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

December 2, 2010 – Thursday 10:00 a.m.

1. Pledge of Allegiance

2. Call to Order/Roll Call

3. Public Comment
   Public comment by each individual speaker shall be limited to two minutes

4. 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 November 4, 2010
   b) Authorize Approval of Third Amendment to the Bylaws of the Caltrain Centralized Equipment Maintenance and Operations Facility (CEMOF) Monitoring Committee

5. Chairperson’s Report
   a) Appointment of Nominating Committee for 2011 Officers
   b) Resolution of Appreciation to Outgoing Board Member, Mark Church
   c) Resolution of Appreciation to Outgoing Board Member, Don Gage

6. MTC Liaison Report

7. Report of the Citizens Advisory Committee

8. Report of the Executive Director
   a) Caltrain Performance Report – October 2010
   b) Peninsula Rail Program Update

9. Acceptance of Statement of Revenues and Expenses for October 2010

10. Authorize Amending and Increasing Parking Violation Fine Schedule from $45 to $48

11. Legislative Update

12. Quarterly Capital Progress Report
13. Correspondence

14. Board Member Requests

15. Date/Time of Next Meeting: Thursday, January 6, 2011, 10 a.m. at San Mateo County Transit District Administrative Building, Bacciocco Auditorium, 2nd Floor, 1250 San Carlos Avenue, San Carlos, CA 94070

16. General Counsel Report
   a) Closed Session: Conference with Legal Counsel Pursuant to Government Code Section 54956.9(c) (One Potential Case)

17. Adjourn
INFORMATION FOR THE PUBLIC

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

If you have questions on the agenda, please contact the JPB Secretary at 650.508.6242. Agendas are available on the Caltrain website at www.caltrain.com.

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 a.m. The JPB Citizens Advisory Committee meets regularly on the third Wednesday of the month at 6 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.
Chair Sean Elsbernd called the meeting to order at 10:05 a.m. Director Art Lloyd led the Pledge of Allegiance.

PUBLIC COMMENT
Pat Giorni, Burlingame, said people will request another segment be chosen for High Speed Rail (HSR) rather than the San Francisco to San Jose if cut and cover is not an option. She invited everyone to a HSR rally at the Burlingame Caltrain Station on Sunday, November 7.

Jeff Carter, Burlingame, congratulated staff and Amtrak on the handling of the crowds yesterday for the Giants’ parade. Mr. Carter said people need to stop spreading rumors and lies on how HSR is going to destroy neighborhoods. Mr. Carter said Burlingame wants to present the worst-case scenario without the truth.

Greg Conlon, Atherton, complimented Executive Director Michael Scanlon for listening to the people of the community. He said doubling the number of tracks and elevating them are going to devastate communities. Mr. Conlon distributed a letter he wrote to the editor of a local paper stating HSR Chief Executive Officer Roelof van Ark’s comments were totally out of line. He said first, Mr. van Ark didn’t have the authority to say, without board authorization, that there wouldn’t be an alternative for underground, either tunnel or cover trench and second, he said freight trains could not operate in a tunnel. He said the change in Congress is going to make it difficult to get the funding that was originally intended for HSR.

Andy Chow, Bay Rail Alliance, said Friends of Caltrain will be holding an event on Tuesday, November 9 from 7-9 p.m. at the Menlo Park Library. There will be a representative from the Metropolitan Transportation Commission (MTC) speaking on the Sustainability Project.

Jeff Becker, San Mateo, thanked staff for their efforts to increase bike capacity.
CONSENT CALENDAR
Chair Elsbernd requested item 4d be removed from the consent calendar.

a. Approval of Minutes of October 7, 2010
b. Approval of 2011 Board of Directors Meeting Calendar
c. Information on Conflict of Interest Code
e. Authorize Award of Contract to Interstate Grading and Paving, Inc. for the South San Francisco Station Parking Lot Rehabilitation Project in the Total Amount of $446,000

The Board approved the consent calendar (Lloyd/Kalra).

d. Annual Adoption of Investment Policy and Authorization to Invest Monies with the Local Agency Investment Fund

Public Comment
Vaughn Wolfe, Pleasanton, asked if there was any consideration for commodities.

The Board approved the item (Gage/Lloyd).

CHAIRPERSON’S REPORT
No report

MTC LIAISON REPORT
MTC Commissioner Sue Lempert reported:
- The Grand Awards were handed out last week and were split among several innovative programs to get people to ride their bikes. The John Foran Award for Outstanding Person was split between Darrell Steinberg and Henry Gardner.
- She asked if there could be better collaboration between Caltrain and San Francisco Municipal Transportation Agency (SFMTA) for future events in San Francisco.

REPORT OF THE CITIZENS ADVISORY COMMITTEE (CAC)
CAC Chair John Hronowski reported on the October 20 meeting:
- Congratulated staff for providing the extra service for yesterday’s Giants’ parade.
- Congratulated Mr. Scanlon and Director Nathaniel Ford on their recent American Public Transportation Association (APTA) elections.
- The ad hoc committee gave an update on bike capacity and will continue the subject at the November meeting.

Director Ken Yeager arrived at 10:19 a.m.

REPORT OF THE EXECUTIVE DIRECTOR
Mr. Scanlon reported:
- Monthly Performance Statistics – September 2010 compared to September 2009
  a. Total Ridership was 1,072,574, an increase of 3.4 percent.
  b. Average Weekday Ridership was 41,309, an increase of 3.8 percent.
  c. Total Revenue was $4,001,879, an increase of 7.5 percent.
  d. On-time Performance was 93.4 percent, an increase of 1.3 percent.
  e. Caltrain Shuttle Ridership was 5,562, a decrease of 8 percent.
• Year-to-Date Performance Statistics – September 2010 compared to September 2009
  f. Total Ridership was 3,261,408, an increase of 2 percent.
  g. Average Weekday Ridership was 40,982, an increase of 1.8 percent.
  h. Total Revenue was $12,061,542, an increase of 5.5 percent.
  i. On-time Performance was 93.3 percent, a decrease of 0.7 percent.
  j. Caltrain Shuttle Ridership was 5,468, a decrease of 2.9 percent.
• Thanked Amtrak for being able to put every piece of equipment in service along with the necessary staff to respond to the crowds who used Caltrain to travel to the Giants’ parade. Ambassadors were at many stations. The transit police were deployed and there was outstanding cooperation from the municipal police along the line. The morning peak operated close to schedule with an additional six special trains. The afternoon rush began around 12:30 p.m. with load and go service every 15 minutes. Trains averaged about 1,000 passengers until about 7:30 p.m. when the trains were back on schedule. Calls to the Customer Service Center were up 60 percent. Staff decided when it became a safety risk on platforms to have passengers get on the train without purchasing a ticket. Ticket vending machine revenue tripled and it is estimated an additional 30,000 passengers were carried.
• Playoff service carried an extra 42,000 passengers and the two World Series games carried an extra 21,000 passengers.
• Special event service includes:
  • Stanford football averaging more than 2,700 passengers.
  • Sharks have had four home games and ridership is off about 13 percent.
• Upcoming events include:
  • Regular weekday service will operate on Veterans Day.
  • A Sunday holiday schedule will operate on Thanksgiving Day.
  • A special train will run for the Turkey Trot Race in San Jose on Thanksgiving Day.
  • A modified schedule will be operated for the day after Thanksgiving, Christmas Eve and New Year’s Eve.
• Staff is working on the implementation of the fare and service changes effective January 1, 2011.
• Staffed ticket offices in San Francisco and San Jose closed on October 11. Ambassadors have been in San Francisco and San Jose during peak ticket purchase times to provide information and assist customers.
• There is going to be an emergency response drill on Sunday, November 14 before revenue service begins. The drill will simulate a train derailment in the tunnel, just north of the Bayshore Station. The San Francisco Fire Department will be the primary on this drill, but other agencies down to Millbrae will be participating. The Federal Railroad Administration, the California Public Utilities Commission and the Department of Homeland Security will be observing the exercise.
• The Holiday Train has been canceled this year, but staff will be collecting toys in the building to donate to the Salvation Army and the Marines Toys for Tots. Staff is hopeful this event can be brought back next year.
• The reading file contains the September Safety & Security Report. Thanked Director Omar Ahmad for participating in the Partners in Prevention Rail Safety Event.

Executive Officer Public Affairs Mark Simon said the Mineta Transportation Institute has completed a study of suicides and fatalities on the Caltrain right of way since 1992 to determine if there were any patterns or trends that would help staff reduce these tragedies. Mr. Simon said the study shows no year stands out more than another, no month of the year stands out and no day of the week, although Mondays and Fridays are more common. He said in terms of location,
there is a concentration of suicides in a 25-mile stretch between Burlingame and Sunnyvale, but within that stretch there are no specific areas that have proven to be more attractive to suicides than others. Mr. Simon said only 25 percent of the suicides occur at the stations; two-thirds occur within a half-mile of the station; 43 percent occur within one-tenth of a mile of a road crossing; and almost two-thirds are within one-third of a mile. He said the study shows Caltrain is doing all it can on this issue.

Peninsula Rail Program (PRP) Update
Mr. Simon reported:
- The California High Speed Rail Authority (CHRSA) is meeting today and will be hearing the first set of selection criteria for the first of the four sections selected as first priority for the construction. After the Board hears the criteria, they will select the first place to build at its December 4 meeting and award the funds at the January meeting.
- This corridor is getting some funding and staff is working diligently with the Department of Transportation, the FRA and our Congressional delegation to see if more money can be obtained.

Mr. Scanlon said the San Jose-to-San Francisco corridor is not ready for major construction, and that there is a lot of work to be done with the communities and the cities. Mr. Scanlon said in working with the city managers, staff has moved away from building it right to doing the Environmental Impact Report right. He said there is so much misinformation out there and staff needs to pause and see how a railroad can be built to accommodate both High Speed Rail and an electrified Caltrain through this corridor that doesn’t wreak havoc on the communities.

Deputy CEO Chuck Harvey presented Director Ahmad with a Caltrain hardhat, a tradition after a new board member takes his first head-in ride.

Mr. Scanlon congratulated Director Don Gage on his election to the Santa Clara Valley Water District Board.

Public Comment
Andy Chow, Redwood City, thanked staff for their handling of the crowds attending the Giants’ parade.

Pat Giorni, Burlingame, said Caltrain is an important segment to the Palo Alto community because Stanford is building a new medical center and will be purchasing hundreds more GO Passes. She said this should help increase the shuttle numbers.

Jeff Carter, Burlingame, said Caltrain is depending on a lot from HSR, but there needs to be a contingency plan because Caltrain still needs to be upgraded and grade separated. He believes there will be four tracks for HSR, but doesn’t think it will be 40-feet high. Mr. Carter said in Millbrae there is a grade separation at Hillcrest and it is 18-feet above the right of way.

Greg Conlon, Atherton, said the use of quad gates needs to be considered as an interim step until grade separation is completed.
ACCEPTANCE OF STATEMENT OF REVENUES AND EXPENSES FOR JUNE 2010 (UNAUDITED)
Deputy CEO Gigi Harrington said the Fiscal Year (FY) 2010 unaudited statement reflects $6.2 million in savings, which was rolled forward to FY2011. The auditors have found no significant issues and staff will be releasing the financial statements at the end of November.

A motion (Gage/Ford) to accept the June 2010 (unaudited) statement was approved unanimously.

ACCEPTANCE OF STATEMENT OF REVENUES AND EXPENSES FOR SEPTEMBER 2010
Ms. Harrington said revenues are slightly over budget and consistent with the September ridership. There are some savings on the expense side. Ms. Harrington said fuel has been averaging $2.30 to $2.40 a gallon and thinks the fuel hedge may be tripped soon.

A motion (Gage/Lloyd) to accept the September 2010 statement was approved unanimously.

ACCEPTANCE OF THE QUARTERLY INVESTMENT REPORT FIXED INCOME MARKET REVIEW AND OUTLOOK FOR THE QUARTER ENDED SEPTEMBER 30, 2010
Bill Osher, Tamalpais Wealth Management, said the nation is dealing with a “Convalescent Economy.” It has been through a serious illness and still needs a little bit of nursing. Mr. Osher said the Federal government is using quantitative easing, which means printing money, and buying debt and lowering interest rates. He said today the two-year Treasury rate is 0.31 percent. Mr. Osher said the portfolio is designed to be risk free, short term in nature, so the return expectations have to come down accordingly with what is going on in the bond market. He said there are some dangers with the policies that are being pursued today. Mr. Osher said if the economy starts to improve, then interest rates could rise and rise quickly. He said to protect from that, maturities are kept short enough so that when things mature they can be reinvested at a higher rate. Mr. Osher said the portfolio is not going to earn much, but is going to be very safe and will be just fine.

A motion (Gage/Cisneros) to accept the Quarterly Investment Review was approved unanimously.

AUTHORIZE AMENDING THE FY2011 CAPITAL BUDGET BY $3.1 MILLION FROM $33,488,086 TO $36,625,669 FOR THE SANTA CLARA AND SAN MATEO TRAFFIC PREEMPTION IMPROVEMENT PROJECT
Manager, Budgets Eva Goode said Staff Coordinating Council (SCC) is recommending the Board approve increasing the FY2011 Capital Budget by $3.1 million for traffic preemption at grade crossings in San Mateo and Santa Clara counties. She said these improvements will better coordinate traffic signals and the crossings to improve safety. Ms. Goode said funds to pay for the project are coming from the Federal Highway Administration and there is no additional member agency funding for this project.

A motion (Ford/Gage) to amend the FY2011 Capital Budget was approved unanimously by roll call.
AUTHORIZE ENTERING INTO A MEMORANDUM OF UNDERSTANDING (MOU) WITH THE CITY OF SAN JOSE, CHSRA AND THE SANTA CLARA VALLEY TRANSPORTATION AUTHORITY (VTA) FOR THE DESIGN AND DEVELOPMENT OF THE DIRIDON RAIL STATION

Manager of Real Estate and Property Development Brian Fitzpatrick said the city of San Jose has a vision to create a Grand Central Station of the west around the Diridon station. He said in order to pull this vision together, an MOU has been initiated among the major stakeholders, CHSRA, JPB, VTA and the City of San Jose, to set forth the goals of each agency and set of common goals. Mr. Fitzpatrick said this MOU will affirm the recently created Diridon Station Joint Policy Advisory Committee. He said while the MOU is in place, staff is involved in a planning effort in the area to create a transit-oriented development zone around this station.

Public Comment
Pat Giorni, Burlingame, asked if it is too soon or premature to enter into an MOU in case the funding doesn’t happen for HSR.

Mr. Scanlon said there is nothing premature about this MOU. This is a development that the city of San Jose has had in its scope for quite some time even if HSR doesn’t come through.

Director Ash Kalra said this plan for the Diridon Station goes much further than transit. He said it creates the area to be a more pedestrian/bicycle-friendly environment. Director Kalra said it is not dependent on any potential projects coming forward, either HSR or BART, but there is a need to create good infrastructure.

A motion (Kalra/Gage) to enter into a MOU with the city of San Jose, CHSRA and VTA for the design and development of the Diridon Station was approved unanimously by roll call.

AUTHORIZE AWARD OF CONTRACT TO VALENTINE CORPORATION FOR THE STATION HARDENING PROJECT IN THE TOTAL AMOUNT OF $1,518,369

Director of Contracts and Procurement Cheryl Cavitt said SCC recommends the Board award a contract to Valentine Corporation for security bollards at three Caltrain stations.

A motion (Ford/Ahmad) to award a contract to Valentine Corporation for the Station Hardening Project was approved unanimously by roll call.

STATE AND FEDERAL LEGISLATIVE UPDATE
Mike Robson of Edelstein, Gilbert, Robson & Smith said from a Caltrain perspective, Governor-elect Jerry Brown is a positive. He said there is no change in the State Senate and the Caltrain delegation. Mr. Robson said in the State Assembly the Democrats picked up two seats and there will be some new members to the Caltrain delegation including Rich Gordon from San Mateo County, Nora Campos from San Jose and Luis Alejo representing parts of San Jose and Gilroy. He said his firm has met with all three and they are all very supportive of Caltrain and its goals.

Gus Khouri of Shaw, Yoder and Antwih said there are four propositions that have significance to Caltrain and its operation.

