



# AGENDA

## PENINSULA CORRIDOR JOINT POWERS BOARD

### Finance Committee Meeting

Committee Members: Dev Davis (Chair), Ron Collins, Monique Zmuda

**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://samtrans.zoom.us/j/93963204951> for audio/visual capability or by calling 1-669-900-9128, Webinar ID: # 939 6320 4951 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. 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.

**August 24, 2020**

**1:30 pm**

1. Call to Order/Pledge of Allegiance
2. Roll Call
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 July 27, 2020 MOTION
5. Accept Statement of Revenues and Expenses for the Period Ended July 31, 2020 MOTION
6. Award Contract for Maintenance and Support of I-ETMS Positive Train Control System MOTION
7. Award of Contract for Electronic Bike Lockers for Caltrain MOTION
8. Authorization to Enter into a Funding Agreement with the Federal Railroad Administration for the Caltrain Right-of-Way Trespassing Project MOTION
9. Adoption of the FY2021 JPB Operating and Capital Budgets, Including a Suspension of Previously Adopted Fare Increases MOTION
10. Committee Member Requests
11. Date/Time of Next Regular Finance Committee Meeting:  
Monday, September 28, 2020 at 1:30 pm via Zoom
12. 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, 1:30 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.**

### **Public Comment\***

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 during or 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 the teleconference number listed above. Public comments on individual agenda items are limited to one per person PER AGENDA ITEM and 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.

### **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 JULY 27, 2020**

**MEMBERS PRESENT:** D. Davis(Chair), R. Collins, M. Zmuda

**MEMBERS ABSENT:** None

**STAFF PRESENT:** D. Hansel, M. Bouchard, J. Cassman, S. van Hoften, C. Mau, J. Funghi, C. Gayotin, C. Scarella, J. Sharma, L. Millard-Olmeda, L. Larano, D. Seamans, S. Wong

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

Chair Dev Davis called the meeting to order at 1:34 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 commented on lagging video archives when skipping to different points, new finance committee meeting time, and the level crossing gates not functioning last Friday.

**4. APPROVAL OF MEETING MINUTES OF JUNE 22 2020**

Motion/Second: Davis/Zmuda

Ayes: Collins, Zmuda, Davis

Noes: None

Absent: None

**5. FINANCE AND RIDERSHIP UPDATES – COVID-19**

Michelle Bouchard, Chief Rail Officer, provided an update on operations. She reported operating at 70 trains since June 15, and a corresponding increase in the number of riders. Ms. Bouchard reported ridership numbers hovering around 5 percent, which is 3,200 – 3,600 a day on weekdays. She also reported looking at different scenarios including lower levels of service or potential shutdown.

Derek Hansel, Chief Financial Officer, reported receiving \$49 million in the first tranche, drawn down to a balance of \$17 million that carries over to fiscal year 2021. He stated they received an allocation of \$15 million for the second and final tranche. Mr. Hansel explained that key assumptions are that ridership comes back at 7.5 percent through July and August, assumed 20 percent September and October, and assumed 30 percent November and December. He noted that without those numbers they would see continuing shortfalls relative to what was received in CARES Act funding. Mr. Hansel stated this challenging situation is being monitored closely.

### Public comment

Roland Lebrun, San Jose, commented on running one bullet train per hour for quicker commutes between San Jose and San Francisco to increase ridership. He stated that there are currently buses that can go from San Jose to San Francisco in an hour or less.

Adrian Brandt, San Mateo County, commented on Google workers being able to continue working from home through July 2021 and how current schedule has excessive padding with long station dwell times. He said BART is currently faster than Caltrain with its BART extension to Berryessa and urged staff for a competitive schedule.

### Board Member Questions and Comments

In response to Director Collins' question on how often ridership numbers were analyzed, Mr. Hansel replied daily. Director Collins asked about the number of riders and if there was there a trend between July 1<sup>st</sup> and July 24<sup>th</sup>. Mr. Hansel replied that he would check, but it has mostly flattened out. Ms. Bouchard concurred and added that they will be devising a schedule change in the next couple of months. Director Collins asked about the current schedule and options for making those decisions. Ms. Bouchard said in regular times they would be looking at a different set of objectives, in these times, they want to balance travel times, stopping patterns that kept each train as attractive as other trains during peak periods, using conductor and Clipper counts, and looking to revise Fall time schedules. Director Collins asked if they were currently running baby bullets. Ms. Bouchard replied that they were not, and the current schedule was to provide coverage during peak period and make enough stops to pick people up.

Director Zmuda asked about efforts for shortening the travel time between San Francisco and San Jose. Ms. Bouchard replied that they are observing for now and looking at September for a possible revision to the timetable, including staying at 70 trains, reducing dwell time, removing the level of stops, even though there currently is not enough frequency to provide an equitable distribution of stops.

Chair Davis asked if longer commutes drop off more proportionally than shorter commutes. Mr. Hansel replied that the recently applied business intelligence system can answer these types of questions.

Chair Davis noted that San Jose Unified School District will remain distance learning through October and are waiting until fall break to reassess.

Chair Davis asked if dwell times were longer now. Ms. Bouchard replied that dwell times have not decreased since the number of passengers changed, but there may be longer dwell times to give people the opportunity to safely pass while boarding and disembarking. In response to Chair Davis' question if there were any one-way directional instructions, Ms. Bouchard replied that currently not but they are currently piloting for more navigation on the bombardier cars. Chair Davis inquired about possibly syncing regional and local schedules. Ms. Bouchard replied that there were talks on coordination with Muni in the winter, Santa Clara Valley Transportation Authority (VTA) light rail, and prioritizing the BART connection.

## **6. INFORMATION ON STATEMENT OF REVENUES AND EXPENDITURES JUNE 2020**

Mr. Hansel stated that the June statement is not released at the same time as other statements. He said they would provide this information in October, and hopefully, to the Finance Committee at its meeting in September.

Chair Davis requested a September Finance Committee update before going to the Board in October.

**7. AUTHORIZE EXECUTION OF A CHANGE ORDER TO THE PENINSULA CORRIDOR ELECTRIFICATION PROJECT CONTRACT WITH BALFOUR BEATTY, INC. FOR CONSTRUCTION OF SHUNT WIRES AT UTILITY CROSSINGS IN CONFORMANCE WITH CALIFORNIA PUBLIC UTILITY COMMISSION REQUIREMENTS**

Liria Larano, CalMod Deputy Chief, presented the report. She noted that the value of the change order is \$9.5 million and that the CPC adapted safety requirements from November 2016 requires installation of these shunt wires at crossings, and contingency funds will be used.

Public Comment

Roland Lebrun, San Jose, commented on scoping, mitigating impacts on high voltage transmission line, his previous recommendation for lines underground rather than raising utility poles, and he requested an audit of lines planned for underground actually put underground.

Board Questions & Comments

Director Zmuda inquired about the shunt wire function. Ms. Larano replied that the shunt wires would be installed via the overhead utility lines.

Director Zmuda inquired whether this would delay the current schedule. Ms. Larano replied that work done concurrently with static wire.

In response to Chair Davis question on any undergrounding occurring, Ms. Larano clarified that there were two locations where PG&E decided to put two crossings underground, and that it would be cheaper than putting the remainder underground. Chair Davis asked if the original plan was to put it underground. Ms. Larano replied that it was not in the scope of work.

Board members had a discussion and staff provided further clarification in response to Board comments and questions regarding engineer estimates, sources of funding for this project, timing of the bid process, berm replacement, and interdependency with other project timelines.

Motion/Second: Zmuda/Davis

Ayes: Collins, Zmuda, Davis

Noes: None

Absent: None

**8. AUTHORIZE EXECUTION OF AGREEMENTS TO RECEIVE FUNDING AND ACT AS LEAD IMPLEMENTING AGENCY FOR THE FINAL DESIGN PHASE OF THE MOUNTAIN VIEW TRANSIT CENTER GRADE SEPARATION AND ACCESS PROJECT**

Joy Sharma, Capital Projects Manager, explained that the project is located in downtown Mountain View on Castro Street and that the City of Mountain View has completed 35 percent of the design and environmental clearance earlier this year. Ms. Sharma stated that Valley Transportation Authority (VTA) has project oversight and are funding partners. She said Caltrain is in charge of implementation, which includes final

design, right of way, and construction phase, and that the resolution is about the final design phase.

#### Public Comment

Roland Lebrun, San Jose, commented on doubling the length of the platforms and passing tracks for Mountain View and Sunnyvale. He stated that if they move the platform to the other side of Castro Street, there would be an underpass and an overpass to the North. He encouraged planning platforms for full capacity.

#### Board Member Questions and Comments

Director Zmuda asked about the completion date of project and how might it affect the schedule. Ms. Sharma replied that the completion date is around 2023, and overall completion date is end of 2025 to early 2026.

Director Collins inquired about how to get to Castro Street from Moffett Blvd. Ms. Sharma replied that you would take the ramp from Sterling Street. Chair Davis replied that you would take Central Ave to Shoreline Blvd to get back to Evelyn.

Chair Davis asked if this area would need passing tracks. Ms. Bouchard replied that it is not for future passing tracks. Chair Davis inquired about any platform work. Ms. Sharma replied that no platform work would be done, only track work.

Motion/Second: Collins/Zmuda

Ayes: Collins, Zmuda, Davis

Noes: None

Absent: None

## **9. PRELIMINARY FISCAL YEAR 2021 OPERATING AND CAPITAL BUDGETS**

Derek Hansel, Chief Financial Officer, stated that they would bring the preliminary budget to the full board in addition to a lengthy staff report explaining line by line where everything comes from, and bring the proposed budget to the August Finance meeting for next fiscal year. He stated that they are trying to mitigate costs and protect against unknown factors. Mr. Hansel reported hedging 60-65 percent of all fuel requirements for the fiscal year against future increase in costs. He noted that Caltrain is the only agency that has approval rights over the budget.

Cynthia Scarella, Budgets Manager, presented the preliminary operating budget. She reviewed the revenue accounts, farebox revenue, assumptions based on increasing monthly ridership rates, and showed no further reduction for GoPass. Ms. Scarella noted that rental income and advertising was down due to COVID. She covered each line item, including JPB Member agency contributions, revenues, expenses, rail operator services, non-furlough assumptions, count eliminated, cost shared by TASI (Transit Services America, Inc.) and rail division, security services, shuttle bus 2020 forecast levels, fuel prices, Positive Train Control (PTC) maintenance facility fees, and Clipper fees. She noted that after CARES Act fund tranche one and two, there would be a deficit of \$21.9 million, with unidentified sources of funding.

Public Comment:

Roland Lebrun, San Jose, commented on the estimated ridership numbers, FTA (Federal Transit Administration) operating expenses instead of capital, TASI negotiated, annual passenger count elimination, and he inquired about rail operator RFP (request for proposal) for a new provider for this service, and PTC (Positive Train Control) expenses increase.

#### Board Member Questions and Comments

In response Director Zmuda question on the budget being updated as ridership numbers change, Mr. Hansel replied that there would be revisions through the fiscal year.

Director Zmuda commented on the stimulus funds and questioned the legality of approving an unbalanced budget. Joan Cassman, General Counsel, replied that there is no contractual requirement and the budget is a planning document with the assumption that we will come up with the funding. Mr. Hansel noted that they would return to the Finance Committee as they identify sources of funding.

Director Zmuda commented on the higher estimated numbers of riders and inquired about lower than anticipated advertising and interest revenue. Mr. Hansel replied that advertising has not been as well as at higher pre-COVID levels.

In response to Director Zmuda's question if there was an agreement reached among JPB member agencies to maintain the level of funding, Mr. Hansel replied that all have maintained their level of funding.

Director Zmuda asked about insurance and Mr. Hansel replied that expenses increased due to the current hard market in insurance industry, with many not wanting to provide liability insurance, and that there would be upward pricing in future years.

Director Zmuda asked about reduction to wages and benefits and the study mentioned. Mr. Hansel replied that there are other studies going on and the allocation of expense will be determined based on that finalized plan.

Director Zmuda asked about the contract negotiations with conductors and whether there was a budget increase. Mr. Hansel said there were accommodations for that in the contract.

Director Collins asked about numbers based on ridership assumptions. Mr. Hansel replied that farebox revenues are based on those assumptions.

Director Collins asked if businesses are communicating rethinking their participation in GoPass. Mr. Hansel replied that they did not talk about renewals, and assumed no further customers cancel this year.

