AGENDA

PENINSULA CORRIDOR JOINT POWERS BOARD

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

May 5, 2016 – Thursday

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 March 3, 2016
   b) Acceptance of Statement of Revenues and Expenses for February 2016

5. Chairperson’s Report
   a) Appointment of Clarrissa Cabansagan to Represent San Francisco on the Citizens Advisory Committee

6. Report of the Citizens Advisory Committee

7. Report of the Executive Director
   a) Caltrain Modernization Update
      i. Peninsula Corridor Electrification Project Quarterly Update
      ii. Discussion of Peninsula Corridor Electrification Project Contract Status and Electric Vehicle Considerations Including Bathrooms

8. Authorize Execution of a Seven-Party Regional Funding Supplement to the 2012 Nine-Party Memorandum of Understanding for the Peninsula Corridor Electrification Project

9. Authorize Entering into a Comprehensive Agreement with the California State Department of Transportation in Support of the Peninsula Corridor Electrification Project


11. Preliminary Fiscal Year 2017 Operating Budget

Note: All items appearing on the agenda are subject to action by the Board. Staff recommendations are subject to change by the Board.
12. Preliminary Fiscal Year 2017 Capital Budget  INFORMATONAL

13. Authorize Execution of Amendment to Cooperative Agreement with Santa Clara Valley Transportation Authority to Undertake Eminent Domain Proceedings in Connection with the Los Gatos Creek Bridge Project

14. Authorize Filing an Application for Transit Performance Initiative Program Funding to the Metropolitan Transportation Commission for $1,250,210 to Help Fund the Installation of a New Control Point on the Caltrain Main Line in San Carlos

15. Triennial Federal Transit Administration Disadvantaged Business Enterprise Goal Setting Methodology

16. Community Choice Energy and Caltrain Electricity Source

17. Annual Passenger Counts Presentation

18. Legislative Update

19. Correspondence

20. Board Member Requests

21. Date/Time of Next Regular Meeting: Thursday, June 2, 2016, 10 a.m. at San Mateo County Transit District Administrative Building, Bacciocco Auditorium, 2nd Floor, 1250 San Carlos Avenue, San Carlos, CA 94070

22. General Counsel Report

23. 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. Communications to the Board of Directors can be e-mailed to board@caltrain.com.

Location, Date and Time of Regular Meetings

Regular meetings are held at the 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 APRIL 7, 2016


MEMBERS ABSENT: P. Woodward (Chair)

STAFF PRESENT: J. Averill, M. Bouchard, M. Burns, J. Cassman, C. Fromson, G. Harrington, J. Hartnett, C. Harvey, E. Kay, M. Martinez, N. McKenna, S. Murphy, P. Thompson, N. Vigil

Vice Chair José Cisneros called the meeting to order at 10:03 a.m. and led the Pledge of Allegiance.

PUBLIC COMMENT
Shirley Johnson, San Francisco Bicycle Coalition, thanked the Board for the third bike car on Bombardier trains. Customers can now count on a more reliable commute, this helps relieve congestion on the roads, and it makes the air a little cleaner. She said 14 percent of passengers ride bikes to the stations and Caltrain is the envy of transit agencies across the country.

Director Malia Cohen arrived at 10:04 a.m.

Roland Lebrun, San Jose, said the court confirmed the $600 million in funding appropriated by the Legislature is on hold until the California High-Speed Rail Authority (CHSRA) comes up with a funding plan that is compliant with the Bond Act, which means trains must be able to travel from Diridon to Transbay in 30 minutes and there must be 12 trains per hour per direction. He said the Board should thank the CHSRA for their efforts and give them notice that the Board looks forward to their funding partnership as the JPB exercises its right to plan, design, and build enhancements compliant with the Bond Act while simultaneously reducing existing Caltrain impacts on communities and businesses on the peninsula. This will take a couple of years to come up with a plan and a full funding package that generates consensus and is bullet proof in courts. In the meantime, the Electric Multiple Unit (EMU) procurement process should be expedited, and the only way to do it is to procure hybrid trains.

Jeff Carter, Millbrae, said Train 156 used to leave 22nd Street at 3:07 p.m. but now leaves at 3 p.m., which makes the train useless for people who get off work at 3 p.m. The next train leaves 90 minutes later. This was done with no public review, and these are not minor tweaks, but major changes. He would like to know if Caltrain will do an assessment to see how the changes affect the customers. It would make more sense to move the train to 3:10 p.m. or 3:15 p.m.
CONSENT CALENDAR
   a) Approval of Minutes of March 3, 2016
   b) Acceptance of Statement of Revenues and Expenses for February 2016

Motion/Second: Tissier/Gee
Ayes: Cohen, Gee, Guilbault, Peralez, Ramos, Tissier, Yeager, Cisneros
Absent: Woodward

CHAIRPERSON’S REPORT
None

REPORT OF THE CITIZENS ADVISORY COMMITTEE (CAC)
Chris Cobey, Chair, CAC, said:
   • At the CAC meeting of March 15, the CAC:
     o Received a presentation on the Brown Act.
     o Received an update on the Clipper Card experience, changes to be made, concerns about tag offs, loading money on the card, interaction between Bay Area Rapid Transit (BART) and Caltrain, and zone upgrades.
   • The CAC would be delighted if the Board would have a nominee to fill the San Francisco vacancy at the May meeting.

REPORT OF THE EXECUTIVE DIRECTOR
Jim Hartnett, Executive Director, said:
   • Caltrain Modernization (CalMod) Update
     o In March the technical team, including funding partners, evaluated the electrification design-build and EMU proposals. There is a best-value design-build proposal with the highest technical score and lowest price as well as a highly qualified EMU proposal. Staff will analyze and negotiate with the design build and EMU contractors to reduce their prices, and staff will be scrubbing the internal team and agency costs to find additional savings.
     o Staff will be submitting a request to the Federal Transit Administration (FTA) for entry into the engineering phase of the Core Capacity Program this month. Staff submitted an application for State Cap and Trade transit and intercity rail capital program funds, which has tremendous legislative support.
     o At a recent Local Policy Maker Group (LPMG) meeting chaired by Dan Richards, Chair, CHSRA, an update was presented on the Draft 2016 CHSRA Business Plan. The LPMG is interested in a system-wide grade separation program for the corridor and had questions about the draft business plan funding and ridership assumptions, and discussion about changes from the 2014 Business Plan. Materials from that meeting are being placed on CHSRA and Caltrain websites. CHSRA is continuing to receive input on the business plan. Their board will meet on April 21 in San Jose to take closing comments and to adopt the plan to meet their deadline by May 1. Preparation of the plan is legislatively mandated.
     o Director Joël Ramos was presented with a hard had for his head-end trip on Caltrain.
• The Annual Passenger Counts have been completed and the data is being analyzed and will be presented to the Board in the coming months.
• The new Caltrain timetable has been implemented in addition to the third bike car on Bombardier train sets.

KEY CALTRAIN PERFORMANCE STATISTICS – JANUARY 2016
Michelle Bouchard, Chief Operating Officer, Rail, said:
• Key Caltrain Performance Statistics February 2016 compared to February 2015.
  o Average weekday ridership was 61,403, a 9.4 percent increase.
  o Year-to-date ridership was 59,556, a 3.5 percent increase.
  o On-time performance (OTP) was 90.5 percent, a 2.7 percent increase.
  These results are prior to the timetable change. The final bridge change out for the San Mateo bridges is happening on April 16, and the Quint Street Project should be done at the end of April. Once the slow orders for these bridge issues are lifted, OTP will be improved. This will also allow staff to see the true impacts of the timetable change.

AUTHORIZE AWARD OF CONTRACT TO DMZ BUILDERS FOR THE TERMINAL STATIONS DEPARTURE MONITORS PROJECT IN THE TOTAL AMOUNT OF $715,000
Nita Vigil, Acting Director, Contracts and Procurement, said this is for monitors at San Francisco and San Jose Diridon stations. Both stations have printed signage but will be replaced with real-time monitors to help passengers know where they need to be. There will be 28 monitors installed in San Francisco and 20 in San Jose. This was an invitation for bids, and staff received three bids. DMZ Builders submitted the lowest bid and offered a substantial 65 percent Small Business Enterprise (SBE) goal, which exceeds the 20 percent that staff anticipated.

Motion/Second: Tissier/Gee
Ayes: Cohen, Gee, Guilbault, Peralez, Ramos, Tissier, Yeager, Cisneros
Absent: Woodward

AUTHORIZE AWARD OF CONTRACT TO AGBAYANI CONSTRUCTION CORPORATION FOR THE RIGHT OF WAY FENCING PROJECT IN THE TOTAL AMOUNT OF $1,259,516
Ms. Vigil said this project is intended to continue and expand the implementation of the fencing project along the right of way including the Dumbarton corridor. This is a phased project. The first base year staff anticipates $1,259,516 of an award. Staff received four bids. Agbayani Construction Corporation was able to provide a 12.2 percent SBE commitment.

Director Ramos said he has concerns around including a strategy about long-term maintenance of the infrastructure. He asked if there is a plan or system to make sure there is maintenance. Ms. Bouchard said once fencing is installed, Transit America Services, Incorporated (TASI) maintains it as part of their scope of work, which also includes repairs and inspection.

Motion/Second: Ramos/Guilbault
Ayes: Cohen, Gee, Guilbault, Peralez, Ramos, Tissier, Yeager, Cisneros
Absent: Woodward
AUTHORIZE AMENDMENT OF PROFESSIONAL SERVICES AGREEMENT WITH TRANSPORTATION CONSULTANT, LLC TO PROVIDE CONTINUATION OF MICHAEL BURNS’ SERVICES AS CHIEF CALTRAIN MODERNIZATION OFFICER AT AN ADDITIONAL COST OF UP TO $202,000 FOR 12 MONTHS

Joan Cassman, Legal Counsel, said this is a request to extend the contract for Mr. Burns’ services as the Chief Officer, Caltrain Planning/CalMod Program for up to one year.

Chair Cisneros said as a former colleague of Mr. Burns, he highly recommends approval of this item.

Motion/Second: Yeager/Tissier
Ayes: Cohen, Gee, Guilbault, Peralez, Ramos, Tissier, Yeager, Cisneros
Absent: Woodward

2015 CUSTOMER SATISFACTION SURVEY RESULTS

Patrick Thompson, Market Research Specialist, presented:

- Objectives
  - Determine customer satisfaction levels used as TASI’s performance measurement
  - Additional research opportunities
    - Rating of amenities on electric trains
    - Frequency and duration of Caltrain ridership
- Methodology
  - Onboard survey
    - June 2015
    - 44 trains
      - 36 weekday trains (peak and off peak)
      - Eight Saturday trains
    - English and Spanish surveys available
  - Response
    - 3,356 completed surveys returned
    - 71 percent response rate
- Overall satisfaction (scale of one to five) [2014 numbers in brackets]
  - 3.93 [4.05]
  - 75 percent somewhat or very satisfied [81 percent]
  - 5 percent somewhat or very dissatisfied [3 percent]
- At stations
  - Functioning of lights – 4.23 [4.28]
  - Cleanliness of stations and parking lots – 3.97 [4.09]
  - Information boards – 3.85 [3.87]
  - Ease of use of Ticket Vending Machines – 3.76 [3.78]
  - Being informed of delays – 3.40 [3.42]
- Onboard
  - Conductors appearance – 4.39 [4.39]
  - Sense of personal security – 4.28 [4.35]
  - Courtesy of conductors – 4.25 [4.25]
  - Availability of printed materials – 4.14 [4.17]
  - Cleanliness of train exteriors – 4.07 [4.14]
  - On-time arrival – 3.86 [4.04]
Cleanliness of train interiors – 3.86 [3.92]
Onboard announcements – 3.63 [3.68]
Delays information – 3.58 [3.68]
Cleanliness of onboard restrooms – 3.27 [3.30]

- At stations vs. onboard
  - Riders’ overall experience with Caltrain significantly decreased in 2015
    - At stations – 3.92 [3.98]
      - 73 percent somewhat or very satisfied [77 percent]
      - 4 percent somewhat or very dissatisfied [3 percent]
    - Onboard trains – 4.00 [4.11]
      - 78 percent somewhat or very satisfied [83 percent]
      - 3 percent somewhat or very dissatisfied [2 percent]

- Electric train amenities rating (5=Very important, 1=Not at all important)
  - Onboard restrooms – 4.28
  - Onboard bike capacity – 4.17
  - Interior electronic signs – 4.13
  - High-back seats – 3.94
  - Exterior electronic sign – 3.88
  - Vinyl seats – 3.58
  - Interior electronic display – 2.8
  - Low-back seats – 2.54
  - Cloth seats – 2.52

- How long customer has been riding Caltrain
  - 5 percent one time
  - 16 percent less than six months
  - 12 percent six months to one year
  - 16 percent one year to two years
  - 19 percent two years to four years
  - 32 percent four years or more

- How often customer usually rides Caltrain
  - 7 percent six to seven days per week
  - 46 percent five days per week
  - 10 percent four days per week
  - 8 percent three days per week
  - 6 percent two days per week
  - 4 percent one day per week
  - 7 percent one to three days per month
  - 11 percent less than once per month

- 2010 to 2015 scores
  - At stations
    - 2010: 3.98
    - 2011: 3.91
    - 2012: 3.92
    - 2013: 3.97
    - 2014: 3.98
    - 2015: 3.92
  - Onboard
    - 2010: 4.09
    - 2011: 4.07
2012: 4.09
2013: 4.10
2014: 4.11
2015: 4.00
  - At stations and onboard
    2010: 4.03
    2011: 3.99
    2012: 4.01
    2013: 4.04
    2014: 4.05
    2015: 3.93
• 2010 to 2015 weighted scores
  - Stations and parking
    2010: 3.91
    2011: 3.85
    2012: 3.83
    2013: 3.90
    2014: 3.91
    2015: 3.86
  - Onboard experience
    2010: 3.96
    2011: 3.96
    2012: 3.98
    2013: 4.01
    2014: 4.03
    2015: 3.96
  - Stations and onboard
    2010: 3.94
    2011: 3.92
    2012: 3.93
    2013: 3.97
    2014: 3.99
    2015: 3.92
• Currently the verbatim comments are being analyzed and a report will be issued highlighting the most common themes
• Next steps:
  - Customer Experience Taskforce
    - Maintenance and operations
    - Customer communications
    - Conductor training
    - Incident response
    - Amenities
    - Fares
  - New timetable (April 4) to address schedule reliability, on-time arrival
  - Third bike car added to Bombardier trains to expand bicycle capacity from 48 to 72 onboard bikes
• Full report available at www.caltrain.com/surveys
Director Jeff Gee asked if there is a correlation between satisfaction and ridership. He asked to see how the switch to TASI in 2012 lines up with the weighted scores to see if there is any difference. He said when ridership numbers are compared to the weighted scores it may show how performance or dissatisfaction correlates to too many people. He hopes by increasing capacity the scores will go up.

Director Ramos said he would imagine with the economy coming back and more ridership, many new riders have a high bar of expectations for transit service. He is interested in seeing how this plays out in the long-term and would like to see the comprehensive details of the survey. He asked to get the survey details e-mailed to the Board.

Director Adrienne Tissier asked to look at the cleanliness, the maintenance, and how frequently the stations and trains are being cleaned. The volume of customers may make it harder, but Caltrain should take pride in the cleanliness and should take a look to make sure trains and stations are kept clean. She said it may have to be ramped up a bit.

Director Ken Yeager asked if there is more information about how people feel about fares and their overall satisfaction of the service. As the JPB figures out how to find additional funds to pay for all the improvements, he would want to know how much flexibility there is with the fares and if people consider that when think of their overall satisfaction.

