



NOTE MEETING DATE

JOSE CISNEROS
MALIA COHEN
JERRY DEAL
ASH KALRA
ARTHUR L. LLOYD
TOM NOLAN
ADRIENNE TISSIER
PERRY WOODWARD
KEN YEAGER

MICHAEL J. SCANLON
EXECUTIVE DIRECTOR

AGENDA

PENINSULA CORRIDOR JOINT POWERS BOARD

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

January 9, 2014 – Thursday

10:00 a.m.

1. Pledge of Allegiance
2. Call to Order/Roll Call
3. Report from Nominating Committee (Cisneros, Tissier, Woodward) – Election of 2014 Officers MOTION
4. Public Comment
Public comment by each individual speaker shall be limited to two minutes
5. Consent Calendar
Members of the public or Board may request that an item under the Consent Calendar be considered separately
 - a) Approval of Minutes of December 5, 2013 RESOLUTION
 - b) Authorize the Filing of Applications for State Proposition 1B Transit Security Grant Program Funds with the California Governor’s Office of Emergency Services in the Amount of \$939,246 in Fiscal Year 2013/2014
6. Chairperson’s Report
 - a) Resolution of Appreciation to Outgoing Chair Ken Yeager RESOLUTION
7. Report of the Citizens Advisory Committee
8. Report of the Executive Director
 - a) Proclamation Declaring January 16, 2014 the 150th Anniversary of Passenger Rail Service Along the Caltrain Corridor PROCLAMATION
9. Acceptance of Statement of Revenues and Expenses for November 2013 MOTION
10. Authorize the Executive Director to Negotiate the Purchase of 11 Rail Cars from Southern California Regional Rail Authority (Metrolink) for an Amount Not-to-Exceed \$4 Million RESOLUTION

Peninsula Corridor Joint Powers Board
January 9, 2014 Agenda

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| 11. Authorize Award of Contract to URS Corporation Americas for Program Management Support Services for the Caltrain Modernization Program for a Not-to-Exceed Amount of \$10,167,109 for a Three-Year Base Term | RESOLUTION |
| 12. Authorize Rejection of the Proposal Submitted for a Systems Safety Specialist for the Caltrain Modernization Program | MOTION |
| 13. Authorize Rejection of all Proposals for Train Dispatch Voice Communication Systems Upgrade Services | MOTION |
| 14. Authorize Rejection of all Proposals for Contracted Shuttle Services | MOTION |
| 15. Authorize Amending the Fiscal Year 2014 Operating Budget in the Amount of \$513,582 from \$119,991,971 to \$120,505,553 | RESOLUTION |
| 16. Authorize Amending the Fiscal Year 2014 Capital Budget in the Amount of \$8,350,000 from \$190,564,950 to \$198,914,950 | RESOLUTION |
| 17. Authorize Adoption of Ticket Policy Governing Distribution of Tickets and Passes Received by the JPB to Officials and Employees | RESOLUTION |
| 18. Los Gatos Creek Bridge Replacement Update | INFORMATIONAL |
| 19. Legislative Update | INFORMATIONAL |
| 20. Correspondence | |
| 21. Board Member Requests | |
| 22. General Counsel Report | |
| 23. Date/Time of Next Meeting: Thursday, February 6, 2014, 10 a.m. at San Mateo County Transit District Administrative Building, Bacciocco Auditorium, 2 nd Floor, 1250 San Carlos Avenue, San Carlos, CA 94070 | |
| 24. Adjourn | |

INFORMATION FOR THE PUBLIC

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

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

Location, Date and Time of Regular Meetings

Regular meetings are held at the San Mateo County Transit District Administrative Building located at 1250 San Carlos Ave., San Carlos, which is located one block west of the San Carlos Caltrain Station on El Camino Real. The building is also accessible by SamTrans bus Routes: 260, 295, ECR, and KX.

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

Public Comment

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

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

Accessibility for Individuals with Disabilities

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

Availability of Public Records

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

Peninsula Corridor Joint Powers Board (JPB)
Board of Directors Meeting
1250 San Carlos Avenue, San Carlos CA 94070

Minutes
December 5, 2013

MEMBERS PRESENT: J. Cisneros, J. Deal, A. Kalra, A. Lloyd, T. Nolan, A. Tissier, P. Woodward

MEMBERS ABSENT: M. Cohen, K. Yeager

STAFF PRESENT: J. Averill, J. Cassman, C. Cavitt, A. Chan, G. Harrington, C. Harvey, R. Haskin, M. Lee, M. Martinez, N. McKenna, D. Miller, S. Murphy, M. Scanlon, M. Simon

Vice Chair Tom Nolan called the meeting to order at 10:05 a.m. and led the Pledge of Allegiance.

PUBLIC COMMENT

Jeff Carter, Millbrae, said that on November 20 a wire fell across the tracks at the Hayward Park Caltrain Station and caused Caltrain service in the area to be suspended. He said he appreciated the efforts to establish a bus bridge and restore service. Mr. Carter noted that there was a ruling against California High-speed Rail Authority (CHSRA) and he asked about the impacts on Caltrain. He said there is still a lot of miscommunication and lies about high-speed rail (HSR). Mr. Carter said there is no reason to run an inadequate Saturday schedule on the day after Thanksgiving.

Director Adrienne Tissier arrived at 10:07 a.m.

Roland Lebrun, San Jose, said there are two modern train features designed to reduce the number of fatalities after a derailment. He said the first is shared bogies between train carriages to prevent high-speed trains from jackknifing, and the other is tilting trains that allow for higher speeds around corners. Mr. Lebrun said the New York Metropolitan Transportation Authority (MTA) followed Los Angeles's Metrolink example and acquired additional communications spectrums instead of laying fiber optic cable. He said MTA decided to implement Advanced Civil Speed Enforcement System (ACSES), which is the highest performance signaling system used by Amtrak in the Northeast Corridor, and the first Positive Train Control (PTC) system ever approved by the Federal Railroad Administration (FRA). Mr. Lebrun said MTA awarded the ACSES contract to Invensys, the United Kingdom subsidiary of Siemens, for approximately one-quarter of the cost-per-track mile of the Communications-based Overlay Signal System (CBOSS). He recommends the Staff Coordinating Council (SCC) reach out to the new Santa Clara Valley Transportation Authority (VTA) General Manager Nuria Fernandez and ask her why MTA selected ACSES for Metro North and the Long Island Railroad instead of a signaling system overlay.

CONSENT CALENDAR

- a. Approval of Minutes of November 7, 2013

A motion (Tissier/Deal) to approve the Consent Calendar was passed unanimously.

CHAIRPERSON'S REPORT

Appointment of Nominating Committee for 2014 Officers

Vice Chair Nolan appointed Directors Josè Cisneros, Tissier and Perry Woodward to the Nominating Committee for 2014 officers.

REPORT OF THE EXECUTIVE DIRECTOR

Michael Scanlon, Executive Director reported:

- Key Caltrain Performance Statistics
 - Monthly Performance Statistics – October 2013 compared to October 2012
 - Total Ridership was 1,435,694, an increase of 0.5 percent.
 - Average Weekday Ridership was 51,741, an increase of 0.05 percent.
 - Total Revenue was \$6,158,615, a decrease of 3.9 percent.
 - On-time Performance was 92 percent, an increase of 11 percent.
 - Caltrain Shuttle Ridership was 6,803, a decrease of 26.6 percent. There continues to be problems with the count reports from the Marguerite Shuttle and these numbers may not be accurate. Staff is investigating a solution to this report.
 - Year-to-date Performance Statistics – October 2013 compared to October 2012
 - Total Ridership was 5,789,459, an increase of 7.7 percent.
 - Average Weekday Ridership was 53,720, an increase of 7.6 percent.
 - Total Revenue was \$25,599,827, an increase of 6.3 percent.
 - On-time Performance was 91.1 percent, an increase of 2.4 percent.
 - Caltrain Shuttle Ridership was 6,944, a decrease of 21.7 percent. There continues to be problems with the count reports from the Marguerite Shuttle and these numbers may not be accurate. Staff is investigating a solution to this report.
- The Bicycle Advisory Committee (BAC) met on November 21 and received presentations on level boarding and the Bicycle Access Plan. The BAC elected officers for 2014 and approved changes to their charter. The next meeting is January 16.
- Special service:
 - San Jose Sharks had eight home games in November and a 12 percent increase in ridership.
 - Stanford Football ridership was up 7 percent over last season. The Big Game carried an additional 2,900 riders, a 39 percent increase.
 - There will be regular service on Christmas Eve and Sunday service on Christmas Day.
 - The Kraft Fight Hunger Bowl will be at AT&T Park on Friday, December 27.
 - Additional service will be added on New Year's Eve. Staff has worked closely with VTA and the San Francisco Municipal Transportation Agency to coordinate a common time for free rides starting at 8 p.m. Four trains

will operate after the fireworks at 12:45 a.m., 1:15 a.m., 1:45 a.m., and 2:15 a.m.

- A Sunday schedule will be in place on New Year's Day.
- The Reading File contains the October Safety & Security Report.

Caltrain Modernization Update

Marian Lee, Executive Officer, Caltrain Modernization (CalMod) Program, said the Electrification Environmental Administrative Draft Report is being reviewed internally and staff is targeting public release of the document for February. Installation continues in Mountain View for the CBOSS/PTC communication sub-system and fiber. Ms. Lee said there is a misunderstanding that the CBOSS/PTC project will impact trees. Staff has evaluated this project and has not identified any impact on trees, but staff is sensitive to local constituents who are very concerned about their trees, so a tree protocol has been put in place. This will help coordinate with the concerned cities and will focus on unexpected encounters between the conduit and tree roots. Ms. Lee said the Local Policy Makers Group had its last meeting of the year on November 20 and a presentation was given on the update to the Caltrain Strategic Plan. Concerns were expressed about how many more riders Caltrain can accommodate in the future. The group also received a presentation on the 4th and King Feasibility Study. Some members wanted confirmation that off-site facility locations, if needed, would be found in San Francisco. Members also wanted to understand the potential benefit to Caltrain from San Francisco's interests in development.

David Miller, Legal Counsel, said he is coordinating closely with the California High-speed Rail Authority's (CHSRA) legal team that ultimately has to advise the CHSRA Board on action plans to comply with the rulings. One case was a bond validation proceeding that was initiated by the CHSRA. The reason the CHSRA initiated the action was in anticipation there likely would be objections from opponents to the project about the validity of the bonds and the propriety of issuing them. Mr. Miller said the court found a technical irregularity took place in that there had not been a sufficient technical finding of necessity or desirability to issue the bonds. The court acknowledged the role of the judiciary in a proceeding of this type is to accord great deference to the decision of a legislative body such as the CHSRA. However, in this case a closed session discussion took place where this matter was presented rather than an open session determination of desirability and necessity.

Mr. Miller said the CHSRA plan will be to start the proceeding again, have public findings on these issues and, in all likelihood, the deficiency will be corrected satisfactorily.

Mr. Miller said the other case, known as the Tos Case, presents more substantive issues for the CHSRA to manage. In that case the court found that the Financial Plan pursuant to which the request for issuance of bonds was made was not adequate. The CHSRA has advised it is in the process of updating its Financial Plan to take into account how it relates to its amended Business Plan. Mr. Miller said it will probably take several months and the CHSRA may be taking a fresh look at what the initial operating segment is in order to make a finding that there is adequate financing for what they are planning to

construct. He said these issues potentially have ramifications to the JPB, but since the judge has not stopped the project and the CHSRA is proceeding with the construction contract it recently awarded there is a possibility of correcting these matters in the not too distant future.

Mr. Miller said he and JPB management will be working closely with the CHSRA legal counsel and staff. If there are any actions this Board needs to take over the next few months they will be brought forward.

Chuck Harvey, Deputy CEO, said people are asking if the derailment in New York could happen on Caltrain. Mr. Harvey said it can, but the PTC system in progress on Caltrain and mandated by the FRA will prevent train-to-train collisions, over-speed derailments, incursions into established work zones and movement through misaligned switches. TransitAmerica Services' management team has issued a crew advisory to remain vigilant. Staff is conducting random field radar speed spot checks and efficiency testing to see if the engineers are following the rules. Mr. Harvey said all locomotives have an alert system on the cab and Bombardier cars that requires the engineer to respond or the system goes into an emergency brake. The older gallery cars have a "dead man" switch: the engineer has to be stepping on the switch for the system to be operable.

Gigi Harrington, Deputy CEO, presented Director Cisneros with a hard hat for his first head-end ride.

Mr. Scanlon continued:

- The Holiday Train will be operating December 7 and 8 in partnership with the Silicon Valley Community Foundation, the Salvation Army and the U.S. Marine Corps Reserves. Trains depart San Francisco each night and stop at four stations.
- On October 19, more than 1,500 persons attended the first 150th Caltrain Anniversary event in Menlo Park. A video of the event was show. The next event will be on January 18 at the Santa Clara Station.
- Rita Haskin, Executive Officer, Customer Service and Marketing, showed the San Mateo County Transit District holiday card video.

Vice Chair Nolan said he was glad to hear the report from legal counsel on CHSRA. He asked when will there be an update. Mr. Miller said he will be able to report more this afternoon, after the CHSRA meeting. He said CHSRA's general counsel said it will take three to four months to go through the formalities of the amended financial plan.

Public Comment

Roland Lebrun, San Jose, said the speed enforcement should be able to be done in real time with a Global Positioning System. He said all the focus on the Tos Case has been on the funding plan. The next item that will be showing up in court is the validation of Proposition 1A. The Caltrain blended system capacity analysis will be used as evidence of a Proposition 1A violation, because that capacity analysis proves you cannot travel from San Francisco to San Jose in 30 minutes.