Director Collins asked if Stanford would renew based on their working from home status. Mr. Hansel replied that they will have to have those discussions in the fall and into the winter.

Director Collins inquired about what percentage of farebox revenue GoPass is. Mr. Hansel replied that it is normally a little under 25 percent, and in this case, closer to 40 percent.

Director Collins asked with 95 percent drop in ridership, why not assume more severe drop in GoPass revenue. Mr. Hansel replied that despite assuming shelter-in-place orders 4.5 months ago, Stanford has kept GoPass.

Director Collins asked about rental income and whether the Transit Village is JPB property. Mr. Hansel replied that it was SamTrans property and Caltrain has other properties up and down corridor.



Chair Davis mentioned that Stanford is taking a longer view and has clean air requirements. Chair Davis inquired about why advertising income decreased, while the communications and marketing budget increased when social media advertising has gotten cheaper. Ms. Scarella and Mr. Hansel replied that they would have to look into it.

Chair Davis asked what the annual spending would be for Positive Train Control (PTC). Mr. Hansel said it would be included in the staff report.

Chair Davis asked about there being no presentation on capital projects and Mr. Hansel responded that they could do that now, bring it to full Board, or provide a deeper dive at the August Finance Committee meeting. Chair Davis agreed to a deeper dive at the August Finance Committee meeting.

Chair Davis asked if the member agencies also agreed to these numbers on the capital budget. Mr. Hansel replied that they have not agreed, though it has been discussed, and that these numbers may differ when presented again in September.

Chair Davis requested a more detailed presentation on the capital budget at the August Finance Committee meeting.

Director Zmuda requested addressing the fund balance at the next full Board meeting. Chair Davis asked to include additional lines for tranche one and two, the unidentified sources, and the remaining deficit.

#### **10. COMMITTEE MEMBER REQUESTS**

Chair Davis inquired about whether longer commutes drop off more proportionally than shorter commutes.

Chair Davis's requests noted as follows: the June 2020 Statement of Revenues and Expenses go through the September 28 Finance Committee before presented on October 1<sup>st</sup> at the full JPB Board Meeting; reorient Mountain View project slides from a user-friendly perspective; clarify why advertising income has decreased, while communications and marketing budget increased when social media advertising has gotten cheaper; the annual spending for Positive Train Control (PTC); a presentation on capital projects at the August Finance Committee meeting (including line items for tranche one and two, unidentified sources or funding, and the remaining deficit).

Director Zmuda requested addressing the fund balance at the next full Board meeting.

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

Monday, August 24, 2020 at 1:30 pm, via Zoom.

#### **12. ADJOURN**

The meeting adjourned at 4:10 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**

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  
JULY 31, 2020**

**ACTION**

Staff proposes that the Board of Directors accept and enter into the record the Statement of Revenues and Expenses for the month of July 2020.

This staff report provides a brief discussion of significant items and trends on the attached Statement of Revenues and Expenses through July 31, 2020. The statement has been designed to follow the Agency-wide line item rollup as included in the adopted budget. The columns have been designed to provide easy comparison of year-to-date prior to current actuals for the current fiscal year including dollar and percentage variances. In addition, the CARES ACT fund (page 1, line 52) is separately presented for the current Fiscal Year 2021.

**SIGNIFICANCE**

**Year to Date Revenues:** As of July year-to-date actual, the Total Revenue (page 1, line 17) is \$7 million lower than the prior year. This is primarily driven by Farebox Revenue (page 1, line 1), Parking Revenue (page 1, line 2) and Other Income (page 1, line 5).

**Year to Date Expenses:** As of July year-to-date actual, the Grand Total Expense (page 1, line 48) is \$1.6 million lower than the prior year-to-date actual. This is primarily due to decreases in Rail Operator Service (page 1, line 23), Fuel and Lubricants (Page 1, line 26), Wages and Benefits (page 1, line 37) which also includes reduction of \$861,410 (48%) in the payments for unfunded CalPERS and Other Post Employment Benefits (OPEB) liability (this expense will not recur throughout the year). The decreases are partially offset by increases in Insurance (page 1, line 28) and Claims, Payments, and Reserves (page 1, line 29).

**BUDGET IMPACT**

There are no budget amendments for the month of July 2020.

**STRATEGIC INITIATIVE**

This item does not achieve a strategic initiative.

Prepared By : Thwe Han, Accountant II  
Jennifer Ye, Manager, General Ledger

650-508-7912  
650-622-7890

**PENINSULA CORRIDOR JOINT POWERS BOARD**

**STATEMENT OF REVENUE AND EXPENSE**

**Fiscal Year 2021**

**July 2020**

**% OF YEAR ELAPSED**

**8.3%**

	YEAR TO DATE				CURRENT YTD as a %	JULY-SEPTEMBER			
	PRIOR ACTUAL	CURRENT ACTUAL	\$ VARIANCE	% VARIANCE		APPROVED BUDGET	FORECAST	\$ VARIANCE	% BUDGET
<b>REVENUE</b>									
<b>OPERATIONS:</b>									
1 Farebox Revenue	9,136,916	2,953,576	(6,183,340)	(67.7%)	36.8%	8,015,496	8,015,496	-	0.0%
2 Parking Revenue	498,563	42,187	(456,376)	(91.5%)	33.3%	126,782	126,782	-	0.0%
3 Shuttles	98,166	97,545	(620)	(.6%)	26.5%	368,000	368,000	-	0.0%
4 Rental Income	179,776	83,036	(96,740)	(53.8%)	24.2%	343,026	343,026	-	0.0%
5 Other Income	237,275	1,784	(235,491)	(99.2%)	0.5%	382,137	382,137	-	0.0%
6									
7 <b>TOTAL OPERATING REVENUE</b>	<b>10,150,696</b>	<b>3,178,128</b>	<b>(6,972,568)</b>	<b>(68.7%)</b>	<b>34.4%</b>	<b>9,235,441</b>	<b>9,235,441</b>	<b>-</b>	<b>0.0%</b>
8									
<b>CONTRIBUTIONS:</b>									
10 AB434 Peninsula & TA Shuttle Funding	158,894	132,803	(26,091)	(16.4%)	30.8%	431,300	431,300	-	0.0%
11 Operating Grants	443,958	379,221	(64,737)	(14.6%)	33.4%	1,135,439	1,135,439	-	0.0%
12 JPB Member Agencies	7,951,355	8,041,951	90,596	1.1%	66.9%	12,020,136	12,020,136	-	0.0%
13 Use of Reserves	-	-	-	0.0%	0.0%	-	-	-	0.0%
14									
15 <b>TOTAL CONTRIBUTED REVENUE</b>	<b>8,554,207</b>	<b>8,553,975</b>	<b>(232)</b>	<b>0.0%</b>	<b>63.0%</b>	<b>13,586,875</b>	<b>13,586,875</b>	<b>-</b>	<b>0.0%</b>
16									
17 <b>GRAND TOTAL REVENUE</b>	<b>18,704,902</b>	<b>11,732,103</b>	<b>(6,972,799)</b>	<b>(37.3%)</b>	<b>51.4%</b>	<b>22,822,316</b>	<b>22,822,316</b>	<b>-</b>	<b>0.0%</b>
18									
19									
<b>EXPENSE</b>									
<b>OPERATING EXPENSE:</b>									
23 Rail Operator Service	7,557,725	7,336,081	(221,644)	(2.9%)	29.5%	24,850,000	24,850,000	-	0.0%
24 Security Services	479,852	468,000	(11,852)	(2.5%)	27.4%	1,705,477	1,705,477	-	0.0%
25 Shuttle Services	338,514	293,201	(45,313)	(13.4%)	42.2%	694,000	694,000	-	0.0%
26 Fuel and Lubricants	951,820	310,790	(641,031)	(67.3%)	18.8%	1,650,270	1,650,270	-	0.0%
27 Timetables and Tickets	-	-	-	0.0%	0.0%	22,500	22,500	-	0.0%
28 Insurance	360,496	472,867	112,371	31.2%	9.3%	5,100,000	5,100,000	-	0.0%
29 Claims, Payments, and Reserves	(125,456)	2,500	127,956	(102.0%)	1.1%	237,948	237,948	-	0.0%
30 Facilities and Equipment Maintenance	49,659	68,531	18,873	38.0%	5.9%	1,153,630	1,153,630	-	0.0%
31 Utilities	68,567	146,277	77,709	113.3%	21.7%	673,675	673,675	-	0.0%
32 Maint & Services-Bldg & Other	4,170	11,108	6,939	166.4%	2.6%	430,873	430,873	-	0.0%
33									
34 <b>TOTAL OPERATING EXPENSE</b>	<b>9,685,346</b>	<b>9,109,354</b>	<b>(575,992)</b>	<b>(5.9%)</b>	<b>24.9%</b>	<b>36,518,373</b>	<b>36,518,373</b>	<b>-</b>	<b>0.0%</b>
35									
<b>ADMINISTRATIVE EXPENSE</b>									
37 Wages and Benefits	2,483,615	1,654,349	(829,266)	(33.4%)	50.1%	3,299,828	3,299,828	-	0.0%
38 Managing Agency Admin OH Cost	312,158	328,064	15,907	5.1%	25.7%	1,274,516	1,274,516	-	0.0%
39 Board of Directors	1,361	1,556	195	14.4%	14.1%	11,025	11,025	-	0.0%
40 Professional Services	100,522	37,488	(63,034)	(62.7%)	5.8%	644,633	644,633	-	0.0%
41 Communications and Marketing	5,771	-	(5,771)	(100.0%)	0.0%	75,375	75,375	-	0.0%
42 Other Office Expenses and Services	142,544	30,272	(112,271)	(78.8%)	5.3%	570,079	570,079	-	0.0%
43									
44 <b>TOTAL ADMINISTRATIVE EXPENSE</b>	<b>3,045,970</b>	<b>2,051,729</b>	<b>(994,241)</b>	<b>(32.6%)</b>	<b>34.9%</b>	<b>5,875,456</b>	<b>5,875,456</b>	<b>-</b>	<b>0.0%</b>
45									
46 Long Term Debt Expense	241,483	225,255	(16,228)	(6.7%)	37.8%	595,438	595,438	-	0.0%
47									
48 <b>GRAND TOTAL EXPENSE</b>	<b>12,972,799</b>	<b>11,386,339</b>	<b>(1,586,461)</b>	<b>(12.2%)</b>	<b>26.5%</b>	<b>42,989,267</b>	<b>42,989,267</b>	<b>-</b>	<b>0.0%</b>
49									
50 <b>NET SURPLUS / (DEFICIT)</b>	<b>5,732,103</b>	<b>345,765</b>	<b>(5,386,338)</b>	<b>(94.0%)</b>	<b>(1.7%)</b>	<b>(20,166,951)</b>	<b>(20,166,951)</b>	<b>-</b>	<b>0.0%</b>
51									
52 <b>Application of CARES Act Fund/Reserves</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>



BOARD OF DIRECTORS 2020

**DAVE PINE**, CHAIR  
DEVORA "DEV" DAVIS, VICE  
CHAIR  
STEVE HEMINGER  
JENNIE BRUINS  
RON COLLINS  
CINDY CHAVEZ  
SHAMANN WALTON  
CHARLES STONE  
MONIQUE ZMUDA

**PENINSULA CORRIDOR JOINT POWERS BOARD**

**INVESTMENT PORTFOLIO**

**AS OF JULY 31, 2020**

JIM HARTNETT  
EXECUTIVE DIRECTOR

TYPE OF SECURITY		MATURITY DATE	INTEREST RATE	PURCHASE PRICE	MARKET RATE
Local Agency Investment Fund (Unrestricted)	*	Liquid Cash	0.920%	36,687	36,687
County Pool (Unrestricted)		Liquid Cash	1.623%	551,171	551,171
Other (Unrestricted)		Liquid Cash	0.050%	83,970,824	83,970,824
Other (Restricted)	**	Liquid Cash	0.050%	13,355,775	13,355,775
				\$ 97,914,457	\$ 97,914,457

Interest Earnings for July 2020 \$ 4,833.54  
Cumulative Earnings FY2021 \$ 4,833.54

\* 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: **AWARD CONTRACT FOR MAINTENANCE AND SUPPORT OF I-ETMS POSITIVE TRAIN CONTROL SYSTEM**

**ACTION**

The Staff Coordinating Council recommends the Board:

1. Award a contract to Wabtec Railway Electronics, Inc. (Wabtec) for a not-to-exceed amount of \$11,629,615, to maintain and support the Interoperable Electronic Train Management System (I-ETMS) on which Caltrain's Positive Train Control System (PTC) is based for a three-year Base Term (Initial Term) at the negotiated prices, inclusive of escalation, specified in the proposal.
2. Authorize the Executive Director, or his designee, to execute a contract with Wabtec for the Initial Term in a form approved by legal counsel, including provisions for annual reviews.
3. Authorize the Executive Director or his designee to exercise annual renewals of the agreement after the Initial Term if in the Peninsula Corridor Joint Powers Board's (JPB) best interest following annual performance reviews.