Mr. Hartnett said purpose of the survey is not just to provide static information but to help improve the service. Staff is focusing on the things that are within their control that they can try do a better job on and work with TASI, which has responsibility for a number of these areas. That has already commenced. This is also reflective of why Caltrain is going through the electrification process with an aging fleet that is less reliable and is old. Staff has extended the life of the vehicles as far as they can go.

Chair Cisneros said one question asked about the desirability of features, and restrooms on trains scored the highest. He asked if it was clear to people that bathrooms come at a price of six or eight or more seats on each train car, which could be a cumulative loss of up to 100 seated passengers and some number of standing passengers. He would like to get more feedback from riders who are facing very crowded trains and are looking at standing-room only. They might have a different answer to that question.

Mr. Thompson said a separate survey was done in 2014 about EMUs that rated and ranked amenities against each other. There was also a recent online survey that asked the same questions from the 2014 survey to rate and rank amenities.

Chair Cisneros asked if that survey made it clear that choosing bathrooms meant giving up something else. Mr. Thompson said the question did make that clear. Mr. Hartnett said that information will be extracted so the Board will have a good summary of that issue.

Public Comment
Jeff Carter, Millbrae, said bathrooms versus seats versus bikes will be a problem as long as the JPB insists on going with only six trains per hour and six cars per train. He said he
looks forward to seeing the written comments and how the JPB will address concerns. This report was presented to the CAC and they had concerns about why the satisfaction has declined over the years. He would like to know how many times a week the typical rider uses Caltrain. That would be important information for statistical purposes.

Roland Lebrun, San Jose, said not to blame TASI for the decline in satisfaction. The reason this is happening is because of the systemic failure of planning. The Short-Range Transit Plan shows the problem is that all the Gallery cars and F40 locomotives were supposed to be replaced between 2012 and 2015. Some of these trains should have been gone four years ago. What the JPB is asking TASI to do is physically impossible. Two engines blew in February and two more blew in March. This information is stale. Things have gotten worse since this survey was done. Electrification is not the solution. The solution is Leos Novotny, CEO, Leo Express, who is proposing to pay $4 million a year to run express service on the peninsula using hybrid trains.

ASSESSMENT OF THE FISCAL YEAR (FY) 2016 FUEL HEDGING PROGRAM

Eli Kay, Chief Financial Officer, said very talented and dedicated staff work at this agency. They work extremely hard and put in long hours and persevere through hard times, including the recession, the information system implementation, and high-vacancy periods. The agency should preserve this talent and develop new talent and fill vacancies quickly to ensure the finance team remains strong, motivated, and productive. A very capable and expensive information system, People Soft, is in place today. Implementation of the system was a challenge that started in 2011 and is still ongoing. He thanked Gigi Harrington, Deputy CEO/Chief Administrative Officer, for working diligently over the years to bring this system to a reasonable state that is stable, functional and operational. There is a lot of work to be done to make sure the agency gets a good return on this investment. He is putting together a dedicated team of professionals that will take the system to a new level, train employees, review internal controls, optimize performance, and ensure an increase in productivity. Work is well underway to prepare an accurate and realistic budget for 2017 and a long-term forecast. Staff is working to plan for JPB’s ongoing and future needs in order to meet many strategic initiatives given the financial constraints. The primary constraint is that the JPB does not have a dedicated funding source in place even though the farebox recovery ratio is fantastic. The budget gap is being closed by partner contributions and the use of existing funds. As contributions diminish over the years, available funds might not be enough to continue the spectacular growth of Caltrain. Though he is not concerned with the JPB financial statements this year, as a surplus is forecasted, alternative sources of funding need to be pursued, and the finance department is ready to contribute to finding this long-term solution.

Mr. Kay said the fuel hedge was instituted for FY2016 and the goal was to cover about 50 percent of the diesel fuel consumption, which was approximately 2.3 million gallons. The program allowed the JPB to reduce uncertainty in fluctuating fuel prices. The program had a $2 cap, meaning that if fuel was purchased over $2 per gallon the hedging partners would reimburse the difference. The cost to get into this arrangement was $276,000. Fuel prices remained low, so the JPB experienced a tremendous savings of about $6.5 million, which helps with the surplus. Staff is not recommending hedging in 2017 because the fuel prices remain so low.
**LEGISLATIVE UPDATE**  
Casey Fromson, Acting Manager, Government Affairs, provided the following update:

**State**  
One major change to the CHSRA Business Plan is that the sequence of construction will move north instead of south. The initial operating segment will be between Bakersfield and San Jose by 2025, with the full route of San Francisco to Los Angeles by 2029.

**Federal**  
Appropriations committees have been looking at the president’s budget, which includes $125 million for the electrification project. This funding has strong support from the JPB’s Federal delegation, who have been sending letters of support to appropriators asking them to support the funding request.

The Federal Railroad Administration has announced it is accepting applications for competitive grant funding for Positive Train Control. There is $25 million available this year, and staff is looking at the JPB’s eligibility for those funds.

Acting FTA Administrator Therese McMillan will be leaving the FTA and will be replaced by the current Special Advisor, Carolyn Flowers, who formally worked for the Charlotte Area Transit System.

**CORRESPONDENCE**  
No discussion.

**BOARD MEMBER REQUESTS**  
None

**DATE/TIME/PLACE OF NEXT REGULAR MEETING**  
The next meeting will be Thursday, May 5, 2016, 10 a.m. at San Mateo County Transit District Administrative Building, Bacciocco Auditorium, 2nd Floor, 1250 San Carlos Avenue, San Carlos, CA 94070.

**GENERAL COUNSEL REPORT**  
Recessed to closed session at 10:59 a.m.

Reconvened to open session at 11:15 a.m.


Ms. Cassman said no action was taken on either closed session item.

Adjourned at 11:16 a.m.
TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Eli Kay
Chief Financial Officer

SUBJECT: STATEMENT OF REVENUES AND EXPENDITURES FOR THE PERIOD ENDING MARCH 31, 2016 AND SUPPLEMENTAL INFORMATION

ACTION
Staff proposes the Board of Directors accept and enter into the record the Statement of Revenue and Expenditure for the month of March 2016 and supplemental information.

SIGNIFICANCE
Revenues: Year-to-date, as of March 31, 2016, Total Operating Revenue (line 7) is $1,514,578 or 2.1 percent better than budget. Within total operating revenue, Farebox Revenue (line 1) is $1,583,154 or 2.5 percent better than budget. Compared to the prior year, Total Operating Revenue (line 7) is $3,843,530 or 5.6 percent higher.

Expense: Grand Total Expenses (line 50) show a favorable variance of $11,214,947 or 10.8 percent. The Rail Operator Service (line 23) is $571,528 or 1 percent better than budget, and Total Operating Expense (line 36) is $10,828,119 or 12.2 percent better than budget. Total Administrative Expense (line 46) is $386,808 or 2.7 percent better than budget.

Compared to prior year, Grand Total Expenses (line 50) are $8,093,690 or 9.6 percent higher.

Use of Reserves: Year-to-date, as of March 31, 2016, the Peninsula Corridor Joint Powers Board did not use its reserves, mostly due to direct savings from fuel.

BUDGET IMPACT
There are no budget revisions for the month of March 2016.

Prepared By: Jeannie Chen, Senior Accountant 650.508.6259
Sheila Tioyao, Manager, General Ledger 650.508.7752
## PENINSULA CORRIDOR JOINT POWERS BOARD
### STATEMENT OF REVENUE AND EXPENSE
#### Fiscal Year 2016
March 2016

<table>
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<tr>
<th>MONTH</th>
<th>CURRENT ACTUAL</th>
<th>PRIOR ACTUAL</th>
<th>YEAR TO DATE CURRENT ACTUAL</th>
<th>REVISED BUDGET(A)</th>
<th>% REV</th>
<th>% REV BUDGET</th>
<th>AMOUNT</th>
<th>% REV BUDGET</th>
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<tr>
<td>% OF YEAR ELAPSED</td>
<td>75.0%</td>
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</table>

### OPERATIONS:

- **Shuttles**: 555,723
- **Contract Operating & Maintenance**: 1,200
- **Professional Services**: 199,636
- **Rentals Income**: 98,045

### EXPENSE:

#### OPERATING EXPENSE:

- **Rail Operator Service**: 7,189,510
- **Rail Operator Service-Other**: -
- **Security Services**: 412,544
- **Rail Operator Extra Work**: 7,602,054
- **Shuttles Services**: 766,028
- **Fuel and Lubricants**: 584,693
- **Timetables and Tickets**: 39,978
- **Facilities and Equipment Maintenance**: 189,315
- **Utilities**: 133,129
- **Maint & Services-Bldg & Other**: 129,502

#### TOTAL OPERATING EXPENSE: 16,450,160

**Statement of Revenue and Expense:**

- **Farebox Revenue**: 7,583,668
- **Parking Revenue**: 428,751
- **Other Income**: 98,045

### GRAND TOTAL REVENUE: 8,825,823

**% REV BUDGET**: 102.1%

**EXPENSE**

- **Operational Grants**: 329,661
- **Farebox Revenue**: 1,501,519
- **Other Income**: 626,128

#### TOTAL CONTRIBUTED REVENUE: 1,624,337

**% REV BUDGET**: 64.9%

### NET SURPLUS / (DEFICIT):

- **Farebox Revenue**: 1,339,304
- **Insurance**: 5,208,717
- **Contract Operating & Maintenance**: 1,200

#### TOTAL CONTRIBUTED REVENUE: 82,533,540

**% REV BUDGET**: 102.5%

### ADMINISTRATIVE EXPENSE:

- **Wages and Benefits**: 678,881
- **Managing Agency Admin OH Cost**: 539,356
- **Board of Directors**: 1,200
- **Professional Services**: 352,157
- **Communications and Marketing**: 18,576
- **Other Expenses and Services**: 347,055

#### TOTAL ADMINISTRATIVE EXPENSE: 1,937,224

**% REV BUDGET**: 97.3%

### NET SURPLUS / (DEFICIT):

- **Farebox Revenue**: 4,974,295
- **Other Income**: 1,099,641

#### NET SURPLUS / (DEFICIT): (1,368,610)

**% REV BUDGET**: -

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‘% OF YEAR ELAPSED’ provides a general measure for evaluating overall progress against the annual budget. When comparing it to the amounts shown in the ‘% REV BUDGET’ column, please note that individual line items reflect variations due to seasonal activities during the year.

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

4/25/16 2:30 PM
## PENINSULA CORRIDOR JOINT POWERS BOARD

### INVESTMENT PORTFOLIO

#### AS OF MARCH 31, 2016

<table>
<thead>
<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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<td>Local Agency Investment Fund (Restricted)</td>
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<td>Liquid Cash</td>
<td>0.506%</td>
<td>$ 2,000,000</td>
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<tr>
<td>Local Agency Investment Fund (Unrestricted)</td>
<td>*</td>
<td>Liquid Cash</td>
<td>0.506%</td>
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<td>County Pool (Unrestricted)</td>
<td>**</td>
<td>Liquid Cash</td>
<td>0.876%</td>
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<td>Other (Unrestricted)</td>
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<td>Other (Restricted)</td>
<td>***</td>
<td>Liquid Cash</td>
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<td>22,747,855</td>
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<td>$51,729,194</td>
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Accrued Earnings for March 2016         $ 8,570.99  
Cumulative Earnings FY2016              $ 99,402.17

(1) Earnings do not include prior period adjustments

* The market value of Local Agency Investment Fund (LAIF) was derived from the fair value factor of 1.000594646 as reported by LAIF for quarter ending September 30, 2015.

** As of March 2016, the total cost of the Total County Pool was $4,642,000,539.66 and the fair market value per San Mateo County Treasurer's Office was $4,656,993,754.62.

*** Prepaid Grant funds for Homeland Security and PTMISEA 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.
TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Michael Burns
Interim Chief Officer, Caltrain Planning/CalMod Program

SUBJECT: EXECUTION OF A SEVEN-PARTY REGIONAL FUNDING SUPPLEMENT TO THE 2012 NINE-PARTY MEMORANDUM OF UNDERSTANDING (MOU) FOR THE PENINSULA CORRIDOR ELECTRIFICATION PROJECT (PCEP)

ACTION
Staff Coordinating Council recommends the Board authorize the Executive Director to execute a seven-party regional funding supplement to the 2012 Nine-Party MOU for the PCEP. This Seven-Party MOU Supplement (MOU Supplement) includes additional financial commitments to address a portion of the PCEP funding gap by the following parties:

- Metropolitan Transportation Commission (MTC)
- Peninsula Corridor Joint Powers Board (JPB)
- Santa Clara Valley Transportation Authority (VTA)
- San Mateo County Transportation Authority (TA)
- San Francisco County Transportation Authority (SFCTA)
- City and County of San Francisco (CCSF)
- California High Speed Rail Authority (CHSRA)

This recommendation seeks the authority for the JPB to enter into the MOU Supplement in substantially the same form as is attached. This MOU has been reviewed and discussed by staff of the respective funding partners for many months. The MOU Supplement is consistent with the key principles outlined in the 2012 Nine-Party MOU, attached as Exhibit A.

SIGNIFICANCE
The 2012 Nine-Party MOU for the PCEP identifies funding commitments of approximately $1.2 billion, including $125 million in Federal Transit Administration (FTA) funds. However, the $125 million in FTA funds are needed by the JPB to advance critical state of good repair improvements necessary to maintain existing Caltrain operations, and the JPB requested to remove these funds from the early investment funding strategy. The 2012 Nine-Party MOU allows funding sources to be substituted if alternative sources are secured to replace them.
The JPB conducted a cost estimate study for the PCEP in 2014 to update the 2008 cost estimate on which the 2012 Nine-Party MOU funding strategy for the PCEP was based, and the JPB has since included additional program contingency to the PCEP, such that the total anticipated budget for the PCEP is $1.98 billion, which includes costs covering the contracts, program management, and contingency costs.

The parties to this Seven-Party MOU Supplement have committed to provide the following additional funding sources to PCEP:

- $28.4 million from MTC
- $9 million from JPB (California’s Low Carbon Transit Operations Program)
- $20 million from VTA
- $20 million from the TA
- $20 million from SFCTA/CCSF
- $113 million from CHSRA

For VTA, TA and SFCTA and/or CCSF, each agency’s contribution is contingent upon the $20 million each from the other two JPB partners, with the exact manner and timing of the contributions to be worked out with the JPB.

The remaining gap is to be closed by the FTA Core Capacity Grant. The parties to the MOU Supplement support the JPB’s efforts to obtain $647 million from FTA’s Core Capacity Grant Program for the PCEP as a regional priority. The $647 million would help provide funding needed for the PCEP.

The parties to the MOU Supplement also understand JPB has requested $225 million from the California State Transportation Agency’s Transit & Intercity Rail Capital Program (Cap & Trade TIRCP) to help supplement funding needed for the PCEP, as contemplated in the 2012 Nine-Party MOU, as well as funding to replace the remaining Caltrain diesel vehicles with Electric Multiple Units. The exact remaining number of vehicles to be replaced will be contingent on the final Cap & Trade TIRCP grant award.

The total anticipated amount of funding to be secured for the PCEP will be $1.980 billion; the revised funding plan for the PCEP reflecting these changes is attached as Exhibit B.

If overall program costs reflect financial commitment that is below the $1.98 billion cost estimate, funding commitments from the parties to this Supplement will be reduced proportionally according to their respective additional shares as stated in this Supplement.

And if overall program costs reflect a financial commitment that is above the funding plan of $1.980 billion, or if the FTA Core Capacity funds are awarded at less than $647 million, the parties to this Supplement will discuss with all parties to the 2012 Nine-Party MOU how to secure additional funding beyond what is presently identified, and/or discuss project scope adjustments to match to funding availability.
**BUDGET IMPACT**
The authority to execute the MOU Supplement has no impact to the adopted Fiscal Year 2016 budgets. Staff will increase the annual Caltrain capital budgets as needed to provide sufficient budget authority for PCEP in subsequent budget years.

