



BOARD OF DIRECTORS 2021

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JIM HARTNETT  
EXECUTIVE DIRECTOR

# AGENDA

## PENINSULA CORRIDOR JOINT POWERS BOARD

### Finance Committee Special Meeting

Committee Members: Monique Zmuda (Chair), Jeff Gee, Glenn Hendricks

**Due to COVID-19, this meeting will be conducted via teleconference only (no physical location) pursuant to the [Governor's Executive Orders N-25-20 and N-29-20](#).**

**Directors, staff and the public may participate remotely via Zoom at**

**<https://zoom.us/j/93388927360?pwd=SFJranR4KzVURGIzVW5VUXJMZGIxQT09>** or by entering Webinar ID: # **933 8892 7360**, Passcode: **790810**, in the Zoom app for audio/visual capability or by calling 1-669-900-6833 (enter webinar ID and press # when prompted for participant ID) for audio only. The video live stream will be available after the meeting at <http://www.caltrain.com/about/bod/video.html>

**Public Comments:** Members of the public are encouraged to participate remotely. Public comments may be submitted to [publiccomment@caltrain.com](mailto:publiccomment@caltrain.com) prior to the meeting's call to order so that they can be sent to the Board as soon as possible, while those received after an agenda item is heard will be included into the Board's weekly correspondence and posted online at [http://www.caltrain.com/about/bod/Board\\_of\\_Directors\\_Meeting\\_Calendar.html](http://www.caltrain.com/about/bod/Board_of_Directors_Meeting_Calendar.html).

Oral public comments will also be accepted during the meeting through \*Zoom or via the teleconference number listed above. Public comments on individual agenda items are limited to one per person PER AGENDA ITEM. Use the Raise Hand feature to request to speak. For public participants calling in, dial \*67 if you do not want your telephone number to appear on the live broadcast. Callers may dial \*9 to use the Raise the Hand feature for public comment and press \*6 to accept being unmuted when recognized to speak for two minutes or less. Each commenter will be automatically notified when they are unmuted to speak for two minutes or less. The Board Chair shall have the discretion to manage the Public Comment process in a manner that achieves the purpose of public communication and assures the orderly conduct of the meeting.

**March 22, 2021 - Monday**

**2:30 pm \*special meeting time**

1. Call to Order/Pledge of Allegiance
2. Roll Call

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

3. Public Comment on Items not on the Agenda

Comments by each individual speaker shall be limited to two (2) minutes. Items raised that require a response will be deferred for staff reply.

- 4. Approve Meeting Minutes of February 22, 2021 MOTION
- 5. Approve Revised Finance Committee Meeting Calendar 2021 MOTION
- 6. Report of the Chief Financial Officer (CFO)
  - a. Accept Statement of Revenues and Expenses for the Period Ending February 28, 2021 MOTION
- 7. Authorize an Amendment to the Agreement with Rail Surveyors & Engineers, Inc. for Engineering Consultant Design Services to Increase the Maximum Aggregate Not-To-Exceed Amount by \$2,650,000 and Extend the Contract Term through March 31, 2022 MOTION
- 8. On-Call Transportation Planning and Consultant Support Services Update INFORMATIONAL
- 9. Committee Member Requests
- 10. Date/Time of Next Regular Finance Committee Meeting:  
Monday, April 26, 2021 at 2:30 pm via Zoom
- 11. 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](http://www.caltrain.com). Communications to the Board of Directors can be e-mailed to [board@caltrain.com](mailto:board@caltrain.com). *Free translation is available; Para traducción llama al 1.800.660.4287; 如需翻译 请电1.800.660.4287*

### **Date and Time of Board and Committee Meetings**

JPB Board: First Thursday of the month, 9:00 am; JPB Finance Committee: Fourth Monday of the month, 2:30 pm. Date, time and location of meetings may be changed as necessary. Meeting schedules for the Board and committees are available on the website.

### **Location of Meeting**

**Due to COVID-19, the meeting will only be via teleconference as per the information provided at the top of the agenda.** The Public may not attend this meeting in person.

\*Should Zoom not be operational, please check online at

[http://www.caltrain.com/about/bod/Board\\_of\\_Directors\\_Meeting\\_Calendar.html](http://www.caltrain.com/about/bod/Board_of_Directors_Meeting_Calendar.html) for any updates or further instruction.

### **Public Comment\***

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### **Accessible Public Meetings/Translation**

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 and provide comments at/related to public meetings. Please submit a request, including your name, phone number and/or email address, and a description of the modification, accommodation, auxiliary aid, service or alternative format requested at least at least 72 hours in advance of the meeting or hearing. Please direct requests for disability-related modification and/or interpreter services to the Title VI Administrator at San Mateo County Transit District, 1250 San Carlos Avenue, San Carlos, CA 94070-1306; or email [titlevi@samtrans.com](mailto:titlevi@samtrans.com); or request by phone at 650-622-7864 or TTY 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  
Finance Committee Meeting  
1250 San Carlos Avenue, San Carlos CA 94070**

**DRAFT MINUTES OF FEBRUARY 22, 2021**

**MEMBERS PRESENT:** Monique Zmuda (Chair), Jeff Gee, Glenn Hendricks  
**MEMBERS ABSENT:** None  
**STAFF PRESENT:** D. Hansel, M. Bouchard, J. Cassman, S. van Hoften, C. Mau, M. Jones, P. Skinner, K. Yin, J. Sangha, D. Seamans, S. Wong

**1. CALL TO ORDER/PLEDGE OF ALLEGIANCE**

Chair Monique Zmuda called the meeting to order at 1:30 pm and led the Pledge of Allegiance.

