clearance restriction between the edge of the platform and the side of the rail car to protect against injury of a worker hanging on the outside of the rail car, a practice no longer followed. This regulation constrains the ability of Caltrain to implement any form of level boarding by restricting the overall station platform height and configuration. Elimination and/or waiver of this regulatory constraint would allow Caltrain to build station platforms at the same level with the floor of a train car while achieving the eight-inch bridgeable gap between the platform and rail car as specified in the FTA guidelines. If reform is successful, this would provide the safest, most convenient and efficient operation relative to station platform configuration, and would also provide the preferred means of meeting ADA requirements.</td>
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<td>Seek passage of legislative measures that promote transit security</td>
<td>In previous years, the California Transit Association supported legislation to strengthen the ability of transit operators to question persons present at transit facilities and stations in the interest of security so long as law enforcement has reason to believe such persons were not present for public transit purposes. Caltrain will support similar bills and explore other measures that could improve the agency’s ability to ensure the safety of passengers.</td>
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<td>High Speed Rail</td>
<td>Support legislative actions consistent with JPB’s endorsement of the Guiding Principles of the Silicon Valley High Speed Rail Coalition</td>
<td>The JPB passed a resolution at its December 8, 2005 meeting (which was reaffirmed at a September 6, 2007 meeting) to endorse the Guiding Principles of the Silicon Valley High Speed Rail Coalition, which includes the principle that the high-speed rail line should enter the San Francisco Bay Area from the Central valley through a Pacheco Pass alignment for various reasons, including that this alignment will utilize an existing transportation corridor rather than creating a new one, and will maximize service to this region’s three largest cities, San Joe, San Francisco, and Oakland. The Board action further authorized joining the Coalition in support of the aforementioned Guiding Principles, subject to and conditioned upon adherence to the principle that the high speed rail system is designed, constructed, and operated to be fully consistent with the goals and operational requirements associated with Caltrain and with the values of the cities on the Peninsula through which the system will be constructed and operated. Caltrain will support such efforts to further the intent of this endorsement.</td>
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<td>Promote Policies that Recognize the Economic and Environmental Benefits of Transit and Role in Greenhouse Gas Reduction</td>
<td>Monitor the implementation of state air quality regulations as they affect transit, and oppose actions that would unduly burden transit operators</td>
<td>Caltrain will support policy initiatives that recognize the role of public transit in reducing greenhouse gas (GHG) emissions while monitoring the California Air Resources Board (CARB) in its process to promulgate guidelines for the reduction of GHG from mobile sources in the implementation of AB 32, the California Global Warming Solutions Act.</td>
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<td>Issue</td>
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<td>SAFETEA-LU Reauthorization</td>
<td>Ensure that the reauthorization is implemented in a manner that maximizes opportunities for maintaining and expanding public transportation</td>
<td>Caltrain will work closely with APTA and other transportation interests as Congress and the Administration begin efforts to maximize opportunities for public transportation on the next surface transportation reauthorization bill. Caltrain will work with APTA and other transportation interests to insure that federal rulemaking maximizes local flexibility and minimizes administrative burdens on transit operators.</td>
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<tr>
<td>FY 2009 Appropriations</td>
<td>Seek discretionary federal funds for projects that are of benefit to the Caltrain Corridor.</td>
<td>SAFETEA-LU authorized a significant increase in transportation funding, and Caltrain will advocate for funding transit at the highest authorized levels through the annual appropriations process. Caltrain, with its member agencies, also will identify potential candidate projects for the various federal discretionary (“earmark”) programs, and where appropriate, seek funding for these projects in collaboration with the congressional delegation that represents Caltrain’s service area.</td>
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<tr>
<td>Transit Security Funding</td>