- Proposition 22 passed with 61 percent of the vote. This measure protects local sales tax, Transportation Development Act funding and highway funds from the excise tax.
Proposition 23 failed and had it passed would have impeded attempts to provide even more funding for public transportation.

Proposition 25, which allows the Legislature to pass a budget by a simple majority, passed overwhelmingly.

The impact of Proposition 25 is unclear; however, because Proposition 26, which requires two-thirds approval for all fees, also passed.

The Legislature is going to be faced with a $10 billion deficit going into FY2011-2012.

Mr. Khouri said as far as the impact of transportation funding, Proposition 26 and 22 have the most direct impact. According to the Legislative Analyst’s Office, the belief is the gas tax swap approved by the Legislature in March could be overturned. He said if Proposition 26 overturns the gas tax swap, Proposition 22, could potentially protect the restoration of all four sources of funding that go to fund public transportation.

Chair Elsbernd asked if Proposition 26 would have any effect on fees in the JPB budget.

Legal Counsel Joan Cassman said staff is looking at Proposition 26 and regulatory fees. These are fees that are trying to change people’s behavior.

Mr. Robson said he thinks the new governor is sincere and wants to work with the Republicans and do something about the unemployment and jobs picture. Mr. Robson said he expects continued scrutiny on HSR.

Ms. Lempert asked what Jerry Brown is going to be like as governor and his feeling on HSR. Mr. Robson said he has professed to be a supporter of HSR and the creation of new jobs.

**FEDERAL**

Government Affairs Manager Seamus Murphy said on the Federal level the shift in control of the House means that reauthorization of the Surface Transportation Bill is a much heavier lift than it was before. He said it could put year-to-year HSR funding in jeopardy. Mr. Murphy said a lot of Republicans have expressed strong reservations about any increase in Federal investment, overall, and about the HSR program, in particular.

**Public Comment**

Jeff Carter, Burlingame, said if it wasn’t for Mr. Brown we probably wouldn’t be in this room right now because he rescued Southern Pacific (SP).

**CORRESPONDENCE**

None

**Public Comment**

Pat Giorni, Burlingame, said there were 205 bike bumps and the counts she submitted last month are not in this month’s packet. She said a number of cities sent letters to the Peninsula Rail Program and they are not included in the packet either.
BOARD MEMBER REQUESTS
Director Art Lloyd said in 1975, SP applied to the State Public Utilities Commission to abandon all commuter service. At that time, Mr. Brown came through and, with Caltrans, the service was saved. Director Lloyd said former Palo Alto Mayor Yoriko Kishimoto has formed a support group called Friends of Caltrain. This group was formed to strictly support Caltrain and the quest for dedicated funding. Director Lloyd said there will be a meeting next Tuesday, November 9 at 7 p.m. at the Menlo Park Library to continue formation of the group. He said on January 29, 2011 there will be a full meeting and Congresswomen Jackie Speier and Anna Eshoo have been invited to participate.

GENERAL COUNSEL REPORT
No report

DATE/TIME/PLACE OF NEXT MEETING
Thursday, December 2, 2010, 10 a.m. at San Mateo County Transit District Administrative Building, Bacciocco Auditorium, 2nd Floor, 1250 San Carlos Avenue, San Carlos, CA 94070

ADJOURNED
Adjourned at 11:18 a.m.
TO: Joint Powers Board

THROUGH: Michael J. Scanlon
Executive Director

FROM: Martha Martinez
JPB Secretary

SUBJECT: THIRD AMENDMENT TO THE BYLAWS OF THE CALTRAIN CENTRALIZED EQUIPMENT MAINTENANCE AND OPERATIONS FACILITY (CEMOF) MONITORING COMMITTEE

ACTION
Staff Coordinating Council (SCC) recommends that the Board approve by motion the attached amendments to the CEMOF Bylaws: Article II – Duties and Authority and Article VI – Meetings.

SIGNIFICANCE
The amendment to Article II – Duties and Authority changes the reporting requirement from quarterly to periodic or after each meeting.

The amendment to Article VI – Meetings changes the requirement that the Committee will meet at least four times each calendar year to the requirement that it meet no less than once each calendar year.

BUDGET IMPACT
There is no budget impact.

BACKGROUND
At its October 27, 2010 meeting, the CEMOF Monitoring Committee unanimously approved the recommended amendments to the bylaws. The City of San Jose also has to approve the recommended amendments at a future City Council meeting.

On September 7, 2000 (Resolution No. 2000-41), the JPB and the City of San Jose entered into a Cooperative Agreement that provided for cooperation between the JPB and the City relative to design, construction and future operation of a centralized maintenance facility in San Jose and committed both parties to remaining responsive to neighborhood concerns with respect to the facility. On December 6, 2001 (Resolution No. 2001-127), the JPB amended the Cooperative Agreement to include shared objectives. The Cooperative Agreement includes the formation of a “monitoring committee” to provide ongoing communication with the community and serve in an advisory capacity. The CEMOF Monitoring Committee Bylaws were approved by the JPB on March 7, 2002. Previous amendments to the bylaws were approved on November 4, 2004 and August 7, 2008.
ARTICLE I
PARLIAMENTARY AUTHORITY

§1.1 These Bylaws govern the proceedings of the Caltrain Central Equipment Maintenance and Operations Facility Monitoring Committee (hereinafter referred to as “Committee”), an advisory Committee established by the City Council of the City of San Jose (hereinafter referred to as “City”), in cooperation with the Peninsula Corridor Joint Powers Board (hereinafter referred to as “JPB”) and set forth in their Cooperative Agreement dated September 19, 2000.

§1.2 Robert’s Rules of Order will guide procedures in all Committee meetings.

§1.3 The provisions of the Ralph M. Brown Act, Government Code Section 54950, et. seq. (“Brown Act”), shall be applicable to all Committee meetings and actions.

ARTICLE II
DUTIES AND AUTHORITY

§2.1 RESPONSIBILITY AND DUTIES OF COMMITTEE MEMBERS

The primary responsibility of the Committee members is to provide ongoing communication with the community regarding the design, implementation and operation of the maintenance facility.

The duties of this Committee shall be:

1. Monitor maintenance facility design, construction and operations.

2. Receive and review issues of concern identified by nearby impacted residents, the City of San Jose, the Santa Clara Valley Transportation Authority (hereinafter referred to as "VTA"), or the Peninsula Corridor Joint Powers Board.

3. Work with staff of the appropriate agency to identify and implement solutions for minor issues that can be addressed at staff level of authority.

4. Provide Quarterly periodic reports to the residents, JPB, City Council and the VTA Board of Directors regarding problems or issues as well as the implementation of any solutions or recommendations to address issues raised.

5. Identify issues that are significant enough to require the cooperation and support of one or more of the following agencies: JPB, City, VTA and;

6. Facilitate the necessary discussion by the concerned agency or agencies and seek to effectively address the identified issue of concern to the nearby residents, the City, the JPB or VTA.
In general, the Committee will serve as the initial and central body for monitoring maintenance facility design, construction and operations to ensure that the provisions of the Cooperative Agreement are implemented. The Committee will report to the legislative bodies of the JPB, City Council and the VTA (at least quarterly) after each regular scheduled meeting regarding maintenance facility construction and operations. The report will include a listing or summary of the number and substance of all concerns or issues received from nearby residents, the City, the JPB or VTA. The report will also contain any actions the staff of the appropriate agency will take to address the identified concerns.

For those administrative or policy concerns that are significant enough to require the cooperation and support of one or more of the agencies (JPB, City, or VTA) above the staff level, the Committee will be responsible for facilitating the appropriate discussion at the JPB, or among the JPB members, the City Council and/or the VTA Board of Directors to identify solution(s) along with the necessary resources to address the identified concerns.

Once solution(s) and resources have been identified the Committee will be responsible for monitoring the implementation of the remedy and reporting to the respective agencies and the community.

§2.2 LIMITATIONS
The Committee serves in an advisory capacity to the City, JPB and VTA. It shall have no independent duties and no authority to take actions that bind the City, JPB or VTA or capacity to act as a representative of the City, JPB or VTA. The Committee shall make no expenditures or requisitions for services and supplies and no individual member thereof shall be entitled to reimbursement for expenses except as authorized by the City, JPB or VTA.

§2.3 DUTIES OF THE CITY COUNCIL AND JPB
The City Council and JPB will approve the Bylaws and all amendments to Bylaws.

ARTICLE III
MEMBERSHIP

§3.1 MEMBERSHIP
The Committee shall be composed of one member of the San Jose City Council as appointed by the Council, one member appointed by the JPB, one member appointed by the VTA Board of Directors, and one member representing each of the Shasta/Hanchett Park, Garden Alameda, College Park and Arena neighborhoods. Neighborhood members shall be appointed by their respective neighborhood associations. All neighborhood members shall live within the respective boundaries of the Shasta/Hanchett Park, Garden Alameda, College Park and Arena Neighborhood Association during their terms on the Committee.

If a neighborhood association declines to appoint a member to the Committee or if there is no active neighborhood association to make such appointment, the existing Committee members may appoint a neighborhood member from anywhere within the boundaries of the four neighborhoods to fill that position. If during the term of that jointly appointed member’s position the original declining neighborhood association proposes appointment of a member from within their boundaries, the new member will replace the jointly appointed member for the remainder of the term. The maximum number of neighborhood members on the Committee at any given time shall be four.

§3.2 MEMBERS’ TERMS
The term of membership of each Committee member shall be as follows:
1. Of the initial 4 Neighborhood members, 2 will have one-year terms and 2 will have two-year terms. Of the initial City, JPB, and VTA members, 1 will have a one-year term and 2 will have two-year terms. The length of each member's initial term will be determined by the Chairperson.

2. All initial terms will commence on the first Committee meeting of the first calendar quarter of any year and end on the first or second successive March 30th depending on length of term.

3. All subsequent appointments will be for a two-year term, commencing on the first Committee meeting in the first quarter of the year and ending on the second successive March 30th.

4. Members may serve up to three consecutive terms.

5. Members may serve unlimited non-consecutive terms.

§3.3 ALTERNATES
An alternate member may be appointed. During absences of the primary member, the alternate member shall function in the same manner and shall be accorded the same rights and privileges as the primary member.

Alternates shall be appointed in accordance with Article III, Section 3.1.

An alternate member shall not make motions before the Committee or cast votes regarding recommendations under consideration by the Committee when the primary member is in attendance at meetings of the Committee.

Alternate members cannot serve as Chairperson or Vice Chairperson.

§34 VACANCIES
A vacancy in a member’s position shall be filled for the remainder of the vacating member’s term in accordance with Article III, Sec. 3.1.

§35 ABSENCES
An absence occurs if a member (or their alternate) is not present at a regular or special meeting. If a member (or their alternate) is absent from four Committee meetings in a twelve-month period from the date of the member’s appointment, or any subsequent single year, the member’s position shall automatically be vacated. That member shall receive a letter of dismissal from the Chairperson, and a successor shall be appointed to fill the remainder of the member’s term in accordance with Section 3.1.

§3.6 CHAIR PRO TEMPORE
In the event that both the Chairperson and the Vice-Chairperson are absent from a regularly scheduled meeting or a special meeting, the Committee by a majority vote, shall elect a temporary Chairperson to preside over the meeting.

ARTICLE IV
OFFICERS

§4.1 CHAIRPERSON AND VICE-CHAIRPERSON
The Committee shall elect from its membership a Chairperson and a -Vice-Chairperson at its first meeting of the calendar year, to serve for a one-year term. The Chairperson shall preside at all meetings of the Committee and when required, in adherence with these Bylaws, represent the Committee. In the event of a vacancy in the Chairperson’s position, the Vice-Chairperson shall succeed as Chairperson for the balance of the Chairperson’s term and the Committee shall elect a successor to fill the vacancy in the Vice-Chairperson’s position.
§4.2 AUTHORITY OF THE CHAIRPERSON
The Chairperson shall have the authority to cancel regular scheduled meetings and call or cancel special meetings upon consent of the City and the JPB committee members; sign all written correspondence approved by the Committee, including the minutes of Committee meetings.

§4.3 OFFICE OF THE VICE-CHAIRPERSON
Should a vacancy occur in the office of the Chairperson the Vice-Chairperson shall assume the duties of the Chairperson for the remainder of the Chairperson's term. In the event of a vacancy in the Vice-Chairperson's position, the Committee shall elect a successor from its membership to fill the Vice-Chairperson's position for the remainder of the Vice-Chairperson's term. The Vice-Chairperson shall assume the responsibilities of the Chairperson in the absence of the Chairperson at a regular scheduled or special meeting.

ARTICLE V
SECRETARY

§5.0 APPOINTMENT OF SECRETARY
A member of City or JPB staff shall be appointed by the Committee as the Secretary.

§5.1 DUTIES AND RESPONSIBILITIES
The Secretary shall have the following duties and responsibilities:

1. The Secretary shall attend all regular scheduled and special meetings of the Committee and keep a record of all business that transpires at such meetings.

2. The Secretary shall attest all written correspondence and all minutes of all Committee meetings, which have been approved by the Committee and shall have custody of same for a period of 3 years.

3. The Secretary shall keep and have custody of all books, records, and paper of the Committee for a period of 3 years, and certify true copies thereof whenever necessary.

4. Any duly appointed representative of the City or JPB may perform the responsibilities of the Secretary.

ARTICLE V I
MEETINGS

§6.1 REGULAR MEETINGS
The Committee shall schedule regular meetings at least four times once each calendar year.

§6.2 SPECIAL MEETINGS
The Chairperson, with the consent of the City Council and JPB committee members, may call a special meeting. The meeting shall be called and noticed as provided in Section 6.3 below.

§6.3 NOTICING OF MEETINGS
All Committee meetings shall be called and noticed in accordance with the applicable provisions of the "Brown Act".
§6.4 QUORUM; VOTE; COMMITTEE OF THE WHOLE
A quorum consists of a simple majority of the number of existing voting members. All official acts of the Committee shall require a quorum and the affirmative vote of a simple majority of the attending members. At any regular meeting at which there is a lack of quorum, the members present may constitute themselves a “Committee of the whole” for the purpose of discussing matters on the agenda, but they may not take official action. The “Committee of the whole” shall cease to exist when a quorum becomes present at the meeting.

§6.5 ACTION ITEMS NOT LISTED ON THE AGENDA
Except as provided below, and in accordance with the Brown Act, a matter requiring Committee vote shall be listed on the posted agenda before the Committee may take action upon it. The Committee may only take action on items not appearing on the posted agenda under either of the following conditions:

1. Upon a determination by a majority vote of the Committee that an emergency exists.

2. Upon a determination by a two-thirds vote of the Committee, or if less than two-thirds of the members are present, a unanimous vote of those members present, there is a need to take immediate action on an item that came to the attention of the Committee after the agenda was posted.

The Committee may direct staff to place an item of business for discussion and/or action on a subsequent agenda.

§6.6 MOTIONS
No debate of a motion shall be permitted prior to a second of the motion. When a motion is made and seconded, the Chairperson shall state the motion before opening the floor to debate, and such debate shall be limited to members of the Committee, provided the public was given an opportunity to present testimony on the agenda item pursuant to the Brown Act. Members can speak in debate of a motion only upon being recognized by the Chairperson. After the motion has entered the voting process, there shall be no further debate except that members may be allowed to explain their vote.

§6.7 VOTING
Every member of the Committee who is present at a meeting when a motion comes up for a vote shall vote for or against the motion unless he/she is disqualified from voting and abstains from voting because of such disqualification.

§6.8 TIME LIMITS FOR SPEAKERS
The Chairperson shall open the floor to public discussion during the Committee's consideration of an agenda item, or during the Open Petitions, if the discussion is within the purview of the Committee and provided that the public has an opportunity to testify prior to the final decision on an agenda item. Each member of the public appearing at a Committee meeting shall be limited to three minutes in his or her presentation, unless the Chairperson, at his or her discretion, permits additional time. Any person addressing the Committee may submit written statements, petitions, or other documents to complement his or her presentation.

§6.9 PETITIONS AND COMMUNICATIONS
All written petitions and communications on the agenda of a meeting shall be filed with the Secretary at such meeting.
§6.10 DOCUMENTS PRESENTED TO THE COMMITTEE
All documents and reference materials presented to the Committee at any meeting by any person shall be filed by the Secretary at such meeting. At the direction of the Chairperson, true copies may be filed in lieu of the originals thereof.