**2. ROLL CALL**

District Secretary Dora Seamans confirmed all Board Committee members were present.

**3. PUBLIC COMMENT FOR ITEMS NOT ON THE AGENDA**

Roland Lebrun, San Jose, commented on Gilroy parking lot plans, MTC Transit Recovery Taskforce, and the Finance Committee meeting start time.

Adrian Brandt, San Mateo County, commented on the one percent maximum grade separations restriction costs.

**4. APPROVE MEETING MINUTES OF JANUARY 25, 2021**

Motion/Second: Gee/Hendricks  
Ayes: Gee, Hendricks, Zmuda  
Noes: None  
Absent: None

**5. ACCEPT STATEMENT OF REVENUES AND EXPENSES FOR THE PERIOD ENDING JANUARY 31, 2021**

Derek Hansel, Chief Financial Officer, noted that there was no presentation and he was available to answer any questions. He stated that there were no surprises in the forecast with the newly adopted budget.

Chair Zmuda provided historic context and the policy for adopting balanced budgets.

The Board members had a discussion and staff provided further clarification in response to the Board comments and questions regarding the recently approved budget,

expenses, CARES Act spending, when borrowing be needed, capital budget increases, real-time the numbers, and operating reserves policy.

Public comment

Roland Lebrun, San Jose, commented on the CARES Act funding and Caltrain ridership.

Motion/Second: Hendricks/Gee

Ayes: Gee, Hendricks, Zmuda

Noes: None

Absent: None

**6. AUTHORIZE THE FILING OF APPLICATIONS WITH THE METROPOLITAN TRANSPORTATION COMMISSION FOR PROGRAMMING OF FEDERAL TRANSIT ADMINISTRATION FORMULA FUNDS FOR CALTRAIN CAPITAL AND OPERATING PROJECTS**

Peter Skinner, Director of Grants and Fund Management, said this would allow staff to program \$13 million in Federal Transit Administration (FTA) formula funding to support capital and operating budgets. He explained that they were operating under a continuing resolution which extended the current Fast Act, and next year they would likely return with multiple years of programming.

The Board members had a discussion and staff provided further clarification in response to the Board comments and questions regarding the \$3.4 million in local matching funds.

Motion/Second: Hendricks/Gee

Ayes: Gee, Hendricks, Zmuda

Noes: None

Absent: None

**7. AUTHORIZE EXECUTION OF AGREEMENTS WITH THE CALIFORNIA DEPARTMENT OF TAX AND FEE ADMINISTRATION FOR IMPLEMENTATION OF MEASURE RR TRANSACTIONS AND USE TAX AND AUTHORIZING EXAMINATION OF TRANSACTIONS AND USE TAX RECORDS**

Jayden Sangha, Treasury Manager, stated that there were two resolutions related to the implementation and collection for Measure RR. The first to allow collections with first payments in September 2021 and the second resolution allows Caltrain to examine the Measure RR tax records. He stated that this would begin the process of setting up these two agreements with California Department of Tax and Fee Administration (CDTFA).

The Board members had a discussion and staff provided further clarification in response to the Board comments and questions regarding whether there was an annual fee or a one-time fee.

Motion/Second: Hendricks/Gee to approve both resolutions in one motion

Ayes: Gee, Hendricks, Zmuda

Noes: None

Absent: None

## **8. CLIPPER START QUARTERLY UPDATE**

Melissa Jones, Principal Planner, provided the presentation. She provided statistics on Clipper START participants, promotions, and information on next steps.

### Public comment

Roland Lebrun, San Jose, commented on riders needing fare assistance and increasing train frequency.

Adrian Brandt, San Mateo County, commented on Clipper START participation and qualification rates, and cost.

The Board members had a discussion and staff provided further clarification in response to the Board comments regarding revenue loss for daily riders, how to measure program success, why most participants are from San Francisco, Valley Transportation Authority participation, sampling a larger group, and how many participants are new to Caltrain.

## **9. COMMITTEE MEMBER REQUESTS**

Director Hendricks requested a copy of the Fiscal Year 2020 budget.

## **10. DATE/TIME OF NEXT REGULAR FINANCE COMMITTEE MEETING**

Monday, March 22, 2021 at 1:30 pm via Zoom

## **11. ADJOURN**

The meeting adjourned at 2:33 pm.

An audio/video recording of this meeting is available online at <https://www.caltrain.com/about/bod/video.html?> Questions may be referred to the Board Secretary's office by phone at 650.508.6279 or by email to [board@caltrain.com](mailto:board@caltrain.com).