<td>Advocate for greater federal funding for transit security programs, and support continuing efforts that would direct Department of Homeland Security funding to operators in high-threat urban areas.</td>
<td>The FY 2007 Homeland Security appropriations bill provided $175 million in funding for transit security grants. Allocations focus primarily on projects to reduce security risk and their overall effect on regional transit security. Members of Congress from California and other states with major urban centers have sought greater emphasis on risk factors when allocating federal security funds. Caltrain will support efforts to increase the share of homeland security funds that target towards high-threat states. Consistent with our view that homeland security is a federal issue and the needs greatly exceed the funding currently dedicated to the effort, Caltrain will continue to advocate increased federal funding for transit security.</td>
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<tr>
<td>Climate Change/Energy Policy</td>
<td>Advocate for federal policies and funding to further public transportation’s positive role and impact</td>
<td>Monitor federal legislative proposals on climate change and energy policy to ensure that any legislation to reduce greenhouse gas emissions be structured in such a way as to assist Caltrain in furthering regional and federal goals while not unduly burdening transit operations.</td>
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<td><strong>Issue</strong></td>
<td><strong>Objective</strong></td>
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<tr>
<td><strong>Remove Legal and Regulatory Barriers to the Provision of Safe and Efficient Commuter Rail Transit Service</strong></td>
<td>Seek reform with the federal regulatory agencies, including but not limited to Federal Railroad Administration and the Surface Transportation Board, to maximize Caltrain operation performance</td>
<td>Currently, Caltrain operates vehicles that are compliant with Federal Railroad Administration (FRA) regulations. In consideration of the Caltrain 20-year Capital Improvement Program (Caltrain 2025), Caltrain will continue to seek opportunities to operate non-FRA compliant vehicles, primarily those that operate in Europe and Asia, on the Caltrain right-of-way. This will permit Caltrain to transition to a true rapid transit model and accommodate electrification and other planned services that will operate in the corridor, including the extension to the Transbay Terminal in downtown San Francisco and the statewide high speed rail system. Caltrain will continue to work closely with the FRA and other federal regulatory bodies to seek modification of their regulations to allow for mixed and non-compliant operations.</td>
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<td><strong>Lease In/Lease Out (LILO) and Sale In/Lease Out (SILO) Tax-Advantaged Transactions</strong></td>
<td>Advocate that the implementation of TIPRA of 2005 (the Tax Act) would not impact LILO/SILO transactions entered into prior to its enactment.</td>
<td>The Tax Increase Prevention and Reconciliation Act of 2005 (the Tax Act), enacted on May 15, 2006, included new excise taxes that target certain tax shelter transactions. Under the new law, Caltrain and other public transit agencies could be required to pay retroactive excise taxes on the proceeds of Lease In/Lease Out (LILO) and Sale In/Lease Out (SILO) transactions entered into prior to the enactment of the Tax Act. Caltrain provided comments on the interim IRS guidance and will continue to work closely with APTA and other affected public transit agencies to ensure that the implementation of the Tax Act does not retroactively impose an excise tax on the proceeds of tax-advantaged arrangements. If this is unsuccessful, Caltrain will work with affected entities to seek legislative changes to the Tax Act.</td>
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<td><strong>Amtrak Reauthorization Bill</strong></td>
<td>Support funding and reform to Amtrak to ensure protection of existing contractual Amtrak arrangements with passenger rail operators, including Caltrain</td>
<td>Congress and the Administration have been considering various proposals for Amtrak reform and restructuring since 2003. Any reform and restructuring proposals should honor current contractual obligations with commuter rail agencies across the United States. Many passenger rail operators, including the Caltrain, rely on Amtrak facilities and contract services. Such arrangements must continue without disruption. It will be important that the impact of such proposals on critical commuter rail services across the country is well understood by Congress and the Administration. Caltrain will work closely with APTA and other affected commuter rail operators to ensure any federal Amtrak reform and funding proposals will fully honor current contractual obligations with commuter rail agencies across the United States.</td>
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Resolution No. 2008-01