Adina Levin, Friends of Caltrain, said everyone is watching the HSR legal issues and waiting for next steps. She asked if there were any updates on obtaining more cars to increase capacity.

Vice Chair Nolan thanked the entire leadership, staff and all those who attend the monthly meetings.

REPORT OF THE CITIZENS ADVISORY COMMITTEE (CAC)

Kevin Gardiner, CAC Chair, said at its November 20 meeting, the CAC:

- o Received an update on the Caltrain Strategic Plan. There is interest in the public participation. There were questions on funding and having the Strategic Plan include the framework for recommendations on funding including capital projects not funded through HSR. Questions on capacity will be discussed at the December meeting.
- o The 2014 meeting calendar was approved. It was discussed to possibly have meetings in other counties. There are pros and cons, logistic issues, and expenses for operating meetings at other locations. The consensus was to hold all 2014 meetings in San Carlos.
- o CAC member Bruce Jenkins will be resigning after the December meeting.
- o Next meeting will be December 18.

Director Tissier thanked Mr. Jenkins for his service and efforts on the CAC.

ACCEPTANCE OF STATEMENT OF REVENUES AND EXPENSES FOR OCTOBER 2013

Gigi Harrington, Deputy CEO, said October revenues are over budget by \$2.88 million and on the expense side there is \$2.6 million in savings. Ms. Harrington said fuel was \$3.04 per gallon last week and year-to-date is \$3.10 per gallon. The JPB did not trip the fuel hedge in November.

A motion (Cisneros/Deal) to accept the October 2013 statement was approved unanimously.

AUTHORIZE ADOPTING AN AMENDED AND RESTATED CODIFIED TARIFF, MAKING FINDINGS UNDER THE CALIFORNIA ENVIRONMENTAL QUALITY ACT (CEQA) AND ADOPTING THE ASSOCIATED TITLE VI ANALYSIS

Rita Haskin, Executive Officer, Customer Service and Marketing, said SCC recommends the Board take three actions: Adopt a revised Codified Tariff to include a discount to groups of 25 or more, allow universities and other employers who participate in the GO Pass Program to include interns and part-time employees and expand the GO Pass Program to residents, and adopt the findings of CEQA and associated Title VI analysis. Under the Title VI Equity Analysis the changes to the Tariff would result in no disparate adverse impact on minority passengers, nor would they impose a disproportionate burden on low-income passengers.

Director Ash Kalra left at 10:54 a.m.

Public Comment

Adina Levin, Friends of Caltrain, said she commends staff and the Board for expanding the GO Pass Program to more employees and residential complexes.

A motion (Tissier/Deal) to adopt the amended Codified Tariff, CEQA findings and associated Title VI analysis was approved unanimously.

AUTHORIZE AWARD OF A SOLE SOURCE CONTRACT TO ARINC, INC. TO MODIFY THE RAIL OPERATIONS CONTROL SYSTEM TO INCLUDE THE COMMUNICATIONS-BASED OVERLAY SIGNAL SYSTEM/POSITIVE TRAIN CONTROL FUNCTIONS IN THE AMOUNT OF \$1,993,468

Ms. Harrington said ARINC, Inc. is the provider of the rail control system that was put in revenue service last year. The back-end of the system needs to be modified to hook the CBOSS/PTC system into it. Ms. Harrington said it couldn't be done at the time the system was implemented because the CBOSS/PTC system was not designed yet. The CBOSS/PTC system is in final design and the modifications to the control system need to be made.

A motion (Deal/Tissier) to award a sole contract to ARINC, Inc. to modify the rail operations control system in the amount of \$1,993,468 was approved unanimously.

AUTHORIZE INCREASE IN CHANGE ORDER AUTHORITY FOR THE SAN BRUNO GRADE SEPARATION PROJECT CONTRACT FOR AN AMOUNT NOT TO EXCEED \$4 MILLION

Mr. Harvey said the project is continuing and the west side is done. The contractor is pouring the last portion of the platform on the east side. The station is scheduled to be opened around March 1, 2014. The increase in contract authority is requested to enable staff to continue to negotiate change order requests for compensation to the contractor. This project is fully funded by the San Mateo County Transportation Authority and externally leveraged grants. Mr. Harvey said staff purposely held back contingency funding. He said there are some issues and a number of claims have been filed with no merit.

A motion (Lloyd/Deal) to increase the change order authority for the San Bruno Grade Separation Project contract for an amount not to exceed \$4 million was approved unanimously.

AUTHORIZE AWARD OF CONTRACT TO VALI COOPER AND ASSOCIATES FOR ON-CALL CONSTRUCTION MANAGEMENT SERVICES FOR A NOT-TO-EXCEED AMOUNT OF \$15 MILLION FOR A THREE-YEAR TERM

Cheryl Cavitt, Director, Contracts and Procurement, said SCC is requesting Board approval of an award of contract to Vali Cooper and Associates for a three-year term, and authorization for the Executive Director to exercise up to two one-year options. The construction management services will support many programs. Staff issued a Request for Proposal (RFP) on an on-call basis. The current contract has a fixed price based on a specific number of projects. Staff's finding was that construction projects are vulnerable to changes and delays and a fixed price did not allow sufficient flexibility.

Ms. Cavitt said four proposals were received and all complied with the requirements of the RFP. All four firms were interviewed. Vali Cooper has worked with the JPB in the past as a sub-contractor. The firm is a graduate of a Disadvantaged Business Enterprise Program and brings the JPB in excess of the 12 percent DBE goal.

A motion (Lloyd/Tissier) to award a contract to Vali Cooper and Associates for on-call construction management services for a not-to-exceed amount of \$15 million for a three-year term was approved unanimously.

LEGISLATIVE UPDATE

State Update

Seamus Murphy, Director, Government and Community Affairs, said that California Alliance for Jobs and Transportation California have jointly filed a ballot measure for the November 2014 ballot that would increase the State vehicle license fee by 1 percent of the vehicle's total value. This would equate to about \$2.9 billion a year and be phased-in over four years starting in 2015. He said the Expenditure Plan would provide about 10 percent of the total funding to transit through the State Transit Assistance Program, and would be eligible for operating expenses for transit providers based on a formula. Polling will be conducted in January to determine whether the measures will be pursued.

Federal Update

Mr. Murphy said Congressman Jeff Denham of California will be holding a hearing to discuss what the Federal response should be to the Superior Court's decision on the CHSRA ruling. The hearing is scheduled for December 12.

Mr. Murphy said Congressman Earl Blumenauer of Oregon has introduced two bills to increase the gas tax in Fiscal Year 2015 by 15 cents to support the Highway Trust Fund and for a pilot study of a vehicle miles traveled tax.

CAPITAL PROJECTS QUARTERLY STATUS REPORT – 1ST QUARTER FISCAL YEAR 2014

Ms. Harrington said this is an informational item.

CORRESPONDENCE

No discussion.

BOARD MEMBER REQUESTS

None

LEGAL COUNSEL REPORT

Mr. Miller said a transaction was closed with Union Pacific (UP) and involves resolution of claims the JPB asserted against UP relative to the cleanup of hazardous materials and an Environmental Indemnity Agreement that was entered into as part of the rail corridor acquisition in 1991. At that time, staff was able to negotiate with UP's predecessor, Southern Pacific, an Environmental Indemnity Agreement to cover hazardous materials that might have to be dealt with over a long period of time, subsequent to closing the transaction.

Mr. Miller said in 2009, staff asserted various claims to deal with then-anticipated projects that the JPB would be undertaking over the next several years. Not surprisingly, UP questioned the claims and staff was involved in four mediation sessions over a period of two years. Mr. Harvey was acknowledged for his involvement in these mediations. An agreement was signed on November 18 and the JPB will be receiving \$1.5 million from UP.

DATE/TIME/PLACE OF NEXT MEETING

The next meeting will be Thursday, January 9, 2014, 10 a.m. at San Mateo County Transit District Administrative Building, Bacciocco Auditorium, 2nd Floor, 1250 San Carlos Avenue, San Carlos, CA 94070.

Adjourned at 11:11 a.m.

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michael J. Scanlon
Executive Director

FROM: April Chan
Executive Officer, Planning and Development

SUBJECT: **AUTHORIZE THE FILING OF APPLICATIONS FOR STATE PROPOSITION 1B
TRANSIT SECURITY GRANT PROGRAM FUNDS**

ACTION

Staff Coordinating Council (SCC) recommends the Board authorize the Executive Director, or his designee, to submit grant applications, with concurrent Letter of No Prejudice (LONP) requests, to the California Governor's Office of Emergency Services (Cal OES) and to file and execute certifications, assurances and other documentation as required to receive \$939,246 in Fiscal Year 2013/2014 Proposition 1B California Transit Security Grant Program (CTSGP) funds from the State for transportation security projects.

SIGNIFICANCE

Cal OES requires eligible recipients of Proposition 1B CTSGP funds to submit resolutions approved by their governing bodies that authorize the designated agency officer(s) to execute any action necessary for the processing of applications associated with the programming and receipt of funds. Approval of this item will meet Cal OES's CTSGP funding requirement.

Due to current economic conditions, the State controller has been unable to sell a sufficient amount of bonds to fully fund all Proposition 1B capital projects around the State. Should funding not be available at the time the JPB files its funding applications, the LONP would enable the JPB to proceed with work utilizing its own funds, and be reimbursed once bond proceeds become available.

BUDGET IMPACT

There is no budget impact related to this action. Projects proposed to be funded with Proposition 1B CTSGP funds may include right of way fencing, enhanced lighting at stations, emergency communications equipment, and the installation of closed circuit television cameras at Caltrain stations. These projects will be vetted through the upcoming Fiscal Year 2015 Capital Budget development cycle.

Staff expects the projects selected through this process will be funded with 100 percent Proposition 1B CTSGP monies as these grant funds do not require a local match.

BACKGROUND

The Highway Safety, Traffic Reduction, Air Quality and Port Security Bond Act of 2006, otherwise known as Proposition 1B, was approved by California voters on November 7, 2006. Proposition 1B includes a funding program specifically for transit safety and security projects, known as the CTSGP. The State Controller develops a list of eligible transit operators and the amount of funds that each operator is eligible to receive on an annual basis. Funding allocations are contingent on bond sales, which have been delayed in recent years due to the State's current fiscal environment.

Board authorization for the filing of applications by the agency's appointed agent is a Cal OES requirement and to allow greater flexibility, it does not require applicants to list each project on its governing body resolution. The certified resolution will be filed with Cal OES after adoption by the Board.

Prepared by: Peter Skinner, Senior Grants Analyst

650.622.7818

RESOLUTION NO. 2014 -

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

* * *

**AUTHORIZING THE FILING OF APPLICATIONS FOR STATE PROPOSITION 1B
TRANSIT SECURITY GRANT PROGRAM FUNDS**

WHEREAS, the California Transit Security Grant Program (CTSGP) is a program for capital security and safety projects that is part of the Highway Safety, Traffic Reduction, Air Quality, and Port Security Bond Act of 2006, otherwise known as Proposition 1B, which was approved by California voters on November 7, 2006; and

WHEREAS, the CTSGP is administered by the California Governor's Office of Emergency Services (Cal OES); and

WHEREAS, the State controller develops an annual list with the amounts that each eligible project sponsor is programmed to receive; and

WHEREAS, Cal OES requires all eligible recipients of CTSGP funds to submit resolutions approved by their governing bodies that authorize appointed agents to take any actions necessary for the processing of applications; and

WHEREAS, due to a lack of available bond funding for new projects, the State Controller's Office may be unable to allocate CTSGP funds in a timely manner; and

WHEREAS, Assembly Bill 672, signed by the governor on October 11, 2009, authorizes approval of a Letter of No Prejudice (LONP), which allows an eligible applicant to expend its own funds to proceed with work on CTSGP-eligible projects and be reimbursed once CTSGP funds are available; and

WHEREAS, the Peninsula Corridor Joint Powers Board (JPB) is on a list of eligible applicants for CTSGP funds; and

WHEREAS, Staff Coordinating Council recommends the Board provide the Executive Director, or his designee, the authorization to submit applications for Fiscal Year (FY) 2014 CTSGP funds, with concurrent LONP requests and to file and execute certifications and assurances and any other documentation required by Cal OES.

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

1. Authorizes the Executive Director, or his designee, to file applications and concurrent LONP requests with Cal OES for FY2014 Proposition 1B CTSGP funds; and
2. Authorizes the Executive Director, or his designee, to take such actions as may be necessary to give effect to this resolution, including executing any agreements, certifications and assurances or other documentation that may be required to receive the funds.

Regularly passed and adopted this 9th day of January 2014, by the following

vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary

PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT

TO: Joint Powers Board

THROUGH: Michael J. Scanlon
Executive Director

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

SUBJECT: **KEY CALTRAIN PERFORMANCE STATISTICS NOVEMBER 2013**

In November 2013, Caltrain's average weekday ridership (AWR) was 51,991, which is an increase of 4,665 or 9.9 percent over November 2012 AWR of 47,326. The total number of passengers who rode Caltrain in November 2013 was 1,325,955 which is 8.1 percent more than in November 2012.

On-time performance for November 2013 was 93.5 percent, which is above the 91 percent on-time performance for November 2012. When trains arriving within 10 minutes of the scheduled arrival time are included, November 2013 on-time performance rises to 96.4 percent. Mechanical delays in November 2013 were 652 minutes, which is higher than the 497 minutes in November 2012, but is significantly lower than October 2013. Many of the major delays were related to unpredictable events.

- November 4: 9 trains were delayed and one train terminated due to two separate incidents involving vehicles driving onto the tracks at Mission Bay and 16th Street.
- November 5: 15 late trains due to a vehicle driving onto the tracks at Oak Grove Avenue.
- November 12: 14 late trains and two terminated trains due to mechanical problems.
- November 20: 17 terminated trains and seven annulled trains due to down power lines across tracks near Hayward Park station.