**SIGNIFICANCE**

This contract will provide the JPB with a single comprehensive maintenance and support services agreement for the key component of Caltrain's Positive Train Control System. Wabtec is the only vendor able to provide maintenance and support services for its proprietary I-ETMS.

**BUDGET IMPACT**

The recommended actions establish a contract budget in the amount of \$11,629,615. Funding for the first year is included in the Fiscal Year 2021 Operating Budget and PTC project capital budget, and future funding will be supported through the annual Operating Budget process.

**BACKGROUND**

In September 2008, a Union Pacific freight train collided head-on with a Metrolink commuter train in the Chatsworth District of Los Angeles, causing 25 fatalities and many

more injuries. Shortly thereafter, Congress enacted the Rail Safety Improvement Act of 2008 (RSIA), requiring all class 1 freight and commuter railroads to implement Positive Train Control (PTC) systems. PTC is a term created by the Federal Railroad Administration to describe an advanced technology train collision/train derailment avoidance system. A PTC system uses advanced technology and safety-critical predictive enforcement to automatically engage the brakes and stop a train in advance of (1) potential train-to-train collision, (2) train over-speed, (3) unauthorized train entry into a track work zone, and (4) train movement through a misaligned switch.

In response to the RSIA, and after a lengthy competitive process, the JPB awarded Contract 10-PCJPB-T-021 to Parsons Transportation Group (Parsons) to implement the JPB's PTC system on October 6, 2011. Effective February 22, 2017, the JPB terminated its contract with Parsons for nonperformance.

After exhaustive evaluations and efforts, the JPB Board of Directors (Board) awarded a contract to Wabtec for the completion of Caltrain's PTC system on March 1, 2018 pursuant to Resolution 2018-11. In 2019, Caltrain completed Field Integrated Testing and Field Qualification Testing for full track and commenced Revenue Service Demonstration on September 7, 2019. Caltrain has been in Extended Revenue Service Demonstration since January of 2020 and has been fully interoperable with all tenant railroads since February of 2020. Caltrain submitted the final PTC Safety Plan on June 25, 2020 and will receive system certification by December 2020.

Currently, the I-ETMS software and off-the-shelf hardware are under warranty with Wabtec, which is set to expire on September 6, 2020. After that date, the JPB will need continued maintenance and support of this critical system.

Under Federal rules, a sole source contract award is justified if a single vendor has the unique capability to perform needed services, in particular when Intellectual property rights preclude competition and the contract is for continued development of a highly specialized system like I-ETMS PTC. The Wabtec I-ETMS software and certain hardware are proprietary. Only Wabtec has the knowledge, experience, and the software rights to provide maintenance and support services for the Caltrain PTC system.

Staff and Wabtec have been in discussions to provide ongoing maintenance and support services once the system is accepted and out of warranty. As a result of these discussions, Staff and Wabtec have reached agreement on the needed scope of services, pricing, the terms of the agreement, and all other business terms. The scope of services included in the base price is as follows:

- PTC product support and defect resolution services;
- PTC system restoration;
- On-Board software planned and unplanned releases;
- PTC Interoperable Train Control Messaging System, Back Office Server; Key Exchange Server and Office Communication Manager Applications' support;
- TALON - Wabtec's Data and Change Management application; and
- PTC Documentation updates.

Additionally, the following support services will be performed on a Time and Materials basis:

- Field and Lab Integration Services;
- Track Database Service and Field Validations;
- System Integration Engineering Services;
- DCS Network Services;
- Wayside Signal Maintenance Services;
- On-Board Hardware Repair and Maintenance Services; and
- PTC System Training Services.

At the end of the Initial Term, and each year thereafter, staff will review the services and Wabtec's performance, and determine if the agreement should be renewed, and if any adjustments are needed to improve the Services provided during the next year. The base fee and labor rates for renewal terms are set at the initial rates with applicable escalations. Staff will inform the Board of the outcome of each annual review during Initial and Renewal Terms.

Procurement Administrator II: Mary Garcia  
Deputy Director of System Engineering: Matt Scanlon

650.508.7767  
650.622.7819

**RESOLUTION NO. 2020 –**

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

**\*\*\***

**AWARDING A CONTRACT TO WABTEC RAILWAY ELECTRONICS  
FOR THE MAINTENANCE AND SUPPORT OF INTEROPERABLE ELECTRONIC TRAIN  
MANAGEMENT SYSTEM POSITIVE TRAIN CONTROL SYSTEM  
FOR A NOT-TO-EXCEED AMOUNT OF \$11,629,615**

**WHEREAS**, the Peninsula Corridor Joint Powers Board (JPB) requires ongoing maintenance and support services for the Wabtec Railway Electronics, Inc. (Wabtec) proprietary Interoperable Electronic Train Management System (I-ETMS) on which Caltrain's Positive Train Control System is based; and

**WHEREAS**, Wabtec is the only vendor able to provide maintenance and support services for its proprietary I-ETMS; and

**WHEREAS**, staff has negotiated with Wabtec contract terms and conditions including scope, and a price deemed fair and reasonable; and

**WHEREAS**, Staff Coordinating Council recommends, and the Executive Director concurs, that the Board of Directors award a contract to Wabtec for ongoing maintenance and support services for the total not-to-exceed amount of \$11,629,615 for a three-year base term.

**NOW, THEREFORE, BE IT RESOLVED** that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby awards a contract to Wabtec Railway Electronics, of Pittsburgh, PA, for a not-to-exceed amount of \$11,629,615 for a three-year base term, to maintain and support the I-ETMS system on which Caltrain's Positive Train Control System is based; and



**BE IT FURTHER RESOLVED** that the Executive Director, or his designee, is authorized to execute a contract with Wabtec as set forth above, in a form approved by legal counsel; and

**BE IT FURTHER RESOLVED** that the Executive Director, or his designee, is authorized to exercise annual renewals of the contract after the initial base term, (a) if in the JPB's best interest, (b) if sufficient funds are available in the JPB's Operating Budget and PTC Capital Budget, and (c) following annual performance reviews, the results of must be provided to the Board.

Regularly passed and adopted this 3<sup>rd</sup> day of September, 2020 by the following vote:

AYES:

NOES:

ABSENT:

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Chair, Peninsula Corridor Joint Powers Board

ATTEST:

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JPB Secretary



***Watec I-ETMS Maintenance and Services  
Agreement  
21-JT-002***

# Caltrain PTC - WABTEC I-ETMS Solution

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- Awarded to Wabtec on 03/18 for delivery of Caltrain PTC system
- Entered PTC Revenue Service Demonstration (RSD) on 9/19
- Interoperable with UPRR and other tenants on 2/20
- Submitted PTC Safety Plan (PTCSP) 6/20
- Conditional approval from FRA 12/20
- I-ETMS Warranty (SW and HW) ends on Sept 6, 2020
- I-ETMS maintenance support service agreement with Wabtec is recommended here for September JPB Board

# Base Term Services under Fixed Price

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- PTC product support and defect resolution services;
- On-Board software planned and unplanned releases;
- Back Office Server (BOS) planned and unplanned release
- PTC Interoperable Train Control Messaging System (ITCM),; Key Exchange Server (KES) and Office Communication Manager (OCM) Applications' support;
- TALON - Wabtec's Data and Change Management application;
- PTC system restoration; and
- PTC documentation updates.

# Optional Services under Time & Material

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- Field and Lab Integration Services;
- Track Database Service and Field Validations;
- System Integration Engineering Services;
- Data Communication System Network Services;
- Wayside Signal Maintenance Services;
- On-Board Hardware Repair and On-Site Maintenance Services; and
- PTC System Training Services.

# Additional Projects

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- Work Directives for Discrete Projects or Services
  - KES alternate solution

# I-ETMS Maintenance Service Contract Duration

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- Term of Agreement for base service is three years upon NTP after JPB board approval;
- Annual service and performance review will be conducted if the agreement should be renewed after base term, and if any adjustments are needed to improve the Services provided during the next year.
- Performance evaluation will be based on how well Wabtec is meeting Service Level Targets and Responses time
- Staff will inform the Board of the outcome of each annual review during Initial and Renewal Terms.
- The base fee and labor rates for renewal terms are set at the initial rates with applicable escalations. It will be renewed annually after successful performance review performed by Caltrain

# I-ETMS Maintenance and Support Agreement Annual Costs

- An annual “**Base Fee**” is \$3,129,951
- The escalation is based on Producer Price Index (the “PPI”)

## Industry Data for Line-Haul Railroads

	Year 1	Year 2	Year 3	Total
Total Fixed Price	\$ 2,308,951	\$ 3,239,498	\$ 3,352,881	\$ 8,901,329
Total Time & Material	\$ 793,762	\$ 705,369	\$ 674,155	\$ 2,173,286
Total Spare and Hardware Repair	\$ 25,000	\$ 30,000	\$ 200,000	\$ 255,000
Special Projects		\$ 300,000		\$ 300,000
			Total	\$ 11,629,615



**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: **AWARD OF CONTRACT FOR ELECTRONIC BIKE LOCKERS FOR CALTRAIN**

**ACTION**

Staff Coordinating Council recommends the Board:

1. Award a contract to eLock Technologies, LLC (eLock Technologies) of Berkeley, California, to provide and set in place a minimum of 632 electronic bicycle lockers (e-lockers) and a maximum total of 1,150 e-lockers throughout the Caltrain system, for an aggregate not-to-exceed amount of \$4,500,000 for a five-year base term.
2. Authorize the Executive Director, or his designee, to execute a contract with eLock Technologies in full conformity with the terms and conditions set forth in the solicitation documents and negotiated agreement, and in a form approved by legal counsel, with the understanding that a 20% contingency will apply to the total contract amount for the base and option terms.
3. Authorize the Executive Director or his designee, to execute an equipment and software maintenance agreement, including gateway service access (internet connection), with eLock Technologies for up to an aggregate amount of \$500,000 dollars at established unit prices for a five-year base term.
4. Authorize the Executive Director, or his designee, to exercise two one-year options to provide and set in place a total of up to 176 additional e-lockers aggregate and inclusive of all equipment/software maintenance for existing and new e-lockers, including gateway service access (internet connection), for an aggregate not-to-exceed amount of \$650,000 dollars at established unit prices, if it is in the best interest of the JPB.

**SIGNIFICANCE**

In 2019, the Peninsula Corridor Joint Powers Board (JPB) Board of Directors (Board) capped the number of onboard bike spaces that will be available on the Electric Multiple Unit (EMU) trains and committed to spending at least \$3 million on wayside

bicycle improvements before the commencement of electrified Caltrain service. As a first major step to deliver this investment, staff is proposing to move forward with a contract for e-lockers.

Award of the contract will provide Caltrain with on-demand bike lockers that are significantly more customer-friendly and efficient than the individually-assigned keyed lockers used today. Initial installation of 632 e-locker spaces would take place early in the contract and a maximum total of 1,150 e-locker spaces would be set in place in the first five years of the contract depending on customer demand.

The Board-approved Bike Parking Management Plan (2017) showed 1100 keyed lockers system-wide. Those lockers were fully-rented, but an occupancy study found that only 16% (less than 200 of 1100) of the lockers were actively used. At the time, there was a waiting list for keyed lockers at all the stations that had keyed lockers, so the JPB was not able to meet customer demand with the lockers provided.

Since 2017, several lockers were removed along the corridor for various reasons, including construction projects and maintenance issues. There are now about 825 lockers in the system and several of the remaining lockers are nearing the end of their useful lives. The first 632 e-lockers will largely be placed where keyed lockers are currently located. Nearly 500 keyed lockers would be removed during the installation effort for the first 632 e-lockers, but locker use is anticipated to greatly increase with this change. Since the e-lockers are first come, first served, they are much more likely to be actively used. Occupancy numbers from 2019 show that e-lockers that have been in place for more than a year are regularly more than 75% occupied.