**PENINSULA CORRIDOR JOINT POWERS BOARD  
STAFF REPORT**

DATE: March 18, 2021  
TO: JPB Finance Committee  
FROM: Derek Hansel  
Chief Financial Officer  
SUBJECT: Report of the Chief Financial Officer

**HIGHLIGHTS**

- Fiscal Year 2021 Forecast has been updated to reflect actual revenue and expense through February 2021.
- Revenue is forecasted to be \$5.3 million more than budgeted, primarily due to anticipated receipt of approximately \$6.9 million from the CRRSAA phase 1 allocation. This allocation has been applied for and we anticipate receipt of funds in the next month or so.
- Phase 2 allocation has not yet been completed. The MTC Programming and Allocations Committee approved a proposed allocation of \$39.76 million to Caltrain from Phase 2 at its March 10, 2021 meeting. The MTC Board will be meeting on March 24 to consider Phase 2 allocations. Phase 2 allocations have not been included in forecast revenue.
- Expenses are forecasted to be lower than budgeted due to favorable variances in Rail Operator services, Shuttles, Clipper Operator Charges, and Managing Agency Overhead (which, due to a methodology change effective January 1<sup>st</sup>, is borne more heavily by the capital program).
- The adopted budget contemplated a draw of \$15.3 million on the operating line of credit, and a draw down of approximately \$7 million in reserves. While we have drawn down the line of credit, and we may draw down reserves to address cash flow issues, we anticipate that our ultimate need for funding at fiscal year end will allow us to replenish the reserves and reduce the outstanding balance of the line of credit. Receipt of the phase 2 allocation of the CRRSAA funds prior to the end of the fiscal year would allow us to reduce the outstanding balances of the line further.

- The Budgets Department is working to prepare the preliminary Fiscal Year 2022 Operating and Capital Budgets, which will be presented to the Finance Committee at its April 26, 2021 meeting, and to the Board at its May 6, 2021 meeting.
- The Treasury Department is working diligently on implementation of a comprehensive financing plan which would address replacement of our existing lines of credit.
- The Staff Report on the Statement of Revenues and Expenses for the Period Ending February 28, 2021 follows.





## JPB Finance Committee Meeting Calendar – 2021

### REVISED/NEW START TIME Fourth Monday – 2:30 PM

Monday, January 25

Monday, February 22

Monday, March 22 (new start time at 2:30 pm)

Monday, April 26

Monday, May 24

Monday, June 28

Monday, July 26

Monday, August 23

Monday, September 27

Monday, October 25

Monday, November 22

\*Monday December 20 (3<sup>rd</sup> Monday)

Board Committee Members: Directors Monique Zmuda (Chair), Jeff Gee, Glenn Hendricks.  
Primary Staff Liaison: Derek Hansel

\*Regular meetings scheduled for monthly on the 4<sup>th</sup> Monday at 2:30 pm., unless otherwise noted.

All meetings are held via [Zoom](#) or at 1250 San Carlos Avenue, San Carlos, CA, unless scheduled and stated otherwise at

[https://www.caltrain.com/about/bod/Board\\_of\\_Directors\\_Meeting\\_Calendar.html](https://www.caltrain.com/about/bod/Board_of_Directors_Meeting_Calendar.html)

**PENINSULA CORRIDOR JOINT POWERS BOARD  
STAFF REPORT**

TO: JPB Finance Committee  
THROUGH: Jim Hartnett  
Executive Director  
FROM: Derek Hansel  
Chief Financial Officer  
SUBJECT: **STATEMENT OF REVENUES AND EXPENSES FOR THE PERIOD ENDING  
FEBRUARY 28, 2021**

**ACTION**

Staff proposes that the Board of Directors accept and enter into the record the Statement of Revenues and Expenses for the month of February 2021.

This staff report provides a brief discussion of significant items and trends on the attached Statement of Revenues and Expenses through February 28, 2021. The statement has been designed to follow the Agency-wide line item rollup as included in the approved budget. The columns have been designed to provide easy comparison of year-to-date current actuals to the budget including dollar and percentage variances.

**SIGNIFICANCE**

**Annual Forecast:** The annual forecast was updated based on actual revenue and expense trends through February 2021. The forecast was derived by analyzing trends and reviewing details with cost center managers.

**Forecast Revenues:** Total revenue (page 1, line 17) is forecast \$5.3 million higher than budget. This is driven primarily by \$6.9M phase one allocation from the Coronavirus Response and Relief Supplemental Appropriations Act (CRRSAA). The phase two allocation is currently not reflected in the FY21 forecast due to uncertainty around whether funds would be distributed in fiscal year 2021. The revenue increase is partially offset by lower Farebox Revenue (page 1, line 1) which is \$1.4M lower than budget due to a 50% discount on the Go Pass program and lower than anticipated Go Pass renewals as companies continue to assess their return to work plans and by Shuttles Revenue (page 1, line 3) which is \$0.3 million lower than budget due to lower shuttle service as routes have been reduced or suspended due to low ridership.

