



BOARD OF DIRECTORS 2021

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CINDY CHAVEZ
JEFF GEE
GLENN HENDRICKS
DAVE PINE
CHARLES STONE
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MICHELLE BOUCHARD
ACTING EXECUTIVE DIRECTOR

AGENDA

PENINSULA CORRIDOR JOINT POWERS BOARD

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

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

<https://zoom.us/j/91412776292?pwd=cVdKa01PK2FKdm1CSUwwZXR3RmlkUT09>

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<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 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.

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

June 3, 2021 – Thursday

PART I OF MEETING (CALL TO ORDER): 9:00 am

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

PART II OF MEETING (CLOSED SESSION): 9:05 am estimated

3. General Counsel Report – Closed Session:
 - a. Conference with Legal Counsel – Anticipated Litigation. Initiation of Litigation pursuant to Government Code Section 54956.9(d)(4): One potential case

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

PART III OF MEETING (REGULAR SESSION): 9:40 am estimated

- | | |
|--|---------------|
| 4. General Counsel Report – Report Out from Above Closed Session | INFORMATIONAL |
| 5. Public Comment for 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. | |
| 6. Consent Calendar
Members of the Board may request that an item under the Consent Calendar be considered separately | |
| a. Approve Regular Meeting Minutes of May 6, 2021 and Special Meeting #2 minutes of May 14, 2021 | MOTION |
| b. Receive Key Caltrain Performance Statistics – April 2021 | MOTION |
| c. Authorize Execution of Contracts for Information Technology Licenses, Maintenance Services, and Professional Services | RESOLUTION |
| d. Authorize Execution of Contracts for Technology-Related Products and Services through Piggybacking Contracts and Cooperative Purchasing Programs | RESOLUTION |
| e. Authorization to Execute Master Agreement and Program Supplements for State-Funded Transit Projects | RESOLUTION |
| f. Authorize Execution of a Change Order to the Peninsula Corridor Electrification Project Contract with ARINC for Supervisory Control and Data Acquisition (SCADA) Database Changes | RESOLUTION |
| g. Authorize an Amendment to the Agreement with HDR Engineering, Inc. for Engineering Consultant Design Services | RESOLUTION |
| h. Amendment of the Caltrain Fare Structure and Approval of Associated Title VI Equity Analysis | RESOLUTION |
| i. Capital Projects/FY21 Q3 Quarterly Progress Report | INFORMATIONAL |
| j. Report of the Chief Financial Officer (CFO) | INFORMATIONAL |
| k. Accept Statement of Revenues and Expenses for the Period Ended April 30, 2021 | MOTION |
| l. GoPass Donation Program Update | INFORMATIONAL |
| m. Approve Caltrain Corridor Use Compatibility Finding for Proposed Bicycle and Pedestrian Undercrossing at Bernardo Avenue in Sunnyvale and Mountain View | RESOLUTION |
| n. Approve 10-year lease with Prometheus Real Estate Group at the San Carlos Caltrain Station | RESOLUTION |
| o. State and Federal Legislative Update | INFORMATIONAL |

7. Reports

- | | |
|---|---------------|
| a. Report of the Citizens Advisory Committee | INFORMATIONAL |
| b. Report of the Chair | INFORMATIONAL |
| i. Report on Governance | INFORMATIONAL |
| c. Report of the Executive Director | INFORMATIONAL |
| i. Peninsula Corridor Electrification Project (PCEP) Monthly Progress Report – April | INFORMATIONAL |
| 8. Peninsula Corridor Electrification Project (PCEP) Update | INFORMATIONAL |
| 9. Update on Service Restoration | INFORMATIONAL |
| 10. Adoption of the Fiscal Year 2022 Proposed Operating Budget and the Fiscal Year 2022 Proposed Capital Budget | RESOLUTION |
| 11. Affirmation of Debt Policy and Consideration of 2021 Financing Plan | MOTION |
| 12. Correspondence | |
| 13. Board Member Requests | |
| 14. General Counsel Report | |
| 15. Date/Time of Next Regular Meeting: Thursday, July 1, 2021 at 9:00 am via Zoom | |
| 16. Adjourn | |

INFORMATION FOR THE PUBLIC

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

If you have questions on the agenda, please contact the JPB Secretary at 650.508.6242. Agendas are available on the Caltrain website at www.caltrain.com. Communications to the Board of Directors can be e-mailed to board@caltrain.com.

Free translation is available; Para traducción llama al 1.800.660.4287; 如需翻译 请电 1.800.660.4287

Date and Time of Board and Committee Meetings

JPB Board: First Thursday of the month, 9:00 am; JPB Finance Committee: Fourth Monday of the month, 2:30 pm; JPB WPLP Committee: Fourth Wednesday of the month, 3:00 pm. Date, time and location of meetings may be changed as necessary. Meeting schedules for the Board and committees are available on the website.

Location of Meeting

Due to COVID-19, the meeting will only be via teleconference as per the information provided at the top of the agenda. the Public may not attend this meeting in person. *Should Zoom not be operational, please check online at http://www.caltrain.com/about/bod/Board_of_Directors_Meeting_Calendar.html for any updates or further instruction.

Public Comment*

Members of the public are encouraged to participate remotely. Public comments may be submitted to 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. 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; 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
Board of Directors Meeting
1250 San Carlos Avenue, San Carlos CA**

DRAFT MINUTES OF MAY 6, 2021

MEMBERS PRESENT: C. Chavez , D. Davis (Chair), J. Gee, G. Hendricks, S. Heminger (Vice Chair), D. Pine, C. Stone, S. Walton, M. Zmuda

MEMBERS ABSENT: None

STAFF PRESENT: C. Mau, J. Cassman, S. Van Hoften, M. Bouchard, B. Fitzpatrick, J. Funghi, R. Johansen, D. Hansel, J. Harrison, L. Leung, L. Low, R. McCauley, R. Rios, S. Petty, M. Reggiardo, B. Shaw, B. Tietjen, P. Skinner, K. Yin, D. Seamans, T. Willis, S. Wong

1. CALL TO ORDER / PLEDGE OF ALLEGIANCE

Chair Dev Davis called the meeting to order at 9:05 am and led the pledge of allegiance.

2. ROLL CALL

District Secretary Dora Seamans called the roll and a quorum was confirmed.

3. GENERAL COUNSEL REPORT – CLOSED SESSION:

**a. Closed Session: Conference with Legal Counsel – Anticipated Litigation
Initiation of litigation pursuant to Government Code Section 54956.9(d)(4):**

One potential case

*The Board convened in closed session at 9:07am
The Board reconvened in regular session at 9:46am*

Public Comment

Roland Lebrun, San Jose, commented on taking public comment before adjourning to closed session.

4. GENERAL COUNSEL REPORT – REPORT OUT FROM CURRENT CLOSED SESSIONS

General Counsel Joan Cassman stated that the board just met and there was no reportable action to place on the record at this time.

5. PUBLIC COMMENT FOR ITEMS NOT ON THE AGENDA

Vaughn Wolffe, Pleasanton, commented on Bay Area Planning, reducing greenhouse gases, and China electrifying 15k miles of high speed rail.

Roland Lebrun, San Jose, commented on international high speed rail, putting budget before scenario planning on the agenda, VTA tax measures, and taking public comment.

