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

September 1, 2016 – Thursday 10:00 a.m.

1. Pledge of Allegiance

2. Call to Order/Roll Call

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

4. Consent Calendar
   Members of the public or Board may request that an item under the Consent Calendar be considered separately
   a) Approval of Minutes of August 4, 2016
   b) Acceptance of Statement of Revenues and Expenses for July 2016

5. Chairperson’s Report

6. Report of the Citizens Advisory Committee

7. Report of the Executive Director
   a) Proclamation Declaring September as Railroad Safety Month
   b) Caltrain Modernization Update


9. Authorize Staff to Proceed with an Interim Financing for the Peninsula Corridor Electrification Project in an Amount Not to Exceed $150 Million

10. Authorize Execution of Supplemental Agreement No. 2 with Pacific Gas and Electric for Oversight of Caltrain Design and Construction of 115 Kilovolt Interconnections and Environmental Review of Infrastructure Build Outs in Support of the Peninsula Corridor Electrification Project in an Amount Not to Exceed $1 Million

11. Authorize Execution of Supplemental Agreement No. 5 with Pacific Gas and Electric for Interim Power Design and Construction Services in Connection with the Peninsula Corridor Electrification Project in an Amount Not to Exceed $3.5 Million

Note: All items appearing on the agenda are subject to action by the Board. Staff recommendations are subject to change by the Board.
12. Award of Contract to DMZ Builders for the Los Gatos Creek Bridge Replacement Project in the Total Amount of $17,998,000  
RESOLUTION

INFORMATIONAL

14. Legislative Update  
INFORMATIONAL

15. Correspondence

16. Board Member Requests

17. Date/Time of Next Regular Meeting: Thursday, October 6, 2016, 10 a.m. at San Mateo County Transit District Administrative Building, Bacciocco Auditorium, 2nd Floor, 1250 San Carlos Avenue, San Carlos, CA 94070

18. General Counsel Report


   b) Closed Session: Conference with Legal Counsel – Existing Litigation Pursuant to Government Code Section 54956.9(d)(1): Hue Qin Xu, by and through her Guardian ad litem Suzie Tan Wong v. Transit America Services, Inc., et al., San Francisco Superior Court, Case No. CGC 13-534880

   c) Closed Session: Conference with Real Property Negotiators Joan L. Cassman, General Counsel, Brian W. Fitzpatrick, Manager, Real Estate and Property Development, and Gary Cardona, Senior Real Estate Officer, pursuant to Government Code Section 54956.8:

      Under negotiation: Price and terms of contract.

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<th>Property Location</th>
<th>Owner</th>
<th>APN</th>
<th>JPB Parcel #</th>
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<tbody>
<tr>
<td>2817 S. El Camino Real</td>
<td>Flynn Brothers, LLC</td>
<td>039-351-100</td>
<td>JPB-SM-0041</td>
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<td>116 E. 25th Avenue</td>
<td>Christopher Niehuis</td>
<td>039-084-140</td>
<td>JPB-SM-0034 &amp;-36</td>
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<td>2135 Palm Avenue</td>
<td>Dillon Management Company</td>
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<td>JPB-SM-0031</td>
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<td>SW &amp; NW corner of E. 25th Avenue and Delaware Street San Mateo, CA 94403</td>
<td>County of San Mateo</td>
<td>039-087-020</td>
<td>JPB-SM-0052 &amp;-53</td>
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<td>2747 S. El Camino Real</td>
<td>Hilda Lai, Trustee of Lai Family Trust</td>
<td>039-351-070</td>
<td>JPB-SM-0039</td>
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<th>JPB Parcel #</th>
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<td>Security Public Storage, a CA limited partnership</td>
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<td>JPB-SM-0035 &amp; -37</td>
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<td>039-084-150</td>
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<tr>
<td>3025 S. El Camino Real</td>
<td>Bohannon Development Company</td>
<td>039-360-060</td>
<td>JPB-SM-0049</td>
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<td>039-360-070</td>
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<td>2925 South El Camino Real</td>
<td>Sandra Weil, Trustee of the Sandra Weil Trust Agreement dated April 1, 1993; Karen Weil Morris; Susan Weil Lakatos, Trustee under the Susan W. Lakatos Separate Property Trust Agreement dated February 8, 1993; Uri Rot and Evelyn Weil Rot, Trustees under the Rot Family Trust dated August 23, 1991; and Sandra Weil, Karen Weil and Susan Lakatos, Co-Trustees of the Bypass Trust under the Ernest Weil Family Trust Agreement dated September 16, 1986, as amended; All as tenants in common as there interests might appear</td>
<td>039-360-120</td>
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19. 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 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.
Vice Chair José Cisneros called the meeting to order at 10:07 a.m. and led the Pledge of Allegiance.

PUBLIC COMMENT
Vaughn Wolfe, Pleasanton, said New York electrified their railroad between 1906 and 1913 and this region is 100 years behind. This electrified rail could handle many other railroad operators like Amtrak does on the Northeast corridor.

Roland Lebrun, San Jose, said the American Public Transportation Association (APTA) report on the Communications-based Overlay Signal System (CBOSS) echoed the letter he wrote to the Board three years ago. A staff cover up resulted in a two-month delay in the release of the report. He asked what action the Board proposes to take in regard to LTK Engineering, who is responsible for writing the CBOSS specifications and drafting the Request for Proposal (RFP). It has come to light that LTK Engineering was working with Stadler up to a year prior to drafting the RFP for Electric Multiple Units (EMUs), which specifically excluded the only train that could handle Caltrain’s current and future capacity requirements. The result is an award to Stadler, a boutique manufacturer without a manufacturing facility in the United States. He requested the Board direct staff to suspend all negotiations with Stadler pending the results of an independent investigation into this situation. The only alternative is a Federal grand jury.

George Kranen, Belmont, proposed a public art project to commission a composer to compose music to cover up the screeching sound of train brakes.

Chair Perry Woodward arrived at 10:12 a.m.

Ken Bukowski, Emeryville, said he is video recording the meeting and it is available online at regional-video.com.

CONSENT CALENDAR
a) Approval of Minutes of July 7, 2016
b) Information on Statement of Revenues and Expenses for June 2016
c) Authorize Approval and Ratification of the Fiscal Year 2017 Insurance Program at a Total Premium Cost Not To Exceed $4,465,147
Motion/Second:  Cisneros/Tissier
Ayes:  Cisneros, Cohen, Gee, Guilbault, Ramos, Tissier, Woodward
Absent:  Peralez, Yeager

CHAIRPERSON’S REPORT
Resolution of Appreciation to Chuck Harvey, Deputy CEO
Chair Woodward presented a Resolution of Appreciation to Deputy CEO Chuck Harvey, who retired after a 35-year career in transportation, including 15 years being directly responsible for the operation and development of the Caltrain Peninsula Commuter Rail Service.

Public Comment
Jeff Carter, Millbrae, said he appreciates all the work Mr. Harvey has done, the pushing Mr. Harvey has done to make Caltrain better and Mr. Harvey’s appreciation for Caltrain advocates.

Andy Chow, Redwood City, said Mr. Harvey knows transportation. Mr. Harvey tells transportation advocates the reality of what can and cannot be done considering available resources.

Adina Levin, Friends of Caltrain, thanked Mr. Harvey for leading and getting Caltrain functioning under difficult circumstances.

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

REPORT OF THE CITIZENS ADVISORY COMMITTEE (CAC)
Martha Martinez, Executive Officer, District Secretary/Executive Administration, said a written report is in the Board Reading File and at the back table.

REPORT OF THE EXECUTIVE DIRECTOR
Peninsula Corridor Electrification Project Quarterly Update
Dave Couch, Project Delivery Director, presented:
- Electrification infrastructure
  - Design Build Contract
    - Best value proposal: Balfour Beatty
    - Negotiations through end of June
  - Pacific Gas and Electric
    - Master agreement executed
    - Continue coordination on Power Quality study
  - Tunnel modifications
    - 65 percent design plans completed
    - Final design targeted for the end of 2016
  - Centralized Equipment Maintenance and Operations Facility (CEMOF)
    - Schematic design complete
    - Preliminary design to start once vehicle design is available
Director Ken Yeager arrived at 10:33 a.m.

- **Utility relocation**
  - Monthly utility coordination meetings continued with telecommunication and power carriers
  - Final verification requests were submitted to utility companies

- **EMUs**
  - **EMU contract**
    - Single proposer: Stadler
    - Negotiations through end of June
  - **EMU related activities**
    - Buy America pre-award audit conducted at Salt Lake City facility
    - Continue work on system interface matrix

- **Safety**
  - Hazard Management Plan complete
  - Integrating utilization of IndustrySafe application into project lifecycle
  - Internal audit of Safety and Security Management Plan
  - Started updated of the Caltrain Roadway Worker Protection Program

- **Third party agreements**
  - City/county agreements: 10 approved, nine in-process
  - Cooperative agreements: San Mateo and Santa Clara counties approved, San Francisco in-process
  - Utilities: California Public Utilities Commission operating rules in-process
  - Transportation: California State Department of Transportation in-process

- **Schedule**
  - Environmental clearance – January 2015
  - LNTP – July 2016
  - Notice to Proceed (NTP) – spring 2017
  - Electrification infrastructure construction – 2017 – 2020
  - First train set delivered – 2019
  - Final system testing – 2020
  - Rollout first passenger service with electric trains – 2021

Liria Larano, Deputy Chief, Caltrain Modernization (CalMod)/Caltrain Program Delivery, presented:

- **Budget and expenditure**
  - Electrification: budget $679 million, actual this quarter $0
  - EMU: budget $551 million, actual this quarter $0
  - Separate contract and support: budget $416 million, actual this quarter $4.42 million
  - Contingency: budget $316 million, actual this quarter $0
  - Peninsula Corridor Electrification Project (PCEP) total: budget $1.98 billion, actual this quarter $5.42 million

- **Funding update**
  - Seven-party Supplemental Memorandum of Understanding (MOU)
    - Approved: JPB, Santa Clara Valley Transportation Authority (VTA), San Mateo County Transportation Authority, San Francisco County
Transportation Authority, Metropolitan Transportation Commission (MTC)
  • Scheduled: California High-Speed Rail Authority (CHSRA) (August 9), city and county of San Francisco (August 8)
    o Federal Transit Administration (FTA) Core Capacity
      ▪ First quarterly meeting with FTA headquarters and region
      ▪ Preparing for Fiscal Year (FY) 2018 President Budget
      ▪ Finalizing documentation for engineering phase
      ▪ Preparing to request the Full Funding Grant Agreement (FFGA)

• Risk/quality/environmental
  o Risk management
    ▪ 223 risks; 97 retired
    ▪ Top risk: overhead utility relocation
  o Quality
    ▪ Four internal audits conducted
    ▪ Zero non-conformance reports issued
  o Environmental consultation and permits
    ▪ Completed Section 106 process
    ▪ Completed Section 7 Endangered Species Act
    ▪ Ongoing coordination other permits

• Real estate
  o 66 appraisal packages
  o 21 appraisals completed
  o Two acquisition offers

• Community/Disadvantaged Business Enterprises (DBE)
  o Community relations
    ▪ 48 community presentations
    ▪ Press releases, website updates
    ▪ Many stakeholder meetings (State and Federal staff, city/county staff, advocacy groups, chambers and businesses)
  o DBE participation and labor
    ▪ To be determined

Director Gee suggested future reports have an added category on budget expenditure and forecast on completion so the Board will know where the project is headed in a proactive manner and can make adjustments sooner.

Michelle Bouchard, Chief Operating Officer, Rail, said APTA conducted a peer review of the Caltrain Positive Train Control (PTC) Project, an unfunded mandate. The project is nearing integration and dealing with interoperability. The peer review was conducted in light of the news that the project was going to be late largely due to software issues. The peer review panel made programmatic and technical recommendations. Staff felt it was important to re-baseline the program team leadership to create a healthier engagement with the contractor. A new program director was hired and the management of the program was reorganized at the top. The peer review’s recommendation was to bring resources to Caltrain, including a configuration manager and a systems engineer who would be experts in PTC and would deliver the complex systems involved. Recruitment for these positions is underway. A “go live” planning team has been established, whose task is to establish
how the JPB rolls out the operations and maintenance of the PTC program and transition it from the implementation phase. The contract operator will be involved in operation and maintenance of some components of the PTC system. A re-baselined schedule is expected from the contractor in the coming weeks. There was also an issue of engagement to ensure accountability at all levels of the project organization. Additional weekly and monthly calls have been established to address this issue. The project is technically sound and suits all of the legal requirements. The technical recommendation was to try to get Caltrain enforced under PTC in revenue service demonstration as soon as possible. This will require engagement from the Federal Railroad Administration.

Director Raul Peralez arrived at 10:49 a.m.