Resolution of Appreciation

Presented To:

JOSÉ CISNEROS

WHEREAS, throughout 2007, JOSÉ CISNEROS has served as chair of the Peninsula Corridor Joint Powers Board; and

WHEREAS, during the tenure of CHAIR CISNEROS and with his significant support and encouragement, Caltrain enjoyed unprecedented success, achieving record levels of ridership and revenues and receiving national, statewide and regional recognition of the Joint Powers Board as a model for commuter rail management and service; and

WHEREAS, CHAIR CISNEROS was a central figure in several crucial decisions concerning the future growth and vision of Caltrain, including approval of the financing and purchase of eight new rail cars, meaningful planning for the future of Caltrain as an electrified rapid rail system and in-depth policy discussions directed toward the long-term financial stability of Caltrain; and

WHEREAS, during the tenure of CHAIR CISNEROS and with his continuing emphasis on safety as a priority, Caltrain continued and expanded a systemic safety program that included extensive outreach to the public and the communities through which the railroad traverses and the expenditure of millions of dollars on improved safety at railroad grade crossings and on the installation of security fencing to prevent pedestrian accidents on the railroad right of way; and

WHEREAS, with the leadership and counsel of CHAIR CISNEROS, Caltrain in 2007 has undertaken several significant construction projects designed to improve the performance of the railroad and expand the service available to the residents of San Francisco, San Mateo and Santa Clara counties, including a $35 million project to improve the Palo Alto Caltrain stations, a $20.5 million project to improve the Burlingame Caltrain Station; and

WHEREAS, CHAIR CISNEROS graciously and thoughtfully presided over the groundbreaking or grand opening of several critical Caltrain projects, including the opening of the $140 million Centralized Equipment Maintenance and Operations Facility in San Jose.

THEREFORE, BE IT RESOLVED that the Peninsula Corridor Joint Powers Board does thank and commend JOSÉ CISNEROS for his forward-looking leadership, his thoughtful and considerate collegiality and his enthusiastic support of the current and future plans for Caltrain while serving as Board Chair during 2007.

UNANIMOUSLY ADOPTED by the Peninsula Corridor Joint Powers Board this 3rd day of January 2008.

____________________________________
Chair, Board of Directors
Certificate of Appreciation

is presented to

Michael Kiesling

for his valuable support and contributions to further improve transit service for the Peninsula Corridor Joint Powers Board as Chair of the Citizens Advisory Committee during 2007.

Chair, Board of Directors
For November 2007, Caltrain average weekday ridership increased by 9.3 percent when compared to November 2006. Average weekday ridership based on ticket sales was 36,454 for November 2007, an increase of 3,113 over November 2006. The total number of passengers for the month of November was 948,390. This is a 9.2 percent increase compared to last year’s November total of 868,522.

For November 2007, on-time performance was 93.4 percent. This represents a decrease of 1.7 percent from the previous year and is below our 95 percent on-time performance goal. For the last 8 months on-time performance has been below our 95 percent goal. This is attributed to a variety of causes including a fatality, mechanical issues, a truck strike at the Poplar overpass, and police actions, as well as a 50 percent increase in dwell time delays due to increased ridership.

Weekday shuttles provided 5,192 average daily trips in November, a 4.9 percent increase from November 2006. The Broadway-Millbrae Caltrain Shuttle had an average weekday ridership of 84. The Tamien weekend shuttle service carried 77 passengers per average service day.

Table A shows performance indicators for November 2007 and Graph A shows average weekday ridership for the past 13 months as compared to the rolling average.
Caltrain November 2007 Promotions

**Stanford Football** – In November, the Stanford Cardinal battled the Fighting Irish of Notre Dame. Postcards were mailed to Notre Dame fans who would be visiting the Bay Area to encourage them to ride Caltrain to the game. The Caltrain Website had more than 700 visitors view the Notre Dame page and about 850 fans rode Caltrain to the game. During the course of the season, Caltrain has partnered with Stanford to promote service with take-ones and Web links. To date, Caltrain has carried more than 4,000 football fans to Stanford Stadium.

**San Jose Sharks** – This year’s cooperative promotion with the San Jose Sharks includes a brochure, train card and a scoreboard announcement during the game by Sharkie, the Sharks’ mascot, announcing the departure time for Caltrain. To date, ridership on Caltrain to Sharks’ games is up by 9 percent.

**Black Friday Shopping Promotion** – So called because it reportedly moves retailers into the black, the Friday following Thanksgiving is the biggest shopping day of the year. Unlike the past, when modified service was provided, Caltrain offered a full weekday schedule on Friday, Nov. 23 in an effort to entice shoppers, recreational riders and its usual commute customers. The campaign included print ads in local newspapers, a notice posted on the Caltrain Website and a news release.