Jeff Carter, Millbrae, commented on planning for future rail, the new ticket vending machines (TVM) allowing easier access to loading Clipper Cards, and the Staff Coordinating Council.

Aleta Dupree, Oakland, commented on presenting ideas with honey instead of vinegar.

Michelle Bouchard, Acting Executive Director, explained that the Staff Coordinating Council SCC was comprised of staff level from all three of the Joint Powers Agreement (JPA) agencies, and is:

- 1) used as an initial vetting for Board agenda items for Caltrain to understand perspectives from member agencies and
- 2) construct agendas that make sense for the Joint Powers Board

6. CONSENT CALENDAR

- a. Approve Regular Meeting Minutes of April 1, 2021**
- b. Receive Key Caltrain Performance Statistics – March 2021**
- c. Report of the Chief Financial Officer (CFO)**
- d. Accept Statement of Revenues and Expenses for the Period Ended March 31, 2021**
- e. Accept Quarterly Fuel Hedge Update**
- f. Call for a Public Hearing on Proposed Fare Structure Changes**
- g. Award of On-Call Contracts to Provide Printing Services**
- h. Authorize the Application for and Receipt of Annual Cap and Trade Funding for the Procurement of Electric Multiple Unit (EMU) Vehicles**
- i. Authorize a Scope of Work to be Performed by Meteorcomm, LLC for Technical Support Services**
- j. Authorization to Execute an Eighteen-Month Lease Extension at 2121 South El Camino Real in San Mateo to Support the Caltrain Modernization Program**
- k. State and Federal Legislative Update**
- l. Authorize Execution of Exclusive Negotiating Agreement with South City Ventures LLC for Certain South San Francisco Caltrain Station Property on Dubuque Avenue in South San Francisco, California**
- m. Update on Fiscal Year 2022 Shuttle Program Funding and Services**

Motion/Second: Stone/Chavez

Ayes: Chavez, Gee, Hendricks, Pine, Stone, Walton, Zmuda, Heminger, Davis

Noes: None

Absent: None

Public Comment

Jeff Carter, Millbrae, expressed support for the public hearing on fares, and commented on comprehensive fare proposal, 15 ride ticket, 7 day pass, and abolishing the zone system.

Aleta Dupree, Oakland, expressed support for the public hearing and fuel hedging and commented on new fare policies supporting fare capping.

Roland Lebrun, San Jose, commented on electrification completion, a half million dollars earmarked for expansion of Menlo Park/Redwood City refurbishing, moving staff and general staff in with TASI, and why Hillsdale nor South San Francisco will have level boarding.

7. REPORTS

a. Report of the Citizens Advisory Committee (CAC)

Adrian Brandt, CAC representative, stated that public comments included VTA contribution to BART, running battery options in Gilroy service and Board comments included Martin Romo stepping down effective April 21, 2021, passengers off-boarding without proper fare enforcement, schedule posted at all stations, wifi in EMUs, passenger and bicycle counters, wheelchair counting, onboard electronic monitors. He reported public comments on security cameras instead of mirrors, single bathrooms, and progress reports on EMU testing.

b. Report of the Chair

i. Report on Governance

Chair Davis announced the next special Board Meeting on May 14. She stated the most recent Governance ad hoc committee focused on the draft evaluation criteria and will use the summer to evaluate governance options. Chair Davis stated they discussed self-directed options versus regional options and how to use resources to support the governance process. Future meeting dates and times are available [online](#).

She announced three openings (3 year terms) on the Caltrain Advisory Committee for San Francisco, San Mateo, and Santa Clara County, with [applications](#) due Thursday, May 27th.

Public Comment

Motion/Second: Stone/Gee

Ayes: Chavez, Gee, Hendricks, Pine, Stone, Walton, Zmuda, Heminger, Davis

Noes: None

Absent: None

ii. Report of the Local Policy Maker Group (LPMG)

Director Jeff Gee reported on 15/19 cities attending. They discussed the overview of multiple federal funding options available, the electrification project, the corridor wide grade separation study and high speed rail.

c. Report of the Executive Director

Michelle Bouchard, Acting Executive Director, stated that:

- They have partnered with Santa Clara County Department of Public Health to offer vaccines at Diridon station and are discussing other stations near Caltrain line.

- They have re-Opened the Hillsdale station April 26th, and the overall project will be completed Fall 2021
- They have replaced the Marin & Napoleon Bridges
- Congressional members have moved forward earmarked requests
- Worked with Metropolitan Transportation Commission (MTC) to know which American Rescue Plan funds are available for Caltrain
- Are slowly seeing ridership gains, rising to 10 percent

Ms. Bouchard provided a video clip of the new electric trains in Pueblo Colorado, spoke about the enhanced performance, and risk refresh report timeline.

i. Peninsula Corridor Electrification Project (PCEP) Monthly Progress Report – March

John Funghi, CalMod Chief Officer, reported that

- The project completion is based on Balfour Beatty's actual production rate in the signal grade crossing system.
- Balfour Beatty is 2 years late advancing the signals work
- They are exploring other delivery approaches to accelerate signal work
- Costs are determined based on determination of future project risk exposure not merit
- Next month there will be more details of cause and possible mitigation impacts of the program
- The lion's share of work advancing despite signal work.
- Connections at segment 33/4 CEMOF done, 60% of poles installed
- 63 foundations done in April, 724 left to complete
- They will bring in 23 specialized technicians from Europe for train testing
- \$152M in remaining contingency with \$142M required

The Board members had a robust discussion and staff provided further clarification in response to the Board comments and questions, which included the following:

Public Comment

Jeff Carter, Millbrae, commented on the Chair's report, testing in Pueblo, seating compared to bombardier cars, acceleration testing, and Buy America.

Vaughn Wolffe, Pleasanton, commented on vaccinations, identifying testers in each area, and vaccine passports.

Jeff Carter, Millbrae, commented on press release of the EMU trains.

Aleta Dupree, Oakland, commented on masks and foundation production.

Adina Levin, Friends of Caltrain, commented on the governance workshop summary, equitable access, contributing to the budget.

Adrian Brandt, San Mateo County, commented on national electrification progress compared to international electrification.

Chair Davis called a five minute break at 10:46 a.m.

8. AWARD OF CONTRACT TO PROVIDE GENERAL COUNSEL LEGAL SERVICES

Joan Cassman & Shayna van Hoften, Hanson Bridgett Legal Counsel, left the meeting for this item.

Michelle Bouchard, Acting Executive Director, introduced Renee Marler who assisted in the procurement for general counsel.

Renee Marler, Legal Consultant, provided a presentation on the selection of general counsel. She discussed the Ad Hoc Board Committee, scope of work, procurement process, selection of Olson Remcho, and the onboarding plan.

Public Comment

Roland Lebrun, San Jose, commented on the selection process,

Aleta Dupree, Oakland, commented on legal counsel acknowledging diversity.

The Board members had a robust discussion and staff provided further clarification in response to the Board comments and questions regarding:

- Other firms submitted but not interviewed
- Which government entities Olson Remcho represents
- Quarterly reports for cost incurred for legal services

The Board thanked Hanson Bridgett LLP for their enormous work since Caltrain's inception.