Looking at customer service statistics, there were 11.5 complaints per 100,000 passengers in November 2013. This is lower than the 12.6 complaints in November 2012.

Shuttle ridership is up 5 percent compared with last year. When the Marguerite shuttles are removed, overall shuttle ridership increased 2.6 percent over November 2012. The Marguerite shuttles have improved the accuracy of their ridership reporting, which accounts for much of the ridership increase. For the station shuttles, the Millbrae-Broadway shuttle averaged 171 daily riders. The Belmont-Hillsdale shuttle averaged 64 daily riders. The weekend Tamien-San Jose shuttle averaged 74 riders per day.

Caltrain Promotions – November 2013

See Something – Say Something – The *See Something – Say Something* customer safety and security awareness campaign issued its 11th message as part of the year-long program: *Make sure your emergency information & contact numbers are with you at all times.* A new message is issued each month through conductor announcements, station electronic message signs, web posting (www.caltrain.com/seesomething) and social media, including Facebook and Twitter.

Stanford Football – Stanford completed its outstanding season in November. Caltrain came out a winner as it delivered fans to The Farm. The rail agency promoted its service to the Stanford Stadium station with banner ads and radio spots on Pandora, social media, web button and dedicated page on its website. Service information also was included in two Caltrain publications, *Track the Fun* and *Caltrain Connection*. In November, Caltrain transported 1,998 customers to the Stanford Stadium station for one game. Ridership for the season, excluding the Big Game against Cal Berkeley, was 10,267, a 7 percent increase over last year. **Big Game** – Nearly 3,000 fans rode to or from the Stanford Stadium station for the matchup between the Stanford Cardinal and Berkeley Bear, a 39 percent increase compared to the last Big Game hosted by Stanford in 2011. Because the Stanford station doesn't have a Clipper card tagging device or ticket machines, an unknown number of customers also used the Palo Alto station.

San Jose Sharks – The exciting San Jose Sharks season continued to have a positive impact on Caltrain ridership. With the San Jose Diridon station located across the street from the SAP Center, it's a lot easier to promote the train to the game. Caltrain staff worked with the Sharks to promote train service to the center with onboard take ones and adcards. The marketing efforts also included running banner ads and radio spots on Pandora, posting information through social media and including information in *Track the Fun*. Caltrain carried an extra 2,997 customers for the eight home games.

Focus on Visitors – Residents aren't the only target market that Caltrain tries to attract to its service. The commuter rail agency also offers a great service for visitors. One way Caltrain reached out to this market was with an ad in the 2014 San Mateo County/Silicon Valley Guide from the convention and visitors bureau. Using the slogan, "Keeping San Mateo County on the Move!" the ad featured customers waiting for an approaching train.

Partnerships – Caltrain Market Research & Development staff works with a number of event organizers to co-promote events that will generate train ridership and also provide added value for current Caltrain customers. In November, Caltrain participated in partnerships for the San Mateo Harvest Festival and the San Jose Harvest Festival. Caltrain customers were treated to \$2 off the cost of a general admission ticket. Partnerships are promoted on Caltrain's *Track the Savings* web page, in the *Track the Fun* brochure.

Prepared by: Rita P. Haskin, Executive Officer, Customer Service and Marketing 650.508.6248
Catherine David, Senior Operations Planner 650.508.6471

Table A

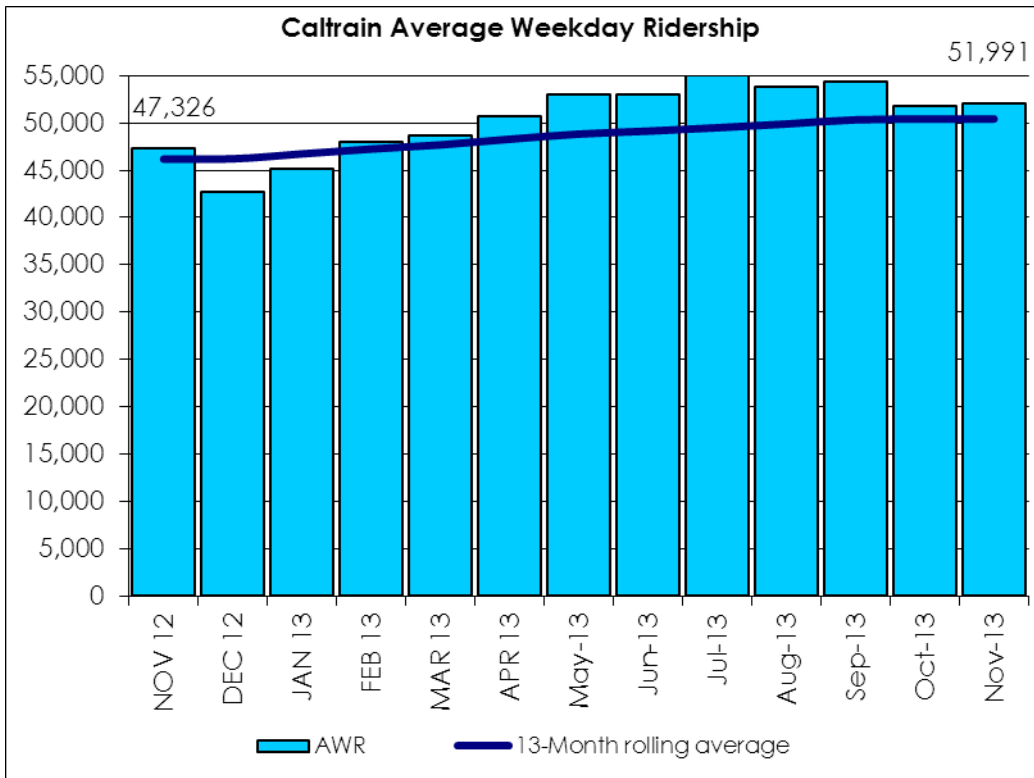
November 2013

	FY2013	FY2014	% Change
Total Ridership	1,226,450	1,325,955	8.1%
Average Weekday Ridership	47,326	51,991	9.9%
Total Farebox Revenue	\$5,269,467	\$5,839,024	10.8%
On-time Performance	91.0%	93.5%	2.7%
Average Caltrain Shuttle Ridership	8,786	9,222	5.0%

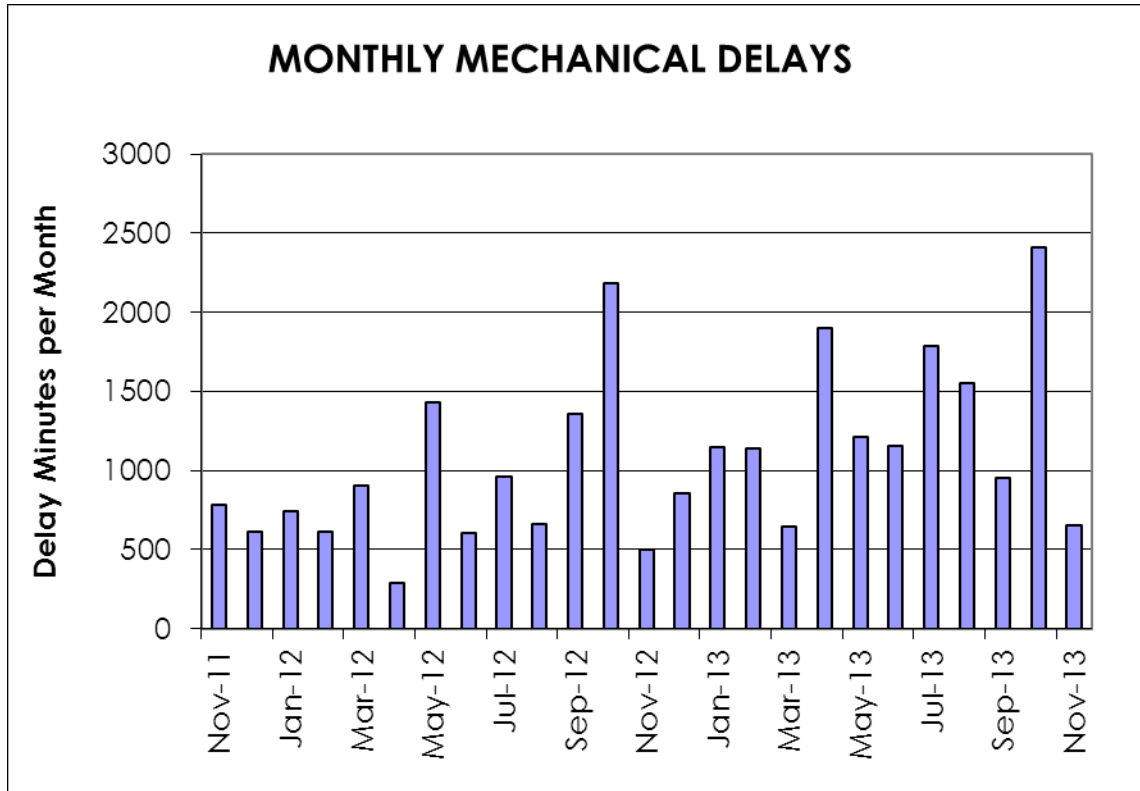
Year to Date

	FY2013	FY2014	% Change
Total Ridership	6,601,313	7,115,414	7.8%
Average Weekday Ridership	49,421	53,374	8.0%
Total Farebox Revenue	\$29,344,703	\$31,438,851	7.1%
On-time Performance	89.4%	91.5%	2.3%
Average Caltrain Shuttle Ridership	8,868	7,422	-16.3%

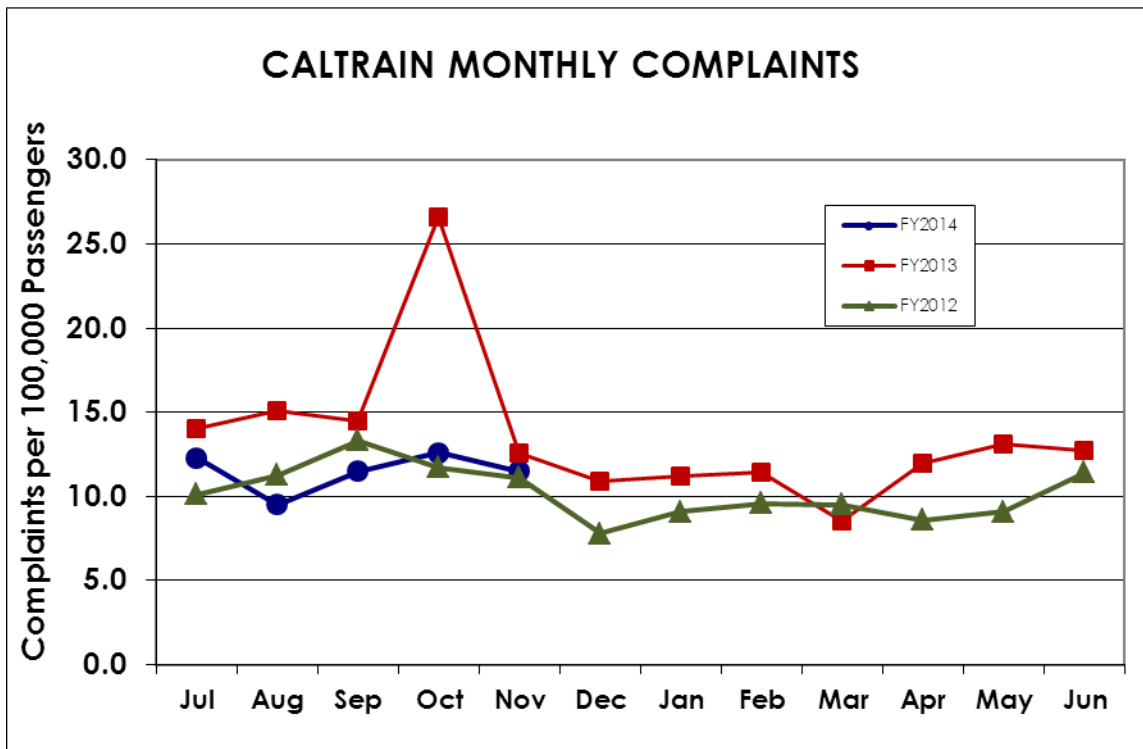
Graph A



Graph B



Graph C



**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michael J. Scanlon
Executive Director

FROM: Mark Simon
Executive Officer for Public Affairs

SUBJECT: **PROCLAMATION DECLARING JANUARY 16, 2014 THE 150TH
ANNIVERSARY OF PASSENGER RAIL SERVICE ALONG THE CALTRAIN
CORRIDOR**

ACTION

Staff Coordinating Council (SCC) recommends the Board adopt the proclamation designating January 16, 2014 to be the official 150th anniversary of passenger service along the Peninsula rail corridor.

SIGNIFICANCE

The Peninsula corridor is one of the nation's oldest continuously operating passenger railroads. To mark the line's 150th anniversary, Caltrain is hosting a series of events including a celebration in Santa Clara on January 18, 2014 to commemorate the historic sesquicentennial milestone.

BACKGROUND

As part of the Caltrain celebration, the agency held a community event in Menlo Park to mark the launch of service on the northern end of the corridor, which began on October 18, 1863. Caltrain's January event will officially designate the rail corridor's 150 years of service with ceremonies in San Francisco and Santa Clara and a special ride down the line, stopping at each of the corridors seven nationally registered historic stations, which include Millbrae, Burlingame, San Carlos, Menlo Park, Palo Alto, Santa Clara and the San Jose Diridon Station.

PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT

TO: Joint Powers Board

THROUGH: Michael J. Scanlon
Executive Director

FROM: Gigi Harrington
Deputy CEO

SUBJECT: **STATEMENT OF REVENUE AND EXPENSE FOR THE PERIOD ENDING
NOVEMBER 30, 2013 AND SUPPLEMENTAL INFORMATION**

ACTION

Staff proposes the Board of Directors accept and enter into the record the Statement of Revenue and Expense for the month of November 2013 and supplemental information.

SIGNIFICANCE

Revenue: For November of Fiscal Year 2014, *Total Operating Revenue* (line 7) is \$3,665,232 or 11.4 percent **better** than budget. Within total operating revenue, *Farebox Revenue* (line 1) is \$3,517,729 or 12.6 percent **better** than budget. Compared to the prior year, *Total Operating Revenue* (line 7) is \$2,671,956 or 8.1 percent **higher**.

Expense: *Grand Total Expenses* (line 50) show a favorable variance of \$2,304,295 or 4.6 percent. *Total Operating Expense* (line 36) is \$2,022,134 or 4.7 percent **better** than budget. *Total Administrative Expense* (line 46) is \$282,131 or 4 percent **better** than budget.

Compared to prior year, *Grand Total Expenses* (line 50) are \$3,561,927 or 8 percent **higher**.

BUDGET IMPACT

There are no budget revisions for the month of November 2013.

Prepared By: Jeannie Chen, Senior Accountant 650.508.6259
Sheila Tioyao, Manager, General Ledger 650.508.7752

PENINSULA CORRIDOR JOINT POWERS BOARD
STATEMENT OF REVENUE AND EXPENSE
Fiscal Year 2014
November 2013

	% OF YEAR ELAPSED 41.7%								
	MONTH	YEAR TO DATE				ANNUAL			
	CURRENT ACTUAL	PRIOR ACTUAL	CURRENT ACTUAL	REVISED BUDGET	% REV BUDGET	APPROVED BUDGET	REVISED BUDGET	% REV BUDGET	
(AS PROJECTED)									
REVENUE									
OPERATIONS:									
1	Farebox Revenue	5,839,024	29,344,703	31,438,786	27,921,057	112.6%	66,070,569	66,070,569	47.6%
2	Parking Revenue	346,878	1,305,753	1,589,916	1,524,777	104.3%	3,652,330	3,652,330	43.5%
3	Shuttles	109,094	484,729	565,567	773,496	73.1%	1,722,636	1,722,636	32.8%
4	Rental Income	142,894	756,433	730,170	754,750	96.7%	1,816,920	1,816,920	40.2%
5	Other Income	245,204	1,199,544	1,438,679 (A)	1,123,807	128.0%	2,691,230	2,691,230	53.5%
6									
7	TOTAL OPERATING REVENUE	6,683,095	33,091,162	35,763,118	32,097,886	111.4%	75,953,685	75,953,685	47.1%
8									
9	CONTRIBUTIONS:								
10	AB434 Peninsula & TA Shuttle Funding	161,889	802,331	812,505	879,140	92.4%	2,109,948	2,109,948	38.5%
11	Operating Grants	523,993	2,212,910	2,619,964	2,718,847	96.4%	11,287,914	11,306,789	23.2%
12	JPB Member Agencies	1,435,963	13,958,333	7,179,817	7,179,812	100.0%	17,231,549	17,231,549	41.7%
13	Other Sources				7,329,855	0.0%	13,390,000	13,390,000	0.0%
14									
15	TOTAL CONTRIBUTED REVENUE	2,121,845	16,973,573	10,612,286	18,107,654	58.6%	44,019,411	44,038,286	24.1%
16									
17	GRAND TOTAL REVENUE	8,804,941	50,064,735	46,375,404	50,205,541	92.4%	119,973,096	119,991,971	38.6%
18									
19									
20	EXPENSE								
21	OPERATING EXPENSE:								
23	Rail Operator Service	5,541,161	24,690,733	26,837,408	26,874,849	99.9%	64,500,000	64,500,000	41.6%
24	Rail Operator Service - Other	-	285,000	-	-	0.0%	-	-	0.0%
25	Security Services	28,288	1,604,749	1,355,217	1,573,310	86.1%	4,519,944	4,519,944	30.0%
26	Rail Operator Extra Work	-	39,968	(254,200) (B)	64,800	-392.3%	155,500	155,500	-163.5%
27	Contract Operating & Maintenance	5,569,449	26,620,451	27,938,425	28,512,959	98.0%	69,175,444	69,175,444	40.4%
28	Shuttles (incl Peninsula Pass)	329,144	1,575,606	1,660,249	1,989,205	83.5%	4,774,107	4,774,107	34.8%
29	Fuel and Lubricants	1,333,177	6,317,716	6,406,423	7,428,374	86.2%	17,828,097	17,828,097	35.9%
30	Timetables and Tickets	12,000	57,971	54,509	57,750	94.4%	155,000	155,000	35.2%
31	Insurance	638,345	2,070,660	2,616,201	2,634,157	99.3%	5,470,000	5,470,000	47.8%
32	Facilities and Equipment Maint	142,964	616,594	724,682	766,823	94.5%	1,814,975	1,841,850	39.3%
33	Utilities	164,240	631,330	732,492	760,892	96.3%	1,826,540	1,826,540	40.1%
34	Maint & Services-Bldg & Other	202,420	491,571	562,109	567,067	99.1%	1,323,880	1,323,880	42.5%
35									
36	TOTAL OPERATING EXPENSE	8,391,739	38,381,898	40,695,091	42,717,225	95.3%	102,368,043	102,394,918	39.7%
37									
38	ADMINISTRATIVE EXPENSE								
39	Wages and Benefits	688,730	2,135,984	2,874,715	2,931,130	98.1%	6,811,835	6,608,667	43.5%
40	Managing Agency Admin OH Cost	529,811	1,574,752	2,001,671	2,090,828	95.7%	5,017,987	5,017,987	39.9%
41	Board of Directors	800	3,278	3,339	4,350	76.8%	11,700	11,700	28.5%
42	Professional Services	263,729	1,112,634	1,110,463	1,214,560	91.4%	2,764,323	2,906,630	38.2%
43	Communications and Marketing	3,833	51,358	33,689	33,896	99.4%	122,500	122,500	27.5%
44	Office Expense and Other	133,164	619,882	722,775	754,021	95.9%	1,773,833	1,826,694	39.6%
45									
46	TOTAL ADMINISTRATIVE EXPENSE	1,620,067	5,497,889	6,746,653	7,028,784	96.0%	16,502,178	16,494,178	40.9%
47									
48	Long Term Debt Expense	91,892	459,531	459,502	459,531	100.0%	1,102,875	1,102,875	41.7%
49									
50	GRAND TOTAL EXPENSE	10,103,697	44,339,319	47,901,246	50,205,541	95.4%	119,973,096	119,991,971	39.9%
51									
52	NET SURPLUS / (DEFICIT)	(1,298,757)	5,725,416	(1,525,842)	-	0.0%	-	-	0.0%

"% 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.

(A) Unbudgeted recovery payout from Lehman Brothers bankruptcy.
 (B) Reversal of Prior year accrual.



INVESTMENT PORTFOLIO

AS OF NOVEMBER 30, 2013

TYPE OF SECURITY		MATURITY DATE	INTEREST RATE	PURCHASE PRICE	MARKET RATE
-----		-----	-----	-----	-----
Local Agency Investment Fund (Restricted)	*	Liquid Cash	0.263%	\$ 2,000,000	\$ 2,000,000
Local Agency Investment Fund (Unrestricted)	*	Liquid Cash	0.263%	28,170,343	28,170,343
County Pool (Unrestricted)	**	Liquid Cash	0.630%	20,592,229	20,592,229
Other (Unrestricted)		Liquid Cash	0.000%	961,125	961,125
-----		-----	-----	-----	-----
				\$ 51,723,696	\$ 51,723,696

Accrued Earnings for November, 2013	\$ 17,746.61
Cumulative Earnings FY2014	\$ 88,821.19

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

** County Pool average yield for the month ending November 30, 2013 was 0.630%. As of November, 2013 the amortized cost of the Total Pool was \$2,984,940,629.05 and the fair market value per San Mateo County Treasurer's Office was \$2,989,104,067.30.

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.

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michael J. Scanlon
Executive Director

FROM: C.H. Chuck Harvey
Deputy CEO

SUBJECT: **AUTHORIZE THE EXECUTIVE DIRECTOR TO NEGOTIATE THE PURCHASE OF 11 RAILCARS FROM METROLINK FOR AN AMOUNT NOT TO EXCEED \$4 MILLION.**

ACTION

Staff Coordinating Council (SCC) recommends the Board authorize the Executive Director to complete negotiations for the purchase of 11 used Bombardier railcars from Metrolink in an amount not to exceed \$4 million dollars.

SIGNIFICANCE

Caltrain has experienced record ridership growth in the past few years, leading to overcrowding and capacity constraints on many peak period trains. Additionally, the Peninsula Corridor Joint Powers Board (JPB) must continue to pursue its State of Good Repair (SOGR) Car Rebuild Program for its existing fleet. This may require cars to be removed from service for a period of time.

In order to increase capacity and mitigate the potential impact of the SOGR Program, several months ago, JPB staff recommended pursuing a Rail Car Capacity Expansion Project.

The Rail Car Capacity Expansion Project consists of the procurement of 11 railcars to improve fleet capacity. Southern California Regional Rail Authority (Metrolink) has put on sale 23 Bombardier Generation II Coaches and Cab cars built in 1995. Because this is a unique opportunity, there will not be a competitive process. These cars are compatible with the existing Caltrain fleet of Bombardier cars and will eventually allow roughly half of the fleet to be enlarged to six-car consists.

JPB staff retained the services of LTK Engineering to perform an initial field assessment of the vehicles in order to determine which of the 23 vehicles were in a condition suitable for the JPB and an appropriate purchase price for the vehicles.

Once purchased the cars will need to be rehabilitated before they are ready for service. The rehabilitation will take several months and is expected to cost as much as the purchase price for the cars. Staff will return to the Board to amend the budget to include the cost of the refurbishment once that figure is known with more certainty.

BUDGET IMPACT

The Fiscal Year 2014 Capital Budget is proposed to be amended under a separate agenda item to include \$4 million for the railcar purchase. The funds for the purchase will come from prior years' surplus farebox funds. Funds required to refurbish the cars will need to come through a financing mechanism that will be brought to the Board for consideration as a separate action item in a subsequent month.

BACKGROUND

The Caltrain fleet currently consists of 118 coaches and cab cars that are outfitted into five-car sets in order to deliver the 92 train weekday service. The addition of the new cars will allow for a certain number of those sets to be expanded to six cars in order to affect a modest capacity increase prior to electrification.

Staff will need to assess the impact of the six-car trains on the operating schedule and the station infrastructure prior to putting them in service.

Prepared By: Michelle Bouchard, Director, Rail Transportation 650.508.6420

RESOLUTION NO. 2014 –

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

**AUTHORIZING THE EXECUTIVE DIRECTOR TO NEGOTIATE THE PURCHASE OF 11 RAIL CARS
FROM THE SOUTHERN CALIFORNIA REGIONAL RAIL AUTHORITY FOR AN AMOUNT
NOT TO EXCEED \$4 MILLION**

WHEREAS, Caltrain has experienced record ridership growth, putting passenger capacity constraints on many peak period trains and making it difficult to remove railcars from service for maintenance as part of the Peninsula Corridor Joint Power Board's (JPB) State of Good Repair Car Rebuild Program; and

WHEREAS, in response to the need for increased passenger capacity, JPB staff has initiated the Rail Car Capacity Expansion Project, by which the JPB would add 11 railcars to its fleet: and

WHEREAS, the Southern California Regional Rail Authority (SCRRA), the operator of the Metrolink commuter rail service in the Los Angeles Basin, is offering to sell used Bombardier railcars built in 1995; and

WHEREAS, the SCRRA railcars are compatible with Caltrain's existing fleet of Bombardier railcars, although they will need extensive refurbishment to make them ready for service; and

WHEREAS, JPB staff, in conjunction with its consultant LTK Engineering, has performed an initial assessment of the SCRRA railcars and determined that the price is fair and reasonable, and that the opportunity to purchase these railcars from another transit agency and then refurbish them is more advantageous to the JPB than engaging in a competitive procurement process to purchase new railcars; and

WHEREAS, Staff Coordinating Council recommends the Board authorize the Executive Director, or designee, to complete negotiations with SCCRA and purchase 11 used Bombardier rail cars in an amount not to exceed \$4 million, and at terms approved by legal counsel, with the understanding that the subsequent refurbishment of the railcars will be accomplished through a separate contract that will be brought to the Board for approval.

NOW, THEREFORE, BE IT RESOLVED the Peninsula Corridor Joint Powers Board authorizes its Executive Director, or designee, to negotiate the terms and conditions of a purchase contract with SCRRRA for 11 Bombardier railcars, and execute such a purchase contract on behalf of the JPB in an amount not to exceed \$4 million and in a form approved by legal counsel.

Regularly passed and adopted this 9th day of January 2014, by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michael J. Scanlon
Executive Director

FROM: Gigi Harrington
Deputy CEO

Marian Lee
Executive Officer
Caltrain Modernization

SUBJECT: **AUTHORIZING AWARD OF CONTRACT FOR PROGRAM MANAGEMENT
SUPPORT SERVICES FOR CALTRAIN MODERNIZATION (CALMOD) PROGRAM**

ACTION

Staff Coordinating Council (SCC) recommends the Board:

1. Award a contract for on-call, no guaranteed level-of-services, program management support services for the Caltrain Modernization (CalMod) Program for a not-to-exceed amount of \$10,167,109 for a three-year base term to URS Corporation Americas (URS).
2. Authorize the Executive Director, or his designee, to execute a contract with URS in full conformity with the terms and conditions of the solicitation documents and negotiated agreement.
3. Authorize the Executive Director, or his designee, to exercise up to two 2-year additional option terms, for an aggregate not-to-exceed amount of \$10,227,123, if it is in the best interest of the Peninsula Corridor Joint Powers Board (JPB).
4. Authorize the Executive Director aggregate change order authority of up to 15 percent of the total authorized contract amount.