§6.11 IMPERTINENCE; DISTURBANCE OF MEETING
Any person making personal, impertinent or indecorous remarks while addressing the Committee may be barred by the Chairperson from further appearance before the Committee at that meeting, unless permission to continue is granted by an affirmative vote of the Committee. The Chairperson may order any person removed from the Committee meeting who causes a disturbance or interferes with the conduct of the meeting. The Chairperson may direct the meeting room cleared when deemed necessary to maintain order.

§6.12 ACCESS TO PUBLIC RECORDS DISTRIBUTED AT MEETINGS
Writings which are public records and which are distributed during a Committee meeting shall be made available for public inspection at the meeting or immediately following the meeting.

§6.13 MEETING OPEN TO THE PUBLIC
All meetings of the Committee shall be open and public. All persons shall be permitted to attend any Committee meeting except as may be otherwise prohibited by the laws of the Brown Act.

§6.14 ORDER OF BUSINESS
At the regular meetings of the Committee, the following shall be the order of business:

1. Call to Order
2. Roll Call
3. Approval of Order of Business
4. Approval of Minutes
5. Oral Petitions
6. Staff Report
7. Chairperson’s Report
8. Committee Report
9. Old Business
10. New Business
11. Adjournment

The Chair may at any time alter the above order of business at any meeting to the extent necessary to comply with the provisions of Article VI, relating to public meetings.

ARTICLE VII
AGENDAS AND MEETING NOTICES

§7.1 AGENDA FORMAT
The agenda shall specify the starting time and location of the meeting and shall briefly describe the subject matter of each item of business to be transacted or discussed at the meeting.
§7.2 PUBLIC PRESENTATIONS
Each agenda for a regular meeting shall provide an opportunity for members of the public to address the Committee under the agenda item heading “Oral Petitions”. At special Committee meetings, members of the public may address the Committee concerning any item that has been described in the notice and agenda for the meeting during consideration of that item.

§7.3 AGENDA PREPARATION
Designated staff will prepare the agenda and supporting documents for each meeting in consultation with the Chairperson. Material intended for placement on the agenda shall be delivered to staff on or before 5:00 p.m. on the 10th calendar day immediately preceding the regular meeting at which the matters on such agenda shall be considered by the Committee. Staff may withhold placement on the agenda of any matter, which is not timely received, lacks sufficient information, or is in need of staff review and report, or approval of the City or JPB prior to Committee consideration.

§7.4 AGENDA POSTING AND DELIVERY
The written agenda for each regular meeting and each meeting rescheduled for more than five calendar days shall be posted by the Secretary at least 72 hours prior to the scheduled meeting time. The Secretary shall post the written agenda for each special meeting at least 24 hours prior to the scheduled meeting time. The agenda shall be posted on the outdoor bulletin board at City Hall. The agenda together with supporting documents shall be delivered to each member at least 72 hours prior to the date set for each regular meeting, and 24 hours before special meetings.

§7.5 MEETING NOTICES
The Secretary shall mail, using the United States Postal Service or electronic means, notices of every regular meeting at least three days before the scheduled meeting to each person that has filed with staff a written request for notification. Notices for special meetings will be given, as staff deems practical, to each person who has filed with staff a written request for notification.

ARTICLE VIII

MISCELLANEOUS

§8.1 ADOPTION AND AMENDMENT OF BYLAWS
The City Council and JPB shall adopt these Bylaws. The Bylaws may be amended by the affirmative vote of four members of the Committee and approval by both the City Council and JPB.
TO:       Joint Powers Board

THROUGH:  Michael J. Scanlon
          Executive Director

FROM:     C.H. (Chuck) Harvey
          Deputy CEO

SUBJECT:  KEY CALTRAIN PERFORMANCE STATISTICS OCTOBER 2010

For October 2010, Caltrain average weekday ridership (AWR) increased 11.2 percent over October 2009. AWR based on ticket sales was 42,437 for October 2010, an increase of 4,263 compared to October 2009. AWR has trended upward compared to last year for four of the last five months. The total number of passengers for the month of October 2010 was 1,126,012, representing an 8.3 percent increase from last year’s October total of 1,039,342. Contributing in part to the October ridership increase were seven Giants postseason games at AT&T Park.

In October 2010, on-time performance was 93.0 percent, as compared to 94.4 percent in October 2009, a decrease of 1.4 percentage points and below the standard of 95 percent. Contributing factors included two trespasser fatalities (one Caltrain, one UP) and large special event crowds.

Average weekday shuttle ridership was estimated at 5,787. Overall shuttle ridership is down 2.5 percent. For the station shuttles, the Millbrae-Broadway shuttle averaged 113 daily riders. The Belmont-Hillsdale shuttle averaged 69 daily riders. The weekend Tamien-San Jose shuttle averaged 42 riders per day.
Caltrain Promotions – October 2010

Giants’ baseball – As the Giants roster was adjusted for the playoff games and World Series, a constant was Caltrain. Service to the post-season was communicated via the Caltrain website and with news releases. The five playoff and two World Series games attracted more than 62,000 additional riders to Caltrain.

Fleet Week – Sailors come to town and customers flocked to Caltrain. Fleet Week festivities were promoted in the fall issue of Track the Fun. As Fleet Week was wrapping up on Saturday, Caltrain carried nearly 4,000 additional customers.

Sharks hockey – Fans continued to hear the Caltrain message about taking the train to see the San Jose Sharks as the regular season got underway. Service to the matches was promoted through customer take ones (funded by the Sharks), onboard ad card, Caltrain web button, radio reads before each game, and fall editions of Track the Fun and Caltrain Connection. The HP Pavilion also was represented on a destination poster placed at each station. More than 800 hockey fans rode Caltrain to the four October games.

Stanford Football – Traffic and parking blocking and tackling are eliminated when football fans take advantage of the best the playbook has to offer: Caltrain. The rail agency promoted service to the games via customer take ones (paid for by Stanford), mention in the fall issue of Track the Fun, web banner ads, live radio reads during the football games and a Caltrain web button. Caltrain carried an extra 2,717 customers to two football games, with the vast majority of them attending the University of Southern California game.

ClipperSM – Caltrain staff visited more stations to promote the transition of Caltrain’s 8-ride Ticket and Monthly Pass to the Clipper card. This is one of a number of ways that Caltrain staff is making its customers aware of the regional fare payment system. Information also was provided through a news release, onboard take ones and web postings.

Ticket Office Closure Outreaches – Caltrain staff was on hand at the San Francisco and San Jose stations to inform customers about the closure of the ticket offices and options to purchase tickets. Outreach occurred at the beginning and ending of the month.

Stanford Scavenger Hunt – You need to be smart to be accepted into Stanford, and the freshman demonstrated their smarts when they took Caltrain for the annual scavenger hunt. Tickets were pre-sold through a collaborative relationship between Caltrain and the university. Seven hundred scavenger hunters headed to San Francisco the first weekend in October (Nearly 1,000 rode the previous weekend).

Partnerships – Caltrain partnered with a number of events to promote train service. The events, which provided a discount on ticket prices to Caltrain customers, included California’s Great America Theme Park, Disney On Ice - Mickey and Minnie's Magical Journey, Avatar Hotel and Great America Halloween Haunt Package, and The Tech - Genghis Khan: The Exhibition.

Prepared by: Ted Yurek, Senior Planner 650.508.6471
Rita Haskin, Executive Officer 650.508.6248
Table A

### October 2010

<table>
<thead>
<tr>
<th></th>
<th>FY2010</th>
<th>FY2011</th>
<th>%Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Ridership</td>
<td>1,039,342</td>
<td>1,126,012</td>
<td>8.3%</td>
</tr>
<tr>
<td>Average Weekday Ridership</td>
<td>38,174</td>
<td>42,437</td>
<td>11.2%</td>
</tr>
<tr>
<td>Total Revenue</td>
<td>$3,553,368</td>
<td>$4,172,550</td>
<td>17.4%</td>
</tr>
<tr>
<td>On-time Performance</td>
<td>94.4%</td>
<td>93.0%</td>
<td>-1.4%*</td>
</tr>
<tr>
<td>Caltrain Shuttle Ridership</td>
<td>5,935</td>
<td>5,787</td>
<td>-2.5%</td>
</tr>
</tbody>
</table>

### Year to Date

<table>
<thead>
<tr>
<th></th>
<th>FY2010</th>
<th>FY2011</th>
<th>%Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Ridership</td>
<td>4,235,994</td>
<td>4,387,420</td>
<td>3.6%</td>
</tr>
<tr>
<td>Average Weekday Ridership</td>
<td>39,742</td>
<td>41,346</td>
<td>4.0%</td>
</tr>
<tr>
<td>Total Revenue</td>
<td>$14,984,557</td>
<td>$16,234,093</td>
<td>8.3%</td>
</tr>
<tr>
<td>On-time Performance</td>
<td>94.1%</td>
<td>93.2%</td>
<td>-0.9%*</td>
</tr>
<tr>
<td>Average Caltrain Shuttle Ridership</td>
<td>5,706**</td>
<td>5,428</td>
<td>-4.9%</td>
</tr>
</tbody>
</table>

* numeric difference of the percentages
**FY10 shuttle figures have been adjusted to reflect corrected number of days operated per month

Graph A

Caltrain Average Weekday Ridership

[Graph showing trends from Oct 09 to Oct 10]

OCT 09  NOV 09  DEC 09  JAN 10  FEB 10  MAR 10  APR 10  MAY 10  JUN 10  JUL 10  AUG 10  SEP 10  OCT 10

AWR  13-Month rolling average

38,174

42,437
PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT

TO: Joint Powers Board

THROUGH: Michael J. Scanlon
Executive Director

FROM: Gigi Harrington
Deputy CEO

SUBJECT: STATEMENT OF REVENUE AND EXPENSE FOR THE PERIOD
ENDING OCTOBER 31, 2010 AND SUPPLEMENTAL INFORMATION

ACTION
Staff proposes that the Board accept and enter into the record the Statement of Revenue and Expense for the month of October 2010 and supplemental information.

SIGNIFICANCE
Revenue: For October of Fiscal Year 2011, Total Operating Revenue (line 7) is $1,048,373 or 5.9 percent better than budget. Within total operating revenue, Farebox Revenue (line 1) is $1,161,656 or 7.7 percent better than budget offset by Shuttles (line 3) and Other Income (line 5) which together are $152,187 or 11.6 percent worse than budget. Compared to the prior year, Total Operating Revenue (line 7) is $1,188,949 or 6.8 percent higher.

Expense: Grand Total Expenses (line 47) show a favorable variance of $4,102,048 or 11.9 percent. Total Operating Expense (line 33) is $3,531,713 or 11.5 percent better than budget. Within total operating expense, Contract Operating & Maintenance (line 23) and Fuel (line 26) together are $3,027,158 or 11.9 percent better than budget. Total Administrative Expense (line 42) is $570,334 or 16.0 percent better than budget.

Compared to prior year, Grand Total Expenses (line 47) are $1,214,928 or 4.2 percent higher. The increase in expense is mainly due to Fuel (line 26) and Insurance (line 28) which together are $1,918,052 or 40.3 percent higher offset by Contract Operating & Maintenance (line 23) which is $693,959 or 3.6 percent lower than the prior year.

Budget Revisions: There are no budget revisions for the month of October 2010.

Prepared by: Rima Lobo, Manager, Financial Services 650.508.6274
David Ramires, Accountant 650.508.6417
## Statement of Revenue and Expense

**PENINSULA CORRIDOR POWERS BOARD**  
**STATEMENT OF REVENUE AND EXPENSE**  
**Fiscal Year 2011**  
**October 2010**

### REVENUE

**OPERATIONS:**

<table>
<thead>
<tr>
<th>Month</th>
<th>Year to Date</th>
<th>% of Year Elapsed</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Current Actual</td>
<td>Prior Actual</td>
</tr>
<tr>
<td>Farebox Revenue</td>
<td>4,172,550</td>
<td>14,984,557</td>
</tr>
<tr>
<td>Parking Revenue</td>
<td>197,221</td>
<td>702,125</td>
</tr>
<tr>
<td>Shuttles</td>
<td>91,205</td>
<td>351,799</td>
</tr>
<tr>
<td>Rental Income</td>
<td>140,212</td>
<td>551,687</td>
</tr>
<tr>
<td>Other Income</td>
<td>217,569</td>
<td>978,746</td>
</tr>
<tr>
<td><strong>TOTAL OPERATING REVENUE</strong></td>
<td>4,818,757</td>
<td>17,568,908</td>
</tr>
</tbody>
</table>

### CONTRIBUTIONS:

- **AB343 Peninsula Feeder Shuttle**: 83,333
- **JPB Member Agencies**: 3,254,177
- **Other Sources**: 129,623

**TOTAL CONTRIBUTED REVENUE**: 3,339,979

**GRAND TOTAL REVENUE**: 8,158,737

### EXPENSE

**OPERATING EXPENSE:**

<table>
<thead>
<tr>
<th>Month</th>
<th>Year to Date</th>
<th>% of Year Elapsed</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Current Actual</td>
<td>Prior Actual</td>
</tr>
<tr>
<td>Contract Operating and Maintenance</td>
<td>4,758,764</td>
<td>19,125,440</td>
</tr>
<tr>
<td>Operator Contract Transition Costs</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Shuttles (incl Peninsula Pass)</td>
<td>248,406</td>
<td>958,364</td>
</tr>
<tr>
<td>Fuel</td>
<td>968,722</td>
<td>3,260,379</td>
</tr>
<tr>
<td>Timetables and Tickets</td>
<td>31,739</td>
<td>57,708</td>
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<tr>
<td>Insurance</td>
<td>403,371</td>
<td>1,494,398</td>
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<tr>
<td>Facilities and Equipment Maint</td>
<td>25,217</td>
<td>317,017</td>
</tr>
<tr>
<td>Utilities</td>
<td>129,623</td>
<td>442,953</td>
</tr>
<tr>
<td>Services</td>
<td>69,096</td>
<td>285,266</td>
</tr>
<tr>
<td><strong>TOTAL OPERATING EXPENSE</strong></td>
<td>6,634,938</td>
<td>25,810,651</td>
</tr>
</tbody>
</table>

**ADMINSITRATIVE EXPENSE**

<table>
<thead>
<tr>
<th>Year to Date</th>
<th>% of Year Elapsed</th>
</tr>
</thead>
<tbody>
<tr>
<td>Current Actual</td>
<td>Prior Actual</td>
</tr>
<tr>
<td>534,485</td>
<td>2,038,883</td>
</tr>
<tr>
<td>13,324</td>
<td>3,591</td>
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<tr>
<td>167,191</td>
<td>523,443</td>
</tr>
<tr>
<td>11,262</td>
<td>58,536</td>
</tr>
<tr>
<td>107,714</td>
<td>443,287</td>
</tr>
<tr>
<td><strong>TOTAL ADMINISTRATIVE EXPENSE</strong></td>
<td>821,976</td>
</tr>
</tbody>
</table>

**GRAND TOTAL EXPENSE**: 7,548,821

*% 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.

**Page 1 of 1 11/18/10 4:00 PM**

29.2%
### PENINSULA CORRIDOR JOINT POWERS BOARD

#### INVESTMENT PORTFOLIO

**AS OF OCTOBER 31, 2010**

<table>
<thead>
<tr>
<th>TYPE OF SECURITY</th>
<th>MATURITY</th>
<th>INTEREST RATE</th>
<th>PURCHASE PRICE</th>
<th>MARKET RATE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Local Agency Investment Fund (Restricted)</td>
<td>Liquid Cash</td>
<td>0.480%</td>
<td>$2,000,000</td>
<td>$2,003,830</td>
</tr>
<tr>
<td>Local Agency Investment Fund (Unrestricted)</td>
<td>Liquid Cash</td>
<td>0.480%</td>
<td>20,150,020</td>
<td>20,188,604</td>
</tr>
<tr>
<td>Investment Portfolio (Unrestricted)</td>
<td>Liquid Cash</td>
<td>3.041%</td>
<td>7,189,740</td>
<td>7,151,222</td>
</tr>
<tr>
<td>Other (Unrestricted)</td>
<td>Liquid Cash</td>
<td>0.050%</td>
<td>1,666,277</td>
<td>1,666,277</td>
</tr>
</tbody>
</table>

<p>| | | | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>$31,006,036</td>
<td>$31,009,932</td>
</tr>
</tbody>
</table>

Accrued Earnings for October 2010 $27,347.48
Accrued Earnings FY2011 $119,642.45

(1) Earnings do not include prior period adjustments

* The market value of Local Agency Investment Fund (LAIF) was derived from the fair value factor of 1.001914850 as reported by LAIF for quarter ending September 30, 2010.