**BACKGROUND**
During the spring of 2012, the CHSRA and JPB, together with the MTC, VTA, TA, SFCTA, CCSF, city of San Jose, and the Transbay Joint Powers Authority, entered into an MOU that adopted an early investment strategy pertaining to the Blended System in the San Francisco to San Jose Segment of the Peninsula Rail Corridor referenced as the 2012 Nine-Party MOU.

The 2012 Nine-Party MOU identifies two principal inter-related projects as essential to the early investment strategy. They are the Corridor Electrification and associated rolling stock acquisition (PCEP) and construction of an advanced signal system, commonly known as the Communications-Based Overlay Signal System Positive Train Control Project.

The parties to the 2012 Nine-Party MOU agreed to work together to identify funding to implement the PCEP. The parties also agreed to coordinate efforts to obtain funding using a mutually agreed-upon strategy, and in the event that funding for the program is constrained by statute, rescission of existing law, change in funding requirements or eligibility, reduction in funding level or availability, the parties agreed to take steps to notify each other as needed in a timely manner.

Prepared By: April Chan, Chief Officer, Planning, Grants and the Transportation Authority

650.508.6228
SEVEN PARTY SUPPLEMENT TO
2012 MEMORANDUM OF UNDERSTANDING (MOU)

FINANCIAL COMMITMENTS TO ADDRESS FUNDING GAP FOR
THE PENINSULA CORRIDOR ELECTRIFICATION PROJECT

BY AND AMONG THE FOLLOWING PARTIES (PARTIES)

SAN MATEO COUNTY TRANSPORTATION AUTHORITY (SMCTA)
SANTA CLARA VALLEY TRANSPORTATION AUTHORITY (VTA)
CITY AND COUNTY OF SAN FRANCISCO (CCSF)
SAN FRANCISCO COUNTY TRANSPORTATION AUTHORITY (SFCTA)
METROPOLITAN TRANSPORTATION COMMISSION (MTC)
PENINSULA CORRIDOR JOINT POWERS BOARD (JPB)
CALIFORNIA HIGH SPEED RAIL AUTHORITY (CHSRA)
RECITALS

WHEREAS, during the spring of 2012, the California High Speed Rail Authority (CHSRA) and the Peninsula Corridor Joint Powers Board (PCJPB), together with the Metropolitan Transportation Commission (MTC), the San Francisco County Transportation Authority (SFCTA), the Santa Clara Valley Transportation Authority (VTA), the City of San Jose, the City and County of San Francisco (CCSF), the San Mateo County Transportation Authority (SMCTA), and the Transbay Joint Powers Authority entered into a Memorandum of Understanding that adopted an early investment strategy pertaining to the Blended System in the San Francisco to San Jose Segment of the Peninsula Rail Corridor (the "2012 Nine-Party MOU"), a copy of which is attached hereto as Exhibit A and incorporated herein by this reference;

WHEREAS, the 2012 Nine-Party MOU identifies two principal inter-related projects as essential to the early investment strategy: (1) the Peninsula Corridor Electrification Project, including associated rolling stock acquisition (the PCEP), and (2) construction of an advanced signal system, commonly known as the PCJPB's "CBOSS" project, which will incorporate federally mandated Positive Train Control (collectively, the "Early Investment Projects");

WHEREAS, the Parties to the 2012 Nine-Party MOU agreed to work together to identify the appropriate amounts and types of local resources that may be used to support the completion of the Early Investment Projects and to coordinate efforts to obtain funding using a mutually agreed-upon strategy, and in the event that funding for the program is constrained by statute, rescission of existing law, change in funding requirements or eligibility, reduction in funding level or availability, the Parties agreed to take steps to notify each other as needed in a timely manner;

WHEREAS, $125 million in FTA funds identified in the 2012 Early Investment Strategy funding plan included in the 2012 Nine-Party MOU is needed by the PCJPB to advance critical state of good repair improvements necessary to maintain existing Caltrain operations, and the PCJPB has requested to remove these funds from the early investment funding strategy, which would create a $125 million funding gap; and

WHEREAS, a note to the 2012 early investment strategy funding plan included in the 2012 Nine-Party MOU indicated that other potential future funding sources could be substituted if secured;

WHEREAS, the PCJPB conducted a cost estimate study for the PCEP in 2014 to update the 2008 cost estimate on which the 2012 Nine-Party MOU funding strategy for the PCEP was based, and the PCJPB has since included additional program contingency to the PCEP, such that the total anticipated budget for the PCEP is up to $1.980 billion, which includes costs covering the contracts, program management, and contingency costs;

WHEREAS, the Parties to this Seven-Party Supplement (Supplement) have met and discussed with all parties to the 2012 Nine-Party MOU additional funding needed for the PCEP to support contract award and have agreed to the funding commitments specified herein;

NOW, THEREFORE, it is mutually understood and agreed to by the PARTIES as follows:

1. To fully fund the PCEP, the parties to this Supplement commit to make the funding available to support the PCEP as set forth below. This funding is in addition to funding commitments
previously made by these parties in the 2012 Nine-Party MOU.

a. The SMCTA will contribute an additional $20 million;

b. The VTA will contribute an additional $20 million;

c. The SFCTA and/or the CCSF will contribute an additional $20 million;

(For SMCTA, VTA, and SFCTA and/or CCSF, each agency's contribution is contingent upon the $20 million each from the other two JPB partners, with the exact manner and timing of the contributions to be worked out with the JPB.)

d. The MTC will program $28.4 million from Regional Measures 1 and 2;

e. The PCJPB will contribute $9 million from funding provided by formula to Caltrain through the State of California’s Low Carbon Transit Operations Program; and

f. The CHSRA will contribute an additional $113 million.

2. The Parties to this Supplement also support the PCJPB’s efforts to obtain $647 million from FTA’s Core Capacity Grant Program for the PCEP as a regional priority. The $647 million would help provide funding needed for the PCEP, as well as funding to support a larger contingency set-aside for the PCEP program.

3. The Parties to this Supplement understand PCJPB has requested $225 million from the California State Transportation Agency’s Transit & Intercity Rail Capital Program (Cap & Trade TIRCP) to help supplement funding needed for the PCEP, as contemplated in the 2012 Nine-Party MOU, as well as funding to replace the remaining Caltrain diesel vehicles with Electric Multiple Units (EMUs). The exact remaining number of vehicles to be replaced will be contingent on the final Cap & Trade TIRCP grant award.

4. The parties to this Supplement also agree that, with the additional funding sources, $125 million in FTA funds identified in the 2012 Early Investment Strategy funding plan will no longer be needed for the PCEP, and will instead be programmed by the MTC to the JPB to advance critical Caltrain state of good repair improvements through MTC’s established regional Transit Capital Priorities process.

5. The total anticipated amount of funding to be secured for the PCEP will be $1.980 billion, which includes the funding sources outlined above in paragraphs 1, 2, and 3, along with the original funding sources in the 2012 Nine-Party MOU except the $125 million noted in paragraph 4 above. The revised funding plan for the PCEP reflecting the changes described herein is attached as Exhibit B.

6. The parties to this supplement agree to continue, through regular meetings, to provide opportunity for all nine parties to the 2012 Nine-Party MOU to discuss, review, and/or comment on relevant project matters and collectively provide advisory oversight to help advance the PCEP.

7. If overall program costs reflect a financial commitment that is below the funding plan of $1.980 billion, funding commitments from the parties to this Supplement will be reduced proportionally according to their respective additional shares as stated in this Supplement.
8. In the event overall program costs reflect a financial commitment that is above the funding plan of $1.980 billion, or if the FTA Core Capacity funds are awarded at less than $647 million, the parties to this Supplement will discuss with all parties to the 2012 Nine-Party MOU how to secure additional funding beyond what is presently identified, and/or discuss project scope adjustments to match to funding availability.

9. The parties to the 2012 Nine-Party MOU will also discuss and agree on program oversight roles for the funding partners prior to the award of the PCEP contracts.
IN WITNESS WHEREOF, this MOU has been executed by the PARTIES hereto as of the day and year indicated next to each signature, with the final signature date constituting the effective date.

<table>
<thead>
<tr>
<th>Name</th>
<th>Title/Position</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Jim Hartnett, Executive Director</td>
<td>Peninsula Corridor Joint Powers Board and</td>
<td></td>
</tr>
<tr>
<td></td>
<td>San Mateo County Transportation Authority</td>
<td></td>
</tr>
<tr>
<td>Nuria Fernandez, General Manager/CEO</td>
<td>Santa Clara Valley Transportation Authority</td>
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<tr>
<td>Edwin M. Lee, Mayor</td>
<td>City and County of San Francisco</td>
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<tr>
<td>Tilly Chang, Executive Director</td>
<td>San Francisco County Transportation Authority</td>
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<tr>
<td>Steve Heminger, Executive Director</td>
<td>Metropolitan Transportation Commission</td>
<td></td>
</tr>
<tr>
<td>Jeff Morales, Chief Executive Officer</td>
<td>California High Speed Rail Authority</td>
<td></td>
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</table>
APPROVED AS TO FORM BY:

<table>
<thead>
<tr>
<th>Attorney for Peninsula Corridor Joint Powers Board and San Mateo County Transportation Authority</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Attorney for Santa Clara Valley Transportation Authority</td>
<td>Date</td>
</tr>
<tr>
<td>Attorney for City and County of San Francisco</td>
<td>Date</td>
</tr>
<tr>
<td>Attorney for San Francisco County Transportation Authority</td>
<td>Date</td>
</tr>
<tr>
<td>Attorney for Metropolitan Transportation Commission</td>
<td>Date</td>
</tr>
<tr>
<td>Attorney for California High Speed Rail Authority</td>
<td>Date</td>
</tr>
</tbody>
</table>
MEMORANDUM OF UNDERSTANDING (MOU)

HIGH SPEED RAIL EARLY INVESTMENT STRATEGY FOR A BLENDED SYSTEM IN THE SAN FRANCISCO TO SAN JOSE SEGMENT KNOWN AS THE PENINSULA CORRIDOR OF THE STATEWIDE HIGH-SPEED RAIL SYSTEM

BY AND AMONG THE FOLLOWING PARTIES (PARTIES)

CALIFORNIA HIGH SPEED RAIL AUTHORITY (AUTHORITY)
METROPOLITAN TRANSPORTATION COMMISSION (MTC)
PENINSULA CORRIDOR JOINT POWERS BOARD (JPB)
SAN FRANCISCO COUNTY TRANSPORTATION AUTHORITY (SFCTA)
SAN MATEO COUNTY TRANSPORTATION AUTHORITY (SMCTA)
SANTA CLARA VALLEY TRANSPORTATION AUTHORITY (VTA)
CITY OF SAN JOSE
CITY AND COUNTY OF SAN FRANCISCO
TRANSBAY JOINT POWERS AUTHORITY (TJPA)
Recitals

Whereas, the California High-Speed Rail AUTHORITY (AUTHORITY) is responsible for planning, building and maintaining an 800-mile statewide high-speed rail system and improved mobility through the development of safe, clean, reliable rail technology; and

Whereas, the AUTHORITY, in partnership with the Federal Railroad Administration is advancing a California High-Speed Train (HST) network that links the major metropolitan areas of the State of California utilizing corridors into and through Southern, Central and Northern California; and

Whereas, the AUTHORITY has responsibility for planning, construction and operation of high-speed passenger train service in California and is exclusively charged with accepting grants, fees and allocations from the state, from political subdivisions of the state and from the federal government, foreign governments, and private sources; and

Whereas, the AUTHORITY’s 2012 Business Plan proposes to incrementally develop the HST system utilizing a blended system approach that will coordinate the development and operations of HST with existing passenger rail systems that improves, enhances and expands the integration of high-speed and regional/local passenger rail systems; and

Whereas, this blended approach requires a series of incremental investments in the Peninsula corridor to prepare for integrated service and operations and the AUTHORITY recognizes the need for a collaborative effort with regional and local agencies to identify early investment projects along existing rail corridors that improves service, improves safety and efficiency, and creates linkages between HST and local passenger rail service; and

Whereas, a blended system will remain substantially within the existing Caltrain right-of-way and will accommodate future high-speed rail and modernized Caltrain service along the Peninsula corridor by primarily utilizing the existing track configuration on the Peninsula; and

Whereas, this MOU is specific to project investments that upgrade existing rail service and prepare for a future high-speed train project that is limited to infrastructure necessary to support a blended system, which will primarily be a two-track system shared by both Caltrain and high-speed rail and will be designed to continue to support existing passenger and freight rail tenants; and

Whereas, local transportation improvement projects are required to be included in a Regional Transportation Plan (Plan), and the Metropolitan Transportation Commission, working closely with local agencies is charged with developing the Plan every four years to provide guidance for transportation investments within the Bay Area and with development of regional transportation strategies to address the needs of the San Francisco Bay Area; and

Whereas, on December 19, 2001, MTC adopted the Regional Transit Expansion Program of Projects (Resolution 3434) which includes the Transbay Transit Center Phase 2 Downtown Extension and Caltrain Electrification projects as regional priorities for transit expansion; and

Whereas, the Sustainable Communities and Climate Protection Act of 2008 (SB 375, Steinberg, Statutes of 2008) requires the Plan to include a Sustainable Communities Strategy (SCS), showing evidence of integrated planning, goals that establish and strengthen the crucial linkages between the economy, land use development and the regional transportation system to improve access to jobs, education, healthcare, and other amenities in ways that improve the overall quality of life in the Bay Area and the blended system on the Peninsula corridor in the California High-Speed Rail program are consistent with achieving SB 375 goals to reduce greenhouse gas emissions; and
Whereas, all Parties are involved in the planning, funding, construction and/or operation of heavy and light rail transit, buses, and/or commuter train services in the Peninsula corridor and are considering intermodal service integration, including linkages to the proposed HST service; and

Whereas, it is the intent and purpose of this MOU to strengthen the working relationship between the PARTIES to facilitate the development and implementation of passenger rail improvements that will improve local passenger rail service and operations while preparing designated HST corridors for eventual HST operation to achieve region wide systems integration of rail service in Northern California; and

Whereas, local transportation improvement projects are required to be environmentally evaluated according to CEQA and NEPA regulations and where necessary, existing environmental approval covering incremental improvements to the Peninsula corridor will be updated to reflect evolving local and regional conditions and concerns; and

Whereas, incremental improvements and the blended system project will be planned, designed and constructed in a way that supports local land use and Transit Oriented Development policies along the Peninsula corridor; and

Now, THEREFORE, it is mutually understood and agreed to by the PARTIES as follows:

To jointly support and pursue the implementation of a statewide high speed rail system that utilizes a blended system and operational model on the Peninsula corridor and that has its northern terminus at the Transbay Transit Center in San Francisco as specified in law, and it’s southern limit at Mile Post 51.4 at the Tamien Station in San Jose. The blended system will support and benefit operation of both Caltrain and future high speed train service.

To jointly recognize a defined set of Inter-related Program of Projects that are consistent with the AUTHORITY’s phased implementation plan, are consistent with a blended system operation of the corridor and achieve objectives that include but are not limited to system capacity and connectivity for Caltrain, HST and freight, public safety, operational efficiency, effectiveness and connectivity.

To generally describe, identify and work to fully fund an Inter-related Program of Projects known as the Corridor Electrification Infrastructure Project, Advanced Signal System (also known as Positive Train Control), the Downtown Extension to the Transbay Transit Center, which is the Proposition 1A designated northern terminus of high-speed rail, new high-speed stations at San Jose Diridon Station and a Millbrae BART/Caltrain Station with a connection to San Francisco International Airport, and a Core Capacity project of needed upgrades to stations, tunnels, bridges, potential passing tracks and other track modifications and rail crossing improvements including improvements and selected grade separations required to accommodate the mixed traffic capacity requirements of high-speed rail service and commuter services.