**Forecast Expenses:** Total Expense (page 1, line 48) is \$4.4 million lower than budget. The variance is primarily due to lower expense trends. Rail Operator Service (page 1, line 23) is \$1.0 million lower than budget due to under-runs in services. Shuttles Services (page 1, line 25) is \$0.5 million lower than budget due to reduction or suspended service as result of low ridership. Facilities & Equipment Maintenance

(page 1, line 30) is lower than budget by \$0.9 million due to lower Clipper Operator Charges as a result of lower ridership and under-runs in other contract services. Managing Agency OH (page 1, line 38) is lower than budget by \$1.6 million due to the change in the cost allocation methodology effective January 1, 2021. This included an update to the basis for the cost allocations. As a result, the managing agency overhead costs allocated to the JPB Operating Budget is expected to decrease. Professional Services (page 1, line 40) is lower than budget by \$0.4 million as a result of under-runs in various planning studies and less consultant services.

**Year to Date Revenues:** As of February year-to-date actual, the Grand Total Revenue (page 1, line 17) is \$1.3 million lower than the approved budget. This is primarily driven by contributions from JPB Member Agencies (page 1, line 12).

**Year to Date Expenses:** As of February year-to-date actual, the Grand Total Expense (page 1, line 48) is \$9.6 million lower than the approved budget. This is primarily driven by Rail Operator Service (page 1, line 23), Facilities and Equipment Maintenance (page 1, line 30), Wages and Benefits (page 1, line 37), Managing Agency Admin OH Cost (page 1, line 38), Professional Services (page 1, line 40), and Other Office Expenses and Services (page 1, line 42).

**Other Information:** The Agency accounts for revenue and expenditures on a modified cash basis (only material revenues and expenses are accrued) in the monthly financial statements. Due to the impact of Covid-19 pandemic, the variance between the current year actual and the budget shows noticeable variances due to the timing of expenditures.

### **BUDGET IMPACT**

There are no budget amendments for the month of February 2021.

### **STRATEGIC INITIATIVE**

This item does not achieve a strategic initiative.

Prepared By :	Thwe Han, Accountant II	650-508-7912
	Jennifer Ye, Manager, General Ledger	650-622-7890

**PENINSULA CORRIDOR JOINT POWERS BOARD**  
**STATEMENT OF REVENUE AND EXPENSE**  
**Fiscal Year 2021**  
**February 2021**