** 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.
TO: Joint Powers Board

THROUGH: Michael J. Scanlon
Executive Director

FROM: Gigi Harrington
Deputy CEO

SUBJECT: AMEND AND INCREASE PARKING VIOLATION FINE SCHEDULE

ACTION
Staff Coordinating Council (SCC) recommends the Board adopt the attached Resolution amending and increasing the parking violation fine schedule for citations issued on JPB property.

SIGNIFICANCE
Staff is proposing to amend the JPB’s parking violation fine schedule to increase fines above existing levels in order to cover a State of California-mandated Trial Court Trust Fund penalty surcharge fee of $3.00 (State Senate Bill 857). This additional surcharge will go into effect on December 7, 2010. All existing fines will be increased by an additional $3, as provided for in the attached Exhibited A.

Pending approval by the Board, the new fine schedule will be implemented as soon as new citation forms can be printed.

BUDGET IMPACT
The JPB’s budgeted revenue from citations for Fiscal Year 2011 is $75,600. The proposed fine increase would not result in any increased revenue to the JPB because the additional $3.00 is to be passed through to the State. The additional cost impact would be minimal, limited to the expense associated with printing the new citation forms.

BACKGROUND
Effective December 7, 2010, a state Trial Court Trust Fund penalty surcharge of $3.00 will be assessed on all parking penalties and/or fines. The County of San Mateo has recommended that agencies levying parking fines increase their fee structure by $3.00 in order to offset this surcharge.
In October 2002, the JPB adopted regulations applicable to vehicle parking at JPB parking facilities (Resolution 2002-32). In April, 2009, the JPB adopted its own parking violation fine schedule (Resolution 2009-15) after previously utilizing the County of San Mateo’s schedule. The JPB’s parking violation fine schedule increased fines by $15, both to bring the JPB’s schedule in line with surrounding jurisdictions, and to cover a $4.50 state-mandated court construction penalty surcharge. No changes are proposed to the existing regulations.

Prepared by: Éva Goode, Manager, Budgets 650.508.7914
RESOLUTION NO. 2010 –  
PENINSULA CORRIDOR JOINT POWERS BOARD  
STATE OF CALIFORNIA  

***  
AMENDING THE PARKING VIOLATION FINE SCHEDULE FOR PARKING  
CITATIONS ISSUED AT PENINSULA CORRIDOR JOINT POWERS  
BOARD PARKING FACILITIES  

WHEREAS, California Vehicle Code Section 21113 authorizes a joint powers agency operating or managing a commuter rail system to establish conditions and regulations governing the use of the agency’s parking facilities; and  

WHEREAS, pursuant to Resolution No. 2002-32, the Peninsula Corridor Joint Powers Board (“JPB”) adopted regulations applicable to vehicle parking at JPB facilities; and  

WHEREAS, pursuant to California Vehicle Code Section 40203.5, the JPB has authority to establish the schedule of monetary penalties for parking violations; and  

WHEREAS, since the adoption of its parking regulations until April, 2009, the JPB utilized the parking violation fine schedule established by the County of San Mateo; and  

WHEREAS, in April, 2009, pursuant to Resolution No. 2009-15, the JPB adopted its own parking violation fine schedule both to bring the JPB’s parking fines in line with average fines charged by other public entities in San Mateo County, and to reflect a $4.50 surcharge for the state courts; and  

WHEREAS, during the 2010 legislative session, the California State Legislature enacted Senate Bill 857 which amended the California Government Code to include, effective December 7, 2010, a $3.00 surcharge for the Trial Court Trust Fund which the JPB is required to remit to the state for every parking offense; and
WHEREAS, staff recommends adopting the parking violation fine schedule, attached to this Resolution as Exhibit A, to reflect the additional $3.00 surcharge imposed pursuant to Senate Bill 857.

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby amends the parking violation fine schedule, attached as Exhibit A and incorporated by reference; and

BE IT FURTHER RESOLVED THAT the parking violation fine schedule shall be available for examination by interested persons at the JPB’s office at 1250 San Carlos Avenue, San Carlos, California; and

BE IT FURTHER RESOLVED THAT the Executive Director of the JPB is authorized to execute all documents on behalf of the JPB necessary for the implementation of the parking violation fine schedule and to take such actions as may be necessary to give effect to this Resolution.

Regularly passed and adopted this 2nd day of December 2010, by the following vote:

AYES:

NOES:

ABSENT:

____________________________
Chair, Peninsula Corridor Joint Powers Board

____________________________
JPB Secretary
### JPB Parking Violation Fine Schedule

<table>
<thead>
<tr>
<th>VIOLATION</th>
<th>CURRENT FINE</th>
<th>PROPOSED FINE</th>
</tr>
</thead>
<tbody>
<tr>
<td>TABS ON VEHICLE</td>
<td>$45</td>
<td>$48</td>
</tr>
<tr>
<td>RESTRICTED PARKING</td>
<td>$45</td>
<td>$48</td>
</tr>
<tr>
<td>BLOCKING DRIVEWAY</td>
<td>$45</td>
<td>$48</td>
</tr>
<tr>
<td>PARKING ON SIDEWALK</td>
<td>$45</td>
<td>$48</td>
</tr>
<tr>
<td>DOUBLE PARKING</td>
<td>$45</td>
<td>$48</td>
</tr>
<tr>
<td>BUS LOADING/RED ZONE</td>
<td>$45</td>
<td>$48</td>
</tr>
<tr>
<td>DISABLED PARKING</td>
<td>$325</td>
<td>$328</td>
</tr>
<tr>
<td>PARKING WITHIN 15’ OF FIRE HYDRANT</td>
<td>$45</td>
<td>$48</td>
</tr>
<tr>
<td>ABANDONED VEHICLE</td>
<td>$100</td>
<td>$103</td>
</tr>
<tr>
<td>PARKING IN FIRE LANE</td>
<td>$45</td>
<td>$48</td>
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<tr>
<td>PARKING NEAR R/R TRACK</td>
<td>$45</td>
<td>$48</td>
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<tr>
<td>BLOCKING WHEELCHAIR CURB ACCESS</td>
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<td>$48</td>
</tr>
<tr>
<td>PARKING IN VIOLATION OF A SIGN</td>
<td>$45</td>
<td>$48</td>
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</tbody>
</table>
PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT

TO: Joint Powers Board

THROUGH: Michael J. Scanlon
Executive Director

FROM: Mark Simon
Executive Officer, Public Affairs

SUBJECT: STATE AND FEDERAL LEGISLATIVE UPDATE

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

SIGNIFICANCE
Staff will provide regular updates to the Board consistent with the approved Legislative Program.

STATE ISSUES
Budget
Following the Legislative Analyst Office report that the State is facing an 18-month, $25.4 billion shortfall, Governor Schwarzenegger announced that he would call a special legislative session in December to address that State’s current year, $6 billion shortfall.

Democratic leaders have indicated their preference for delaying action on the shortfall until Governor-elect Jerry Brown is sworn in.

FEDERAL ISSUES
Appropriations
Congress is currently meeting in a lame-duck session with a full agenda before they adjourn at the end of the year. To ensure that government program funding continues, Congress will either approve an omnibus appropriations package or pass a Continuing Resolution before December 3.

Congress will also need to extend authorization for surface transportation programs before the current extension expires at end of the year.

High Speed and Intercity Passenger Rail Program
Newly-elected governors from Ohio and Wisconsin have indicated that they will revisit their states’ plans to construct high-speed rail projects. The Administration responded by affirming that any High Speed Intercity Passenger Rail Program funds not used for projects selected by the Federal Railroad Administration will be reallocated to other states. In response, members of the
Wisconsin congressional delegation introduced legislation to ensure that returned funds would only be used to pay off the national debt, but it is unlikely that this legislation would be considered in time to affect the reallocation of any returned funds. California’s U.S. Senators Boxer and Feinstein both have indicated publicly that they want these funds allocated to the California project.

**National Commission on Fiscal Responsibility and Reform**

The co-chairs of the commission charged with presenting Congress with debt reduction recommendations released an initial proposal that includes significant transportation funding impacts.

The proposal would gradually increase the gas tax by 15-cents/gallon starting in 2013. It would also make transportation spending a mandatory part of the budget and would eliminate general fund bailouts of the Highway Trust Fund.

In order to move forward with these recommendations, 14 members of the 18-member Commission will need to adopt the proposal by December 1.

Prepared By: Seamus Murphy, Manager, Government Affairs 650.508.6388
Quarterly Capital Program Status Report
and DBE Status Report

Prepared for the December 2, 2010 JPB Meeting

1st Quarter FY2011: July 1, 2010 – September 30, 2010

Peninsula Corridor
Joint Powers Board
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Caltrain - Capital Program - Budget Status Summary

Q1 FY2011 - July 1 to September 30, 2010

All Costs in $1,000's

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Station and Intermodal Access</td>
<td>$6,241</td>
<td>$42,558</td>
<td>$6,242</td>
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<td>3. Rolling Stock / Equipment</td>
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<td>$16,213</td>
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<td>4. Operational Facilities &amp; Equip.</td>
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<td>$2,450</td>
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<td>5. Others</td>
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<td>$2,600</td>
<td>$3,160</td>
<td>$8,299</td>
<td>$2,290</td>
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<td>6. Caltrain Express / Caltrain 2025</td>
<td>$0</td>
<td>$0</td>
<td>$3,326</td>
<td>$4,500</td>
<td>$8,651</td>
<td>$9,460</td>
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<tr>
<td>7. Electrification</td>
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<td>$0</td>
<td>$4,000</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
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<tr>
<td><strong>Total Board Approved Budget by FY</strong> (1)</td>
<td>$80,758</td>
<td>$83,147</td>
<td>$62,421</td>
<td>$151,105</td>
<td>$83,535</td>
<td>$36,626</td>
</tr>
</tbody>
</table>

| **Total Audited Expenditures by FY** (2)      | $103,282| $87,216 | $96,971 | $76,917 | $72,626 (3) | $8,441 (3) |

Some of the major projects completed include, but are not limited to the following:

- Ponderosa - Construction of Station Platforms, Track, Bridge Rehab, & Grade Crossing Project
- Passenger Car Overhaul
- Passenger Car Procurement
- CTX - Caltrain Express (Baby Bullet) Engineering / Construction Project
- CTX - Baby Bullet Train - Procurement of Rolling Stock
- Centralized Traffic Control Project
- Purchase and Installation of Ticket Vending Machines (TVM) - Phase 2
- Centralized Equipment & Maintenance Operations Facility Related Projects
- San Francisco Station Improvements
- San Mateo Station Improvements
- Sunnyvale Multimodal Project
- Tunnel Rehabilitation Project
- Hillsdale Station Outboard Platform Improvements
- Bridge Seismic Retrofit and Deck Replacement Project
- Centralized Equipment Maintenance & Operations Facility (CEMOF)
- North Terminal Operations Improvements Project
- Burlingame Station Platform & Track Improvements Project
- Diridon Station Improvements
- Guadalupe River Bridge Interim Repair Project
- Cal Ave Station Improvements / Palo Alto Ped Underpass & Platform Improvements / Bridge Deck Repair Project
- San Bruno / South Linden Interim Safety Improvement Project
- Procurement of Eight Caltrain Passenger Cars

Note: (1) The "Total Board Approved Budget by FY" reflects the annual budget approved by the JPB at the beginning of each fiscal year. This authorizes the amount that could be spent on projects. Unspent budget in a fiscal year will be carried forward to subsequent budget years.

(2) "Total Audited Expenditures by FY" reflects total cost expended in the fiscal year; funding source for the expenditures could be from prior fiscal years.

(3) Expenditures shown for FY2010 & for FY2011 through September 30, 2010 are unaudited.
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The following projects represent a sub-set of the total Capital Program and have been selected for inclusion into the Quarterly Report due to project value, operational significance, and/or impact on customers.

<table>
<thead>
<tr>
<th>Project Description</th>
<th>SCOPE Q4 FY10</th>
<th>SCOPE Q1 FY11</th>
<th>SCHEDULE Q4 FY10</th>
<th>SCHEDULE Q1 FY11</th>
<th>BUDGET / COST Q4 FY10</th>
<th>BUDGET / COST Q1 FY11</th>
<th>HSR IMPACT Q4 FY10</th>
<th>HSR IMPACT Q1 FY11</th>
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<tbody>
<tr>
<td>2nd ATCS Channel Project</td>
<td>G</td>
<td>G</td>
<td></td>
<td></td>
<td>N/A</td>
<td>N/A</td>
<td></td>
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<td>4</td>
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<tr>
<td>Atherton Station Improvements (Project On hold)</td>
<td>G</td>
<td>G</td>
<td></td>
<td></td>
<td>R</td>
<td>R</td>
<td></td>
<td></td>
<td>6</td>
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<tr>
<td>Broadway Station Improvements (Project On hold)</td>
<td>G</td>
<td>G</td>
<td></td>
<td></td>
<td>R</td>
<td>R</td>
<td></td>
<td></td>
<td>8</td>
</tr>
<tr>
<td>Caltrain Right of way Fencing Project</td>
<td>G</td>
<td>G</td>
<td></td>
<td></td>
<td>N/A</td>
<td>N/A</td>
<td></td>
<td></td>
<td>10</td>
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<tr>
<td>Dumbarton Rail Corridor Project</td>
<td>G</td>
<td>G</td>
<td>R</td>
<td>R</td>
<td>N/A</td>
<td>N/A</td>
<td></td>
<td></td>
<td>12</td>
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<tr>
<td>Electrification - Environmental and 35% Design</td>
<td>Y</td>
<td>Y</td>
<td>R</td>
<td>R</td>
<td>Y</td>
<td>Y</td>
<td></td>
<td></td>
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<td>Jerrold Avenue Bridge Replacement Project</td>
<td>G</td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<td>Los Gatos &amp; Guadalupe Bridges Replacement</td>
<td>G</td>
<td>G</td>
<td>R</td>
<td>R</td>
<td></td>
<td></td>
<td></td>
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<td>18</td>
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<tr>
<td>Quint Street Bridge Project</td>
<td>Y</td>
<td>Y</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>20</td>
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<tr>
<td>Rail Operations Control System Project</td>
<td>G</td>
<td>G</td>
<td>Y</td>
<td>Y</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>22</td>
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<tr>
<td>Real Time Transit Information Project</td>
<td>R</td>
<td>R</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>24</td>
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<tr>
<td>San Bruno Grade Separation</td>
<td>G</td>
<td>G</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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</tr>
<tr>
<td>San Francisco Roadway Bridges Replacement</td>
<td>R</td>
<td>R</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>28</td>
</tr>
<tr>
<td>San Mateo Bridges Rehabilitation Project</td>
<td>G</td>
<td>G</td>
<td>Y</td>
<td>Y</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>30</td>
</tr>
<tr>
<td>San Mateo County At-Grade Crossing Improvement</td>
<td>G</td>
<td>G</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>32</td>
</tr>
<tr>
<td>South San Francisco Parking Lot</td>
<td>G</td>
<td>G</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>34</td>
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<tr>
<td>South Terminal and Santa Clara Stations Improvements Project</td>
<td>G</td>
<td>G</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>36</td>
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<tr>
<td>Systemwide Track Rehab Program - FY2010</td>
<td>G</td>
<td>G</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>38</td>
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<tr>
<td>Systemwide Track Rehab Program - FY2011</td>
<td>N/A</td>
<td>N/A</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>40</td>
</tr>
</tbody>
</table>

Legend:
- **G** = Project On-Hold
- **Y** = Notable Issues
- **R** = Significant Issues
- **N/A** = Not Applicable

Caltrain QUARTERLY REPORT

TRAFFIC LIGHT REPORT
2nd ATCS Channel Project

SCOPE:
The purpose of this project is to refine, adjust and modify Caltrain's Signal Data Radio Communications Network which links signal control points to the central control/dispatch office. The modifications are required to improve the reliability, quality, and speed of data transmissions within the radio network, specifically between the antennas at control points, the two base stations located on the San Bruno and Monument Peak Mountain Tops and along the right-of-way.