Jim Hartnett, Executive Director, said:

- The Local Policy Makers Group (LPMG) met on July 28 and was hosted by CHSRA, which gave a presentation on comments they received during the environmental scoping process. Key scoping comments included traffic due to increased trains, safety effects at stations due to increased trains and speeds, and the need for grade separations. They also discussed station planning efforts and indicated they plan to release their preliminary Preferred Alternative in the fall of 2016.
- The Transit America Services Inc. (TASI) contract expires at the end of June, 2017. Staff has been directed to engage in discussions with TASI to determine if there are a set of changes to the existing contract that staff would like to see in order to secure cost effectiveness, performance, safety, reliability, and customer experience in exchange for the consideration of a contract extension. Discussions are beginning and an update to the Board is anticipated in October.
- July on-time performance (OTP) was up compared to July of 2015. OTP monitoring shows that in July, other than the days where there was a vehicle strike, OTP was over 95 percent.
- Special event train service:
  - San Francisco Giants baseball service carried 89,000 riders in July.
  - Levi’s Stadium football service carried 1,100 riders.
  - Gilroy Garlic Festival charter service carried close to 800 riders.
- Capital projects:
  - Funding for the San Mateo 25th Avenue Grade Separation Project, pursuant to an MOU, is on the CHSRA agenda next week.
  - Los Gatos Creek Bridge award of contract is expected by the fall of 2016.
  - San Francisco Crew Facilities rehabilitation work continues.
  - Train departure monitors projects at 4th and King and San Jose Diridon stations are ongoing. Completion is expected in winter 2016.

Public Comment
Walter Allen, Oakland, said he appreciates the JPB’s efforts for the ongoing disparity study. Small Business Enterprise (SBE) utilization for the PCEP is 5 to 6 percent. CHSRA and the Los Angeles County Metropolitan Transportation Authority, the city of San Francisco and the San Francisco airport have 30 percent SBE goals. He said a higher goal is achievable if the political will is there. He asked the Board to look for ways to increase small business utilization on the project. The majority of businesses are
small businesses. He fully supports the JPB’s efforts in the lesbian, gay, bi-sexual, and transgender (LGBT) program for small businesses, but asked that the JPB also look at veterans who are sometimes forgotten. He asked that the JPB increase the percentage of the SBE goal.

Roland Lebrun, San Jose, said the 4th Quarter Progress Report states DBE and labor statistics will be reported after construction has commenced. The JPB has blown a total of $64 million on electrification program management oversight. He asked how much of it was for DBE participation. The JPB spent $12 million on EMUs, but does not know on what. He said the report states if overhead utilities are not relocated on time the electrification contractor may incur delays. He said the entire peninsula was just dug up to put in fiber, but he is told workers still don’t know where utilities are and this needs to be addressed. The report states processes are not sufficiently flexible to allow the design-build contractor to maximize efficiencies. He said this is why bids are coming in so high. He said poles are in the wrong place. He said the CBOSS project is not ahead of the pack.

Adina Levin, Friends of Caltrain, said this is a multi-piece puzzle. A piece in San Francisco got moved from this week to next week to create time for the controller’s office to look at oversight protocol to give assurance there is sufficient oversight to address issues and potential cost increases. Delaying the project would incur different and large costs. She urged San Francisco board members to look at it in terms of a regional project and take the step to move the project forward.

Paul Wendt, Belmont, thanked the Board for providing special event service for Opera in the Ball Park. He said he thought CBOSS took care of PTC.

**KEY CALTRAIN PERFORMANCE STATISTICS JUNE 2016**

Ms. Bouchard said:

- Key Caltrain Performance Statistics June 2016 compared to June 2015:
  - Monthly Performance Statistics:
    - Average Weekday Ridership (AWR) was 65,049.
  - Year-to-date Performance Statistics:
    - Total ridership was 19,233,427.
    - AWR increased by 3.2 percent.
    - Total farebox revenue was $89,104,295.
- Because of capacity constraints, there may be some reduced ridership gains. A sixth six-car train set was deployed on July 25 on a couple of the most loaded trains in the peak period. Staff is trying to balance the addition of capacity with taking capacity away for state of good repair activities.
- There has been a delay in the inspection for the locomotive lease. Staff expects to inspect the locomotives in late August.

**Public Comment**

Roland Lebrun, San Jose, said Caltrain is at the point where it can’t grow any more. He pointed out to the MTC the fact that 11 of the 16 Metrolink cars are parked in CEMOF. When cars were released it increased the capacity of the line by 20 percent and Caltrain totally transformed itself. In the next six months ridership will grow up more than 5 percent over previous year.
AUTHORIZE ENTERING INTO A MOU WITH THE SAN FRANCISCO MUNICIPAL TRANSIT AGENCY (SFMTA) TO JOINTLY FUND LAST-MILE SHUTTLE SERVICE FOR THE SAN FRANCISCO CALTRAIN STATION TERMINAL FOR AN ESTIMATED ANNUAL NOT-TO-EXCEED COST OF $250,000

Gigi Harrington, Deputy CEO/Chief Administrative Officer, said the SFMTA provides heavily used shuttle service from Caltrain on Route 81 and Route 82x. This is an old agreement that is being refreshed and has been in discussion with SFMTA for two years.

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

AUTHORIZE ADOPTION OF MITIGATED NEGATIVE DECLARATION (MND) AND MITIGATION MONITORING AND REPORTING PLAN (MMRP) AND APPROVAL OF SOUTH TERMINAL PHASE II PROJECT

Ms. Larano presented:
- Project is located in the city of San Jose between south end of CEMOF and north end of San Jose Diridon Station, and some work will be done north of CEMOF
- Current track layout and operation
  - Three mainline tracks (MT) between CEMOF and Diridon Station (MT-1, MT-2, and MT-3)
  - Revenue service for Caltrain, Altamont Corridor Express, Capitol Corridor, Amtrak, and Union Pacific
  - Nonrevenue moves to and from CEMOF
  - Operational bottleneck between CEMOF and Diridon Station
- Project scope
  - Construct a fourth track (approximately 2,000 feet) between CEMOF and Diridon Station
  - Install a crossover north of CEMOF and additional crossovers between CEMOF and Diridon Station
  - Install new signal bridges
  - Reconstruct interlocking and signal systems
  - Reconstruct and realign existing tracks
- Project benefits
  - Provides operational flexibility and minimizes delays by allowing parallel revenue and nonrevenue train moves
  - Improves service reliability by providing ability for Caltrain service to respond to unplanned events
  - Facilitates capacity increase for Caltrain and Caltrain’s tenants
- Environmental process
  - Purpose: obtain California Environmental Quality Act (CEQA) and National Environmental Policy Act (NEPA) clearances
  - Lead agencies
    - CEQA: JPB
    - NEPA: FTA
  - Environmental analysis – all subject areas studied
  - Status
    - CEQA: analysis complete; proposed JPB action
    - NEPA: in progress
• Environmental analysis
  o Right-of-way acquisition
    • Acquire three parcels for a total of 15,703 square feet
    • No building displacements or alterations
    • Impact to parking spaces at the city of San Jose SAP Center - coordination with city of San Jose to mitigate parking impacts
  o Noise
    • Construction noise – mitigate by monitoring and outreach
    • Additional track noise – mitigate by relocating existing and installing additional track lubricators
  o Cultural resources
    • No adverse effect on Diridon Station Historic District
    • Potential archaeological resources – mitigate by monitoring during excavation
• CEQA compliance
  o Prepared and published a Draft Initial Study/Mitigated Negative Declaration (IS/MND)
  o Compiled and addressed public comments
  o Prepared Final MND and MMRP
  o Performed public outreach
  o Coordinated with the city of San Jose
• Public and regulatory outreach
  o Publication of CEQA Notice of Availability/Notice of Intent in local newspapers (April 8, 2016)
  o Publication of Draft IS/MND environmental document with State Clearinghouse (April 8, 2016)
  o Public comment period on the IS/MND document (April 11 to May 10, 2016)
  o Public meeting in San Jose (April 21, 2016)
  o Project website, e-mail address and telephone hotline
• Next steps
  o Request Board adoption of the Final MND and MMRP
  o Complete NEPA review process – winter 2016
  o Identify funding sources for final design and construction phases
  o Continue coordination with city of San Jose
  o Provide project updates to the public

Public Comment
Roland Lebrun, San Jose, said everything will have to be ripped out because of what Bay Area Rapid Transit (BART) intends to do in that area. He suggested phasing this project. The project should go up to Santa Clara on first phase. The other phase will be done when BART and high-speed rail are worked on. He said a track should not be placed on the east side because the San Jose Sharks may sue. Nonrevenue moves are a problem because CEMOF is in the way and should be relocated.

Doug DeLong, Mountain View, said the city of San Jose owns the environmental liability for the former coal plant that was on the site of the arena, and Caltrain will acquire some of this liability by moving the right of way to the east just to avoid buying decrepit industrial property. This is a poorly chosen design for the future of Caltrain.
Motion/Second: Tissier/Cisneros  
Ayes: Cisneros, Cohen, Gee, Guilbault, Peralez, Ramos, Tissier, Yeager, Woodward

AUTHORIZE AMENDMENT TO THE INVESTMENT POLICY AND REAUTHORIZATION TO INVEST MONIES WITH THE LOCAL AGENCY INVESTMENT FUND

Eli Kay, Chief Financial Officer, said this action is to amend the investment policy benchmarks to align with the portfolio and to update investment descriptions to those used in California State code. The JPB investment policy has always been in accordance with sound treasury management practices and compliant with the objects of safety, liquidity, and return.

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

CALTRAIN FARE POLICY STUDY OVERVIEW

Liz Scanlon, Manager, Caltrain Planning, presented:

- Background
  - Last Caltrain fare study 2001 and much has changed since
  - Caltrain lacks dedicated funding source
  - Strategic Plan includes number of objectives related to fares and revenue
- Study purpose
  - JPB requested study of fare policy and structure to:
    - Identify potential opportunities to maximize revenue
    - Enhance ridership
    - Safeguard social and geographic equity
- Scope of study – two phases
  - Phase I
    - Technical studies to determine correct fare elasticity
    - Includes study of current structure and passes as well as industry best practices
    - Using technical data, fully scope Phase II
  - Phase II
    - Draft and evaluate fare policy
    - Public and stakeholder outreach
- Key questions
  - How much revenue can/should Caltrain generate from fares
  - Is the current fare and pass structure the right fit for Caltrain
  - How should Caltrain phase and implement changes to its fare system
  - Parking is an important element because it is a revenue generator
    - Staff will look at parking as part of the study, but it will be a subset of the fare study
- Phase 1 Tasks
  - Task 1 – refine purpose and need
  - Task 2 – existing conditions and background
  - Task 3 – develop survey scope
  - Task 4 – research and peer review
  - Task 5 – fare elasticity modeling
  - Task 6 – develop phase 2 scope
• Study timeline
  o Summer/fall 2016
    ▪ JPB and CAC update
    ▪ Consultation solicitation and selection
    ▪ Complete Tasks 1 - 3
  o Winter/spring 2017
    ▪ Complete Tasks 4 - 5
    ▪ JPB and CAC milestone update
  o Summer/fall 2017
    ▪ Complete Task 6
    ▪ JPB and CAC milestone update
    ▪ Initiate Phase II
• Outreach and stakeholder engagement
  o Phase I – research oriented
    ▪ Technical Advisory Committee (TAC)
    ▪ Rider surveys
    ▪ JPB and CAC
  o Phase II – policy promulgation and implementation
    ▪ All of the above plus
    ▪ Public meetings
    ▪ Title VI process
• Next steps
  o Presentation to CAC (8/17)
  o Development of TAC
  o Consultation solicitation

Director Gee said when a fare study and elasticity study are done, operations and service can’t be ignored. More trains can’t be added at peak times, but there might be room to add something on the shoulders or a later train coming out of San Jose or San Francisco. He asked to what extent explorations of additional trains can be included with this fare study. Ms. Scanlon said the scope asked about peak hour pricing or congestion pricing. She said staff can explore the concept to try to spread the capacity across more hours of the day via a pricing mechanism.

Director Gee said staff should find a way to study the possibility of adding a few more trains such as a midnight train out of San Jose or a 1 a.m. out of San Francisco in this exercise.

Director Joël Ramos said San Francisco and Redwood City have a dynamic parking structure. Anyone at any time should have confidence there will be parking availability at Caltrain parking lots. The way to do that is to find the sweet spot in the pricing. The occupancy indicates what the rates should be. If Caltrain parking lots are maxed out then the JPB is charging too little for parking. He encouraged staff to think about what it would take to get passengers to use shoulder hour trains and off-peak trains by reducing fares or by making them free. Engineering, operations, and infrastructure are already paid for. Some other transit agencies have free transit service already, such as downtown Oakland shuttle and the Emery Go Around. Many people are priced off the train system now and there is a perception that Caltrain is unaffordable for many people. It might be worth considering augmenting the outreach to go beyond existing
riders and finding ways to reach out to potential riders that live near the station that aren’t riding the train. The JPB should build a fare structure system that will capture those riders.