Motion/Second: Chavez/stone

Ayes: Chavez, Gee, Hendricks, Pine, Stone, Walton, Zmuda, Heminger, Davis

Noes: None

Absent: None

9. POST COVID BUSINESS STRATEGY – SCENARIO PLANNING

Sebastian Petty, Deputy Chief of Planning, provided a presentation and thanked staff for putting the numbers together. He noted that these are not plans, but illustrative examples of responses to different futures.

Mr. Petty provided an overview on:

- Four Caltrain Scenarios
- Financial projections for each scenario
- Service approach by scenario
- Ridership Projections by scenario
- Conclusions
- Next steps

Public Comment

Roland Lebrun, San Jose, commented on Caltrain being a fixed cost operation, focusing on transporting large passengers competitively, European transit strategies, and reintroducing baby bullets.

Jeff Carter, Millbrae, commented on running service people want to use, attracting riders based on frequency and price, running later into the evenings and weekends.

Vaughn Wolffe, Pleasanton, commented on the train being a tool that needs to be used properly, modern trains, limiting frequency with shorter trains.

Aleta Dupree, Oakland, commented on increasing frequency.

Adrian Brandt, San Mateo County, commented on having a show-up-and-go model like BART, options during tough times, and appealing to a wider demographic.

The Board members had a robust discussion and staff provided further clarification in response to the Board comments and questions regarding the following:

- The shortfalls in these scenarios
- What are capital needs (State of Good Repair, etc.)
- If the big decline in FY24 is due to maintenance work required (Slide 20)
- The relationship between Measure RR capital needs and membership contribution
- What it means in terms of policy decisions to be made
- A Challenging financial picture going forward
- Highlighting events/millstones that precede policy decisions
- The causes of ridership growth
- While not choosing these scenarios, we have to be proactive, not reactive
- Using this time as an opportunity to analyze transit needs
- Marketing Caltrain as the least stressful way to travel while being productive
- Whether Measure RR estimate assumptions were the same in each scenario
- Each scenario needing 100 percent of Measure RR to operate
- Measure RR not enough to cover operating and capital expenses down the road

10. FISCAL YEAR 2022 PRELIMINARY OPERATING AND CAPITAL BUDGETS

Derek Hansel, Chief Financial Officer, noted that a year ago, they did not present a preliminary operating and capital budget. He thanked staff for working on it over an extended period of time.

Director Cindy Chavez left at 12:11 p.m.

Mr. Hansel provided a presentation and provided an overview on the following:

- Meeting pandemic related challenges
- Measures taken
- Areas of uncertainty in Fiscal Year 2022
- Options
- Member contributions
- Preliminary budget outlook
- Revenue assumptions
- Expenditure assumptions
- Key expense drivers
- Staff allocation for Caltrain
- Preliminary capital budget
- Unconstrained versus constrained

- Next steps

Public Comment

Adina Levin, Friends of Caltrain, commented on the budget scenario, approving scenarios to bring back service, capital budget, and funding state of good repair.

Jeff Carter, Millbrae, commented on maintaining state of good repair, lack of member contributions, and lowering costs.

Aleta Dupree, Oakland, commented on getting away from member agency contribution and avoiding borrowing.

Cliff Bargar, San Francisco, commented on adding more service to bring people back.

Andy Chow, Redwood City, commented on not shutting down last year and seeing more riders in the last month.

Roland Lebrun, San Jose, commented on ridership, transit recovery task force, member agency contributions, federal funding, independent auditors, and not seeing constrained numbers.

The Board members had a robust discussion and staff provided further clarification in response to the Board comments and questions regarding the following:

- Samtrans willing to contribute \$5 million for capital budget
- Comparing capital corridor service to Caltrain Service
- Transferring budget savings into the operating deficit
- Discussing county contributions with member agencies
- If the assumptions on ridership was conservative
- Anticipated changes to the budget presented in a month
- \$20 million deficit not including the last tranche of federal funds
- Budgeting some of the tranche funds now
- Whether zero member agency contribution was an assumption or proposal
- If Federal funds could be used for capital purposes
- Having a future policy discussion related to farebox ratio
- What amount of farebox discussion expected from ridership
- Not depending on federal funds as lifelines before ridership recovers
- Deep concern about zeroing out partner contributions for capitals as federal subsidies are uncertain
- Whether there was unconstrained bridge projects that did not make the cut for constrained
- Whether the \$10 million not spent on bridges needs to be spent by next year
- Spelling out what Measure RR is used for so it is not accidentally used twice
- What the expense for Positive Train Control (PTC) was this year

11. CORRESPONDENCE

Correspondence was available online.

12. BOARD MEMBER REQUESTS

Director Glenn Hendricks requested the link to the adopted fare policy.

Director Hendricks requested a future policy discussion related to farebox ratio.

Chair Davis requested the full cost of PTC

13. GENERAL COUNSEL REPORT

There was none.

14. DATE/TIME OF NEXT REGULAR MEETING:

Thursday, June 3, 2021 at 9:00 am via Zoom

15. ADJOURN

The meeting adjourned at 1:13 pm.

An audio/video recording of this meeting is available online at www.Caltrain.com. Questions may be referred to the Board Secretary's office by phone at 650.508.6242 or by email to Board@Caltrain.com.

DRAFT

**Peninsula Corridor Joint Powers Board
Board of Directors Meeting
1250 San Carlos Avenue, San Carlos CA**

**DRAFT MINUTES OF MAY 14, 2021
SPECIAL MEETING #2 - GOVERNANCE**

MEMBERS PRESENT: C. Chavez, D. Davis (Chair), J. Gee, G. Hendricks, S. Heminger (Vice Chair) (arrived 1:04pm), D. Pine, S. Walton,

MEMBERS ABSENT: C. Stone, M. Zmuda

STAFF PRESENT: C. Mau, M. Bouchard, D. Hansel, S. Petty, R. Johansen, J. Harrison, R. Rios, H. Husain, H. Permut, M. Jones, K. Miller, D. Seamans, S. Wong

1. CALL TO ORDER/ROLL CALL

Chair Dev Davis called the meeting to order at 1:02 pm.

District Secretary Dora Seamans called the roll and a quorum was confirmed.

2. CALTRAIN GOVERNANCE SPECIAL MEETING #2 (INCLUDING BACKGROUND INTERVIEWS AND KEY THEMES, 2021 GOVERNANCE PROCESS, AND NEXT STEPS)

Chair Davis introduced the purpose of the meeting, including the self-directed options, regional options, and the draft evaluation criteria and process. She noted the next meeting on June 25th would be dedicated to regional options.

Michelle Bouchard, Acting Executive Director, introduced Katie Miller, Facilitator, Howard Permut, Governance Consultant, and provided the meeting objectives and the 2021 roadmap. She spoke about the level of effort required, including budget.