					% OF YEAR ELAPSED			66.7%
	JULY - FEBRUARY				ANNUAL			
	CURRENT ACTUAL	APPROVED BUDGET	\$ VARIANCE	% VARIANCE	APPROVED BUDGET	FORECAST	\$ VARIANCE	
<b>REVENUE</b>								
OPERATIONS:								
1 Farebox Revenue	23,691,669	23,740,549	(48,880)	(0.2%)	32,029,149	30,630,341	(1,398,808)	1
2 Parking Revenue	222,518	269,518	(47,000)	(17.4%)	372,718	372,718	-	2
3 Shuttles	1,068,169	1,292,025	(223,856)	(17.3%)	2,031,246	1,773,647	(257,599)	3
4 Rental Income	735,815	746,236	(10,421)	(1.4%)	1,111,804	1,111,804	-	4
5 Other Income	908,869	1,129,841	(220,972)	(19.6%)	1,764,000	1,764,000	-	5
6								6
7 TOTAL OPERATING REVENUE	<u>26,627,040</u>	<u>27,178,169</u>	<u>(551,129)</u>	<u>(2.0%)</u>	<u>37,308,917</u>	<u>35,652,510</u>	<u>(1,656,407)</u>	7
8								8
9 CONTRIBUTIONS:								
10 AB434 Peninsula & TA Shuttle Funding	1,411,038	1,157,217	253,821	21.9%	1,737,950	1,737,950	-	10
11 Operating Grants	3,165,103	3,137,973	27,130	.9%	12,808,500	12,808,500	-	11
12 JPB Member Agencies	20,357,239	21,347,523	(990,284)	(4.6%)	28,809,434	28,809,434	-	12
13 CARES ACT Fund	41,509,536	41,507,983	1,553	.0%	41,507,983	48,444,610	6,936,627	13
14								14
15 TOTAL CONTRIBUTED REVENUE	<u>66,442,916</u>	<u>67,150,696</u>	<u>(707,780)</u>	<u>(1.1%)</u>	<u>84,863,867</u>	<u>91,800,494</u>	<u>6,936,627</u>	15
16								16
17 GRAND TOTAL REVENUE	<u><b>93,069,956</b></u>	<u><b>94,328,865</b></u>	<u><b>(1,258,909)</b></u>	<u><b>(1.3%)</b></u>	<u><b>122,172,784</b></u>	<u><b>127,453,004</b></u>	<u><b>5,280,220</b></u>	17
18								18
19								19
20 EXPENSE								
21								21
22 OPERATING EXPENSE:								
23 Rail Operator Service	55,928,267	58,793,999	(2,865,732)	(4.9%)	85,109,942	84,109,942	(1,000,000)	23
24 Security Services	4,122,152	4,506,274	(384,122)	(8.5%)	6,746,908	6,746,908	-	24
25 Shuttle Services	2,450,237	2,562,470	(112,233)	(4.4%)	4,057,249	3,542,715	(514,534)	25
26 Fuel and Lubricants	4,122,595	4,028,187	94,408	2.3%	5,930,523	5,930,523	-	26
27 Timetables and Tickets	-	71,110	(71,110)	(100.0%)	110,000	110,000	-	27
28 Insurance	5,249,223	5,272,221	(22,998)	(0.4%)	5,410,000	5,410,000	-	28
29 Claims, Payments, and Reserves	290,138	639,089	(348,951)	(54.6%)	960,000	960,000	-	29
30 Facilities and Equipment Maintenance	1,636,697	3,183,601	(1,546,904)	(48.6%)	4,803,563	3,953,563	(850,000)	30
31 Utilities	1,275,119	1,794,911	(519,792)	(29.0%)	2,731,385	2,731,385	-	31
32 Maint & Services-Bldg & Other	685,596	1,072,342	(386,746)	(36.1%)	1,590,000	1,590,000	-	32
33								33
34 TOTAL OPERATING EXPENSE	<u><b>75,760,024</b></u>	<u><b>81,924,204</b></u>	<u><b>(6,164,180)</b></u>	<u><b>(7.5%)</b></u>	<u><b>117,449,570</b></u>	<u><b>115,085,036</b></u>	<u><b>(2,364,534)</b></u>	34
35								35
36 ADMINISTRATIVE EXPENSE								
37 Wages and Benefits	6,719,728	7,501,813	(782,085)	(10.4%)	10,826,318	10,826,318	-	37
38 Managing Agency Admin OH Cost	2,379,147	3,426,234	(1,047,087)	(30.6%)	5,139,352	3,553,099	(1,586,253)	38
39 Board of Directors	10,437	11,025	(588)	(5.3%)	11,025	11,025	-	39
40 Professional Services	2,297,894	3,336,371	(1,038,477)	(31.1%)	5,562,000	5,117,000	(445,000)	40
41 Communications and Marketing	55,546	109,057	(53,511)	(49.1%)	136,000	136,000	-	41
42 Other Office Expenses and Services	552,169	1,763,445	(1,211,276)	(68.7%)	2,982,254	2,982,254	-	42
43								43
44 TOTAL ADMINISTRATIVE EXPENSE	<u><b>12,014,921</b></u>	<u><b>16,147,945</b></u>	<u><b>(4,133,024)</b></u>	<u><b>(25.6%)</b></u>	<u><b>24,656,949</b></u>	<u><b>22,625,696</b></u>	<u><b>(2,031,253)</b></u>	44
45								45
46 Long Term Debt Expense	2,284,611	1,587,834	696,777	43.9%	2,381,752	2,381,752	-	46
47								47
48 GRAND TOTAL EXPENSE	<u><b>90,059,556</b></u>	<u><b>99,659,983</b></u>	<u><b>(9,600,427)</b></u>	<u><b>(9.6%)</b></u>	<u><b>144,488,271</b></u>	<u><b>140,092,485</b></u>	<u><b>(4,395,786)</b></u>	48
49								49
50 NET SURPLUS / (DEFICIT)	<u><b>3,010,400</b></u>	<u><b>(5,331,118)</b></u>	<u><b>8,341,518</b></u>	<u><b>(156.5%)</b></u>	<u><b>(22,315,487)</b></u>	<u><b>(12,639,481)</b></u>	<u><b>9,676,006</b></u>	50
51								51
52 FUNDING OF SURPLUS / (DEFICIT):								
53 Draw from Reserves					7,015,487	-		53
54 Short-term Borrowings					15,300,000	12,639,481		54
55 FUNDED SURPLUS / (DEFICIT):					<u><b>-</b></u>	<u><b>-</b></u>		55



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PENINSULA CORRIDOR JOINT POWERS BOARD

INVESTMENT PORTFOLIO

AS OF FEBRUARY 28, 2021

JIM HARTNETT  
 EXECUTIVE DIRECTOR

TYPE OF SECURITY		MATURITY DATE	INTEREST RATE	PURCHASE PRICE	MARKET RATE
Local Agency Investment Fund (Unrestricted)	*	Liquid Cash	0.407%	35,039,230	35,039,230
County Pool (Unrestricted)		Liquid Cash	1.184%	554,964	554,964
Other (Unrestricted)		Liquid Cash	0.050%	58,432,197	58,432,197
Other (Restricted)	**	Liquid Cash	0.050%	14,052,219	14,052,219
				\$ 108,078,611	\$ 108,078,611

Interest Earnings for February 2021 \$ 2,110.52  
 Cumulative Earnings FY2021 \$ 24,483.87

\* 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 30th each year.

\*\* Prepaid Grant funds for Homeland Security, PTMISEA and LCTOP projects, and funds reserved for debt repayment. The Portfolio and this Investment Report comply with the Investment Policy and the provisions of SB 564 (1995). The Joint Powers Board has the ability to meet its expenditure requirements for the next six months.