**Caltrain Holiday Train:** For the past six years, early December has heralded the arrival of the Caltrain Holiday Train, which gets the season off to a bright start. This spectacularly decorated train lights up the faces of thousands of kids of all ages who come out to see it during its annual visits to the Peninsula and bring toy donations. The Dec. 8 and 9 event benefits the U.S. Marine Corps’ Toys for Tots Program and the Salvation Army, which are involved as partners in decorating the train, providing entertainment and collecting the toys. The campaign to promote the Holiday Train began in November, with print, radio and TV advertisements, public service announcements and a direct mail campaign to residents and businesses of the Mission Bay area of San Francisco, and the distribution of thousands of Holiday Train brochures throughout the Peninsula.

Prepared by: Èva Goode, Senior Accountant 650.508.7754
### November 2007

<table>
<thead>
<tr>
<th></th>
<th>FY 07</th>
<th>FY 08</th>
<th>%Change</th>
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<tbody>
<tr>
<td>Total Ridership</td>
<td>868,522</td>
<td>948,390</td>
<td>9.2%</td>
</tr>
<tr>
<td>Average Weekday Ridership</td>
<td>33,341</td>
<td>36,454</td>
<td>9.3%</td>
</tr>
<tr>
<td>Total Revenue</td>
<td>$2,648,090</td>
<td>3,129,883</td>
<td>18.2%</td>
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<tr>
<td>On Time Performance</td>
<td>95.1%</td>
<td>93.35%</td>
<td>-1.8%</td>
</tr>
<tr>
<td>Caltrain Shuttle Ridership</td>
<td>4,950</td>
<td>5,192</td>
<td>4.9%</td>
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### Year to Date

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<tr>
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<th>FY 07</th>
<th>FY 08</th>
<th>%Change</th>
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<tr>
<td>Total Ridership</td>
<td>4,640,006</td>
<td>5,015,090</td>
<td>8.1%</td>
</tr>
<tr>
<td>Average Weekday Ridership</td>
<td>35,276</td>
<td>37,987</td>
<td>7.7%</td>
</tr>
<tr>
<td>Total Revenue</td>
<td>$14,511,360</td>
<td>16,826,603</td>
<td>16.0%</td>
</tr>
<tr>
<td>On Time Performance</td>
<td>94.5%</td>
<td>93.22%</td>
<td>-1.3%</td>
</tr>
<tr>
<td>Caltrain Shuttle Ridership</td>
<td>4,909</td>
<td>5,292</td>
<td>7.8%</td>
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#### Caltrain Average Weekday Ridership

![Caltrain Average Weekday Ridership Chart](chart_image)
AGENDA ITEM # 10
JANUARY 3, 2008

PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT

TO: Joint Powers Board

THROUGH: Michael J. Scanlon
Executive Director

FROM: C.H. (Chuck) Harvey
Chief Operating Officer

SUBJECT: AUTHORIZING THE EXERCISE OF A ONE-YEAR OPTION TO EXTEND THE CONTRACT WITH AMTRAK FOR PENINSULA COMMUTE SERVICE THROUGH JUNE 30, 2010

ACTION
Staff Coordinating Council (SCC) recommends the Board authorize the exercise of the first one-year option to extend the contract with Amtrak for operation of commuter rail service and provision of capital/third party construction support services through June 30, 2010, with a newly negotiated General & Administrative Overhead rate of 6 percent to take effect July 1, 2009.

SIGNIFICANCE
The three-year base term of the operating agreement with Amtrak ends June 30, 2009. In accordance with the terms of the agreement, Amtrak submitted to the JPB its proposed General and Administrative Overhead rate and Fixed Fee for the first option year (Fiscal Year 2010). Amtrak proposed no change to its Fixed Fee, but specified a G&A rate of 6 percent for the first option year, which is a 0.5 percent increase to the G&A rate from the initial three-year base of the contract (5.5 percent). This new 6 percent G&A rate is applicable to direct costs for the Basic Service Plan, Capital and Third Party Project support services, and Extra Work. JPB staff reviewed Amtrak’s justification for the 6 percent G&A rate for the first option year, and as the costs identified by Amtrak were allowable under the agreement, the proposal was deemed fair and reasonable.

Based on the analysis and negotiations undertaken, JPB staff feels the nominal increase in costs is outweighed by the importance of maintaining the stability and continuity of Caltrain service and operations during a time of continued growth. The exercise of the option year allows the JPB to defer the significant procurement and mobilization costs of a new contract for this service and the potential transition to a new operator. Additionally, for projects that will span FY09 to FY10, the continuity by exercising this option year allows the agency to maintain the same work force on the jobs, which should more than make up for the higher G&A rate.
If the option is exercised, the agreement will extend through June 30, 2010. One additional option year (FY11) will remain available to the JPB under the current contract.