Director Adrienne Tissier asked if the public engagement during the second phase will be reaching out to businesses. It would be good to find out why employees aren’t taking Caltrain or SamTrans if they are somewhere in the transit corridor. Perhaps adding more capacity versus raising fares is the solution. She would like to see as much outreach as possible.

Director Rose Guilbault said the Safety and Security Report shows an extremely high rate of parking citations and asked if this is because of illegal parking or people not paying for parking. She asked how that would impact an increase in the rates. Ms. Scanlon said she will have to get back to the Board on this issue.

Public Comment
Vaughn Wolfe, Pleasanton, said the JPB doesn’t know how many riders Caltrain can carry because the number of trains being run is based on the budget. He asked if Caltrain picked up more riders where they would be put and how the JPB would pay for it. Studies are a good idea. He suggested the JPB study how to maximize ridership and whatever it would cost, the required number of cars and trains. This will help to plan for long-range service expansions.

Roland Lebrun, San Jose, said Virgin Trains in the United Kingdom does not increase fares, they increase the number of seats. When the seats are not full Virgin starts discounting fares. Caltrain is too expensive. In Europe they discount off-peak trains instead of charging peak pricing. To cut costs, the JPB should change the managing agency for Caltrain, which would save $15 million. There is a massive fare evasion problem during Giants service trains.

George Kranen, Belmont, said the JPB should remember they are providing a public service and a public good. Belmont went from free parking to $5 all day. The parking lot is really empty now. There is a lot of curbside parking in the area. He urged that during this study the Board consider adopting BART’s parking model where they charge for parking during peak hours and off peak is free. This would encourage off-hours ridership on Caltrain. Getting cars off the freeway is a public good.

Jeff Carter, Millbrae, said staff should look at why lower income riders don’t ride Caltrain. He hears it is too expensive. He asked what is being done to secure dedicated funding so the JPB doesn’t have to look at fares and one-time sources of funding. Congestion pricing is not a good idea for Caltrain. Lowering the off peak fares is worth exploring. He asked how Go Pass ridership and revenue gets calculated.

Adina Levin, Friends of Caltrain, said the Go Pass is helpful to increase ridership and delivers great value, but there are ways corporations are not getting the value they want and there is room for improvement. Caltrain is short on equity to safeguard. Palo Alto’s Transportation Management Association showed there are potential users who could use Caltrain but are priced out and there are ways to get priced out people to ride in ways that are revenue neutral to Caltrain but that can take cars off the road.
and give people opportunities and be fairer.

Andy Chow, Redwood City, cautioned the JPB from making fares extremely complicated. Fare discount for off peak trains should be explored. Diridon Station and Tamien Station are packed, and there could be a discount program to divert those riders to other stations and to gain new riders from San Jose without having to make expensive improvements at Tamien and Diridon stations.

**MTC TRANSIT SUSTAINABILITY PROGRAM (TSP) PROGRESS UPDATE**

Sebastian Petty, Principal Planner, presented:

- **Agencies involved**
  - Alameda-Contra Costa Transit District
  - BART
  - Caltrain
  - Golden Gate Transit and Ferry
  - SFMTA
  - SamTrans
  - VTA

- **MTC requirements**
  - March 2013: adopted strategy
  - By 2017: 5 percent reduction in one of the following
    - Cost per service hour
    - Cost per passenger
    - Cost per passenger mile
  - Post 2017: no increase beyond consumer price index (CPI)
  - 2019: MTC links funding to performance
  - Annual monitoring report to MTC

- **Caltrain performance**
  - Cost per service hour: target: $471.58
    - FY2013: $515.69, FY2014: $525.81, FY2015: $535.38
  - Cost per passenger: target: $7.77
    - FY2013: $5.90, FY2014: $5.70, FY2015: $5.48
  - Cost per passenger mile: target: $0.30
    - FY2013: $0.27, FY2014: $0.26, FY2015: $0.22

- **Strategy progress**
  - Ongoing system reliability and efficiency programs
    - State of good repair program
    - Reliability/enhancement programs
    - Fuel hedging program

  Director Malia Cohen left at 11:54 a.m.

- **Specific ridership building initiatives**
  - Added bombardier cars
  - Bike access improvements
  - Off-peak marketing and event promotion
  - CalMod Program
Public Comment
Roland Lebrun, San Jose, said it is important to add cars, not necessarily trains, because the cost is very low to add a car but if a train is added the JPB would have to pay for crew. Since the JPB increased the train length, the amount of time waiting at platforms has increased because of the timetables. The JPB needs to look at seven-car trains.

LGBT BUSINESS ENTERPRISE PROGRAM PRESENTATION
John Barker, Manager, Civil Rights Programs, presented:
- LGBTBEs in existing programs
  - LGBTBEs that gross less than $23 million annually likely qualify for:
    - The JPB’s small business preference
    - The JPB’s DBE Program if owners are minority, female, or white-male facing social disadvantages
- Issue: DBE program exclusivity
  - LGBTBE goals cannot be incorporated into the JPB’s DBE Program
    - 49 CFR 26.45 (h): overall goals must provide for participation by all certified DBEs and must not be subdivided into group-specific goals
  - LGBTBE goals cannot be used for United States Department of Transportation-funded contracts
- Issue: few non-Federal contracts
  - $1,560,181: four non-Federal contracts
  - $43,728,816: six Federal contracts
- Example: VTA
  - VTA’s business diversity program includes a goal for LGBT, disabled veteran, minority, and women-owned business
    - Not implemented on Federally funded contracts
    - Sets aspirational goals, monitors progress, and educations contractors
    - Does not grant preferential treatment to any group
- Staff recommendation
  - Encourage LGBTBEs to participate in JPB’s existing SBE and DBE programs
  - Promote statewide LGBTBE certification through the California Public Utilities Commission
  - As LGBTBE certification becomes prevalent, monitor JPB utilization of LGBTBEs

Director Ken Yeager asked how staff plans to go about encouraging businesses to participate in these programs. San Francisco has the Golden Gate Business Association and Santa Clara County has the Rainbow Chamber. He asked if the plan is to let them know there are possibilities available and asked if there are workshops or other methods to reach out. Mr. Barker said the best first steps are to find out who in the area supports LGBT businesses. The largest group he is aware of is the National Gay and Lesbian Chamber of Commerce, who does their own LGBT certification aside from any other agency. When the JPB does SBE and DBE outreach, staff reaches out to African American and Hispanic chambers of commerce and other interest groups in this area, so it is a matter of including LGBT interest groups.

Director Yeager asked if staff has not already been reaching out to LGBT interest groups. Mr. Barker said he can’t speak to what has been done, but the JPB needs to
make sure it is being inclusive.

Director Yeager said he would like an off-agenda report about the outreach and the areas staff is thinking about reaching out to as a way to reflect the work staff is doing so the Board can make suggestions.

Director Tissier said San Mateo County created a lesbian, gay, bi-sexual, transgender, and queer commission. It is fairly new and may be a good group to go to. Supervisor Dave Pine’s office is the lead.

Public Comment
Walter Allen, Oakland, said he supports this program but would like to make it bigger in the overall small business engagement. Outreach is the first step. Then staff has to look at monitoring and the results. He said he would rephrase the question to ask how the LGBT integrate into the small business program. Small businesses need more jobs and opportunities and want to recycle their dollars locally. Small businesses are one way to involve young people. The small business community wants to partner with local agencies to find qualified employees.

LEGISLATIVE UPDATE
Casey Fromson, Manager, Government Affairs, said the information is in the staff report.

CORRESPONDENCE
No discussion.

BOARD MEMBER REQUESTS
None

DATE/TIME/PLACE OF NEXT REGULAR MEETING
The next meeting will be Thursday, September 1, 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
Joan Cassman, Legal Counsel, said there are two closed session items, one regarding the ongoing lawsuit between Atherton and the JPB, and the second is a real property closed session regarding the electrification project.

Recessed to closed session at 12:08 p.m.

b) Closed Session: Conference with Real Property Negotiators Joan L. Cassman, General Counsel, Elizabeth Scanlon, Manager, Caltrain Planning, pursuant to Government Code Section 54956.8:
Under negotiation: Price and terms of contract.

<table>
<thead>
<tr>
<th>Property Location</th>
<th>Owner</th>
<th>APN</th>
<th>JPB Parcel #</th>
</tr>
</thead>
<tbody>
<tr>
<td>823 Arguello St. Redwood City, CA 94063</td>
<td>Longview Trust</td>
<td>052-272-070</td>
<td>JPB-SM2-0130</td>
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<tr>
<td>911 Arguello St. Redwood City, CA 94063</td>
<td>Spencer 1995 Living Trust</td>
<td>052-272-030</td>
<td>JPB-SM2-0128</td>
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<td></td>
<td>052-272-040</td>
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</tr>
<tr>
<td>1300 Old County Rd. Belmont, CA 94002</td>
<td>Cohn Family Living Trust</td>
<td>045-241-240</td>
<td>JPB-SM2-0119</td>
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<tr>
<td>701 Harbor Blvd. Belmont, CA 94002</td>
<td>Harbor Service Station, LLC</td>
<td>045-246-130</td>
<td>JPB-SM2-0123</td>
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<tr>
<td>801 Arguello St. Redwood City, CA 94063</td>
<td>Masetti Trust</td>
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<tr>
<td>797 Arguello St. Redwood City, CA 94063</td>
<td>May Trust Agreement</td>
<td>052-272-110</td>
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<tr>
<td>923 Arguello St. Redwood City, CA 94063</td>
<td>Robert Mahony Trust</td>
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<td>JPB-SM2-0126</td>
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<td>1306, 1308 Old County Rd. Belmont, CA 94002</td>
<td>Ezzat Family 1999 Revocable Trust</td>
<td>045-241-130</td>
<td>JPB-SM2-0120</td>
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<tr>
<td>700 Harbor Blvd. Belmont, CA 94002</td>
<td>Klopcoki Bogdan</td>
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<td>T.B.T. Investments</td>
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<tr>
<td>1003 Arguello St. Redwood City, CA 94063</td>
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<td>919 Arguello St. Redwood City, CA 94063</td>
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<td>Kirberg Motors Inc.</td>
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<td>JPB-SM2-0116</td>
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<tr>
<td>899 Arguello St. Redwood City, CA 94063</td>
<td>Craig P Duling/ Mary Ellen Gaston</td>
<td>052-272-180</td>
<td>JPB-SM2-0129</td>
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<tr>
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<td>Chavez Family Revocable Trust</td>
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<td>JPB-SM2-0131</td>
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<td></td>
<td>052-272-090</td>
<td></td>
</tr>
<tr>
<td>1030 Old County Rd. Belmont, CA 94002</td>
<td>Traverso Living Family Trust</td>
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<tr>
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<td>JPB-SM2-0121</td>
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<td>045-241-160</td>
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<tr>
<td>1080 Old County Rd. Belmont, CA 94002</td>
<td>Chariot Unlimited, LLC</td>
<td>040-331-050</td>
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</table>
Reconvened to open session at 12:14 p.m.

Ms. Cassman said the Board convened in closed session to receive a status report on the CEQA lawsuit between Atherton and the JPB and a report on the real estate acquisition program for the electrification project and have given appropriate authorization to staff. There is no action to report.

Adjourned at 12:15 p.m.
AGENDA ITEM # 4 (b)
SEPTEMBER 1, 2016

PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT

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 JULY 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 July 2016 and supplemental information.

SIGNIFICANCE
Revenues: For July of Fiscal year 2017, Total Operating Revenue (line 7) is $276,698 or 3.2 percent better than budget. Within total operating revenue, Farebox Revenue (line 1) is $299,403 or 3.8 percent better than budget. Compared to the prior year, Total Operating Revenue (line 7) is $640,838 or 7.7 percent higher.

Expense: Grand Total Expenses (line 50) show a favorable variance of $1,556,969 or 12.4 percent. The Rail Operator Service (line 23) is $329,712 or 4.9 percent higher than budget, and Total Operating Expense (line 36) is $969,317 or 9.5 percent better than budget. Total Administrative Expense (line 46) is $587,652 or 26.3 percent better than budget.

Compared to prior year, Grand Total Expenses (line 50) are $782,216 or 7.6 percent higher.

Use of Reserves: For July 2016, the JPB did not use its reserves, mostly due to direct savings from fuel and lubricants.