To recognize that of the set of Inter-related Program of Projects, the most substantial and tangible early-investment benefits will be realized when two essential projects are identified for an Initial Investment Strategy to secure, at the earliest possible date, the benefits of the blended system for the traveling public and an Initial Investment Strategy is needed to provide the groundwork upon which future construction can more readily progress.

To recognize that the two Inter-related projects for Initial Investment Strategy are the Corridor Electrification Infrastructure Project that includes the needed rolling stock to operate revenue service; and the Advanced Signal System project and to adopt as part of this MOU, the funding plans needed to move as expeditiously as possible toward construction of these two essential projects.
To work toward the implementation of the Initial Investment Strategy to the maximum extent feasible and that the PARTIES shall endeavor to incorporate the Electrification Infrastructure and Advanced Signal System projects into their respective plans and that the AUTHORITY shall reflect this MOU in its Business Plan by December 31, 2012.

That the aforementioned projects will need to be environmentally analyzed and cleared according to CEQA and NEPA guidelines as appropriate, including updating and recirculation of the Caltrain Electrification EA/FEIR completed in 2009.

That the AUTHORITY will endeavor in good faith to secure approval and release of $600 million of Proposition 1A funds and $106 million of Proposition 1A “connectivity” funds consistent with the funding plans contained in this MOU as required to complete at the earliest possible date, the Corridor Electrification Infrastructure and Advanced Signal System projects.

That the AUTHORITY will endeavor in good faith to secure approval of Proposition 1A “connectivity” funds for Bay Area project sponsors consistent with and in accordance with the schedule and project expenditure plan approved and as amended by the California Transportation Commission.

That the AUTHORITY will work with funding partners to assist in seeking and releasing the funds necessary to implement the Electrification Infrastructure Project and Advanced Signal System project. Local agencies may provide local funds, real property, or in-kind resources as matching funds where matching funds are required to qualify for grant funds. PARTIES agree to work together to identify the appropriate amounts and types of local resources that may be used to support the completion of the Electrification Infrastructure Project and the Advanced Signal System Project.

That the AUTHORITY and appropriate PARTIES will coordinate to obtain funding using a mutually agreed-upon strategy. In the event that funding for the program is constrained by statute, rescission of existing law, change in funding requirements or eligibility, reduction in funding level or availability, the AUTHORITY and the PARTIES shall takes steps notify each other as needed in a timely manner.
# FUNDING PLAN

## Program Costs and Proposed Funding for Peninsula Corridor Projects: Electrification and Advance Signal System

### Program Costs

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<thead>
<tr>
<th>Program Costs</th>
<th>(in $ millions, year of expenditure)</th>
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<tr>
<td>Advance Signal System / Positive Train Control (PTC)</td>
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<tr>
<td>Electrification and Electric Multiple Units (EMUs)</td>
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<tr>
<td><strong>Total</strong></td>
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### Program Funding

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<th>Amount</th>
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<td>JPB Contributions</td>
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<td>JPB Local - Currently Available</td>
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<td>Caltrain PTC</td>
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<td><strong>Subtotal Local</strong></td>
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<td>Prop 1A Connectivity</td>
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<td>Prop 1A High Speed Rail Authority</td>
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<td>Prop 1B Caltrain</td>
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<td><strong>Subtotal State</strong></td>
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<td>Federal RR Admin. for PTC</td>
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<td>Federal Transit Admin prior/current obligations</td>
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<td>Federal Transit Admin future obligations</td>
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<tr>
<td><strong>Subtotal Federal</strong></td>
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<td>MTC Bridge Tolls</td>
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<td>BAAQMD Carl Moyer</td>
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<tr>
<td><strong>Subtotal Regional</strong></td>
<td>$31</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$1,456</strong></td>
</tr>
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</table>

**Funding Plan Notes:**

1. Caltrain Joint Powers Board (JPB) Local Contribution is $60 million from San Mateo sales tax, $60 million from VTA sales tax, and $60 million from San Francisco ($23 million from sales tax, $37 million from Regional Transportation Improvement Program (RTIP)/local/other). Each agency’s contribution, including Proposition 1A Connectivity funds as outlined in Note 2, is contingent upon the $60 million from the other two JPB partners.
2. Prop 1A Connectivity is $42 million from Caltrain, $26 million from VTA, and $38 million from BART (2nd priority for BART after receipt of $150 million for railcars).
3. Prop 1B Caltrain is $20 million Public Transportation Modernization, Improvement, and Service Enhancement Account (PTMSEA), $4 million State-Local Partnership Program (SLPP).
4. FTA Prior/Current Obligations is $16 million for electrification in prior years, $27 million for EMUs in FY12.
5. FTA Future Obligations is $215 million for electric multiple units (EMUs), $125 million from fixed guideway caps. Funds will be programmed in accordance with MTC Transit Capital Priorities process between approximately FY2012-2013 and FY2022-2023.
6. Bridge Tolls is from Regional Measure 1 (RMI) West Bay Rail Reserve.
7. Bay Area Air Quality Management District (BAAQMD) funds to be confirmed.
8. Assumes that all local sources, Prop 1B PTMSEA, all federal sources, and bridge tolls can be used as match to Prop 1A funds, totaling $726 million in matching funds for $706 million in Prop 1A funds.
9. Other potential future funding sources could be substituted if secured, including federal Transportation Investment Generating Economic Recovery (TIGER) funds (such as current Caltrain application for $44 million), State Interregional Transportation Improvement Program (ITIP) funds, and private financing.
IN WITNESS WHEREOF, this MOU has been executed by the PARTIES hereto as of the day and year indicated next to each signature, with the final signature date constituting the effective date.

<table>
<thead>
<tr>
<th>Name</th>
<th>Title</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Jeff Morales, Chief Executive Officer</td>
<td>California High Speed Rail Authority</td>
<td>9/18/2012</td>
</tr>
<tr>
<td>Steve Heminger, Executive Director</td>
<td>Metropolitan Transportation Commission</td>
<td>9/18/2012</td>
</tr>
<tr>
<td>Michael J. Scanlon, Executive Director</td>
<td>Peninsula Corridor Joint Powers Board and San Mateo County Transportation Authority</td>
<td>9/21/2012</td>
</tr>
<tr>
<td>Jose Luis Moscovich, Executive Director</td>
<td>San Francisco County Transportation Authority</td>
<td>10/15/12</td>
</tr>
<tr>
<td>Michael Burns, General Manager</td>
<td>Santa Clara Valley Transportation Authority</td>
<td>11/27/12</td>
</tr>
<tr>
<td>Debra Figone, City Manager</td>
<td>City of San Jose</td>
<td>12/12/12</td>
</tr>
<tr>
<td>Edwin M. Lee, Mayor</td>
<td>City and County of San Francisco</td>
<td>1/15/13</td>
</tr>
<tr>
<td>Maria Ayerdi-Kaplan, Executive Director</td>
<td>Transbay Joint Powers Authority</td>
<td>1/25/13</td>
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Page 6 of 6
### Projected Costs

<table>
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<tr>
<th></th>
<th>9-Party MOU Funding Strategy</th>
<th>Changes in the 7-Party Supplemental MOU</th>
<th>Revised Costs &amp; Funding Sources</th>
<th>CBOSS</th>
<th>PCEP</th>
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<td>1,225.0</td>
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<td>1,980.0</td>
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<td>231.0</td>
<td>231.0</td>
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<td>755.0</td>
<td>2,211.0</td>
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<td>1,980.0</td>
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### Funding Sources

<table>
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<tr>
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<th>CBOSS</th>
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<tr>
<td>JPB Member Contributions</td>
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### Notes

1. The parties to the Seven-Party Supplement to 2012 Memorandum of Understanding recognize that the JPB has requested State Cap & Trade TIRCP funds to help fund the PCEP. Of the $225m requested, $20m is identified to help close the funding gap in the $1.98 billion project cost estimate for PCEP.

2. The $2.8m represents a FHWA grant (Railwy/Hwy Hazard Elimination) for the CBOSS project that was secured after the 2012 MOU execution. This amount is not included in the 7-party MOU since the funding is for the CBOSS project.

3. $647 million in FTA Core Capacity funds would help close the funding gap for PCEP, as well as providing funding to support a larger contingency set-aside for PCEP.
RESOLUTION NO. 2016 –
BOARD OF DIRECTORS, PENINSULA CORRIDOR JOINT POWERS BOARD
STATE OF CALIFORNIA

* * *

AUTHORIZING EXECUTIVE DIRECTOR TO EXECUTE A SEVEN-PARTY REGIONAL FUNDING SUPPLEMENT TO THE 2012 NINE-PARTY MEMORANDUM OF UNDERSTANDING (MOU) FOR THE PENINSULA CORRIDOR ELECTRIFICATION PROJECT (PCEP)

WHEREAS, in spring of 2012, the California High-Speed Rail Authority (CHSRA) and the Peninsula Corridor Joint Powers Board (JPB), together with the Metropolitan Transportation Commission (MTC), the Santa Clara Valley Transportation Authority (VTA), the San Mateo County Transportation Authority (TA), the San Francisco County Transportation Authority (SFCTA), the city and county of San Francisco (CCSF), the city of San Jose, and the Transbay Joint Powers Authority entered into an MOU that adopted an early investment strategy pertaining to the Blended System in the San Francisco to San Jose Segment of the Peninsula Rail Corridor referred to as the “2012 Nine-Party MOU”; and

WHEREAS, the 2012 Nine-Party MOU identifies two principal inter-related projects as essential to the early investment strategy: (1) Corridor Electrification and associated rolling stock acquisition referred to as PCEP, and (2) construction of an advanced signal system, commonly known as Communications-Based Overlay Signal System Positive Train Control; and

WHEREAS, the 2012 Nine-Party MOU identifies approximately $1.2 billion of funding for the PCEP from multiple grant sources, including $125 million in Federal Transit Administration (FTA) funds that JPB needs to advance critical state of good repair improvements for the Caltrain system; and
WHEREAS, a note to the 2012 Nine-Party MOU indicated that other potential future sources could be substituted if secured; and

WHEREAS, the JPB conducted a cost estimate study for PCEP in 2014 to update the 2008 cost estimate on which the 2012 Nine-Party MOU funding strategy for the PCEP was based, and the JPB has since included additional program contingency to the PCEP, such that the total anticipated budget for the PCEP is up to $1.980 billion, which includes costs covering the contracts, program management, and contingency; and

WHEREAS, seven of the agencies to the 2012 Nine-Party MOU have agreed to make additional funding commitments to the PCEP to support contracts award.

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the JPB hereby delegates authority to the Executive Director to execute a Seven-Party Supplement to the 2012 Nine-Party MOU in substantially the same form as is attached, which establishes the following additional funding commitments for the PCEP:

- MTC for $28.4 million from Regional Measures 1 and 2
- JPB for $9 million from funding provided by formula to Caltrain through the State of California’s Low Carbon Transit Operations Program
- VTA for an additional $20 million
- TA for an additional $20 million
- SFCTA/CCSF for an additional $20 million
- CHSRA for an additional $113 million

For VTA, TA and SFCTA and/or CCSF, each agency’s contribution is contingent upon the $20 million each from the other two JPB partners, with the exact manner and timing of the contributions to be worked out with the JPB.

The Parties to the Seven-Party Supplement are making the commitments with the understanding that the following determinations and conditions shall apply:
1. The remainder of the funding gap is to be addressed by $647 million from FTA’s Core Capacity Grant Program and $20 million from the State of California’s Transit and Intercity Rail Capital Program; and

2. The Seven-Party Supplement will be consistent with the key principles outlined in the 2012 Nine-Party MOU; and

3. If overall program costs reflect a financial commitment that is below the $1.980 billion cost estimate, funding commitments from the parties to this Seven-Party Supplement will be reduced proportionally to their respective commitments; and

4. If overall program costs reflect a financial commitment that is above the funding plan of $1.980 billion, or if the FTA Core Capacity funds are awarded at less than $647 million, the parties to this Supplement will discuss with all parties to the 2012 Nine-Party MOU how to secure additional funding beyond what is presently identified, and/or discuss project scope adjustments to match to funding availability.

Regularly passed and adopted this 5th day of May, 2016 by the following vote:

AYES:

NOES:

ABSENT:

__________________________
Chair, Peninsula Corridor Joint Powers Board

__________________________
JPB Secretary
AGENDA ITEM # 9
MAY 5, 2016

PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Michael Burns
Interim Chief Officer, Caltrain Planning/CalMod Program

SUBJECT: COMPREHENSIVE AGREEMENT WITH THE CALIFORNIA STATE DEPARTMENT OF TRANSPORTATION (CALTRANS) IN SUPPORT OF THE PENINSULA CORRIDOR ELECTRIFICATION PROJECT (PCEP)

ACTION
Staff Coordinating Council recommends the Board authorize the Executive Director to execute a Comprehensive Agreement with Caltrans for the PCEP.

SIGNIFICANCE
The Comprehensive Agreement is intended to memorialize the parties' consultation and cooperation, designate their respective rights and obligations, and ensure cooperation between the Peninsula Corridor Joint Powers Board (JPB) and Caltrans in connection with the design and construction of the PCEP. The Comprehensive Agreement proposes to reimburse plan review and inspection costs that may be incurred by Caltrans in connection with Caltrans-owned facilities affected by the implementation of the PCEP. The cost of the effort by Caltrans has been estimated at $800,000.

BUDGET IMPACT
There is no impact on the budget.

The costs for design-review, associated permit and inspection costs to be incurred by Caltrans are included in the PCEP overall project cost estimate.

BACKGROUND
The PCEP is a key component of the Caltrain Modernization Program. The PCEP will electrify the Caltrain Corridor from San Francisco’s 4th and King Caltrain Station to the vicinity of the Tamien Caltrain Station, convert diesel-hauled to Electric Multiple Unit trains, and increase service up to six Caltrain trains per peak hour per direction.
The JPB completed the PCEP Federal clearance in 2009 and State environmental clearance in January 2015. Subsequently, in February 2015, the JPB authorized the issuance of the PCEP Project Design Build Request for Proposals to engage a Design-Build Contractor to construct the PCEP. The award of the Design-Build Contract is anticipated to occur in the summer/fall 2016.

The Comprehensive Agreement will help facilitate the design and construction of the PCEP by defining the roles and responsibilities among Caltrans, the JPB and the design-build contractor relative to implementation of the PCEP.

Prepared By: Zhenlin Guan, Project Manager 650.508.7976
RESOLUTION NO. 2016 –

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

***

AUTHORIZING THE EXECUTIVE DIRECTOR TO EXECUTE A COMPREHENSIVE AGREEMENT WITH THE CALIFORNIA STATE DEPARTMENT OF TRANSPORTATION (CALTRANS) TO SUPPORT THE PENINSULA CORRIDOR ELECTRIFICATION PROJECT (PCEP)

WHEREAS, on January 8, 2015, pursuant to Resolution No. 2015-03, the Peninsula Corridor Joint Powers Board (JPB) certified the Final Environmental Impact Report (FEIR) for the PCEP and pursuant to Resolution No. 2015-04, the JPB approved the PCEP and adopted California Environmental Quality Act findings of fact, a statement of overriding considerations, and a mitigation monitoring and reporting plan; and

WHEREAS, on February 5, 2015, pursuant to Resolution No. 2015-08, the JPB authorized the issuance of the PCEP Project Design-Build Request for Proposals to engage a Design-Build Contractor to construct the PCEP; and

WHEREAS, the JPB desires to work with Caltrans to facilitate the design and construction of the PCEP and wishes to memorialize in an agreement the interagency cooperation and on-going consultation that will take place during implementation of the PCEP; and

WHEREAS, the JPB is working with Caltrans to develop procedures to: (1) cooperate during the design and construction process; (2) avoid unnecessary delays in the contracting, design or construction process; and (3) facilitate plan reviews and inspection of the construction, relocation, and replacement, as necessary, of Caltrans-owned facilities affected by the PCEP; and

WHEREAS, the Staff Coordinating Council recommends that the JPB enter into a Comprehensive Agreement with Caltrans in support of the PCEP.
NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the JPB hereby authorizes the Executive Director to execute a Comprehensive Agreement with Caltrans to facilitate the design and construction of the PCEP relative to Caltrans-owned facilities that may be affected by the PCEP.