Howard Permut, Governance Consultant, provided an overall approach to refinement and evaluation of options. He reviewed what was heard from Special Meeting #1, the three structural governance paths, and proposed governance evaluation steps:

- Self-directed options Paths A & B
- How options were derived from earlier discussions that focused on key differences and further discussion on what would make sense
- Proposed Framework for Evaluation for Self Directed Options
 - Criteria 1: Organizational Effectiveness
 - Criteria 2: Accountability and Fairness
 - Criteria 3: Practical Resource and Transition Considerations
- Output of Evaluation (3 written summaries as arguments for and against each governance option)
- Special Meeting #3 (June 25) Regional Options

The Board members had a discussion regarding the following:

- The pros and cons of the criteria, what are the benefits, risks, and rewards.
- Potential shared services with another agency other than SamTrans, such as VTA (Santa Clara Valley Transportation Authority), SFMTA (San Francisco Municipal Transportation Authority) under option 3
- Concerns that the first two options are status quo without three distinct options, and the first option is why we are here
- Staff reporting to different bosses with the first two options (with JPB not able to replace its manager/contractor)
- San Mateo County reimbursed for its funds not mentioned in the slides
- Two versions of Path C (Caltrain being part of another agency, bring in other actors)
- Option 2 would include the JPB being able to hire the Executive Director
- Transition to these options
- Costs for each path

The Board members had a discussion regarding **the 3 criteria proposed**, which included the following:

- Addressing emotional concerns from each agency in the framework
- Addressing each agency's perception of the problem
- Finding a way to put issues on the table and address issues before getting to the decision-making point in the process
- A roadmap graphic for interviews, financial analysis, etc.
- Goal is to have the evaluation criteria done by special meeting #4
- Consideration of weighing each criteria in terms of importance, such as numeric from 1 as least liked to 5 as most liked measurements
- Considering a fourth criteria to achieve a political consensus
- Considering ballot measure pros and cons and arguments for and against will help make these decisions
- Issues identified included accountability, responsiveness, transparency, and fairness
- Getting information needed to make informed decisions
- Concerns with financial analysis being the only numbers currently while transparency and accountability are less numerical

Public Comment

Roland Lebrun, San Jose, commented on political consensus versus majority consensus. He commented on option 2, SamTrans management, and San Mateo County Transit District (SMCTD) employees.

Remi Tan, Pacifica, commented on merging with other agencies for a strong regional transit network.

Adina Levin, Friends of Caltrain, commented on organizational effectiveness, debates on funding basic maintenance, and regional rail leadership.

Vaughn Wolffe, Pleasanton, commented on regional versus local opinion on running trains and changing management every five years.

Jeff Carter, Millbrae, commented on SamTrans doing a good job, poll about Caltrain and BART merging, and supporting regional rail with a one-ticket system.

The Board members had a discussion regarding **special meeting #3 Regional Options**, which included the following:

- Regional options
- Clarity on what problems they are trying to solve as related to governance and service changes
- Values, implications and deliverables

Sebastian Petty, Deputy Chief of Planning, spoke about the following topics:

- Resources required to support this process
- Costs estimated at \$2 million for Fiscal Year 2022 –not including legal or financial analysis
- Next steps
- Update options based on Board feedback, next steps, and prepare for Meeting #3 on regional options

The Board members had a discussion and staff provided further clarification in response to the Board comments and questions regarding partner agencies being aware of allocating time for legal and financial work to be done later in the year.

Public Comment

Adina Levin, Friends of Caltrain, commented on the June workshop on regional options, including goals from the last meeting (Caltrain business plan service vision) to guide regional options and delivery of complex mega projects.

Remi tan, Pacifica, commented that the public is looking for frequent service, and connectivity, including BART, ace, capital corridor, seamlessly getting from one area to the next.

Roland Lebrun, San Jose, commented on governance and train schedules, farebox not recovering due to scheduling changes, and comparing data from last year.

Jeff Carter, Millbrae, commented on frequency of service, and passing tracks in numerous locations.

Vaughn Wolffe, Pleasanton, commented on not wanting to cram people in, needing express service, and moving capacity.

Ms. Bouchard thanked everyone for their participation and spoke about next steps to define concurrence and define initial evaluation criteria.

3. ADJOURN

The meeting adjourned at 2:37 pm.

An audio/video recording of this meeting is available online at www.Caltrain.com. Questions may be referred to the Board Secretary's office by phone at 650.508.6242 or by email to Board@Caltrain.com.

DRAFT

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michelle Bouchard
Acting Executive Director

FROM: Joe Navarro
Deputy Chief, Rail Operations

SUBJECT: **KEY CALTRAIN PERFORMANCE STATISTICS – APRIL 2021**

Finance Committee Recommendation Work Program-Legislative-Planning Committee Recommendation Staff Coordinating Council Reviewed Staff Coordinating Council Recommendation

ACTION

Staff Coordinating Council recommends that the Board receive the Performance Statistics Report for April 2021.

SIGNIFICANCE

Staff will provide monthly updates to Key Caltrain Performance Statistics, Caltrain Shuttle Ridership, Caltrain Promotions, Digital Communications and Social Communications. It should be noted that this report reflects impacts from the COVID-19 pandemic.

BUDGET IMPACT

There is no budget impact.

MONTHLY UPDATE

The coronavirus (COVID-19) pandemic continues to have drastic impacts on Caltrain ridership and revenue. Ridership estimates are developed using daily conductor counts at 14 key stations and Clipper tag-ons at all stations. This methodology has been in use since April 2020.

In April 2021, Caltrain's Average Weekday Ridership (AWR) increased by 203 percent to 4,688 from April 2020 AWR of 1,547. The total number of passengers who rode Caltrain in April 2021 increased by 220 percent to 124,360 from April 2020 ridership of 38,858. The large increase is due to significant improvements of the COVID-19 pandemic.

Also, the estimated ridership increased significantly from the last month. Compared to March 2021, AWR increased by 14 percent while total ridership increased by 19 percent.

This month ticket sales changed from April 2020 for:

- One Way tickets: +235.7 percent
- ED One Way tickets: +208.7 percent
- Day Passes: +522.6 percent
- ED Day Passes: +576.9 percent
- Monthly Passes: +99.4 percent
- ED Monthly Passes: +43.5 percent

Other ticket sales and farebox revenue statistics trended as follows:

- Caltrain Mobile Ticketing accounted for 10.4 percent (12,945 rides) of the monthly ridership and 5.8 percent (\$82,840) of the monthly ticket sales revenue.
- Number of Eligible Go Pass Employees decreased to 39,358 from 87,204 from April 2020.
- Number of the participating Go Pass Companies decreased to 23 in April 2021 from 121 in April 2020.
- Total Farebox Revenue decreased by 47 percent to \$1,424,960 from April 2020.

The decrease in farebox revenue was primarily due to ridership impacts from the COVID-19 pandemic and the reduced number of participating Go Pass Companies.

On-time performance (OTP) for April 2021 was 93.9 percent compared to 94.3 percent for April 2020.

Regarding customer service statistics, the number of complaints per 100,000 passengers in April 2021 is not provided due to the significant decrease in ridership due to COVID-19 pandemic.

Shuttle ridership for April 2021 decreased 76.8 percent from April 2020. For station shuttles, the Millbrae-Broadway shuttle is averaging 19 daily riders. Due to the loss of Bay Area Air Quality Management District grant funding for the CY 2021 grant cycle due to reduced COVID-19 ridership impacts, the Marguerite Shuttle will no longer be included in monthly shuttle ridership reporting. As a result, Caltrain shuttle ridership has been retroactively adjusted from January 2021 through March 2021 and FY21 YTD shuttle ridership has been adjust accordingly. The other shuttles impacted by the loss in funding (East Bayshore shuttle, West Bayshore shuttle and Mission College shuttle) have been suspended due to COVID-19 and thus shuttle ridership reporting is not impacted by these routes.