The JPB would have the option to purchase a total of up to 176 additional e-locker spaces if there is customer demand and funding is available. Approval of a 20% contract contingency will provide contract authority to be used for e-locker purchases and maintenance services if and when customer demand increases in the future. Requests for Board approval of agreements for subsequent phases of the e-locker installations beyond 2027 will be presented to the Board as customer demands further increase and funding becomes available.

### **BUDGET IMPACT**

In Fiscal Year (FY) 2019, the Board authorized \$4.0 million in funding for the Wayside Bike Parking project from the Transit and Intercity Rail Capital Program (TIRCP) and State Rail Assistance. In FY2020, the Board approved \$349,000 for Wayside Bike Parking using Bay Area Air Quality Management District and local funds.

### **BACKGROUND**

Pursuant to JPB Resolution 2017-56, the Board approved the Caltrain Bicycle Parking Management Plan that recommended making a significant investment in e-lockers. After extensive research, staff determined that lockers provided by eLock Technologies are the only ones that provide all of the following desired features:

- Consistency for Caltrain customers, as the same manufacturer's e-lockers are already available at nine Caltrain stations and have been installed at many other locations throughout the Bay Area, including at most Bay Area Rapid Transit District (BART) stations and at Capitol Corridor stations.
- Bike parking turnover is encouraged by charging a low hourly rate (5 cents/hour) through a prepaid card. Only eLock Technologies encourages this type of turnover in a manner that is also available via cash payments for unbanked customers. The lockers are also Clipper® compatible.
- Higher levels of security than those produced by other companies.

Staff found the results of its research were consistent with that completed by BART, Santa Clara Valley Transportation Authority, and Capitol Corridor staff before each of those agencies awarded single-source agreements with eLock Technologies.

Staff issued a letter Request for Proposal to eLock Technologies to provide e-lockers inclusive of maintenance and support services. eLock Technologies submitted a proposal and qualified staff from the Rail Planning department reviewed it. Staff determined that eLock Technologies' proposal met all of the JPB's requirements and the firm possesses the requisite depth of experience and required qualifications to successfully perform the scope of services. Staff negotiated contract terms and conditions, including prices, which were determined to be fair and reasonable.

The cost to operate and maintain 1,150 e-lockers is approximately \$140,000 per year, which is at least \$100,000 less than the current keyed locker annual maintenance and operations costs. These cost savings will provide a portion of the funding required for the operations and maintenance of the e-lockers. In addition, eLock Technologies has agreed to reduce by 60% the maintenance and operations costs to Caltrain until Caltrain reaches 50 percent of pre-COVID-19-pandemic ridership.

As part of the purchase, eLock Technologies will provide customer service to locker users online and over the phone. eLock Technologies will install and maintain the e-lockers, and will remove existing keyed lockers over the next five years, thereby eliminating inefficient administrative and maintenance processes that are required to keep the existing keyed lockers operational.

eLock Technologies is a Small Business Enterprise, which has performed satisfactorily for BART since 2012, when the first procurement of e-lockers was completed. BART's Manager of Access Programs, who manages BART's bike program, describes eLock Technologies' e-lockers as a good product, and its supplier support as excellent.

Procurement Administrator III: Juanita Vigil  
Project Manager: Dan Provence, Principal Planner

650.508.7731  
650.622.7840

**RESOLUTION NO. 2020-**

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

\* \* \*

**AWARDING A CONTRACT TO ELOCK TECHNOLOGIES, LLC  
FOR THE PURCHASE OF ELECTRONIC BIKE LOCKERS, EQUIPMENT AND SOFTWARE  
MAINTENANCE AND GATEWAY SERVICE ACCESS FOR  
AN AGGREGATE NOT-TO-EXCEED AMOUNT OF \$5 MILLION DOLLARS FOR A FIVE-YEAR TERM**

**WHEREAS**, the Peninsula Corridor Joint Powers Board (JPB) desires to purchase electronic bike locker spaces (e-lockers) to be set in place throughout the Caltrain system; and

**WHEREAS**, after extensive research, staff determined that eLock Technologies LLC of Berkeley, California (eLock Technologies) has unique knowledge, qualifications, and experience as a result of providing e-lockers at nine Caltrain stations and at many other transit locations throughout the Bay Area, including most Bay Area Rapid Transit District (BART) stations, in multiple cities and at Capital Corridor stations; and

**WHEREAS**, the JPB also desires to execute an equipment and software maintenance agreement, including gateway service access (internet connection), with eLock Technologies; and

**WHEREAS**, the JPB issued a single source letter Request for Proposal to eLock Technologies to provide, maintain and support a minimum of 632 e-lockers and a maximum of 1150 e-lockers for a five-year base term; and

**WHEREAS**, staff from the JPB Planning department reviewed eLock Technologies' proposal and determined that it met all of the JPB's requirements and the firm possesses the requisite depth of experience and required qualifications to successfully perform the scope of services; and

**WHEREAS**, staff negotiated contract terms and conditions with eLock Technologies, including prices, and determined the prices to be fair and reasonable; and

**WHEREAS**, Staff Coordinating Council recommends, and the Executive Director concurs, that the Board of Directors award a contract to eLock Technologies to provide and set in place a minimum of 632 e-lockers and a maximum of 1150 e-lockers throughout the Caltrain system, for an aggregate not-to-exceed amount of \$4,500,000 for a five-year base term, along with an equipment and software maintenance agreement, including gateway service access (internet connection) for up to an aggregate amount of \$500,000 dollars at established unit prices for a five-year base term; and

**WHEREAS**, Staff Coordinating Council also recommends, and the Executive Director concurs, that the Board of Directors authorize the Executive Director, or designee, to exercise two one-year options to purchase a total of up to 176 additional e-lockers, inclusive of all equipment and software maintenance including gateway service access (internet connection), for an aggregate not-to-exceed amount of \$650,000 dollars at established unit prices; and

**WHEREAS**, Staff Coordinating Council also recommends, and the Executive Director concurs, that the Board of Directors approves a 20% contingency for the contract.

**NOW, THEREFORE, BE IT RESOLVED** that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby awards a contract to eLock Technologies, LLC to provide and set in place a minimum of 632 e-lockers and a maximum of 1150 e-lockers throughout the Caltrain system, for an aggregate not-to-exceed amount of \$4,500,000 for a five-year base term; and

**BE IT FURTHER RESOLVED** that the Executive Director, or his designee, is authorized to execute a contract with eLock Technologies, LLC, in full conformity with all of the terms and conditions of the RFP and in a form approved by legal counsel, with the understanding that a 20% contingency will apply to the total contract amount for the base and option terms; and

**BE IT FURTHER RESOLVED** that the Executive Director, or his designee, is authorized to execute an equipment and software maintenance agreement, including gateway service access (internet connection), with eLock Technologies for up to an aggregate amount of \$500,000 dollars at established unit prices for a five-year base term; and

**BE IT FURTHER RESOLVED** that the Executive Director, or his designee, is authorized to exercise two one-year options to provide and set in place a total of up to 176 additional e-lockers inclusive of all equipment and software maintenance for existing and new e-lockers, including gateway service access (internet connection), for an aggregate not-to-exceed amount of \$650,000 dollars at established unit prices, if it is in the best interest of the JPB.

Regularly passed and adopted this 3rd day of September, 2020 by the following vote:

AYES:

NOES:

ABSENT:

---

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

---

JPB Secretary

**PENINSULA CORRIDOR JOINT POWERS BOARD  
STAFF REPORT**

TO: JPB Finance Committee

THROUGH: Jim Hartnett  
Executive Director

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

SUBJECT: **AUTHORIZATION TO ENTER INTO A FUNDING AGREEMENT WITH THE FEDERAL RAILROAD ADMINISTRATION FOR THE CALTRAIN RIGHT-OF-WAY TRESPASSING PROJECT**

**ACTION**

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

1. Enter into a funding agreement with Federal Railroad Administration (FRA) for \$48,500 in Railroad Trespassing Enforcement Grant program funding for the Caltrain Right-of-Way Trespassing Project (Project); and
2. File any other required documentation and to take any other actions necessary to give effect to the resolution.

**SIGNIFICANCE**

The Project goal is to reduce illegal homeless encampments and trespassing on Caltrain's 77-mile-long right-of-way (ROW) between San Francisco and Gilroy. The San Mateo County Sheriff's Office Transit Police Bureau, in cooperation with local law enforcement, will work to reduce the number of homeless encampments along the rail line while also referring displaced individuals to specialized services and assistance. The San Mateo County Transit Police Bureau will also continue to work to increase public awareness and end tragic collisions, fatalities, and injuries at grade crossings and along the ROW. FRA requires the funds to be used for Law Enforcement Personnel wages to undertake the enforcement activities.

**BUDGET IMPACT**

The total cost of the Project is \$48,500 and no local match is required. The grant funds are included in the Fiscal Year 2021 Operating Budget to be considered under a separate item on this meeting agenda.

**BACKGROUND**

The Railroad Trespassing Enforcement Grant Program provides funding assistance to law enforcement agencies to support life-saving trespass abatement across the

country. Approximately \$500,000 has been awarded to 11 applicants including the Peninsula Corridor Joint Powers Board.

Prepared by: Leslie Fong, Senior Administrative Analyst

650.508.6332



**RESOLUTION NO. 2020 –**

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

**\* \* \***

**AUTHORIZING ENTERING INTO A FUNDING AGREEMENT WITH THE  
FEDERAL RAILROAD ADMINISTRATION TO RECEIVE \$48,500 FOR THE  
CALTRAIN RIGHT-OF-WAY TRESPASSING PROJECT**

**WHEREAS**, the Federal Railroad Administration (FRA) awards funding to provide assistance to law enforcement agencies across the country; and

**WHEREAS**, the Peninsula Corridor Joint Powers Board (JPB) has been awarded a \$48,500 grant from the FRA's Railroad Trespassing Enforcement Grant Program to fund the Caltrain Right-of-Way Trespassing Project (Project); and

**WHEREAS**, the Project will reduce trespassing and homeless encampments on Caltrain's 77 mile-long right-of-way between San Francisco and Gilroy; and

**WHEREAS**, the FRA does not require a local match; and

**WHEREAS**, the \$48,500 in funding from FRA is proposed to be included in the Fiscal Year 2021 Operating Budget to fund the Project.

**NOW, THEREFORE, BE IT RESOLVED** that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby:

1. Authorizes the Executive Director, or his designee, to execute and enter into a funding agreement with the Federal Railroad Administration for acceptance of the \$48,500 grant described above for the Caltrain Right-of-Way Trespassing Project; and
2. Authorizes the Executive Director, or his designee, to file any other required documentation and to take any other actions necessary to give effect to this resolution.

Regularly passed and adopted this 3rd day of September, 2020 by the following vote:

AYES:

NOES:

ABSENT:

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Chair, Peninsula Corridor Joint Powers Board

ATTEST:

---

JPB Secretary

**PENINSULA CORRIDOR JOINT POWERS BOARD  
STAFF REPORT**

TO: JPB Finance Committee

FROM: Jim Harnett  
Executive Director

Michelle Bouchard  
Chief Operating Officer

Derek Hansel  
Chief Financial Officer

SUBJECT: **ADOPTION OF FISCAL YEAR 2021 OPERATING BUDGET AND FISCAL YEAR 2021 CAPITAL BUDGET,**

**ACTION**

Staff Coordinating Council (SCC) recommends the Board:

1. Adopt a Fiscal Year (FY)2021 Operating Budget of \$147,318,831
2. Adopt an amendment to the FY2021 Capital Budget of \$42,697,293

**SIGNIFICANCE**

In recognition of the uncertainties presented by COVID-19, on June 4, 2020 the Board adopted an Interim 1st Quarter Operating Budget and Capital Budget for FY2021, with the understanding that budgets for a full annual budget for the fiscal year would be presented in the late summer.

Since then, COVID-19 has continued to have a challenging impact on the operations and finances of local governments and the public at large. Broadly speaking, the JPB's staff has faced the uncertainties that came with the COVID-19 pandemic head-on, placing a new importance on considering JPB's financial goals from the perspective of maintaining sufficient liquidity and financial support to maintain operations, even at a reduced level.