Regularly passed and adopted this 5th day of May, 2016 by the following vote:

AYES:

NOES:

ABSENT:

______________________________
Chair, Peninsula Corridor Joint Powers Board

ATTEST:

______________________________
JPB Secretary
TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Michelle Bouchard
Chief Operating Officer, Rail

SUBJECT: KEY CALTRAIN PERFORMANCE STATISTICS MARCH 2016

In March 2016, Caltrain’s average weekday ridership (AWR) was 57,197, which is an increase of 1.5 percent from the March 2015 AWR of 56,352. The total number of passengers who rode Caltrain in March 2016 was 1,583,934, which is 2.9 percent more than March 2015 ridership of 1,538,742. Fare box revenue increased 12.7 percent over March 2015. With respect to the increase in fare revenue, it should be noted that the Caltrain fare increase became effective on February 28, 2016.

On-time performance (OTP) for March 2016 was 93.2 percent, which is higher than the 87.9 percent OTP for March 2015. When trains arriving within 10 minutes of the scheduled arrival time are included, OTP rises to 98 percent. In fact, 70 percent of all delayed trains arrived at the final destination within 10 minutes of the scheduled time. Overall in March 2016, there were 817 mechanical minutes of delay compared with 1,322 mechanical minutes of delay in March 2015. There were two days that operated with 100 percent of the trains on time and 11 additional days with 95 percent or better OTP.

Looking at customer service statistics, there were 8.1 complaints per 100,000 passengers in March 2016. This is lower than both the 12.7 complaints in March 2015 and the 9.4 complaints from the previous month in February 2016.

Shuttle ridership for March 2016 is up 8.4 percent from March 2015. When comparing the same shuttle routes as last year and the Marguerite shuttles are removed, overall shuttle ridership increased 1.8 percent over March 2015. For the station shuttles, the Millbrae-Broadway shuttle averaged 231 daily riders. The Belmont-Hillsdale shuttle averaged 58 daily riders. The weekend Tamien-San Jose shuttle averaged 56 riders per day.
Caltrain Promotions – March 2016

Caltrain Experience – The Caltrain Customer Experience Program was recently implemented to identify short-, mid- and long-range improvements in collaboration with the Citizens Advisory Committee. Part of this initiative also includes seeking input from the frequent, infrequent and non-riders through online, intercept and focus group studies that will guide Caltrain efforts in providing the ultimate customer experience. In this first online survey, Caltrain asked the general public to rate and identify priorities and provide ridership and demographic information. This is not a statistically valid study, but it’s the first step to help Caltrain’s improvement process. The results of this survey will inform the questions on the next statistically valid Customer Satisfaction Survey in June. The last study of this series will be a focus group in which Caltrain will test some of the possible improvements and ensure they make a positive impact on riders’ daily use of the system. The survey was promoted using print ads running in Daily Journal, San Francisco Chronicle and Mercury News. Also online web banner/mobile/tablet ads we used in the SFGate.com and Mercurynews.com.

Transit Driver Appreciation Day (#TDAD) – On Friday, March 18, Caltrain and other Bay Area transit agencies participated in Transit Driver Appreciation Day. As a way to say “thank you” to all the men and woman that transport our customers to where they need to go, staff and customers posted photos of transit operators as a way to show their appreciation. “Thank you” banner ads were posted on all Caltrain social media platforms and web blog.

Partnerships – Caltrain Market Research and Development staff work with a number of event organizers to co-promote events that will generate train ridership and also provide added value for current Caltrain customers. In March, Caltrain partnered with the Travel & Adventure Show. The event was promoted in the Caltrain Connection newsletter, through social media, news releases, ad cards and web postings. The promoter offered a 50 percent discount to Caltrain customers. In addition, Caltrain also partnered with the San Francisco Flower & Garden Show. The event was promoted in the Track the Fun brochure, the Caltrain Connection newsletter, through social media, news releases, ad cards and web postings. The promoter offered $1 off adult single-day tickets to Caltrain customers.

On-going

San Jose Sharks at SAP Center – For the month of March, the Sharks have clinched a playoff spot after not making the post-season last year. There were 11 home games played. Caltrain carried an additional 2,534 customers for the month of February.

Caltrain March 2016 Social Media Analytics – Caltrain experienced continued growth across its social media channels in March with a notable improvement in its reputation rating. The agency gained more than 3,000 followers during the month for a total following of 72,603 across all social channels. Caltrain’s reputation rating, which reflects customer feedback regarding their service experiences, climbed from 2.5 in February to 3.18 out of five stars in March. Inbound clicks to Caltrain’s website continued to be strong with more than 9,000 users clicking through to information on the site via a social
post. That number is down from February, which featured an extremely high spike due to Super Bowl 50 traffic.

Caltrain experienced several critical incidents in March that drove a high volume of social media activity. Those incidents included a fatality, a significant mechanical failure that impacted a number of trains during the peak commute, and a vehicle strike. During each of those incidents Caltrain nearly doubled its average number of content impressions to between 75,000 and 100,000 impressions for content related to those incidents. This is a pattern typically observed during major incidents or big events.

Prepared by: James Namba, Acting Manager, Marketing 650.508.7924
Jayme Ackemann, Director, Marketing and Communications 650.508.7934
Catherine David, Senior Planner 650.508.6471
### Table A

#### March 2016

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<td>Total Ridership</td>
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<td>Average Weekday Ridership</td>
<td>56,352</td>
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#### Year to Date

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<tr>
<td>On-time Performance</td>
<td>91.0%</td>
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<tr>
<td>Average Caltrain Shuttle Ridership</td>
<td>8,512</td>
<td>9,043</td>
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### Graph A

Caltrain Average Weekday Ridership

[Graph showing average weekday ridership with a trend line and data points for March 2015 to March 2016. The graph includes two lines: the blue line representing the actual ridership with values marked as 56,352 and 57,197, and the green line representing the 13-month rolling average.]
Graph B

MONTHLY MECHANICAL DELAYS

Delay Minutes per Month

Graph C

CALTRAIN MONTHLY COMPLAINTS

Complaints per 100,000 Passengers

FY2014
FY2015
FY2016
TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Eli Kay
Chief Financial Officer

SUBJECT: PRELIMINARY FISCAL YEAR (FY) 2017 OPERATING BUDGET

ACTION
This report is submitted for informational purposes only. Staff Coordinating Council has reviewed and provided feedback on the preliminary FY2017 Budget. A presentation will be made during the Board meeting on May 5, 2016 and will be provided in advance to the Board and made available to the public. No action is requested at this time. At the June 2, 2016, meeting, staff will present a final FY2017 budget proposal for Board consideration and adoption.

SIGNIFICANCE
The preliminary FY2017 Caltrain Operating Budget, as shown in Attachment A, is $146.4 million, an increase of $7.2 million, or 5.2 percent over the FY2016 revised budget. The Preliminary Budget is balanced, primarily due to an anticipated increase in farebox revenue and the use of reserves.

The Preliminary Budget reflects increased demands on the system including ridership increases, the operation of new systems and challenges associated with the system’s aging equipment.

In FY2016, Caltrain took steps to address rapidly increasing ridership demand by incrementally adding railcars to some of the system’s most popular trains. The agency also continued the installation of Communications Based Overlay Signal System/Positive Train Control (CBOSS/PTC) infrastructure needed to comply with Federal rail safety regulations.

Creation of additional capacity and the implementation of safety enhancements are vital, but the operation of this new equipment carries additional cost. These costs are reflected in the FY2017 Preliminary Budget through increases associated with the contracted Rail Operator Service, additional FTEs and Professional Services related to the transition of CBOSS/PTC project to operation.

The FY2017 Preliminary Budget establishes a foundation upon which later budgets will be built. This includes personnel alignments, including the FY2016 agency
reorganization, to ensure that Caltrain has the appropriate staffing to accommodate increased service demands and the eventual move towards electrification as a part of the Caltrain Modernization (CalMod) Program.

The FY2017 Preliminary Budget also highlights the need to secure a dedicated source of revenue to support operations. Caltrain staff is working closely with the system’s member agencies and other funding partners to explore a number of options for the creation of additional revenue.

**Fiscal Year 2017 Revenue Projections**
Total revenues for FY2017 are projected to be $146.4 million. Revenues include the following significant components:

- **Operating Revenue** for Caltrain is projected to be $101.1 million, which includes the following:
  - Farebox Revenue is projected to be $91.7 million. This projection is based on FY2016 year-to-date actuals and reflects the annualization of a fare increase implemented in FY2016. The steady ridership growth of 4 percent is projected in FY2017. This projection is based on FY2016 projected ridership and plans for adding capacity and potential for continued ridership growth. Ridership growth has averaged 9.2 percent over the last five years.
  - Parking Revenue is projected to be $4.7 million, which reflects year-to-date actuals and a 10 percent rate increase, which will take effect July 1, 2016.
  - Shuttles Income is projected to be $2.4 million, which reflects a reduction in employer share contribution, decreased rates on Stanford Marguerite shuttle and the loss of the Deer Creek and Genentech routes in FY2016.
  - Rental Income is projected to be $1.7 million, a reduction of $50,000 based on FY2016 projected actuals.
  - Other income is projected to be $0.6 million and reflects a reduction in Union Pacific Railroad’s shared track maintenance and a reduction in interest income, based upon FY2016 projected year-end actuals.

- **Contributed Revenue** is projected to be $45.3 million, which includes the following:
  - Assembly Bill 434 Transportation Fund for Clean Air funds for the Caltrain Commuter Shuttle Bus Program is projected to be $0.8 million and San Mateo County Transportation Authority Shuttle Funding is projected to be $1.1 million.
• Operating Grants are projected to be $3.7 million in State Transit Assistance (STA), a decrease of $2 million or 34.7 percent. The decrease is primarily due to the State Controller’s Office changing its methodology for the distribution of STA funds by adding an additional 21 entities to the revenue calculation, which alters the amount of STA funds Bay Area operators are eligible to receive. Caltrain staff is working to support legislation that, if passed, would restore the Agency’s STA share to previous levels.

• JPB Member Agency contributions are projected to be $21.0 million. Since 2013, this amount has been based on the San Mateo County Transit District’s contribution, matched proportionately by the other Peninsula Corridor Joint Powers Board (JPB) partners according to the agreed-upon allocation methodology. The Boarding Formula used in the allocation is based on Average Weekday (All Day) passenger count by county, including stations from Capitol to Gilroy. The total contributions for each member agency are allocated as follows:
  o San Mateo - $6.5 million
  o Santa Clara - $8.9 million
  o San Francisco - $5.6 million

• $18.7 million is proposed to be used from the reserves to balance the budget, an increase of $2.3 million from the FY2016 revised budget. Caltrain places prior year savings into reserves. In recent years, the operating budget has required the use of these reserves to maintain Caltrain service levels due to reduced contributions by JPB Member Agencies.

Fiscal Year 2017 Expense Projections
Grand Total Expense for FY2017 is projected to be $146.4 million and includes the following significant components:

➢ Operating Expenses for Caltrain are projected at $121.7 million, an increase of $4.2 million or 3.5 percent.

• Rail Operator Contract is projected to be $80.2 million, an increase of $4.9 million or 6.5 percent. This reflects 3.5 percent inflation to the Basic Service Plan, and the annualized cost of additional headcount of a coach cleaner, laborer, carman, electrician and a sheet metal mechanic, and two clerks authorized in FY2017.

• PTC/Other costs projected to be $2.0 million, an increase of $0.5 million or 35 percent. The increase is due to work to be completed by Transit America Services, Inc. to support operation of CBOSS/PTC.

• Security Services costs are projected to be $5.6 million, an increase of $374,000 or 7.2 percent. The increase is primarily due to a 5 percent rate increase in the contract with the San Mateo County Sheriff’s Office.
• Shuttle service is projected to be $5.4 million, a decrease of $54,000 or 1.0 percent. The decrease is primarily due to adjusting the Stanford Marguerite shuttle to better reflect actuals and the loss of Genentech and Deer Creek routes.

• Fuel costs are projected to be $15.6 million in FY2017, a decrease of $2.9 million or 15.8 percent. The decrease is primarily due to lower budgeted per gallon costs ($2.95 versus $3.4 per gallon budgeted for FY2016), as well as slightly lower consumption in FY2017 compared to FY2016 (4.64 million versus 4.67 million gallons). In FY2017, the JPB is not entering in a fuel hedging program, instead planning to self-hedge by budgeting at a slightly higher fuel price.

• Timetables and Tickets are projected to be $217,700, an increase of $5,000 or 2.4 percent. This increase is due to anticipated service changes and increases in notice frequency to the public.

• Insurance costs are projected to be $6.3 million, an increase of $580,200 or 10.2 percent. The increase is primarily due to adjustment for inflation on property values and increased dues due to loss claims.

• Facilities and Equipment Maintenance is projected to be $2.3 million, an increase of $427,800 or 23.1 percent. This increase is due to additional repair and maintenance needs for the system’s again Ticket Vending Machines.

• Utilities are projected to be $2.6 million, an increase of $283,300 or 12.4 percent. The increase is primarily due to increased usage at San Jose Diridon Wayside Power Units enhancements, San Bruno Station and the need for additional data circuits.

• Maintenance & Services are projected to be $1.5 million, an increase of $43,900 or 3.1 percent. This increase is due to the replacement of office equipment and the shared cost of the Millbrae Bart.

➢ Administrative expenses are projected to be $23.4 million, an increase of $3.1 million or 15.1 percent.

• Wages and Benefits costs are projected to be $8.8 million, an increase of $1.2 million or 15.7 percent. This increase is mainly due to the creation of new positions and a realignment of staffing effort to reflect upcoming and unmet operational needs, an increase in retiree medical costs and overall wage increases. Approximately 30 percent or $350,000 of the $1.2 million is related to retiree medical and general wage increases. Included in this budget are 2.7 full-time equivalents that are proposed in order to support the new CBOSS safety system as well as other unmet needs in the agency.

• Managing Agency Administrative Overhead Cost is projected to be $6.0 million for FY2017, an increase of $288,000 or 5 percent.
• Professional Services costs are projected to be $5.7 million, an increase of $1.2 million or 25.9 percent. This increase is primarily due to Rail Operations’ need for consulting services to assist with new projects, implementation of webcast hosting and production to increase public transparency and the upgrade of Caltrain’s Safety Management and Customer Relationship Management software.

• Communications and Marketing needs are projected to be $0.2 million, an increase of $95,000 or 68 percent. This increase will support new efforts to encourage off-peak ridership and promote safe behaviors along the rail corridor.

• Other Expenses and Services are projected to be $2.5 million, an increase of $305,900 or 13.7 percent. This increase is primarily due to relocation costs for potential new recruitments in the Rail Division, increase in rent costs at Menlo Park Maintenance of Way Facility and increased travel cost for staff seminar and training.

While the Preliminary FY2017 Operating Budget is balanced, the lack of a dedicated source of funding for Caltrain requires a substantial percentage of operating costs to be funded out of the general funds from each partner, and also relies heavily on the use of reserves. Caltrain is exploring strategies that will enhance and maximize revenues, and will continue to work with partner agencies and other stakeholders to identify and secure a permanent, dedicated funding source for future operations.