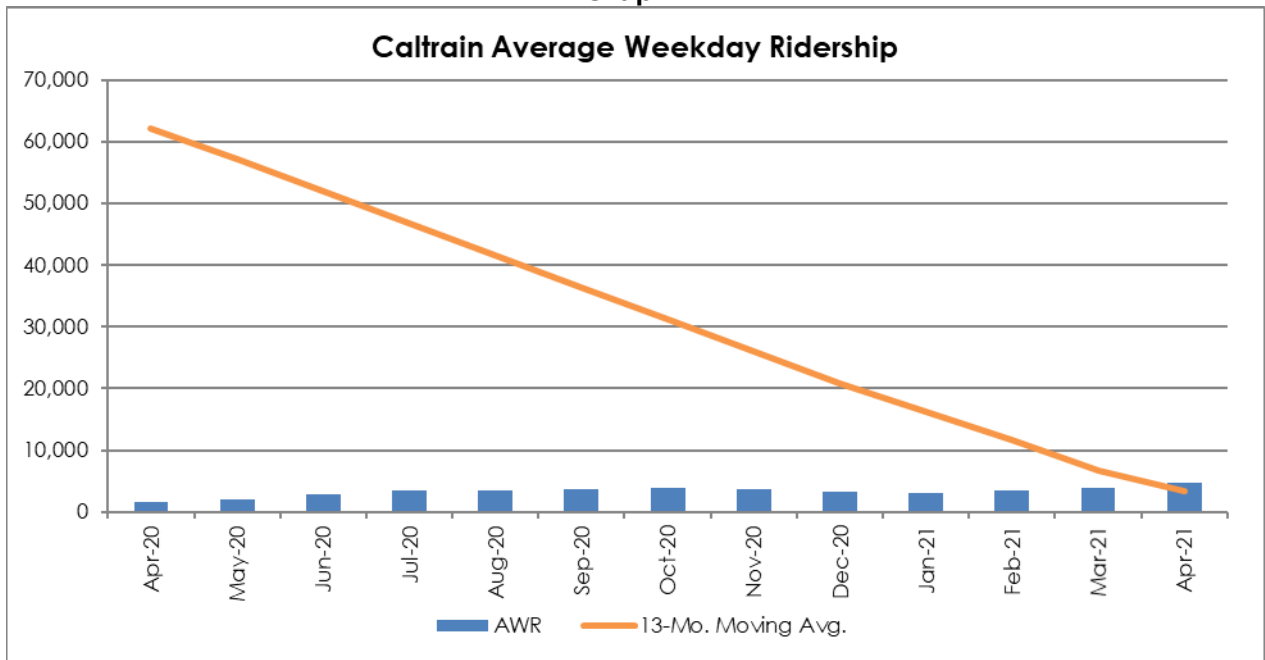
Table A
April 2021

	FY2020	FY2021	% Change
Total Ridership	38,858	124,360	220.0%
Average Weekday Ridership	1,547	4,688	203.0%
Total Farebox Revenue	\$ 2,689,917	\$ 1,424,960	-47.0%
On-time Performance	94.3%	93.9%	-0.4%
Average Weekday Caltrain Shuttle Ridership	616	143	-76.8%

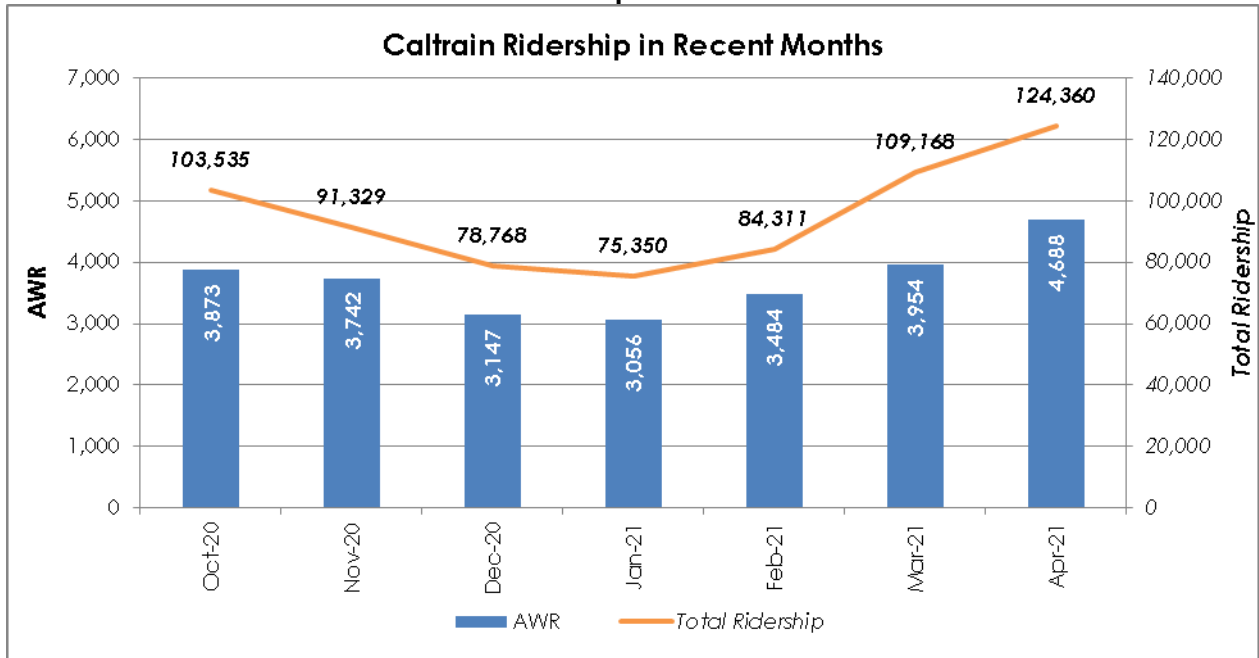
Fiscal Year to Date

	FY2020	FY2021	% Change
Total Ridership	13,730,194	942,892	-93.1%
Average Weekday Ridership	59,973	3,655	-93.9%
Total Farebox Revenue	\$ 79,348,428	\$ 28,142,218	-64.5%
On-time Performance	93.9%	94.1%	0.2%
Average Weekday Caltrain Shuttle Ridership	7,334	968	-86.8%