**BUDGET IMPACT**
The above change has no effect on the overall authorized FY08 Operating Budget. The operating costs for FY10, the period covered by this option year, will not be added to the contract until that budget year. In FY10, the financial impact on the JPB would be an increase of approximately $260,000 in the operating budget when projected to a comparable fiscal year. Depending on the level of capital work in FY10, the increase on the capital support side would be approximately $55,000 for all projects combined.

**BACKGROUND**
The JPB approved the three-year extension of the operating agreement plus two option years with Amtrak under Board Resolution No. 2005-02 on January 6, 2005. In accordance with the agreement, the JPB must give notice to Amtrak of its intent to exercise this first option year by July 1, 2008.

Prepared By: Jerry Willard, Deputy Director, Rail Administration 650.508.7975
RESOLUTION 2008 -
BOARD OF DIRECTORS, PENINSULA CORRIDOR JOINT POWERS BOARD
STATE OF CALIFORNIA
-
***
AUTHORIZING THE EXERCISE OF THE FIRST YEAR OPTION TO EXTEND THE AGREEMENT FOR OPERATION OF COMMUTER RAIL SERVICE AND PROVISION OF CAPITAL/THIRD-PARTY CONSTRUCTION SUPPORT SERVICES WITH THE NATIONAL RAILROAD PASSENGER CORPORATION

WHEREAS, by Resolution 2005-02, the Board of Directors of the Peninsula Corridor Joint Powers Board authorized the extension of the then current Agreement for Operation of Commuter Rail Service and Provision of Capital/Third-Party Construction Support Services with the National Railroad Passenger Corporation (“Amtrak”) for three years through June 30, 2009, with two successive one-year options to be exercised at the discretion of the Board of Directors; and

WHEREAS, over the course of the three-year base term extension, the annual budget adjustments to cover the operation of the Caltrain Service have brought the current total contract amount to $378,706,939; and

WHEREAS, the extended Agreement provides for the parties to mutually agree on the financial terms applicable during the option term and requires the JPB to give notice of its exercise of the first-year option, if such a determination is made, by July 1, 2008; and

WHEREAS, the JPB staff entered into negotiations with Amtrak regarding the potential exercise of the first one-year option during which Amtrak proposed an increase in the current General and Administrative Overhead Rate (“G&A Rate”) from 5.5% to 6% to be effective during the first option term commencing on July 1, 2009; and

WHEREAS, the costs identified by Amtrak which drive this proposed increase in the G&A Rate are costs that are expressly covered by this rate under the Agreement; and

WHEREAS, given the three-year period without any adjustment, the cost savings derived from consistency and maintenance of the same workforce to facilitate the major capital projects anticipated during the option term, and the substantial costs the JPB would necessarily incur to put in place an alternative operator or new operating contract, staff deems the proposed adjustment in the G&A Rate to be fair and reasonable; and
WHEREAS, in light of the foregoing, the Staff Coordinating Council recommends that the Board of Directors authorize the exercise of the first one-year option under the Operating Agreement with Amtrak on the same term and conditions currently in effect, with the exception of an increase in the G&A Rate to 6%.

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby confirms and approves the current total contract price in the amount of $378,706,939 and authorizes the exercise of the first-year option commencing July 1, 2009, to extend the current Agreement for Operation of Commuter Rail Service and Provision of Capital/Third-Party Construction Support Services with the National Railroad Passenger Corporation on the basis of the existing terms and conditions with the one change to increase the General and Administrative Overhead Rate to 6%; and

BE IT FURTHER RESOLVED that the Board hereby authorizes the Executive Director to execute the amendment document giving full effect to the action contained herein.