SIGNIFICANCE

Approval of the above actions will benefit the JPB by making available the most qualified firm to provide program management support services to the JPB for the CalMod Program on an on-call basis. Award of this contract will not obligate the JPB to purchase any specific level of service from the firm, as work directives will be issued on a task-by-task basis.

BUDGET IMPACT

Work directives issued under these contracts will contain a defined scope of services, and a separate schedule and budget. Funding for the work directives will come from prior and future approved capital project budgets.

BACKGROUND

The CalMod Program is the JPB's approximately \$1.5 billion Early Investment Program in the Peninsula Rail Corridor consisting of (1) installation of an advanced signal system (Communications-based Overlay Signal System/Positive Train Control), (2) electrified Caltrain service by 2019 and (3) procurement of electric multiple unit (EMU) rail vehicles. The early investment program also will be designed to support the Blended System with the California High-speed Rail Authority (CHSRA) in the future.

The JPB intends to use its best efforts to ensure delivery of the corridor electrification and the EMU projects on an expedited basis and with a target completion date no later than 2019.

The JPB requires a firm with specialized expertise in providing various program management services such as project controls, cost estimating, risk management, quality assurance, contract administration, and document controls. The project management team will support the CalMod Program delivery and execution. The firm will become integral members of the CalMod owner's representative team, working closely with the JPB personnel and other JPB consultants that make up the CalMod Program team.

A Request for Proposals was issued to identify firms to provide the services of Program Management Support Services for the CalMod Program for a three-year base term, with two 2-year option terms. Staff advertised the requirements on the JPB's procurement website and in a newspaper of general circulation. Notifications went out to interested vendors that were registered in the procurement database and Disadvantaged Business Enterprises (DBEs) in the engineering and transportation consulting industries. The JPB received four proposals.

In accordance with State and Federal law governing the procurement of engineering contracts, proposals were evaluated based on qualifications, with price being negotiated only with the most qualified firm. An Evaluation Committee (Committee) composed of qualified staff reviewed and scored the proposals in accordance with the following weighted criteria:

- Professional Qualifications and Experience Overview 20%
- Project Controls Expertise 20%
- Risk Management Expertise 15%
- Cost Estimating Expertise 10%
- Contract Administration Expertise 10%
- Quality Assurance Expertise 15%
- Organization Chart 10%

Three of the four proposals submitted were determined to be in the competitive range and the three firms were invited for an interview. Upon completion of interviews, checking of references, financial review, and final scoring of proposals, the Committee came to a consensus scoring.

The firms in the competitive range that participated in interviews are listed below in order of their final consensus ranking:

1. URS
2. LAN
3. Hill International

Staff determined that URS possesses the requisite depth of experience and has the required qualifications and expertise to successfully perform program management service for the CalMod Program. The Committee determined that URS, the highest-ranked firm, is qualified to be selected for contract award.

The JPB has completed negotiations with URS on contractual terms and conditions, as well as the price. Staff concludes that URS' price is fair and reasonable.

The 15 percent change order authority for the Executive Director is requested to allow the flexibility to address any scope changes that may arise during the development of this complex and large scale program management services contract for the CalMod Program.

The JPB's DBE Officer reviewed URS' proposal and determined that it was responsive to the JPB's DBE requirements. URS intends to perform this contract with a team of three subconsultants, two of which are DBE firms.

Sr. Contract Officer: Alicia Fraumeni	650.508.6442
Project Manager: Marian Lee, Executive Officer, CalMod	650.622.6843

RESOLUTION NO. 2014 -

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

* * *

**AUTHORIZING AWARD OF ON-CALL CONTRACT TO
URS CORPORATION AMERICAS, INC.
FOR PROGRAM MANAGEMENT SUPPORT SERVICES FOR
CALTRAIN MODERNIZATION (CALMOD) PROGRAM
FOR A NOT-TO-EXCEED AMOUNT OF \$10,167,109 FOR A THREE-YEAR BASE TERM**

WHEREAS, the Peninsula Corridor Joint Powers Board (JPB) issued a Request for Proposals (RFP) to provide on-call program management support services for the CalMod Program; and

WHEREAS, in response to the JPB's RFP, four firms submitted proposals; and

WHEREAS, an Evaluation Committee (Committee) composed of qualified JPB staff reviewed and scored the proposals, conducted interviews with the three top-ranked firms, ranked the proposals in accordance with the criteria set forth in the RFP, and determined that URS Corporation Americas, Inc. (URS) of San Francisco, CA was the highest ranked proposer; and

WHEREAS, staff and legal counsel have reviewed the URS proposal and determined that it complies with the requirements of the solicitation documents; and

WHEREAS, the JPB has successfully completed negotiations on contractual terms and conditions, as well as on price, with URS; and

WHEREAS, Staff Coordinating Council (SCC) recommends and the Executive Director concurs that a contract for on-call program management support services for the CalMod Program be awarded to the highest-ranked proposer, URS, for a three-year base term for the not-to-exceed amount of \$10,167,109, with up to two 2-year option terms for a total aggregate not-to-exceed amount of \$10,227,123; and

WHEREAS, SCC also recommends and the Executive Director concurs the Executive Director be authorized with change order authority of up to 15 percent of the total authorized contract amount to allow the flexibility to address any scope changes that may arise during the development of this complex and large scale program management services contract for the CalMod Program.

NOW, THEREFORE, BE IT RESOLVED the Board of Directors (Board) of the JPB hereby awards a contract for on-call program management support services for the CalMod Program to URS for a three-year base term for the not-to-exceed amount of \$10,167,109, with the understanding that the JPB is under no obligation to purchase any specific level of service from URS and that individual work directives will be issued on a task-by-task basis, taking into account factors such as work priorities, specialized expertise, cost and availability of funding; and

BE IT FURTHER RESOLVED the Executive Director, or his designee, is authorized to execute a contract on behalf of the JPB with URS, in full conformity with the terms and conditions of the solicitation documents and negotiated agreement; and

BE IT FURTHER RESOLVED the Board authorizes the Executive Director, or his designee, to exercise up to two 2-year option terms to the contract with URS, in a total aggregate not-to-exceed amount of \$10,227,123, if it is in the best interest of the JPB; and

BE IT FURTHER RESOLVED the Board authorizes the Executive Director, or his designee, to authorize amendments to the contract with URS in the aggregate amount of up to 15 percent of the total authorized contract amount.

Regularly passed and adopted this 9th day of January, 2014 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary

PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT

TO: Joint Powers Board

THROUGH: Michael J. Scanlon
Executive Director

FROM: Gigi Harrington
Deputy CEO

Marian Lee
Executive Officer
Caltrain Modernization

SUBJECT: **REJECTION OF THE SOLE PROPOSAL FOR A SYSTEMS SAFETY SPECIALIST FOR CALTRAIN**

ACTION

Staff Coordinating Council (SCC) recommends the Board reject the proposal from Ardanuy Consulting, Inc. that was submitted in response to the Peninsula Corridor Joint Powers Board's (JPB) solicitation 13-PCJPB-P-047, Systems Safety Specialist, for the Caltrain Modernization (CalMod) Program.

SIGNIFICANCE

Staff concluded the sole proposal submitted in response to the JPB's solicitation failed to meet important qualifications set forth in the solicitation. For that reason, the SCC recommends the Board reject the proposal. Approval of the above action will enable staff to explore alternate contracting methods to deliver the required system safety services for the CalMod Program.

BUDGET IMPACT

There is no impact to the budget.

BACKGROUND

A Request for Proposals (RFP) was issued to identify firms to provide the services of a Systems Safety Specialist for the CalMod Program for a three-year base term, with two 2-year option terms. Staff advertised the requirements on the JPB's procurement website and in a local newspaper. Notifications also were sent to interested vendors that were registered in the procurement database and to disadvantaged business enterprises (DBEs).

Evaluation criteria set forth in the solicitation required a firm to demonstrate it had sufficient professional qualifications, proven experience and safety expertise in successfully developing and implementing a systems safety program on behalf of the owner on projects of similar complexity to the CalMod Program. Review of the sole proposal submitted revealed that the firm did not have any proven safety experience on large, complex, and highly integrated rail system projects involving electrified vehicles, overhead catenary systems, traction power substations, signals and communications in

the United States. Also, the proposal did not demonstrate proven ability to work with rail operations and United States regulatory agencies, such as Federal Railroad Administration, Federal Transit Administration and California Public Utilities Commission, all of which are critical to the success of the CalMod Program. The proposal submitted scored very low in these key evaluation areas. As a result, and in accordance with the JPB's rights set forth in the RFP, it was determined that the proposal should be rejected and the procurement should be terminated.

Inquiries were made to several of the firms that downloaded the RFP as to why they did not submit proposals. Three firms responded. One stated that it felt their staff would not be sufficiently occupied and they would have submitted a proposal if the RFP scope of work required a full-time position. Others noted they were planning to respond to the Electrification Consultant procurement that would be posted at a later date.

Staff previously developed a comprehensive CalMod Program procurement strategy to secure appropriate levels of owner-representative support necessary to deliver the program, which includes electrifying the Peninsula corridor and acquiring Electric Multiple Units. Staff believes it can successfully contract for the scope of work included in the subject RFP by using other existing and/or future contracts between the JPB and qualified firms. Therefore, staff recommends the Board reject the proposal.

Contract Officer: Patrick May	650.508.7732
Project Manager: Marian Lee, Executive Officer, CalMod Program	650.622.6843

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michael J. Scanlon
Executive Director

FROM: Gigi Harrington
Deputy CEO

C.H. (Chuck) Harvey
Deputy CEO

SUBJECT: **REJECTION OF ALL PROPOSALS FOR TRAIN DISPATCH VOICE
COMMUNICATION SYSTEM UPGRADE SERVICES**

ACTION

Staff Coordinating Council (SCC) recommends the Board reject the proposals for provision of train dispatch voice communication system upgrade services received from Day Wireless Systems (Day Wireless) of Benicia, CA and Modular Communication Systems (Moducom) of North Hollywood, CA as non-responsive.

SIGNIFICANCE

Approval of the above action will provide JPB time to review and consider all available contracting options including but not limited to re-soliciting train dispatch voice communication system services, and canvassing the marketplace in order to identify a larger pool of qualified firms interested in providing such services.

BUDGET IMPACT

Rejection of the proposals received will have no budget impact.

BACKGROUND

A Request for Proposals (RFP) was issued April 23, 2013 for provision of upgrade services for the Caltrain train dispatch voice communication system. The RFP was advertised in a newspaper of general circulation and on the JPB's procurement website. Additionally, the JPB engaged a qualified senior consultant to conduct an outreach to known top-tier vendors in the train dispatch voice communication system industry. Solicitation notices also were sent to Small and Disadvantaged Business Enterprises (SBE/DBEs) in the train dispatch voice communication system industry. Two firms submitted proposals. Neither of the proposals is from a SBE/DBE firm.

An Evaluation Committee (Committee) composed of qualified JPB staff reviewed, evaluated and scored the proposals in accordance with the following weighted criteria:

- Responsiveness of the Proposal 0-20 Points
- Understanding and Approach to Scope of Services 0-30 Points
- Qualifications and Experience of Firm and Key Personnel 0-30 Points
- Cost Proposal 0-20 Points

After review, evaluation, and initial scoring of proposals, Moducom was determined to be non-responsive as its proposal did not address all the technical and operational requirements of the JPB and the solicitation documents.

The Committee completed its review of the proposal submitted by Day Wireless and found that it contained several exceptions to the technical and contractual requirements of the JPB and solicitation documents. Subsequently, the Committee invited Day Wireless to an oral interview and presentation to better understand the Day Wireless solution and the exceptions taken to the JPB's requirements. Pursuant to the interview, the Committee requested that Day Wireless submit a revised proposal. Upon review, the Committee conducted a second interview with Day Wireless, completed a final evaluation, and several rounds of negotiations. Ultimately, a consensus determination was made that 1) Day Wireless' revised proposal did not fully address the JPB's concerns regarding response times and warranty; and 2) Day Wireless does not possess the requisite experience as a systems integrator of train dispatch voice communication systems in the commuter-railroad environment. The JPB believes that commuter-railroad experience is vital to the successful completion of the train dispatch voice communication system upgrade and maintenance support services.

Given the foregoing, the Committee therefore is recommending that all proposals be rejected as non-responsive. Rejecting all proposals, will allow the JPB to then consider other contracting options as mentioned above.

The current train dispatch voice communication system is an obsolete system that is no longer supported by its manufacturer. A health assessment of the train dispatch voice communication system was performed recently by qualified JPB staff to estimate the probability of a "system-critical" failure occurring in the next two years. While it is difficult to estimate this probability, staff confirmed that spare parts are available and can be found in order to maintain the system in a state of good repair for the foreseeable future.

Contract Officer: Luis F. Velásquez 650.622.8099
 Project Manager: Robert Tam, Manager, Technology Research & Dev. 650.508.7969

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michael J. Scanlon
Executive Director

FROM: Gigi Harrington
Deputy CEO

C.H. (Chuck) Harvey
Deputy CEO

SUBJECT: **REJECTION OF ALL PROPOSALS FOR CONTRACTED SHUTTLE SERVICES**

ACTION

Staff Coordinating Council (SCC) recommends the Board exercise its right to reject all proposals submitted in response to solicitation 13-SAMTR-PCJPB-PTCRA-S-005, Contracted Shuttle Services.