**PENINSULA CORRIDOR JOINT POWERS BOARD  
STAFF REPORT**

TO: JPB Finance Committee

THROUGH: Jim Hartnett  
Executive Director

FROM: Derek Hansel  
Chief Financial Officer

Michelle Bouchard  
Chief Operating Officer, Rail

SUBJECT: **AUTHORIZE AN AMENDMENT TO THE AGREEMENT WITH RAIL SURVEYORS & ENGINEERS, INC. FOR ENGINEERING CONSULTANT DESIGN SERVICES TO INCREASE THE MAXIMUM AGGREGATE NOT-TO-EXCEED AMOUNT BY \$2,650,000 AND EXTEND THE CONTRACT TERM THROUGH MARCH 31, 2022**

**ACTION**

Staff Coordinating Council recommends the Board authorize an amendment to the Engineering Consultant Design Services agreement with Rail Surveyors and Engineers, Inc. (RSE) to increase the maximum aggregate not-to-exceed amount by \$2,650,000, from \$3,398,171 to \$6,048,171, of which \$2,200,000 is for the South San Francisco Station Improvements Project and \$450,000 is for the Marin and Napoleon Rail Bridge Improvements Project (Projects), and to extend the contract term through March 31, 2022.

**SIGNIFICANCE**

The Peninsula Corridor Joint Powers Board (JPB) has engaged RSE to provide Engineering Consultant Design Services. Since the contract was executed in 2019, significant and unprecedented project delays and changes, including delays caused by the COVID-19 pandemic, have resulted in a need to extend the schedule for the Projects. In order to maintain continuity of engineering services on the Projects, to avoid the duplication of efforts and unnecessary expense required to integrate a new engineering consultant on the Projects, and to avoid further project delays, the JPB has determined that it is in the JPB's best interests to engage RSE to continue to provide the required engineering consultant design services to support the Projects through March 31, 2022.

**BUDGET IMPACT**

The Projects are funded from approved capital budgets using a variety of funding mechanisms and sources.

**BACKGROUND**

The Board of Directors, through Resolution No. 2019-23, authorized the award of an Engineering Consultant Design Services contract to RSE on June 6, 2019 for a two-year term for a maximum aggregate not-to-exceed amount of \$3,089,246. On October 22, 2020, staff extended the two projects under the Executive Director's authority through the

end of the contract term of June 30, 2021. Staff extended the contract term to allow RSE to continue work on the Projects through 2020 and then exercised the Executive Director's 10% contingency on November 24, 2020 to increase capacity for continuity of services by \$308,925 for a total not-to-exceed amount of \$3,398,171.

The COVID-19 pandemic has affected progress on these Projects over the past few months due to labor shortages as well as significant delays in product/material lead times. The Projects also experienced unexpected delays due to the Projects' shoring and rebar subcontractors being significantly impacted by the COVID-19 pandemic.

Before the pandemic, construction on the South San Francisco Station Improvements Project was delayed due to a need to relocate utilities. A construction contract for South San Francisco Station Project was awarded to ProVen Management in 2017 and construction began in November of that year. The contract was partially suspended for approximately 18 months in 2018-19 to allow for permitting, utility relocation, and similar work. Since returning to work in the last quarter of 2019, the project experienced delays due to the late mobilization of construction crews after project suspension. During the partial project suspension, RSE helped the project team relocate utilities (PG&E gas and electric, CalWater, and fiber optic) in conflict with the new pedestrian underpass. With the project ready to proceed, RSE design services are needed for continued support during construction, which is anticipated to conclude by March 2022.

During the "final design phase" for the Marin and Napoleon Streets Rail Bridge Improvements Project, the JPB required several design changes, such as the removal and replacement of a bridge under the Overhead Contact System (OCS) wires required for the Peninsula Corridor Electrification Project, and crane/sliding frame analysis for bridge replacement because of timing around the installation of OCS poles and wires by the Electrification team. Additionally, the JPB requires further support in obtaining City and County of San Francisco permits, Caltrans geotechnical review, Napoleon bridge structure revisions, and changes to plans, specifications, and design of trackwork from Cesar Chavez to Jerrold Ave. Currently, the Marin and Napoleon Rail Bridge Improvements Project is in construction phase, and RSE design services need to be continued for design support during construction until the end of 2021.

Contract Administrator:	Tomisha Young	YoungT@samtrans.com
Project Managers:	Howard Beckford	BeckfordH@samtrans.com
	Joy Sharma	SharmaJ@samtrans.com

**RESOLUTION NO. 2021 –**

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

\* \* \*

**AUTHORIZING AN AMENDMENT TO THE ENGINEERING CONSULTANT DESIGN SERVICES  
AGREEMENT WITH RAIL SURVEYORS & ENGINEERS, INC. TO INCREASE THE MAXIMUM  
AGGREGATE NOT-TO-EXCEED AMOUNT BY \$2,650,000 AND EXTEND THE CONTRACT TERM  
THROUGH MARCH 31, 2022**

**WHEREAS**, pursuant to Resolution 2019-23, the Board of Directors (Board) of the Peninsula Corridor Joint Powers Board (JPB) awarded a Engineering Consultant Design Services (Contract) to Rail Surveyors & Engineers, Inc. of Belmont, California (RSE) for a two year term for a maximum aggregate not to-exceed amount of \$3,089,246; and