Beginning in March, the JPB implemented measures to mitigate some of these challenges and has seen some positive results, including the following:

- In April 2020, the Board approved a diesel fuel-hedging program and a statement of policy and strategy to maintain a futures account to acquire, hold and dispose of diesel futures contracts, and authorized establishment of commodity futures accounts. The fuel hedge program has 28 diesel contracts in place (to the futures month of July 2021) representing a hedge of 63.5% of expected fuel consumption. Currently the program has realized and unrealized gains of \$144,041 or a savings of approximately 7 cents per gallon of diesel. The Proposed Operating Budget reflects initial savings resulting from this action.

- In the immediate aftermath of shelter-in-place orders, Caltrain reduced the train schedule from 92 trains per day to 70 trains, and subsequently to 42 trains. Caltrain reintroduced a modified 70-train schedule on June 15, 2020; the Proposed Operating Budget provides for Caltrain to maintain a stable and reliable 70-train schedule for the rest of FY2021.
- The JPB is continually exploring opportunities to secure additional revenue to support the ongoing capital and operating needs of Caltrain:
  - In July, the Board approved a revenue-producing contract to explore naming sponsorship rights. Staff has determined there may be opportunity to leverage certain Caltrain stations and assets to generate additional revenue.
  - Board approved the Measure RR to be placed on the ballot for November and continue work to inform the public on the impact of the measure on the Caltrain programs and budgets.
- Caltrain is vigorously implementing a program to build trust and encourage the riding public to get back on the trains.
  - Caltrain is part of a regional campaign to inform the public of measures undertaken by transit agencies to ensure the safety of their health riding the trains.
  - Training of staff continues to ensure the conduct of all personnel and maintenance of the trains are compliant with all COVID-19 prevention requirements.
- Caltrain joined the regional means-based fare pilot program administered by the Metropolitan Transportation Commission (MTC), and the board authorized an increase in the discount from the 20% level approved in 2019 to 50%.
- Caltrain staff has developed equity policies proposed for Board adoption and advance funding obtained through a successful SB797 ballot measure.
- Caltrain has developed public timetables that will better facilitate transfers between modes, particularly BART on the peninsula.

Based in part on the steps listed above, the Proposed Operating Budget assumes an increasing monthly ridership recovery rate, starting with 5.0% recovery rate in July and increasing to up to 30% recovery for the second half of the fiscal year.

In summary, the goals and challenges addressed through the Proposed budgets are:

- To obtain budget appropriations for the remainder of FY2021. The Proposed budgets reflect expenditures for essential services and contractual obligations;

- To add to the JPB's arsenal against COVID-19 an aggressive plan of action to focus on bringing passengers back on the trains by building a higher level of trust with the riding public that Caltrain is ensuring health safety on the trains;
- To continue to recognize that affordable public transportation is vital to equitably supporting economic recovery for the region;
- To maintain a Caltrain schedule that will meet the changing behavior of the riding public during the gradual lift of the Shelter In Place (SIP) orders established at the State and local levels

The FY21 Proposed Operating Budget and the amendment to the FY2021 Capital Budget promote Caltrain's ability to be nimble and adapt operations to changing conditions, meet its financial obligations and set the stage to be ready to meet the challenges for the remainder of the fiscal year.

### ***FY2021 Proposed Operating Budget Overview***

The FY21 Proposed Operating Budget, outlined below and detailed in Attachment A, cautiously assumes that passengers will start riding again, albeit at a lower level and at a slower rate. Thus, the Proposed budget is built around the operation of a 70-train schedule for the balance of the fiscal year.

In June, the Board approved the 1<sup>st</sup> Quarter Interim Operating Budget. The FY21 Proposed budget presented before the Board is a full-year budget. At the September Board meeting, staff will propose the FY21 operating budget for Board approval.

On the revenue side, farebox revenue is relying heavily on the Go Pass fare. This budget assumes an increasing monthly recovery of pre-COVID-19 ridership levels up to 30% in the January 2021 to June 2021 timeframe with lower ridership levels increasing up to those levels over the balance of 2020. This budget also assumes the operating funding contributions from the JPB member agencies will remain at the FY2020 levels.

On the expense side, starting in FY21, Positive Train Control (PTC) will move from a capital project to a normal operating and maintenance requirement. We will separately calculate the cost of complying with this unfunded federal mandate. Labor cost assumptions continue to include an administrative hiring freeze and no universal wage increase, among others. Furthermore, this budget includes an assumption of stability in fuel costs under the JPB's diesel fuel hedging program.

### ***FY2021 Capital Budget Overview***

This period in the evolution of Caltrain demonstrates the resiliency and perseverance of staff and the agency to take important steps towards a future that enables Caltrain to continue to serve as a critical mobility asset for the Peninsula and the broader San Francisco Bay region.

During the FY2020 SIP period, the 42-train schedule increased right of way access and

allowed the JPB to perform some critical work relative to rolling stock “state-of-good-repair”. In the first quarter of FY21, with funding from various agencies in flux, the initial FY21 Capital Budget focused only on projects that will be supported by redirecting available funds from other projects that have been completed under budget, or from other projects that can be postponed.

As the JPB looks ahead to FY2021, the Amendment to the Caltrain Capital Budget, described in this report and set forth in Attachment B, includes additional required capital projects that will be eligible for traditional annual federal, state and local funding.

## **BUDGET IMPACT**

### ***FY2021 Proposed Operating Budget Impact***

The following narrative describes the FY2021 Proposed Operating Budget as compared to FY2020 Forecast. Each section has a reference to a line item that corresponds to the Financial Statement as shown on attachment A.

### **Revenue Projections**

Total revenues in the FY21 Proposed budget estimated at \$88.2 million reflects a decrease of \$34.6 million or 28.2% lower than the FY2020 Forecast.

Revenue from Operations in the FY21 Proposed budget estimated at \$51.9 million reflects a decrease of \$33.9 million or 39.5% lower than the FY2020 Forecast.

Revenue from Contributions in the FY21 Proposed budget estimated at \$36.2 million reflects a decrease of \$0.7 million or 2.0% lower than the FY2020 Forecast.

### **Operating Revenue**

Line 1 **Farebox Revenue:** \$45.9 million, a decrease of \$30.1 million or 39.6% lower than the FY2020 Forecast.

Farebox revenue includes fare receipts collected directly from rail passengers or through pass sales. Go Passes purchased generally are valid for a 12-month period and thus cuts across two fiscal years. Go Pass revenues average \$2.5 million a month.

At the June 2020 Board meeting, the Board approved the extension of the Go Pass for up to three months ending March 2021. The impact of this action reflects a loss of approximately \$7.5 million in FY2020 farebox revenues. The FY21 Proposed budget assumes no further reductions in Calendar Year 2020 Go Pass revenues, and a 30% non-renewal of Go Pass beginning April 2021. The Farebox revenue estimate further assumes an increasing monthly ridership recovery rate of 5.0% for July-August, 10% for September-October, 20% for November-December and a recovery rate of 30% for the period January-June.

Line 2 **Parking Revenue:** \$1.2 million, a decrease of \$2.5 million or 68.6% lower than the FY2020 Forecast.

Parking revenue includes fees at parking lots at various passenger stations and from a parking lot located at the SAP Center adjacent to the San Jose Diridon station. Parking revenues directly follow the movements in ridership levels.

Line 3 **Shuttle Revenue:** \$2.0 million projected at the same level as FY2020 Forecast.

The Shuttle Program funding comes from participating employers, the San Mateo County Transportation Authority (TA), Bay Area Air Quality Management District (BAAQMD) and by JPB operating funds. This line item refers only to the revenue generated from participating local area employers who provide rail passengers the last-mile connections between Caltrain stations and work sites. In recent years, the traditional funding sources for the shuttle program have continued to decline, necessitating additional member and agency funding.

Line 4 **Rental Income:** \$1.1 million, estimate is at the same level as the FY2020 Forecast.

Rental income generated from Caltrain right of way properties. In FY21, the estimate does not include rental from bike lockers. Staff is also monitoring and working with lessors on a month-to-month basis.

Line 5 **Other Income:** \$1.8 million, a decrease of \$1.2 million or 41.4% lower than the FY2020 Forecast.

Other Income consists of interest on invested funds, shared track usage maintenance fees, advertising income, parking citation fees, and permit fees. Advertising income includes income from train wraps, stations, ad cards, and digital displays. The FY21 advertising income estimate is based on contractual minimum annual guarantees and additional sales albeit lower than the prior years. The income from shared track maintenance is based on an agreement with the Union Pacific Railroad (UPRR) which provides for a fixed annual fee and a variable fee based on track usage.

## **Operating Contributions**

Line 9 **AB434 & TA Shuttle Funding:** \$1.7 million estimate is at the same level as the FY2020 Forecast.

As addressed above, the JPB shuttle program has multiple funding streams. Contributions for the service come from State and local sources. In 1991, through Assembly Bill (A.B.) 434, the State Legislature authorized a \$4 surcharge on cars and trucks to fund projects that reduce on-road motor vehicle emissions. A.B. 434 revenues provide partial funding for the JPB shuttle program through a competitive grant process managed by BAAQMD. The TA also funds shuttle services with revenues of the Measure A San Mateo County-wide sales tax.

Line 10 **Operating Grants:** \$4.6 million, a decrease of \$0.7 million or 13.9% lower than the FY2020 Forecast.

State Transit Assistance (STA) revenue comes from the statewide sales tax on diesel fuel and is allocated to the region's transit operators by formula. The formula allocates funds based on population, the amount of passenger fares and local support revenues collected by transit operators. The State sends out projections assuming a growth rate and adjusts these throughout the year.

For FY2021, the Metropolitan Transportation Commission (MTC) recently revised its STA estimates downwards as sales tax declined and as diesel fuel prices weakened. The MTC then further lowered the FY21 estimates due to COVID-19. The FY21 Proposed budget reflects the most recent MTC estimates.

STA funds are flexible for both operating and capital expenditures. Unlike prior years, the FY21 STA funds will support only the operating budget.

Line 11 **JPB Member Agencies:** \$29.9 million estimate is at the same level as the FY2020 Forecast.

The JPB has three member agencies: the City and County of San Francisco, the San Mateo County Transit District and the Santa Clara Valley Transportation Authority. Contributions from the JPB's member agencies estimates are in accordance with an allocation methodology based on the average mid-weekday boarding data (including at Gilroy) and subsequently adjusted for FY2020 to reflect passenger data collected in FY2019.

## **Expense Projections**

Grand Total Expenses in the FY2021 Proposed Budget estimated at \$147.3 million reflects an increase of \$2.5 million or 1.8% higher than the FY2020 Forecast.

Operating Expenses in the FY2021 Proposed Budget estimated at \$121.7 million reflects an increase of \$3.8 million or 3.2% higher than the FY2020 Forecast.

Administrative Expense in the FY2021 Proposed Budget estimated at \$23.3 million reflects a decrease of \$1.0 million or 4.1% lower than the FY2020 Forecast.

## **Operating Expenses**

Line 21 **Rail Operator Service:** \$89.3 million, a 6.9% increase or \$5.8 million more than the FY2020 Forecast.

The JPB contracts out for rail operator service. The current operator contract is with Transit America Services, Inc. (TASI). TASI contract awarded on September 1, 2011 for a five-year term expired on June 30, 2017, with an option to extend for up to five



additional years. On February 2, 2017, the Board approved an amendment to exercise the five one-year options to extend the contract through June 30, 2022.

TASI provides rail operations, maintenance and support services in the following areas: Administration/Safety; Operations and Dispatch; Maintenance of Equipment, Track, Communications and Signals, Stations; Construction Support and State of Good Repair (SOGR). TASI is paid on a cost plus performance fee contract structure.

The primary drivers of the TASI contract costs are the built-in salary increase in the labor contracts and changes in the contractual General and Administration rate.

The \$5.8 million increase reflects the following actions taken at the start of the pandemic in FY2020 and further changes implemented for FY21:

- The FY2020 Forecast is lower as TASI implemented several cost reduction measures at the start of the pandemic. This included a TASI hiring freeze, significant reductions in overtime and reductions in health and welfare.
- At JPB direction,
  - TASI shifted a number of its staff from traditional operations maintenance to deferred maintenance and support of capital improvements.
  - At the start of the pandemic, the special service in the 4<sup>th</sup> quarter was not provided.
- In FY2021, TASI hiring freeze and significant reductions in overtime will continue. In addition, TASI contractual obligations include increases in union wages, non-labor expenses and general and administration costs.
- In FY2021, a new cost component in the TASI contract negotiations is the inclusion of the maintenance of the Positive Train Control system estimated at \$3.0 million. This support includes field validation and test support, PTC maintenance, PTC help desk and maintenance of the Backup Communication Control Facility (BCCF). The FY2021 Proposed budget for Rail Operator Service also reflects the elimination of the annual passenger count.