Prepared By: Sam Le, Senior Budget Analyst  650.508.6426
Eileen Bettman, Manager, Budgets  650.508.6425
## Peninsula Corridor Joint Powers Board
### Statement of Revenue and Expense
#### Preliminary Budget

**FY2017**

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<tbody>
<tr>
<td></td>
<td>ACTUAL</td>
<td>ADOPTED</td>
<td>REVISED</td>
<td>PROPOSED</td>
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<td>Farebox Revenue</td>
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<td>Parking Revenue</td>
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<td>Shuttles</td>
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<td>Other Income</td>
<td>1,234,911</td>
<td>641,736</td>
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**TOTAL OPERATING REVENUE**

- **A:** 92,340,495
- **B:** 93,146,131
- **C:** 95,546,131
- **D:** 101,137,112
- **E:** 5,590,981
- **F:** 5.9%

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<tr>
<td>AB434 &amp; TA Shuttle Funding</td>
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<td>JP Morgan Member Agencies</td>
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<td>19,727,450</td>
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<td>Use of Reserves</td>
<td>503,719</td>
<td>18,742,673</td>
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**TOTAL CONTRIBUTED REVENUE**

- **A:** 28,958,731
- **B:** 46,009,935
- **C:** 43,609,935
- **D:** 45,254,917
- **E:** 1,644,982
- **F:** 3.8%

**GRAND TOTAL REVENUE**

- **A:** 121,299,226
- **B:** 139,156,066
- **C:** 139,156,066
- **D:** 146,392,029
- **E:** 7,235,963
- **F:** 5.2%

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<tr>
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<td>Rail Operator Service</td>
<td>69,603,742</td>
<td>75,245,335</td>
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<td>Rail Operator Extra Work</td>
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<td>Timetables and Tickets</td>
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<td>Insurance</td>
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<td>Facilities and Equipment Maint</td>
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<td>1,426,783</td>
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**TOTAL OPERATING EXPENSE**

- **A:** 102,897,130
- **B:** 117,570,122
- **C:** 117,570,122
- **D:** 121,741,269
- **E:** 4,171,147
- **F:** 3.5%

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<th>Administrative Expense:</th>
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<td>Wages and Benefits</td>
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<td>Managing Agency Admin OH Cost</td>
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<td>Board of Directors</td>
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<td>Professional Services</td>
<td>3,867,139</td>
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<td>Communications and Marketing</td>
<td>81,323</td>
<td>139,800</td>
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<tr>
<td>Other Office Expense and Services</td>
<td>1,758,331</td>
<td>2,227,131</td>
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**TOTAL ADMINISTRATIVE EXPENSE**

- **A:** 17,216,045
- **B:** 20,303,769
- **C:** 20,303,769
- **D:** 23,388,585
- **E:** 3,064,816
- **F:** 15.1%

<table>
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<th>Long-term Debt Expense</th>
<th>FY2015</th>
<th>FY2016</th>
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<tr>
<td></td>
<td>1,186,051</td>
<td>1,282,175</td>
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**GRAND TOTAL EXPENSE**

- **A:** 121,299,226
- **B:** 139,156,066
- **C:** 139,156,066
- **D:** 146,392,029
- **E:** 7,235,963
- **F:** 5.2%

**Revenue Over/Under**

- **A:** 0
- **B:** 0
- **C:** 0
- **D:** 0
AGENDA ITEM # 12
MAY 5, 2016

PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Eli Kay
Chief Financial Officer

SUBJECT: PRELIMINARY FISCAL YEAR (FY) 2017 CAPITAL BUDGET

ACTION
This report is informational only. No Board action is required.

The Preliminary FY2017 Capital Budget will be presented to the Board on May 5, 2016 as an informational item, and will be available for distribution at the meeting.

Staff Coordinating Council has reviewed and provided feedback on the Preliminary FY2017 Capital Budget. A Power Point presentation will be e-mailed in advance to the Board.

The Final FY2017 Capital Budget will be presented to the Board at its June 2, 2016 meeting with a recommendation for Board adoption at that time.

Prepared By: Aandy Ly, Manager, Budgets 650.508.6376
AGENDA ITEM # 13
MAY 5, 2016

PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Gigi Harrington
Deputy CEO, Chief Administration Officer

SUBJECT: AMENDMENT TO COOPERATIVE AGREEMENT WITH SANTA CLARA VALLEY TRANSPORTATION AUTHORITY (VTA) TO UNDERTAKE EMINENT DOMAIN PROCEEDINGS IN CONNECTION WITH THE LOS GATOS BRIDGE PROJECT

ACTION
Staff Coordinating Council recommends the Board authorize the Executive Director to execute an Amendment to the Cooperative Agreement with VTA to undertake eminent domain proceedings that may be necessary in connection with the Los Gatos Creek Bridge Project.

SIGNIFICANCE
The acquisition of some real estate interests is required to implement the Los Gatos Creek Bridge Project. Three parcels will be impacted. All three parcels are needed for construction staging and construction access. A portion of one parcel will also be required for maintenance of and access to the improvements.

It is the Peninsula Corridor Joint Powers Board’s (JPB) intent to obtain property interests through voluntary transactions with the property owners. However, in instances in which voluntary transaction is not an option, this agreement provides for VTA to undertake eminent domain actions to secure these property interests for the project.

BUDGET IMPACT
The costs of acquiring real estate are reflected in the adopted budget for the Los Gatos Creek Bridge Project.

BACKGROUND
On November 11, 2015, pursuant to Resolution No. 2015-49, VTA and JPB entered into a Cooperative Agreement regarding right of way acquisition services to support the Peninsula Corridor Electrification Project. JPB is about to undertake another project in Santa Clara County, the Los Gatos Creek Bridge Replacement Project which will require assistance from VTA with real estate acquisition services. The railroad bridge over Los Gatos Creek, located south of San Jose Diridon Station and north of Auzerais Avenue, has exceeded the 75-year useful life for which it was designed.
The project will remove the Los Gatos Creek Bridge, including abutments, and replace it with a new railroad bridge in the existing footprint and a tail track to the west of the existing bridge. Construction of the new railroad bridge requires protection and relocation of the underground utilities in the right-of-way and/or attached to the existing bridge. The project will also mitigate creek impacts. The project replaces the existing two-track bridge with three single track bridges. The third track is required as a shoofly to allow for the continuation of service during the demolition and construction of the existing two tracks.

The JPB does not have the power of eminent domain. As such, the JPB has requested the VTA to perform that function under their statutory authority, in the event the JPB determines that acquisition by condemnation is necessary and appropriate to implement the Los Gatos Creek Bridge Project. The Cooperative Agreement sets forth the process by which the VTA will undertake the requisite property condemnations on behalf of and in coordination with the JPB, at the JPB’s sole expense.

Prepared by:  Brian W. Fitzpatrick, Manager, Real Estate and Property Development 650-508-7781
RESOLUTION NO. 2016 –

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

* * *

AUTHORIZING THE EXECUTIVE DIRECTOR TO EXECUTE AN AMENDMENT TO THE
COOPERATIVE AGREEMENT WITH SANTA CLARA VALLEY TRANSPORTATION AUTHORITY
(VTA) TO UNDERTAKE EMINENT DOMAIN PROCEEDINGS IN CONNECTION WITH THE
LOS GATOS CREEK BRIDGE REPLACEMENT PROJECT

WHEREAS, on February 6, 2014, pursuant to Resolution No. 2014-08, the Peninsula
Corridor Joint Powers Board (JPB) adopted a Mitigated Negative Declaration for the
Los Gatos Creek Bridge Replacement Project (Project); and

WHEREAS, the Project will require the acquisition of certain real estate interests in
order to implement the Project; and

WHEREAS, the JPB intends to obtain the requisite property interests to implement
the Project through a process of appraisals, and notices to and discussions with the
property owners to reach voluntary acquisition transactions; and

WHEREAS, in the event the JPB is unable to achieve voluntary acquisitions of the
required property interests, and because the JPB does not have the legal power to
condemn real property, staff proposes that the VTA be requested to undertake
eminent domain actions for those properties, with all out-of-pocket costs and other
expenses incurred in connection with such actions, reimbursed by JPB from the project
budget; and

WHEREAS, on November 11, 2015, the VTA and the JPB entered into a
Cooperative Agreement regarding right of way acquisition services to support the JPB's
Peninsula Corridor Electrification Project, and to establish the process by which the
parties will pursue eminent domain proceedings, should the JPB determine such actions
are necessary to obtain required property interests for that project.
WHEREAS, Staff Coordinating Council recommends that the Board authorize the Executive Director to execute an Amendment to the Cooperative Agreement with the VTA to facilitate acquisition of the real property interests required for the Project.

NOW, THEREFORE, BE IT RESOLVED, that the JPB authorizes the Executive Director to execute an Amendment to the Cooperative Agreement with the VTA for real estate acquisition services to undertake eminent domain proceedings as may be determined by the Board to be necessary and appropriate for the successful implementation of the Los Gatos Creek Bridge Replacement Project.

Regularly passed and adopted this 5th day of May, 2016 by the following vote:

AYES:

NOES:

ABSENT:

______________________________
Chair, Peninsula Corridor Joint Powers Board

ATTEST:

______________________________
JPB Secretary
TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

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

SUBJECT: AUTHORIZE THE FILING OF AN APPLICATION FOR METROPOLITAN TRANSPORTATION COMMISSION (MTC) TRANSIT PERFORMANCE INITIATIVE (TPI) PROGRAM FUNDS

ACTION
Staff Coordinating Council recommends the Board authorize the Executive Director, or his designee to:

1. Request the MTC program $1,250,210 in TPI funding to help fund the installation of a new control point on the Caltrain mainline in San Carlos; and

2. Execute a subsequent funding agreement and provide any other documentation required to receive the Federal funds; and

3. Take such other actions as may be necessary, including executing any agreements, certifications and assurances or other documentation required in order to receive the TPI funds.

SIGNIFICANCE
The Peninsula Corridor Joint Powers Board (JPB) is slated to receive $1,250,210 in Fiscal Year (FY) 2016 Federal formula funds from the MTC’s TPI program. The funds are proposed to help fund the installation of a new control point along the Caltrain mainline in San Carlos. The new control point, once installed, will provide greater operational flexibility in a critical stretch of track, allowing Caltrain to respond to unplanned outages and reducing delays experienced by customers. This project received FY2014 and FY2015 TPI funding to help fund project design and construction.

BUDGET IMPACT
The total cost of the control point project is $7,715,362. The JPB previously budgeted $2,884,000 in prior year TPI funding along with $1 million in JPB member agency funding as part of the FY2015 and FY2016 budgets. The FY2016 TPI funds will be included in the JPB's FY2017 Capital Budget to provide additional funds for the project.
BACKGROUND
The TPI program is administered by the MTC and provides financial rewards to the region’s large transit operators based on demonstrated improvements in ridership and/or productivity. Funds in the TPI program are distributed through a formula based on annual increases in ridership and increases in passengers per revenue hour. The JPB’s formula share of the FY2016 TPI funds is $1,250,210. This is the last year of the TPI program.

In order to distribute the funds, the MTC requires the JPB to adopt a resolution, in a form approved by the MTC, authorizing the filing of an application for TPI funds, committing any necessary matching funds and stating the assurance to complete the project.

Prepared by: Peter Skinner, Manager, Grants and Fund Programming 650.622.7818
RESOLUTION NO. 2016 –
BOARD OF DIRECTORS, PENINSULA CORRIDOR JOINT POWERS BOARD
STATE OF CALIFORNIA

* * *

AUTHORIZING THE FILING OF AN APPLICATION FOR
TRANSIT PERFORMANCE INITIATIVE (TPI) PROGRAM FUNDS

WHEREAS, the Peninsula Corridor Joint Powers Board (herein referred to as APPLICANT) is submitting an application to the Metropolitan Transportation Commission (MTC) for $1,250,210 in funding assigned to MTC for programming discretion, including but not limited to Federal funding administered by the Federal Highway Administration (FHWA) such as Surface Transportation Program (STP) funding, Congestion Mitigation and Air Quality Improvement (CMAQ) funding and/or Transportation Alternatives Program (TAP) funding (herein collectively referred to as REGIONAL DISCRETIONARY FUNDING) for the financial support of the Caltrain rail crossover project implementation (herein referred to as PROJECT) for the MTC TPI (herein referred to as PROGRAM); and

WHEREAS, the Moving Ahead for Progress in the 21st Century Act (Public Law 112-141, July 6, 2012) and any extensions or successor legislation for continued funding (collectively, MAP-21) authorize various Federal funding programs including, but not limited to the STP (23 U.S.C. § 133), the CMAQ (23 U.S.C. § 149) and the TAP (23 U.S.C. § 213); and

WHEREAS, State statutes, including California Streets and Highways Code §§ 182.6 and 182.7 provide various funding programs for the programming discretion of the Metropolitan Planning Organization (MPO) and the Regional Transportation Planning Agency (RTPA); and
WHEREAS, pursuant to MAP-21, and any regulations promulgated thereunder, eligible project sponsors wishing to receive Federal funds for a project shall submit an application first with the appropriate MPO for review and inclusion in the MPO’s Transportation Improvement Program (TIP); and

WHEREAS, MTC is the MPO and RTPA for the nine counties of the San Francisco Bay region; and

WHEREAS, MTC has adopted a Regional Project Funding Delivery Policy (MTC Resolution No. 3606, revised) that sets out procedures governing the application and use of Federal funds; and

WHEREAS, APPLICANT is an eligible sponsor for Regional Discretionary Funding; and

WHEREAS, as part of the application for Regional Discretionary Funding, MTC requires a resolution adopted by the responsible implementing agency stating the following:

1. The commitment of any required matching funds of at least 11.47 percent; and
2. That the sponsor understands that the Regional Discretionary Funding is fixed at the programmed amount, and therefore any cost increase cannot be expected to be funded with additional Regional Discretionary Funding; and
3. That the project will comply with the procedures, delivery milestones and funding deadlines specified in the Regional Project Funding Delivery Policy (MTC Resolution No. 3606, revised); and
4. The assurance of the sponsor to complete the project as described in the application, and if approved, as included in MTC’s Federal TIP; and
5. That the project will comply with all project-specific requirements as set forth in the PROGRAM; and

6. That the project (transit only) will comply with MTC Resolution No. 3866, revised, which sets forth the requirements of MTC’s Transit Coordination Implementation Plan to more efficiently deliver transit projects in the region.

NOW, THEREFORE, BE IT RESOLVED that the APPLICANT is authorized to execute and file an application for funding for the PROJECT for REGIONAL DISCRETIONARY FUNDING under MAP-21 for continued funding; and

BE IT FURTHER RESOLVED that the APPLICANT by adopting this resolution does hereby state that:

1. APPLICANT will provide the required matching funds; and

2. APPLICANT understands that the REGIONAL DISCRETIONARY FUNDING for the project is fixed at the MTC approved programmed amount, and that any cost increases must be funded by the APPLICANT from other funds, and that APPLICANT does not expect any cost increases to be funded with additional REGIONAL DISCRETIONARY FUNDING; and

3. Applicant understands the funding deadlines associated with these funds and will comply with the provisions and requirements of the Regional Project Funding Delivery Policy (MTC Resolution No. 3606, revised) and APPLICANT has, and will retain the expertise, knowledge and resources necessary to deliver Federally-funded transportation projects, and has assigned, and will maintain a single point of contact for all FHWA-funded transportation projects to coordinate within the agency and with the respective Congestion Management Agency (CMA), MTC, California State Department of Transportation and FHWA on all communications, inquires or issues that may arise.
during the Federal programming and delivery process for all FHWA-funded transportation projects implemented by APPLICANT; and

4. PROJECT will be implemented as described in the complete application and in this resolution and, if approved, for the amount approved by MTC and programmed in the Federal TIP; and

5. APPLICANT and the PROJECT will comply with the requirements as set forth in MTC programming guidelines and project selection procedures for the PROGRAM; and

6. APPLICANT (for a transit project only) agrees to comply with the requirements of MTC’s Transit Coordination Implementation Plan as set forth in MTC Resolution 3866, revised; and

BE IT FURTHER RESOLVED that APPLICANT is an eligible sponsor of REGIONAL DISCRETIONARY FUNDING funded projects; and

BE IT FURTHER RESOLVED that APPLICANT is authorized to submit an application for REGIONAL DISCRETIONARY FUNDING for the PROJECT; and

BE IT FURTHER RESOLVED that there is no legal impediment to APPLICANT making applications for the funds; and

BE IT FURTHER RESOLVED that there is no pending or threatened litigation that might in any way adversely affect the proposed PROJECT, or the ability of APPLICANT to deliver such PROJECT; and

BE IT FURTHER RESOLVED that APPLICANT authorizes its Executive Director, or designee to execute and file an application with MTC for REGIONAL DISCRETIONARY FUNDING for the PROJECT as referenced in this resolution; and
BE IT FURTHER RESOLVED that a copy of this resolution will be transmitted to the MTC in conjunction with the filing of the application; and

BE IT FURTHER RESOLVED that the MTC is requested to support the application for the PROJECT described in the resolution and to include the PROJECT, if approved, in MTC’s Federal TIP.

