AGENDA

PENINSULA CORRIDOR JOINT POWERS BOARD

Bacciocco Auditorium, 2nd Floor
1250 San Carlos Avenue, San Carlos CA 94070

February 5, 2015 – 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 January 8, 2015
   b) Acceptance of Statement of Revenues and Expenses for December 2014
   c) Fiscal Year 2014 Comprehensive Annual Financial Report for June 30, 2014
   d) Authorize Application for and Receipt of $5 Million in the California Public Utilities Commission Section 190 Grade
      Separation Program Funds for the San Mateo Bridges Replacement Project

5. Chairperson’s Report
   a) Resolution of Appreciation to Past Chair Tom Nolan

6. Report of the Citizens Advisory Committee

7. Report of the Executive Director
   a) Caltrain Modernization Update

8. Peninsula Corridor Electrification Project Design Build
    Electrification Request for Proposals Release

9. Authorize Amendment of Fiscal Year 2015 Operating Budget to
    Increase Total Revenues to $130,736,026 and Total Expenses to $127,526,026

Note: All items appearing on the agenda are subject to action by the Board. Staff recommendations are subject to change by the Board.
10. Authorize Rejection of the Single Bid from Alstom Transportation Inc. and Negotiation and Execution of a Contract on the Open Market at a Not to Exceed Cost of $7,058,352 for Bi-Level Car Limited Overhaul Services

11. Authorize Award of Contract to MV Transportation, Inc. to Provide Contracted Shuttle Bus Services for a Base Term of Five Years and Five Months at an Estimated Price of $14,716,754

12. Approval of 2015 Legislative Program

13. Legislative Update

14. Presentation on the JPB Disparity Study and JPB Activities to Support the Disadvantaged Business Enterprise Program

15. Presentation on the Caltrain Short-Range Transit Plan – Draft Elements

16. Correspondence

17. Board Member Requests

18. General Counsel Report

19. Date/Time of Next Meeting: Thursday, March 5, 2015, 10 a.m. at San Mateo County Transit District Administrative Building, Bacciocco Auditorium, 2nd Floor, 1250 San Carlos Avenue, San Carlos, CA 94070

20. 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 Avenue, San Carlos, one block west of the San Carlos Caltrain Station on El Camino Real, accessible by SamTrans bus Routes ECR, FLX, 260, 295 and 398. Additional transit information can be obtained by calling 1.800.660.4287 or 511.

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

Public Comment

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

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

Accessibility for Individuals with Disabilities

Upon request, the JPB will provide for written agenda materials in appropriate alternative formats, or disability-related modification or accommodation, including auxiliary aids or services, to enable individuals with disabilities to participate in public meetings. Please send a written request, including your name, mailing address, phone number and brief description of the requested materials and a preferred alternative format or auxiliary aid or service at least two days before the meeting. Requests should be mailed to the JPB Secretary at Peninsula Corridor Joint Powers Board, 1250 San Carlos Avenue, San Carlos, CA 94070-1306; or emailed to board@caltrain.com; or by phone at 650.508.6242, or TDD 650.508.6448.

Availability of Public Records

All public records relating to an open session item on this agenda, which are not exempt from disclosure pursuant to the California Public Records Act, that are distributed to a majority of the legislative body will be available for public inspection at 1250 San Carlos Avenue, San Carlos, CA 94070-1306, at the same time that the public records are distributed or made available to the legislative body.
Peninsula Corridor Joint Powers Board (JPB)
Board of Directors Meeting
1250 San Carlos Avenue, San Carlos CA 94070

MINUTES OF JANUARY 8, 2015

MEMBERS PRESENT: J. Cisneros, J. Gee, R. Guilbault, T. Nolan, A. Tissier (Chair), K. Yeager, P. Woodward

MEMBERS ABSENT: M. Cohen, A. Kalra


Chair Tom Nolan called the meeting to order at 10:04 a.m. and led the Pledge of Allegiance.

SWEARING IN OF JEFF GEE
Martha Martinez, JPB Secretary, administered the Oath of Office to Jeff Gee representing the San Mateo County Transit District.

Chair Nolan asked the Board to adjourn the meeting in memory of Jerry Lee, a Director on the San Francisco Municipal Transportation Agency Board and an outstanding member of the San Francisco community.

REPORT OF NOMINATING COMMITTEE – ELECTION OF 2015 OFFICERS
Director Jose Cisneros said the nominating committee nominates Director Adrienne Tissier as Chair and Director Perry Woodward as Vice Chair.

Motion/Second: Cisneros/Gee
Ayes: Cisneros, Gee, Guilbault, Nolan, Tissier, Yeager, Woodward
Absent: Cohen, Kalra

PUBLIC COMMENT
Pat Giorni, Burlingame, said there were three weeks of rain, which kept bike bumps down. She said December is usually the least-bumped month with an average of 29 bumps, but there are already 23 bumps in the first work week of this year. She said the revised electrification Final Environmental Impact Report (FEIR) should plan for 20 percent onboard bike capacity in the new electric vehicles.

Roland Lebrun, San Jose, thanked Director Malia Cohen for adding a layer of governance to the JPB by asking the San Francisco Board of Supervisors to have a hearing about Caltrain Modernization, specifically regarding the fact that Ben Tripousis, California High-speed Rail Authority (CHSRA) Northern Regional Director, is in charge of Caltrain operations and design. He said the current design will blow up the entire Peninsula. He said Caltrain planning committees should be open to the public before recommendations go to the Board.
Shirley Johnson, San Francisco Bicycle Coalition (SFBC), said bike bumps force bicyclists back into their cars. She said six bike cars are not enough for all trains to have three bike cars. She said she requested two additional cars be made bike cars.

Catherine Young, San Francisco, said she is excited to discuss the addition of new rail cars at the next Bicycle Advisory Committee meeting.

Jeff Carter, Millbrae, said Caltrain is paying $750,000 per year to Bay Area Rapid Transit (BART) for operations in Millbrae. In recent months the gate for the northbound platform has been closed, forcing Caltrain customers to walk to the south end to access Caltrain. He asked Caltrain to look into this.

Greg Conlon, Atherton, said he had suggested quad gates at Watkins Avenue in Atherton for safety, as well as having quiet zones in the city. He said Caltrain was concerned about liability. Both Novato and San Rafael have insurance to protect against liability of accidents in quiet zones. The city of Atherton would probably take that responsibility, so Caltrain would not need to worry about it. Atherton has reserved $100,000 to study putting in quad gates.

David Schonbrunn, Transportation Solutions Defense and Education Fund (TRANSDEF), read a transcript from a hearing conducted by then- State Senator Joe Simitian with Roelof van Ark, former CEO of the CHSRA. He said the conversation points out that the blended system is a big deal in terms of its impact on Caltrain, because in order to achieve speeds of 120 miles per hour many bridges, tunnels, alignments, and curves in the corridor would have to be completely changed and rebuilt.

Adina Levin, Friends of Caltrain, said the Metropolitan Transportation Commission (MTC) is collecting feedback about the Clipper system but they are not asking about the potential for fare integration, particularly with the BART to Silicon Valley Project, and the opportunity to have integrated service around the Bay connecting to Caltrain at San Jose Diridon. She said she hopes Caltrain will encourage fare integration.

**CONSENT CALENDAR**

a. Approval of Minutes of December 4, 2014
b. Acceptance of Statement of Revenues and Expenses for November 2014
c. Authorize Delegation of Approval Authority for all Aspects of the San Francisco Roadway Bridges Replacement Project, Including Design, Construction, Phasing and Schedule
d. Authorize Adoption of Continuing Disclosure Policy

Motion/Second: Guilbault/Nolan  
Ayes: Cisneros, Gee, Guilbault, Nolan, Tissier, Yeager, Woodward  
Absent: Cohen, Kalra

**CHAIRPERSON’S REPORT**

No report.
REPORT OF THE CITIZENS ADVISORY COMMITTEE (CAC)
Adina Levin, Vice Chair, CAC, said the CAC received a presentation about mobile payment systems, which included accessibility, the proof of payment system, and usefulness.

AUTHORIZE CERTIFICATION OF THE PENINSULA CORRIDOR ELECTRIFICATION PROJECT (PCEP) FEIR CERTIFICATION AND PROJECT APPROVAL
Marian Lee, Executive Officer, Caltrain Modernization (CalMod) Program, said this presentation will outline the mitigation program that staff is asking the Board to approve.

Rich Walter, ICF Consultant, presented:

- Project Description:
  - Approximately 51 miles from San Francisco to Tamien Station
  - Electrification:
    - Overhead contact system
    - Traction power facilities
    - Electric Multiple Units (EMUs)
  - Service:
    - Up to 79 miles per hour
    - Increase to six trains per hour per direction, add more station stops and reduced travel time, and restore weekday service to Atherton and Broadway stations
    - Mixed-fleet service for interim period
    - Continue tenant service
    - Continue diesel service to Gilroy

- PCEP Environmental Milestones:
  - Draft Environmental Impact Report (EIR) – February 2014
  - FEIR – December 2014
  - Approval/certification – January 2015

- Key EIR Issues:
  - Visual Aesthetics
  - Tree removal
  - Noise
  - Local traffic
  - Traction power facilities
  - Bikes onboard
  - Freight
  - Alternatives
  - High-speed rail (HSR)/segmentation

- Key Regional Benefits:
  - Decreases in greenhouse gases, daily traffic congestion, engine noise
  - Improvements in clean air quality and increases in daily ridership, improved frequency and quicker trips

- Key Operational Mitigation:
  - Aesthetics/Trees – alternative pole designs to minimize tree removal; replace trees where removal is necessary; vegetative screening; consult with cities during mitigation development and aesthetic design
key construction mitigation:
- manage light, glare, dust, and noise
- control erosion
- work with utility providers
- traffic control

key cumulative mitigation:
- noise – fully electrify operations or contribute fair share to cumulative noise and vibration mitigation at certain locations
- transportation – project mitigation at roadways; support local and regional efforts on grade separations; implement technical solution for the 22-fillmore trolleybus crossing at 16th street; provide plate h clearance at lafayette overpass in santa clara

significant unavoidable impacts
- construction – cultural resources; noise
- operations – aesthetics due to tree removal; potential flooding due to sea level rise; localized traffic; cumulative noise; cumulative traffic; localized noise/traffic due to limited potential freight diversion from rail to truck

overriding considerations
- improved service and ridership to serve growing demand
- electrification has the best performance characteristics of feasible alternatives
- reduction of air pollution
- reduction of greenhouse gas emissions
- reduction of vehicle miles traveled
- support for transit-oriented development
- consistent with planning for the downtown extension and hsr

the jpb reserves the right to assert surface transportation board pre-emption of the california environmental quality act (ceqa). the jpb will adhere to the ceqa mitigation requirements regardless.

public comment
joe hoffman, south bay historical railroad society (sbhrs), said he would like to read into the record a statement by laurie garcia, covenant representative. “having reviewed section 3.4, cultural resources in the pcep eir, we wish to submit the following comments: as the covenant holder on the historic depots on the caltrain line, the sbhrs wishes to state that we are extremely pleased to see that all of the concerns we have expressed in working with stacy cocke in 2009 and 2010 about the possible adverse effects on any of the historic properties along the caltrain line have been more
than adequately addressed in the EIR. However, as the detailed plans with the CalMod Program are developed for the areas around the historically significant depots the SBHRS wishes to be included in their review in order to ensure full compliance with the mitigation measures outlined in the EIR."

Paul Jones, Atherton, said he strongly urges the Board not to certify the EIR. He said Caltrain electrification does not have independent utility. The CHSRA included Caltrain electrification as part of the blended system, so there is no way they can be separated. He said $600 million has been set aside to fund electrification, but that can only be spent for HSR projects. The FEIR is incomplete. If quad gates were installed at all crossings and if quiet zones were organized, it would reduce more noise than electrification. Level boarding would save more time than increased acceleration by the trains. There is no firm agreement with Union Pacific for this project.

Bruce Jenkins, Director, Rail Passenger Association of California, said his organization, an advocacy group with over 600 members, strongly supports and urges the Board to proceed with electrification.

Jerry Carlson, San Carlos, said Caltrain’s statement that it may elect not to follow CEQA is very disappointing. This is a significant policy change. He asked the Board to consider how this change may affect future efforts to seek a permanent financing measure.

Emily Loper, Bay Area Council, said she represents 250 of the region’s largest employers. She said the Council strongly supports this project and encourages the Board to approve the EIR and move towards implementation as soon as possible. She said the Caltrain corridor is home to the world’s most innovative companies, which are rapidly producing jobs and driving the regional economy.

Roland Lebrun, San Jose, said he is disappointed that dual mode EMUs were eliminated as an option. This was the only way to have a one-seat ride between Gilroy and San Francisco. He said the reason for eliminating the alternatives were manipulated and deliberately falsified, and will be subject to a legal challenge. He said there is no reason to reduce clearance for freight.

Thomas Harrington, the Global Commute Solutions Leader for Intuit, said Intuit offers support for the project and encourages the Board to adopt and certify the project. Electrifying Caltrain is important step to improving connections. He said Caltrain has met the requirements intended by the CEQA.

Jim Bigelow, Redwood City/San Mateo County and Menlo Park Chambers of Commerce, asked the Board to certify the project today and get it moving. He said the region needs this service. Caltrain needs to be faster and quieter, and the mitigation to the communities is needed.

Charles Voltz, Board Member, Community Coalition on HSR, said Mr. Tripousis made a speech last June and said electrification is not standalone, is an integral part of the State’s HSR Program, is the State’s first HSR project, and will be a plug-and-play operation. He said as soon as the Caltrain EIR process is completed, the CHSRA intends
to do an environmental review. Caltrain and the CHSRA are working together in an integrated and interlocked manner to move the project forward.

David Schonbrunn, TRANSDEF, said the PCEP cannot be financed without CHSRA, yet the impacts of a blended system cannot be analyzed because there is nothing yet to analyze. He said the FEIR is the product of clever lawyering. It is evident that electrification and HSR are one project and it is a mistake to environmentally clear only electrification as though it is a separate project. It is unknown if blended system will work. The critical CEQA finding is that the PCEP is compatible with the electrical infrastructure needed for HSR. It is true CHSRA will use the same type of infrastructure, but there is no way the physical location of the infrastructure is compatible with HSR. Without HSR the PCEP is infeasible, and the EIR impermissibly segments the project. He said his organization intends to sue to stop the electrification project.

Greg Greenway, Peninsula Freight Rail Users Group, said staff did a good job of analyzing the impacts on freight, which are well-documented. He said the biggest issues are operating hours and clearance height of the Overhead Contact System. He said he is pleased the project envisions maintaining the current operating hours. There are places envisioned to be at lower clearances and the current impacts are negligible. In the future, there is potential for increased freight traffic, so he would like to work with staff on the clearances.