Regularly passed and adopted this 3rd day of January, 2008 by the following vote:

AYES

NOES:

ABSENT:

ABSTAIN:

Chairman, Peninsula Corridor Joint Powers Board

ATTEST

______________________________
JPB Secretary
AGENDA ITEM # 11
JANUARY 3, 2008

PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT

TO: Joint Powers Board

THROUGH: Michael J. Scanlon
           Executive Director

FROM: George Cameron           Ian McAvoy
      Chief Administrative Officer  Chief Development Officer

SUBJECT: AUTHORIZING AWARD OF A CONTRACT TO Plasser American
         Corporation for Purchase and Delivery of One Dynamic
         Track Stabilizer

ACTION

Staff Coordinating Council (SCC) recommends that the Board:

1. Award a contract to the lowest responsive and responsible bidder, Plasser American
   Corporation of Chesapeake, VA for purchase and delivery of one dynamic track stabilizer for a
   total price of $1,631,814, inclusive of taxes and delivery costs subject to FTA approval of the
   JPB’s request for a waiver of Buy America Act requirements for this procurement; and

2. Authorize the Executive Director to execute a contract with Plasser American Corporation in
   full conformity with the terms and conditions of the bid specification documents upon receipt
   of FTA approval of the waiver of the Buy America requirements.

SIGNIFICANCE

The Dynamic Track Stabilizer, a machine designed specifically for optimal track stabilization, will
reduce the time and cost required to stabilize the track when track is newly constructed or disturbed
during maintenance work. The Dynamic Track Stabilizer will eliminate the need to perform repeated
passes of work trains and will minimize running revenue traffic at restricted speed. It will also reduce
the time of and free up train crews to perform other maintenance work on the railroad.

BUDGET IMPACT

The procurement of the Dynamic Track Stabilizer is funded 80 percent by federal grant funds and 20
percent by local matching funds already programmed in the approved FY 2008 Capital Budget.
BACKGROUND

The decision to purchase the track stabilizer was made in order to reduce the time and cost required for track stabilization. When track is newly constructed or disturbed during maintenance work, the JPB’s Standard Procedures for Track Maintenance and Construction (SPTMC) require temporary speed restrictions for revenue trains until it is determined that the track has sufficiently stabilized. Use of a Dynamic Track Stabilizer, a track machine designed specifically for optimal stabilization, is specified in this document as an acceptable method of stabilization.

Currently stabilization is performed either by repeated passes of work trains or by running revenue traffic at restricted speed. Using work trains to stabilize track reduces the time available to train crews for other maintenance work. When revenue train traffic is used to stabilize track, speed restrictions may be imposed for 24 hours or longer (depending on maximum rail temperature predicted). These speed restrictions and use of train crews to stabilize the tracks will be minimized with a Dynamic Stabilizer.

An Invitation for Bids (IFB) was posted to the JPB’s Website and advertised in a local newspaper. Solicitation notices were also sent to the small business community, including disadvantaged business enterprises (DBEs). Six solicitation packages were downloaded via the Website and one bid was received as follows:

Plasser American Corporation, Chesapeake, VA $1,631,814.63

As there was only one bid received, staff conducted a price analysis of the bid price submitted by Plasser American Corporation (Plasser) and determined that the price quoted by Plasser to be fair and reasonable. The bidder was responsive to all requirements of the solicitation except for one, the Buy America Act. Staff contacted the apparent low bidder to inquire into the basis for the certification of non-compliance. Plasser informed Staff that the bulk of the components in the Dynamic Track Stabilizer are not manufactured in the United States. Staff verified this information by independently researching the availability of the product and its component parts and concluded that the large majority of the items are not manufactured domestically.

49 CFR 661.7(c) states that “the Administrator may waive the general requirements of section 165(a) if the Administrator finds that the materials for which a waiver is requested are not produced in the United States in sufficient and reasonable quantities and of a satisfactory quality.” Staff believes this presumption is applicable to this Contract, and accordingly, has requested that the FTA grant a waiver to the Buy America Act requirements.

Discussions with listed references confirmed that Plasser is appropriately qualified to perform the work. Plasser also intends to engage DBEs in material procurement, having identified two DBEs for steel and engine parts, though an amount has not yet been determined. Staff will work with Plasser to identify DBE participation during the performance of this contract.