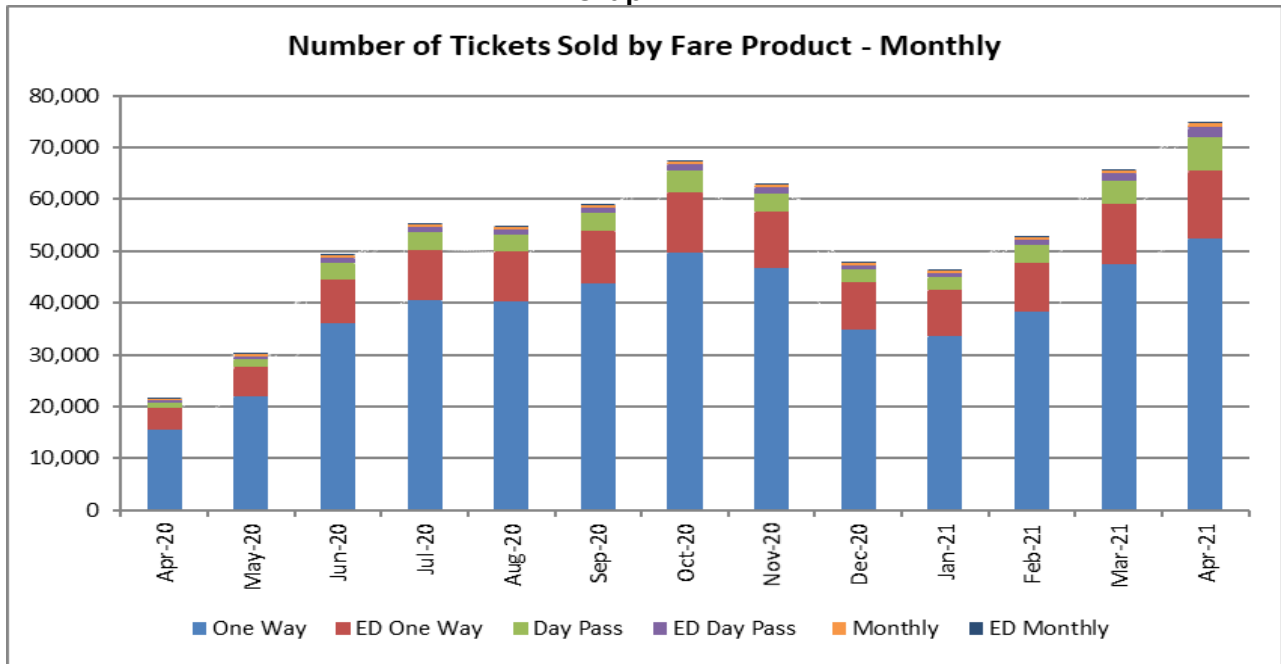
Graph A1



Graph A2

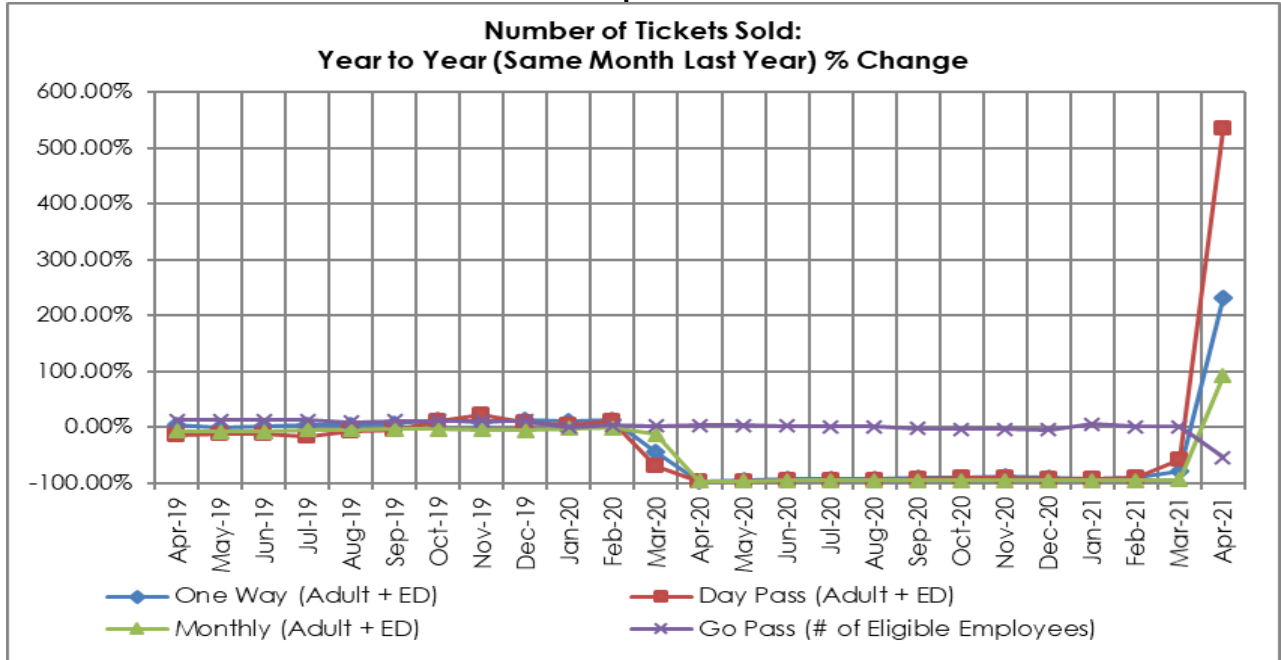


Graph B

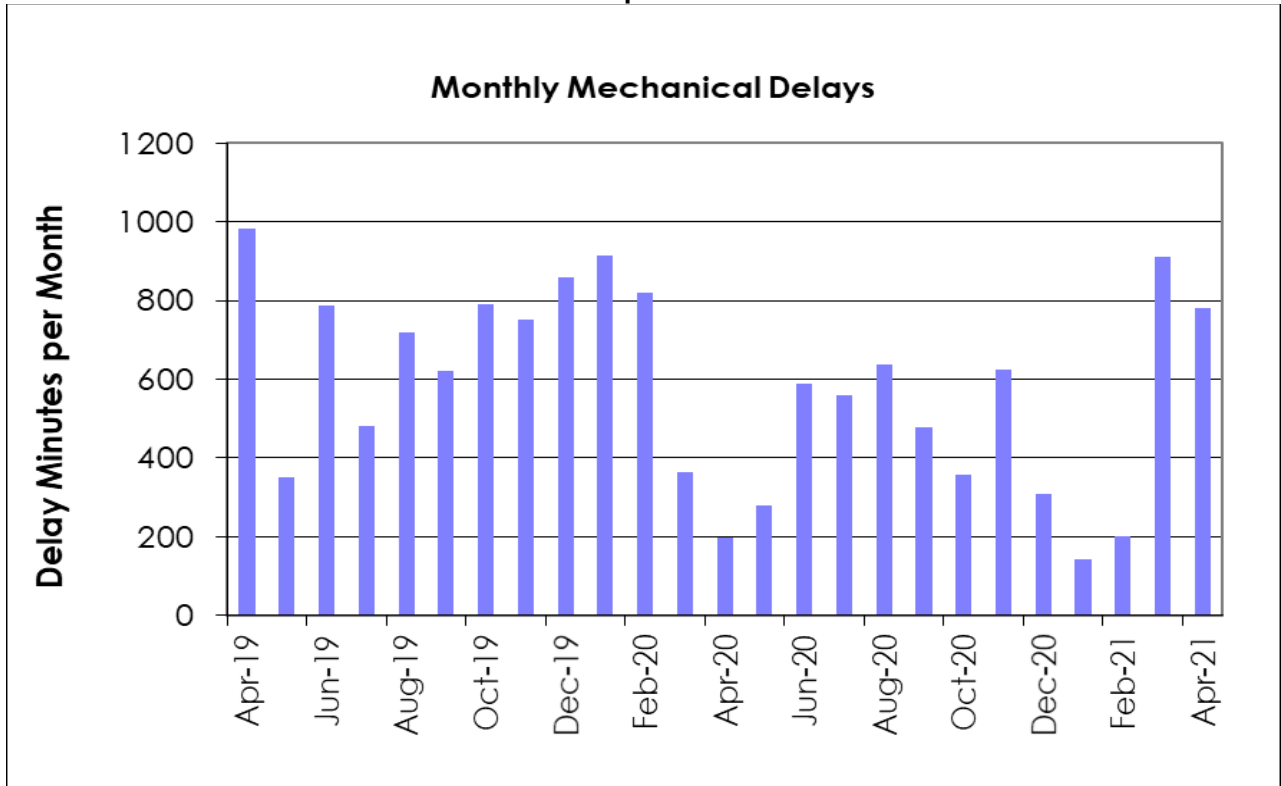


**Go Passes tracked by Monthly Number of Eligible Employees (not by Sales)*

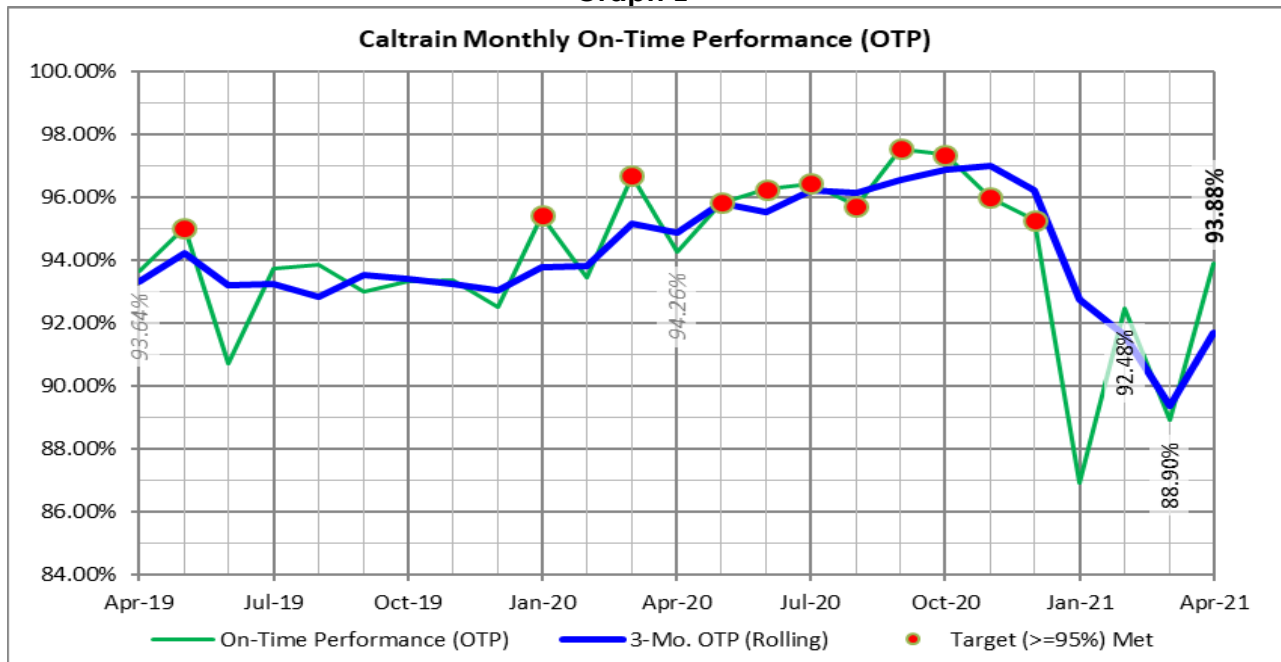
Graph C



Graph D



Graph E



Caltrain Communication and Marketing Campaigns for April 2021:

- New Hillsdale Station Opening
- SF Weekend Closures: Marin & Napoleon Rail Bridge Replacement
- Take Caltrain to the Game - SF Giants Baseball, Golden State Warriors Basketball
- Modernizing for the Future: On the Test Track with Electric Trainset
- New Caltrain Website User Experience Survey
- 20% Off Caltrain Monthly Pass (ongoing)
- Clipper Start (ongoing)
- New Bike Lockers Throughout Corridor (ongoing)
- Upgraded Ticket/Clipper Vending Machines (ongoing)

Digital Communications Report:

Caltrain Website - In April website visitors initiated 184,680 sessions on Caltrain.com. Up from March (158K) but down significantly from pre-pandemic April 2019, at 837K sessions. The pandemic low was 85K sessions in April, 2020. The homepage featured promotions for Healthy Transit, Giants baseball, 20% Off Monthly Pass, CalMod and Hillsdale Station opening.

New Website Project - Work on the new Caltrain website continued in April with developments in map displays and other readouts using our GTFS. A public user experience survey of some test designs went on in April and has so far garnered more than 100 responses. FivePaths (and InkeDesign) meet weekly with Comms staff to

discuss the project. Content review of existing pages is in progress now. This process will quality check content before moving it to the new development site.

Caltrain Social Communications:

April Messaging: The Hillsdale Station Opening messaging was enthusiastically received on social media driving significant engagement. Other notable social messages that garnered engagement: Electrification content continues to be popular, spreading our message of progress. A viral tweet critiquing Elon Musk's Tesla Tunnel rollout in Vegas drove significant conversation about transit. We also had engagement with Giants service, TikTok founder and his Caltrain inspiration-story, return to Chase Center and Warriors, new Clipper app and the Bayshore Weekend Closure.