**WHEREAS**, under the Executive Director's authority, the JPB executed the 10% contingency to increase capacity for the continuity of services by \$308,925 for a total not-to-exceed amount of \$3,398,171, and extended RSE's services through June 2021; and

**WHEREAS**, RSE has been providing engineering design services for the Marin and Napoleon Rail Bridge Improvements Project and South San Francisco Station Improvements projects (together, "Projects"), and the JPB requires ongoing and continuous engineering design services for the Projects; and

**WHEREAS**, due to several unanticipated factors, design changes, and project delays that developed following the award of this contract, including the 18 month suspension of construction services on the South San Francisco Station Improvements Project to allow for permitting, utility relocation, and similar work and the effects of the COVID-19 (coronavirus) pandemic, the Projects experienced delays; and



**WHEREAS**, the current Contract will expire on June 30, 2021 and the Projects require additional services that will extend beyond that time; and

**WHEREAS**, should the JPB change design consultants on the Projects, the JPB would incur substantial cost, loss of quality, further project delays, and it would have difficulty attracting other firms because the Projects have been substantially designed by RSE; and

**WHEREAS**, in order to maintain continuity of services on the Projects, avoid the duplication of efforts and unnecessary expense required to integrate a new Engineering and Design Services Consultant, and avoid additional project delays, the JPB has determined that it is in the JPB's best interest for RSE to continue to provide the required services to support the JPB's Projects through March 31, 2022; and

**WHEREAS**, the Staff Coordinating Council recommends that the Board authorize amendment to the Engineering Consultant Design Services Contract with RSE, to increase the maximum aggregate not-to-exceed contract amount by \$2,650,000, from \$3,398,171 to \$6,048,171, and extend the contract term through March 31, 2022.

**NOW, THEREFORE, BE IT RESOLVED** that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby authorizes the Executive Director, or his designee, to execute an amendment to the contract for Engineering Consultant Design Services with Rail Surveyors & Engineers, Inc. to increase the maximum not-to-exceed amount by \$2,650,000, from \$3,398,171 to \$6,048,171, and extend the contract term through March 31, 2022.

Regularly passed and adopted this 1<sup>st</sup> day of April 1, 2021 by the following vote:

AYES:

NOES:

ABSENT:

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Chair, Peninsula Corridor Joint Powers Board

ATTEST:

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JPB Secretary

**PENINSULA CORRIDOR JOINT POWERS BOARD  
STAFF REPORT**

TO: JPB Finance Committee

THROUGH: Jim Hartnett  
Executive Director

FROM: Michelle Bouchard  
Chief Operations Officer, Rail

SUBJECT: **ON-CALL TRANSPORTATION PLANNING AND CONSULTANT SUPPORT SERVICES  
UPDATE**

**ACTION**

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

**SIGNIFICANCE**

This informational item is presented quarterly to the Board and reports on the following:

- Total amount of work directives (WDs) issued to each firm since contract inception
- List of WDs and amendments issued since the last reporting period with the WD number, title, description, JPB project manager, vendor, issuance date, start date, end date, and value

The tables below provide an update of contract activities from December 8, 2020 through March 9, 2021. Table 1 summarizes the contract capacity status. Table 2 updates the percentage of capacity used against the percent time elapsed. Table 3 shows the Board approved dates and amounts. Table 4 aggregates the WD amounts issued to each of the vendors. Table 5 describes each of the WDs issued since the last reporting period.

**BUDGET IMPACT**

There is no impact on the budget.

**BACKGROUND**

Pursuant to Resolution No. 2020-18, the Board of Directors (Board) awarded contracts to Fehr & Peers, HNTB Corporation, Kimley-Horn & Associates, Inc., Arup North America Ltd., Mott MacDonald Group Inc., and WSP USA, Inc., consisting of a five-year base term for an aggregate not-to-exceed amount of \$25,000,000 with two additional, one-year option terms in an aggregate not-to-exceed amount of \$5,000,000 for each option year.

Project Manager:	Melissa Reggiardo, Manager, Caltrain Planning	650.508.6283
Contract Administrator:	Lawrence Leung, Manager, Rail Contracts & Budget	650.508.6328

**Table 1**

<b>Contract Summary</b>	<b>Years</b>	<b>Amount</b>
Total Capacity:	7.0	\$35,000,000
Exercised:	5.0	\$25,000,000
Work Directives Issued:		\$2,947,166
Remaining Capacity:		\$22,052,834

**Table 2**

<b>Contract Days</b>	<b>Days Elapsed</b>	<b>% Time Elapsed</b>	<b>Capacity Used</b>
1825	251	14%	12%

**Table 3**

<b>Contract Information</b>	<b>Start</b>	<b>End</b>	<b>Years</b>	<b>Capacity</b>	<b>Resolution/ Authorized</b>
Base	7/1/2020	6/30/2025	5.0	\$25,000,000	2020-18
Option #1	7/1/2025	6/30/2026	1.0	\$5,000,000	
Option #2	7/1/2026	6/30/2027	1.0	\$5,000,000	
Amendment			0.0		
<b>Total:</b>			<b>7.0</b>	<b>\$35,000,000</b>	