Regularly passed and adopted this 5th day of May, 2016 by the following vote:

AYES:

NOES:

ABSENT:

______________________________
Chair, Peninsula Corridor Joint Powers Board

ATTEST:

______________________________
JPB Secretary
TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Gigi Harrington
Deputy CEO/Chief Administrative Officer

SUBJECT: DISADVANTAGED BUSINESS ENTERPRISE (DBE) PRESENTATION ON TRIENNIAL DBE GOAL SETTING METHODOLOGY

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

SIGNIFICANCE
Staff will report on DBE goal setting methodology. Staff is providing this information in advance of the June 2016 Board where staff will recommend a DBE goal for the upcoming three Federal fiscal years 2017 through 2019.

BUDGET IMPACT
There is no impact to the current budget.

BACKGROUND
The U.S. Department of Transportation (DOT) regulations, 49 Code of Federal Regulations Part 26, pertaining to the DBE Program require DOT grantees to establish an overall triennial goal for DBE participation in Federally assisted contracts, and prescribes methods for doing so.

The goal-setting methodology used for Federal triennial periods 2011-2013 and 2014-2016 were approved by the Federal Transit Administration. Staff proposes to utilize the same methodology for the Federal fiscal years 2017-2019.

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

Prepared by: John Barker, Manager, Civil Rights Programs 650.508.7940
AGENDA ITEM # 16
MAY 5, 2016

PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

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

SUBJECT: COMMUNITY CHOICE ENERGY AND CALTRAIN ELECTRICITY SERVICE

ACTION
Staff will present an overview of three Community Choice Energy (CCE) programs launching in cities and counties along the Caltrain corridor, anticipated impacts on Caltrain, and staff recommendations for action at the June 2, 2016 meeting. No Board action is required at this time.

SIGNIFICANCE
From May 2016 through spring 2017, approximately 75 percent of Caltrain’s over 200 electricity meters will be transitioned to three CCE programs (CleanPowerSF in San Francisco, Peninsula Clean Energy in San Mateo County, and Silicon Valley Clean Energy in portions of Santa Clara County), unless Caltrain chooses to opt-out of the programs back to the incumbent utility, Pacific Gas and Electric (PG&E). These energy providers offer the promise of “greener” electricity that comes from sources that emit less criteria pollutant and greenhouse gas emissions, resulting in fewer environmental impacts. Electricity transmission and distribution infrastructure, repairs, billing, and most customer service will continue to be administered by PG&E. Reliable electricity service is essential to Caltrain fleet operations, facilities, signals, and administrative operations.

Caltrain has several options available for securing its electricity:

1. Stay enrolled in the CCE programs at the default service offering (at least 33-50 percent renewable energy)
2. Stay enrolled in the CCE programs and choose a voluntary service offering (100 percent renewable energy)
3. Opt-out of one or more CCE programs back to PG&E, at PG&E’s default service offering (currently 27 percent renewable energy)
4. Opt-out of one or more CCE programs back to PG&E, and choose a voluntary service offering (50 or 100 percent solar energy)

For the first year of CCE program enrollment, staff recommends Option 1, which is the budget-neutral option that achieves higher renewable energy content and lower greenhouse gas emissions. These recommendations support Caltrain’s 2015-2024
Strategic Plan goals to minimize Caltrain’s environmental footprint (focus area: social responsibility) and efficiently deliver services (focus area: finance). At the May Board meeting, staff will present the anticipated impacts of each option, based on currently available information. Staff will return to the Board in June with formalized recommendations.

In addition, staff has initiated a technical evaluation of the CCE programs as compared to PG&E, based on the following criteria: supply and infrastructure reliability, rates and cost, environmental benefits, administrative procedures, and compatibility with future Caltrain operations (i.e., electrified Caltrain). The results of this evaluation, as well as evaluation of approximately one year of actual CCE program electricity billing data, will inform future staff recommendations to the Board.

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

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

Over the next year, three CCE programs are launching in the cities and counties along the Caltrain corridor. CleanPowerSF is expected to launch in May 2016 in San Francisco, and is administered by the San Francisco Public Utilities Commission. Peninsula Clean Energy is expected to launch in October 2016 throughout San Mateo County, and is administered by a Joint Powers Authority (JPA) with membership from all 20 cities and unincorporated county. Silicon Valley Clean Energy is expected to launch in winter/spring 2017 in 12 jurisdictions within Santa Clara County and is also administered by a JPA. All electricity customers in CCE program jurisdictions, including Caltrain, will be automatically enrolled in the CCE program unless the customer submits an opt-out request.

The city of Palo Alto Utilities and Silicon Valley Power in city of Santa Clara will continue to supply electricity to Caltrain within their jurisdictions, as CCE is not permitted in areas such as these where a municipal utility is already providing electric service.

There are three CCE programs currently operating in California: Marin Clean Energy in Marin County since 2010, Sonoma Clean Power in Sonoma County since 2014, and Lancaster Choice Energy in the city of Lancaster since 2015.

Prepared By: Michelle Senatore, Principal Planner, Sustainability 650.508.6384
TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Michelle Bouchard
Chief Operating Officer, Rail

SUBJECT: 2016 CALTRAIN ANNUAL COUNT PRESENTATION

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

SIGNIFICANCE
The presentation of the results of the 2016 Caltrain Annual Counts demonstrates the passenger ridership growth that Caltrain is experiencing. Analysis of the ridership numbers and passenger use of the stations and trains will guide decisions made regarding the Fiscal Year 2017 Operating and Capital budgets.

BUDGET IMPACT
There is no impact on the budget.

BACKGROUND
The Annual Counts are conducted every year in the early calendar months. This year counts were performed in January, February, and March as a result of suspending the counts during large special events that would skew ridership including the 10 days during Super Bowl 50 week. The counts provide detailed ridership data for planning purposes. Boardings and alightings are counted on each train and at each station. Results and analysis will be delivered in the presentation and further detailed in the Key Findings Report, which will be posted on the Caltrain website in late spring.

Prepared by: Catherine David, Senior Planner 650.508.6471
TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Seamus Murphy
Chief Communications Officer

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
As of 4/22/16: Consistent with the Peninsula Corridor Joint Powers Board’s Legislative Program, staff is monitoring and has taken positions on several bills including:

Assembly Bill (AB) 1640 (Stone) - SUPPORT
This bill seeks to clarify that public transit employees hired between January 1, 2013 and December 30, 2014 are exempt from the Public Employee’s Pension Reform Act of 2013.

AB 1889 (Mullin) – SUPPORT
Existing State law created the Peninsula Rail Transit District as a follow-up agency to the Peninsula Corridor Joint Study Board, however the Rail District was never formed. This bill repeals the obsolete provision creating the Peninsula Rail Transit District.

Senate Bill (SB) 824 (Beall) - SUPPORT
Makes several changes to the Low Carbon Transit Operations Program to make the program more flexible for funding recipients.

SB 885 (Wolk) – OPPOSE
This bill will prohibit construction contracts from containing indemnity agreements requiring a design professional to defend claims made against a project owner. The bill requires project owners, including public transit agencies, to defend a design professional’s interest and then, after a legal determination, attempt to secure reimbursement for defense costs.
SB 1128 (Glazer) – SUPPORT
Removes the 2017 sunset date on the Bay Area Commuter Benefits Program making the program permanent. The program requires Bay Area employers with more than 50 employees to offer commute benefits, such as pre-tax benefits, employer-provided transportation, or transit subsidies to their employees.

FEDERAL ISSUES
On April 21 the Senate Appropriations Committee approved the Fiscal Year (FY) 2017 Transportation, Housing and Urban Development (THUD), and Related Agencies Appropriations Bill, providing $56.6 billion to fund the U.S. Department of Transportation (DOT), US Department of Housing and Urban Development, and related agencies. The bill is an $827 million decrease from FY2016 enacted levels and $2.9 billion below the president’s budget request.

Major transportation-related components of the bill include:
- $16.9 billion in discretionary appropriations for the U.S. DOT, which is $1.7 billion below the FY2016 enacted level and $2.5 billion below the president’s request.
- $525 million for TIGER grants, $25 million above the FY2016 enacted level.
- $44 billion from the Highway Trust Fund to be spent on the Federal-aid Highways Program, consistent with the Fixing America’s Surface Transportation Act.
- $1.7 billion to the Federal Railroad Administration, $76 million above the FY2016 enacted level.
- $12.3 billion for the Federal Transit Administration, $575 million above the FY2016 enacted level, which includes $333 million for the Core Capacity Program.

The House THUD Appropriations Subcommittee is planning to markup the FY2017 bill in early May.