Jeff Lawson, Sharks Sports and Entertainment Group, said the owners of the Sharks and the managers of the SAP Arena support the project. Their customers use public transportation. Because it is a regional center, they will always need significant parking. They do not think the EIR adequately takes care of parking needs and has a serious negative impact on the parking. He said their goal is to set up some kind of technical committee with the JPB to mitigate and minimize impacts on parking.

Richard Hackman, city of Palo Alto, said Palo Alto is concerned with the unmitigated impacts on Palo Alto. He requested that Caltrain staff meet with city staff to discuss mitigation ideas. He said the city requests that the Board postpone certification by one month to discuss these impacts.

Zoe Hoster, San Francisco, asked that all new train cars be converted into bike cars.

Jeff Carter, Millbrae, said this has been a long time coming and he has advocated for this for 30 years. He said he strongly supports certification and implementation of the project.

Jennifer Pfaff, Burlingame Historical Society, said the EIR acknowledges that the loss of trees would substantially degrade the existing visual character and quality of the site, and this impact would be significant and unavoidable, even after mitigation for tree replacement. She said if Caltrain does not stick by the promise to follow CEQA, the mitigation is an empty promise.

Shirley Johnson, SFBC, said she fully supports electrification, but the EIR has two main problems. The ridership model includes walking, transit and driving, but not biking—yet 14 percent of passengers bike to the station. The mode-share model includes many
variables except onboard bike capacity, and due to the omission, the FEIR predicts bike mode-share will decrease with electrification. She asked these to be included before approving the EIR.

Andy Chow, President, Bay Rail Alliance, said he urges the Board to approve this today. The report is thorough. Some people use the EIR process even though their concerns are outside the EIR.

Pat Giorni, Burlingame, said in 2010, the Board was asked to certify and approve a 2005 EIR, which was deemed stale. This EIR may not be quite ready. She asked that the EIR not be approved or certified this month, until a revised EIR is issued so it can be done right.

Adina Levin, Friends of Caltrain, said she supports and encourages the Board to certify the EIR.

Director Ken Yeager said he is not sure a technical committee is warranted to review the issue with the Sharks parking, but VTA has a Joint Policy Advisory Board that looks at various parking and traffic issues in that area and these concerns can be referred to them to monitor the parking situation.

Chair Tissier said this EIR can be certified today with the existing mitigation and additional mitigation can be added later. She said she would like to move this certification forward, but be sensitive to some of the last-minute issues the Board has heard. She said this is ready for approval today and that staff will work with the people who wanted to meet to discuss other concerns.

Motion/Second: Nolan/Yeager
Ayes: Cisneros, Gee, Guilbault, Nolan, Tissier, Woodward, Yeager
Absent: Cohen, Kalra

Director Nolan left at 11:05 a.m.

**REPORT OF THE EXECUTIVE DIRECTOR**

Michael Scanlon, Executive Director, reported:
- Congratulated Chair Tissier on being elected chair and thanked Director Nolan for his service as Chair in 2014.
- Congratulated Director Woodward on being elected Vice Chair of the Board and for being elected Chair of the Santa Clara Valley Transportation Authority (VTA).
- Key Caltrain Performance Statistics November 2014 compared to November 2013
  - Monthly Performance Statistics:
    - Total Ridership was 1,418,781, an increase of 7 percent.
    - Average Weekday Ridership (AWR) was 56,899, an increase of 9.4 percent.
    - Total Revenue was $6,447,824, an increase of 10.4 percent.
    - On-time Performance (OTP) was 92.5 percent, a decrease of 1.1 percent.
Caltrain Shuttle Ridership was 8,395, a decrease of 9 percent. This may be due to counting problems related to the Marguerite shuttle.

- Year-to-Date Performance Statistics:
  - Total Ridership was 7,939,366, an increase of 11.6 percent.
  - AWR was 59,853, an increase of 12.1 percent.
  - Total Revenue was $35,642,390, an increase of 13.4 percent.
  - OTP was 91.8 percent, an increase of 0.3 percent.
  - Caltrain Shuttle Ridership was 8,858, an increase of 19.3 percent. This may be due to counting problems related to the Marguerite shuttle.

- An emergency preparedness drill was conducted on December 6 in Gilroy. It was attended by representatives from Gilroy fire and police, the California Department of Forestry and Fire Protection, Morgan Hill fire and police, Santa Clara Sheriff’s personnel, San Mateo County Sheriff’s Office of Transit Police Bureau, Mountain View fire, the Federal Railroad Administration and the California Public Utilities Commission.

- Special service:
  - Levi’s Stadium service:
    - Year to date approximately 42,600 people were transported for professional games at Levi’s Stadium.
    - Total ridership in Mountain View for the San Francisco 49ers games was about 8,500.
    - The Foster Farms Bowl carried about 1,200 additional riders.
    - The Pac-12 College Football Championship carried about 2,560 additional riders.
    - Sharks played eight games in December and total additional ridership was about 2,600. Year-to-date ridership is 6,500 or a 1.4 percent increase over last season.
  - Regular weekday service was provided on New Year’s Eve as well as additional service to take people to and from San Francisco. In cooperation with other agencies, train service was free after 8 p.m. Total additional ridership at San Francisco was about 10,450, an increase of 3 percent compared to 2013. Post-fireworks there were 5,700 passengers, a 24 percent increase.
  - The 30th Annual Freedom Train will be on the Martin Luther King Jr. holiday. The train will leave San Jose and go to San Francisco. This is likely the last Freedom Train due to lack of ridership and declining sponsorships.
  - Staff partnered with the Silicon Valley Community Foundation on the Holiday Train. About 25,000 people attended, and the collection of toys increased from 2,000 to 3,000. Photos were shown.

- Inspectors observed additional deterioration on the Quint Street Bridge. An immediate slow order was put on the track. Structural experts performed a full assessment and risk calculation. A structural risk assessment was completed and it was determined the structure remains safe with some minor changes needed to the track bed area to relieve some load stress. Work was completed in-house, so no emergency repairs from outside agencies were required. To reduce the load on the infrastructure, Caltrain is continuing with a 30 mph speed limit for commuter service and 10 mph for freight and work trains. Inspections have
been increased from monthly to weekly. This will affect OTP, but safety is more important. A contract will be awarded to replace the bridge. Staff is trying to expedite the final reviews and approval to proceed, but an emergency repair may be needed in the meantime.

- The Caltrain Commuter Coalition will meet on February 9 and Congresswoman Anna Eshoo will be a special guest.
- Staff is in the process of seeking bids for the railcar rehabilitation and is on schedule to come back to the Board in February with a recommendation to award a contract. Staff believes they can find enough good cars to put a sixth car on the Bombardier consist almost immediately, and then will be awarding a contract for the rehabilitation for them all. Staff is going to recommend that all six of the existing Bombardier trains have three bike cars. The issue that generates a lot of the bike bumps is inconsistency in bike capacity between the gallery and the Bombardier consists.
- The reading file contains a brochure on Track the Fun, the Caltrain Information Guide, the Safety and Security Report, and a Take One on the Clipper survey.

CalMod Update
Ms. Lee said next month a Request for Proposal will be coming to the Board so staff can start the process for electrification. The Communications-based Overlay Signal System/Positive Train Control installation is up to San Francisco and is progressing well. No new complaints have come in since last month.

Public Comment
Shirley Johnson, SFBC, thanked the Board and Mr. Scanlon for creating consistency with the bike cars.

Pat Giorni, Burlingame, thanked the Board and Mr. Scanlon for creating consistency with the bike cars.

Director Cisneros left at 11:18 a.m.

**AUTHORIZE ISSUANCE OF NOT TO EXCEED $11 MILLION AGGREGATE PRINCIPAL AMOUNT OF 2015 SERIES A FAREBOX REVENUE BONDS AND THE FORMS OF A THIRD SUPPLEMENTAL TRUST AGREEMENT, A CONTINUING COVENANT AGREEMENT AND EXECUTING AND DELIVERY THEREOF**

Gigi Harrington, Deputy CEO, said this transaction has been approved by VTA, San Francisco, and San Mateo County Transit District and is a short-term transaction through the Bank of America. The debt service will be about $180,000 per year. Staff procured the rail cars last week and holds title to them and is in the process with the contract operator to get the cars shipped here to begin the process to be put into service.

Public Comment
Jeff Carter, Millbrae, said he strongly urges approval of this item and thanked staff and Mr. Scanlon for getting these additional cars and for the additional bike cars.

Roland Lebrun, San Jose, said the Federal Transit Administration grant for purchasing these cars was transferred to something else. This money is being borrowed instead.
Motion/Second: Gee/Woodward  
Ayes: Gee, Guilbault, Woodward, Yeager, Tissier  
Absent: Cisneros, Cohen, Kalra, Nolan

**LEGISLATIVE UPDATE**  
Seamus Murphy, Director, Government and Community Affairs, said the 2015 Legislative Program will be brought to the Board in February.

**CORRESPONDENCE**  
No discussion.

**BOARD MEMBER REQUESTS**  
None

**GENERAL COUNSEL REPORT**  
None

**DATE/TIME/PLACE OF NEXT MEETING**  
The next meeting will be Thursday, February 5, 2015, 10 a.m. at San Mateo County Transit District Administrative Building, Bacciocco Auditorium, 2nd Floor, 1250 San Carlos Avenue, San Carlos, CA 94070.

Recessed at 11:27 a.m. memory of Jerry Lee.
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 DECEMBER 31, 2014 AND SUPPLEMENTAL INFORMATION

ACTION
Staff proposes the Board of Directors accept and enter into the record the Statement of Revenue and Expense for the month of December 2014 and supplemental information.

SIGNIFICANCE
Revenue: For December of Fiscal Year 2015, Total Operating Revenue (line 7) is $5,286,386 or 12.9 percent better than budget. Within total operating revenue, Farebox Revenue (line 1) is $5,048,526 or 13.7 percent better than budget. Compared to the prior year, Total Operating Revenue (line 7) is $4,237,762 or 10.1 percent higher.

Expense: Grand Total Expenses (line 50) show a favorable variance of $3,673,254 or 6.1 percent. The Rail Operator Service (line 23) is $186,363 or 0.6 percent better than budget, and Total Operating Expense (line 36) is $2,840,292 or 5.6 percent better than budget. Total Administrative Expense (line 46) is $832,955 or 9.4 percent better than budget.

Compared to prior year, Grand Total Expenses (line 50) are $1,559,941 or 2.7 percent lower.

BUDGET IMPACT
There are no budget revisions for the month of December 2014.

Prepared By: Jeannie Chen, Senior Accountant 650.508.6259
            Sheila Tioyao, Manager, General Ledger 650.508.7752
### Statement of Revenue and Expense

**PENINSULA CORRIDOR JOINT POWERS BOARD**  
**STATEMENT OF REVENUE AND EXPENSE**  
**Fiscal Year 2015**  
**December 2014**

<table>
<thead>
<tr>
<th>MONTH</th>
<th>% OF YEAR ELAPSED</th>
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<td>CURRENT</td>
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</tbody>
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#### REVENUE

**OPERATIONS:**

1. Farebox Revenue  
2. Parking Revenue  
3. Shuttles  
4. Rental Income  
5. Other Income  
6. TOTAL OPERATING REVENUE  
7. AB434 Peninsula & TA Shuttle Funding  
8. Operating Grants  
9. JBZ Member Agencies  
10. Other Sources  
11. TOTAL CONTRIBUTED REVENUE  
12. Rail Operator Service  
13. Rail Operator Service - Other  
14. Security Services  
15. Rail Operator Extra Work  
16. Contract Operating & Maintenance  
17. Shuttles Services  
18. Fuel and Lubricants  
19. Insurance  
20. Timetables and Tickets  
21. Facilities and Equipment Maint  
22. Utilities  
23. Maint & Services-Bldg & Other  
24. TOTAL OPERATING EXPENSE  
25. ADMINISTRATIVE EXPENSE  
26. Wages and Benefits  
27. Board of Directors  
28. Professional Services  
29. Communications and Marketing  
30. Other Expenses and Services  
31. TOTAL ADMINISTRATIVE EXPENSE  
32. Long Term Debt Expense  
33. NET SURPLUS / (DEFICIT)

*% 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.

(A) Staff has reallocated year to date budget due to timing of expenditures.

1/22/15 2:35 PM
## INVESTMENT PORTFOLIO

**AS OF DECEMBER 30, 2014**

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<tr>
<th>TYPE OF SECURITY</th>
<th>MATURITY DATE</th>
<th>INTEREST RATE</th>
<th>PURCHASE PRICE</th>
<th>MARKET PRICE</th>
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<tr>
<td>Local Agency Investment Fund (Restricted)</td>
<td>* Liquid Cash</td>
<td>0.267%</td>
<td>$2,000,000</td>
<td>$2,000,000</td>
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<td>Local Agency Investment Fund (Unrestricted)</td>
<td>* Liquid Cash</td>
<td>0.267%</td>
<td>25,042,220</td>
<td>25,042,220</td>
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<tr>
<td>County Pool (Unrestricted)</td>
<td>** Liquid Cash</td>
<td>0.690%</td>
<td>10,719,387</td>
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<tr>
<td>Other (Unrestricted)</td>
<td>Liquid Cash</td>
<td>0.000%</td>
<td>6,545,120</td>
<td>6,545,120</td>
</tr>
<tr>
<td>Other (Restricted)</td>
<td>*** Liquid Cash</td>
<td>0.200%</td>
<td>18,547,259</td>
<td>18,547,259</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>$62,853,987</td>
<td>$62,853,987</td>
</tr>
</tbody>
</table>

**Accrued Earnings for DECEMBER 2014**  $17,329.12

**Cumulative Earnings FY2015**  $101,673.20

* The market value of Local Agency Investment Fund (LAIF) is calculated annually and is derived from the fair value factor as reported by LAIF for quarter ending June 30 each fiscal year.

** As of November 2014 the amortized cost of the Total County Pool was $4,115,825,737.92 and the fair market value per San Mateo County Treasurer’s Office was $4,115,076,914.68.

*** Prepaid Grant funds for Homeland Security and PFMSEA projects, and funds reserved for debt repayment.

The Portfolio and this Investment Report comply with the Investment Policy and the provisions of SB 564 (1995).

The Joint Powers Board has the ability to meet its expenditure requirements for the next six months.
AGENDA ITEM # 4 (c)  
FEBRUARY 5, 2015

PENINSULA CORRIDOR JOINT POWERS BOARD  
STAFF REPORT

TO: Joint Powers Board  
THROUGH: Michael J. Scanlon  
Executive Director  
FROM: Gigi Harrington  
Deputy CEO  
SUBJECT: COMPREHENSIVE ANNUAL FINANCIAL REPORT FOR THE FISCAL YEAR ENDING JUNE 30, 2014

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

SIGNIFICANCE  
Maze and Associates conducted the annual audit of the financial statements for the year ended June 30, 2014 and determined that the financial statements fairly represent the financial position of the Peninsula Corridor Joint Powers Board for the period of July 1, 2013 to June 30, 2014.