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

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

**PENINSULA CORRIDOR JOINT POWERS BOARD**  
**STATEMENT OF REVENUE AND EXPENSE**  
**Fiscal Year 2017**  
**July 2016**

### Revenue

<table>
<thead>
<tr>
<th>OPERATIONS</th>
<th>CURRENT ACTUAL</th>
<th>PRIOR ACTUAL</th>
<th>YEAR TO DATE</th>
<th>REVISED BUDGET (A)</th>
<th>% REV BUDGET</th>
<th>% REV TO YEAR ELAPSED</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>OPERATIONS:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Farebox Revenue</td>
<td>8,163,456</td>
<td>7,564,426</td>
<td>8,163,456</td>
<td>7,864,053</td>
<td>103.8%</td>
<td>108.9%</td>
</tr>
<tr>
<td>Parking Revenue</td>
<td>446,360</td>
<td>395,486</td>
<td>446,360</td>
<td>389,942</td>
<td>114.5%</td>
<td>96.5%</td>
</tr>
<tr>
<td>Shuttles</td>
<td>14,032</td>
<td>151,794</td>
<td>14,032</td>
<td>144,283</td>
<td>104.0%</td>
<td>7.4%</td>
</tr>
<tr>
<td>Rental Income</td>
<td>150,083</td>
<td>151,794</td>
<td>150,083</td>
<td>144,283</td>
<td>104.0%</td>
<td>7.4%</td>
</tr>
<tr>
<td>Other Income</td>
<td>22,928</td>
<td>36,163</td>
<td>22,928</td>
<td>49,750</td>
<td>46.1%</td>
<td>3.8%</td>
</tr>
<tr>
<td><strong>TOTAL OPERATING REVENUE</strong></td>
<td>8,928,859</td>
<td>8,288,021</td>
<td>8,652,161</td>
<td>101,137,112</td>
<td>10.1%</td>
<td>10.1%</td>
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</table>

### Contributions

<table>
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<tr>
<th>CONTRIBUTIONS:</th>
<th>CURRENT ACTUAL</th>
<th>PRIOR ACTUAL</th>
<th>YEAR TO DATE</th>
<th>REVISED BUDGET (A)</th>
<th>% REV BUDGET</th>
<th>% REV TO YEAR ELAPSED</th>
</tr>
</thead>
<tbody>
<tr>
<td>AB434 Peninsula &amp; TA Shuttle Funding</td>
<td>134,154</td>
<td>166,616</td>
<td>134,154</td>
<td>157,923</td>
<td>84.9%</td>
<td>7.1%</td>
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<tr>
<td>Operating Grants</td>
<td>306,466</td>
<td>-</td>
<td>306,466</td>
<td>306,466</td>
<td>100.0%</td>
<td>8.3%</td>
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<tr>
<td>JPB Member Agencies</td>
<td>7,473,492</td>
<td>6,881,558</td>
<td>7,473,492</td>
<td>7,473,492</td>
<td>100.0%</td>
<td>36.5%</td>
</tr>
</tbody>
</table>

### Total Contribution Revenue

| **TOTAL CONTRIBUTED REVENUE** | 7,914,111 | 7,048,174 | 7,914,111 | 7,937,881 | 99.7% | 17.5% |

### Grand Total Revenue

| **GRAND TOTAL REVENUE** | 16,842,970 | 15,336,196 | 16,590,042 | 146,392,029 | 12.4% | 12.4% |

### Expense

<table>
<thead>
<tr>
<th>EXPENSE</th>
<th>CURRENT ACTUAL</th>
<th>PRIOR ACTUAL</th>
<th>YEAR TO DATE</th>
<th>REVISED BUDGET (A)</th>
<th>% REV BUDGET</th>
<th>% REV TO YEAR ELAPSED</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>OPERATING EXPENSE:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Rail Operator Service</td>
<td>7,010,275</td>
<td>6,029,887</td>
<td>7,010,275</td>
<td>6,680,563</td>
<td>104.9%</td>
<td>8.7%</td>
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<tr>
<td>Rail Operator Service-Other</td>
<td>-</td>
<td>100,000</td>
<td>-</td>
<td>168,750</td>
<td>0.0%</td>
<td>0.0%</td>
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<tr>
<td>Security Services</td>
<td>403,500</td>
<td>377,639</td>
<td>403,500</td>
<td>465,239</td>
<td>86.7%</td>
<td>7.2%</td>
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<tr>
<td>Rail Operator Extra work</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>10,400</td>
<td>0.0%</td>
<td>0.0%</td>
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<tr>
<td>Contract Operating &amp; Maintenance</td>
<td>7,413,775</td>
<td>6,507,526</td>
<td>7,413,775</td>
<td>7,324,952</td>
<td>101.2%</td>
<td>8.4%</td>
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<tr>
<td>Shuttles Services</td>
<td>369,515</td>
<td>377,639</td>
<td>369,515</td>
<td>451,108</td>
<td>81.9%</td>
<td>6.8%</td>
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<tr>
<td>Fuel and Lubricants</td>
<td>736,719</td>
<td>794,719</td>
<td>736,719</td>
<td>1,300,581</td>
<td>56.6%</td>
<td>4.7%</td>
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<tr>
<td>Timetables and Tickets</td>
<td>-</td>
<td>11,000</td>
<td>-</td>
<td>54,808</td>
<td>0.0%</td>
<td>0.0%</td>
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<td>Insurance</td>
<td>376,533</td>
<td>473,866</td>
<td>376,533</td>
<td>524,499</td>
<td>71.8%</td>
<td>6.0%</td>
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<tr>
<td>Facilities and Equipment Maint</td>
<td>109,187</td>
<td>158,592</td>
<td>109,187</td>
<td>218,683</td>
<td>49.9%</td>
<td>5.8%</td>
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<tr>
<td>Utilities</td>
<td>178,050</td>
<td>163,780</td>
<td>178,050</td>
<td>213,265</td>
<td>83.5%</td>
<td>7.0%</td>
</tr>
<tr>
<td>Maint &amp; Services-Bldg &amp; Other</td>
<td>91,778</td>
<td>91,728</td>
<td>91,778</td>
<td>156,976</td>
<td>58.5%</td>
<td>5.4%</td>
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<tr>
<td><strong>TOTAL OPERATING EXPENSE</strong></td>
<td>9,275,556</td>
<td>8,594,701</td>
<td>9,275,556</td>
<td>10,244,873</td>
<td>90.5%</td>
<td>8.0%</td>
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</tbody>
</table>

### Administrative Expense

<table>
<thead>
<tr>
<th>EXPENSE</th>
<th>CURRENT ACTUAL</th>
<th>PRIOR ACTUAL</th>
<th>YEAR TO DATE</th>
<th>REVISED BUDGET (A)</th>
<th>% REV BUDGET</th>
<th>% REV TO YEAR ELAPSED</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>ADMINISTRATIVE EXPENSE:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Wages and Benefits</td>
<td>720,619</td>
<td>820,948</td>
<td>720,619</td>
<td>743,973</td>
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<tr>
<td>Managing Agency Admin OH Cost</td>
<td>531,539</td>
<td>467,236</td>
<td>531,539</td>
<td>504,066</td>
<td>105.5%</td>
<td>8.0%</td>
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<td>Board of Directors</td>
<td>1,000</td>
<td>400</td>
<td>1,000</td>
<td>1,217</td>
<td>82.2%</td>
<td>6.8%</td>
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<tr>
<td>Professional Services</td>
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<td>170,648</td>
<td>268,096</td>
<td>527,599</td>
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<td>1,645</td>
<td>2,575</td>
<td>194,408</td>
<td>1.3%</td>
<td>1.1%</td>
</tr>
<tr>
<td><strong>TOTAL ADMINISTRATIVE EXPENSE</strong></td>
<td>1,645,135</td>
<td>1,543,774</td>
<td>1,645,135</td>
<td>2,232,787</td>
<td>73.7%</td>
<td>7.0%</td>
</tr>
</tbody>
</table>

### Long Term Debt Expense

| **LONG TERM DEBT EXPENSE** | 106,848 | 106,848 | 106,848 | 106,848 | 100.0% | 8.3% |

### Grand Total Expense

| **GRAND TOTAL EXPENSE** | 11,027,539 | 10,245,323 | 11,027,539 | 12,584,508 | 87.6% | 7.5% |

### Net Surplus / (Deficit)

| **NET SURPLUS / (DEFICIT)** | 5,815,432 | 5,090,873 | 5,815,432 | 4,005,534 | 145.18% | (0) |

---

*"% 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.*
## PENINSULA CORRIDOR JOINT POWERS BOARD

### INVESTMENT PORTFOLIO

#### AS OF JULY 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>
</tr>
</thead>
<tbody>
<tr>
<td>Local Agency Investment Fund (Restricted)</td>
<td>*</td>
<td>0.588%</td>
<td>$ -</td>
<td>$ -</td>
</tr>
<tr>
<td>Local Agency Investment Fund (Unrestricted)</td>
<td>*</td>
<td>0.588%</td>
<td>72,172</td>
<td>72,217</td>
</tr>
<tr>
<td>County Pool (Unrestricted)</td>
<td>**</td>
<td>0.795%</td>
<td>4,335,655</td>
<td>4,335,655</td>
</tr>
<tr>
<td>Other (Unrestricted)</td>
<td>Liquid Cash</td>
<td>0.000%</td>
<td>10,523,332</td>
<td>10,523,332</td>
</tr>
<tr>
<td>Other (Restricted)</td>
<td>***</td>
<td>0.150%</td>
<td>17,554,578</td>
<td>17,554,578</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>$32,485,782</td>
<td>$32,485,782</td>
</tr>
</tbody>
</table>

Accrued Earnings for July 2016 $ 5,199.70  
Cumulative Earnings FY2017 $ 5,199.70

(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 1.000621222 as reported by LAIF for quarter ending June 30, 2016.

** As of July 2016, the total cost of the Total County Pool was $4,351,746,913.10 and the fair market value per San Mateo County Treasurer’s Office was $4,369,196,079.25

*** 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: Seamus Murphy
Chief Officer, Communications

SUBJECT: PROCLAMATION DECLARING SEPTEMBER RAILROAD SAFETY MONTH

ACTION
Staff Coordinating Council recommends the Board proclaim September as “Railroad Safety Month.”

SIGNIFICANCE
The proclamation for “Railroad Safety Month” is a reaffirmation of the Peninsula Corridor Joint Powers Board’s commitment to provide safe and efficient train service between San Francisco and Gilroy. It is an opportunity to highlight the promotion and advancement of safety on the right of way through enhanced safety measures and increased public awareness.

This year, Caltrain will focus its attention on rail safety around at-grade crossings. Since 2015, Caltrain has experienced a significant increase in train collisions with vehicles, and pedestrian strikes continue to be an issue along the right of way.

For Rail Safety Month, Caltrain plans to launch a new series of rail safety Public Service Announcements that will target both motorists and pedestrians and will run on cable television throughout the month of September. Caltrain also plans to introduce a new Grade Crossing Awareness Public Safety program and highlight our Engineering Department’s grade crossing improvement plans over the next year.

Caltrain will also continue to push rail messaging through social media using #CaltrainSafe and has plans to improve the Safety and Security page on the Caltrain website.

BUDGET IMPACT
There is no impact on the budget.

BACKGROUND
Since September 2009, Caltrain has been participating in California Operation Lifesaver’s (CAOL) annual Rail Safety Month. CAOL is a nonprofit public safety
organization committed to reducing the number of tragic incidents at highway-rail grade crossing intersections and trespassing at railroad rights of way.

As a member and community partner of CAOL, Caltrain staff makes year-round, free rail safety presentations to all age groups by educating the community on the three E's of rail safety – Education, Engineering and Enforcement.

Prepared By: Tasha Bartholomew, Communications Officer 650.508.7927
Proclamation

IN HONOR OF RAILROAD SAFETY MONTH

WHEREAS, Caltrain operates 92 weekday trains between San Francisco and Gilroy, serving the Peninsula Rail Corridor, and the communities of San Francisco, San Mateo and Santa Clara counties; and

WHEREAS, safety on the Caltrain right of way has been and remains a continuing priority along a rail system that traverses several communities and includes more than 50 at-grade public vehicular and pedestrian crossings; and

WHEREAS, the Peninsula Corridor Joint Powers Board works continuously with essential partners, including the Federal Railroad Administration, California State Department of Transportation, California Public Utilities Commission and California Operation Lifesaver to improve railroad safety, to prevent accidents and to educate the public about safety around railroad tracks; and

WHEREAS, each month, Caltrain operates more than 138,000 miles of trips up and down the Peninsula, carrying an ever-growing number of people to work, to play and to many other destinations; and

WHEREAS, trains have become a routine part of daily life for many in this region, but it only takes a split second for someone to drop their guard and tragedy can strike. Ignoring basic safety rules near railroad tracks can be a devastating decision; and

WHEREAS, a typical Caltrain train can take almost a mile to stop, even when emergency brakes are applied; and

WHEREAS, 95 percent of all rail-related deaths involve drivers trying to beat a train or people trespassing on railroad tracks; and

WHEREAS, Caltrain is producing two new rail safety Public Service Announcements to address vehicular and pedestrian hazards at grade crossings; and

WHEREAS, Caltrain’s Safety and Security Department is launching a new Grade Crossing Awareness Public Safety program focusing on enforcement and education at high traffic crossings along the corridor in areas; and

WHEREAS, Caltrain is planning to make improvements at 11 grade crossings that will include the installation of roadway medians in front of gate arms, new pavement markings, improving signage and the signal system; and

WHEREAS, on June 2, 2009, SCR 10 (Liu) was signed into law designating September as “Railroad Safety Month” in California.