Line 23 **Security Services:** \$6.7 million, an increase of \$0.5 million or 8.8% more than the FY2020 Forecast

Security services are provided through a law enforcement contract and a communications services contract with the San Mateo County Sheriff's Office (SMCSO), and a security guard contract. The SMCSO contract supports Rail operations.

The FY2021 Proposed budget assumes savings for not holding special events such as the SF Giants, SF 49ers, SJ Sharks, among others.

Line 24 **Shuttles:** \$4.1 million reflects no change over the FY2020 Forecast.

The Shuttle program provides last-mile connections for Caltrain passengers. The FY2021

Proposed budget assumes a minimum service schedule option. There were four routes eliminated In FY2020; this will continue in FY21. In FY21, the cost of the shuttle contract will likely increase as new rates will be negotiated.

Line 25 **Fuel and Lubricants:** \$5.9 million, a decrease of \$3.3 million or 35.6% lower than the FY2020 Forecast.

The Proposed budget covers the cost of diesel fuel for JPB locomotive operations, including the associated taxes. Caltrain has entered into a diesel fuel-hedging program that will help manage the exposure to changes in diesel fuel prices. The cost of fuel used in the FY2021 Proposed budget is \$1.30 per gallon and a fuel usage estimate based on a 70-train schedule.

Line 26 **Timetables and Tickets:** \$110,000, an increase of \$10,000 or 10.0% higher than the FY2020 Forecast.

Timetables and Tickets includes the cost of designing, updating and printing of time tables, schedules, maps and the Caltrain tickets.

Line 27 **Insurance:** \$5.4 million, an increase of \$0.9 million or 20.1% more than the FY2020 Forecast.

The Insurance budget includes premiums, deductibles, adjuster fees, broker fees and other insurance costs. Rates reflect costs for property, casualty, and liability insurance. The FY2021 Proposed budget reflects the cost of the recently negotiated insurance contract adjusted with the impact of changes in ridership.

The market condition in the industry predates pre-COVID-19-19. This was a market hardened by huge losses, global events and a litigious environment in the rail industry. Liability insurance cost went up as fewer insurers opted to continue to operate in the industry and existing carriers reduced their exposures.

Line 28 **Claims, Reserves and Payments:** \$960,000, an increase of \$8,206 or 0.9% higher than the FY2020 Forecast.

This budget item covers the cost of claims, reserves and payments, and the associated legal fees.

Line 29 **Facilities and Equipment Maintenance:** \$5.4 million, an increase of \$2.2 million or 67.7% higher than the FY2020 Forecast.

This budget item covers expenses related to Clipper Operator charges, revenue collection services, ticket vending machines, data line services and other contract services. The FY2021 Proposed budget includes additional PTC maintenance cost of \$3.2 million and reflects a \$1.0 million decrease in Clipper usage charges.

Line 30 **Utilities:** \$2.1 million, an increase of \$24,578 or 1.2% higher than the FY2020 Forecast.

This line covers the cost of gas & electric, telephone, water, trash & sewer. The budget also includes utility costs of PTC maintenance such as circuits, radio license fees and spectrum lease.

Line 31 **Maintenance & Services – Building and Other:** \$1.6 million, an increase of \$22,070 or 1.4% higher than the FY2020 Forecast.

This item covers the cost of building maintenance services, printing and information services, and repair and maintenance of computers and office equipment.

### Administrative Expenses

Line 35 **Wages & Benefits:** \$10.9 million, a decrease of \$1.1 million or 9.4% lower than the FY2020 Forecast.

The FY2021 Proposed budget includes existing positions, no new full time employee positions (also referred to herein as "FTEs"), an administrative staff hiring freeze, a lower benefits rate, no universal wage increase, and lower agency allocations to the retiree medical and OPEB plans.

Below are the FTEs for each division funded by operating funds and by capital funds.

FY2021 FTE - Operating	Finance	Planning	Executive	Comm	Admin	Bus	Rail	Calmod	Total
Represented	-	-	-	5.8	-	5.0	-	-	10.80
Non-Represented	6.2	2.8	0.5	12.6	7.1	4.9	34.2	0.1	68.25
New FTEs	-	-	-	-	-	-	-	-	-
Total Operating	6.2	2.8	0.5	18.4	7.1	9.9	34.2	0.1	79.1

FY2021 FTE - Capital	Finance	Planning	Executive	Comm	Admin	Bus	Rail	Calmod	Total
Represented	-	-	-	-	-	-	-	-	-
Non-Represented	12.7	5.3	0.5	-	1.8	-	51.1	8.9	80.30
New FTEs	-	-	-	-	-	-	-	-	-
Total Capital	12.7	5.3	0.5	-	1.8	-	51.1	8.9	80.3

Line 36 **Managing Agency Admin OH Cost:** \$5.2 million, an increase of \$61,935 or 1.2% higher than the FY2020 Forecast.

Managing Agency Administrative Overhead (OH) Cost reflects the cost of San Mateo County Transit District (District) personnel dedicated to the Caltrain business (as opposed to Caltrain operations). The Proposed budget assumes an increase of 1.2% over the FY2020 Forecast. This FY21 estimate will be revised further pending results of the current study of the Internal Cost Allocation Plan (ICAP).

The ICAP calculates the indirect cost rate used to recover overhead costs related to

agency indirect administrative overhead and capital projects. The District procured the assistance of an outside consulting firm to develop a methodology that equitably allocates the costs incurred by the District for services and functions shared by the different agencies administered by District staff. The consultant team was selected for its experience and knowledge in developing allocation methodologies for governmental and public entities.

The ICAP is prepared in accordance with the principles and guidelines set forth in the Office of Management and Budget (OMB) Circular A-87 "Cost Principles for State, Local and Indian Tribal Governments" and ASMB C-10 "Cost Principles and Procedures for Developing Cost Allocation Plans and Indirect Cost Rates for Agreements with the Federal Government."

The ICAP calculates two components:

- Agency Indirect Administration (AIA) – a pool of costs that cannot be directly attributed to a specific agency.

This consists of labor and non-labor support functions that benefit each of the three agencies managed by the District as well as a fourth agency, the San Mateo County Express Lanes Joint Powers Agency (SMCELJPA) supported by the District beginning in FY 2020. Examples include the time charged by the Payroll Department to process the biweekly payroll or the time charged by the Human Resource Department to post recruitments on industry websites. Based on specific statistics, these costs distributed to each department are. For example, the payroll department costs are distributed to each department based on the number of FTEs. The District incurs all of the AIA costs and then recovers appropriate shares of the costs from the District's Operating and Capital budgets, the JPB Operating and Capital budgets, the TA budget and the SMCELJPA budget.

- Capital Overhead – a pool of project support costs that cannot be directly attributed to a specific capital project.

A capital overhead rate is calculated for each agency. An example of a capital overhead cost would be the time charged by an administrative assistant who supports multiple capital project engineers. The capital overhead costs are tracked and included in the ICAP rate and is charged to each capital project.

Line 37 **Board of Directors:** \$10,000, a decrease of \$4,600 or 31.5% lower than the FY2020 Forecast.

This covers director compensation, seminars and training, and meetings for the Board of Directors. Cost decreases result from diminished conference attendance.

Line 38 **Professional Services:** \$4.4 million, an increase of \$254,417 or 6.1% higher than the FY2020 Forecast.

This covers the cost of consultants for legal services, audit services, and legislative advocacy and technical services. The FY2021 Proposed budget for professional

services also includes additional operating maintenance of PTC related to rail friction, electronic recording, measuring, and communications systems and communications data security.

Line 39 **Communications and Marketing:** \$136,000, a decrease of \$165,500 or 54.9% lower than the FY2020 Forecast.

This covers the cost of promotional advertising for fares, schedule changes and the cost of providing the riding public with a mobile app. The FY2021 Proposed budget reflects the elimination of promotional advertising for sporting events such as the SF Giants, SF49ers, San Jose Sharks, and Bay to Breakers.

Line 40 **Other Office Expense and Services:** \$2.6 million reflects no changes over the FY2020 Forecast.

This covers license renewal, bank fees, office vehicle maintenance, property taxes, software maintenance, and leases for properties along the Right of Way (ROW) in support of commuter services. The ROW leases include critical facilities for radio transmission antennas and real estate for storage of train equipment and spare parts.

Line 43 **Long Term Debt Expense:** \$2.4 million, a decrease of \$0.3 million or 9.8% lower than the FY2020 Forecast.

This covers the cost and principal retirement of debt incurred for the acquisition and rehabilitation of passenger rail cars, for the acquisition of real property, and for maintenance of a revolving line of credit.

In February 2019, the JPB refunded bonds issued in 2007 and 2015 to achieve interest savings and restructure debt, and issued additional bonds to purchase two pieces of real property previously leased by the JPB.

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### ***FY2021 Capital Budget Impact***

The initial FY21 Capital budget approved by the Board in June for a total of \$19.1 million included only those capital projects that had available funding, but required Board-approved budget authority to incur the expenditures.

The amendment to the FY21 capital budget is an increase of \$42,697,293 and includes urgent projects eligible for the anticipated annual FY2021 Federal, State and Member Agency funds.

The Projects included in the amendment as reflected in Attachment B, are as follows:

STATE OF GOOD REPAIR (SOGR – \$30,968,825

RIGHT OF WAY - \$11,205,000

1. Fencing – Request: \$585,000 (additional)  
Continue to install vandal-resistant fencing at key locations along the PCJPB main line rail corridor to deter trespassing. This contract will terminate end of November 2020.
  
2. Guadalupe River Bridge Replacement – Request: \$2,100,000  
Replace the Guadalupe River Bridge in San Jose, damaged by weather and arson.
  
3. San Francisquito Creek Bridge Replacement – Request: \$2,000,000  
In FY21, this project moves to the construction phase for the replacement of this 118-year-old bridge, with a modern railway bridge with a 100-year design life.
  
4. Structures Maintenance SOGR – Request: \$800,000  
This includes minimum maintenance repair to restore the structural integrity to a fair condition, increase the safety, security, and the useful life of the assets.  
  
The inspection rated structures in poor conditions, suffering from deterioration and corrosion as well as poor workmanship from the original construction. Structures Maintenance SOGR FY21 will enhance operation safety, worker, and public safety.
  
5. System-wide Track Rehab SOGR FY2020-FY2024 – Request: \$5,720,000  
Continue the work required to keep the Caltrain railroad in a state of good repair, including rehabilitation of track and other purchased services. Replace track components, wedging, surfacing and selected minor bridge repairs.

SIGNAL AND COMMUNICATION - \$5,000,000

6. Caltrain Communication System SOGR – Request: \$2,000,000  
This is a yearly evaluation and implementation of projects for the overall railroad communications system to keep assets current. Evaluates replacements prior to end of life or vendor support. This includes all voice and data radio systems, microwave systems, leased landlines and the data communications system.
  
7. Rail Network Annual Maintenance – Request: \$500,000  
Upgrade internet service and equipment as necessary to support secure vendor Virtual Private Network (VPN) access, remote monitoring of PTC

environment, and communications with external clients such as 511.org. Furthermore, this upgrade will be able to handle higher bandwidth and current equipment including firewalls and routers have reached the end of their technology life cycle.

8. TVM Upgrade Phase 4 – Request: \$1,000,000  
The project will continue the upgrade of the Ticket Vending Machines (TVMs) to include Clipper functionalities and upgrade old, obsolete parts in the TVMs. The new upgraded TVMs will be able to dispense new Clipper cards and add value or products to existing Clipper cards. The upgraded TVMs will also have a new touchscreen display screen, printer, bill acceptor and new software.

The previous phases upgraded 34 TVMs. Phase 4 will upgrade an additional 25 TVMs. After Phase 4, there will be 29 TVMs at the stations still needing an upgrade.

9. Clipper CID Installation & Relocation Plan & Construction – Request: \$1,000,000  
This project will relocate and install new Clipper Card Interface Devices (CIDs) at key passenger stations at more accessible locations for passengers getting in and out of train stations. The improved flow will allow Caltrain to move more of its customers onto the Clipper system, and away from less-efficient and less-effective payment systems. This will also maximize touchless fare payments.