The Fiscal Year 2014 Comprehensive Annual Financial Report is available online at http://www.caltrain.com/about/statsandreports/Comprehensive_Annual_Financial_Reports.html.

The Comprehensive Annual Financial Report has four sections, the introductory, financial, statistical and single audit section. The financial section includes:

1) Independent Auditor’s Report – this report was prepared by the independent auditors, who rendered an unqualified opinion, which is the most favorable opinion an agency can receive in an audit. An unqualified opinion means that the financial statements are presented fairly and in accordance with generally accepted accounting principles in the United States.

2) Management’s Discussion and Analysis – this section provides management’s overview of the financial activities.

3) Basic Financial Statements – the basic financial statements include a statement of net assets, statement of revenues, expenses and changes in net assets, statement of cash flow, and notes to the financial statements which are essential to a full understanding of the data provided.
4) Required Supplementary Information – this includes the budgetary basis comparison for the Revenue and Expenses and the notes to the supplementary schedule which are essential to a full understanding of the data provided.

Annually, the JPB submits the Comprehensive Annual Financial Report to the Government Finance Officers Association for the Certificate of Achievement for Excellence in Financial Reporting. The JPB has received an award for every year that the report was submitted.

**BUDGET IMPACT**
There is no impact on the Budget.

Prepared by: Jeannie Chen, Senior Accountant 650.508.6259
TO: Joint Powers Board

THROUGH: Michael J. Scanlon
Executive Director

FROM: April Chan
Executive Officer, Planning and Development

SUBJECT: AUTHORIZATION TO RECEIVE SECTION 190 GRADE SEPARATION FUNDING

ACTION
Staff Coordinating Council recommends the Board authorize the Executive Director, or his designee, to apply for and receive up to $5 million in State Section 190 Grade Separation Program funds for the San Mateo Bridges Replacement Project (Project).

SIGNIFICANCE
In 2014, the Peninsula Corridor Joint Powers Board (JPB) nominated the San Mateo Bridges Replacement Project for placement on the California Public Utilities Commission (CPUC) Grade Separation Priority List (List), which is a requirement before a project is eligible to receive an allocation of Section 190 Grade Separation Program funds from the California State Department of Transportation (Caltrans). The Project nomination was accepted and the Project was ranked 22nd on the List for Fiscal Year (FY) 2015 and FY2016. Placement on the List allows the JPB to apply for $5 million. Funding requests are due to Caltrans on April 1 of each fiscal year. Receipt of the funding will depend on the amount of grant requests submitted that rank higher than the Project. If no funding is received in FY2015, the JPB will be eligible to apply again for funding in FY2016.

BUDGET IMPACT
The Project is estimated to cost $38 million and various sources of funding have been budgeted. The action requested will allow the JPB to apply for and receive additional funds from the State. The grant funds, if awarded, will replace other funds that can be redirected to other projects.

BACKGROUND
The CPUC is required by law to establish a priority list of railroad grade separation projects that have the highest need. The criteria used to evaluate and prioritize the submitted projects include accident history, average train and vehicular volume and project site characteristics. Both the reconstruction of existing grade separations and the elimination of at-grade railroad crossings of streets are eligible for nomination to the List.
Caltrans administers the Section 190 funding program and the California Transportation Commission awards allocations to those projects that are ranked highest on the List and that are expected to begin construction or are in construction during the current fiscal year.

Prepared by: Peter Skinner, Senior Grants Analyst   650.622.7818
RESOLUTION NO. 2015 –

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

* * *

AUTHORIZING APPLICATION FOR AND RECEIPT OF
SECTION 190 GRADE SEPARATION FUNDING

WHEREAS, every other Fiscal Year (FY) the California Public Utilities Commission (CPUC) establishes a priority list (List) of railroad grade separation projects that are urgently in need of grade separation or reconstruction; and

WHEREAS, the Peninsula Corridor Joint Powers Board (JPB) nominated the San Mateo Bridges Replacement Project (Project) for inclusion on the FY2015/FY2016 List; and

WHEREAS, the List adopted by the CPUC on June 30, 2014, ranked the Project 22nd out of 56; and

WHEREAS, following the CPUC’s issuance of the List, the California State Department of Transportation (Caltrans) accepts applications for the allocation of State Section 190 grade separation funds (PUC 190) for projects included on the List; and

WHEREAS, the JPB is eligible to apply for $5 million toward the Project; and

WHEREAS, the Staff Coordinating Counsel recommends the Board authorize the Executive Director or his designee to apply for the funding.

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the JPB, hereby:

1. Authorizes the Executive Director, or his designee, to apply for $5 million in State PUC 190 funding for the Project; and
2. Certifies the JPB is the owner and operator of the Caltrain rail corridor and has sufficient local funds to construct the Project; and

3. Certifies the JPB has completed all matters pre-requisite to awarding a construction contract for the Project; and

4. Certifies the JPB awarded a construction contract for the Project at the August 2014 board meeting; and

5. Authorizes the Executive Director, or his designee, to take such actions as may be necessary to give effect to this resolution, including executing any agreements, certifications and assurances or other documentation that may be required to receive the PUC 190 funds.

Regularly passed and adopted this 5th day of February, 2015 by the following vote:

AYES:

NOES:

ABSENT:

________________________________________
Chair, Peninsula Corridor Joint Powers Board

ATTEST:

________________________________________
JPB Secretary
TO: Joint Powers Board

THROUGH: Michael J. Scanlon
Executive Director

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

SUBJECT: KEY CALTRAIN PERFORMANCE STATISTICS DECEMBER 2014

In December 2014, Caltrain’s average weekday ridership (AWR) was 51,569, which is an increase of 2,939 or 6 percent over December 2013 AWR of 48,630. The total number of passengers who rode Caltrain in December 2014 was 1,401,535, which is 6.8 percent more than in December 2013.

On-time performance (OTP) for December 2014 was 92.7 percent, which is lower than the 96.3 percent OTP for December 2013. When trains arriving within 10 minutes of the scheduled arrival time are included, December 2014 OTP rises to 95.8 percent. Overall in December 2014, there were 960 mechanical minutes of delay compared with 579 mechanical minutes of delay in December 2013. There were six days (two weekdays and four weekend days) when 100 percent of the trains operated on time. An additional 10 days operated with 95 percent or better OTP.

Two days significantly affected the overall OTP:

- On Friday December 19, seven trains were terminated, four trains were annulled, and 10 trains were delayed due to Train 381 striking a trespasser at mile post 37.7 at approximately 5:54 p.m.
- On Tuesday December 30, one train was terminated and nine trains were delayed due to two separate mechanical problems that occurred in the morning. In the afternoon, one train was terminated and 17 trains were delayed due to a down tree between Broadway and Burlingame.
- Without these two days, OTP rises to 94.7 percent and 97.6 percent with trains arriving within 10 minutes of the schedule time.

There were two fatalities in December. The other fatality occurred on Wednesday, December 17, at approximately 6:40 p.m., when a trespasser was struck by southbound Train 268 north of Blossom Hill on Union Pacific territory. One train was delayed as a result.
Looking at customer service statistics, there were 8.1 complaints per 100,000 passengers in December 2014. This is higher than the 6.6 complaints in December 2013, but lower than the 12.5 complaints from the previous month in November 2014.

Shuttle ridership is down 7.5 percent from last year from when the Marguerite shuttles improved the accuracy of their ridership reporting. When comparing the same shuttle routes as last year and the Marguerite shuttles are removed, overall shuttle ridership decreased 5.4 percent over December 2013. Over the past couple of months there has been a downward trend in Caltrain Shuttle ridership potentially due to route changes on specific shuttles and continued ridership reporting issues. Also this month, formulas were updated in order to improve accuracy of Fiscal Year to Date reporting, which changed reporting percentages. For the station shuttles, the Millbrae-Broadway shuttle averaged 177 daily riders. The Belmont-Hillsdale shuttle averaged 45 daily riders. The weekend Tamien-San Jose shuttle averaged 52 riders per day.

**Caltrain Promotions – December 2014**

**Youth age expanded to 18** – Following Board action to expand the youth age to include those who are 18 years old, staff let customers know through newsletters, station signs, news release, web postings, social media and through the regional Clipper program.

**New Year’s Eve Free Fare & Service** – Caltrain staff worked with SamTrans, the Santa Clara Valley Transportation Authority (VTA) and San Francisco Municipal Transportation Agency staff on coordinating the hours that the systems provided free service on New Year’s Eve. The agencies waived fares from 8 p.m. to 5 a.m. to encourage revelers to travel safely between destinations. Caltrain also operated seven extra trains out of San Francisco after midnight to accommodate celebrants heading down the Peninsula and to the South Bay. The special trains carried 5,787 riders, a 24 percent increase compared to last year. The free fare and additional service was promoted through Caltrain newsletters and brochures, station announcements, news release, social media and web posting.

**Clipper 2.0** – Caltrain along with other Bay Area transit agencies and the Metropolitan Transportation Commission continue to work on designing the next generation of Clipper. The regional transportation agencies are currently seeking public input on what they like about the current system, as well as what features and functions they’d like included in the new system. Trains are stocked with multilingual information about the current process.

**Pac-12 Championship Football Game** – This year, Levi’s® Stadium hosted the Pac-12 Championship Football game and will host it for the next two years. Caltrain worked with the organizers to promote train service to the game. The organizer also allowed Caltrain to use their logo in its promotions, which included web button, social media, news release, station communications and inclusion in newsletter and brochure. Caltrain also created a social media meme to promote the joint Caltrain/VTA Day Pass. Caltrain carried 2,560 football fans for the game.
**Foster Farms Bowl** – The San Francisco Bowl – now dubbed the Foster Farms Bowl – moved from AT&T Park this year to Levi’s® Stadium. Caltrain worked with the bowl staff to promote train service to the game. The organizer also allowed Caltrain to use the bowl logo in its promotions, which included web button, social media meme, news release, station communications and inclusion in newsletter and brochure. Caltrain carried 1,209 customers for the game.

**49ers** – In December, the 49ers played two home games, and nearly 8,500 football fans rode Caltrain to the games. Transit to Levi’s® Stadium information was provided to football fans through three websites: the stadium’s, VTA’s and Caltrain’s. Fans who visit the Caltrain website instantly see a big button on the home page directing them to information. Service information also was provided through newsletters, brochures, conductor announcements, station message signs and social media. Caltrain and VTA also teamed up to provide a joint Day Pass, available through Caltrain station ticket machines, to help streamline the customers’ rides. Caltrain staff worked as ambassadors at the Mountain View Caltrain Station to assist customers with their transition from Caltrain to VTA. Total additional ridership for the season was 42,573.

**San Jose Sharks** – Caltrain served eight Sharks games in December held at the SAP Center, located across the street from the San Jose Diridon station. Service to the games is promoted through onboard adcards produced by the Sharks, a link from the Sharks website to Caltrain, Pandora Internet Radio spots and banner ads, web button and dedicated page on caltrain.com and social media. Information also was included in the fall editions of *Track the Fun* and *Caltrain Connection*. Caltrain carried an extra 2,635 customers. For the season, ridership is up 1.4 percent.

Prepared By: Rita P. Haskin, Executive Officer, Customer Service and Marketing
Catherine David, Senior Planner

650.508.6248
650.508.6471
### Table A

#### December 2014

<table>
<thead>
<tr>
<th></th>
<th>FY2013</th>
<th>FY2014</th>
<th>% Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Ridership</td>
<td>1,312,085</td>
<td>1,401,535</td>
<td>6.8%</td>
</tr>
<tr>
<td>Average Weekday Ridership</td>
<td>48,630</td>
<td>51,569</td>
<td>6.0%</td>
</tr>
<tr>
<td>Total Farebox Revenue</td>
<td>$5,463,137</td>
<td>$6,223,875</td>
<td>13.9%</td>
</tr>
<tr>
<td>On-time Performance</td>
<td>96.3%</td>
<td>92.7%</td>
<td>-3.7%</td>
</tr>
<tr>
<td>Average Caltrain Shuttle Ridership</td>
<td>7,145</td>
<td>6,608</td>
<td>-7.5%</td>
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#### Year to Date

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<th></th>
<th>FY2013</th>
<th>FY2014</th>
<th>% Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Ridership</td>
<td>8,427,499</td>
<td>9,340,901</td>
<td>10.8%</td>
</tr>
<tr>
<td>Average Weekday Ridership</td>
<td>52,583</td>
<td>58,472</td>
<td>11.2%</td>
</tr>
<tr>
<td>Total Farebox Revenue</td>
<td>$36,901,989</td>
<td>$41,866,265</td>
<td>13.5%</td>
</tr>
<tr>
<td>On-time Performance</td>
<td>92.3%</td>
<td>91.9%</td>
<td>-0.4%</td>
</tr>
<tr>
<td>Average Caltrain Shuttle Ridership</td>
<td>7,316</td>
<td>8,351</td>
<td>14.1%</td>
</tr>
</tbody>
</table>

### Graph A

**Caltrain Average Weekday Ridership**

- **AWR**
- **13-Month rolling average**
AGENDA ITEM # 8  
FEBRUARY 5, 2015

PENINSULA CORRIDOR JOINT POWERS BOARD  
STAFF REPORT

TO: Joint Powers Board

THROUGH: Michael J. Scanlon  
Executive Director

FROM: Marian Lee  
Executive Officer, Caltrain Modernization Program

SUBJECT: AUTHORIZE ISSUANCE OF THE PENINSULA CORRIDOR ELECTRIFICATION PROJECT DESIGN BUILD REQUEST FOR PROPOSALS

ACTION  
Staff Coordinating Council recommends the Board authorize the issuance of the Peninsula Corridor Electrification Project (PCEP) Design Build (DB) Request for Proposals (RFP) to the six prequalified proposer teams, and in so doing, direct, determine and approve the following:

1. Designation of a scope of work in the RFP to reflect the PCEP as environmentally certified and approved by the Board at the January 8, 2015 meeting.

2. Implementation of certain cost containment measures, to include:  
a. Defer electrification of CP Michael Yard south of Tamien Station;  
b. Defer electrification of storage tracks in San Francisco Yard at 4th and King;  
c. Eliminate electrification of MT-1 and controlled siding from Santa Clara to south of Tamien and MT-2 south of CP Michael; and  
d. Revise design concept to utilize shared foundations for guy wire poles.

3. Confirmation of the option locations that have been selected to date and the process by which the remaining option locations will be selected relative to the Traction Power Facilities referenced in the Final Environmental Impact Report (FEIR) as shown on Attachment A.