THEREFORE, BE IT RESOLVED, that the Peninsula Corridor Joint Powers Board, in support of safety efforts locally, regionally and statewide, joins in proclaiming September as “Railroad Safety Month” and commends local, State, and Federal officials, industry, and citizen efforts to improve railroad safety; and

BE IT FURTHER RESOLVED, that the Peninsula Corridor Joint Powers Board reaffirms its efforts as a community partner in the prevention of deaths by suicide as a critical component of “Railroad Safety Month” and urges continued and expanded collaboration to extend to all who need it effective mental health resources.

Regularly passed and adopted this 1st day of September, 2016.

Chair, Peninsula Corridor Joint Powers Board
In July 2016, Caltrain’s average weekday ridership (AWR) increased by 2.5 percent to 64,216 over July 2015 AWR of 62,630. However, the total number of passengers who rode Caltrain in July 2016 decreased by 2.2 percent to 1,691,661 from July 2015 ridership of 1,729,241. This is due to the fact there were 23 weekdays in 2015 and 20 weekdays in 2016. Fare box revenue increased 7.9 percent from July 2015.

On-time performance (OTP) for July 2016 was 92.2 percent, compared to 83.9 percent OTP for July 2015. Taking into account trains arriving within 10 minutes of the scheduled arrival time, OTP rises to 95.1 percent. Overall in July 2016, there were 724 minutes of delay due to mechanical issues compared to 1,323 minutes in July 2015. There were two days that operated with 100 percent of the trains on time and 15 additional days with 95 percent or better OTP.

Looking at customer service statistics, there were 7.6 complaints per 100,000 passengers in July 2016 which is lower than the 10.4 complaints in July 2015.

Shuttle ridership for July 2016 is up 7.6 percent over July 2015. For the station shuttles, the Millbrae-Broadway shuttle averaged 185 daily riders. The Belmont-Hillsdale shuttle averaged 36 daily riders. The weekend Tamien-San Jose shuttle averaged 63 daily riders. When the Marguerite shuttle was removed, the impact to ridership was a decrease of 12.8 percent.
Caltrain Promotions – July 2016

**Opera at the AT&T Park** – The San Francisco Opera performed a free concert on Saturday, July 2 at AT&T Park. To accommodate larger crowds, two extra post-concert trains were provided. Caltrain carried 1,226 customers on the specials and an additional 2,152 on regular service trains post-concert. Additional communication to promote the event included website information on Special Events page, organic social media, the Peninsula Moves blog, and *Track the Fun* brochure listing.

**International Champions Cup** – Two of the most prestigious soccer clubs squared off at the International Cup on Saturday, July 30 at Levi's Stadium. A post-game train was added to accommodate the crowds for the 7 p.m. start. The system carried an additional 1,075 riders to/from the Mountain View station. Communication included website information on Special Events page, Visual Message Sign (VMS) platform messages and conductor announcements, organic social media and Peninsula Moves blog.

**Gilroy Garlic Festival** – Chartered by the Gilroy Garlic Festival organizers, Caltrain brought back, after a long hiatus, extra weekend train service to the 38th annual Gilroy Garlic Festival on Saturday, July 30 and Sunday, July 31. Train tickets were sold through the Garlic Festival website and included roundtrip service with one southbound and one northbound ran each day. The festival promoted the chartered service through its website and using paid social media. Festival organizers sold 250 tickets on Saturday and another 180 on Sunday. As a way to help promote the event, Caltrain used social media, news releases, the Peninsula Moves blog, VMS platform messages and conductor announcements. Although ridership was lighter than expected, Garlic Fest organizers and city of Gilroy officials were happy to bring the 'Garlic Train' back to the festival this year and hopefully next. Santa Clara Valley Transportation Authority provided shuttle service from the Gilroy station to the event and back later in the afternoon for the return trip to San Jose.

**Social Media Promotions**

Caltrain's total followers across all networks are about to cross the 90,000 mark. In July, the agency added more than 4,000 followers. Follower numbers are beginning to increase across “new media” accounts like Instagram. This means Caltrain is reaching a more diverse audience thanks to our recent designation as a business account. But the additional following also creates a demand for increased content. Monthly interactions increased significantly, with an additional 10,000 more interactions for a total of just over 62,000 in July. An interaction is any time a user engages directly with the agency or when the Social Media team responds directly to a user’s comment. At 62,000 direct interactions, this means that the Social Media Officer and other team members made more than 3,000 interactions per day during a regular work week.
Social Media Impression Spikes
July, 2016

Your Tweets earned 2.2M impressions over this 31 day period

July 6
NB 269 vs Car
1008 Delay Minutes

July 11
SB 102 vs Car
1043 Delay Minutes

July 18
Car on Tracks at BUR
809 Delay Minutes

Prepared By:  Jayme Ackemann, Director, Marketing and Communications  650.508.7934
             Catherine David, Senior Planner  650.508.6471
### Table A

#### July 2016

<table>
<thead>
<tr>
<th></th>
<th>FY2016</th>
<th>FY2017</th>
<th>% Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Ridership</td>
<td>1,729,241</td>
<td>1,691,661</td>
<td>-2.2%</td>
</tr>
<tr>
<td>Average Weekday Ridership</td>
<td>62,630</td>
<td>64,216</td>
<td>2.5%</td>
</tr>
<tr>
<td>Total Farebox Revenue</td>
<td>$7,564,426</td>
<td>$8,163,431</td>
<td>7.9%</td>
</tr>
<tr>
<td>On-time Performance</td>
<td>83.9%</td>
<td>92.2%</td>
<td>9.9%</td>
</tr>
<tr>
<td>Average Caltrain Shuttle Ridership</td>
<td>8,927</td>
<td>9,604</td>
<td>7.6%</td>
</tr>
</tbody>
</table>

#### Year to Date

<table>
<thead>
<tr>
<th></th>
<th>FY2016</th>
<th>FY2017</th>
<th>% Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Ridership</td>
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<tr>
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<td>83.9%</td>
<td>92.2%</td>
<td>9.9%</td>
</tr>
<tr>
<td>Average Caltrain Shuttle Ridership</td>
<td>8,942</td>
<td>9,604</td>
<td>7.4%</td>
</tr>
</tbody>
</table>

### Graph A

**Caltrain Average Weekday Ridership**

- FY2016: 62,630
- FY2017: 64,216

- AWR
- 13-Month Average
TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Eli Kay
Chief Financial Officer

SUBJECT: AUTHORIZATION TO PROCEED WITH INTERIM FINANCING

ACTION
Staff Coordinating Council recommends the Board:

1) Authorize staff to proceed with efforts to secure interim financing for the Peninsula Corridor Electrification Project (PCEP) in an aggregate amount not to exceed $150 million, such interim financing to be in such form as shall be most advantageous to the Peninsula Corridor Joint Powers Board (JPB). Interim financing is needed to cover gaps in cash flows that are projected to occur between the time payments are due for work performed on the PCEP and the expected timing of receipts from various funding sources identified for the PCEP.

2) Authorize staff to proceed with discussions with potential lenders, including, but not limited to, financial institutions and private lenders, regarding terms, structure and security.

3) Authorize the Executive Director or Chief Financial Officer (CFO) to select one or more lenders and a funding structure for the interim financing and to take such steps as are necessary to implement the funding structure selected, which may include selection of providers of such other services as shall be required to implement the funding structure selected.

SIGNIFICANCE
Current cash flow projections for the PCEP forecast funding gaps between the time payments are due for work performed and the timing of receipts from the funding sources associated with such work, most of which are available on a reimbursement basis. At its highest point, the funding gap is currently projected to be approximately $150 million.

Board authorization is required to (i) authorize staff to proceed with discussions with potential lenders willing and able to provide such interim financing, (ii) authorize the Executive Director or CFO to select one or more lenders and a funding structure for the interim financing and to take such other steps as are necessary to implement the
funding structure selected, which may include one or more financings and which may require the selection of providers of such other services as shall be required to implement the funding structure selected, and (iii) authorize staff to proceed to take such actions as are necessary to implement the funding structure selected, including, but not limited to, such actions as are necessary to assist the member agencies of the JPB, the Santa Clara Valley Transportation Authority, the city and county of San Francisco and the San Mateo County Transit District (JPB Member Agencies) to take the actions related to the interim financing required by Section 6586.5 of the California Government Code.

**BUDGET IMPACT**
Estimated interest costs and fees associated with the interim financing have been included in the PCEP budget and will be payable from funding sources already identified to support the PCEP. These costs of the interim financing will not be charged to or paid from operating capital of the JPB. The interest costs and fees shall be determined during the course of negotiations with the potential lenders identified by staff.

**BACKGROUND**
In September 2015, the Board authorized the solicitation and selection of a firm to secure interim financing for up to $125 million.

Since then, adjustments to the project budget reflecting the bid and award of design-build and vehicle procurement contracts necessitate that an interim financing amount of up to $150 million will be sufficient to support project delivery.

The JPB has awarded two contracts to implement the PCEP: one to Balfour Beatty to design and construct the electrification infrastructure on the JPB’s Caltrain right of way, and the other to Stadler to manufacture and deliver Electric Multiple Unit rail vehicles.

Since the grant funding sources supporting the PCEP will reimburse the JPB for invoice payments already made for work associated with these contracts, interim financing is needed to address potential cash flow gaps and ensure that work on the PCEP proceeds uninterrupted.

**Process**
Due to the nature of the funding sources for the PCEP, the approval process for each of those funding sources, the conditions imposed by those funding sources, the reimbursement process imposed by those funding sources and timing constraints imposed by the PCEP schedule, staff, with guidance and assistance from its financial advisor, identified financial institutions and a private lender which had expressed interest in assisting the JPB. Each of the targeted potential lenders has been contacted and has been requested to identify the terms and conditions upon which such potential lender would be prepared to provide interim financing for the PCEP. Selection of one or more lenders and a funding structure by the Executive Director or CFO will be based upon an evaluation of the terms and conditions proposed by the potential lenders.
Financial Advisory Services
The JPB is utilizing the services of a financial advisor to assist with the implementation of the interim financing. Staff has contracted with Public Financial Management, Inc. to serve as the JPB’s financial advisor for this transaction.

Bond Counsel Services
The JPB is utilizing the services of Orrick, Herrington & Sutcliffe LLP to serve as bond counsel to the JPB in connection with the interim financing. Bond Counsel is needed to prepare and review the relevant documents and provide the bond counsel opinion.

Member Agency Actions
Pursuant to California Government Code Section 6586.5, each of the three JPB Member Agencies is required to conduct a public hearing and, subsequent to conducting the public hearing, adopt a resolution approving the interim financing of the PCEP and making a finding of significant public benefit in accordance with the criteria specified in Section 6586.5. Staff is working with each of the three JPB Member Agencies with respect to these actions.

Staff expects to return to the Board to obtain approval of the interim financing documents at a JPB Board meeting later this fall.

Prepared By:    Eli Kay, Chief Financial Officer  650.508.6466
RESOLUTION NO. 2016 –

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

* * *

AUTHORIZING STAFF TO PROCEED WITH AN INTERIM FINANCING
FOR THE PENINSULA CORRIDOR ELECTRIFICATION PROJECT
IN AN AMOUNT NOT TO EXCEED $150 MILLION

WHEREAS, the Peninsula Corridor Joint Powers Board (JPB) is proceeding with its plan to modernize and upgrade the performance, operating efficiency, capacity, safety and reliability of its Caltrain commuter rail service with the implementation of the Peninsula Corridor Electrification Project (Project); and

WHEREAS, prospective financial projections reveal cash flow gaps between the timing of cash outlays for Project expenditures and the timing of related inflows from various funding sources as the Project’s work progresses; and

WHEREAS, a flexible financing mechanism (Interim Financing) is needed to address these cash flow funding gaps, and for this reason, by Resolution No. 2015-47 passed on September 3, 2015, the JPB Board of Directors authorized the JPB staff to proceed with an Interim Financing in an amount not to exceed $125 million; and

WHEREAS, since that time the project budget has been adjusted to reflect the final costs associated with awards of the design-build electrification and the rail vehicle contracts and the refined cash flow analysis indicates that the funding gaps are not anticipated to exceed $150 million at any one time; and

WHEREAS, in order to secure Interim Financing in an amount not to exceed $150 million outstanding at any one time on such terms as shall be most advantageous to the JPB, it is necessary for the governing body of the JPB (JPB Board of Directors) (i) to authorize staff to proceed with discussions with potential lenders, including, but not
limited to, financial institutions and private lenders, regarding terms, structure and security, (ii) to authorize the JPB’s Executive Director or Chief Financial Officer to select one or more lenders and a funding structure for the Interim Financing and (iii) to authorize the taking of such steps as are necessary to implement the funding structure selected.

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

1) Authorize staff to proceed with efforts to secure an Interim Financing, in an amount not to exceed $150 million outstanding at any one time, which Interim Financing will provide funds to cover cash flows gaps that are projected to occur between the time payments are due for work performed on the Project and the expected timing of receipts from various funding sources.