Prepared By: Casey Fromson, Manager Government Affairs 650.508.6493
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<th>Bill ID/Topic</th>
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| **AB 33** Quirk D  
Electrical corporations: procurement plans. | S. E. U., & C. 1/28/2016-Re-referred to Coms. on E., U., & C. and E.Q. | The Public Utilities Act requires the Public Utilities Commission to review and accept, modify, or reject each electrical corporation's procurement plan and requires that each approved procurement plan accomplish specified objectives. This bill would require the commission, as part of a new or existing proceeding, to determine what role large scale energy storage could play as part of the state's overall strategy for procuring a diverse portfolio of resources and to consider specified factors in making that determination. **Last Amended on 9/4/2015** |  |
| **AB 156** Perea D  
California Global Warming Solutions Act of 2006: disadvantaged communities. | S. 2 YEAR 8/28/2015-Failed Deadline pursuant to Rule 61(a)(11). (Last location was APPR. on 8/27/2015) | Current law requires the California Environmental Protection Agency to identify disadvantaged communities and requires the Department of Finance, in consultation with the State Air Resources 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. Current law requires the 3-year investment plan to allocate a minimum of 25% of the available moneys in the fund to projects that provide benefits to disadvantaged communities. This bill would require the state board to prepare and post on its Internet Web site a specified report on the projects funded to benefit disadvantaged communities. **Last Amended on 8/18/2015** |  |
| **AB 318** Chau D  
Lost money and goods: bicycles: restoration to owner. | S. 2 YEAR 7/17/2015-Failed Deadline pursuant to Rule 61(a)(10). (Last location was JUD. on 6/11/2015) | Would, until December 31, 2020, provide that if that lost property is found on a vehicle of public conveyance or on public transit property, that it instead be turned in to the public transit agency, and would provide 90 days for the owner to return and claim the property, as specified. The bill, until December 31, 2020, also would require the public transit agency to cause notice of the property to be published under specified circumstances. **Last Amended on 6/11/2015** | Oppose |
| **AB 326** Frazier D  
Public works: prevailing wage rates: wage and penalty assessments. | S. L. & I.R. 1/28/2016-Referred to Com. on L. & I.R. | Current law requires the Labor Commissioner to issue a civil wage and penalty assessment to a contractor or subcontractor, or both, if the Labor Commissioner determines, after investigation, that the contractor or subcontractor, or both, violated the laws regulating public works contracts, including the payment of prevailing wages. This bill would require the department to release the funds deposited in escrow plus interest earned to those persons and entities within 30 days following the conclusion of all administrative and judicial review. This bill contains other existing laws. **Last Amended on 1/4/2016** |  |
| **AB 516** Mullin D  
Vehicles: temporary license plates. | S. THIRD READING 2/10/2016-Read second time. Ordered to third reading. 4/21/2016 #73 SEN THIRD READING FILE - ASM BILLS | Would require the DMV to develop an operational system, no later than January 1, 2018, that allows a dealer or lessor-retailer to electronically report the sale of a vehicle and provide a temporary license plate, as specified. The bill would, commencing January 1, 2017, authorize the department to assess specified administrative fees on processing agencies to support the administration of this system. This bill contains other related provisions and other existing laws. **Last Amended on 7/16/2015** | Support |
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<th>Bill ID/Topic</th>
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<td><strong>AB 828</strong></td>
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<td>Low D</td>
<td>S. 2 YEAR 9/11/2015-Failed Deadline pursuant to Rule 61(a)(14). (Last location was E. U., &amp; C. on 7/16/2015)</td>
<td>Would require the Public Utilities Commission to conduct an investigation to consider whether existing statutes and regulations relating to transportation services serve the public interest, encourage innovation, and create a fair and competitive transportation market between companies that provide regulated transportation services. The bill would require the commission to complete the investigation and report its conclusions and recommendations to the Legislature on or before January 1, 2017. This bill contains other related provisions and other existing laws. <strong>Last Amended on 7/14/2015</strong></td>
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<td><strong>AB 857</strong></td>
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<td>Perea D</td>
<td>S. 2 YEAR 8/28/2015-Failed Deadline pursuant to Rule 61(a)(11). (Last location was APPR. on 8/27/2015)</td>
<td>Would, between January 2, 2018, and January 1, 2023, inclusive, annually require no less than 50% or $100,000,000, whichever is greater, of the moneys allocated for technology development, demonstration, pre-commercial pilots, and early commercial deployments of zero- and near-zero-emission medium- and heavy-duty truck technology be allocated and spent to support the commercial deployment of existing zero- and near-zero-emission heavy-duty truck technology that meets or exceeds a specified emission standard. This bill contains other existing laws. <strong>Last Amended on 8/18/2015</strong></td>
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<td><strong>AB 869</strong></td>
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<td>Cooper D</td>
<td>S. 2 YEAR 9/11/2015-Failed Deadline pursuant to Rule 61(a)(14). (Last location was INACTIVE FILE on 7/2/2015)</td>
<td>Current law authorizes a public transportation agency to adopt and enforce an ordinance to impose and enforce civil administrative penalties for fare evasion or other passenger misconduct, other than by minors, on or in a transit facility or vehicle in lieu of the criminal penalties otherwise applicable, with specified administrative procedures for the imposition and enforcement of the administrative penalties, including an initial review and opportunity for a subsequent administrative hearing. This bill would provide that a person who fails to pay the administrative penalty when due or successfully complete the administrative process to dismiss the notice of fare evasion or passenger conduct violation may be subject to those criminal penalties. <strong>Last Amended on 6/18/2015</strong></td>
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<td><strong>AB 1360</strong></td>
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<td>Ting D</td>
<td>S. 2 YEAR 7/17/2015-Failed Deadline pursuant to Rule 61(a)(10). (Last location was E. U., &amp; C. on 7/2/2015)</td>
<td>Would exempt from specified provisions relating to The Passenger Charter-Party Carriers’ Act a service operated by a transportation network company or a charter-party carrier of passengers that prearranges a ride among multiple passengers who share the ride in whole or in part, provided that the vehicle seats no more than 7 passengers, not including the driver, is operated by a participating driver, as defined, is not used to provide public transit services or carry passengers over a fixed route, is not used to provide pupil transportation services or public paratransit services, and the fare for each passenger is less than the fare that would be charged to a passenger traveling alone. <strong>Last Amended on 7/2/2015</strong></td>
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<td><strong>AB 1591</strong></td>
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<td>Frazier D</td>
<td>A. TRANS. 2/1/2016-Referred to Coms. on TRANS. and REV. &amp; TAX.</td>
<td>Would create the Road Maintenance and Rehabilitation Program to address deferred maintenance on the state highway system and the local street and road system. The bill would require the California Transportation Commission to adopt performance criteria to ensure efficient use of the funds available for the program. This bill contains other related provisions and other existing laws.</td>
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<td>Bill ID/Topic</td>
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<td>AB 1595</td>
<td>A. L. &amp; E.</td>
<td>Would require a private or public employer that provides mass transportation services, as specified, in the state to train its employees, who are likely to interact or come into contact with victims of human trafficking, in recognizing the signs of human trafficking and how to report those signs to the appropriate law enforcement agency.</td>
<td><a href="#">Last Amended on 3/29/2016</a></td>
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<td>AB 1641</td>
<td>A. TRANS.</td>
<td>Under current 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 school buses 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.</td>
<td><a href="#">Re-referred to Com. on REV. &amp; TAX.</a></td>
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<td>AB 1665</td>
<td>A. REV. &amp; TAX</td>
<td>Current law authorizes the County of Alameda and the County of Contra Costa to impose a transactions and use tax for the support of countywide transportation programs at a rate of no more than 0.5% that, in combination with other specified taxes, exceeds the combined rate of all these taxes that may be imposed, if certain requirements are met.</td>
<td><a href="#">Referred to Com. on REV. &amp; TAX.</a></td>
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*Note: AB 1595 was amended on 3/29/2016.*
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<td><strong>AB 1669</strong></td>
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<td><strong>Hernández, Roger D</strong> Displaced employees: service contracts: collection and transportation of solid waste.</td>
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<td>A, APPR. 4/14/2016-From committee: Do pass and re-refer to Com. on APPR. (Ayes 6, Noes 3,) (April 13). Re-referred to Com. on APPR. 4/20/2016 9 a.m. - State Capitol, Room 4202 ASSEMBLY APPROPRIATIONS, GONZALEZ, Chair</td>
<td>Current law requires a local government agency letting a public transit service contract out to bid to give a bidding preference for contractors and subcontractors who agree to retain for a specified period certain employees who were employed to perform essentially the same services by the previous contractor or subcontractor. Such a contractor or subcontractor must offer employment to those employees, except for reasonable and substantiated cause. This bill would make these provisions applicable to contracts for the collection and transportation of solid waste. <strong>Last Amended on 3/8/2016</strong></td>
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<td><strong>AB 1889</strong></td>
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<td><strong>Mullin D</strong> Peninsula Rail Transit District.</td>
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<td>A, L. GOV. 3/28/2016-Re-referred to Com. on L. GOV. 4/27/2016 1:30 p.m. - State Capitol, Room 447 ASSEMBLY LOCAL GOVERNMENT, EGGMAN, Chair</td>
<td>Current law, operative under certain conditions, re-designates the Peninsula Corridor Study Joint Powers Board as the Peninsula Rail Transit District, comprised of 9 members appointed from various governing bodies situated in the City and County of San Francisco and the Counties of San Mateo and Santa Clara, with specified powers. This bill would repeal obsolete provisions relating to the Peninsula Rail Transit District. <strong>Last Amended on 3/17/2016</strong></td>
<td>Sponsor</td>
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<td><strong>AB 2090</strong></td>
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<td><strong>Alejo D</strong> Low Carbon Transit Operations Program.</td>
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<td>A, APPR. 4/12/2016-From committee: Do pass and re-refer to Com. on APPR. (Ayes 16, Noes 0,) (April 11). Re-referred to Com. on APPR.</td>
<td>Current law continuously appropriates specified portions of the annual proceeds in the Greenhouse Gas Reduction Fund to various programs, including 5% for the Low Carbon Transit Operations Program, which provides operating and capital assistance for transit agencies to reduce greenhouse gas emissions and improve mobility, with a priority on serving disadvantaged communities. This bill would additionally authorize moneys appropriated to the program to be expended to support the operation of existing bus or rail service if the governing board of the requesting transit agency declares a fiscal emergency and other criteria are met, thereby expanding the scope of an existing continuous appropriation. <strong>Last Amended on 4/7/2016</strong></td>
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<td><strong>AB 2126</strong></td>
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<td><strong>Mullin D</strong> Public contracts: Construction Manager/General Contractor contracts.</td>
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<td>A, APPR. 4/12/2016-From committee: Do pass and re-refer to Com. on APPR. (Ayes 16, Noes 0,) (April 11). Re-referred to Com. on APPR.</td>
<td>Current law authorizes the Department of Transportation to use the Construction Manager/General Contractor method on no more than 6 projects, and requires 4 out of the 6 projects to use department employees or consultants under contract with the department to perform all project design and engineering services, as specified. This bill would authorize the department to use this method on 12 projects and would require 8 out of the 12 projects to use department employees or consultants under contract with the department to perform all project design and engineering services.</td>
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<td>AB 2222 Holden D</td>
<td>A. APPR. 4/12/2016-From committee: Do pass and re-refer to Com. on APPR. (Ayes 16, Noes 0.) (April 11). Re-referred to Com. on APPR.</td>
<td>Would continuously appropriate $50,000,000 annually from the Greenhouse Gas Reduction Fund for the Transit Pass Program, to be administered by the Department of Transportation.</td>
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<td>AB 2222 Holden D</td>
<td>Greenhouse Gas Reduction Fund: Transit Pass Program.</td>
<td>The bill would require that funding be allocated by the Controller, as specified, upon a determination by the Department of Transportation, that transit pass programs of public agencies to provide free or reduced-fare transit passes to public school students and community college, California State University, and University of California meet certain requirements. <strong>Last Amended on 4/6/2016</strong></td>
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<td>AB 2382 Lopez D</td>
<td>A. TRANS. 4/19/2016-In committee: Set, second hearing. Failed passage. Reconsideration granted.</td>
<td>Current law creates the High-Speed Rail Authority with specified powers and duties relative to development and implementation of a high-speed rail system. The authority is comprised of 9 members, with 5 members appointed by the Governor and 4 members appointed by the Legislature. This bill would require at least one member appointed by the Governor beginning with an available vacancy on and after January 1, 2017, to be a person who is from a disadvantaged community, as defined. <strong>Last Amended on 4/11/2016</strong></td>
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<tr>
<td>ABX1 7 Nazarian D</td>
<td>A. PRINT 7/17/2015-From printer.</td>
<td>Current 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 instead continuously appropriate 20% of those annual proceeds to the Transit and Intercity Rail Capital Program, and 10% of those annual proceeds to the Low Carbon Transit Operations Program, thereby making an appropriation. This bill contains other current laws.</td>
<td>Support</td>
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<tr>
<td>ABX1 8 Chiu D</td>
<td>A. PRINT 7/17/2015-From printer.</td>
<td>Would, effective July 1, 2016, increase the additional sales and use tax rate on diesel fuel to 5.25%. By increasing the revenues deposited in a continuously appropriated fund, the bill would thereby make an appropriation. This bill contains other related provisions.</td>
<td>Support</td>
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<tr>
<td>ABX1 24 Levine D</td>
<td>A. PRINT 9/12/2015-From printer.</td>
<td>Would, effective January 1, 2017, re-designate the Metropolitan Transportation Commission as the Bay Area Transportation Commission. The bill would require commissioners to be elected by districts comprised of approximately 750,000 residents. The bill would require each district to elect one commissioner, except that a district with a toll bridge, as defined, within the boundaries of the district would elect 2 commissioners. The bill would require commissioner elections to occur in 2016, with new commissioners to take office on January 1, 2017.</td>
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<td><strong>ABX1 25</strong> Allen, Travis R</td>
<td>A. PRINT 1/12/2016-From printer.</td>
<td>Under current 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 current law allows local authorities to permit school buses 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.</td>
<td>Support</td>
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<td><strong>ACA 4</strong> Frazier D</td>
<td>A. APPR. SUSPENSE FILE 8/27/2015-In committee: Hearing postponed by committee.</td>
<td>Would provide that the imposition, extension, or increase of a sales and use tax imposed pursuant to the Bradley-Burns Uniform Local Sales and Use Tax Law or a transactions and use tax imposed in accordance with the Transactions and Use Tax Law by a county, city, city and county, or special district for the purpose of providing funding for local transportation projects, as defined, requires the approval of 55% of its voters voting on the proposition. The measure would also make conforming and technical, nonsubstantive changes. Last Amended on 8/17/2015</td>
<td>Support</td>
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<td><strong>SB 32</strong> Pavley D</td>
<td>A. 2 YEAR 9/11/2015-Failed Deadline pursuant to Rule 61(a)(14). (Last location was NAT. RES. on 9/10/2015)</td>
<td>Would require the State Air Resources Board to approve a statewide greenhouse gas emissions limit that is equivalent to 40% below the 1990 level to be achieved by 2030. The bill also would state the intent of the Legislature for the Legislature and appropriate agencies to adopt complementary policies that ensure the long-term emissions reductions advance specified criteria. This bill contains other related provisions and other existing laws. Last Amended on 9/10/2015</td>
<td>Support</td>
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<td><strong>SB 122</strong> Jackson D</td>
<td>A. 2 YEAR 8/28/2015-Failed Deadline pursuant to Rule 61(a)(11). (Last location was APPR. SUSPENSE FILE on 7/15/2015)</td>
<td>CEQA establishes a procedure for the preparation and certification of the record of proceedings upon the filing of an action or proceeding challenging a lead agency’s action on the grounds of noncompliance with CEQA. This bill would require the lead agency, at the request of a project applicant and consent of the lead agency, to prepare a record of proceedings concurrently with the preparation of a negative declaration, mitigated negative declaration, EIR, or other environmental document for projects. This bill contains other related provisions. Last Amended on 6/1/2015</td>
<td>Support</td>
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<tr>
<td><strong>SB 207</strong> Wieckowski D</td>
<td>A. 2 YEAR 7/17/2015-Failed Deadline pursuant to Rule 61(a)(10). (Last location was NAT. RES. on 5/14/2015)</td>
<td>Current law requires a state agency expending moneys from the Greenhouse Gas Reduction Fund to create a record, prior to the expenditure, that includes, among other things, a description of the expenditure proposed to be made and a description of how the proposed expenditure will contribute to achieving and maintaining greenhouse gas emissions reductions, as specified. This bill would require that record to be posted on the Internet Web sites of the state agency and the State Air Resources Board prior to the state agency expending those moneys. Last Amended on 3/24/2015</td>
<td>Support</td>
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<td>SB 321 Beall D</td>
<td>S. INACTIVE FILE 9/11/2015-Ordered to inactive file on request of Senator Beall.</td>
<td>Would, for the 2016-17 fiscal year and each fiscal year thereafter, require the State Board of Equalization on March 1 of the fiscal year immediately preceding the applicable fiscal year, as specified, to adjust the rate in a manner as to generate an amount of revenue equal to the amount of revenue loss attributable to the exemption, based on estimates made by the board that reflect the combined average of the actual fuel price over the previous 4 fiscal years and the estimated fuel price for the current fiscal year, and continuing to take into account adjustments required by existing law to maintain revenue neutrality for each year. This bill contains other existing laws.</td>
<td>Last Amended on 8/18/2015</td>
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<td>SB 400 Lara D</td>
<td>A. 2 YEAR 8/28/2015-Failed Deadline pursuant to Rule 61(a)(11). (Last location was APPR. on 8/27/2015)</td>
<td>Would require the High-Speed Rail Authority to allocate not less than 25% of the monies continuously appropriated to the authority from the Greenhouse Gas Reduction Fund to projects that either reduce or offset greenhouse gas emissions directly associated with the construction of the high-speed rail project and provide a co-benefit of improving air quality. The bill would require priority to be given within this expenditure category to measures and projects that are located in communities in areas designated as extreme nonattainment. The bill would expand the purposes of a continuous appropriation, thereby making an appropriation.</td>
<td>Last Amended on 6/1/2015</td>
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<td>SB 878 Leyva D</td>
<td>S. APPR. 4/15/2016-Set for hearing April 25. 4/25/2016 10 a.m. - John L. Burton Hearing Room (4203) SENATE APPROPRIATIONS, LARA, Chair</td>
<td>Would require an employer, which includes a grocery store establishment, restaurant, or retail store establishment, to provide its employees with a work schedule at least 7 calendar days prior to the first shift on that work schedule, except as specified. The bill would require an employer, except as specified, to pay its employees modification pay for each previously scheduled shift that the employer cancels or moves to another date or time, for any previously unscheduled shift that the employer requires an employee to work, or for each on-call shift for which an employee is required to be available but is not called in to work that shift.</td>
<td>Last Amended on 3/15/2016</td>
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<td>SB 882 Hertzberg D</td>
<td>S. APPR. 4/15/2016-Set for hearing April 25. 4/25/2016 10 a.m. - John L. Burton Hearing Room (4203) SENATE APPROPRIATIONS, LARA, Chair</td>
<td>Current law makes it an infraction or a misdemeanor to evade the payment of a fare on a public transit system, to misuse a transfer, pass, ticket, or token with the intent to evade the payment of a fare, or to use a discount ticket without authorization or fail to present, upon request from a transit system representative, acceptable proof of eligibility to use a discount ticket. This bill would prohibit the minor from being charged with an infraction or a misdemeanor for those acts.</td>
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<td><strong>SB 1197</strong> &lt;br&gt; Cannella R</td>
<td>S. T. &amp; H. &lt;br&gt; 4/14/2016-April 19 hearing postponed by committee.</td>
<td>Current law defines the boundaries of 3 intercity rail corridors, and requires the preparation of an annual business plan for the corridor by each participating joint powers board. This bill, at any time after an interagency transfer agreement between the department and a joint powers board has been entered into, would authorize the amendment of the agreement to provide for the extension of the affected rail corridor to provide intercity rail service beyond the defined boundaries of the corridor. The bill would require a proposed extension to first be recommended and justified in the business plan adopted by the joint powers board, and then would require the approval of the Secretary of Transportation.</td>
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<tr>
<td><strong>SBX1 2</strong> &lt;br&gt; Huff R</td>
<td>S. T. &amp; I.D. &lt;br&gt; 9/1/2015-September 1 set for first hearing. Failed passage in committee.</td>
<td>Would provide that those annual proceeds shall be appropriated by the Legislature for transportation infrastructure, including public streets and highways, but excluding high-speed rail. This bill contains other existing laws.</td>
<td>Oppose</td>
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<tr>
<td><strong>SBX1 7</strong> &lt;br&gt; Allen D</td>
<td>S. APPR. &lt;br&gt; 9/3/2015-Read second time and amended. Re-referred to Com. on APPR.</td>
<td>Would restrict expenditures of revenues from the July 1, 2016, increase in the sales and use tax on diesel fuel to transit capital purposes and certain transit services. The bill would require an existing required audit of transit operator finances to verify that these new revenues have been expended in conformance with these specific restrictions and all other generally applicable requirements. This bill contains other related provisions and other existing laws.</td>
<td>Support</td>
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<td><strong>SBX1 8</strong> &lt;br&gt; Hill D</td>
<td>S. APPR. &lt;br&gt; 9/2/2015-From committee: Do pass and re-refer to Com. on APPR. &lt;br&gt; (Ayes 8. Noes 0. Page 57.) Re-referred to Com. on APPR.</td>
<td>Current 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 instead continuously appropriate 20% of those annual proceeds to the Transit and Intercity Rail Capital Program, and 10% of those annual proceeds to the Low Carbon Transit Operations Program, thereby making an appropriation. This bill contains other current laws.</td>
<td>Support</td>
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