SIGNIFICANCE

Approval of the above action will enable staff to re-solicit the desired shuttle services in a manner that ensures that all potential proposers are provided current and accurate information concerning staffing levels of the incumbent contractor.

BUDGET IMPACT

Staff anticipates no impact to the budget. These services are currently provided to the Peninsula Corridor Joint Powers Board (JPB) by Parking Company of America Management (PCAM) at the annual price of \$3.4 million. It is anticipated that PCAM will continue to provide these services on a month-to-month basis, at the rates currently in effect, which funding will be available under approved and projected operating budgets.

BACKGROUND

A Request for Proposals (RFP) to identify a firm to provide the desired services was jointly developed by the JPB, the San Mateo County Transit District (District) and the Peninsula Traffic Congestion Relief Alliance (Alliance), (collectively referred to as "Agencies"). The RFP was advertised in a newspaper of general circulation and on the Agencies' websites. Solicitation notices also were sent to interested firms, Small Business Enterprises (SBEs) and Disadvantaged Business Enterprises (DBEs).

An Evaluation Committee (Committee) composed of qualified staff and representatives from the Alliance and the Santa Clara Valley Transportation Authority with experience in managing contracted public transportation services was tasked with reviewing proposals in accordance with the criteria set forth in the RFP.

As required by California Labor Code 1070 et seq., preference points were to be awarded to firms that agreed to retain the current contractor's employees.

The Agencies received proposals from five companies, as follows:

- MV Transportation, Inc., Dallas, Texas (MV Transportation)
- PCAM
- First Transit, Inc., Los Angeles, CA
- Evergreen Trails, Inc. dba Horizon Coach Lines, Henderson, NV
- Bauer's Intelligent Transportation, Inc., San Francisco, CA

Following interviews and site visits with the three top-ranked firms, the Committee completed the final evaluation and consensus ranking. The firms that ranked in the competitive range are listed below in order of their final consensus ranking:

- MV Transportation
- PCAM
- First Transit, Inc., Los Angeles, CA

After firms were notified of the evaluation results and recommendation of award of contract to MV Transportation, the Agencies received a protest from PCAM. Staff undertook a thorough evaluation of PCAM's protest, including its allegations that MV Transportation's staffing plan was inadequate.

As mentioned above, the California Labor Code requires agencies soliciting public transit services to award preference points to each proposer that agrees to retain the current contractor's employees. In furtherance of this requirement, at the beginning of the solicitation process, PCAM provided data to the Agencies concerning PCAM's then-current employee roster. The information provided by PCAM turned out to be internally inconsistent, reflecting different employee counts (1) by seniority and (2) by location. Staff did not realize the information was inconsistent when it made employee count information available to all of the potential proposers. As a result, proposers may not have been provided with an accurate employee count, which information is essential to enable proposers to formulate staffing plans and associated cost projections and to consider whether to take advantage of the preference point scheme specified in the Labor Code. Such information is also essential in order to enable the Agencies to evaluate all proposals on an even playing field.

As part of staff's due diligence in evaluating PCAM's protest, staff requested PCAM to provide additional staffing documentation. The information provided by PCAM reflects full-time and part-time employees in numbers that are greater than the employee numbers that the Agencies had earlier provided to all proposers prior to the proposal submission deadline. Consequently, staff has concluded that inaccurate staffing information was provided to the proposers.

Therefore, pursuant to the Agencies' rights under the RFP, and in the interest of fostering a fair, full and transparent solicitation process, staff recommends that all proposals be rejected. Doing so will enable staff to re-solicit these services and in so doing provide all

potential proposers accurate and current information regarding the number of employees of the incumbent contractor.

The Agencies reserve the right in all competitive solicitations to reject all proposals for any reason. If the Agencies act to reject all proposals as recommended by staff, legal counsel advises that no action is required to be taken with respect to the merits of PCAM's protest.

Contract Officer: Adwoa Oni

650.508.6411

Project Manager: Mike Stevenson, Associate Operations
Contract Administrator

650.508.7979

PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT

TO: Joint Powers Board

THROUGH: Michael J. Scanlon
Executive Director

FROM: Gigi Harrington
Deputy CEO

SUBJECT: **AUTHORIZE AMENDMENT OF FISCAL YEAR 2014 OPERATING BUDGET**

ACTION

Staff Coordinating Council (SCC) recommends the Board amend the Fiscal Year (FY) 2014 Operating Budget to increase Total Revenues by \$5,996,757 and Total Expenses by \$513,582, as presented in Attachment A.

The proposed amendment increases the FY2014 Operating Budget from \$119,991,971 to \$125,988,728 in total revenues and from \$119,991,971 to \$120,505,553 in total expenses, including the following:

REVENUES:

- Farebox revenue: Increase of \$5,946,351
- Operating Grants: Increase of \$50,406

EXPENSES:

- Insurance: Increase of \$291,697
- Facilities and Equipment Maintenance: Increase of \$95,130
- Wages & Benefits: Increase of \$11,755
- Professional Services: Increase of \$115,000

SIGNIFICANCE

Farebox Revenue: Increase of \$6.0 million from \$66 million to \$72 million.

This increase is due to fare revenues coming in higher than originally estimated. FY2013 preliminary unaudited farebox revenues are \$68.8 million. The total of farebox revenues for the first four months (July through October) of FY2014 is \$2.8 million over budget year to date. The higher receipts are due primarily to steadily climbing ridership figures.

Operating Grants: Increase of \$50,406 from \$11.31 million to \$11.36 million.

This increase is due to additional grants of \$40,000 from the Metropolitan Transportation Commission (MTC) for the Short Range Transit Plan (SRTP) development, and \$10,406

from a Federal transportation planning grant program for the Caltrain Modernization (CalMod) Planning Internship Program.

Insurance: Increase of \$291,697 from \$5.47 million to \$5.76 million.

This cost increase is due a significant change in the JPB's self-insured retention policy, lowering the threshold level from \$2 million to \$1 million and therefore increasing premiums by about \$24,300 per month.

Facilities and Equipment Maintenance: Increase of \$95,130 from \$1.83 million to \$1.93 million.

This cost increase is due to the higher than expected Clipper operator expenses. The adopted budget assumed a monthly Clipper operating cost of \$52,850; year to date costs are trending at \$60,000 per month. Staff also anticipates an increase in the connectivity charges after April 1, 2014, which will likely double the American Telephone and Telegraph charges currently trending at \$3,000 per month.

Wages and Benefits: Increase of \$11,755.

This cost increase is due to the addition of the two new internship positions starting in February 2014, which are funded from the CalMod Transit Planning Program.

Professional Services: Increase of \$115,000 from \$2.76 million to \$2.88 million.

This cost increase is due to additional consultant services to support the SRTP effort. MTC is funding \$40,000 of the increase through the grant noted above.

BUDGET IMPACT

The above changes would increase the authorized FY2014 Operating Budget from \$119,991,971 to \$120,505,553, for an increase of \$513,582. No additional JPB member contributions will be required for FY2014.

BACKGROUND

The JPB annually adopts an Operating Budget which outlines the expected funding sources and uses that represent the JPB's year-long commitment to transportation projects and services. The JPB approved the FY2014 Operating Budget on June 6, 2013 under Resolution No. 2013-29. The Board authorized a total budget in the amount of \$119,973,096 and subsequently amended the budget by \$18,875 as per Board Resolution No. 2013-39 for the Rail Transit Safety Education Program from Operation Lifesaver, Inc. (OL) for a revised budget of \$119,991,971. Revenues were also increased by \$18,875 to \$119,991,971 as a result of receiving the educational fund from OL.

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

Prepared By: Ladi Bhuller, Manager, Budgets 650.508.7755
Aandy Ly, Senior Financial Analyst 650.508.6376

PENINSULA CORRIDOR JOINT POWERS BOARD
STATEMENT OF REVENUE AND EXPENSE
REVISED BUDGET
FY2014

	FY2013 UNAUDITED ACTUAL A	FY2014 ADOPTED B	FY2014 REVISED C	INC(DEC) FY14 ADOPTED to FY14 REVISED D = C - B	% INC(DEC) FY14 ADOPTED to FY14 REVISED E = D / B		
REVENUE							
OPERATIONS:							
1	Farebox Revenue	68,767,170	66,070,569	72,016,920	5,946,351	9.0%	1
2	Parking Revenue	3,301,724	3,652,330	3,652,330	0	0.0%	2
3	Shuttles	1,972,626	1,722,636	1,722,636	0	0.0%	3
4	Rental Income	1,783,323	1,816,920	1,816,920	0	0.0%	4
5	Other Income	2,932,340	2,691,230	2,691,230	0	0.0%	5
6	TOTAL OPERATING REVENUE	78,757,183	75,953,685	81,900,036	5,946,351	8.1%	6
7							7
CONTRIBUTIONS:							
9	AB434 Peninsula & TA Shuttle Funding	1,922,649	2,109,948	2,109,948	0	0.0%	9
10	Operating Grants	5,075,017	11,306,789	11,357,195	50,406	0.4%	10
11	JPB Member Agencies	33,500,000	17,231,549	17,231,549	0	0.0%	11
12	Other Sources		13,390,000	13,390,000	0	0.0%	12
13	TOTAL CONTRIBUTED REVENUE	40,497,666	44,038,286	44,088,692	50,406	0.1%	13
14							14
15	GRAND TOTAL REVENUE	119,254,849	119,991,971	125,988,728	5,996,757	5.0%	15
16							16
EXPENSE							
OPERATING EXPENSE:							
20	Rail Operator Service	58,879,276	64,500,000	64,500,000	0	0.0%	20
21	Rail Operator Service - Other	367,280	0	0	0	-	21
22	Security Services	4,217,676	4,519,944	4,519,944	0	0.0%	22
23	Rail Operator Extra Work	(102,587)	155,500	155,500	0	0.0%	23
24	Contract Operating & Maintenance	63,361,645	69,175,444	69,175,444	0	0.0%	24
25	Operator Contract Transition Costs	0	0	0	0	-	25
26	Shuttle Service	4,634,500	4,774,107	4,774,107	0	0.0%	26
27	Fuel	15,344,013	17,828,097	17,828,097	0	0.0%	27
28	Timetables and Tickets	127,295	155,000	155,000	0	0.0%	28
29	Insurance	5,186,334	5,470,000	5,761,697	291,697	5.3%	29
30	Facilities and Equipment Maint	1,690,067	1,833,850	1,928,980	95,130	5.2%	30
31	Utilities	1,684,661	1,826,540	1,826,540	0	0.0%	31
32	Maint & Services - Bldg & Other	1,283,283	1,323,880	1,323,880	0	0.0%	32
33	TOTAL OPERATING EXPENSE	93,311,797	102,386,918	102,773,745	386,827	0.4%	33
34							34
ADMINISTRATIVE EXPENSE							
36	Wages & Benefits	5,389,848	6,811,835	6,823,590	11,755	0.2%	36
37	Managing Agency Admin OH Cost	3,931,897	5,017,987	5,017,987	0	0.0%	37
38	Board of Directors	12,127	11,700	11,700	0	0.0%	38
39	Professional Services	2,680,039	2,764,323	2,879,323	115,000	4.2%	39
40	Communications and Marketing	122,446	122,500	122,500	0	0.0%	40
41	Other Expenses and Services	1,607,726	1,773,833	1,773,833	0	0.0%	41
42	TOTAL ADMINISTRATIVE EXPENSE	13,744,082	16,502,178	16,628,933	126,755	0.8%	42
43							43
44	Long-term Debt Expense	1,102,875	1,102,875	1,102,875	0	0.0%	44
45							45
46	GRAND TOTAL EXPENSE	108,158,755	119,991,971	120,505,553	513,582	0.4%	46
47							47
48	REVENUE OVER/UNDER	11,096,094	0	5,483,175	5,483,175	0.0%	48

RESOLUTION NO. 2014 –

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

* * *

AUTHORIZING AMENDMENT TO INCREASE THE FISCAL YEAR 2014 OPERATING BUDGET TO
\$120,505,553

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

WHEREAS, pursuant to Resolution No. 2013-29, enacted on June 6, 2013, the Board adopted the Fiscal Year (FY) 2014 Operating Budget in the amount of \$119,973,096 reflecting the then-projected revenues and expenses; and

WHEREAS, on September 5, 2013 and pursuant to Resolution No. 2013-39, the Board amended the FY2014 Adopted Operating Budget and operating revenues in the amount of \$18,875 from Operation Lifesavers, Inc. for the Rail Transit Safety Education Program; and

WHEREAS, since the adoption of the FY2014 Operating Budget, staff has learned that additional revenue totaling \$5,996,757 has become available, including an increase of \$5,946,351 in farebox revenue and an increase of \$50,409 in operating grants; and

WHEREAS, since the adoption of the FY2014 Operating Budget, total expenses are projected to increase by \$513,582, largely attributable to projected increases in insurance, consultant support, Clipper operator expenses and a new internship program, all as more particularly described in the staff report accompanying this action item; and

WHEREAS, the Executive Director recommends the Board approve an amendment to the FY2014 Operating Budget to implement the following changes: increase total revenues from \$119,991,971 to \$125,988,728 and total expenses from \$119,991,971 to \$120,505,553.

NOW, THEREFORE, BE IT RESOLVED the Board of Directors of the Peninsula Corridor Joint Powers Board hereby approves an amendment to the FY2014 Operating Budget to implement the following changes: increase total revenues from \$119,991,971 to \$125,988,728 and total expenses from \$119,991,971 to \$120,505,553.