2) Authorize the JPB’s Executive Director or Chief Financial Officer to select one or more lenders and a funding structure for the Interim Financing and to take such steps as are necessary to implement the funding structure selected, including, but not limited to, obtaining the approval of the member agencies of the JPB, the Santa Clara Valley Transportation Authority, the city and county of San Francisco and the San Mateo County Transit District, as required by Section 6586.5 of the California Government Code, and preparing such documents and resolutions for adoption by the JPB Board of Directors as shall necessary and appropriate to authorize and complete the Interim Financing.

3) All actions heretofore taken by the JPB’s Executive Director, the Chief Financial Officer, and other officers, staff and advisors of the JPB with respect to the Interim Financing are hereby ratified, confirmed, and approved.
4) All previous resolutions of the JPB Board of Directors which are inconsistent with this Resolution, be and the same hereby are repealed, revoked and rescinded to the extent of such inconsistency.

Regularly passed and adopted this 1st day of September, 2016 by the following vote:

AYES:

NOES:

ABSENT:

________________________________
Chair, Peninsula Corridor Joint Powers Board

ATTEST:

________________________________
JPB Secretary
AGENDA ITEM # 10
SEPTEMBER 1, 2016

PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Michael Burns
Chief Officer, Caltrain Planning/Caltrain Modernization Program

SUBJECT: AUTHORIZE THE EXECUTIVE DIRECTOR TO EXECUTE SUPPLEMENTAL AGREEMENT NO. 2 WITH PACIFIC GAS AND ELECTRIC REGARDING OVERSIGHT OF CALTRAIN DESIGN AND CONSTRUCTION OF 115 KILOVOLT INTERCONNECTIONS AND ENVIRONMENTAL REVIEW OF INFRASTRUCTURE BUILD OUTS IN CONNECTION WITH THE PENINSULA CORRIDOR ELECTRIFICATION PROJECT

ACTION
Staff Coordinating Council recommends the Board authorize the Executive Director to execute Supplemental Agreement No. 2 with Pacific Gas and Electric (PG&E), entitled "Oversight of Caltrain Design and Construction of 115 kilovolt (kV) Interconnections and Environmental Review of PG&E Infrastructure Build Outs," in support of the Peninsula Corridor Joint Powers Board’s (JPB) Peninsula Corridor Electrification Project (PCEP), in an amount not to exceed $1 million.

SIGNIFICANCE
Implementation of the PCEP will require an interconnection ductbank from the PG&E substation to the Caltrain substations in San Jose and South San Francisco. The design and construction of the 115 kV interconnection ductbank will be performed by Balfour Beatty, under the PCEP design-build contract. PG&E will provide oversight for both the design and construction of this critical infrastructure. PG&E also will provide environmental review and permitting support for all PG&E infrastructure build outs required to support PCEP. This design and construction oversight, along with PG&E’s support in environmental review and permitting, constitute the scope of Supplemental Agreement No. 2.

At this time, staff estimates that the PG&E oversight and environmental support services described above will be accomplished for an amount not to exceed $1 million.

BUDGET IMPACT
The proposed cost of the oversight and environmental support services by PG&E is included in the PCEP overall project cost estimate of $396 million in the approved Fiscal Year 2017 Capital Budget.
**BACKGROUND**

The PCEP is a key component of the Caltrain Modernization Program. The project will require connection and support infrastructure from PG&E at the following Traction Power Substation locations for testing and revenue service:

1. Traction Power Substation No.1 – South San Francisco, Caltrain South San Francisco Station to PG&E East Grand Substation
2. Traction Power Substation No.2 – San Jose, Property adjacent to Caltrain right of way south of Santa Clara station to PG&E FMC Substation

The 115 kV interconnection ductbanks will be the main power connections from Caltrain’s substations to PG&E substations at locations listed above.

The JPB executed a Master Agreement with PG&E in April 2016, which defines the roles and responsibilities between the JPB and PG&E for work related to the PCEP. The Master Agreement also sets the base terms for the following Supplemental Agreements that have or will be executed with PG&E over the duration of the PCEP:

1. Supplemental Agreement No. 1: Scoping and Design Services was executed along with the Master Agreement in April 2016 for an amount of $900,000.
2. Addendum to Supplemental Agreement No. 1: Increase in Executive Director’s expenditure authority on Supplemental Agreement No. 1 by $2 million was approved by the Board in July 2016.
3. Supplemental Agreement No. 2: Oversight of Caltrain Design and Construction of 115 kV Interconnections and Environmental Review of PG&E Infrastructure Build Outs for an amount of up to $1 million is the subject of this staff report.
4. Supplemental Agreement No. 3: Final Design Services for PG&E Infrastructure Build Outs will be brought to the Board at a later date.
5. Supplemental Agreement No. 4: Construction Services for PG&E Infrastructure Build Outs will be brought to the Board at a later date.
6. Supplemental Agreement No. 5: Interim Power Design and Construction Services for the PCEP for an amount of $3.5 million also is being brought to the Board for approval at this September 1, 2016 meeting.

Supplemental Agreement No. 2 will allow PG&E to provide oversight and environmental support services for the design and construction of these interconnections and other PG&E infrastructure build outs required in support 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 SUPPLEMENTAL AGREEMENT NO. 2 WITH PACIFIC GAS AND ELECTRIC REGARDING OVERSIGHT OF CALTRAIN DESIGN AND CONSTRUCTION OF 115 KILOVOLT INTERCONNECTIONS AND ENVIRONMENTAL REVIEW OF INFRASTRUCTURE BUILD OUTS IN CONNECTION WITH THE PENINSULA CORRIDOR ELECTRIFICATION PROJECT

WHEREAS, on January 8, 2015, pursuant to Resolution No. 2015-03, the Peninsula Corridor Joint Powers Board (JPB) certified a Final Environmental Impact Report for the Peninsula Corridor Electrification Project (PCEP) and approved the PCEP; and

WHEREAS, the PCEP will require connection and support for design and construction oversight for the construction of an interconnection ductbank from Pacific Gas and Electric (PG&E) for the implementation of the project; and

WHEREAS, in April 2016, pursuant to Resolution No. 2015-51, the JPB executed a Master Agreement with PG&E to govern PG&E services in connection with the PCEP, as set forth in a series of supplemental agreements; and

WHEREAS, the JPB now desires PG&E to provide (1) oversight for the design and construction of the critical power infrastructure that will be constructed by Balfour Beatty under the PCEP design-build contract, and (2) environmental review and permitting support for all PG&E infrastructure build outs required to support PCEP; and

WHEREAS, Supplemental Agreement No. 2, entitled "PG&E Oversight of Caltrain Design and Construction of 115 kilovolt (kV) Interconnections and Environmental Review of PG&E Infrastructure Build Outs," will designate the parties’ respective rights and obligations, and ensure cooperation between the parties for the scope of work set forth therein; and
WHEREAS, the Staff Coordinating Council recommends and the Executive Director concurs that the Board authorize execution of Supplemental Agreement No. 2 in an amount not to exceed $1 million; and

WHEREAS, supplemental agreements associated with the subsequent phase of design and construction related to the PG&E infrastructure necessary for the PCEP will be brought to the Board for further approval at a later date.

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the Peninsula Corridor Joint Powers Board authorizes the Executive Director to execute Supplemental Agreement No. 2: PG&E Oversight of Caltrain Design and Construction of 115 kV Interconnections and Environmental Review of PG&E Infrastructure Build Outs with PG&E in an amount not to exceed $1 million.

Regularly passed and adopted this 1st day of September, 2016 by the following vote:

AYES:  
NOES:  
ABSENT:  

______________________________
Chair, Peninsula Corridor Joint Powers Board

ATTEST:

______________________________
JPB Secretary
AGENDA ITEM # 11
SEPTEMBER 1, 2016

PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Michael Burns
Chief Officer, Caltrain Planning/Caltrain Modernization Program

SUBJECT: AUTHORIZE THE EXECUTIVE DIRECTOR TO EXECUTE SUPPLEMENTAL AGREEMENT NO. 5 WITH PACIFIC GAS AND ELECTRIC REGARDING INTERIM POWER DESIGN AND CONSTRUCTION SERVICES IN CONNECTION WITH THE PENINSULA CORRIDOR ELECTRIFICATION PROJECT

ACTION
Staff Coordinating Council recommends the Board authorize the Executive Director to execute Supplemental Agreement No. 5 with Pacific Gas and Electric (PG&E), entitled "Interim Power Design and Construction Services," to supply the Peninsula Corridor Joint Powers Board’s (JPB) Peninsula Corridor Electrification Project (PCEP) with interim power to support testing of the Electric Multiple Units (EMU) prior to the availability of permanent power, in an amount not to exceed $3.5 million.

SIGNIFICANCE
Implementation of the PCEP will require connection and support infrastructure from PG&E. PG&E will supply 115 kilovolt (kV) power to the Caltrain Substations located in South San Francisco and San Jose. As determined by a System Impact Study performed by PG&E, under Supplemental Agreement No. 1 with PG&E, PG&E will require infrastructure improvements to support the future electrical load from PCEP. While the current schedule developed by PG&E for PG&E’s infrastructure improvements will support revenue service upon completion of the PCEP, it will not be completed to support the testing of EMUs earlier on the PCEP schedule. As a result, there is a need for PG&E to provide interim power for the testing of the EMUs as they are delivered to Caltrain. The purpose of this Supplemental Agreement No. 5 is for PG&E to provide design and construction services for the interim power needed by PCEP to support the EMU testing. Separate supplemental agreements covering PG&E design and construction of the PCEP permanent power supply system will be brought to the Board for approval at later dates.

At this time, staff estimates that the PG&E design and construction services for interim power described above will be accomplished for an amount not to exceed $3.5 million.
**BUDGET IMPACT**
The proposed cost of the interim power design and construction services by PG&E is included in the PCEP overall project cost estimate of $396 million in the approved Fiscal Year 2017 Capital Budget.

**BACKGROUND**
The PCEP is a key component of the Caltrain Modernization Program. The project will require connection and support infrastructure from PG&E at the following Traction Power Substation locations for testing and revenue service:

1. Traction Power Substation No. 1 – South San Francisco, Caltrain South San Francisco Station to PG&E East Grand Substation
2. Traction Power Substation No. 2 – San Jose, Property adjacent to Caltrain right of way south of Santa Clara station to PG&E FMC Substation

The JPB executed a Master Agreement with PG&E in April 2016, which defines the roles and responsibilities between the JPB and PG&E for work related to the PCEP. The Master Agreement also sets the base terms for the following Supplemental Agreements that have or will be executed with PG&E over the duration of the PCEP:

1. Supplemental Agreement No. 1: Scoping and Design Services was executed along with the Master Agreement in April 2016 for an amount of $900,000.
2. Addendum to Supplemental Agreement No. 1: Increase in Executive Director’s Expenditure Authority on Supplemental Agreement No. 1 by $2 million was approved by the Board in July 2016.
3. Supplemental Agreement No. 2: Oversight of Caltrain Design and Construction of 115 kV Interconnections and Environmental Review of PG&E Infrastructure Build Outs for an amount up to $1 million also is being brought to the Board for approval at this September 1, 2016 meeting.
4. Supplemental Agreement No. 3: Final Design Services for PG&E Infrastructure Build Outs will be brought to the Board at a later date.
5. Supplemental Agreement No. 4: Construction Services for PG&E Infrastructure Build Outs will be brought to the Board at a later date.
6. Supplemental Agreement No. 5: Interim Power Design and Construction Services for the PCEP for an amount up to $3.5 million is the subject of this staff report.

Supplemental Agreement No. 5 will allow PG&E to provide services for design and construction of interim power, define roles and responsibilities between JPB and PG&E, and define the cost elements of the anticipated work.

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 SUPPLEMENTAL AGREEMENT NO. 5 WITH PACIFIC GAS AND ELECTRIC REGARDING INTERIM POWER DESIGN AND CONSTRUCTION SERVICES IN CONNECTION WITH THE PENINSULA CORRIDOR ELECTRIFICATION PROJECT

WHEREAS, on January 8, 2015, pursuant to Resolution No. 2015-03, the Peninsula Corridor Joint Powers Board (JPB) certified a Final Environmental Impact Report for the Peninsula Corridor Electrification Project (PCEP) and approved the PCEP; and

WHEREAS, the PCEP will require connection and support infrastructure from Pacific Gas and Electric (PG&E) for the implementation of the project; and

WHEREAS, in April 2016, pursuant to Resolution No. 2015-51, the JPB executed a Master Agreement with PG&E to govern PG&E services in connection with the PCEP, as set forth in a series of supplemental agreements; and

WHEREAS, the JPB now desires to work with PG&E for the supply of interim power including design, interim power connections and support infrastructure, which will be needed for pre-revenue service testing and operation of the PCEP and Electric Multiple Units (EMU); and

WHEREAS, Supplemental Agreement No. 5, entitled “Interim Power Design and Construction Services,” with PG&E will designate the parties’ respective rights and obligations, and ensure cooperation between the parties for the scope of work set forth therein; and
WHEREAS, the Staff Coordinating Council recommends and the Executive Director concurs that the Board authorize execution of Supplemental Agreement No. 5 in an amount not to exceed $3.5 million; and

WHEREAS, supplemental agreements covering PG&E design and construction of the PCEP permanent power supply system will be brought to the Board for further approval at a later date.