4. Inclusion of maintenance options which, if exercised by the Peninsula Corridor Joint Powers Board (JPB), would commit the successful proposer team to provide specialized maintenance services for the overhead contact system and/or the signals for a minimum period of five years.

5. Establishment of a policy to guide design and construction that requires utilization of the pole alignment that most effectively minimizes the removal of trees along the right of way corridor with the understanding that deviations from this policy will only occur in circumstances in which existing utilities, physical...
conditions, required mitigation or engineering issues require an alternate pole location and such deviations will be coordinated with the affected city.

6. For purposes of maintaining train service to the public throughout the PCEP work and ensuring that the project work is performed under conditions that will minimize any risks of danger to life and property, a determination and finding that the PCEP cannot be performed during normal business hours, but instead must be performed utilizing a non-standard workweek.

SIGNIFICANCE
Typically, Caltrain projects are not brought to the Board for action until time of contract award. However, because of the unique nature and magnitude of the PCEP and the desire of staff to address some critical issues at this early stage, staff is seeking Board authorization to release this RFP. The updated revenue service date for electrified service is 2020-2021. This estimate assumes that the DB RFP is issued in February of 2015. The procurement process is anticipated to be completed over an approximate six month period culminating in a Board approved contract award in the fall of 2015.

The draft RFP has been reviewed by technical staff from the California High-speed Rail Authority, Santa Clara Valley Transportation Authority and the San Francisco Municipal Transportation Agency as well as the six prequalified teams that were shortlisted in the summer of 2014 through a Request for Qualifications (RFQ) process required by applicable law.

BUDGET IMPACT
None at this time

BACKGROUND
In September 2013, the Board approved the utilization of the Design Build contracting methodology for the electrification infrastructure.

In May 2014, as required by law, a RFQ was issued to solicit firms interested in the contract. Seven teams responded and six firms were determined to be qualified to perform the work. The six firms are:

- Shimmick/Alstom (JV)
- Caltrain Modernization Partners (JV) (Elecnor/Cobra)
- Balfour Beatty
- Mass Electric/Siemens (JV)
- Skanska-Comstock-Aldridge (JV)
- Peninsula Electrification Partners (JV) (PTG, Isolux-Corsan)

Last month, the Board certified the FEIR for the project, allowing the project to proceed to the next phase.

Key elements of the RFP that warrant the Board’s consideration include:
1. **Scope of the PCEP project.** The project scope was approved by the Board as part of the PCEP FEIR certification process in January 2015. The scope includes work required to implement mitigation measures in the Mitigation Monitoring and Reporting Plan incorporated into the approved and certified environmental record.

2. **Deferments/Eliminations to contain project cost.** These were presented to the Board as part of the PCEP cost/schedule update in December of 2014. The cumulative effect of these deferments of and eliminations in proposed components of the project amount to approximately $85 million in cost savings.

3. **Selection of the traction power facility location options.** The selection of these sites as identified in Attachment A has been coordinated with the affected jurisdictions/agencies.

4. **Maintenance options related to the overhead contact system (OCS) and signals.** The RFP will include options to be exercised by the JPB requiring the selected DB firm to provide maintenance of the OCS and/or the signals for a base five-year term with options to extend.

5. **Minimization of Tree Removal.** The RFP will require the selected DB firm to design and construct the project in a manner which aligns the poles so as to minimize tree removal along the entire right of way corridor. Deviations to this policy will only be allowed in circumstances in which existing utilities, physical conditions, required mitigation or engineering issues require an alternate pole placement and such deviations will be coordinated with the affected city.

6. **Performance of work during Non-Standard Work Week.** In order to minimize disruption to the Caltrain service during project construction as well as maximize protection of people and property, the Board is requested to determine that most of the work will be performed during a non-standard work week. The RFP contemplates that the JPB will single track service on the right of way during a window from late Friday evening through early Monday morning. The Board’s finding provides a basis for the JPB to work with the Labor Councils in each county to establish a framework for the provision of union labor on the most cost effective terms possible. The JPB is negotiating a Project Labor Agreement with the Labor Councils which would provide assurances of non-disruption and sufficient resources to facilitate project construction as well as address the approach to issues related to the non-standard work week.

Separate from the electrification design-build procurement process, staff is scheduled to present the Electric Multiple Unit train vehicle RFP to the Board for approval in the summer of 2015. A request for information from potential vehicle manufacturers was completed in June 2014.

Prepared by: Dave Couch, Project Delivery Director 650.508.7790
Peninsula Corridor Electrification Project (PCEP)

Traction Power Facility Options Selection

(Note: All reference to facilities and options are from the PCEP FEIR)

<table>
<thead>
<tr>
<th>Facilities (Jurisdiction)</th>
<th>Option Selection</th>
</tr>
</thead>
<tbody>
<tr>
<td>Traction Power Substations (2)</td>
<td>Option 4 (TBD)</td>
</tr>
<tr>
<td>- TPS 1 (South San Francisco)</td>
<td></td>
</tr>
<tr>
<td>- TPS 2 (San Jose)</td>
<td></td>
</tr>
<tr>
<td>Switching Station (1)</td>
<td>(TBD)</td>
</tr>
<tr>
<td>- SS (San Mateo County)</td>
<td></td>
</tr>
<tr>
<td>Paralleling Stations (7)</td>
<td></td>
</tr>
<tr>
<td>- PS 1 (San Francisco)</td>
<td>Option 1 (no other option)</td>
</tr>
<tr>
<td>- PS 2 (San Francisco)</td>
<td>Option 1 (no other option)</td>
</tr>
<tr>
<td>- PS 3 (Burlingame)</td>
<td>(TBD)</td>
</tr>
<tr>
<td>- PS 4 (San Mateo)</td>
<td>Option 3</td>
</tr>
<tr>
<td>- PS 5 (Palo Alto)</td>
<td>Option 2</td>
</tr>
<tr>
<td>- PS 6 (Sunnyvale)</td>
<td>Option 2</td>
</tr>
<tr>
<td>- PS 7 (San Jose)</td>
<td>(TBD)</td>
</tr>
</tbody>
</table>

The traction power system will pull in electricity from the state grid and draw power to the corridor to operate a 25kV electrified rail system. Development of options for the needed facilities was selected based on several criteria. The seven key criteria are listed below. The selection of the options was based on technical feasibility first, then local jurisdiction / owner preferences.

1. Sufficient Site Area or Footprint for the facility
2. Spacing between traction power facilities (system wide)
3. Proximity to railroad
4. Access for construction, maintenance and emergency vehicles
5. General Topographic Considerations (risk of flooding, seismic, etc.)
6. Site Construction Required
7. Security of the locations
RESOLUTION NO. 2015 –

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

***

AUTHORIZING ISSUANCE OF THE PENINSULA CORRIDOR ELECTRIFICATION PROJECT
DESIGN BUILD REQUEST FOR PROPOSALS AND RELATED ACTIONS

WHEREAS, on September 5, 2013, the Board of Directors of the Peninsula Corridor Joint Powers Board (JPB) approved and authorized the use of the design build procurement methodology to implement the Peninsula Corridor Electrification Project (PCEP); and

WHEREAS, as required by applicable law governing the design build procurement methodology, the JPB engaged in a process to prequalify firms interested in participating in the design build solicitation process for the PCEP; and

WHEREAS, in the summer of 2014, the JPB determined that six firms were qualified to participate in the design build proposal solicitation process (Prequalified Firms); and

WHEREAS, on January 8, 2015, the Board of Directors of the JPB

(1) certified the Final Environmental Impact Report for the PCEP (FEIR),
(2) adopted CEQA findings of fact, a Statement of Overriding Considerations, and a Mitigation Monitoring and Reporting Plan, and (3) approved the PCEP; and

WHEREAS, in order to meet the Fiscal Year 2020-21 deadline to complete the PCEP and institute electrified service, the PCEP Design Build Request for Proposals (RFP) must be issued in February of 2015 with an anticipated contract award by the JPB Board scheduled for the fall of 2015; and

WHEREAS, in light of the unique nature and magnitude of the PCEP, the Executive Director and the Caltrain Modernization team, with the support of the Staff
Coordinating Council, recommend authorization from the Board to issue the RFP with direction and approval regarding certain key issues related to the PCEP as set forth below.

NOW THEREFORE BE IT RESOLVED, that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby authorizes the issuance of the Peninsula Corridor Electrification Project Design Build RFP to the six Prequalified Firms; and

BE IT FURTHER RESOLVED, that the Board directs and approves the following:

1. Designation of a project scope that reflects the environmental record certified on January 8, 2015, including the mitigation measures as appropriate;

2. Implementation of certain cost containment measures, to include:
   a. Defer electrification of CP Michael Yard south of Tamien Station;
   b. Defer electrification of storage tracks in San Francisco Yard at 4th and King;
   c. Eliminate electrification of MT-1 and controlled siding from Santa Clara to south of Tamien and MT-2 south of CP Michael; and
   d. Revise design concept to utilize shared foundations for guy wire poles.

3. Confirmation of the option locations that have been selected to date and the process by which the remaining option locations will be selected relative to the Traction Power Facilities referenced in the FEIR as shown on Attachment A.

4. Inclusion of maintenance options which, if exercised by the JPB, would commit the successful proposer team to provide specialized maintenance services for the overhead contact system and/or the signals for a minimum period of five years.

5. Establishment of a policy to guide design and construction that requires utilization of the pole alignment that most effectively minimizes the removal of trees along the right of way corridor with the understanding that deviations from this policy will only occur in circumstances in which existing utilities, physical conditions, required mitigation or engineering issues require an alternate pole location and such deviations will be coordinated with the affected city.

6. For purposes of maintaining train service to the public throughout the PCEP work and ensuring that the project work is performed under conditions that will minimize any risks of danger to life and property, a
finding and determination that the PCEP work cannot be performed during normal business hours, but instead must be performed utilizing a non-standard workweek.

Regularly passed and adopted this 5th day of February, 2015 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

______________________________
JPB Secretary
Attachment A

Peninsula Corridor Electrification Project (PCEP)

Traction Power Facility Options Selection

(Note: All reference to facilities and options are from the PCEP FEIR)

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<td>Option 4 (TBD)</td>
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</tr>
<tr>
<td>Switching Station (1)</td>
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<td>(TBD)</td>
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<td>- PS 5 (Palo Alto)</td>
<td>Option 2</td>
</tr>
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<td>- PS 6 (Sunnyvale)</td>
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</tr>
<tr>
<td>- PS 7 (San Jose)</td>
<td>(TBD)</td>
</tr>
</tbody>
</table>

The traction power system will pull in electricity from the state grid and draw power to the corridor to operate a 25kV electrified rail system. Development of options for the needed facilities was selected based on several criteria. The seven key criteria are listed below. The selection of the options was based on technical feasibility first, then local jurisdiction / owner preferences.

1. Sufficient Site Area or Footprint for the facility
2. Spacing between traction power facilities (system wide)
3. Proximity to railroad
4. Access for construction, maintenance and emergency vehicles
5. General Topographic Considerations (risk of flooding, seismic, etc.)
6. Site Construction Required
7. Security of the locations
TO: Joint Powers Board

THROUGH: Michael J. Scanlon
Executive Director

FROM: Gigi Harrington
Deputy CEO

SUBJECT: AUTHORIZATION OF AMENDMENT OF FISCAL YEAR 2015 OPERATING BUDGET

ACTION
Staff Coordinating Council recommends the Board adopt a resolution authorizing the amendment of the Fiscal Year (FY) 2015 Operating Budget to increase Total Revenues by $5 million and Total Expenses by $1,790,000, as presented in Attachment A.

The increase of FY2015 Operating Budget from $125,736,026 to $130,736,026 in total revenues and from $125,736,026 to $127,526,026 in total expenses include the following:

REVENUES:
- Farebox revenue: Increase of $5 million is due to actual farebox revenues over the first six months (July through December) of FY2015 exceeding original estimates.

EXPENSES:
- Rail Operator Service: Increase of $1,790,000 is due to an allocation of overhead to the Operating Budget, an additional $350,000 for special events service, and $300,000 for additional labor support costs for preparation of the Metrolink Rail Cars for revenue service.

SIGNIFICANCE

AMENDMENT OF FY2015 OPERATING BUDGET:
Farebox Revenue: Increase of $5 million from $75 million to $80 million.
This increase is due to actual fare revenues exceeding original estimates. FY2014 unaudited farebox revenues are $74.8 million. The total of the first six months (July through December) of FY2015 is $5 million over budget year to date. The higher receipts are due primarily to steadily climbing ridership figures (6.7 percent for the first six months of FY2015).

Rail Operator Service: Increase of $1,790,000 from $67.7 million to $69.4 million.
The increase of $1,790,000 is due to an allocation of overhead appropriately to the
operating budget, an additional $350,000 for special events service and $300,000 for additional labor support costs for preparation of the Metrolink Rail Cars for revenue service.

Transit America Services Inc. (TASI) overtime is running higher than anticipated due to higher ridership and the allocation of work between the operating and capital program. Staff is continuing to work with TASI to manage overtime and may return to the Board in the spring to request an additional adjustment as necessary.

**BUDGET IMPACT**
The above changes would increase the authorized FY2015 Operating Budget from $125,736,026 to $127,526,026, or an increase of $1,790,000. No additional JPB member contributions will be required for FY2015.

**BACKGROUND**
The JPB annually adopts an Operating Budget which outlines the expected funding sources and uses that represent the JPB’s year-long commitment to transportation projects and services. The JPB approved the FY2015 Operating Budget on June 5, 2014 under Resolution No. 2014-31. The Board authorized a total budget in the amount of $125,736,026.