Regularly passed and adopted this 9th day of January, 2014 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary

PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT

TO: Joint Powers Board

THROUGH: Michael J. Scanlon
Executive Director

FROM: Gigi Harrington
Deputy CEO

SUBJECT: **AUTHORIZE AMENDMENT TO INCREASE THE FISCAL YEAR 2014 CALTRAIN CAPITAL BUDGET IN THE AMOUNT OF \$8,350,000 FOR THE PROCUREMENT OF RAILCARS AND TWO GRADE SEPARATION PROJECTS**

ACTION

Staff Coordinating Council (SCC) recommends the Board amend the Fiscal Year (FY) 2014 Capital Budget, included as Attachment A, as follows:

1. Include \$4 million for the Rail Car Capacity Expansion Project; and
2. Include \$3,700,000 for the 25th Avenue Grade Separation Project; and
3. Include \$650,000 for the South Linden Avenue and Scott Street Grade Separation Project.

SIGNIFICANCE

The FY2014 Caltrain Capital Budget is proposed to be amended to include an additional \$8,350,000 for the above-mentioned projects, and as further discussed below.

The Rail Car Capacity Expansion Project will enable procurement of 11 railcars to improve capacity along the corridor. In FY2013, due to record increases in ridership, the JPB received higher than anticipated fare revenues. The JPB is proposing to use some of that excess fare revenue to procure additional railcars in order to increase capacity and better serve those additional riders. Southern California Regional Rail Authority (Metrolink) put on sale 23 Bombardier Generation II Coaches and Cab cars built in 1995. The JPB intends to purchase 11 of the coach cars, which will need to be rehabilitated before they are ready for service. The additional cars will be strategically deployed to increase capacity and replace capacity as other cars in the fleet are rotated through the state of good repair program. Staff will return to the Board at a later date to amend the budget for the rehabilitation costs and begin the process of accessing a line of credit to finance the refurbishment of the cars.

The 25th Avenue Grade Separation Project involves completion of preliminary engineering and environmental review for the planned grade separation of 25th Avenue in San Mateo. The city of San Mateo was awarded \$3.7 million through the

San Mateo County Transportation Authority's (TA) Grade Separation Call for Projects (CFP). The city has requested that the Peninsula Corridor Joint Powers Board take the lead on the project in coordinating this effort.

The South Linden Avenue and Scott Street Grade Separation Project involves planning for the grade separation of both crossings in South San Francisco and San Bruno. The cities were awarded \$650,000 through the San Mateo County Transportation Authority's (TA) Grade Separation CFP, and have requested the JPB to take the lead on this planning work.

BUDGET IMPACT

No additional JPB member contributions are required for the proposed Capital Budget amendment. The funds for the three projects described above will come from a combination of prior years' farebox surplus funds and TA New Measure A funds.

BACKGROUND

The Joint Powers Board approved the FY2014 Capital Budget on June 6, 2013 for a total amount of \$190,564,950. The proposed Capital Budget Amendment would increase the Capital Budget to an authorized total of \$198,914,950.

The JPB annually adopts a capital budget to accompany the operating budget. The purpose of the capital budget is to implement a balanced program of projects that gives the JPB the ability to meet its goals and objectives as set forth in the Short Range Transit Plan and the related Rapid Rail Plan.

Prepared By: Éva Goode, Manager, Budgets

650.508.7914

ATTACHMENT A: FY14 CALTRAIN CAPITAL BUDGET

Version: January 9, 2014

Item #	PROJECT TITLE/DESCRIPTION	FY 14 PROJECT PHASE	EST. TOTAL COST	PREVIOUSLY PROGRAMMED	CAPITAL BUDGET FY14	FUTURE NEEDS
SOGR						
Station & Intermodal Access						
1.1	TVM Replacement	Pre Eng	1,875,000	200,000	1,225,000	450,000
1.2	Corrosion Assessment/Rehab of Bayshore Station	Pre.Eng., Final Des., Constr	775,000	0	775,000	0
1.3	Systemwide Station Improvements	Pre.Eng., Final Des. Constr	9,430,000	5,493,000	500,000	3,437,000
1.4	Crew Facility Rehab at San Francisco Terminal	Pre.Eng., Final Des., Constr	1,075,000	0	1,075,000	0
			3,575,000	3,887,000		

Right of Way / Signal & Communications						
1.5	Systemwide Track Rehab	Fin Des / Constr	8,000,000	0	4,000,000	4,000,000
1.6	Rail Grinding	Final Des., Constr	2,207,241	0	770,714	1,436,527
1.7	Systemwide Signal Rehab	Final Des / Constr	4,475,000	0	1,000,000	3,475,000
1.8	San Mateo Bridges Replacement - Construction	Final Des., Constr	30,000,000	1,200,000	28,800,000	0
1.9	Marin Street & Napoleon Ave Bridge Closure	Pre Eng	4,656,000	0	600,000	4,056,000
1.10	San Bruno Grade Separation	Final Des., Constr	155,000,000	147,000,000	8,000,000	0
1.11	Railroad Communication System SOGR	Final Des / Constr	2,251,500	1,021,500	592,140	637,860
1.12	On Track Maintenance Equipment	Procurement	4,182,000	0	378,000	3,804,000
1.13	Upgrade of PA & VMS Systems at Four Stations	Pre Eng, Final Des	1,638,000	800,000	838,000	0
1.14	Brisbane Tunnel Track and Drainage Rehab	Pre Eng	8,007,000	0	432,000	7,575,000
1.15	Jerrold Bridge North Span Removal	Final Des., Constr	590,800	0	590,800	0
1.16	CTAMS	Constr	1,100,000	750,000	350,000	0
1.21	25th Ave Grade Separation	Pre Eng / Environ	3,700,000	0	3,700,000	0
1.22	So Linden & Scott Str Grade Separation	Pre Eng	650,000	0	650,000	0
			50,701,654	24,984,387		

Rolling Stock						
1.17	MP 36 SEP HEP Replacement	Construction	1,360,600		1,073,700	286,900
1.18	Gallery Car SOGR	Construction	3,076,665		573,810	2,502,855
1.19	Bombardier Car SOGR	Construction	3,078,511		573,810	2,504,701
1.20	Procure Passenger Coaches	Procurement	4,000,000	0	4,000,000	0
			6,221,320	5,294,456		

CALTRAIN MODERNIZATION						
2.1	Rolling Stock Replacement	Pre Eng	4,410,507	2,204,257	1,087,000	1,119,250
2.2	HSR Blended System Planning and Management		2,525,000	1,010,000	1,515,000	TBD
2.3	Electrification	Pre Eng	1,223,043,750	27,250,000	10,720,000	1,185,073,750
			13,322,000	TBD		

LEGAL MANDATES AND REQUIRED ENHANCEMENTS						
3.1	CBOSS PTC Project	Des / Constr	231,000,000	75,535,591	117,982,026	37,482,383
			117,982,026	37,482,383		

OPERATIONAL IMPROVEMENTS/ENHANCEMENTS						
4.1	Dual Mode Communications	Final Des/ Constr	854,000	242,000	612,000	0
4.2	FY14 Right of Way Safety Fencing	Construction	8,794,382	6,222,922	1,225,950	1,345,510
4.3	Wireless Broadband on Commuter Train	Pre Eng	800,000	0	800,000	0
4.4	Train Departure Monitors at Terminal Stations	Final Design	1,380,000	0	585,000	795,000
4.5	San Bruno Archway	Construction	1,700,000	500,000	1,200,000	0
			4,422,950	2,140,510		

PLANNING/STUDIES						
5.1	Hold-Out Rule Elimination - Broadway, Atherton & SSF	Pre Eng	700,000	0	700,000	0
			700,000	0		

CALTRAIN SUPPORT PROGRAM AND CONTINGENCY						
6.1	Capital Project Development	Support			500,000	
6.2	Capital Program Management	Support			500,000	
6.3	Capital Contingency Funds (Engineering)	Support			330,000	
6.4	Capital Contingency Funds (Rail)	Support			660,000	
			1,990,000	0		

FY14 Capital Budget **198,914,950**

Proposed Funding Plan

Federal		State		Other		JPB		FY14 TOTAL
Amount	Source	Amount	Source	Amount	Source	Amount	Source	
980,000	FTA					245,000	Members	1,225,000
						775,000	Members	775,000
						500,000	Members	500,000
						1,075,000	Members	1,075,000
980,000		0		0		2,595,000		3,575,000
3,200,000	FTA			400,000	AB664	400,000	Members	4,000,000
616,571	FTA					154,143	Members	770,714
800,000	FTA					200,000	Members	1,000,000
19,640,000	FTA	9,000,000	Prop 1B			160,000	Members	28,800,000
480,000	FTA					120,000	Members	600,000
				8,000,000	SMCTA			8,000,000
473,712	FTA					118,428	Members	592,140
302,400	FTA					75,600	Members	378,000
						838,000	Members	838,000
345,600	FTA					86,400	Members	432,000
472,640	FTA					118,160	Members	590,800
						350,000	Members	350,000
				3,700,000	SMCTA			3,700,000
				650,000	SMCTA			650,000
26,330,923		9,000,000		12,750,000		2,620,731		50,701,654
435,000	FTA - ADA					1,073,700	Members	1,073,700
435,000	FTA - ADA					138,810	Members	573,810
				4,000,000	Other			4,000,000
870,000		0		4,000,000		1,351,320		6,221,320
869,600	FTA - EIS*			217,400	EIS*			1,087,000
		1,200,000	CHSRA	125,000	CRCC/Slocog	190,000	Members	1,515,000
				10,720,000	EIS*			10,720,000
869,600		1,200,000		11,062,400		190,000		13,322,000
29,830,000	FTA/FHWA	68,981,826	Prop 1A/1B	19,170,200	EIS*			117,982,026
29,830,000		68,981,826		19,170,200		0		117,982,026
						612,000	Members	612,000
		570,000	Prop 1B			655,950	Members	1,225,950
						800,000	Members	800,000
						585,000	Members	585,000
				1,200,000	City of SB/SMCTA			1,200,000
0		570,000		1,200,000		2,652,950		4,422,950
						700,000	SMCTA	700,000
0		0		700,000		0		700,000
						500,000	Members	500,000
						500,000	Members	500,000
						330,000	Members	330,000
						660,000	Members	660,000
0		0		0		1,990,000		1,990,000
58,880,523		79,751,826		48,882,600		11,400,001		198,914,950
								3,800,000 Per Member Contr

*Funds to come from Early Investment Strategy funding plan.
 Note: The proposed FY2014 capital program includes, distributed across all active projects, \$7 million in administrative overhead funds to help support the capital program

RESOLUTION NO. 2014 –

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

**AUTHORIZING AMENDMENT TO INCREASE THE FISCAL YEAR 2014 CAPITAL BUDGET IN THE
AMOUNT OF \$8,350,000 FOR THE PROCUREMENT OF RAILCARS AND TWO GRADE
SEPARATION PROJECTS FOR A TOTAL CAPITAL BUDGET OF \$198,914,950**

WHEREAS, pursuant to Resolution No. 2013-30 adopted on June 6, 2013 the Peninsula Corridor Joint Powers Board (JPB) adopted the Fiscal Year (FY) 2014 Capital Budget for a total authorized budget of \$190,564,950; and

WHEREAS, due to record high ridership, JPB staff has recommended a Rail Car Capacity Expansion Project to procure additional rail cars, thereby increasing passenger capacity; and

WHEREAS, JPB staff has estimated the initial cost of the Rail Car Capacity Expansion Project to be \$4 million, which will encompass the purchase of 11 rail cars from the Southern California Regional Rail Authority (Metrolink), and will present to the Board at a future date a request to further amend the Capital Budget to cover costs associated with the required refurbishment of the rail cars; and

WHEREAS, the JPB has been requested to lead planning and engineering activities associated with two proposed new Grade Separation projects recently awarded by the San Mateo County Transportation Authority (TA) to the cities of San Mateo, San Bruno and South San Francisco more particularly described as follows:

(a) preliminary engineering and environmental review for the 25th Avenue Grade Separation Project at an estimated total cost of \$3.7 million; and

(b) planning for the South Linden Avenue and Scott Street Grade Separation Project at an estimated cost of \$650,000.

NOW, THEREFORE, BE IT RESOLVED the Peninsula Corridor Joint Powers Board approves an increase to the FY2014 Capital Budget of \$8,350,000 to fund the Rail Car Capacity Expansion Project, the 25th Avenue Grade Separation Project and the South Linden Avenue and Scott Street Grade Separation Project as described above, for a total capital budget of \$198,914,950.

Regularly passed and adopted this 9th day of January, 2014 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary

PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT

TO: Joint Powers Board

THROUGH: Michael J. Scanlon
Executive Director

FROM: Martha Martinez
JPB Secretary

David Miller
Legal Counsel

SUBJECT: **ADOPTION OF TICKET POLICY GOVERNING DISTRIBUTION OF TICKETS AND
PASSES RECEIVED BY THE JPB TO OFFICIALS AND EMPLOYEES**

ACTION:

Staff Coordinating Council (SCC) recommends the Board adopt the attached Ticket Policy (Policy), which is applicable to the provision of tickets and passes received by the Peninsula Corridor Joint Powers Board (JPB) for possible distribution to JPB officials and San Mateo County Transit District (District) employees engaged in providing services pertaining to the JPB.

SIGNIFICANCE:

The California Fair Political Practices Commission (FPPC) requires that tickets and passes for admission to a facility, event, show or performance for entertainment, amusement, recreations or similar purpose must be distributed and reported in furtherance of a governmental and/or public purpose and in accordance with section 18944.1 of the FPPC Regulations (Title 2, Division 6 of the California Code of Regulations).