Contract Officer: Brian Geiger, Contract Officer 650.508.7973
Project Manager: Jim Kellner, Project Manager 650.508.6333
RESOLUTION NO. 2008-

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

*   *   *

AUTHORIZING AWARD OF CONTRACT TO PLASSER AMERICAN  
CORPORATION FOR THE PURCHASE AND DELIVERY OF ONE DYNAMIC  
TRACK STABILIZER AT A TOTAL COST OF $1,631,814.63  

WHEREAS, the Peninsula Corridor Joint Powers Board (“JPB”) solicited bids for the  
purchase and delivery of one dynamic track stabilizer; and  

WHEREAS, in response to the JPB's solicitation for bids, a single firm, Plasser  
American Corporation (Plasser) of Chesapeake, VA, submitted a bid; and,  

WHEREAS, Staff and General Counsel have reviewed the bid by Plasser and  
determined that it meets the requirements of the solicitation documents with the exception that  
Plasser submitted a certification of non-compliance with the FTA Buy America requirements  
because a majority of the components of the Track Stabilizer are of non-domestic origin; and  

WHEREAS, Staff has submitted a request to the FTA for a waiver under the Buy  
America Act for this procurement; and  

WHEREAS, staff conducted a price analysis and found the prices to be fair and  
reasonable; and  

WHEREAS, the Executive Director recommends that the contract be awarded to the  
lowest responsible, responsive bidder, Plasser of Chesapeake, VA, whose bid meets the  
requirements of the solicitation documents, subject to receipt of the FTA waiver of the Buy  
America Act requirements.  

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the  
Peninsula Corridor Joint Powers Board hereby awards a contract to Plasser of Chesapeake,  
VA, for the Purchase and Delivery of One Dynamic Track Stabilizer for a total cost of  

Page 1 of 2 1393398.2
$1,631,814.63, inclusive of all taxes, other costs and expenses, subject to receipt of an FTA waiver of the Buy America Act requirements for this procurement; and

BE IT FURTHER RESOLVED that the Executive Director or his designee is authorized to execute a contract on behalf of the Peninsula Corridor Joint Powers Board with Plasser, in full conformity with all the terms and conditions of the contract documents upon receipt of an FTA waiver of the Buy America Act requirements.

Regularly passed and adopted this 3rd day of January 2008 by the following vote:

AYES:

NOES:

ABSENT:

______________________________  ___
Chair, Peninsula Corridor Joint Powers Board

______________________________
JPB Secretary
TO: Joint Powers Board

THROUGH: Michael J. Scanlon
General Manager/CEO

FROM: Ian McAvoy
Chief Development Officer


ACTION

This report is submitted for information. Formal action on the Caltrain Short Range Transit Plan (FY 2008 – 2017) will be requested at the February 2008 Board meeting.

SIGNIFICANCE

Every four years the Metropolitan Transportation Commission (MTC) requires Bay Area transit districts to prepare and submit a “full” Short Range Transit Plan. The SRTP fulfills regulatory requirements by the Federal Transit Administration (FTA) and the MTC and serves as a mid-term planning document that justifies funding requests and helps implement the MTC Regional Transportation Plan (RTP) and Transportation Improvement Plan (TIP).

The SRTP reflects the major challenges faced by the Peninsula Corridor Joint Powers Board (JPB). The major components contained in the SRTP are Caltrain’s vision and guiding principles, trends, operating plan and budget and capital improvement program.

This SRTP reflects two planning documents that address the long-term vision for Caltrain service. The Caltrain Strategic Plan (adopted by the JPB Board in 2004) defines policy for evolving Caltrain service into the “preferred mode of travel along the Peninsula Corridor.” Caltrain 2025 (adopted in concept by the JPB Board in 2006) defines a program for achieving the vision by evolving the existing commuter service into a rapid rail system.

The SRTP assumes reliability and efficiency improvements to the existing system and implementation of the electrification phase of Caltrain 2025. Attached is an Executive Summary of the SRTP. The draft plan is available upon request.
BUDGET IMPACT

There is no impact on the budget.

BACKGROUND

The MTC requires Bay Area transit operators to prepare SRTPs every year to implement and inform the Regional Transportation Plan (RTP) and the Transportation Improvement Program (TIP). The MTC requires the preparation of “full” SRTPs every four years and “mini” SRTPs in each of the in between years focused on updating of capital priorities and operating plan. Both the “mini” and “full” plans provide Caltrain’s operating plan and capital investment plan to a 10-year horizon. The “full” plan is more extensive in that it also provides an overview of the transit system, goals and performance measures, information on service and system evaluation and other ancillary items. This year, a “full” plan is required.