Issues:
The last remaining work on this project is to install the auto roll over feature (AROF). The AROF was originally included in the construction contract. This device switches the Caltrain signals to a secondary signaling system in case the primary signal system is unavailable. The AROF is no longer in production and has been removed from the construction contract. An alternative is being evaluated and when an option is selected Amtrak will perform the installation.

SCHEDULE:

<table>
<thead>
<tr>
<th>Activity #</th>
<th>Activity Description</th>
<th>Est Start</th>
<th>Rev Start</th>
<th>% Complete</th>
<th>Start</th>
<th>Finish</th>
</tr>
</thead>
<tbody>
<tr>
<td>01741</td>
<td>2nd ATCS Channel Project</td>
<td>2010-09-05</td>
<td>2010-09-05</td>
<td>100%</td>
<td>2010-09-11</td>
<td></td>
</tr>
</tbody>
</table>

(1) Completed close out of construction contract.

(2) Initiate the implementation of the selected option.

Progress:
Jul - Sep 2010

Issues:
The project schedule will be re-evaluated after an alternative to the auto roll over feature is selected.

Future Activities:
Oct - Dec 2010

(1) Selection of the alternative to the auto roll over feature.

(2) Initiate the implementation of the selected option.
Caltrain Quarterly Report

2nd ATCS Channel Project

BUDGET:

<table>
<thead>
<tr>
<th>Segment Group</th>
<th>Current Board Approved Budget</th>
<th>Expended to Date</th>
<th>Committed to Date</th>
<th>Estimate at Completion</th>
<th>Variance at Completion</th>
</tr>
</thead>
<tbody>
<tr>
<td>Planning &amp; Engineering</td>
<td>$485,290</td>
<td>$485,167</td>
<td>$485,167</td>
<td>$485,167</td>
<td>$123</td>
</tr>
<tr>
<td>Right of Way</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>Construction</td>
<td>$2,364,290</td>
<td>$2,364,575</td>
<td>$2,364,575</td>
<td>$2,367,042</td>
<td>($2,752)</td>
</tr>
<tr>
<td>Construction Management</td>
<td>$792,400</td>
<td>$820,070</td>
<td>$820,070</td>
<td>$824,881</td>
<td>($32,481)</td>
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<tr>
<td>Administration</td>
<td>$808,955</td>
<td>$812,594</td>
<td>$812,594</td>
<td>$818,862</td>
<td>($9,907)</td>
</tr>
<tr>
<td>Contingency</td>
<td>$49,065</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$45,017</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$4,500,000</strong></td>
<td><strong>$4,482,406</strong></td>
<td><strong>$4,482,406</strong></td>
<td><strong>$4,500,000</strong></td>
<td><strong>$0</strong></td>
</tr>
</tbody>
</table>

Issues: Revised manual or auto roll over feature is being evaluated and is not included in the current budget/EAC.

OTHER: None.
SCOPE: This project provides for the design and construction of new station facilities at Atherton Station (MP 27.80) to eliminate the "hold out rule". The scope of the project includes demolishing the center platform and providing outboard boarding platforms with a center inter-track fence and a signalized/gated pedestrian crossing at the northern end of the platforms.

Issues: Design has been completed; project was placed on hold for further efforts (see note in "Other" section). Scope of project is on hold; Caltrain capital program management team is reviewing the impacts of other improvements in the vicinity of the station to determine the appropriate scope definition for the Atherton Station project.

### SCHEDULE:

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<tr>
<th>Activity ID</th>
<th>Activity Description</th>
<th>Orig Date</th>
<th>%</th>
<th>Early Start</th>
<th>Early Finish</th>
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<tr>
<td>01572</td>
<td>Atherton Interim Outboard Platform</td>
<td>1</td>
<td>100</td>
<td>16JUN03A</td>
<td>19SEP03A</td>
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<tr>
<td>+ Preliminary Engineering</td>
<td>16JUN03A</td>
<td>19SEP03A</td>
<td></td>
<td></td>
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<tr>
<td>+ Engineering Design</td>
<td>16JUN03A</td>
<td>30AUG03B</td>
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</tr>
</tbody>
</table>

**progress:** Project is on hold.

### Future Activities:

**Oct - Dec 2010**

**Issues:** Project is on hold; schedule needs to be redefined and re-baselined.
**BUDGET:**

<table>
<thead>
<tr>
<th>Segment Group</th>
<th>(a)</th>
<th>(b)</th>
<th>(c)</th>
<th>(d)</th>
<th>(e) = (a - d)</th>
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<td>Planning &amp; Engineering</td>
<td>$239,400</td>
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<td>$339,642</td>
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<td>($125,600)</td>
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<td>$0</td>
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<td>$0</td>
<td>$0</td>
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<tr>
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<td>$28,906</td>
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<td>$160,625</td>
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<td>$0</td>
<td>$386,712</td>
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<tr>
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<td>$522,960</td>
<td>$529,173</td>
<td>$4,285,800</td>
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</tbody>
</table>

**ISSUES:**

The project was put on hold for any further design efforts. Estimate at Completion will be re-evaluated when project is re-activated.

**HSR IMPACT:**

Project scope, budget and delivery schedule will likely be impacted by High Speed Rail development along the Caltrain corridor.

**OTHERS:**

Project has been placed on hold; Capital Program Management team is currently reviewing the impact of capital improvements (incl. Dumbarton Rail Extension) in the vicinity of Atherton Station.
This project is to eliminate the “hold out rule”, reduce gate down time and provide pedestrian/patron safety by providing outboard boarding platforms at the Broadway Station (MP 15.2). The platforms are to be staggered, the Northbound platform north of Broadway Avenue and the Southbound platforms remaining south of Broadway Avenue. Scope includes track work, signal work, pedestrian active warning devices, lighting and general construction work on platforms and associated amenities. This work shall eliminate the hold out rule and reduce gate downtime. Most of the track rehab work in the vicinity of the Broadway station has been transferred to the Burlingame Outboard Platform Project.

The project was put on hold for any further design efforts. Scope of project is on hold; Caltrain capital program management team is reviewing the impacts of other improvements in the vicinity of the station to determine the appropriate scope definition for the Broadway Station project.

Progress: Project is on hold.

Future Activities:
Oct - Dec 2010

Issues: Project is on hold; schedule needs to be redefined and re-baselined.
BROADWAY STATION IMPROVEMENTS

BUDGET:

<table>
<thead>
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<th>Segment Group</th>
<th>Current Board Approved Budget</th>
<th>Expended to Date</th>
<th>Committed To Date</th>
<th>Estimate at Completion</th>
<th>Variance at Completion</th>
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<td>$1,059,935</td>
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<td>$0</td>
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<td>($785,482)</td>
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<td>$1,410,282</td>
<td>$1,417,334</td>
<td>$7,497,100</td>
<td>($4,707,759)</td>
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</tbody>
</table>

PROJECT BUDGET / COST STATUS

ISSUES:
The project was put on hold for any further design efforts. Estimate at Completion will be re-evaluated when project is re-activated.

HSR IMPACT:
Project scope, budget and delivery schedule will likely be impacted by High Speed Rail development along the Caltrain corridor.

OTHER:
Project has been placed on hold; Capital Program Management team is currently reviewing the impact of future capital improvements in the vicinity of the Broadway station.
CALTRAIN RIGHT OF WAY FENCING PROJECT

SCOPE:
The project consists of the installation of fencing along the Caltrain Corridor based on location and exposure requirements. Fencing contracts are authorized in two phases:

Phase 1: Previously completed by Amtrak at the following locations: San Bruno, Burlingame, San Mateo, Belmont and Redwood City.

Phase 2: Base work and Option 1 and Option 2 fencing along the right of way at the following locations: San Francisco, San Bruno, San Mateo, Redwood City, Menlo Park, Sunnyvale and San Jose.

Phase 2 Base: consists of: 900 LF (Linear Feet) of fence demolition, 400 LF chain link fence, 400 LF expanded wire mesh fence, 7,000 LF welded wire mesh fence.

Phase 2 Option 1: consists of: 450 LF chain link fence, 350 LF expanded wire mesh fence and 20,000 LF welded wire mesh fence.

Phase 2 Option 2 work will be executed as two work packages - Option 2A and Option 2B.
- Phase 2 Option 2A: consists of: 200 LF chain link fence and 10,000 LF welded wire mesh fence.
- Phase 2 Option 2B: consists of: 200 LF chain link fence and 10,000 LF welded wire mesh fence.

Issues: None.

Progress:
Jul - Sep 2010
(1) Began Phase 2 Option 2B fencing work.
(2) Installed ~ 3,900 ft of welded metal mesh fence.
(3) Installed ~ 90 ft of expanded metal mesh fence.

Future Activities:
Oct - Dec 2010
(1) Complete Phase 2 Option 2B work.
(2) Begin project close out.

Issues: None.
CALTRAIN RIGHT OF WAY FENCING PROJECT

BUDGET:

<table>
<thead>
<tr>
<th>Segment Group</th>
<th>Current Board Approved Budget</th>
<th>Expended to Date</th>
<th>Committed to Date</th>
<th>Estimate at Completion</th>
<th>Variance at Completion</th>
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</table>

Issues: None.

OTHER: None.
SCOPE:
The Dumbarton Rail Corridor (DRC) Project will extend commuter rail service across the Bay between the Peninsula and the East Bay by rehabilitating and reconstructing rail facilities on the existing railroad alignment and right-of-way. Three new passenger rail stations in Menlo Park/East Palo Alto, Newark, Union City, and a new layover facility in the East Bay will be constructed, as well as upgrading the Fremont Centerville Station. The proposed Dumbarton train service will consist of six trains across the bridge during the morning commute and six during the evening commute. Morning trains will originate at the Union City Intermodal Station, cross the bay to Redwood City, and then three trains will travel north to San Francisco and three will travel south to San Jose. In the evening, all trains will reverse pattern and travel back to Union City.

The current scope and budget is for Environmental Clearance and Preliminary Engineering only.

Issues:
(1) Environmental Mitigation – Pending the result of the findings in the Environmental Impact Report (EIR) under the California Environmental Quality Act (CEQA) and under the National Environmental Policy Act (NEPA), the project may be required to implement various mitigation conditions in the bay and the wetlands. This may result in additional studies, schedule delays and/or cost increase.
(2) Future required negotiations for right-of-way acquisition and operating and capital agreements with other affected railroads and agencies (i.e., the Union Pacific Railroad and the Capitol Corridor) may result in potential schedule delays, additional studies, or capital and operating costs.
(3) Dumbarton Bridge – The existing bridge has been out of service since the mid-1980s. Uncertainties surrounding the existing condition of the bridge and also various regulations and other needs may significantly affect the options and the designs for rehabilitation and replacement of the Dumbarton Bridge.

Progress:
1) Completed funding assessment report.
2) Continued preparation of the 2009 ridership model.
3) Continued development of the bus and rail alternative study with the preparation of maps for each of the alternatives.
4) Conducted meetings with BART and Capitol Corridor staff on the planned alternatives.
5) Initiated and continued work on developing operating plans for the rail and bus alternatives.
6) Produced initial ridership forecasts for two of the proposed alternatives.
7) Continued coordination with the HSR projects in the east and west bay.
8) Submitted draft land use report.
9) Completed a draft technology assessment.
10) Held a meeting with MTC on August 6th on the alternatives and the funding plan.
11) Held a meeting with the FTA on the funding plan.
12) Conducted a PDT meeting on September 7th.
13) Completed for review the draft ridership forecasts for all the alternatives.
14) Prepared an amendment to the land use report to address maximum development.
15) Completed the operating plans for the alternatives.
16) Conducted a briefing with Menlo Park officials.
17) Prepared initial estimates of capital and operating costs.
18) Conducted a briefing with VTA officials.

Future Activities:
1) Prepare an evaluation of the alternatives.
2) Conduct a field tour of the Niles Junction area.
3) Prepare summary conclusions on land use and financing.
4) Conduct a PDT meeting on October 19th.
5) Conduct a CAP meeting on October 27th.
6) Conduct a PAC meeting on November 5th.
7) Prepare responses to PAC questions and information requests.
8) Document technical analyses.
9) Prepare a draft and final project report.

Issues:
Environmental reviews are taking longer than expected. This is due to a delayed start of the scoping period, the development of new phasing options, a delay in obtaining concurrence with project partners MTC and the FTA regarding inputs to the ridership model and the need to consider phasing options in the environmental evaluation. The project has also encountered significant funding and implementation issues when the MTC approved shifting $91 million RM2 funding from the Dumbarton project to the BART Warm Springs project in January 2009 and repayment is deferred until 2019-2020.
Jul. 1, 2010 - Sept. 30, 2010

Caltrain QUARTERLY REPORT

DUMBARTON RAIL CORRIDOR

BUDGET:

<table>
<thead>
<tr>
<th>Segment Group</th>
<th>Current Board Approved Budget</th>
<th>Expended to Date</th>
<th>Committed To Date</th>
<th>Estimate at Completion</th>
<th>Variance at Completion</th>
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</table>

Funding approved is sufficient to complete the environmental and preliminary engineering phases of the project.

MTC reprogrammed $91 million of the project's funding to the BART Warm Springs extension in September 2008, and the $91M is proposed to be re-paid after FY 2019-20. Remaining project funding would be insufficient even for Phase 1 construction. The repayment of the $91 Million after FY 2019-20 would delay the project ten years. The certainty of the payback is in question, as it depends upon the willingness of a future Alameda County Congestion Management Agency (ACCMA) action to honor the action of its current board. A public hearing was held on January 14, 2009, for the RM2 funding reassignment and the action was formally approved by the MTC commissioners at the January 28, 2009, MTC Meeting. It places the Dumbarton Project focus on near-term and interim actions as a consequence of the 10+ year delay in capital funding: 1) completion of the draft EIR/EIS; 2) steps towards purchase of needed right-of-way; 3) expansion of bus service in the corridor in the interim.

Issues:

OTHER:

None.
### ELECTRIFICATION

**SCOPE:**
The Electrification Program will electrify the 52-mile Caltrain Commuter line from San Francisco to Tamien. The project will include the following activities: (1) an approved Environmental Assessment / Environmental Impact Report (EA/EIR); (2) the design and installation of approximately 150 single track miles of overhead contact system (OCS) that will distribute power to the electrically-powered locomotives or electric multiple unit (EMU) trainsets; (3) the design and construction of two traction power substations (TPS) and eight autotransformer stations to deliver the 25kV, 60Hz, single-phase, alternating current to the OCS; (4) the design and installation of enhancements to the signaling and grade crossing control systems to make the system compatible with electrification and to provide for future operations service levels; and (5) the integration of the Electrification System, Signaling modifications and Electric Rolling Stock.

Current program scope is funded through the completion of environmental activities and 35% design engineering activities.

**Issues:**
Caltrain is currently working with California High Speed Rail Authority, among others, to determine the impact of high speed rail development on this project. Project scope is under review.

### SCHEDULE:

<table>
<thead>
<tr>
<th>Activity ID</th>
<th>Activity Description</th>
<th>Orig Due</th>
<th>Resp Due</th>
<th>% Start</th>
<th>% Finish</th>
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<th>2006</th>
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<th>2008</th>
<th>2009</th>
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<th>2011</th>
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<tbody>
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<td>2007</td>
<td>2008</td>
<td>2009</td>
<td>2010</td>
<td>2011</td>
</tr>
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</table>

**Progress:**
(1) PG & E continued processing applications for 115 kV service at both South San Francisco and San Jose.

Jul - Sep 2010

**Future Activities:**
(1) Coordinate with California High-Speed Train Project (CHSTP) on engineering and planning activities for the Caltrain Corridor.