Top Discussed Topics: Compliments, Electrification, Hillsdale Station, Delays, COVID

Followers: During the pandemic the Caltrain following mimicked ridership and dropped from about 180K to 179K followers, ending 8 years of gains. Growth on TikTok has largely staved off further losses. Twitter, largely driven by service announcements, has led the follower losses with more than 2,000 followers having left or been deleted by Twitter.

Prepared by:	Patrice Givens - Administrative Analyst II	650.508.6347
	Robert Casumbal - Director, Marketing & Research	650.508.7924
	Jeremy Lipps - Manager, Digital Communication	650.622.7845

PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT

TO: Board of Directors

THROUGH: Michelle Bouchard
Acting Executive Director

FROM: Derek Hansel
Chief Financial Officer

SUBJECT: **AUTHORIZE EXECUTION OF CONTRACTS FOR INFORMATION TECHNOLOGY
LICENSES, MAINTENANCE SERVICES, AND PROFESSIONAL SERVICES**



Finance Committee
Recommendation



Work Program-Legislative-Planning
Committee Recommendation



Staff Coordinating
Council Reviewed



Staff Coordinating Council
Recommendation

ACTION

Staff Coordinating Council recommends the Board authorize the Acting Executive Director, or her designee, to enter into contracts greater than \$150,000 with original equipment manufacturers, product licensors and their distributors or consultants, directly and without the utilization of cooperative purchasing agreements, if not available, or competitive solicitations, if not applicable, to procure new software licenses, maintenance, and support services, recurring maintenance services and license renewals necessary to permit continued effective use and upkeep of Peninsula Corridor Joint Powers Board (JPB) information technology hardware and software used for the management and oversight of Caltrain. The proposed action also will apply to contracts for the provision of single/sole source professional services necessary to expand or modify previously competitively procured proprietary software when an original provider is the only source of such services. Expenditures with manufacturers, vendors, and consultants under this authority will not exceed the budgeted amount of \$1 million throughout Fiscal Year (FY) 2022.