Note that the format of the budget differs slightly from the monthly financial statement. **Lines that have been changed in the revised budget are highlighted in bold, blue font as presented in Attachment A.**

Prepared By: Ladi Millard, Director, Budgets 650.508.7755
## PENINSULA CORRIDOR JOINT POWERS BOARD
### STATEMENT OF REVENUE AND EXPENSE
#### REVISED BUDGET
#### FY2015

### REVENUE

#### OPERATIONS:

<table>
<thead>
<tr>
<th></th>
<th>FY2014 UNAUDITED</th>
<th>FY2015 ADOPTED</th>
<th>FY2015 REVISED</th>
<th>FY15 ADOPTED to FY15 REVISED</th>
<th>FY15 ADOPTED to FY15 REVISED</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>A</td>
<td>B</td>
<td>C</td>
<td>D = C - B</td>
<td>E = D / B</td>
</tr>
<tr>
<td>Farebox Revenue</td>
<td>74,846,066</td>
<td>75,043,692</td>
<td><strong>80,043,692</strong></td>
<td>5,000,000</td>
<td><strong>6.7%</strong></td>
</tr>
<tr>
<td>Parking Revenue</td>
<td>4,156,577</td>
<td>4,051,240</td>
<td>4,051,240</td>
<td>0</td>
<td>0.0%</td>
</tr>
<tr>
<td>Shuttles</td>
<td>1,702,070</td>
<td>2,001,840</td>
<td>2,001,840</td>
<td>0</td>
<td>0.0%</td>
</tr>
<tr>
<td>Rental Income</td>
<td>1,728,248</td>
<td>1,737,720</td>
<td>1,737,720</td>
<td>0</td>
<td>0.0%</td>
</tr>
<tr>
<td>Other Income</td>
<td>4,625,745</td>
<td>1,679,620</td>
<td>1,679,620</td>
<td>0</td>
<td>0.0%</td>
</tr>
<tr>
<td><strong>TOTAL OPERATING REVENUE</strong></td>
<td><strong>87,058,707</strong></td>
<td><strong>84,514,112</strong></td>
<td><strong>89,514,112</strong></td>
<td><strong>5,000,000</strong></td>
<td><strong>6.8%</strong></td>
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</tbody>
</table>

#### CONTRIBUTIONS:

<table>
<thead>
<tr>
<th>Contribution Type</th>
<th>FY2014</th>
<th>FY2015</th>
<th>FY2015</th>
<th>FY15 ADOPTED to FY15 REVISED</th>
<th>FY15 ADOPTED to FY15 REVISED</th>
</tr>
</thead>
<tbody>
<tr>
<td>AB434 Peninsula &amp; TA Shuttle Funding</td>
<td>2,025,645</td>
<td>1,981,540</td>
<td>1,981,540</td>
<td>0</td>
<td>0.0%</td>
</tr>
<tr>
<td>Operating Grants</td>
<td>11,293,713</td>
<td>6,653,422</td>
<td>6,653,422</td>
<td>0</td>
<td>0.0%</td>
</tr>
<tr>
<td>JPB Member Agencies</td>
<td>17,231,559</td>
<td>19,828,952</td>
<td>19,828,952</td>
<td>0</td>
<td>0.0%</td>
</tr>
<tr>
<td>Other Sources</td>
<td>12,758,000</td>
<td>12,758,000</td>
<td>0</td>
<td>0</td>
<td>0.0%</td>
</tr>
<tr>
<td><strong>TOTAL CONTRIBUTED REVENUE</strong></td>
<td><strong>30,550,917</strong></td>
<td><strong>41,221,914</strong></td>
<td><strong>41,221,914</strong></td>
<td>0</td>
<td>0.0%</td>
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</tbody>
</table>

#### GRAND TOTAL REVENUE

<table>
<thead>
<tr>
<th></th>
<th>FY2014</th>
<th>FY2015</th>
<th>FY2015</th>
<th>FY15 ADOPTED to FY15 REVISED</th>
<th>FY15 ADOPTED to FY15 REVISED</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>117,609,624</td>
<td>125,736,026</td>
<td><strong>130,736,026</strong></td>
<td><strong>5,000,000</strong></td>
<td><strong>4.0%</strong></td>
</tr>
</tbody>
</table>

### EXPENSE

#### OPERATING EXPENSE:

<table>
<thead>
<tr>
<th>Expense Description</th>
<th>FY2014</th>
<th>FY2015</th>
<th>FY2015</th>
<th>FY15 ADOPTED to FY15 REVISED</th>
<th>FY15 ADOPTED to FY15 REVISED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Rail Operator Service</td>
<td>67,756,274</td>
<td>67,650,426</td>
<td><strong>69,440,426</strong></td>
<td><strong>1,790,000</strong></td>
<td><strong>2.6%</strong></td>
</tr>
<tr>
<td>Rail Operator Service - Other</td>
<td>524,141</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>-</td>
</tr>
<tr>
<td>Security Services</td>
<td>4,266,665</td>
<td>4,989,510</td>
<td>4,989,510</td>
<td>0</td>
<td>0.0%</td>
</tr>
<tr>
<td>Rail Operator Extra Work</td>
<td>(249,931)</td>
<td>155,500</td>
<td>155,500</td>
<td>0</td>
<td>0.0%</td>
</tr>
<tr>
<td><strong>TOTAL OPERATING EXPENSE</strong></td>
<td><strong>99,691,091</strong></td>
<td><strong>106,685,914</strong></td>
<td><strong>108,475,914</strong></td>
<td><strong>1,790,000</strong></td>
<td><strong>1.7%</strong></td>
</tr>
</tbody>
</table>

#### ADMINISTRATIVE EXPENSE:

<table>
<thead>
<tr>
<th>Expense Description</th>
<th>FY2014</th>
<th>FY2015</th>
<th>FY2015</th>
<th>FY15 ADOPTED to FY15 REVISED</th>
<th>FY15 ADOPTED to FY15 REVISED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Wages &amp; Benefits</td>
<td>6,165,558</td>
<td>6,768,729</td>
<td>6,768,729</td>
<td>0</td>
<td>0.0%</td>
</tr>
<tr>
<td>Managing Agency Admin OH Cost</td>
<td>4,501,893</td>
<td>5,486,432</td>
<td>5,486,432</td>
<td>0</td>
<td>0.0%</td>
</tr>
<tr>
<td>Board of Directors</td>
<td>11,887</td>
<td>11,700</td>
<td>11,700</td>
<td>0</td>
<td>0.0%</td>
</tr>
<tr>
<td>Professional Services</td>
<td>3,754,688</td>
<td>3,533,792</td>
<td>3,533,792</td>
<td>0</td>
<td>0.0%</td>
</tr>
<tr>
<td>Communications and Marketing</td>
<td>-1,071</td>
<td>119,300</td>
<td>119,300</td>
<td>0</td>
<td>0.0%</td>
</tr>
<tr>
<td>Other Expenses and Services</td>
<td>1,640,052</td>
<td>2,027,284</td>
<td>2,027,284</td>
<td>0</td>
<td>0.0%</td>
</tr>
<tr>
<td><strong>TOTAL ADMINISTRATIVE EXPENSE</strong></td>
<td><strong>16,072,987</strong></td>
<td><strong>17,947,237</strong></td>
<td><strong>17,947,237</strong></td>
<td>0</td>
<td>0.0%</td>
</tr>
</tbody>
</table>

#### GRAND TOTAL EXPENSE

<table>
<thead>
<tr>
<th></th>
<th>FY2014</th>
<th>FY2015</th>
<th>FY2015</th>
<th>FY15 ADOPTED to FY15 REVISED</th>
<th>FY15 ADOPTED to FY15 REVISED</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>116,866,953</td>
<td>125,736,026</td>
<td><strong>127,526,026</strong></td>
<td><strong>1,790,000</strong></td>
<td><strong>1.4%</strong></td>
</tr>
</tbody>
</table>

### REVENUE OVER/UNDER

<table>
<thead>
<tr>
<th></th>
<th>FY2014</th>
<th>FY2015</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>742,671</td>
<td>0</td>
</tr>
</tbody>
</table>

**Note:** All values are in USD.
RESOLUTION NO. 2015 –

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

***

AMENDING THE FISCAL YEAR 2015 OPERATING BUDGET
TO THE TOTAL OF $127,526,026

WHEREAS, the Joint Powers Agreement requires approval of an operating budget each year; and

WHEREAS, pursuant to Resolution No. 2014-31, enacted on June 5, 2014, the Board of Directors of the Peninsula Corridor Joint Powers Board (Board) adopted the Fiscal Year (FY) 2015 Operating Budget in the amount of $125,736,026 reflecting the then-projected revenues and expenses; and

WHEREAS, since the adoption of the FY2015 Operating Budget, staff has learned that additional farebox revenues totaling $5 million have become available; and

WHEREAS, since the adoption of the FY2015 Operating Budget, total expenses are projected to increase by $1,790,000, largely attributable to a $1,140,000 allocation of overhead to the Operating Budget, an additional $350,000 for special events service, and $300,000 for additional labor support costs for preparation of the Metrolink Rail Cars for revenue service; and

WHEREAS, the Executive Director recommends and the Staff Coordinating Council concurs that the Board approve an amendment to the FY2015 Operating Budget to implement the following changes: increase total revenues from $125,736,026 to $130,736,026 and total expenses from $125,736,026 to $127,526,026.
NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby approves an amendment to the FY2015 Operating Budget to implement the following changes: increase total revenues from $125,736,026 to $130,736,026 and total expenses from $125,736,026 to $127,526,026.

Regularly passed and adopted this 5th day of February, 2015 by the following vote:

AYES:
NOES:
ABSENT:

______________________________
Chair, Peninsula Corridor Joint Powers Board

______________________________
ATTEST:

______________________________
JPB Secretary
AGENDA ITEM # 10
FEBRUARY 5, 2015

PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT

TO: Joint Powers Board

THROUGH: Michael J. Scanlon
Executive Director

FROM: Gigi Harrington
Deputy CEO

C.H. (Chuck) Harvey
Deputy CEO

SUBJECT: RAILCAR OVERHAUL AND CONVERSION SERVICES CONTRACT

ACTION
Staff Coordinating Council recommends the Board:

1. Reject the single bid received from Alstom Transportation Inc. (Alstom) for the limited overhaul of 10 passenger cars and a limited overhaul and conversion to bicycle cars of six additional railcars (Railcar Overhaul and Conversion).

2. Authorize the Executive Director, or his designee, to negotiate and execute a contract with Alstom or some other firm, if required, for the Railcar Overhaul and Conversion services in an amount less than the bid price of $7,058,352.

SIGNIFICANCE
Approval of the above actions (1) will allow rejection of the single bid and (2) will provide staff with the authority to obtain the best value for the Railcar Overhaul and Conversion services through negotiation and execution of a contract with Alstom, Inc. or some other firm, if required, which is qualified to perform these services.

BUDGET IMPACT
Rejection of the single bid will have no budget impact. Funds associated with the anticipated award of a newly negotiated contract are included in the capital budget.

BACKGROUND
The JPB has purchased 16 Bombardier bi-level rail cars from the Southern California Regional Rail Authority (Metrolink) to address its rising ridership demands. The increased demand has developed so quickly that existing coaches (Gallery and Bombardier Bi-Level) are insufficient. With these newly acquired railcars, the JPB will be extending its five-car trains to six-car trains until such time as the rolling stock is replaced with electric multiple units to operate on the electrified system from San Francisco to San Jose that will be constructed over the next several years.

The Invitation for Bids (IFB) for the limited overhaul of the bi-level cars was issued and
advertised on the JPB’s website and in local newspapers. Notifications went out to interested bidders registered in the procurement database. One bid was received as follows:

<table>
<thead>
<tr>
<th>Company</th>
<th>Bid Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Alstom Transportation Inc.</td>
<td>$7,058,352.00</td>
</tr>
</tbody>
</table>

Upon review by staff and legal counsel, the bid was found to be responsible and responsive to the requirements of the IFB. However, staff is recommending rejection of the bid as staff’s due diligence revealed that Alstom’s bid did not necessarily reflect the exact nature of the work described in the IFB. Additionally, staff believes that negotiations may result in cost savings as to certain identified areas in the current scope of work and bid.

Under the JPB’s procurement rules, the JPB may reject all bids following a formal bid process and purchase the needed work or services through negotiations without further formal solicitation when the Board determines that a lower price may be achieved through this course of action. Such is the case here. Staff has concluded that it is in the best interest of the JPB not to re-issue the IFB, but rather to negotiate with Alstom or some other firm, if necessary, both because there is an urgent need to increase capacity on our trains to alleviate overcrowding and manage growing ridership, and because staff believes it can successfully reach an agreement for the desired Railcar Overhaul and Conversion services that will be acceptable to the JPB and result in cost savings.

Prepared By: Alan Chan, Contract Officer 650.508.6256
Project Manager: David Olmeda, Director, Maintenance 650.508.6252
RESOLUTION NO. 2015 –

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

* * *

AUTHORIZE REJECTION OF SINGLE BID FROM ALSTOM TRANSPORTATION, INC. AND
AUTHORIZE NEGOTIATION OF A CONTRACT FOR THE OVERHAUL OF 16 RAILCARS AT A
COST LESS THAN $7,058,352

WHEREAS, in response to the JPB’s advertised solicitation for the limited overhaul
of 16 railcars with the conversion of six of these railcars to bicycle cars (Railcar Overhaul
and Conversion), a single bid was received from Alstom Transportation, Inc. (Alstom);
and

WHEREAS, staff has analyzed the sole bid and believes that the Railcar Overhaul
and Conversion services can be procured at a cost less than the bid price; and

WHEREAS, the Executive Director recommends rejection of the single bid and
authorization to negotiate and execute a contract with Alstom, or some other firm, if
required, to perform the Railcar Overhaul and Conversion work at a cost less than the
bid price submitted of $7,058,352.

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors (Board) of the
Peninsula Joint Powers Board hereby authorizes rejection of the single bid from Alstom
for the limited overhaul of 16 railcars services with the conversion of six of these cars to
bicycle cars; and

BE IT FURTHER RESOLVED the Board authorizes the Executive Director or designee
to negotiate and execute a contract with Alstom or some other firm, if required, for the
Railcar Overhaul and Conversion services in an amount less than $7,058,352.

Regularly passed and adopted this 5th day of February, 2015 by the following
vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

_______________________________
JPB Secretary
AGENDA ITEM # 11
FEBRUARY 5, 2015

PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT

TO: Joint Powers Board

THROUGH: Michael J. Scanlon
          Executive Director

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

SUBJECT: AUTHORIZE AWARD OF CONTRACT TO PROVIDE CONTRACTED SHUTTLE SERVICES

ACTION
Staff Coordinating Council recommends the Board:

1. Award a contract to MV Transportation, Inc. (MV) of Dallas, Texas to provide Contracted Shuttle Services for a base term of five years and four months, including transition and mobilization, at an estimated amount of $14,716,754.

2. Authorize the Executive Director or designee to execute a contract with MV in full conformity with the terms and conditions of the solicitation documents and negotiated agreement.

3. Authorize the Executive Director or designee to exercise up to five additional one-year option terms with MV, for an estimated amount of $16,103,395 for the five-year period, if it is in the best interest of the Peninsula Corridor Joint Powers Board (JPB). The option terms may be exercised in one-year or multi-year increments at the sole discretion of the JPB.

SIGNIFICANCE
Award of a contract to MV will continue to provide the JPB with a shuttle service contractor to provide last mile connections for train passengers to their final destinations.

BUDGET IMPACT
Funding for these services will be available under approved and projected operating budgets. Awarding a contract base term of five years and four months serves the purpose of aligning the contract years with the JPB’s fiscal years.

BACKGROUND
The Contracted Shuttle Services (Shuttle Program) was initiated by the California State Department of Transportation in September of 1988 as a one-year feeder bus demonstration program operated by a third-party contractor to transport train patrons
for the last mile of their trips. Since that time, the Shuttle Program has grown from its modest beginning into a robust transportation solution offering one million annual last mile connections, primarily to local employers’ work sites and residential neighborhoods. To accommodate this evolution in demand, the current fleet of vehicles for operating the service has increased to include 25 peak vehicles. Due to this continuing increase in demand, two additional routes are projected to commence under the new contract.