Oct - Dec 2010

**Issues:**
Caltrain is currently working with California High Speed Rail Authority, among others, to determine the impact of high speed rail development on this project. Project scope is under review. Until review is complete, project remains at the 35% design phase; thereby, will significantly slip from the original project schedule.
**CALTRAIN QUARTERLY REPORT**

**Active Capital Projects**

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### ELECTRIFICATION

#### BUDGET:

<table>
<thead>
<tr>
<th>Segment Group</th>
<th>Current Board Approved Budget</th>
<th>Expended to Date</th>
<th>Committed To Date</th>
<th>Estimate at Completion</th>
<th>Variance at Completion</th>
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*NOTE: Budget and cost are for construction planning, constructability review and value engineering support activities.*

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<thead>
<tr>
<th>Amount in $</th>
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<td>161,417</td>
<td>7,688,688</td>
<td>421,750</td>
</tr>
</tbody>
</table>

**Issues:** Total Estimate-at-Completion (EAC) shown above is through 35% Engineering Design only. Once the scope of the project is coordinated with California High Speed Rail Authority (CHSRA), the budget for the balance of the project will be updated and reflected in the report. Full funding for the project will depend on the coordination of the project with CHSRA.

**HSR IMPACT:**

Caltrain is currently working with California High Speed Rail Authority, among others, to determine the impact of high speed rail development on this project. Project scope is under review.

**OTHER:** None.
**SCOPE:**

Final design and construction of the Jerrold Avenue (MP 2.85) Bridge including:
1. Replacement of the existing intermediate three-spans of the Jerrold Avenue bridge with a single span bridge (including the installation of two (2) jump-spans to conform to the present bridge layout);
2. Reconstruction of tracks impacted by the new structures;
3. Reconstruction of the traveled way and sidewalks.

**Issues:**

None.

**SCHEDULE:**

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<tr>
<th>Activity ID</th>
<th>Description</th>
<th>Grg Del</th>
<th>Eot Del</th>
<th>%</th>
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<th>Finish</th>
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<th>2011</th>
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<td>31-Mar-09</td>
<td>27-Oct-11</td>
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- Phase Gate/Programmatic Reviews: 166 0 100% 03-Aug-09 01-Apr-10
- Environmental: 42 0 100% 03-Aug-09 11-Sep-09
- Funding: 49 0 100% 29-Dec-09 30-Apr-10
- Engineering Design: 806 0 100% 31-Mar-09 15-Feb-10
- Procurement/Bid & Awards: 117 0 100% 15-Feb-10 13-Aug-10
- Construction: 259 226 12.74% 16-Aug-10 24-Aug-11
- Project Closure: 45 45 0% 25-Aug-11 27-Oct-11

**Progress:**
Jul - Sept 2010
1. Received July Board Approval to award construction contract to Disney Construction Inc.
4. Completed utility relocation.

**Future Activities:**
Oct - Dec 2010
1. Approve baseline construction schedule. Issue Notice to Proceed (NTP) to Disney Construction Inc.
2. Receive and review shop drawings for bridge fabrication.
3. Contractor to install construction field office trailer.
4. Contractor to procure steel and begin off-site fabrication of the bridge.

**Issues:**
None.
JERROLD AVENUE BRIDGE REPLACEMENT PROJECT

<table>
<thead>
<tr>
<th>Segment Group</th>
<th>Current Board Approved Budget</th>
<th>Expended to Date</th>
<th>Committed To Date</th>
<th>Estimate at Completion</th>
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</table>

Project Budget / Cost Status

Issues: None.

HSR IMPACT: None.
**SCOPE:**
The Los Gatos and Guadalupe Bridge Replacement Project includes:
(1) Preliminary Design, Environmental Document and Final Design to remove and replace the existing MT-1 and MT-2 bridges crossing Los Gatos Creek. As recommended in the Project Study Report (PSR), the new replacement structure is to be a pre-stressed / pre-cast concrete bridge with new foundations and a new widened bridge deck that functions as a construction shoofly.

(2) The preliminary design (only) of a replacement bridge for the existing MT-1 timber bridge crossing the Guadalupe River.

**Issues:**
The project is located over a sensitive riparian habitat which requires the JPB to design a bridge structure that has minimal environmental impacts.

**SCHEDULE:**

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<tr>
<th>Activity/Description</th>
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<th>Finish Date</th>
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</thead>
<tbody>
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<tr>
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<tr>
<td>Engineering Design</td>
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<td>Procurement/Bid &amp; Awards</td>
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<td>3rd Qtr 2012</td>
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</tbody>
</table>

**Progress:**

(1) Finalized 35% design review comments.
(2) Continued to review the 35% construction estimate.
(3) Continued coordination for Environmental/Planning Group to issue work directive to new environmental consultant.

**Future Activities:**

(1) Finalize the 35% design construction estimate.
(2) Initiate work for environmental clearance and continue discussions with regulatory agencies.

**Issues:**
As federal funds are involved in the 35% design phase, the project will be on-hold at 35% design until environmental clearance from the FTA is obtained. As a result of the pending approval of the environmental clearance by the FTA the project schedule has slipped by approximately eighteen (18) months.
## LOS GATOS AND GUADALUPE BRIDGES REPLACEMENT

### BUDGET:

<table>
<thead>
<tr>
<th>Segment Group</th>
<th>(a) Current Board Approved Budget</th>
<th>(b) Expended to Date</th>
<th>(c) Committed To Date</th>
<th>(d) Estimate at Completion</th>
<th>(e) Variance at Completion</th>
</tr>
</thead>
<tbody>
<tr>
<td>Planning &amp; Engineering</td>
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<td>$1,659,423</td>
<td>$1,668,838</td>
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<tr>
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<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>Construction*</td>
<td>$9,080</td>
<td>$9,080</td>
<td>$9,080</td>
<td>$9,080</td>
<td>$0</td>
</tr>
<tr>
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<td>$4,434</td>
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<td>$4,434</td>
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</tr>
<tr>
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<tr>
<td>Contingency</td>
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<td>$0</td>
<td>$2,535,938</td>
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<tr>
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<td>$2,555,504</td>
<td>$2,564,919</td>
<td>$5,293,154</td>
<td>$0</td>
</tr>
</tbody>
</table>

*NOTE: Budget and cost are for construction planning, constructability review, Amtrak and value engineering support activities.

### Project Budget / Cost Status

<table>
<thead>
<tr>
<th>Segment Groups</th>
<th>Current Board Approved Budget</th>
<th>Estimate at Completion</th>
<th>Expended to Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Planning &amp; Engineering</td>
<td>$1,668,838</td>
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<tr>
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<tr>
<td>Construction Management</td>
<td>$4,434</td>
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<tr>
<td>Administration</td>
<td>$1,074,864</td>
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<tr>
<td>Contingency</td>
<td>$2,535,938</td>
<td>$2,535,938</td>
<td>$0</td>
</tr>
</tbody>
</table>

### Issues:

Estimate at Completion of about $5.3 million is for the preliminary design and environmental review phases only. Once the scope is refined, the Budget and Estimate at Completion will be updated and reflected in the report.

### HSR IMPACT:

Caltrain is currently working with California High Speed Rail Authority, among others, to determine the impact of high speed rail development on this project. Project scope is under review.
**QUINT STREET BRIDGE PROJECT**

**SCOPE:**
- Proposed Scope:
  1. Remove the Quint Street Bridge.
  2. Close Quint Street permanently to vehicular traffic.
  3. Perform other related work such as utility protection, trackwork and street utilities.

The scope change for Quint Street from bridge replacement in kind to bridge replacement with tracks on embankment is to enable completion of the project within the approved budget without compromising JPB goals on seismic vulnerability, state of good repair and safety.

If the street closure is approved by the City of San Francisco, JPB will take the lead in getting environmental clearance for the project. Final design will not proceed until approval is received from the City of San Francisco.

**Issues:**
JPB is seeking community support from the City of San Francisco on the concept of Quint Street closure. The project scope may have to be re-visited or modified to address community concerns and issues.

**SCHEDULE:**

<table>
<thead>
<tr>
<th>Activity</th>
<th>Description</th>
<th>Start Date</th>
<th>End Date</th>
<th>% Complete</th>
</tr>
</thead>
<tbody>
<tr>
<td>01916 - Quint Street Bridge Clo...</td>
<td>Phase Gate/Programmatic Reviews</td>
<td>05/09/10</td>
<td>01/11/10</td>
<td>0%</td>
</tr>
<tr>
<td></td>
<td>Environmental</td>
<td>06/29/10</td>
<td>02/11/10</td>
<td>0%</td>
</tr>
<tr>
<td></td>
<td>Street Closure</td>
<td>06/29/10</td>
<td>06/10/10</td>
<td>0%</td>
</tr>
<tr>
<td></td>
<td>Funding</td>
<td>06/29/10</td>
<td>06/10/10</td>
<td>0%</td>
</tr>
<tr>
<td></td>
<td>Engineering Design</td>
<td>06/29/10</td>
<td>06/10/10</td>
<td>0%</td>
</tr>
<tr>
<td></td>
<td>Procurement/Bid &amp; Awards</td>
<td>06/29/10</td>
<td>06/10/10</td>
<td>0%</td>
</tr>
<tr>
<td></td>
<td>Miscellaneous</td>
<td>06/29/10</td>
<td>06/10/10</td>
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<td></td>
<td>Construction</td>
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<td>06/10/10</td>
<td>0%</td>
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<tr>
<td></td>
<td>Project Closure</td>
<td>06/29/10</td>
<td>06/10/10</td>
<td>0%</td>
</tr>
</tbody>
</table>

**Progress:**
- 1. Forwarded the Archaeological Research Design and Treatment Plan (ARDTP) to the FTA and State Historic Preservation Office (SHPO) for review and approval. Coordinating with FTA to get SHPO review comments.
- 2. Met with the San Francisco County Transportation Authority (SFCTA) on 8/6/10 to review the project scope and public outreach strategy for street closure.
- 3. JPB Office of Public Affairs continues to seek community input from the San Francisco Supervisor’s office that represents the project area and coordinates with the other City and County of San Francisco departments.
- 4. A draft letter to the City of San Francisco Planning Department has been prepared and is under review, and is expected to be sent in Oct 2010 by the JPB Office of Public Affairs.
- 5. Identified list of tasks to initiate Right of Way work.

**Future Activities:**
- Oct - Dec 2010
  1. Continue to work with the design consultant and JPB Real Estate staff to facilitate Right of Way activities for future street closure application.
  2. Continue to work with JPB Office of Public Affairs to complete an engagement strategy for future outreach activities and coordination with the City of San Francisco to obtain approval for proposed closure of Quint Street.
  3. Compile documentation needed to initiate proposed street closure process.
  4. Continue discussions with the FTA and SHPO regarding the ARDTP.

**Issues:**
Due to the archaeological findings at the project site, the environmental clearance process is now expected to take 16 months as compared to 7 months as projected earlier. A strategic consolidated approach was developed to mitigate impacts and the new schedule will be monitored closely in the coming months to obtain environmental clearance as soon as possible.
### BUDGET:

<table>
<thead>
<tr>
<th>Segment Group</th>
<th>Current Board Approved Budget</th>
<th>Expended To Date</th>
<th>Committed To Date</th>
<th>Estimate at Completion</th>
<th>Variance at Completion</th>
</tr>
</thead>
<tbody>
<tr>
<td>Planning &amp; Engineering</td>
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<td>647,109</td>
<td>1,304,303</td>
<td>2,350,684</td>
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<tr>
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<td>34</td>
<td>2,976</td>
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<td>1,956</td>
<td>1,956</td>
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<td>658</td>
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<td>139,364</td>
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<td>553,901</td>
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<td>1,203,658</td>
<td>1,860,852</td>
<td>20,512,140</td>
<td>1,216,556</td>
</tr>
</tbody>
</table>

**Issues:**
Current Board Approved Budget and Estimate at Completion costs are for Quint Street bridge replacement with tracks on embankment in Quint Street. If another alternative is selected, project budget would need to be re-baselined.

### HSR IMPACT:

Caltrain is currently working with California High Speed Rail Authority, among others, to determine the impact of high speed rail development on this project.
Rail Operations Control System Project (ROCS)

SCOPE:
This project provides for the procurement and commissioning of a new operating control system for the Caltrain corridor. The project includes software procurement and development, hardware procurement and installation, testing, training, support and maintenance of the new system. The new system will meet all functionality and features necessary for current operations as well as accommodate for future projects identified by the JPB, such as Electrification, Positive Train Control (PTC), and various communication improvements.

ARINC is the selected contractor.

Issues: None.

SCHEDULE:

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<tr>
<th>01729 - Rail Operations Contro...</th>
<th>1022</th>
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<th>10-Jan-12</th>
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</thead>
<tbody>
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<td>26-Nov-08 A</td>
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<td>27-Feb-09 A</td>
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<tr>
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<td>100%</td>
<td>05-May-09 A</td>
<td>24-Apr-09 A</td>
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<td>Procurement/Bid &amp; Awards</td>
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<tr>
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<td>21-Sep-11</td>
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<tr>
<td>Warranty Period</td>
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<td>385</td>
<td>0%</td>
<td>12-Jan-11</td>
<td>10-Jan-12</td>
</tr>
</tbody>
</table>

Progress:
1. Approved Conceptual Design for ROCS.
2. Coordinated with Contractor to improve communication between JPB and Contractor by using WebEx presentations related to Design Change Forms (DCF) and other reviews requested of Contractor.
3. Coordinated with EEDI, Amtrak, 511.org and other web site databases for integration into ROCS and Predicted Arrival/Departure System (PADS) software.
4. Reviewed plans for Advanced Train Control system (ATCS) upgrades.
5. Held the Preliminary Design Review (PDR) on 9/14/2010.

Future Activities:
1. Prepare for FDR by reviewing CDRLs and conduct the FDR.
2. Review Design Change Forms (DCFs) to customize ROCS and PADS interfaces.
3. Prepare web interface transaction for test with ARINC software.
4. Conduct Advanced Train Control System (ATCS) over IP test between ARINC and code line interface to verify proper operation.
5. Continue to review test plan and system implementation plan.
6. Continue coordination efforts with Central Control Facility (CCF) and Emergency Operations Center (EOC) to prepare site for delivery of AIM system (ROCS and PADS equipment).
7. Conduct System Build Review (SBR).

Issues: Project is currently 6 months behind the baseline schedule. Project schedule will be re-evaluated and re-baselined when information becomes available.
### Rail Operations Control System Project (ROCS)

#### BUDGET:

<table>
<thead>
<tr>
<th>Segment Group</th>
<th>Current Board Approved Budget</th>
<th>Expended to Date</th>
<th>Committed To Date</th>
<th>Estimate at Completion</th>
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<tbody>
<tr>
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<td>$361,155</td>
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<td>0</td>
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<tr>
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<td><strong>$10,797,817</strong></td>
<td>(<strong>$558,609</strong>)</td>
</tr>
</tbody>
</table>

Additional budget authority of $559K will be secured as part of the FY2012 budget development process.

#### Issues:

- Additional budget authority of $559K will be secured as part of the FY2012 budget development process.

#### OTHER:

- None.
The Real Time Transit Information Project includes design and implementation of a Predictive Arrival/Departure System (PADS) for all Caltrain trains. The real time predictive data will be provided to MTC's 511 system to be disseminated to the public. The train predictive arrival/departure times will be displayed on the visual message signs at the San Francisco 4th & King, Millbrae, San Mateo, Redwood City, Palo Alto, Mountain View, Sunnyvale, and the San Jose Diridon stations. ARINC is the selected contractor.

Issues:
None.

SCHEDULE:

<table>
<thead>
<tr>
<th>Activity ID</th>
<th>Activity Description</th>
<th>Orig Date</th>
<th>Rem Date</th>
<th>% Complete</th>
<th>Start Date</th>
<th>Finish Date</th>
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<tbody>
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<td>17-Oct-11</td>
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<td>Phase Gate/Programmatic Reviews</td>
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<td>0%</td>
<td>16-Feb-07</td>
<td>16-Feb-07</td>
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<tr>
<td>Engineering Design</td>
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<td>100%</td>
<td>14-Mar-09</td>
<td>25-Apr-07</td>
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<tr>
<td>Procurement/Bid &amp; Awards</td>
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<td>Systems Engineering Management Plan</td>
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<td>20-Aug-11</td>
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<td>40</td>
<td>0%</td>
<td>22-Aug-11</td>
<td>17-Oct-11</td>
<td></td>
</tr>
</tbody>
</table>

Progress:
Jul - Sep 2010
1. Approved the Automated Vehicle Location (AVL) installation plan, installed 3 AVL units on 3 locomotives, evaluated the 3 AVL units to assure that they are tracking the trains satisfactorily.
2. Worked on the web and Short Messaging System (SMS) interface with ARINC and JPB IT department.
4. Attended the System Build Review at ARINC’s laboratory.