10. BCCF Buildout Assessment – Request: \$500,000  
This project will evaluate the areas of the Backup Communications Control Facility (BCCF) that are partially developed and to assess build-out for occupancy as well as for inventory of the building materials on site from the previous contractor and to develop options and plans for additional working, meeting, and storage space.

ROLLING STOCK - \$12,663,825

11. Bombardier Cars FY21 – Request: \$1,663,825  
Implement scheduled maintenance for FY21. These include mid-life over-hauls, replacing cables, seats, batteries, cab refurbishment, and heating ventilation air condition (HVAC) system.

12. Upper Doors Installation – Request: \$11,000,000  
This is a placeholder project for the future reinstallation of the upper level doors in the event that these are required in the Electrical Multiple Units as requested by the funding partners of the electrification program's Change Management Board.

STATION AND INTER-MODAL ACCESS - \$2,100,000

13. Stations SOGR FY2020-FY2024 – Request: \$1,000,000  
Repair and replace several passenger station amenities. These include Passenger Needing Assistance (PNA) shelters, Information Display Cases (IDC), benches and trashcans. The pedestrian tunnel in San Jose needs repainting since a fire three years ago, and epoxy coating applied on all of the ramps that feed into the San Jose pedestrian tunnel. These continued activities maintain these facilities to a state of good repair.
14. CCF Crew Quarters Roof Replacement & Trailer – Request: \$1,000,000  
The Crew quarters are made up of a series of single and doublewide trailers in the parking lot of Centralized Control Facility (CCF) in San Jose across from Centralized Equipment Maintenance & Operations Facility (CEMOF). These include used trailers to support the crews that operate the passenger service. The roofs on these trailers are failing and will need replacements. The floorings and sidings of these trailers will need repairs to maintain these facilities to a state of good repair.
15. Menlo Park Facility 4000 Campbell Avenue HVAC – Request: \$100,000  
This is a newly acquired property. The HVAC units on the roof are not functioning efficiently and needs to be replaced/upgraded.

*LEGAL MANDATES AND REQUIRED ENHANCEMENTS - \$1,500,000*

16. Clipper Next Gen Validators Site Prep – Request: \$1,500,000  
Design and install 360 new Next Generation Clipper Validators at stations to prepare for the regional transition to the new Clipper system mandated by MTC. Compliance due date is June 20, 2021.

*OPERATIONAL IMPROVEMENTS / ENHANCEMENTS - \$1,950,000*

17. Grade Crossing Hazard Analysis Data Collection – Request: \$200,000  
The project will collect data at the Caltrain grade crossings for the Grade Crossing Hazard Analysis. Video data will then determine the risks at each grade crossing. Data will include traffic counts, near misses and driver behavior. The last video data collection was in 2015 and new data is required to update the Grade Crossing Hazard Analysis Report.
18. Grade Crossing Safety Improvements Design FY21 – Request: 500,000  
Identify the highest priority grade crossings in a Grade Crossing Hazard Analysis Report. Subsequently a design developed for these grade crossings will improve safety as recommended by the Hazard Analysis Report. There are still



crossings that have safety risks such as having no median to prevent drivers from driving around a lowered gate arm.

19. EAM – Enterprise Asset Management Software – Request: \$750,000  
Develop a Request for Proposals (RFP) to solicit and procure a base EAM system. Core capabilities include asset registry, asset condition and assessment, work request, work planning and management, warranty management, materials management, planning and budgeting, and management reporting.

Asset information is currently stored in various disparate systems and some by the Rail Contract Operator (TASI). The industry best practice is to centralize asset data within a single EAM system to maintain data consistency and analysis. Implementation of an EAM system is in accordance with Transit Asset Management (TAM) Plan of Caltrain.

The EAM system is required to enable Caltrain and the other agencies to maintain its assets in a database. This will allow responsible personnel to write work orders against assets for the performance of maintenance and the state of good repair projects; to maintain a parts inventory; to assign labor to perform maintenance activities, as well as to perform other asset management functions. The EAM will also be required to support Operations and Maintenance of the Electrification system.

20. Update and Upgrade GIS System – Request: \$500,000  
The updated Geographic Information System (GIS) system will provide a graphical user interface for information and data stored in the Enterprise Asset Management system as well as AutoCAD. This system will facilitate capturing utility location information, asset locations, real estate easements and parcels; it will support operations.

Both the EAM and GIS systems are required for proper operations and maintenance, and for the organization to start moving towards an excellent model.

*PLANNING/STUDIES - \$8,278,468*

21. Capital Planning (CIP) – Request: \$1,250,000,  
Further CIP development, infrastructure analysis to support the Caltrain Business Plan service vision and planning of station modifications, overtake tracks, site planning of facilities, planning support for ongoing grade separation projects and evolving engineering and construction guidelines.

22. San Francisco Station and Terminal Planning – Request: \$1,000,000  
Study conceptual activities related to the layout and operation of the Caltrain terminal and station facilities between Salesforce Transit Center & 22nd Street,

with particular focus on outcomes and connecting to the existing rail yard and station at 4th & King.

23. Diridon and South Terminal Area – Request: \$1,000,000  
Continue work with agency partners and the California High Speed Rail Authority to further develop and refine the vision for a future Diridon Station. Undertake additional work in partnership with the City of San Jose to examine rail and storage needs and operations through the South Terminal Area.
  
24. Rail Network and Operations Planning – Request: \$1,250,000  
Further near-term planning based on the Caltrain Business Plan service vision; selection and development of a long-term service vision operating plan; fleet planning; systems planning; level boarding analysis, and maintenance planning.
  
25. Redwood City Station Planning – Request: \$750,000  
Develop a Memorandum of Understanding with City of Redwood City and other stakeholders to establish the broad terms of a collaborative planning process for the Redwood City area between Whipple and Redwood Junction. The goal is to develop a conceptual station plan to accommodate future Caltrain service levels, which will include grade separations/closures, private development of a Transit Oriented Development and a connection with Dumbarton rail service.

26. System-wide Planning, Policy & Org Design – Request: \$1,168,468  
Include development of interagency agreements on planning and organizational design to support the Caltrain Business Plan findings, and updates to modeling and tools.
27. Caltrain Downtown Rail Extension (DTX) – Request: \$200,000  
Continue to develop Downtown Rail Extension as part of the San Francisco Peninsula Rail Program Memorandum of Understanding. Caltrain has committed to actively participate in a wide range of activities to promote successful delivery of this project.
28. Capital Contingency Funds - Engineering – Request: \$330,000  
Support unforeseen capital expenditures related to the delivery of capital projects/programs.
29. Capital Contingency Funds - Rail – Request: \$660,000  
Support unforeseen capital needs related to rail operations.
30. Capital Program Development – Request: \$335,000  
Support unforeseen capital planning needs.
31. Capital Project Development – Request: \$335,000  
Implement planning and engineering study activities.

Prepared by:

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**RESOLUTION NO. 2020-**

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

**\* \* \***

**ADOPTING FISCAL YEAR 2021 OPERATING BUDGET IN THE AMOUNT OF  
\$147,318,831 AND FISCAL YEAR 2021 CAPITAL BUDGET IN THE AMOUNT OF  
\$42,697,293**

**WHEREAS**, the Joint Powers Agreement of the Peninsula Corridor Joint Powers Board (JPB) requires the Board of Directors (Board) to approve annual operating and capital budgets; and

**WHEREAS**, the adoption of an operating budget is necessary for obtaining both Federal and State funds to support the Peninsula Commute Service operation known as Caltrain; and

**WHEREAS**, the adoption of a capital budget complements the JPB's strategic planning process; and

**WHEREAS**, the Executive Director and the Staff Coordinating Council recommend that the Board adopt the Fiscal Year (FY) 2021 Operating Budget shown as Attachment A, and the FY2021 Capital Budget shown as Attachment B Amendment 1; and

**WHEREAS**, the local match funding component of the FY2021 Capital Budget is \$18.0 million requiring a capital investment of \$6.0 million from each of the JPB's three member agencies; and

**WHEREAS**, the City and County of San Francisco will provide its \$6.0 million FY2021 capital investment from Proposition K funds through the San Francisco County Transportation Authority; and

**WHEREAS**, San Mateo County will provide its \$6.0 million FY2021 capital investment through the San Mateo County Transportation Authority; and

**WHEREAS**, Santa Clara County Valley Transportation Authority will provide its \$6.0 million FY2021 capital investment itself.

**NOW, THEREFORE, BE IT RESOLVED** that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby adopts the FY2021 Operating Budget, a copy of which is attached hereto and incorporated herein as Attachment A, in the amount of \$147,318,831.

**BE IT FURTHER RESOLVED** that the Board adopts the FY2021 Capital Budget in the amount of \$42,697,293 attached hereto and incorporated herein as Attachment B, with the understanding that the three JPB member agencies will each contribute \$6.0 million to meet their FY2021 capital investment commitments; and

**BE IT FURTHER RESOLVED** that the Executive Director, or his designee, is requested to forward a copy of the FY2021 Operating Budget and Capital Budgets to the JPB member agencies at the earliest practicable date; and

**BE IT FURTHER RESOLVED** that the Board authorizes the Executive Director, or his designee, to take such additional actions as may be necessary to give effect to this resolution including executing funding agreements, amendments, and submitting required documents to granting agencies to receive the funding identified in the Capital Budget.

Regularly passed and adopted this 3rd day of September, 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  
FY2021 PROPOSED OPERATING BUDGET**

	FY2019 ACTUAL	FY2020 FORECAST	FY2021 PRE-COVID SCENARIO	FY2021 PROPOSED	\$ CHANGE FY21 Proposed vs FY20 Forecast	% CHANGE FY21 Proposed vs FY20 Forecast	
	A	B	C	D	E = D - B	F = E/B	
<b>REVENUE</b>							
OPERATIONS:							
1	Farebox Revenue	105,442,321	75,990,000	118,000,000	45,885,324	(30,104,676)	-39.6%
2	Parking Revenue	5,316,427	3,679,700	5,300,000	1,155,917	(2,523,783)	-68.6%
3	Shuttles	2,047,107	2,031,246	3,435,000	2,031,246	-	0.0%
4	Rental Income	1,901,052	1,111,804	2,035,877	1,111,804	-	0.0%
5	Other Income	2,957,850	3,008,166	3,699,000	1,764,000	(1,244,166)	-41.4%
6	<b>TOTAL OPERATING REVENUE</b>	<b>117,664,757</b>	<b>85,820,916</b>	<b>132,469,877</b>	<b>51,948,291</b>	<b>(33,872,625)</b>	<b>-39.5%</b>
7							
CONTRIBUTIONS:							
9	AB434 & TA Shuttle Funding	1,728,727	1,737,950	1,725,200	1,737,950	-	0.0%
10	Operating Grants	3,700,607	5,327,497	8,444,325	4,588,500	(738,997)	-13.9%
11	JPB Member Agencies	25,448,000	29,921,971	29,921,971	29,921,971	-	0.0%
12	<b>TOTAL CONTRIBUTED REVENUE</b>	<b>30,877,334</b>	<b>36,987,418</b>	<b>40,091,496</b>	<b>36,248,421</b>	<b>(738,997)</b>	<b>-2.0%</b>
13							
14							
15	<b>GRAND TOTAL REVENUE</b>	<b>148,542,091</b>	<b>122,808,334</b>	<b>172,561,373</b>	<b>88,196,712</b>	<b>(34,611,622)</b>	<b>-28.2%</b>
16							
17							
<b>EXPENSE</b>							
19							
OPERATING EXPENSE:							
21	Rail Operator Service	86,230,812	83,564,916	99,400,000	89,320,881	5,755,965	6.9%