The JPB, the San Mateo Transit District (District) and the Peninsula Traffic Congestion Relief Alliance (Alliance) (collectively referred to as "Agencies") determined that material benefits would be gained by collaborating on a joint solicitation process. Consequently, the Agencies signed a Memorandum of Understanding directing staff to prepare a joint procurement for the Contracted Shuttle Services.

Prior to the current procurement, a Request for Proposals (RFP) to identify a firm to provide the desired services was jointly developed and staff received five proposals from interested firms. However, after firms were notified of the evaluation results and recommendation of award of contract to MV Transportation, the Agencies received a protest from Parking Company of America Management (PCAM) alleging MV Transportation’s staffing plan was inadequate. California Labor Code 1070 et seq. requires agencies soliciting public transit services to award preference points to each proposer that agrees to retain the current contractor’s employees. In furtherance of this requirement, the Agencies issued with the RFP a roster provided by PCAM of its then-current employees. As part of its due diligence in evaluating PCAM’s protest, staff concluded that inconsistent staffing information was provided to the proposers. In the interest of fostering a fair, full and transparent solicitation process, staff recommended that the Board reject all proposals. At its January 2014 meeting, the Board rejected all proposals and directed staff to re-solicit the services.

On May 28, 2014, a new RFP to provide Contracted Shuttle Services was issued. The solicitation was advertised in a newspaper of general circulation and on the Agencies’ websites. Notifications went out to interested proposers, including disadvantaged business enterprises (DBEs) that were registered in the procurement database.

An Evaluation Committee (Committee) composed of qualified staff and representatives from the Alliance with experience in managing contracted public transportation services reviewed and ranked proposals according to the following weighted criteria set forth in the RFP:

- Approach to Scope of Services 30 points
- Qualifications and Experience of Firm 20 points
- Financial Condition of Firm 15 points
- Qualifications and Experience of Management Team and Key Personnel 15 points
- Cost Proposal 20 points
- Preference Points 10 points
As required by California Labor Code 1070 et seq., preference points were awarded to firms that agreed to retain the employees of the contractor currently providing contracted shuttle services.

Staff received proposals from two companies, neither of which are small business enterprises (SBEs) or DBEs. After review, evaluation, and initial scoring of proposals, the Committee invited the two firms for interviews. Following site visits and interviews, the Committee completed the final evaluation and consensus ranking. The firms are listed below in order of their final consensus ranking:

- MV Transportation, Inc., Dallas, Texas
- Parking Company of America Management, Los Angeles, CA

Following notice to the proposers of the staff recommendation of the award of contract to MV, the Agencies received correspondence from PCAM and its attorney, alleging a number of solicitation irregularities and requesting solicitation correspondence, evaluation and scoring records.

The Agencies carefully evaluated PCAM’s protest based on the record to date and determined that the solicitation process had no irregularities and was conducted in a full, open and unbiased manner, and that the PCAM protest should be rejected. On behalf of the Agencies, the District sent PCAM a letter dated December 31, 2014, responding to the concerns PCAM raised and advising of these conclusions. District Counsel also sent a letter to PCAM’s attorney responding to the Public Records Act issues.

The recommendation to award the contract to MV was postponed from the JPB’s January 8 board meeting agenda to allow PCAM sufficient time to review the responsive public records provided to them.

The Alliance Board of Directors met on January 15, 2015, heard and rejected the protest lodged by PCAM, and awarded the Shuttle Services contract to MV.

MV Transportation is one of the nation’s largest passenger transportation companies. Additionally, it has more than 14 years of successful experience operating services for the District. MV’s operations team assigned to the JPB’s account has in-depth knowledge of State and Federal regulatory requirements as well as extensive experience managing public transportation programs. MV also will be providing a new fleet of lower emissions, contractor-owned vehicles.

MV has the requisite experience and qualified operations team for the successful operation of the JPB’s Shuttle Program. Staff therefore recommends award of a contract to this company. Additionally, MV confirmed as part of its proposal that it will immediately recognize the Teamsters Local 665 as the bargaining unit representing the employees that provide the Contracted Shuttle Services. This is the existing bargaining unit for the current contractor’s employees. While MV intends to perform this contract with its own labor force, MV plans to procure operators uniforms from a DBE supplier.

Page 3 of 4
After contract award, there will be a transition and mobilization period to allow the new Contractor to coordinate affairs with the incumbent Contractor as well as to purchase a new fleet of vehicles required to operate the Shuttle Services.

Parking Company of America Management currently provides Contracted Shuttle Services to the JPB at the annual price of $3.4 million. The Board approved in July 2014 a month-to-month time extension amendment with PCAM to continue to provide Shuttle Services until June 30, 2015.

Contract Officer: Adwoa Oni 650.508.6411
Project Manager: Mike Stevenson, Associate Operations Contract Administrator 650.508.7979
RESOLUTION NO. 2015 –

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

* * *

AUTHORIZING AWARD OF CONTRACT TO MV TRANSPORTATION, INC.
TO PROVIDE CONTRACTED SHUTTLE SERVICES FOR
AN ESTIMATED AMOUNT OF $14,716,754 A FOR FIVE-YEAR AND FOUR-MONTH BASE TERM

WHEREAS, the Peninsula Corridor Joint Powers Board (JPB), the San Mateo County District (District) and the Peninsula Traffic Congestion Relief Alliance (Alliance) (collectively referred to as "Agencies") previously issued a joint procurement to solicit competitive proposals to provide contracted shuttle services and received proposals from five firms in response to the solicitation; and

WHEREAS, after firms were notified of the evaluation results and recommendation of award of contract to MV Transportation, Inc. (MV Transportation), the Agencies received a protest regarding the award of the contract from Parking Company of America Management (PCAM); and

WHEREAS, staff undertook a thorough evaluation of PCAM’s protest, including its allegation that MV Transportation’s staffing plan was inadequate; and

WHEREAS, following staff’s evaluation and conclusion that inaccurate staffing information had been provided to the proposers, and in the interest of fostering a fair, full and transparent solicitation process, staff recommended that all proposals be rejected, which rejection was authorized by the Board at its January 2014 meeting, at which time the Board also directed staff to re-solicit the services; and

WHEREAS, on May 28, 2014, a new Request for Proposals (RFP) to provide Contracted Shuttle Services was issued; and
WHEREAS, the solicitation was advertised in a newspaper of general circulation, on the Agencies’ websites, and notifications were sent out to interested proposers, including disadvantaged business enterprises (DBEs) that were registered in the procurement database; and

WHEREAS, in response to the Agencies' solicitation, two firms submitted proposals; and

WHEREAS, an Evaluation Committee (Committee) has reviewed proposals and conducted interviews and site visits, and ranked the proposers' proposals according to the evaluation criteria set forth in the RFP; and

WHEREAS, the Committee has determined that MV Transportation, Inc. is the highest consensus-ranked firm; and

WHEREAS, legal counsel has reviewed MV Transportation, Inc.’s proposal and determined that it complies with the requirements of the solicitation documents; and

WHEREAS, PCAM, the lower ranked proposer in this second procurement, has submitted requests for public records, a written protest, and a letter from their legal representative raising issues under the Public Records Act regarding this second procurement, and the Agencies have responded to all of these communications; and

WHEREAS, the Executive Director recommends that a five-year and four-month base contract for contracted shuttle services be awarded to MV Transportation, Inc., for an estimated amount of $14,716,754.

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors (Board) of the Peninsula Corridor Joint Powers Board hereby awards a contract for contracted shuttle services to MV Transportation, Inc. of Dallas, Texas for a base term of five years and four months for an estimated amount of $14,716,754; and
BE IT FURTHER RESOLVED that the Board authorizes the Executive Director or
designee to execute a contract on behalf of the JPB with MV Transportation, Inc. in full
conformity with all of the terms and conditions of the RFP and negotiated agreement,
and in a form approved by legal counsel; and

BE IT FURTHER RESOLVED that the Board authorizes the Executive Director, or his
designee, to exercise up to five additional, one-year option terms with MV
Transportation, Inc. in the total estimated amount of $16,103,395 for the five-year
period, if it is in the best interest of the JPB, with the understanding that the option terms
may be exercised in one-year or multi-year increments at the sole discretion of the JPB.

Regularly passed and adopted this 5th day of February, 2015 by the following
vote:

AYES:

NOES:

ABSENT:

______________________________
Chair, Peninsula Corridor Joint Powers Board

ATTEST:

______________________________
JPB Secretary
TO: Joint Powers Board

THROUGH: Michael J. Scanlon
Executive Director

FROM: Mark Simon
Executive Officer, Public Affairs

SUBJECT: 2015 LEGISLATIVE PROGRAM

ACTION
Staff Coordinating Council proposes Board adoption of the attached Legislative Program (Program) to guide Caltrain’s policy advocacy efforts over the course of the 2015 calendar year.

SIGNIFICANCE
The 2015 Program establishes the principles that will guide Caltrain’s legislative and regulatory advocacy efforts through the 2015 calendar year, including the first half of the 2015-2016 State legislative session and the 114th Congress. The program is intended to be broad enough to cover the wide variety of issues that are likely to be considered during that time and flexible enough to allow Caltrain to respond swiftly and effectively to unanticipated developments. Adoption of the Program provides our legislative delegation and our transportation partners with a clear statement of Caltrain’s priorities.

The 2015 Program is organized to guide Caltrain’s actions and positions in support of three primary objectives:

1. Maintain and enhance funding opportunities to support Caltrain’s programs and services

2. Seek a regulatory environment that streamlines project delivery and maximizes Caltrain’s ability to meet public transportation service demands

3. Reinforce and expand programs that build and incentivize public transportation ridership

The Program is structured to apply these core objectives to a series of issues, resulting in a set of policy strategies for each.

State and Regional Issues:
1. State Budget and Transportation Funding Opportunities
2. Caltrain Modernization, Capacity Improvements and High-Speed Rail
3. Transportation Operations, Administration, Planning and Project Delivery
   Regulation

Federal Issues:
   1. Surface Transportation and Rail Authorization
   2. Regulatory Issues
   3. Fiscal Year 2016 Appropriations and Tax Extenders

Should other issues surface that require Caltrain’s attention, actions will be guided by
the three policy objectives listed above. If needed, potential action on issues that are
unrelated to these policy goals will be brought to Caltrain’s Board of Directors for
consideration.

Caltrain and its legislative consultants will employ a variety of advocacy tactics to
support the 2015 Legislative Program, including:

1. Direct Advocacy
   Engage policymakers directly and sponsor legislation, submit correspondence
   and provide public testimony that communicates and advances Caltrain’s
   legislative priorities and positions.

2. Coalition-based Advocacy
   Engage local and regional stakeholders to build awareness about specific issues
   and foster the creation of local coalitions that will advocate on Caltrain’s behalf.
   Coordinate with local, regional, statewide and national coalitions organized to
   advance positions that are consistent with the 2015 Program.

3. Media Advocacy
   Build public awareness and communicate legislative priorities by issuing press
   releases, organizing media events, and submitting op-ed pieces; engage the
   broader public in advocacy efforts through the use of social media and other
   electronic media that facilitate the public’s ability to communicate on Caltrain’s
   behalf.

BUDGET IMPACT
There is no impact on the budget.

BACKGROUND
Staff actively monitors legislative and regulatory activity and will seek Board positions
on selected bills as appropriate to further Caltrain’s legislative objectives and to
provide support for our advocacy efforts. Staff will supply updated reports summarizing
relevant legislative and regulatory activities, allowing the Board to track legislative
developments and providing opportunities to take appropriate action on pending
legislation.

Prepared By: Seamus Murphy, Director, Government and Community Affairs
650.508.6388
Peninsula Corridor Joint Powers Board
2015 Legislative Program

Purpose

Legislative and regulatory actions have the potential to significantly benefit Peninsula Corridor Joint Powers Board (JPB) programs and services. They also have potential to present serious challenges that threaten the JPB’s ability to meet some of the region’s most critical transportation demands.

The 2015 Legislative Program establishes the principles that will guide the JPB’s legislative and regulatory advocacy efforts through the 2015 calendar year, including the second half of the 2014-15 State legislative session and the 114th Congress. The program is intended to be broad enough to cover the wide variety of issues that are likely to be considered during that time and flexible enough to allow the JPB to respond swiftly and effectively to unanticipated developments.

Objectives

The 2015 Legislative Program is organized to guide the JPB’s actions and positions in support of three primary objectives:

1. Maintain and enhance funding opportunities to support Caltrain programs and services.
2. Seek a regulatory environment that streamlines project delivery and maximizes Caltrain’s ability to meet transportation service demands.
3. Reinforce and expand programs that build and incentivize public transportation ridership.

Issues

The Legislative Program is structured to apply these core objectives to a series of issues, resulting in a set of policy strategies for each.

State and Regional Issues

1. State Budget and Transportation Funding Opportunities
2. Caltrain Modernization, Capacity Improvements and High-speed Rail
3. Transportation Operations, Administration, Planning and Project Delivery Regulation

Federal Issues:

1. Surface Transportation and Rail Authorization
2. Regulatory Issues
3. Fiscal Year 2016 Appropriations and Tax Extenders
Should other issues surface that require JPB attention, actions will be guided by the four policy objectives listed above. If needed, potential action on issues that are unrelated to these policy goals will be brought to the Board of Directors for consideration.

**Advocacy Tactics**

JPB staff, led by the Government and Community Affairs group and its legislative consultants, will employ a variety of advocacy tactics to support the 2015 Legislative Program, including:

1. **Direct Advocacy**
   Engage policymakers directly and sponsor legislation, submit correspondence and provide public testimony that communicates and advances JPB legislative priorities and positions.

2. **Coalition-based Advocacy**
   Engage local and regional stakeholders to build awareness about specific issues and foster the creation of local coalitions that will advocate on the JPB’s behalf. Coordinate with local, regional, statewide and national coalitions organized to advance positions that are consistent with the 2015 Legislative Program.