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the Peninsula Corridor Joint Powers Board authorizes the Executive Director to execute Supplemental Agreement No. 5: Interim Power Design and Construction Services with PG&E in an amount not to exceed $3.5 million.

Regularly passed and adopted this 1st day of September, 2016 by the following vote:

AYES:

NOES:

ABSENT:

______________________________
Chair, Peninsula Corridor Joint Powers Board

ATTEST:

______________________________
JBP Secretary
TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Eli Kay   Michelle Bouchard
Chief Financial Officer   Chief Operating Officer, Rail

SUBJECT: AWARD OF A CONTRACT FOR LOS GATOS CREEK BRIDGE REPLACEMENT PROJECT

ACTION
Staff Coordinating Council recommends the Board:

1. Award a contract to the lowest, responsive and responsible bidder, DMZ Builders (DMZ), in the total amount of $17,998,000, for the Los Gatos Creek Bridge Replacement Project.

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

SIGNIFICANCE
The contract scope has been divided in two. The main scope of work is to replace the structurally deficient Los Gatos Creek railroad bridge and also provide a temporary layover area, both just south of the San Jose Diridon Station. This work consists of demolishing and removing the existing steel and timber two-track railroad bridge and replacing it with three, separate pre-cast concrete bridges. This portion of the contract scope will also require the construction of two separate retaining wall systems along the creek bank for slope stabilization. The other portion of the scope of work will occur south of the Santa Clara Station and will consist of relocating a test track (known as a "drill track") five feet to the west. The drill track enables initial testing of future Electric Multiple Units (EMUs) for the Peninsula Corridor Electrification Project (PCEP). By enabling testing on this relocated drill track, the impact to the mainline track and revenue operations will be minimized.

BUDGET IMPACT
The project is fully budgeted in the capital budget and includes Federal funding with the local match contributed by member agency funds. The drill track work is included in the Caltrain Modernization portion of the capital budget.

BACKGROUND
The Los Gatos Creek Bridge, constructed in 1935, with an expected 75-year lifespan, is a combination of two bridge types: steel girders on concrete piers and timber trestle on
wooden pile piers. The bridge was inspected in 2012 as part of the on-going Peninsula Corridor Joints Powers Board (JPB) Bridge Program and many elements were found to not meet current load requirements. The bridge was also analyzed for seismic capacity and found to be vulnerable during significant magnitude earthquakes. Due to its increasing age, failure of some bridge elements to meet current and projected service loads, and vulnerability in the event of a significant earthquake, the Los Gatos Creek Bridge was determined to need replacement.

Based on the need to replace the bridge, staff prepared an Initial Study of any possible environmental effects of this project. It was concluded that the Project’s effects could be mitigated and would not have a significant effect on the environment. The JPB, by Resolution No. 2014-08, adopted a Mitigated Negative Declaration and an accompanying mitigation monitoring and reporting plan.

JPB staff has been working closely with the city of San Jose’s Department of Parks, Recreation, and Neighborhood Services (PRNS) and Department of Public Works for the last two years to ensure the bridge project does not preclude the City’s planned Los Gatos Creek Trail Extension Reach 5/B project. Staff is coordinating the design of the project’s retaining wall with PRNS in order to help facilitate the future trail construction.

The Invitation for Bids was distributed throughout the construction industry. The solicitation was advertised in a newspaper of general circulation and on the JPB’s procurement website for interested bidders, including Small Business Enterprises (SBE) and Disadvantaged Business Enterprises (DBE) that are registered in the JPB’s procurement database. In light of the complexity of the work, the JPB conducted four pre-bid site visits to allow bidders maximum time to view the work sites.

Five bids were received as listed below:

<table>
<thead>
<tr>
<th>Company</th>
<th>Total Bid Amount</th>
</tr>
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<tbody>
<tr>
<td>Engineer’s Estimate</td>
<td>$19,779,592</td>
</tr>
<tr>
<td>1. DMZ Builders, Concord, CA</td>
<td>$17,998,000</td>
</tr>
<tr>
<td>2. Disney/ConQuest Joint Venture, Burlingame, CA</td>
<td>$20,200,000</td>
</tr>
<tr>
<td>3. Shimmick Construction, Oakland, CA</td>
<td>$20,260,000</td>
</tr>
<tr>
<td>4. Kiewit Infrastructure West, Fairfield, CA</td>
<td>$23,150,000</td>
</tr>
<tr>
<td>5. Proven Management Inc., Berkeley, CA</td>
<td>$24,577,777</td>
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</tbody>
</table>

With the exception of some minor irregularities that may be waived by the JPB, DMZ submitted all required bid documentation. Staff has determined, and legal counsel concurred, that the bid submitted by DMZ is responsive. The bid from DMZ was approximately 9 percent lower than the engineer’s estimate. Staff has determined that the difference between the engineer’s estimate and DMZ’s bid is fair and reasonable.

DMZ is an established Bay Area contractor and company reference checks confirmed that they are experienced and competent. DMZ has successfully completed recent projects for several agencies and is currently satisfactorily working on the Terminal Stations Monitor Project for the JPB. Based upon these findings, staff concludes that
DMZ is appropriately qualified and capable of meeting the requirements of the contract and is therefore the lowest, responsive and responsible bidder.

The Office of Small and Disadvantaged Business Enterprises assigned a 9 percent DBE goal to this project. The DBE officer reviewed DMZ Builders bid and has determined the bidder has met the DBE requirements for this contract and has committed to meeting the DBE goal established for this project. Under the proposed contract, the total amount of DBE work to be performed is approximately $1,680,000, or 9 percent of the total contract value.

Sr. Contract Officer: Patrick May       650.508.7732
Project Manager:       Parand Maleki       650.508.7751
RESOLUTION NO. 2016 –

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

* * *

AWARDING A CONTRACT TO DMZ BUILDERS FOR THE
LOS GATOS CREEK BRIDGE PROJECT FOR A TOTAL COST OF $17,998,000

WHEREAS, the Peninsula Corridor Joint Powers Board (JPB) solicited competitive bids for the replacement of the bridge at Los Gatos Creek and relocation of a drill track near the Santa Clara Station; and

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

WHEREAS, staff and legal counsel have reviewed the bids and determined that DMZ Builders (DMZ) of Concord, California is the lowest, responsive and responsible bidder; and

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

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby awards a contract to DMZ Builders for the replacement of the bridge at Los Gatos Creek and relocation of a drill track near the Santa Clara Station for a total cost of $17,998,000; and

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

Regularly passed and adopted this 1st day of September, 2016 by the following vote:

AYES:    

NOES:    

ABSENT:    

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

______________________________
JPB Secretary
AGENDA ITEM # 13
SEPTEMBER 1, 2016

PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Michelle Bouchard
Chief Operating Officer, Rail

SUBJECT: CAPITAL PROJECTS QUARTERLY STATUS REPORT – 4th QUARTER FISCAL YEAR 2016

ACTION
The Capital Projects Quarterly Status Report is submitted to the Board for information only.

SIGNIFICANCE
The Capital Projects Quarterly Status Report is submitted to keep the Board advised as to the scope, budget and progress of current ongoing capital projects.

BUDGET IMPACT
There is no impact on the budget.

BACKGROUND
Staff prepares the Capital Projects Quarterly Status Report for the Board on a quarterly basis. The report is a summary of the scope, budget and progress of capital projects. It is being presented to the Board for informational purposes and is intended to better inform the Board of the capital project status.

Prepared By: Gordon Hail, Senior Project Controls Engineer 650.508.7795
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 8/17/16:

The Legislature took action on several bills of interest:

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. The bill made it out of the Senate Appropriations and will now move to the Senate Floor for a vote.

AB 1889 (Mullin) – SPONSOR
Helps facilitate the distribution of $1.1 billion in previously appropriated Proposition 1A (Prop 1A) funds for projects that are necessary for high-speed trains to run even if additional improvements will be made at a later date to complete the full high-speed rail project. The bill also clarifies the meaning of “suitable and ready for high-speed train operations” to ensure the Peninsula Corridor Electrification Project (PCEP) would be eligible for Prop 1A funding. The bill made it out of the Senate Appropriations and will now move to the Senate Floor for a vote.

AB 2030 (Mullin) – SUPPORT
Increases the threshold for the purchase of supplies, equipment, and materials from $100,000 to $150,000 without first having to put the contract out to bid. Additionally the bill increases the threshold for small purchases from $2,500 to $5,000. The bill passed the Legislature and has been sent to the Governor for his signature.
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. The bill was amended to remove the 50 percent program-wide disadvantage communities requirement and has been reverted back to the 50 percent agency specific disadvantage communities requirement. The bill made it out of the Assembly Appropriations and will now move to the Assembly Floor for a vote.

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.

SB X 1 1 (Beall) – SUPPORT
Increases several taxes and fees to address the issue of deferred maintenance on State highways and local streets and roads, as well as provides funding for public transit.

On August 16, the California State Transportation Agency awarded $390 million in grants for 14 projects for the 2016 Transit and Intercity Capital Program. The PCEP was awarded $20 million.

FEDERAL ISSUES
As of 8/17/16:

On August 16, the Federal Railroad Administration awarded $25 million in grants for 11 projects to assist in implementing Positive Train Control (PTC). The Communications-based Overlay Signal System PTC project was awarded $2.88 million.

Congress is in recess for the month of August.

Prepared By: Casey Fromson, Manager, Government and Community Relations 650.508.6493
<table>
<thead>
<tr>
<th>Bill ID/Topic</th>
<th>Location</th>
<th>Summary</th>
<th>Position</th>
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<tbody>
<tr>
<td>AB 156 McCarty D</td>
<td>A. INACTIVE FILE 6/30/2016-Ordered to inactive file at the request of Assembly Member McCarty.</td>
<td>Current law requires the Attorney General to maintain records, including fingerprints, licenses to carry concealed firearms, and information from firearms dealers pertaining to firearms, for purposes of assisting in the investigation of crimes and specified civil actions. In regard to certain of those records, current law authorizes specified peace officers to disseminate the name of the subject of the record, the number of firearms listed in the record, the description of any firearm, and other information reported to the Department of Justice, as specified, if the subject of the record has been arraigned, is being prosecuted, or is serving a sentence for domestic violence or is the subject of specified protective orders. This bill would require the Attorney General to also maintain information about ammunition transactions and ammunition vendor licenses for those purposes. Last Amended on 5/17/2016</td>
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<tr>
<td>AB 318 Chau D</td>
<td>S. DEAD 7/1/2016-Failed Deadline pursuant to Joint Rule 61(b)(13). (Last location was 2 YEAR on 7/17/2015)</td>
<td>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</td>
<td>Oppose</td>
</tr>
<tr>
<td>AB 326 Frazier D</td>
<td>A. CONCURRENCE 8/16/2016-In Assembly. Concurrence in Senate amendments pending. May be considered on or after August 18 pursuant to Assembly Rule 77. 8/18/2016 #31 ASSEMBLY CONCURRENCE IN SENATE AMENDMENTS</td>
<td>Current law provides that there is no liability for liquidated damages if a contractor, subcontractor, or surety deposits the full amount of the assessment or notice, including penalties, with the Department of Industrial Relations to hold in escrow pending administrative or judicial review. 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 either the conclusion of all administrative and judicial review or upon the department receiving written notice from the Labor Commissioner or his or her designee of a settlement or other final disposition of an assessment issued, as specified, or from the authorized representative of the awarding body of a settlement or other final disposition of a notice issued, as specified. Last Amended on 6/9/2016</td>
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<td>Bill ID/Topic</td>
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| **AB 516**  
Mullin D  
Vehicles: temporary license plates. | A. CHAPTERED  
7/25/2016-Chaptered by Secretary of State -  
Chapter 90, Statutes of 2016. | Would require the DMV to develop an operational system, no later than January 1, 2019, 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, 2018, authorize the DMV to assess specified administrative fees on parking and toll evasion processing agencies to support the administration of this system. The bill would also, commencing January 1, 2019, increase the document processing charge, as specified, that a dealer may impose on the purchaser or lessee of a vehicle and would authorize the imposition of a specified electronic filing charge for reporting vehicle sales and producing temporary license plates.  
*Last Amended on 6/23/2016* | Support |
| **AB 828**  
Low D  
Vehicles: transportation services. | S. DEAD  
8/12/2016-Failed Deadline pursuant to  
Joint Rule 61(b)(14). (Last location was APPR. on 8/11/2016) | Would require the Public Utilities Commission to conduct an investigation to consider whether existing statutes and regulations relating to for-hire passenger transportation services serve the public interest, encourage innovation, and create a fair and competitive transportation market among 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.  
*Last Amended on 6/30/2016* | |
| **AB 857**  
Cooper D  
Firearms: identifying information. | A. CHAPTERED  
7/22/2016-Chaptered by Secretary of State -  
Chapter 60, Statutes of 2016. | Would, commencing July 1, 2018, and subject to exceptions, require a person who manufactures or assembles a firearm to first apply to the Department of Justice for a unique serial number or other identifying mark, as provided.  
The bill would, by January 1, 2019, and subject to exceptions, require any person who, as of July 1, 2018, owns a firearm that does not bear a serial number to likewise apply to the department for a unique serial number or other mark of identification. The bill would, except as provided, prohibit the sale or transfer of ownership of a firearm manufactured or assembled pursuant to these provisions.  
*Last Amended on 5/11/2016* | |
## Peninsula Corridor Joint Powers Board  
### State Legislative Matrix as of 8/17/2016