22	Positive Train Control	63,394	2,400,000	-	-	(2,400,000)	-100.0%
23	Security Services	5,816,573	6,200,000	7,546,908	6,746,908	546,908	8.8%
24	Shuttle Service	4,043,565	4,057,249	6,218,900	4,057,249	-	0.0%
25	Fuel and Lubricants	11,160,475	9,203,417	11,546,756	5,930,523	(3,272,894)	-35.6%
26	Timetables and Tickets	92,987	100,000	90,000	110,000	10,000	10.0%
27	Insurance	4,193,739	4,506,064	5,101,064	5,410,000	903,936	20.1%
28	Claims, Reserves, and Payments	(65,178)	951,794	951,794	960,000	8,206	0.9%
29	Facilities and Equipment Maint	2,944,312	3,228,522	4,613,562	5,414,948	2,186,426	67.7%
30	Utilities	2,040,714	2,105,422	2,694,700	2,130,000	24,578	1.2%
31	Maint & Services-Bldg & Other	1,377,376	1,567,930	1,723,490	1,590,000	22,070	1.4%
32	<b>TOTAL OPERATING EXPENSE</b>	<b>117,898,769</b>	<b>117,885,314</b>	<b>139,887,174</b>	<b>121,670,509</b>	<b>3,785,195</b>	<b>3.2%</b>
33							
34	<b>ADMINISTRATIVE EXPENSE</b>						
35	Wages and Benefits	10,212,324	12,066,711	15,171,787	10,930,000	(1,136,711)	-9.4%
36	Managing Agency Admin OH Cost	6,503,882	5,098,065	5,928,620	5,160,000	61,935	1.2%
37	Board of Directors	18,659	14,600	44,100	10,000	(4,600)	-31.5%
38	Professional Services	3,440,617	4,145,583	7,298,132	4,400,000	254,417	6.1%
39	Communications and Marketing	272,596	301,500	459,500	136,000	(165,500)	-54.9%
40	Other Office Expense and Services	5,324,257	2,630,572	3,008,727	2,630,572	-	0.0%
41	<b>TOTAL ADMINISTRATIVE EXPENSE</b>	<b>25,772,335</b>	<b>24,257,031</b>	<b>31,910,866</b>	<b>23,266,572</b>	<b>(990,459)</b>	<b>-4.1%</b>
42							
43	Long-term Debt Expense	<b>1,602,163</b>	<b>2,639,773</b>	<b>2,381,750</b>	<b>2,381,750</b>	(258,023)	-9.8%
44							
45							
46	<b>GRAND TOTAL EXPENSE</b>	<b>145,273,267</b>	<b>144,782,118</b>	<b>174,179,789</b>	<b>147,318,831</b>	<b>2,536,713</b>	<b>1.8%</b>
47							
48							
49	<b>PROJECTED SURPLUS / (DEFICIT)*</b>	<b>3,268,824</b>	<b>(21,973,784)</b>	<b>(1,618,416)</b>	<b>(59,122,119)</b>		
50	Does not include application of CARES Act Funding						





FY2020-2021 CAPITAL BUDGET

Item #	PROJECT NAME	Project Sponsor	PRIOR YEARS APPROVED	FY21 ADOPTED JUNE BOARD	AMENDMENT #1	PROPOSED FY21 CAPITAL BUDGET	Federal Funds	STA Funds	State Funds	STA SOGR Funds	Members			Member Funds Total	Other					Other Funds Total	TOTAL PROPOSED FY21 CAPITAL BUDGET
											SF	SM	VTA		Project Savings	AB664	SF Prop K other	Regional Funds	Other		
<b>i. SOGR</b>																					
<b>Right of Way</b>																					
1	Marin Street and Napoleon Street Bridges <sup>1</sup>	J Sharma	6,704,000	9,696,000	-	9,696,000	4,965,021	-	-	1,350,915	-	-	-	-	2,740,064	640,000	-	-	-	3,380,064	9,696,000
2	Fencing - ROW FY21-FY23	R Scarpino	-	915,000	585,000	1,500,000	-	-	915,000	-	455,000	-	130,000	585,000	-	-	-	-	-	-	1,500,000
8	Guadalupe River Bridge Replacement	P Kwan	10,300,000	-	2,100,000	2,100,000	1,680,000	-	-	-	-	-	420,000	420,000	-	-	-	-	-	-	2,100,000
9	San Francisquito Creek Bridge Replacement	A Piano	600,000	-	2,000,000	2,000,000	1,600,000	-	-	-	-	-	400,000	400,000	-	-	-	-	-	-	2,000,000
10	Structures Maintenance SOGR	R Scarpino	800,000	-	800,000	800,000	640,000	-	-	-	160,000	-	-	160,000	-	-	-	-	-	-	800,000
11	System-wide Track Rehab- SOGR FY20-FY24	E Stockmeir	5,500,000	-	5,720,000	5,720,000	4,576,000	-	-	-	1,144,000	-	-	1,144,000	-	-	-	-	-	-	5,720,000
			10,611,000	11,205,000	21,816,000	13,461,021	-	915,000	1,350,915	1,759,000	-	950,000	2,709,000	2,740,064	640,000	-	-	-	3,380,064	21,816,000	
<b>Signal &amp; Communication</b>																					
3	Fiber Optic Corrective Repair <sup>2</sup>	M Scanlon	-	1,000,000	-	1,000,000	-	-	-	-	-	-	-	-	-	-	-	-	1,000,000	1,000,000	1,000,000
12	Caltrain Communication System SOGR	M Scanlon	-	-	2,000,000	2,000,000	1,600,000	-	-	-	-	-	400,000	400,000	-	-	-	-	-	-	2,000,000
13	Rail Network Annual Maintenance	M Scanlon	-	-	500,000	500,000	400,000	-	-	-	-	-	100,000	100,000	-	-	-	-	-	-	500,000
14	TVM Upgrade Phase 4	R Tam / J Navarro	1,795,000	-	1,000,000	1,000,000	800,000	-	-	-	-	-	200,000	200,000	-	-	-	-	-	-	1,000,000
15	Clipper CID installation and Relocation Plan and Construction	H. Chan	500,000	-	1,000,000	1,000,000	800,000	-	-	-	-	-	200,000	200,000	-	-	-	-	-	-	1,000,000
20	BCCF Buildout Assessment	M Scanlon	-	-	500,000	500,000	-	-	-	-	500,000	-	-	500,000	-	-	-	-	-	-	500,000
			-	1,000,000	5,000,000	6,000,000	3,600,000	-	-	-	-	500,000	900,000	1,400,000	-	-	-	-	1,000,000	1,000,000	6,000,000
<b>Rolling Stock</b>																					
21	Bombardier	J Navarro	-	-	1,663,825	1,663,825	-	-	-	-	1,663,825	-	-	1,663,825	-	-	-	-	-	-	1,663,825
22	Upper Level Doors Installation <sup>7</sup>	J Navarro	-	-	11,000,000	11,000,000	-	-	-	-	-	-	-	-	-	-	-	-	11,000,000	11,000,000	11,000,000
			-	-	12,663,825	12,663,825	-	-	-	-	1,663,825	-	-	1,663,825	-	-	-	-	11,000,000	11,000,000	12,663,825
<b>Station &amp; Intermodal Access</b>																					
23	Stations SOGR FY20-FY24	R Scarpino	500,000	-	1,000,000	1,000,000	-	-	-	-	400,000	-	600,000	1,000,000	-	-	-	-	-	-	1,000,000
24	CCF Crew Quarters Roof Replacement & Trailer Repairs	R Scarpino	-	-	1,000,000	1,000,000	-	-	-	-	-	-	1,000,000	1,000,000	-	-	-	-	-	-	1,000,000
25	Menlo Park Facility 4000 Campbell Avenue HVAC	R Scarpino	-	-	100,000	100,000	-	-	-	-	100,000	-	-	100,000	-	-	-	-	-	-	100,000
			-	-	2,100,000	2,100,000	-	-	-	400,000	100,000	1,600,000	2,100,000	-	-	-	-	-	-	-	2,100,000
	<b>Total SOGR</b>			11,611,000	30,968,825	42,579,825	17,061,021	-	915,000	1,350,915	3,822,825	600,000	3,450,000	7,872,825	2,740,064	640,000	-	-	12,000,000	15,380,064	42,579,825
<b>ii. LEGAL MANDATES AND REQUIRED ENHANCEMENTS</b>																					
26	Clipper Next Gen Validators Site Prep	J Navarro / H Chan	-	-	1,500,000	1,500,000	1,200,000	-	-	-	-	-	300,000	300,000	-	-	-	-	-	-	1,500,000
			-	-	1,500,000	1,500,000	1,200,000	-	-	-	-	-	300,000	300,000	-	-	-	-	-	-	1,500,000
<b>iii. OPERATIONAL IMPROVEMENTS/ENHANCEMENTS</b>																					
4	Positive Train Control Litigation <sup>3</sup>	S Bullock	-	6,600,000	-	6,600,000	-	-	-	-	-	-	-	-	-	-	-	-	6,600,000	6,600,000	6,600,000
5	Wayside Bike Parking Improvements <sup>4</sup>	M Reggiardo	4,000,000	349,322	-	349,322	-	-	-	-	-	-	-	-	-	-	200,000	149,322	349,322	349,322	
27	Grade Crossing Hazard Analysis Data Collection	G Fleming	-	-	200,000	200,000	-	-	-	200,000	-	-	-	200,000	-	-	-	-	-	-	200,000
28	FY21 Grade Crossing Safety Improvements Design	R Tam	-	-	500,000	500,000	-	-	-	500,000	-	-	-	500,000	-	-	-	-	-	-	500,000
29	EAM – Enterprise Asset Management software system	S Chao	-	-	750,000	750,000	-	-	-	-	750,000	-	-	750,000	-	-	-	-	-	-	750,000
30	Update and Upgrade GIS system	G Fleming	-	-	500,000	500,000	-	-	-	477,175	22,825	-	-	500,000	-	-	-	-	-	-	500,000
			-	6,949,322	1,950,000	8,899,322	-	-	-	1,177,175	772,825	-	-	1,950,000	-	-	-	200,000	6,749,322	6,949,322	8,899,322
<b>iv. PLANNING/STUDIES</b>																					
6	22nd St. ADA Feasibility Study <sup>5</sup>	M Reggiardo	300,000	50,000	-	50,000	-	-	-	-	-	-	-	-	50,000	-	-	-	-	50,000	50,000
7	Business Plan <sup>6</sup>	S Petty	5,537,118	509,157	-	509,157	-	-	-	-	-	-	-	-	-	-	-	-	509,157	509,157	509,157
31	Capital Planning (CIP)	M. Reggiardo	750,000	-	1,250,000	1,250,000	-	-	-	-	-	1,250,000	1,250,000	-	-	-	-	-	-	-	1,250,000
32	San Francisco Station and Terminal Planning	M. Reggiardo	-	-	1,000,000	1,000,000	-	-	-	1,000,000	-	-	-	1,000,000	-	-	-	-	-	-	1,000,000
33	Diridon and South Terminal Area	M. Reggiardo	-	-	1,000,000	1,000,000	-	-	-	-	-	-	1,000,000	1,000,000	-	-	-	-	-	-	1,000,000
34	Rail Network and Operations Planning	M. Reggiardo	-	-	1,250,000	1,250,000	-	-	-	-	1,250,000	-	-	1,250,000	-	-	-	-	-	-	1,250,000
35	Redwood City Station Planning	M. Reggiardo	-	-	750,000	750,000	-	-	-	-	750,000	-	-	750,000	-	-	-	-	-	-	750,000
36	System-wide Planning and Policy & Org Design	M. Reggiardo	-	-	1,168,468	1,168,468	-	-	-	-	967,175	-	-	967,175	-	-	201,293	-	201,293	1,168,468	
37	Caltrain Downtown Rail Extension (DTX)	A Simmons	-	-	200,000	200,000	-	-	-	-	-	-	-	-	-	-	200,000	-	-	-	200,000
38	Capital Contingency Funds - Engineering		-	-	330,000	330,000	-	-	-	-	330,000	-	-	330,000	-	-	-	-	-	-	330,000
39	Capital Contingency Funds - Rail		-	-	660,000	660,000	-	-	-	-	660,000	-	-	660,000	-	-	-	-	-	-	660,000
40	Capital Program Management		-	-	335,000	335,000	-	-	-	-	335,000	-	-	335,000	-	-	-	-	-	-	335,000
41	Capital Project Development		-	-	335,000	335,000	-	-	-	-	335,000	-	-	335,000	-	-	-	-	-	-	335,000
			-	559,157	8,278,468	8,837,625	-	-	-	1,000,000	4,627,175	2,250,000	7,877,175	50,000	-	401,293	-	509,157	760,450	8,837,625	
	<b>TOTAL</b>			19,119,479	42,697,293	61,816,772	18,261,021	-	915,000	1,350,915	6,000,000	6,000,000	6,000,000	18,000,000	2,790,064	640,000	401,293	200,000	19,258,479	23,089,836	61,816,772