Future Activities:
Oct - Dec 2010
1. Finalize the web and SMS interface.
2. Conduct Final design review.
3. Attend pre-Factory Acceptance Test (FAT) and FAT.

Issues:
Project is currently 29 months behind the baseline schedule due to delay in procurement. The Caltrain PADS procurement was combined with the Railroad Operations Control System (ROCS) procurement. The combined procurement process shortens the schedule by two months, from a 30-month delay to a 29-month delay. As a result of combining the procurement of the Caltrain PADS project with the ROCS project, the project schedule will need to be rebaselined when data is available.
REAL TIME TRANSIT INFORMATION PROJECT (Caltrain PADS)

**BUDGET:**

<table>
<thead>
<tr>
<th>Segment Group</th>
<th>Current Board Approved Budget</th>
<th>Expended to Date</th>
<th>Committed To Date</th>
<th>Estimate at Completion</th>
<th>Variance at Completion</th>
</tr>
</thead>
<tbody>
<tr>
<td>Planning &amp; Engineering</td>
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<td>$35,515</td>
<td>$35,515</td>
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<td>$0</td>
<td>$0</td>
</tr>
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<td><strong>$1,019,837</strong></td>
<td><strong>$1,926,453</strong></td>
<td><strong>$4,237,585</strong></td>
<td><strong>($1,669,989)</strong></td>
</tr>
</tbody>
</table>

**Issues:**

Additional budget authority of $1.7M will be secured as part of the FY2012 budget development process.

**OTHER:**

None.
The project will raise the railroad in a retained embankment and lower roadways crossing the railroad right-of-way from just south of the I-380 flyover to approximately San Felipe Road in San Bruno. The project will eliminate at-grade vehicular crossings at San Bruno Avenue, San Mateo Avenue and Angus Avenue and replace them with grade separated vehicular access with a four-track footprint. Pedestrian under-crossings will be constructed at Euclid and Sylvan Avenues in San Bruno. The existing San Bruno station will be relocated onto an elevated structure at San Bruno and San Mateo Avenues. The former site of San Bruno Lumber will become a surface parking lot for the new San Bruno station. A BART vent structure will be retrofitted to support Caltrain track loading.

Issues: None.

**SCHEDULE:**

The project will raise the railroad in a retained embankment and lower roadways crossing the railroad right-of-way from just south of the I-380 flyover to approximately San Felipe Road in San Bruno. The project will eliminate at-grade vehicular crossings at San Bruno Avenue, San Mateo Avenue and Angus Avenue and replace them with grade separated vehicular access with a four-track footprint. Pedestrian under-crossings will be constructed at Euclid and Sylvan Avenues in San Bruno. The existing San Bruno station will be relocated onto an elevated structure at San Bruno and San Mateo Avenues. The former site of San Bruno Lumber will become a surface parking lot for the new San Bruno station. A BART vent structure will be retrofitted to support Caltrain track loading.

Issues: None.

**SCHEDULE:**

<table>
<thead>
<tr>
<th>Work Description</th>
<th>Status</th>
<th>Start Date</th>
<th>End Date</th>
</tr>
</thead>
<tbody>
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</tr>
<tr>
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<td>03-Jan-09</td>
</tr>
<tr>
<td>High Speed Rail</td>
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<td>01-Dec-09</td>
</tr>
<tr>
<td>Environmental</td>
<td>100%</td>
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<td>03-Mar-09</td>
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<tr>
<td>Operations</td>
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<td>0%</td>
<td>22-May-09</td>
</tr>
<tr>
<td>Real Estate</td>
<td>100%</td>
<td>0%</td>
<td>02-Mar-09</td>
</tr>
<tr>
<td>Utility Relocation</td>
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<td>Owner Furnished Material</td>
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<td>30-Nov-09</td>
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<td>JRD Party Negotiations</td>
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<td>0%</td>
<td>02-Mar-09</td>
</tr>
<tr>
<td>Design &amp; Build (DBB)</td>
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Note: The current schedule includes Granite construction contract Option 1 (Northbound platform of the San Bruno Station, located east of the temporary station), which adds 6 months to the project schedule, when authorized by Caltrain. Project Schedule was last re-baselined in 10/09 to reflect the approved PCCB 01583-002 schedule change and did not include Option 1.

**Progress:**

Jul - Sept 2010

1. Box Culvert construction: Finished placement of concrete and backfill.
2. Received July Board Approval to award Grade Separation construction contract to Granite Construction.
3. Issued Limited Notice to Proceed (LNTP) to Granite Construction for the Grade Separation contract. Received and reviewed construction schedule and other contract submittals. Held Pre-construction meeting.
4. Set up Construction Trailers at site.
5. Signed C&M Agreement with the City of San Bruno.
6. Signed BART Permit to Enter, in order to perform construction work on the BART right of way.

**Future Activities:**

Oct - Dec 2010

1. Box Culvert construction: Complete punch list work. Close-out contract.
2. Approve baseline construction schedule and Issue Notice to Proceed (NTP) to Granite Construction.
3. Receive, inspect and accept owner furnished signal houses at work site.
4. Begin clearing and grubbing.
5. Begin shoofly construction.

**Issues:** None.
**San Bruno Grade Separation**

**BUDGET:**

<table>
<thead>
<tr>
<th>Segment Group</th>
<th>Current Board Approved Budget</th>
<th>Expended to Date</th>
<th>Committed To Date</th>
<th>Estimate at Completion</th>
<th>Variance at Completion</th>
</tr>
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<tbody>
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<td><strong>$20,805</strong></td>
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**Issues:** Current Board Approved Budget of $147 million has been approved by both the San Mateo County Transportation Authority (SMCTA) and PCJPB Boards for the design and construction phases of the project.

**HSR Impact:** None.
The San Francisco Roadway Bridges Replacement project upgrades the Caltrain owned vehicular bridges located at 22nd Street, 23rd Street and Paul Avenue and includes:

1. Remove and replace the existing two-span steel-through girder superstructures as the bridges have reached the end of their useful lives, and allowing sufficient vertical clearance to accommodate future projects such as electrification.

2. Remove and reconstruct the existing utility lines attached to the bridges. Provide temporary supports until the bridges are reconstructed.

Issues: None.

Future Activities:

1. Submit additional funding request to Caltrans and await Caltrans response.

2. Project is On-Hold, pending Caltrans’s approval of additional funding to complete the final design phase of the project.

Issues: Project is stopped at the 35% design stage until Caltrans approves additional funding.
SAN FRANCISCO ROADWAY BRIDGES REPLACEMENT

**BUDGET:**

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<th>(b)</th>
<th>(c)</th>
<th>(d)</th>
<th>(e) = (a - d)</th>
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</table>

* Note: EAC and costs are for construction planning, constructability review and value engineering support activities.

**Issues:**

1. Budget and Estimate at Completion (EAC) of about $3.0 million is for 100% design and environmental assessment only.
2. Lack of Caltrans funds has stalled the project; Caltrain has submitted additional funding request to Caltrans.

**HSR IMPACT:**

Caltrain is currently working with California High Speed Rail Authority, among others, to determine the impact of high speed rail development on this project. Project scope is under review. Impact from HSR may be limited to the bridges located at Paul Avenue only.
SAN MATEO BRIDGES REHABILITATION PROJECT

SCOPE:
The scope of the project includes:
Seismic retrofit of foundations/abutments of four Caltrain bridges located at Poplar Avenue, Santa Inez Avenue, Monte Diablo Avenue and Tilton Avenue in San Mateo.

The project has been modified to better coordinate with High Speed Rail (HSR) and also to make certain that a project invested in today isn’t deemed obsolete in the near future. The current scope is to perform the seismic improvement only and should not have any impact on HSR. The bridges will also be maintained and kept in a state of good repair. It is anticipated that the bridges will be replaced in the future, once the High Speed Rail alignment is known.

Issues: None.

SCHEDULE:

<table>
<thead>
<tr>
<th>Activity ID</th>
<th>Activity Description</th>
<th>Start Task</th>
<th>Finish Task</th>
<th>Progress</th>
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<td>9/1/2010</td>
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<td>9/1/2010</td>
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<td>0%</td>
<td>8/1/2010</td>
</tr>
</tbody>
</table>

Progress:
Jul - Sept 2010
(1) Revised Invitation to Bid (IFB) documents.
(2) Submitted revised IFB documents to C&P and Legal for review. Re-advertised project.
(3) Received and evaluated construction bids. Prepared recommendation of award for the October Board.
(4) Completed utility relocation for water and PG&E.
(5) Received comments on historical record work for the four railroad grade separation bridges from the Dept of the Interior.

Future Activities:
Oct - Dec 2010
(1) Receive Board Approval to award the construction contract.
(2) Receive and review construction contractor's bond and insurance information.
(3) Issue Limited Notice to Proceed (LNTP) to construction contractor to start construction contract submittals and RFIs.
(4) Complete historical record work for the four railroad grade separation bridges.
(5) Issue Notice to Proceed (NTP) to construction contractor to begin work.
(6) Prepare as-builts for the utility relocations for water and PG&E.

Issues:
The construction contract award was pulled from the July Board meeting (7/01/10). The construction contract was re-advertised in July and is re-scheduled to be awarded at the October 2010 Board meeting. Project schedule has been delayed by 3 months.
### SAN MATEO BRIDGES REHABILITATION PROJECT

#### BUDGET:

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<tr>
<th>Segment Group</th>
<th>Current Board Approved Budget</th>
<th>Expended to Date</th>
<th>Committed To Date</th>
<th>Estimate at Completion</th>
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#### Issues:
The Current Board Approved Budget of $45.3 Million is based on the Orginal Scope that included repairs to the bridge structures, installation of drainage systems, replacement of track and installation of fibre optic cables. The project has since been modified to coordinate with High Speed Rail and the current scope requires the retrofitting of the foundations and abutments only. The impact of this change in scope has resulted in a potential savings of about $33.7 Million from the Current Board Approved Budget.

#### HSR IMPACT:
The project has been modified to better coordinate with High Speed Rail (HSR). The current scope is to perform the seismic retrofit of foundation / abutments only and should not have any impact on HSR.
SAN MATEO COUNTY AT- GRADE CROSSING IMPROVEMENT PROJECT

SCOPE:
The scope of the At-Grade Crossing Improvement Program is to evaluate, design and construct safety improvements at, and in the vicinity of (25) at-grade crossings on the Caltrain Corridor in San Mateo County. Improvements will be made in regards to railroad, pedestrian, traffic, and roadway safety systems. At-grade crossings to be considered for improvements include: Center St. in Millbrae; Broadway Ave., Oak Grove Ave. and Peninsula Ave. in Burlingame; Villa Terrace Ave., 1st Ave., 2nd Ave., 3rd Ave., 4th Ave., 5th Ave., 9th Ave. and 25th Ave. in San Mateo; Whipple Ave., Brewster Ave., Broadway Ave., Maple Ave., Main St., and Chestnut St. in Redwood City; Fair Oaks Lane and Watkins Ave. in Atherton; Encinal Ave., Glenwood Ave., Oak Grove Ave., and Ravenswood Ave. in Menlo Park. Improvements needed at each location may differ depending on the at grade crossing configurations and diagnostics, among other considerations.

Issues: None.

SCHEDULE:

<table>
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<th>Dur End</th>
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Progress:
Jul - Sept 2010
(1) Finalized all construction punch list items.
(2) Issued Notice of Final Completion to Granite on 8/12/10.
(3) Continued with project close-out activities.

Future Activities:
Oct - Dec 2010
(1) Close out project.
(2) This will be the Final Report for the project.

Issues: None.
## SAN MATEO COUNTY AT-GRADE CROSSING IMPROVEMENT PROJECT

### BUDGET:

<table>
<thead>
<tr>
<th>Segment Group</th>
<th>Current Board Approved Budget</th>
<th>Expended to Date</th>
<th>Committed To Date</th>
<th>Estimate at Completion</th>
<th>Variance at Completion</th>
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### Issues:
None.

### OTHER:
None.
SCOPE: The project will rehabilitate and improve the existing parking lot at the South San Francisco Caltrain station. This will provide interim improvements until such time as High Speed Rail and the new South San Francisco Station Project come to fruition.

The project will rehabilitate the existing parking lot by patching the existing pavement, where necessary, and adding a new asphalt top coat. In addition, the project will provide proper drainage, improve the lighting, and provide traffic islands and striping. This project will provide up to 74 parking spaces.

Current EAC was increased by $75K per the Project Change Control Board (PCCB) meeting, dated Aug 2, 2010 to include rehabilitation of a 9’ wide, 450’ long strip of pavement along the station platform. EAC for construction was reduced to reflect the lowest bid of $446K and contingency has been increased accordingly to offset some of the changes.

Issues: None.

SCHEDULE:

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<th>Activity Description</th>
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<th>Res</th>
<th>%</th>
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</tr>
</tbody>
</table>

Progress:

Jul - Sep 2010

1. Reviewed contract documents by Contracts & Procurement.
2. Advertised project for construction contract.
3. Conducted pre-bid meeting and site walk on 9/7/10.
4. Received and reviewed bids on 9/23/10.

Future Activities:

Oct - Dec 2010

1. Evaluate bids.
2. Award the project at PCJPB board meeting on 11/4/10.
3. Issue LNTP (Limited Notice To Proceed) upon actual award (approx. 12/1/10).
4. Issue NTP (Notice To Proceed) (approx. 12/31/10).

Issues: None.
**SOUTH SAN FRANCISCO PARKING LOT**

**BUDGET:**

<table>
<thead>
<tr>
<th>Segment Group</th>
<th>Current Board Approved Budget</th>
<th>Expended to Date</th>
<th>Committed To Date</th>
<th>Estimate at Completion</th>
<th>Variance at Completion</th>
</tr>
</thead>
<tbody>
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<td>Planning &amp; Engineering</td>
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<td>$152,500</td>
<td>$157,500</td>
<td>$(56,500)</td>
</tr>
<tr>
<td>Right of Way</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>Construction</td>
<td>$800,000</td>
<td>$0</td>
<td>$2,731</td>
<td>446,000</td>
<td>$354,000</td>
</tr>
<tr>
<td>Construction Management</td>
<td>$140,000</td>
<td>$880</td>
<td>$48,680</td>
<td>145,000</td>
<td>$(5,000)</td>
</tr>
<tr>
<td>Administration</td>
<td>$133,000</td>
<td>$135,653</td>
<td>$135,653</td>
<td>$147,000</td>
<td>$(14,000)</td>
</tr>
<tr>
<td>Contingency</td>
<td>$326,000</td>
<td>$0</td>
<td>$0</td>
<td>$604,500</td>
<td>$(278,500)</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$1,500,000</strong></td>
<td><strong>$289,033</strong></td>
<td><strong>$339,564</strong></td>
<td><strong>$1,500,000</strong></td>
<td><strong>$0</strong></td>
</tr>
</tbody>
</table>

**Issues:** Current EAC was increased by $75K per the Project Change Control Board (PCCB) meeting, dated Aug 2, 2010 to include rehabilitation of a 9' wide, 450' long strip of pavement along the station platform, this increase was offset by contingency.

**OTHER:** None.
South Terminal and Santa Clara Stations Improvements Project

SCOPE:

The South Terminal Station Project includes construction of two new platforms at the Diridon Station with stairs and ADA ramps to access the existing pedestrian underpass. The platforms will include canopies, signage, mini-high platforms and Ticket Vending Machine (TVM), Visual Message System (VMS), Public Address System (PA), Closed Circuit Television (CCTV), and Card Interface System (CID). The project also includes removal of the maintenance facilities located in the terminal, removal and construction of tracks, installation of new turnouts, fencing, drainage, and maintenance and alteration of the existing signal system to accommodate new track work.

The Santa Clara Station Project includes design and construction of a 700’ long by 30’ wide center platform, a 150’ extension to the existing southbound platform, and a pedestrian underpass between the 2 platforms. The project also includes track work shifting of MT3 (Main Track #3), construction of approximately 1500’ of MT2 (Main Track #2) through the station area, and a relocated turnout of MT2 at the south end of the station.