3. **Media Advocacy**
   Build public awareness and communicate legislative priorities by issuing press releases, organizing media events, and submitting op-ed pieces; engage the broader public in advocacy efforts through the use of social media and other electronic media that facilitate the public’s ability to communicate on the JPB’s behalf.
# 2015 Peninsula Corridor Joint Powers Board Legislative Program

## State and Regional Issues

<table>
<thead>
<tr>
<th>Issues and Background</th>
<th>Strategies</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1. State Budget and Transportation Funding Opportunities</strong></td>
<td><strong>General</strong></td>
</tr>
</tbody>
</table>
| **General** | - Protect against the elimination or diversion of any State or regional funds that support Caltrain’s transportation needs  
- Support State funding allocation requests for investments that benefit Caltrain’s transportation programs and services  
- Work with statewide transit coalitions to identify and advance opportunities for funding that would support Caltrain’s transportation priorities  
- Monitor recommendations of the Road Usage Charge (RUC) Technical advisory Committee and implementation of a RUC program by the California State Transportation Agency (CalSTA). |
| State investment in transportation operations and infrastructure continues to be underfunded despite a rebounding economy and the stabilization of the State budget. While some existing revenues have been protected from diversion, other funds remain vulnerable, and although some State bond revenues are still available to fund specified transportation projects, over $200 billion in new revenue will be required to meet the State’s infrastructure needs over the next six years. Since the gas tax has not been increased or adjusted for inflation since 1993, its buying power has been diminished, further depleting resources available to maintain, let alone expand or improve the state highway system or transit needs. Recently enacted legislation (SB 1077) creates a statewide committee to assess the implementation of pilot program for a mileage-based user fee as an alternative to the gas tax. | **Existing Revenues** |
| - Support the full funding of the STA program at levels called for in the 2011 reenactment of the 2010 gas-tax swap legislation  
- Advocate for the regularly scheduled issuance of State infrastructure bonds and the equitable allocation of bond revenues to Proposition 1A and Proposition 1B programs that support Caltrain’s transportation services and programs  
- Support legislation to maintain exemption for STA efficiency criteria. |
| **Existing Revenues** | |
| After years of diversion to support the State’s General Fund, funding for the State Transit Assistance (STA) program has remained stable over the last few budget cycles thanks to successful legal, legislative and political efforts on behalf of the transportation community. Still, a small increment of STA funding remains vulnerable to diversion under current law. Legislation is needed to either extend or make permanent the exemption for the STA efficiency criteria to ensure that funding remains flexible for capital and operations. |
## State and Regional Issues

### Issues and Background

Infrastructure investments are achieved primarily through the sale of voter-approved bonds. Revenues from the sale of Proposition 1A and Proposition 1B bonds will be needed to ensure that the State’s transportation needs are addressed.

### Ballot Measures and Voter Threshold

With over $200 billion in unfunded transportation needs and funding from existing infrastructure bond measures waning, proposals for new local, regional and statewide transportation revenues are being discussed.

Despite broad-based majority support for dedicating additional revenue to transportation services and programs, efforts to generate new revenues are often unsuccessful due to the requirement that certain measures receive two-thirds supermajority support from the Legislature and/or voters.

In 2015, legislation may be considered that provides a framework for lowering the thresholds for the State or a city, county, special district or regional public agency to impose a special tax.

Local jurisdictions will also need to consider whether an exemption to the State imposed two percent cap is needed to pursue a sales tax measure.

### Strategies

<table>
<thead>
<tr>
<th>Ballot Measures and Voter Threshold</th>
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</thead>
<tbody>
<tr>
<td>• Engage in efforts to generate new local, regional or statewide transportation funding and support proposals that adequately benefit Caltrain’s transportation needs</td>
</tr>
<tr>
<td>• Support efforts to amend the State Constitution to reduce the voter threshold required for the State or a city, county, special district or regional transportation agency to impose a special tax for transportation projects or programs</td>
</tr>
<tr>
<td>• Oppose efforts to add burdensome restrictions on the expenditure of these revenues, such as requiring payment for maintenance costs on the state highway system</td>
</tr>
<tr>
<td>• Partner with regional partners such as MTC or other transportation planning agencies to allow for the adoption of an ordinance proposing the imposition of a transactions and use tax that exceeds the two percent statutory limitation</td>
</tr>
</tbody>
</table>
## STATE AND REGIONAL ISSUES

<table>
<thead>
<tr>
<th>Issues and Background</th>
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<tbody>
<tr>
<td><strong>High Occupancy Toll (HOT) Lanes</strong>&lt;br&gt;In 2014 legislation was enacted laying the groundwork for implementation of a mileage-based user fee in California. The fee would charge certain motorists based on how many miles they drive in a given year, in lieu of paying California-assessed fuel taxes. As vehicles are becoming more fuel efficient and fuel tax revenues continue to decline, the state is looking for alternatives to maintain the system and provide alternatives for travelers. The 2014 legislation establishes a limited mileage-based user fee demonstration program. At the same time, various local jurisdictions around the state are looking to expand the existing HOT lane program as a way of generating additional funding for highway maintenance and operations, and, possibly to support alternatives to the auto in those HOT lane corridors, such as public transit.</td>
<td><strong>HOT Lanes</strong>&lt;br&gt;- Monitor the demonstration program and support efforts to ensure transit operations and capital projects remain eligible uses for revenues collected through a mileage-based user-fee or HOT lane program.&lt;br&gt;- Support legislation that supports local agencies’ ability to implement HOT lane projects.&lt;br&gt;- Support legislation that works to ensure revenues generated through HOT lane projects remain in the County of origin</td>
</tr>
<tr>
<td><strong>Cap-and-Trade Revenues</strong>&lt;br&gt;In 2012, the State began implementing the cap-and-trade market-based compliance system approved as a part of the California Global Warming Solutions Act of 2006 (AB 32). The State estimates that the system may yield billions of dollars per year in revenues that will be allocated to various emissions-reducing projects and programs. In 2014, legislation was enacted creating a long-term funding plan for cap-and-trade which deducts 60 percent of cap-and-trade revenues to transportation. The remaining 40 percent is subject to annual appropriation through the state budget process.</td>
<td><strong>Cap-and-Trade Revenues</strong>&lt;br&gt;- Work with the Administration and through like-minded transportation coalitions to secure the appropriation of cap-and-trade revenues in 2015 that are eligible to support Caltrain’s transportation needs.&lt;br&gt;- Support legislation and regional action that establishes a long-term framework for cap-and-trade expenditures and that makes a broad array of Caltrain’s emissions-reducing transportation projects, programs and services eligible for investment&lt;br&gt;- Protect existing cap-and-trade appropriations for</td>
</tr>
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</table>
2015 Peninsula Corridor Joint Powers Board Legislative Program

### State and Regional Issues

<table>
<thead>
<tr>
<th>Issues and Background</th>
<th>Strategies</th>
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</thead>
<tbody>
<tr>
<td>Other State or Local Financing Options</td>
<td>transit operations and capital projects and sustainable communities strategy implementation</td>
</tr>
<tr>
<td>With the State’s recent dissolution of redevelopment agencies, local governments continue to seek methods for funding new infrastructure around transit.</td>
<td>• Work to direct additional revenues to transit-eligible programs, including efforts to secure funding from the remaining discretionary funds and revenues dedicated to the high-speed-rail project</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Other State or Local Financing Options</th>
<th>Strategies</th>
</tr>
</thead>
<tbody>
<tr>
<td>With State’s recent dissolution of redevelopment agencies, local governments continue to seek methods for funding new infrastructure around transit.</td>
<td>• Advocate for legislation that would create new local financing tools to support transportation infrastructure and services</td>
</tr>
<tr>
<td>• Monitor and support efforts to study Vehicle Miles Traveled tax as a potential revenue source.</td>
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</table>

<table>
<thead>
<tr>
<th>2. Caltrain Modernization, Capacity Improvements and High Speed Rail</th>
<th>Strategies</th>
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<tbody>
<tr>
<td>In 2012, the State Legislature appropriated $705 million in Proposition 1A high-speed rail funds to modernize the Caltrain corridor in preparation for eventual high-speed rail service. Under a multi-party regional funding agreement, this investment will be used to match a variety of local, regional, state and federal funding sources to electrify the corridor, install an advanced signaling system and replace Caltrain’s aging diesel trains with electric trains that will dramatically improve service between San Francisco and San Jose.</td>
<td>• Advocate for the sale and allocation of Proposition 1A funding to meet the commitments specified in SB 1029 with respect to the Caltrain corridor.</td>
</tr>
<tr>
<td>In addition to planning these improvements, Caltrain is working to identify additional infrastructure that will provide additional capacity and service benefits and will also allow</td>
<td>• Support the allocation of cap-and-trade funding to advance implementation of the Caltrain Modernization Program and future Caltrain capacity improvements.</td>
</tr>
<tr>
<td></td>
<td>• Work with state, local and regional partners to advance policies and actions that will help secure funding needed to fulfill local and regional commitments to the Caltrain Modernization Program</td>
</tr>
</tbody>
</table>
# 2015 Peninsula Corridor Joint Powers Board Legislative Program

## State and Regional Issues

<table>
<thead>
<tr>
<th>Issues and Background</th>
<th>Strategies</th>
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</thead>
<tbody>
<tr>
<td>the corridor to accommodate high-speed-rail as part of a Blended System.</td>
<td>• Work to address regulatory challenges that limit the implementation of solutions that will maximize Caltrain capacity and service benefits.</td>
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<td></td>
<td>• Oppose actions or policies that negatively impact future capacity or service improvements.</td>
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</tbody>
</table>

### 3. Transportation Operations, Administration, Planning and Project Delivery Regulation

**General**
Every year a variety of legislation or regulatory action is pursued that would affect regulations governing transportation-related service operations, administration, planning and project delivery. In addition, opportunities exist to reform or update existing regulations that are outdated, or can be improved to address potential burdens on transportation agencies without affecting regulatory goals.

**Changes to the Penal Code**
Efforts will be underway in 2015 to make changes to the Penal Code related to crimes committed on transit properties, to make them more applicable for transit agencies statewide, including the decriminalization of youth fare evasion, and, failure to yield seating to the elderly and disabled.

**General**
• Support opportunities to remove barriers to, and improve the ability to conduct, efficient transportation operations, administration, planning and project delivery efforts, including alternative project delivery methods that provide flexibility to the JPB

• Oppose efforts to impose unjustified and burdensome regulations or restrictions on the JPB’s ability to conduct efficient transportation operations, administration, planning and project delivery efforts

**Changes to the Penal Code**
• Support efforts to amend the Penal Code to decriminalize youth fare evasion and penalize individuals for failing to yield seating to elderly and disabled individuals
# State and Regional Issues

## Issues and Background

<table>
<thead>
<tr>
<th>California Environmental Quality Act (CEQA)</th>
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<tbody>
<tr>
<td>Several regional and statewide transportation organizations continue working to modernize CEQA and minimize unnecessary delays during the environmental review process.</td>
</tr>
</tbody>
</table>

## Strategies

<table>
<thead>
<tr>
<th>California Environmental Quality Act (CEQA)</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Closely monitor efforts to modernize CEQA and support proposals that advantage transportation projects, including bicycle, pedestrian and transit-oriented development projects, without compromising CEQA’s effectiveness as an environmental protection policy</td>
</tr>
</tbody>
</table>

### Sustainable Communities Strategies Implementation

In conjunction with AB 32 implementation, the Sustainable Communities and Climate Protection Act (SB 375) requires regions to develop Sustainable Communities Strategies (SCS) with integrated housing, land-use and transportation policies that will accommodate population growth and reduce regional greenhouse gas emissions by specific amounts. In 2013, regional authorities in the Bay Area approved Plan Bay Area, which includes the region’s SCS.

## Strategies

<table>
<thead>
<tr>
<th>Sustainable Communities Strategies Implementation</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Advocate for policies that provide adequate and equitable funding to support increased demand and dependence on Caltrain’s transportation services associated with the implementation of SB 375 and Plan Bay Area</td>
</tr>
</tbody>
</table>

# Federal Issues

## Issues and Background

### 1. Surface Transportation and Rail Authorization

In 2012, Congress passed Moving Ahead for Progress in the 21st Century (MAP-21). While MAP-21 included significant benefits for transportation agencies, it did not address several critical issues including the long-term solvency of the Highway Trust Fund, the reauthorization of Federal rail programs or the need for a longer-term authorization bill that guarantees reliable funding for transportation programs and services.

## Strategies

| • Advocate for a dedicated source of revenue that ensures long-term solvency of the Highway Trust fund; allows for the expansion of Federal transportation funding to cover transit state-of-good-repair and other transportation expansion needs; and supports long-term surface transportation authorization |

| • Support the reauthorization of Federal rail |

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Page 8 of 9
## Federal Issues

<table>
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<tr>
<th>Issues and Background</th>
<th>Strategies</th>
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<tr>
<td></td>
<td>programs that includes significant funding eligible to support improvements associated with the Modernization of the Caltrain system, additional capacity and service improvements and the accommodation of blended high-speed rail service</td>
</tr>
</tbody>
</table>
| 2. Regulatory Issues  | • Monitor and review guidance and rulemaking proposals affecting MAP-21 implementation and other transportation issues  
|                       | • Collaborate with local, regional, State and national transportation advocacy groups to coordinate comments and advocacy efforts that support regulation that maximizes benefits for transportation programs, services and users |
| 3. 2016 Federal Appropriations and Tax Extenders | • Partner with local, regional, State and national coalitions to advocate appropriation of the maximum authorized amount for programs that benefit Caltrain’s transportation services and needs  
|                       | • Work with local and regional coalitions to support the JPBs requests for funding from discretionary programs  
|                       | • Advocate for the permanent extension of pre-tax transit commute benefits at a level equal to benefits that drivers receive. |

Under MAP-21, the United States Department of Transportation (USDOT) continues to issue guidance and conduct rulemaking to implement various regulatory changes.

Every year, Congress adopts at least 12 separate appropriations bills, including the Transportation, Housing and Urban Development bill. These measures provide the authority for federal agencies to spend money during the upcoming fiscal year for the programs they administer. In recent years, Congress has essentially maintained existing funding levels.

Congress also considers legislation that governs tax issues including benefits provided to transit commuters. In recent years, provisions that grant transit users with commute benefits equal to the benefit that drivers receive have been allowed to expire.
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 in accordance with the approved Legislative Program.

STATE ISSUES
On January 9, Governor Brown released his proposed 2015-16 State Budget. The spending plan is a modest increase over last year’s $11 billion budget and includes a $2.8 billion Rainy Day Fund set aside.

Notable transportation-related highlights include:
- The State Transit Assistance allocation is $388 million, up slightly from the projected amount due to higher than expected diesel fuel consumption.
- Just over $1 billion in projected revenue from the State’s Cap and Trade Program, up from $832 million in the current fiscal year.

The availability of cap and trade revenues for public transportation allows the administration to focus its attention on the growing problem of funding highway, road and bridge infrastructure, including an annual $6 billion shortfall in highway maintenance funding.

To address this problem, the budget proposes moving forward with implementation of a Road User Charge Pilot Program that would generate revenue through a mileage-based system. The budget also proposes to generate funding through new high-occupancy toll lane projects that would be approved by the California Transportation Commission.

The Governor’s May Budget Revision is expected on May 14. The Legislature has until June 15 to submit a budget to the Governor for his signature.