The proposed Policy complies with FPPC Regulation 18944.1 concerning the provision of tickets and passes received by the JPB for possible distribution to JPB officials and District employees engaged in providing services pertaining to the JPB. As a result of adoption of this Policy, tickets and passes will no longer be reportable as gifts by a JPB official or District employee who is required to file a Statement of Economic Interests (Form 700), as long as such tickets and passes are distributed to such individuals, and reported by the JPB, in accordance with this Policy.

Pursuant to the Policy, the Executive Director is delegated the authority to distribute tickets and passes in accordance with the Policy and to establish the procedures applicable to such distribution.

BUDGET IMPACT:

There is no impact on the budget.

**PENINSULA CORRIDOR JOINT POWERS BOARD
POLICY FOR DISTRIBUTION OF TICKETS AND PASSES TO OFFICIALS AND EMPLOYEES**

1. PURPOSE.

The purpose of this Policy is to ensure that any ticket or pass provided by the Peninsula Corridor Joint Powers Board (JPB) to, or at the behest of, a JPB official or San Mateo County Transit District employee (employee) for admission to a facility, event, show, or performance for an entertainment, amusement, recreational, or similar purpose (Ticket), shall be distributed and reported in furtherance of a governmental and/or public purpose and in accordance with section 18944.1 of the Fair Political Practices Commission (FPPC) Regulations (Title 2, Division 6 of the California Code of Regulations, hereinafter FPPC Regulations). Tickets are not reportable as gifts by a JPB official or employee who is required to file a Statement of Economic Interests (Form 700), when distributed to a JPB official or employee and reported by the JPB in accordance with this Policy.

2. DEFINITIONS.

Unless otherwise expressly provided herein, words and terms used in this Policy shall have the same meaning as that ascribed to such words and terms in the Political Reform Act of 1974 (Government Code Sections 81000 et seq.) and the FPPC Regulations, as they may be amended from time to time.

3. APPLICATION OF POLICY.

- (a) This Policy governs the distribution of Tickets acquired or received, and distributed by, the JPB that are:
 - 1) Provided to the JPB, at no cost to the JPB, by an outside source;
 - 2) Acquired by the JPB by purchase at fair market value;
 - 3) Acquired by the JPB as consideration pursuant to the terms of a contract for the use of a JPB venue, as consideration for JPB sponsorship of an event, or because the JPB controls or hosts an event.

- (b) This Policy does not apply to:
 - 1) Any other item of value provided to the JPB or official or employee.
 - 2) A Ticket received by an official or employee from a source other than the JPB.
 - 3) A Ticket received by an official or employee from the JPB where both the official or employee and the JPB treat and report the value of the Ticket as income consistent with applicable state and federal income tax laws.
 - 4) A Ticket for which the JPB receives reimbursement from the official or employee.

**PENINSULA CORRIDOR JOINT POWERS BOARD
POLICY FOR DISTRIBUTION OF TICKETS AND PASSES TO OFFICIALS AND EMPLOYEES**

4. PUBLIC PURPOSE.

The public purpose of providing the Ticket to an official or employee for admission to an event is to enable him or her to promote the JPB and JPB events, activities, or programs. This includes, but is not limited to the following:

- (a) Promotion of special events in accordance with any JPB agreement.
- (b) Promotion of JPB visibility, recognition, or profile on a local, state, or national scale.
- (c) Promotion of JPB-controlled or sponsored events, activities, or programs.
- (d) Promotion of public-transportation-related activities within the JPB, including conferences and conventions.
- (e) Marketing promotions highlighting the achievements of the JPB.
- (f) Employment recruitment programs.

5. GENERAL PROVISIONS.

- (a) The use of Tickets is a privilege extended by the JPB and not the right of any person to which the privilege may from time to time be extended.
- (b) No person who receives a Ticket pursuant to this Policy shall sell or receive reimbursement for the value of such Ticket.

6. AUTHORITY OF EXECUTIVE DIRECTOR/CEO.

The JPB delegates the authority to distribute any Tickets in accordance with this Policy to the Executive Director or designee.

The Executive Director shall have the authority, in his or her sole discretion, to establish procedures for the distribution of Tickets in accordance with this Policy. All requests for Tickets which fall within the scope of this Policy shall be made in accordance with the procedures established by the Executive Director.

In instances where the Executive Director desires to obtain a Ticket, the Board Chair shall make the determination whether the Executive Director's use of the Ticket is in accordance with this Policy.

7. TICKETS PROVIDED FROM AN OUTSIDE SOURCE.

A Ticket from an outside source provided to the JPB official or employee by the JPB is not considered a gift and will not be reportable by those JPB officials and employees that are required to file a Form 700, provided all of the following requirements are met:

- (a) The Ticket is not earmarked by the outside source for use by the JPB official or employee who uses the Ticket;

**PENINSULA CORRIDOR JOINT POWERS BOARD
POLICY FOR DISTRIBUTION OF TICKETS AND PASSES TO OFFICIALS AND EMPLOYEES**

- (b) The JPB determines, in its sole discretion, which JPB official or employee may use the Ticket; and
- (c) The distribution of the Ticket by the JPB is made in accordance with this Policy.

8. TRANSFER PROHIBITION.

The transfer by any official or employee of any Tickets distributed pursuant to this policy to any other person, except to members of the official's or employee's immediate family for their personal use, is prohibited.

9. OTHER BENEFITS.

The distribution of a Ticket pursuant to this Policy shall not constitute a "gift" to the JPB official or employee receiving the Ticket, to the extent that the benefits the official or employee receives are provided to all members of the public with the same class of Ticket. Other benefits, such as food or beverage or other gifts provided to the JPB official or employee, but not provided to all members of the public with the same class of Ticket, will need to be accounted for as gifts by those JPB officials and employees that are required to file a Form 700.

10. REPORTING REQUIREMENT.

The completed FPPC Form 802 (see attached), or such other form(s) as the FPPC may designate, shall be filed with the JPB Secretary and maintained as a public record for a period of seven years, subject to inspection under California Government Code section 81008(a). The JPB Secretary shall forward a copy of FPPC Form 802 to the FPPC within 30 days after distribution of the tickets.

Tickets distributed to officials are reported differently on Form 802 from Tickets distributed to other employees. Please consult current FPPC guidance for instructions on how to complete Form 802. A Form 802 Fact Sheet, including Frequently Asked Questions and a sample form showing how to report different types of Ticket distributions, can be found at the FPPC website at <http://www.fppc.ca.gov/factsheets/Form802FactSheet.pdf>.

**Agency Report of:
Ceremonial Role Events and Ticket/Pass Distributions**

A Public Document

1. Agency Name		Date Stamp	California Form 802
Division, Department, or Region <i>(If Applicable)</i>		For Official Use Only	
Designated Agency Contact <i>(Name, Title)</i>		<input type="checkbox"/> Amendment <i>(Must provide explanation in Part 3.)</i> Date of Original Filing: _____ <i>(Month, Day, Year)</i>	
Area Code/Phone Number	E-mail		

2. Function or Event Information

Does the agency have a ticket policy? Yes No Face Value of Each Ticket/Pass \$ _____

Event Description _____ Date(s) _____/_____/_____

Provide Title/Explanation

Ticket(s)/Pass(es) provided by agency? Yes No If no: _____

Name of Source

Was ticket distribution made at the behest of agency official? No Yes If yes: _____

Official's Name (Last, First)

3. Recipients

• Use Section A to identify the agency's department or unit. • Use Section B to identify an individual. • Use Section C to identify an outside organization.

A. Name of Agency, Department or Unit	Number of Ticket(s)/Pass(es)	Describe the public purpose made pursuant to the agency's policy
B. Name of Individual <i>(Last, First)</i>	Number of Ticket(s)/Pass(es)	Identify one of the following:
		Ceremonial Role <input type="checkbox"/> Other <input type="checkbox"/> Income <input type="checkbox"/> <i>If checking "Ceremonial Role" or "Other" describe below:</i>
		Ceremonial Role <input type="checkbox"/> Other <input type="checkbox"/> Income <input type="checkbox"/> <i>If checking "Ceremonial Role" or "Other" describe below:</i>
C. Name of Outside Organization <i>(include address and description)</i>	Number of Ticket(s)/Pass(es)	Describe the public purpose made pursuant to the agency's policy

4. Verification

I have read and understand FPPC Regulations 18944.1 and 18942. I have verified that the distribution set forth above, is in accordance with the requirements.

_____ _____ _____ _____

Signature of Agency Head or Designee *Print Name* *Title* *(Month, Day, Year)*

RESOLUTION NO. 2014 -

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

* * *

**AUTHORIZING ADOPTION OF TICKET POLICY GOVERNING DISTRIBUTION OF TICKETS AND
PASSES RECEIVED BY THE JPB TO OFFICIALS AND EMPLOYEES**

WHEREAS, the California Fair Political Practices Commission (FPPC) requires that tickets and passes (Tickets) for admission to a facility, event, show or performance for entertainment, amusement, recreations or similar purpose must be distributed and reported in furtherance of a governmental and/or public purpose and in accordance with section 18944.1 of the FPPC Regulations; and

WHEREAS, the Peninsula Corridor Joint Powers Board (JPB) occasionally receives Tickets that it may distribute to JPB officials and San Mateo County Transit District (District) employees engaged in providing services pertaining to the JPB; and

WHEREAS, staff and legal counsel have drafted the attached Ticket Policy, which complies with the applicable FPPC Regulation; and

WHEREAS, pursuant to the Ticket Policy, the Executive Director is delegated the authority to distribute Tickets in accordance with the Ticket Policy and to establish the procedures applicable to such distribution; and

WHEREAS, Staff Coordinating Council recommends and the Executive Director concurs that the Ticket Policy be adopted.

NOW, THEREFORE, BE IT RESOLVED the Board of Directors (Board) of the Peninsula Corridor Joint Powers Board hereby adopts the attached Ticket Policy, which governs the distribution of tickets and passes received by the JPB to JPB officials and District employees engaged in providing services pertaining to the JPB; and

BE IT FURTHER RESOLVED that, in accordance with the terms of the Ticket Policy, the Board authorizes the Executive Director to distribute tickets and passes in accordance with the Ticket Policy and to establish the procedures applicable to such distribution.

Regularly passed and adopted this 9th day of January, 2014 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michael J. Scanlon
Executive Director

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

SUBJECT: **LOS GATOS CREEK BRIDGE REPLACEMENT**

ACTION

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

SIGNIFICANCE

The Los Gatos Creek Bridge Replacement project is required to bring this bridge in compliance with safety and seismic codes. In addition, the bridge replacement project will include installation of a tail track for improving operations and providing adequate response to unforeseen events.

A PowerPoint presentation will be made on the project scope, funding, schedule, public outreach and environmental review.

BUDGET IMPACT

There is no impact on the budget.

BACKGROUND

The Los Gatos Creek railroad bridge, located over Los Gatos Creek just south of Caltrain's San Jose Diridon station in San Jose, was built in 1935 and has exceeded the 75-year useful life for which it was designed. Inspections of the bridge have revealed deteriorating conditions and vulnerability in the event of a significant earthquake. In addition, the southern portion of the existing bridge was damaged in a fire. Due to its increasing age and structural deficiencies, the Los Gatos Creek Bridge needs to be replaced with a new structure as soon as possible.

The replacement of the bridge will not interrupt Caltrain or Union Pacific Railroad (UPRR) operations. To accomplish this, a shoofly (third track) will be built, enabling two tracks to remain in operation during construction activities. Upon completion of the project, the shoofly will become a permanent tail track. This will allow trains to turn back to the Diridon station without going all the way to Tamien and provide an option for relief in the event of train breakdowns or accidents. It has long been an operational goal to provide a tail track in this area. Utilizing the shoofly as a permanent tail track provides

significant cost savings and avoids environmental and community impacts that would occur should the shoofly be removed and a tail track be built at a later date.

The project is funded 80 percent by the Federal Transit Administration and 20 percent by a combination of member agency and State/local funds. An environmental review process is currently ongoing to fulfill the requirements of National Environmental Policy Act for Federal funding compliance and California Environmental Quality Act (CEQA) to meet the State requirements.

To comply with the CEQA process, JPB prepared and published a Draft Initial Study/Mitigated Negative Declaration (IS/MND) document, which was reviewed by the public and relevant regulatory agencies. JPB prepared responses to comments received and a Revised Draft IS/MND document has been re-circulated for an additional public comment period. Upon completion of the second comment period (December 23, 2013) JPB will compile and address the comments for incorporation in the final environmental document. The Final MND and the required Mitigation Monitoring and Reporting Program document will be presented to the Board for approval at the February Board meeting.

Comprehensive public outreach efforts have been completed, which included:

- Two Public meetings in San Jose
- Meeting and presentation to the Home Owners Association of the residences adjacent to the project
- Outreach to relevant community organizations including:
 - Friends of Los Gatos Creek
 - District 6 Neighborhood Leaders Group
 - Shasta Hanchett Park Neighborhood Association
 - North Willow Glen Neighborhood Association
 - Committee for Green Foothills
 - Santa Clara Valley Audubon Society
 - Sierra Club Loma Prieta Chapter

Prepared by: Rafael Bolon, Project Manager
Hilda Lafebre, Manager, Capital Project and
Environmental Planning

650.622.7805
650.622.7842

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michael J. Scanlon
Executive Director

FROM: Mark Simon
Executive Officer, Public Affairs

SUBJECT: **STATE AND FEDERAL LEGISLATIVE UPDATE**

ACTION

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

SIGNIFICANCE

Staff will provide regular updates to the Board in accordance with the approved Legislative Program.

STATE ISSUES

Nothing to report.

FEDERAL ISSUES

Nothing to report.

Prepared By: Seamus Murphy, Director, Government and Community Affairs 650.508.6388