Current budget was rebaselined in August 2010 based on adopted project management procedures.

Issues:

None.

SCHEDULE:

Progress:

South Terminal:
1. Excavated for ramps and stairs, demolished existing pedestrian tunnel walls, relocated signal houses.
2. Installed storm drain north of the platforms, tied rebars in platform footing, stairs & ramps.
3. Installed underground electric conduits at south end platforms, signal house pedestal and housed wiring at CP Julian and CP Delmas.

Santa Clara:
1. Moved track panels, installed TMP2 and TMP3 track panels and imported ballast from Chilco Menlo Park.
2. Installed shoo-fly tracks 2 and 3, installed shoring on the west side of the station and installed temporary platforms and accessories.
3. Removed dirt pile from northern side of the site, encased fiber-optics and installed dewatering wells, walers and struts.

South Terminal:
1. Continue installation of wall forms for ramps/stairs at platforms D & E, underground electrics and installation of formwork for stairs/walls.
2. Set transformer and electrical equipment, pull electric wires and test equipment
3. Excavate Platform D and E footings, place concrete for Platform D and E footings, install waterproof membrane on Platform D.
4. Remove shoring/backfill walls.
5. Install canopy footings and light pole bases.

Santa Clara:
1. Continue excavation and installation of walers and struts, rough in communication room and installation of storm drain.
2. Install tie downs at West Plaza and plywood on shoring.
4. Install underground utilities, waterproof membrane and underpass falsework.

Issues:

None.
### South Terminal and Santa Clara Stations Improvements Project

**BUDGET:**

<table>
<thead>
<tr>
<th>Segment Group</th>
<th>Current Board Approved Budget</th>
<th>Expended to Date</th>
<th>Committed To Date</th>
<th>Estimate at Completion</th>
<th>Variance at Completion</th>
</tr>
</thead>
<tbody>
<tr>
<td>Planning &amp; Engineering</td>
<td>$6,195,085</td>
<td>$6,235,842</td>
<td>$6,376,357</td>
<td>$6,393,797</td>
<td>($188,712)</td>
</tr>
<tr>
<td>Right of Way</td>
<td>$250,000</td>
<td>$0</td>
<td>$0</td>
<td>$250,000</td>
<td>$0</td>
</tr>
<tr>
<td>Construction</td>
<td>$33,285,457</td>
<td>$12,963,574</td>
<td>$31,974,325</td>
<td>$33,285,457</td>
<td>$0</td>
</tr>
<tr>
<td>Construction Management</td>
<td>$7,917,260</td>
<td>$3,678,232</td>
<td>$6,680,540</td>
<td>$7,917,260</td>
<td>$0</td>
</tr>
<tr>
<td>Administration</td>
<td>$6,441,087</td>
<td>$5,671,018</td>
<td>$5,671,018</td>
<td>$6,441,087</td>
<td>$0</td>
</tr>
<tr>
<td>Contingency</td>
<td>$6,912,696</td>
<td>$0</td>
<td>$0</td>
<td>$5,313,306</td>
<td>$1,599,390</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$61,001,585</strong></td>
<td><strong>$28,548,667</strong></td>
<td><strong>$50,702,240</strong></td>
<td><strong>$59,600,907</strong></td>
<td><strong>$1,400,678</strong></td>
</tr>
</tbody>
</table>

#### Project Budget / Cost Status

![Project Budget / Cost Status Chart](chart.png)

**Issues:** None.

**OTHER:** None.
Caltrain Quarterly Report

SYSTEMWIDE TRACK REHABILITATION PROJECT - FY2010

SCOPE: The systemwide track rehabilitation program covers the work required to keep the Caltrain railroad in a state of good repair. The type and scope of work scheduled for each fiscal year is based upon the condition of the railroad as reflected in Caltrain's State of Good Repair database. The scope of work proposed for FY2010 includes the following:

1) Replacement of stock rails and points at ends of #20 passing tracks on an as-needed basis.
2) Replacement of rail joints - approximately 100 locations.
3) Removal of old or bonded over insulated (Allegheny) joints – about 50 locations (100 welds).
4) Production ties and surfacing - 30 miles surfacing, 25 turnouts and 1500 ties, various locations.
5) Purchase and installation of rail lubricators for six locations.
6) Purchase of small tools and equipment required for track maintenance activities.
7) Relay of approximately five track miles of rail at approximately MP 9, MP 17 and MP 48.5.
8) Procurement of approximately 8,000 tons (two trains) of ballast for FY2011.
9) Rebuilding grade crossings at Fair Oaks Lane (Atherton), Peninsula Avenue (Burlingame), Villa Terrace Avenue and E. Bellevue Avenue (San Mateo) and shift approximately two track miles of mainline track.
10) Surfacing through grade crossings at 4th Avenue, 9th Avenue and Mary Avenue (San Mateo), Oak Grove Avenue (Burlingame) and pedestrian crossing at Lawrence Avenue (Sunnyvale).

Issues: None.

SCHEDULE:

<table>
<thead>
<tr>
<th>Activity ID</th>
<th>Activity Description</th>
<th>Orig Dur</th>
<th>Rem Dur</th>
<th>%</th>
<th>Start Date</th>
<th>Finish Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>01888 - FY10 Systemwide Track Rehab...</td>
<td>Construction</td>
<td>365</td>
<td>92</td>
<td>74.79%</td>
<td>01-Jul-09 A</td>
<td>31-Dec-10</td>
</tr>
</tbody>
</table>

Note 1: A frog is a mechanical device to allow trains to cross over rails in turnouts and crossings.

Progress:
Jul - Sep 2010
(1) Installed 250 main line ties.
(2) Surfaced 0.56 miles of track.
(3) Performed eight thermite welds.
(4) Installed two switch ties.
(5) Geometry car tested the property.
(6) Welded two frogs. (Refer to Note 1)
(7) Replaced three insulted joints.
(8) Ground nine switches.
(9) Holland's gage restraint measuring car tested the property.
(10) Rail relay work - 2.8 track miles have been installed to date.

Future Activities:
Oct - Dec 2010
(1) Complete rail relay work.
(2) Close out FY2010 systemwide track rehabilitation project.

Issues: Schedule was extend by six months due to inclusion of rail relay work in the FY2010 project.
### SYSTEMWIDE TRACK REHABILITATION PROJECT - FY2010

#### BUDGET:

<table>
<thead>
<tr>
<th>Segment Group</th>
<th>Current Board Approved Budget</th>
<th>Expended to Date</th>
<th>Committed to Date</th>
<th>Estimate at Completion</th>
<th>Variance at Completion</th>
</tr>
</thead>
<tbody>
<tr>
<td>Planning &amp; Engineering</td>
<td>$100,000</td>
<td>$158,096</td>
<td>$166,946</td>
<td>$158,096</td>
<td>($58,096)</td>
</tr>
<tr>
<td>Right of Way</td>
<td>0</td>
<td>0</td>
<td>0</td>
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<tr>
<td>Construction</td>
<td>$6,725,000</td>
<td>$6,422,078</td>
<td>$6,654,840</td>
<td>$7,885,790</td>
<td>($1,160,790)</td>
</tr>
<tr>
<td>Construction Management</td>
<td>$360,000</td>
<td>$271,351</td>
<td>$271,351</td>
<td>$271,351</td>
<td>$88,649</td>
</tr>
<tr>
<td>Administration</td>
<td>$1,390,000</td>
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<td>$989,763</td>
<td>$989,763</td>
<td>$400,237</td>
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<tr>
<td>Contingency</td>
<td>$50,000</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>50,000</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$8,625,000</strong></td>
<td><strong>$7,841,288</strong></td>
<td><strong>$8,082,900</strong></td>
<td><strong>$9,305,000</strong></td>
<td><strong>($680,000)</strong></td>
</tr>
</tbody>
</table>

Issues: Additional funding of $680K will be transferred from the FY2011 Systemwide Track Rehabilitation project to complete the rail relay work as part of the FY2010 work scope.

OTHER: None.
SYSTEMWIDE TRACK REHABILITATION PROJECT - FY2011

SCOPE: The systemwide track rehabilitation program covers the work required to keep the Caltrain railroad in a state of good repair. The type and scope of work scheduled for each fiscal year is based upon the condition of the railroad as reflected in Caltrain’s State of Good Repair database. The scope of work proposed for FY2011 includes the following:

1) Replace stock rails and points at ends of #20 passing tracks on an as-needed basis.
2) Production rail joint replacement at approximately 50 locations.
3) Remove old or bonded over insulated (Allegheny) joints – about 50 locations (100 welds).
4) Production ties and surfacing, 30 miles surfacing, 25 turnouts and 1,500 main line ties at various locations.
5) Resume ballast purchase contract.
6) Rebuild the grade crossing at Churchill Avenue in Palo Alto.
7) Upgrade rail lubricators at five locations.
8) Purchase of small tools and work equipment required for track maintenance activities.
9) Upgrades to track geometry car including interior displays, acquisition of test unit for permanent mounting and mechanical repairs.

Issues: None.

SCHEDULE:

<table>
<thead>
<tr>
<th>Activity ID</th>
<th>Activity Description</th>
<th>Start</th>
<th>End</th>
<th>% Complete</th>
</tr>
</thead>
<tbody>
<tr>
<td>01946 - FY11 Systemwide Track Rehab...</td>
<td>01-Jul-10 A</td>
<td>30-Jun-11</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Construction</td>
<td>01-Jul-10 A</td>
<td>30-Jun-11</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Progress:

Jul - Sep 2010
(1) Installed 376 main line ties. (6) Ground 23 switches.
(2) Surfaced 1.63 miles of main line track. (7) One frog replaced. (Refer to Note 1)
(3) Welded ten frogs. (Refer to Note 1) (8) Installed two UPRR billable switch ties.
(4) Unloaded 500 tons of ballast. (9) Replaced 39 feet of rail.
(5) Installed 650 anchors.

Note 1: A frog is a mechanical device to allow trains to cross over rails in turnouts and crossings.

Future Activities:
Oct - Dec 2010 Continue FY2011 systemwide track rehabilitation work.

Issues: None.
**BUDGET:**

<table>
<thead>
<tr>
<th>Segment Group</th>
<th>Current Board Approved Budget</th>
<th>Expended to Date</th>
<th>Committed to Date</th>
<th>Estimate at Completion</th>
<th>Variance at Completion</th>
</tr>
</thead>
<tbody>
<tr>
<td>Planning &amp; Engineering</td>
<td>$300,000</td>
<td>$0</td>
<td>$16,325</td>
<td>$300,000</td>
<td>0</td>
</tr>
<tr>
<td>Right of Way</td>
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<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>0</td>
</tr>
<tr>
<td>Construction</td>
<td>$5,991,226</td>
<td>$638,579</td>
<td>$930,509</td>
<td>$5,300,000</td>
<td>691,226</td>
</tr>
<tr>
<td>Construction Management</td>
<td>$122,000</td>
<td>$510</td>
<td>$80,510</td>
<td>$122,000</td>
<td>0</td>
</tr>
<tr>
<td>Administration</td>
<td>$598,000</td>
<td>$104,271</td>
<td>$104,271</td>
<td>$598,000</td>
<td>0</td>
</tr>
<tr>
<td>Contingency</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>0</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$7,011,226</strong></td>
<td><strong>$743,360</strong></td>
<td><strong>$1,131,615</strong></td>
<td><strong>$6,320,000</strong></td>
<td><strong>691,226</strong></td>
</tr>
</tbody>
</table>

**Issues:** Funding of $680K will be transferred to the FY2010 project for the rail relay work.

**OTHER:** None.
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Caltrain

Disadvantaged Business Enterprise (DBE) Quarterly Status Report

As of: Q4 Federal Fiscal Year (FFY) 2010
(From October 1 to September 30, 2010)

The following is a summary of the PCJPB’s DBE Status:

<table>
<thead>
<tr>
<th>Status</th>
<th>Q4 FFY10</th>
</tr>
</thead>
<tbody>
<tr>
<td>Amount of Contracts Awarded</td>
<td>$130,424,262</td>
</tr>
<tr>
<td>Amount of Contracts Awarded to DBEs</td>
<td>$13,484,657</td>
</tr>
<tr>
<td>Overall Annual Goal in %</td>
<td>13.0%</td>
</tr>
<tr>
<td>% DBE Attainment</td>
<td>10.3%</td>
</tr>
<tr>
<td>% Over/(Under) Goal</td>
<td>-2.7%</td>
</tr>
</tbody>
</table>

PCJPB - Disadvantage Business Enterprise (DBE) Quarterly Status
4th Quarter Fed. Fiscal Year 2010
(From October 1 to September 30, 2010)
Definition of Terms

Committed to Date - The committed to date amount includes all actual expenditure of agency labor, other direct costs, the awarded amount of a work directive, a contract, or a purchase order which have been committed in the PeopleSoft accounting system.

Current Board Approved Budget - The current board approved budget includes the original board approved budget plus approved change orders or internal budget transfers which have been approved by the board.

Estimate at Completion - The forecasted final cost of the project. The estimate at completion can be different from the Current Board Approved Funding, which indicates a variance at completion.

Expended to Date - The cumulative project costs that have been expended through the current reporting period as reported in PeopleSoft + the accrual cost of the work performed that has not been recorded in PeopleSoft.

Variance at Completion - The difference between the Current Board Approved Funding and the Estimate at Completion. A negative variance indicates that additional funding is needed.
### Performance Status (Traffic Light) Criteria

<table>
<thead>
<tr>
<th>SECTIONS</th>
<th>On Target (GREEN)</th>
<th>Moderate Risk (YELLOW)</th>
<th>High Risk (RED)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1. SCOPE</strong></td>
<td>(a) Scope is consistent with Budget or Funding.</td>
<td>(a) Scope is NOT consistent with Budget or Funding.</td>
<td>(a) Significant scope changes / significant deviations from the original plan.</td>
</tr>
<tr>
<td></td>
<td>(b) Scope is consistent with other projects.</td>
<td>(b) Scope appears to be in conflict with another project.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>(c) Scope change has been mitigated.</td>
<td>(c) Scope changes have been proposed.</td>
<td></td>
</tr>
<tr>
<td><strong>2. BUDGET</strong></td>
<td>(a) Estimate at Completion forecast is within plus /minus 5% of the Current Approved Budget.</td>
<td>(a) Estimate at Completion forecast exceeds Current Approved Budget between 5% to 10%.</td>
<td>(a) Estimate at Completion forecast exceeds Current Approved Budget by more than 10%.</td>
</tr>
<tr>
<td></td>
<td>(a) Project milestones / critical path are within plus/minus two months of the current baseline schedule.</td>
<td>(a) Project milestones / critical path show slippage. Project is more than two to six months behind the current baseline schedule.</td>
<td>(a) Project milestones / critical path show slippage more than two consecutive months.</td>
</tr>
<tr>
<td></td>
<td>(b) Physical progress during the report period is consistent with incurred expenditures.</td>
<td>(b) No physical progress during the report period, but expenditures have been incurred.</td>
<td>(b) Forecast project completion date is later than the current baseline scheduled completion date by more than six months.</td>
</tr>
<tr>
<td></td>
<td>(c) Schedule has been defined.</td>
<td>(c) Detailed baseline schedule NOT finalized.</td>
<td>(c) Schedule NOT defined for two consecutive months.</td>
</tr>
<tr>
<td><strong>3. SCHEDULE</strong></td>
<td>(a) Expenditure is consistent with Available Funding.</td>
<td>(a) Expenditure reaches 90% of Available Funding, where remaining funding is NOT yet available.</td>
<td>(a) Expenditure reaches 100% of Available Funding, where remaining funding is NOT yet available.</td>
</tr>
<tr>
<td></td>
<td>(b) All funding has been secured or available for scheduled work.</td>
<td>(b) NOT all funding is secured or available for scheduled work.</td>
<td>(b) No funding is secured or available for scheduled work.</td>
</tr>
<tr>
<td><strong>4. FUNDING</strong></td>
<td>(a) No potential impact.</td>
<td>(a) Potential impact.</td>
<td>(a) Significant impact.</td>
</tr>
<tr>
<td><strong>5. HIGH SPEED RAIL (HSR) IMPACT</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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