FEDERAL ISSUES
Nothing to report
<table>
<thead>
<tr>
<th>Bill Number (Author)</th>
<th>Location</th>
<th>Summary</th>
<th>Position</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>AB 2 (Alejo D)</strong></td>
<td>Assembly Print</td>
<td>The Community Redevelopment Law authorizes the establishment of redevelopment agencies in communities to address the effects of blight, as defined by means of redevelopment projects financed by the issuance of bonds serviced by tax increment revenues derived from the project area. Existing law dissolved redevelopment agencies and community development agencies, as of February 1, 2012, and provides for the designation of successor agencies to wind down the affairs of the dissolved agencies and to fulfill the enforceable obligations of those agencies. Existing law also provides for various economic development programs that foster community sustainability and community and economic development initiatives throughout the state. This bill would state the intent of the Legislature to enact legislation that would authorize certain local agencies to form a community revitalization authority within a community revitalization and investment area, as defined, to carry out provisions of the Community Redevelopment Law in that area for purposes related to, among other things, infrastructure, affordable housing, and economic revitalization, and to provide for the financing of these activities by, among other things, the issuance of bonds serviced by tax increment revenues.</td>
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<td>Introduced: 12/1/2014</td>
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<tr>
<td>Bill Number (Author)</td>
<td>Location</td>
<td>Summary</td>
<td>Position</td>
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<tr>
<td>AB 6  (Wilk R)</td>
<td>Assembly Transportation</td>
<td>Existing law, the Safe, Reliable High-Speed Passenger Train Bond Act for the 21st Century, approved by the voters as Proposition 1A at the November 4, 2008, general election, provides for the issuance of $9 billion in general obligation bonds for high-speed rail purposes and $950 million for other related rail purposes. Article XVI of the California Constitution requires measures authorizing general obligation bonds to specify the single object or work to be funded by the bonds and further requires a bond act to be approved by a 2/3 vote of each house of the Legislature and a majority of the voters. This bill would provide that no further bonds shall be sold for high-speed rail purposes pursuant to the Safe, Reliable High-Speed Passenger Train Bond Act for the 21st Century, except as specifically provided with respect to an existing appropriation for high-speed rail purposes for early improvement projects in the Phase 1 blended system. The bill, subject to the above exception, would require redirection of the unspent proceeds received from outstanding bonds issued and sold for other high-speed rail purposes prior to the effective date of these provisions, upon appropriation, for use in retiring the debt incurred from the issuance and sale of those outstanding bonds. The bill, subject to the above exception, would also require the net proceeds of other bonds subsequently issued and sold under the high-speed rail portion of the bond act to be made available, upon appropriation, to fund construction of school facilities for K-12 and higher education. The bill would make no changes to the authorization under the bond act for issuance of $950 million for rail purposes other than high-speed rail. These provisions would become effective only upon approval by the voters at the next statewide election.</td>
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| AB 21  (Perea D) | Assembly Natural Resources | The California Global Warming Solutions Act of 2006 establishes the State Air Resources Board as the state agency responsible for monitoring and regulating sources emitting greenhouse gases. The act requires the state board to adopt a statewide greenhouse gas emissions limit, as defined, to be achieved by 2020, equivalent to the statewide greenhouse gas emissions levels in 1990. The act requires the state board to make recommendations to the Governor and the Legislature on how to continue the reduction of greenhouse gas emissions beyond 2020. This bill would require the state board, no later than January 1, 2018, to recommend to the Governor and the Legislature a specific target of statewide emissions reductions for 2030 to be accomplished in a cost-effective manner. This bill contains other related provisions and other existing laws. | |

Introduced: 12/1/2014
<table>
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<tbody>
<tr>
<td>AB 23 (Patterson R)</td>
<td>Assembly Natural Resources</td>
<td>The California Global Warming Solutions Act of 2006 designates the State Air Resources Board as the state agency charged with monitoring and regulating sources of emissions of greenhouse gases. The state board is required to adopt a statewide greenhouse gas emissions limit equivalent to the statewide greenhouse gas emissions level in 1990 to be achieved by 2020, and to adopt rules and regulations in an open public process to achieve the maximum, technologically feasible, and cost-effective greenhouse gas emissions reductions. The act authorizes the state board to include the use of market-based compliance mechanisms. Existing state board regulations require specified entities to comply with a market-based compliance mechanism beginning January 1, 2013, and require additional specified entities to comply with that market-based compliance mechanism beginning January 1, 2015. This bill would instead exempt those categories of persons or entities that did not have a compliance obligation, as defined, under a market-based compliance mechanism beginning January 1, 2013, from being subject to that market-based compliance mechanism through December 31, 2020. This bill contains other related provisions.</td>
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</tr>
<tr>
<td>AB 33 (Quirk D)</td>
<td>Assembly Natural Resources</td>
<td>The California Global Warming Solutions Act of 2006 establishes the State Air Resources Board as the state agency responsible for monitoring and regulating sources emitting greenhouse gases. The act requires the state board to adopt a statewide greenhouse gas emissions limit, as defined, to be achieved by 2020 equivalent to the statewide greenhouse gas emissions levels in 1990. The act requires the state board to prepare and approve a scoping plan for achieving the maximum technologically feasible and cost-effective reductions in greenhouse gas emissions. The act requires the scoping plan to be updated at least once every 5 years. This bill, until January 1, 2020, would require, for purposes of advising the update of the next scoping plan, the state board to develop specified information by July 1, 2016. The bill would require the state board on or before January 1, 2017, to submit a report to the appropriate committees of the Legislature on the specified information. The bill would provide that the specified information is intended to assist in establishing state policy and does not change any statute, regulation, or regulatory decision.</td>
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Introduced: 12/1/2014
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<th>Bill Number (Author)</th>
<th>Location</th>
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<tr>
<td>AB 61 (Allen, Travis R)</td>
<td>Assembly Transportation</td>
<td>Under existing law, a person may not stop, park, or leave a vehicle standing alongside a curb space authorized for the loading or unloading of passengers of a bus engaged as a common carrier in local transportation when indicated by a sign or red paint on the curb, except that existing law allows local authorities to permit schoolbuses to stop alongside these curb spaces upon agreement between a transit system operating buses as common carriers in local transportation and a public school district or private school. This bill would also allow local authorities to permit shuttle service vehicles, as defined, to stop for the loading or unloading of passengers alongside these curb spaces upon agreement between a transit system operating buses engaged as common carriers in local transportation and a shuttle service provider, as defined.</td>
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<tr>
<td>AB 156 (Perea D)</td>
<td>Assembly Print</td>
<td>The California Global Warming Solutions Act of 2006 designates the State Air Resources Board as the state agency charged with monitoring and regulating sources of emissions of greenhouse gases. The state board is required to adopt a statewide greenhouse gas emissions limit equivalent to the statewide greenhouse gas emissions level in 1990 to be achieved by 2020. The act authorizes the state board to include the use of market-based compliance mechanisms. Existing law requires all moneys, except for fines and penalties, collected by the state board from the auction or sale of allowances as part of a market-based compliance mechanism to be deposited in the Greenhouse Gas Reduction Fund and to be available upon appropriation. Existing law requires the California Environmental Protection Agency to identify disadvantaged communities and requires the Department of Finance, in consultation with the state board and any other relevant state agency, to develop, as specified, a 3-year investment plan for the moneys deposited in the Greenhouse Gas Reduction Fund. This bill would require the department to include in the 3-year investment plan an allocation to provide technical assistance to disadvantaged communities to assist them in proposing specified projects for inclusion in the 3-year investment plan.</td>
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| SB 1 (Gaines R)      | Senate Environmental Quality | The California Global Warming Solutions Act of 2006 designates the State Air Resources Board as the state agency charged with monitoring and regulating sources of emissions of greenhouse gases. The state board is required to adopt a statewide greenhouse gas emissions limit equivalent to the statewide greenhouse gas emissions level in 1990 to be achieved by 2020, and to adopt rules and regulations in an open, public process to achieve the maximum, technologically feasible, and cost-effective greenhouse gas emissions reductions. The act authorizes the state board to include the use of market-based compliance mechanisms. Existing state board regulations require specified entities to comply with a market-based compliance mechanism beginning January 1, 2013, and require additional specified entities to comply with that market-based compliance mechanism beginning January 1, 2015.

This bill instead would exempt categories of persons or entities that did not have a compliance obligation, as defined, under a market-based compliance mechanism beginning January 1, 2013, from being subject to that market-based compliance mechanism. The bill would require all participating categories of persons or entities to have a compliance obligation beginning January 1, 2025. This bill contains other related provisions. | Introduced: 12/1/2014 |
| SB 5 (Vidak R)       | Senate Environmental Quality | Existing law establishes minimum requirements for the issuance of a preliminary multiple or single subject teaching credential by the Commission on Teacher Credentialing. Among other requirements, existing law requires satisfactory completion of a program of professional preparation accredited by the Committee on Accreditation, but specifies that the program shall not include more than one year, or the equivalent of 1/5 of a 5-year program, of professional preparation.

This bill would instead provide that a program of professional preparation shall not include more than 2 years of full-time study of professional preparation. The bill would update cross-references and would make other technical, nonsubstantive changes. | Introduced: 12/1/2014 |
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<td>SB 9 (Beall D)</td>
<td>Senate Environmental Quality</td>
<td>Existing law requires all moneys, except for fines and penalties, collected by the State Air Resources Board from the auction or sale of allowances as part of a market-based compliance mechanism relative to reduction of greenhouse gas emissions, to be deposited in the Greenhouse Gas Reduction Fund. This bill would modify the purpose of the program to delete references to operational investments and instead provide for the funding of large, transformative capital improvements with a total cost exceeding $100,000,000. The bill would require the Transportation Agency, in prioritizing and selecting projects for funding, to consider the extent to which a project reduces greenhouse gas emissions, and would add additional factors to be considered in evaluating applications for funding. The bill would require the Transportation Agency to develop, by July 1, 2016, an initial 5-year estimate of revenues reasonably expected to be available for the program, with subsequent estimates to be made every other year for additional 5-year periods, and would require the agency to adopt 5-year programs consistent with those estimates. The bill would require the agency to make a multiyear funding commitment for a project proposed to be funded over more than one fiscal year, and would authorize the California Transportation Commission to approve a letter of no prejudice that allow an applicant to expend its own funds on a project in the adopted program of projects, subject to future reimbursement from program funds for eligible expenditures. This bill contains other existing laws.</td>
<td>Watch Closely</td>
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<td>SB 32 (Pavley D)</td>
<td>Senate Environmental Quality</td>
<td>The California Global Warming Solutions Act of 2006 designates the State Air Resources Board as the state agency charged with monitoring and regulating sources of emissions of greenhouse gases. The state board is required to adopt a statewide greenhouse gas emissions limit equivalent to the statewide greenhouse gas emissions level in 1990 to be achieved by 2020 and to adopt rules and regulations in an open public process to achieve the maximum, technologically feasible, and cost-effective greenhouse gas emissions reductions. This bill would require the state board to approve a statewide greenhouse gas emission limit that is equivalent to 80% below the 1990 level to be achieved by 2050, as specified. The bill would authorize the state board to adopt interim greenhouse gas emissions level targets to be achieved by 2030 and 2040. The bill also would state the intent of the Legislature for the Legislature and appropriate agencies to adopt complementary policies that ensure long-term emissions reductions advance specified criteria.</td>
<td>Introduced: 12/1/2014</td>
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Introduced: 12/1/2014
AGENDA ITEM # 14
FEBRUARY 5, 2015

PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT

TO: Joint Powers Board

THROUGH: Michael J. Scanlon
Executive Director

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

SUBJECT: DISADVANTAGED BUSINESS ENTERPRISE (DBE) PRESENTATION ON DISPARITY
STUDY AND PENINSULA CORRIDOR JOINT POWERS BOARD (JPB) ACTIVITIES
TO SUPPORT DBE

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

SIGNIFICANCE
Per Board request at its December meeting, staff will report on the JPB’s Disparity Study
and what efforts the JPB makes to increase the pool of qualified DBEs.

BUDGET IMPACT
There is no impact to the current budget.

BACKGROUND
This month’s presentation will be presented via PowerPoint. A handout will be provided
at the meeting.

Prepared by: Bill Carson, Acting Director, Human Resources 650.508.6234
AGENDA ITEM # 15
FEBRUARY 5, 2015

PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT

TO: Joint Powers Board

THROUGH: Michael J. Scanlon
Executive Director

FROM: Marian Lee
Executive Officer, Caltrain Modernization Program

SUBJECT: CALTRAI N SHORT RANGE TRANSIT PLAN – DRAFT ELEMENTS

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

SIGNIFICANCE
The Metropolitan Transportation Commission (MTC) requires San Francisco Bay Area transit districts to periodically prepare and submit Short-Range Transit Plans (SRTPs) describing their systems and policies and identifying 10-year operating and capital plans. In early 2014, Caltrain staff undertook the development of a “full” SRTP covering the next 10 years (Fiscal Years (FY) 2015-2024). The development of the Caltrain SRTP has been conducted in accordance with MTC’s published guidelines and has also been coordinated with the release of the Caltrain Strategic Plan (adopted September 2014) and with ongoing planning and environmental work related to the Caltrain Modernization Program.

At the February Board meeting, staff will make a presentation that provides an overview of key elements to be included in the FY2015-2024 SRTP. Following the February Board meeting, staff will submit a draft SRTP document to MTC for review and confirmation of conformance with MTC’s established SRTP guidelines. Based on the timing and outcome of MTC’s review, staff anticipates returning to the Board with a draft final SRTP document for adoption in the spring of 2015.

BUDGET IMPACT
There is no impact on the budget.

BACKGROUND
Prior to 2010, MTC required Bay Area transit operators to prepare full SRTPs every four years and shorter, “mini” SRTPs annually. Caltrain last completed a “full” SRTP in 2008 and completed, "mini" SRTP in 2009. In 2010, MTC initiated the Transit Sustainability Project (TSP) and temporarily suspended the requirement that operators produce SRTPs.
In the fall of 2013, following completion of the TSP, MTC renewed its requirement that the largest seven transit agencies in the Bay Area (AC Transit, Bay Area Rapid Transit, Caltrain, Golden Gate Transit, San Francisco Municipal Transportation Agency, SamTrans, and Santa Clara Valley Transportation Authority) complete and submit SRTPs. The Caltrain SRTP serves as a midterm planning document that will be used by MTC to inform the development of the Regional Transportation Plan and Transportation Improvement Plan and will fulfill key regulatory requirements of the Federal Transit Administration. In addition to fulfilling a regional planning function, the SRTP provides Caltrain with a venue to concisely describe its existing system and policies as well as its future operating and capital plans for the next 10 years.

Prepared By: Sebastian Petty, Senior Planner, Caltrain Modernization Program
650.622.7831