Prepared by: Marian Lee-Skowronek, Director, Planning & Development 650.622.7843
Introduction

Every year the Peninsula Corridor Joint Powers Board (JPB) updates its 10-year Short Range Transit Plan (SRTP). The plan follows a set of guidelines prescribed by the Metropolitan Transportation Commission (MTC). There is a four-year planning cycle. For each of three years, a “mini” SRTP is required by the MTC. In the fourth year, a “full” SRTP is required. Both the “mini” and “full” plans provide JPB’s operating and capital investment plan to a 10-year horizon. However, the “full” plan is more extensive in that it also provides an overview of the transit system, goals and performance measures, information on service and system evaluation and other ancillary items. This plan is a “full” SRTP. The following provides a summary of the SRTP. It includes JPB’s major issues and challenges and highlights of the operating and capital investment plan.

Policy Context

This SRTP reflects two planning documents that address the long-term vision for Caltrain service. The Caltrain Strategic Plan (adopted by the JPB Board in 2004) defines policy for evolving Caltrain service into the “preferred mode of travel along the Peninsula Corridor.” Caltrain 2025 (adopted in concept by the JPB Board in 2006) defines a program for achieving the vision by transforming the existing commuter service into a rapid rail system. The center piece of this transformation is the electrification of the railroad from San Francisco to San Jose and deployment of Electric Multiple Unit (EMU) rolling stock. Use of modern, light-weight EMU vehicles and the latest train control technology will allow Caltrain to offer more frequent service and shorter commute times, while still accommodating heavy rail diesel trains where needed. Implementation of Caltrain 2025 will allow Caltrain to operate a more efficient, flexible and reliable service that will meet the enhanced scenario of the Caltrain Strategic Plan that envisions rapid service and increased ridership. The SRTP assumes reliability and efficiency improvements to the existing system and implementation of the electrification phase of Caltrain 2025.

Operational Challenges

The key challenges in the next 10 years include expanding capacity to meet growing demand and increased ridership and addressing the regulatory restrictions to support the Caltrain 2025 vision.
Today, Caltrain runs 96 trains. Caltrain is close to capacity at seasonal and hourly peaks. This is especially true during baseball season with increased ridership to AT&T Park, home of the San Francisco Giants. The addition of eight cars next year will help meet capacity demand. However, leading up to electrification in 2014 and in the last years of this plan (post-electrification) with 110 trains, it will be a challenge to avoid standees during peak periods.

JPB staff is currently working with regulators to obtain appropriate exceptions to allow the realization of Caltrain 2025. Current rules prohibit operation of both lighter-weight EMU trains and heavy rail diesel trains on the same right of way. Caltrain envisions operation of both types of equipment over portions of the corridor and is seeking a waiver to these Federal Railroad Administration restrictions.

Operating Plan and Budget

The operating budget assumes the following:

- An increase in service levels from 96 trains to 110 trains;
- Approximately 52 percent increase in ridership by FY2017;
- 25 cents (on the base or zone charge) fare increases every other year; and
- Increase in operating costs by 3 percent per year.

The 10-year Financial Plan shows a deficit through FY2014. JPB’s structural deficit is the result of operating and maintenance costs exceeding revenues which include fares, partner contributions and other sources. Even though the implementation of baby bullet service has resulted in significant ridership increases, JPB will not be able to overcome the structural deficit until the system is electrified and more train service is provided or additional subsidies are secured. JPB staff is currently developing financing strategies to balance the annual budget through FY2014.

Capital Improvement Plan

The largest capital project in the SRTP is Caltrain electrification from San Francisco to San Jose with electrically powered rolling stock. Smaller capital projects to be implemented in the shorter-term include:

- Station upgrade projects at Burlingame, California Avenue, Santa Clara and South San Francisco to improve customer experience and enhance operation efficiency and safety;
- Bridge and track rehabilitation and replacement projects to improve the infrastructure of the railroad to maintain a state of good repair;
- Signal and communication projects that will modernize existing systems and enhance capacity, facilitating advanced train control and increased service;
- Projects at San Francisco and San Jose to enhance operations and capacity at the critical north and south terminals;
• A grade separation project in San Bruno to improve safety and local traffic circulation; and
• Numerous fencing projects along the right of way and safety improvements at grade crossings.

JPB staff is currently working with its partners to solidify the funding plan which will be reflected in future SRTPs.