<table>
<thead>
<tr>
<th>Bill ID/Topic</th>
<th>Location</th>
<th>Summary</th>
<th>Position</th>
</tr>
</thead>
</table>
| **AB 869** Cooper  
Public transportation agencies: fare evasion and prohibited conduct. | S. THIRD READING  
6/27/2016-Read second time. Ordered to third reading.  
8/17/2016 #65  
SENATE SEN THIRD READING FILE - ASM BILLS | 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.  
**Last Amended on 6/28/2016** | Support |
| **AB 1360** Ting  
Charter-party carriers of passengers: individual fare exemption. | S. DEAD  
7/1/2016-Failed Deadline pursuant to Joint Rule 61(b)(13). (Last location was E. U., & C. on 7/17/2015) | 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.  
**Last Amended on 7/2/2015** | Watch Closely |
| **AB 1591** Frazier  
Transportation funding. | A. TRANS.  
2/1/2016-Referred to Coms. on TRANS. and REV. & TAX. | 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. | Pending |
| **AB 1595** Campos  
Employment: human trafficking training: mass transportation employers. | A. DEAD  
5/27/2016-Failed Deadline pursuant to Joint Rule 61(b)(8). (Last location was APPR. SUSPENSE FILE on 5/11/2016) | 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.  
The bill would require the Department of justice to develop guidelines for the training, including, but not limited to, guidance on how to report human traffic king. The bill would require that, by January 1, 2018, the training be incorporated into the initial training process for all new employees and that all existing employees receive the training.  
**Last Amended on 3/29/2016** | Pending |
<table>
<thead>
<tr>
<th>Bill ID/Topic</th>
<th>Location</th>
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<tbody>
<tr>
<td>AB 1640</td>
<td>S. THIRD READING 8/3/2016-Read second time. Ordered to third reading. 8/17/2016 #128 SENATE SEN THIRD READING FILE - ASM BILLS</td>
<td>PEPPRA exempts from its provisions certain public employees whose collective bargaining rights are subject to specified provisions of federal law until a specified federal district court decision on a certification by the United States Secretary of Labor, or until January 1, 2016, whichever is sooner. This bill would extend indefinitely that exemption for those public employees, whose collective bargaining rights are subject to specified provisions of federal law and who became a member of a state or local public retirement system prior to December 30, 2014.</td>
<td>Support</td>
</tr>
<tr>
<td>AB 1641</td>
<td>A. TRANS. 4/4/2016-In committee: Set, second hearing. Hearing canceled at the request of author.</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. This bill would also allow local authorities to permit shuttle service vehicles, as defined, to stop for the loading or unloading of passengers.</td>
<td>Watch Closely</td>
</tr>
<tr>
<td>AB 1665</td>
<td>A. CHAPTERED 7/1/2016-Chaptered by Secretary of State - Chapter 45, Statutes of 2016.</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. This bill would remove this taxing authority from the County of Alameda and the County of Contra Costa and grant this taxing authority to the Contra Costa Transportation Authority. This bill contains other related provisions.</td>
<td>Watch Closely</td>
</tr>
<tr>
<td>Bill ID/Topic</td>
<td>Location</td>
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<tr>
<td>AB 1669</td>
<td>A. CONCURRENCE 8/16/2016-In Assembly. Concurrence in Senate amendments pending. May be considered on or after August 18 pursuant to Assembly Rule 77. 8/18/2016 #105 ASSEMBLY CONCURRENCE IN SENATE AMENDMENTS</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 is required to offer employment to those employees, except for reasonable and substantiated cause. This bill would expand the application of these provisions to exclusive contracts for the collection and transportation of solid waste. The bill would require the information provided to a bona fide bidder to be made available in writing at least 30 days before bids for the service contract are due. Last Amended on 6/27/2016</td>
<td>Watch Closely</td>
</tr>
<tr>
<td>AB 1889</td>
<td>S. THIRD READING 8/15/2016-Read second time and amended. Ordered to third reading. 8/17/2016 #325 SENATE SEN THIRD READING FILE-ASM BILLS</td>
<td>Current law, pursuant to the Safe, Reliable High-Speed Passenger Train Bond Act for the 21st Century, approved by the voters as Proposition 1A at the November 4, 2008, statewide general election, provides for the issuance of $9.95 billion for high-speed train capital projects and other associated purposes. The bond act requires the authority to expend the proceeds of the bond act pursuant to certain planning and reporting requirements, which require the authority to approve that the corridor or usable segment would be suitable and ready for high-speed train operations. This bill would provide for the purposes of a certain plan that a corridor or usable segment thereof would be &quot;suitable and ready for high-speed train operation&quot; if specified conditions are met. Last Amended on 8/15/2016</td>
<td>Sponsor</td>
</tr>
<tr>
<td>AB 2030</td>
<td>A. ENROLLED 8/10/2016-Enrolled and presented to the Governor at 3 p.m.</td>
<td>Current law requires contracts of the San Francisco Bay Area Rapid Transit District for the purchase of supplies, equipment, and materials to be let to the lowest responsible bidder or to the bidder who submits a proposal that provides best value, as defined, if the amount of the contract exceeds $100,000 and requires the district to obtain a minimum of 3 quotations for those contracts between $2,500 and $100,000. This bill would impose those bidding requirements with respect to district contracts for the purchase of supplies, equipment, and materials if the amount of the contract exceeds $150,000 and would require a minimum of 3 quotations for those contracts between $5,000 and $150,000. Last Amended on 6/1/2016</td>
<td>Support</td>
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<td>Bill ID/Topic</td>
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<td>AB 2090</td>
<td>S. DEAD</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.</td>
<td>Sponsor</td>
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<td>Alejo D</td>
<td>8/12/2016-Failed Deadline pursuant to Joint Rule 61(b)(14). (Last location was APPR. on 8/11/2016)</td>
<td>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. Last Amended on 5/27/2016</td>
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<td>AB 2126</td>
<td>S. CONSENT CALENDAR 8/11/2016-Ordered to special consent calendar.</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.</td>
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<td>Mullin D</td>
<td>8/17/2016 #449 SENATE SPECIAL CONSENT CALENDAR NO. 14</td>
<td>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</td>
<td>S. DEAD 8/12/2016-Failed Deadline pursuant to Joint Rule 61(b)(14). (Last location was APPR. on 8/11/2016)</td>
<td>Would establish the Transit Pass Program to be administered by the Department of Transportation with moneys made available, upon appropriation by the Legislature, to support transit pass programs that provide free or reduced-fare transit passes to specified pupils and students. The bill would require the department to develop guidelines that describe the criteria that eligible transit providers are required to use to make available free or reduced-fare transit passes to eligible participants. The bill would exempt those guidelines from the Administrative Procedure Act. Last Amended on 8/2/2016</td>
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<td>Holden D</td>
<td>4/22/2016-Failed Deadline pursuant to Joint Rule 61(b)(5). (Last location was A. TRANS. on 4/12/2016)</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. Last Amended on 4/11/2016</td>
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<td><strong>ABX1 7 Nazarian D</strong>&lt;br&gt;Public transit: funding.</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><strong>ABX1 8 Chiu D</strong>&lt;br&gt;Diesel sales and use tax.</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><strong>ABX1 24 Levine D</strong>&lt;br&gt;Bay Area Transportation Commission: election of commissioners.</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 Allen, Travis R</strong>&lt;br&gt;Shuttle services: loading and unloading of passengers.</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>Watch Closely</td>
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| **ACA 4**  
Frazier D  
Local government transportation projects: special taxes: voter approval.  
A. APPR. SUSPENSE FILE  
8/27/2015-In committee: Hearing postponed by committee. | 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 | Support |
| **SB 32**  
Pavley D  
A. THIRD READING  
8/15/2016-Read second time. Ordered to third reading.  
8/18/2016 #274 ASSEMBLY THIRD READING FILE - SENATE BILLS | 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. This bill contains other related provisions.  
Last Amended on 6/30/2016 | Support |
| **SB 122**  
Jackson D  
California Environmental Quality Act: record of proceedings.  
A. THIRD READING  
8/16/2016-Read second time. Ordered to third reading.  
8/18/2016 #356 ASSEMBLY THIRD READING FILE - SENATE BILLS | 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 8/15/2016 | |
| **SB 207**  
Wieckowski D  
A. DEAD  
7/1/2016-Failed Deadline pursuant to Joint Rule 61(b)(13). (Last location was 2 YEAR on 7/17/2015) | 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 | |
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<td><strong>SB 321</strong> Beall D</td>
<td>S. INACTIVE FILE 6/27/2016-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. <strong>Last Amended on 8/18/2015</strong></td>
<td>Watch Closely</td>
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<td><strong>SB 400</strong> Lara D</td>
<td>A. DEAD 8/12/2016-Failed Deadline pursuant to Joint Rule 61(b)(14). (Last location was 2 YEAR on 8/28/2015)</td>
<td>Would require the High-Speed Rail Authority to allocate not less than 25% of the moneys 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. <strong>Last Amended on 6/1/2015</strong></td>
<td>Watch Closely</td>
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<td><strong>SB 878</strong> Leyva D</td>
<td>S. DEAD 5/27/2016-Failed Deadline pursuant to Joint Rule 61(b)(8). (Last location was APPR. SUSPENSE FILE on 4/25/2016)</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. <strong>Last Amended on 3/15/2016</strong></td>
<td>Watch Closely</td>
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<td><strong>SB 882</strong> Hertzberg D</td>
<td>S. ENROLLED 8/10/2016-Enrolled and presented to the Governor at 10 a.m.</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 a minor from being charged with an infraction or a misdemeanor for those acts. <strong>Last Amended on 5/31/2016</strong></td>
<td>Watch Closely</td>
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<td>SB 1128 Glazer D</td>
<td>A. THIRD READING 6/29/2016-Read second time. Ordered to third reading. 8/18/2016 #155 ASSEMBLY THIRD READING FILE - SENATE BILLS</td>
<td>Commute benefit policies. Current law authorizes the Metropolitan Transportation Commission and the Bay Area Air Quality Management District to jointly adopt a commute benefit ordinance that requires covered employers operating within the common area of the 2 agencies with a specified number of covered employees to offer those employees certain commute benefits through a pilot program. Current law requires that the ordinance specify certain matters, including any consequences for noncompliance, and imposes a specified reporting requirement. Current law makes these provisions inoperative on January 1, 2017. This bill would extend these provisions indefinitely, thereby establishing the pilot program permanently.</td>
<td>Support</td>
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<td>SB 1197 Cannella R</td>
<td>S. DEAD 4/22/2016-Failed Deadline pursuant to Joint Rule 61(b)(5). (Last location was S. T. &amp; H. on 3/3/2016)</td>
<td>Intercity rail corridors: extensions. 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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<td>SBX1 7 Allen D</td>
<td>S. APPR. 9/3/2015-Read second time and amended. Referred to Com. on APPR.</td>
<td>Diesel sales and use tax. 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. Last Amended on 9/3/2015</td>
<td>Support</td>
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<td>SBX1 8</td>
<td>S. 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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<td>Hill D</td>
<td>9/2/2015-From committee: Do pass and re-refer to Com. on APPR. (Ayes 8. Noes 0. Page 57.) (September 1). Re-referred to Com. on APPR.</td>
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<td>SBX1 11</td>
<td>S. T. &amp; I.D.</td>
<td>The California Environmental Quality Act (CEQA) requires a lead agency, as defined, to prepare, or cause to be prepared, and certify the completion of, an environmental impact report (EIR) on a project that it proposes to carry out or approve that may have a significant effect on the environment or to adopt a negative declaration if it finds that the project will not have that effect. This bill would exempt from these CEQA provisions a project that consists of the inspection, maintenance, repair, restoration, reconditioning, relocation, replacement, or removal of existing transportation infrastructure if certain conditions are met, and would require the person undertaking these projects to take certain actions.</td>
<td>Support</td>
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<td>Berryhill R</td>
<td>9/4/2015-From committee with author's amendments. Read second time and amended. Re-referred to Com. on T. &amp; I.D.</td>
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