**Table 4**

<b>Vendor</b>	<b>Fehr &amp; Peers</b>	<b>HNTB</b>	<b>Kimley-Horn</b>	<b>ARUP</b>	<b>Mott MacDonald</b>	<b>WSP</b>
<b>Contract #</b>	20-J-P-006A	20-J-P-006B	20-J-P-006C	20-J-P-006D	20-J-P-006E	20-J-P-006F
<b>Total WDs Issued</b>	\$ 997,507	\$ 595,198	\$ 655,720	\$ 622,112	\$ -	\$ 76,628
<b>Previous Reporting Period</b>	\$ 879,666	\$ 532,888	\$ 600,720	\$ 43,854	\$ -	\$ -
<b>Current Reporting Period</b>	\$ 117,841	\$ 62,310	\$ 55,000	\$ 578,258	\$ -	\$ 76,628

**Table 5**

WD#	Title	Description (Updates in Bold)	Vendor	Updated	Start	(Revised) End	Current Value
10302	<sup>1</sup> Business Plan – Technical	Continuation and completion of Business Plan technical work including scenario planning; near-term service planning; and equity, connectivity and growth framework. <b>Decreased budget \$17,407.80 due to unanticipated billing on older contract/WD.</b>	Fehr & Peers	2/25/2021	8/1/2020	6/30/2021	\$ 338,651.19
10306	<sup>2</sup> Caltrain DTX – Operations Analysis	Rail operations technical analysis to support Caltrain and California High-Speed Rail Authority (CHSRA) to assess service and infrastructure configurations for the San Francisco Downtown Rail Extension. <b>Original amount \$227,782, but authorized \$105k. Amended amount \$65,843--&gt;\$293,625 total. Authorized additional \$55k--&gt;\$160k total and extended from 2/28/21 to 5/31/21. Remaining \$133,625 remains to be authorized.</b>	Kimley-Horn	2/12/2021	9/1/2020	5/31/2021	\$ 160,000.00
10300	<sup>1</sup> Business Plan - Project Management Support	Project management to support the continuation and completion of the Caltrain Business Plan technical work. <b>Added \$135k for additional support.</b>	Fehr & Peers	1/19/2021	7/1/2020	6/30/2021	\$ 478,742.22
10428	Refinement of Capital Project Implementation	Consultant shall be responsible for refining the decision-making process to ensure that specific decisions are being made at the correct level of the organization, defining a reporting process that is aligned with the decision-making process and provides both the appropriate information for decision-making as well as an accurate documentation of decisions made, providing COO with a program and project reporting template at the level of detail that meets her needs, and aligning staff reports with each other as well as Board reports to better inform the Board and staff as well as reduce the need to produce multiple reports.	WSP	1/11/2021	1/11/2021	9/30/2021	\$ 76,628.37
10335	<sup>1</sup> 22nd St Station ADA Access Feasibility Study	Completion of the ADA Access Feasibility study for the 22nd Street Caltrain Station including background research; stakeholder engagement; conceptual designs; constructability and funding analysis; alternative screening; and final report. <b>Extended from 1/31/21 to 4/30/21.</b>	HNTB	1/7/2021	9/1/2020	4/30/2021	\$ 133,106.00
10342	DSAP Architectural Services	Development support services including planning, land use, economic, environmental and development strategy associated with commercial development on the Caltrain-owned parcels within the Diridon Station Area Plan area in the City of San Jose	ARUP	1/6/2021	1/6/2021	6/30/2021	\$ 578,258.00
10334	<sup>1</sup> Bike Parking and Micromobility Support	Continuation of bike parking and micromobility support as Caltrain replaces and expands bike parking infrastructure throughout the Corridor; includes demand analysis, conceptual station plans and micromobility best practices. <b>Decreased budget \$395.67 due to initial budget proposal error.</b>	HNTB	12/21/2020	9/1/2020	3/31/2021	\$ 179,304.33

<sup>1</sup> Transferred from old contract #13-PCJPB-P-023

<sup>2</sup> Multi-agency Endeavor - TJPA, SFCTA, HSR, CCSF and MTC

WD#	Title	Description (Updates in Bold)	Vendor	Updated	Start	(Revised) End	Current Value
10336	San Francisquito Creek Bridge Replacement - Planning and Outreach	Planning and outreach to accompany baseline engineering assessments and earliest concept designs for the San Francisquito Creek Bridge replacement	HNTB	12/16/2020	12/16/2020	6/30/2021	\$ 62,706.00
10304	<sup>3</sup> DISC Plan – PM & Outreach Support	Technical and outreach program management for the remainder of Phase I of the Diridon Station Concept Plan. <b>Extended from 12/31/20 to 6/30/21.</b>	Kimley-Horn	12/8/2020	9/3/2020	<b>6/30/2021</b>	\$ 168,355.00

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<sup>3</sup> Multi-agency Endeavor - City of San Jose, VTA, MTC and HSR