SIGNIFICANCE

Delegation of contract approval authority will allow the JPB to pay for new software licenses, maintenance and support services, recurring maintenance services, additional licenses, license renewal fees, and professional services for proprietary software greater than \$150,000 without bringing individual actions before the Board for approval. This delegation would not eliminate the requirement that other procurement policies and procedures be followed. A quarterly report indicating contracts awarded during the prior quarter will be submitted to the Board.

Recurring support and license agreements are, by their nature, repetitive and routine, and are required to ensure the continued and effective operation of information

technology assets owned by the JPB. The sole source purchase of additional modules to existing software or professional services to modify existing proprietary software will allow the JPB's changing business needs to be met in a timely manner.

Delegating this authority expedites the JPB's ability to continue needed operations and services in the management of Caltrain and reduces the time and resources otherwise required to obtain individual approval of such support and license agreements.

BUDGET IMPACT

Funds for these purchases are programmed in the proposed FY 2022 Operating and Capital Budgets.

BACKGROUND

Software and hardware are typically sold with licenses and maintenance agreements that require periodic renewal. Failing to renew maintenance support means loss of software updates, and problems obtaining resolution assistance and repair services typically needed to keep a product in good operating order. In some cases, the product may not be legally used if maintenance and license renewals have not been obtained.

It is not always possible to find cooperative purchasing agreements with contracts for the necessary maintenance support and license renewals. This is particularly true for transit industry-specific information technology products. The types of licensing and maintenance agreements contemplated are generally unobtainable under any other method because they are proprietary to the manufacturers of the software. Similarly, many manufacturers do not allow third-parties to access source code or provide services. As a result, professional services to upgrade, modify, or add to existing software must be performed by the original manufacturer.

JPB assets requiring payment of recurring annual or multi-year maintenance services, support and license fees over \$150,000 that may need to be accommodated in FY 2022 outside of cooperative purchase agreements or other pre-existing contracts include, but are not necessarily limited to, documentation management and collaboration software for construction and engineering management, such as:

- ARINC
- Penta
- Ventek (Caltrain TVM upgrade)
- Carahsoft-Oracle Aconex

Contract Administrator: Shruti Ladani
Project Manager: Mehul Kumar, Executive Officer, IT

650.622.7857
650.508.6206

RESOLUTION NO. 2021 –

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

**AUTHORIZING EXECUTION OF CONTRACTS FOR INFORMATION TECHNOLOGY LICENSES,
MAINTENANCE SERVICES AND PROFESSIONAL SERVICES FOR AN AGGREGATE
NOT-TO-EXCEED AMOUNT OF \$1 MILLION FOR FISCAL YEAR 2022**

WHEREAS, the Peninsula Corridor Joint Powers Board (JPB) will require continuing product support and licenses for information technology hardware and software throughout Fiscal Year (FY) 2022 to permit the continued effective use and upkeep of information technology assets owned by the JPB; and

WHEREAS, maintenance support and software license agreements for the information technology assets in use are, by their nature, repetitive and routine; and

WHEREAS, the JPB will also require professional services necessary to expand or modify previously competitively procured proprietary software when an original provider is the only source of such services; and

WHEREAS, Staff recommends that the Acting Executive Director, or her designee, be authorized to execute contracts greater than \$150,000 with original equipment manufacturers, product licensors, and their authorized distributors and consultants to meet the JPB's technology requirements for FY 2022, pursuant to the JPB's procurement authority and policy, up to an aggregate not-to-exceed amount of \$1 million.

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

1. Authorizes the procurement of new software licenses, maintenance, and support services agreements for information technology, pursuant to the JPB's

procurement authority and policy, in an aggregate not-to-exceed amount of \$1 million for Fiscal Year 2022; and

2. Authorizes the Acting Executive Director, or her designee, to enter into contracts exceeding \$150,000 with original equipment manufacturers, product licensors, or their authorized distributors for recurring product support and additional licenses, and license renewals necessary to permit continued effective use and upkeep of JPB-owned information technology hardware and software; and

3. Authorizes the Acting Executive Director, or her designee, to enter into contracts greater than \$150,000 with original equipment manufacturers, product licensors, or their authorized consultants for the provision of single/sole source professional services necessary to expand or modify previously competitively procured proprietary software when an original provider is the only source of such services; and

4. Authorizes the Acting Executive Director or her designee to execute all necessary purchase orders, contracts, and other documents and to take such other actions as may be necessary to give effect to this Resolution; and

5. Requests the Acting Executive Director, or her designee, to provide a report to the Board of Directors on a quarterly basis advising of actions taken pursuant to the authority conferred by this Resolution.

Regularly passed and adopted this 3rd day of June, 2021 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary

PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT

TO: Board of Directors

THROUGH: Michelle Bouchard
Acting Executive Director

FROM: Derek Hansel
Chief Financial Officer

SUBJECT: **AUTHORIZE EXECUTION OF CONTRACTS FOR TECHNOLOGY-RELATED PRODUCTS AND SERVICES THROUGH PIGGYBACKING CONTRACTS AND COOPERATIVE PURCHASING PROGRAMS**

Finance Committee Recommendation Work Program-Legislative-Planning Committee Recommendation Staff Coordinating Council Reviewed Staff Coordinating Council Recommendation

ACTION

Staff recommends the Board authorize the Acting Executive Director, or her designee, to enter into contracts greater than \$150,000 with vendors through piggybacking contracts and cooperative purchasing agreements, as required, for the purchase, lease and/or rental of computer and telecommunications equipment and related services, digital reprographic equipment, hardware, software, licensing, installation and configuration of telecommunications equipment, maintenance agreements, computer peripherals, and temporary technology consultants. Expenditures with vendors under these programs will not exceed the budgeted amount of \$1 million throughout Fiscal Year (FY) 2022. Cooperative agreements used may include, but are not limited to:

- California Integrated Information Network (CALNET)
- Sourcewell
- State of California Department of General Services (DGS)/California Multiple Award Schedule (CMAS)
- National Association of State Procurement Officials (NASPO) Valuepoint
- National Cooperative Procurement Partners (NCPP)
- Federal General Services Administration (GSA)
- OMNIA Partners
- The Interlocal Purchasing System (TIPS Purchasing Cooperative)

SIGNIFICANCE

Approval of this contracting authority will provide the Peninsula Corridor Joint Powers Board (JPB) with a cost-effective means to support its standardization policy and provide the latest technology and related services through cooperative

intergovernmental purchasing programs. Contracts issued under this authority will address the JPB's requirements for equipment, hardware, software, services, licensing, maintenance agreements, and programmed replacement of equipment that has reached the end of its useful life or has become unsuited to address the JPB's future needs. A quarterly report indicating contracts awarded during the prior quarter will be submitted to the Board.

BUDGET IMPACT

Funds for these purchases are programmed in the proposed FY 2022 Operating and Capital Budgets.

BACKGROUND

Given the rapidly changing technology of information system hardware, software, and related services, various cooperative purchasing programs and piggyback purchasing are available to provide these products and services. The JPB follows the San Mateo County Transit District's procurement policy and manual, which allow for the use of cooperative purchasing programs and piggyback purchasing. Special districts are given statutory permission to procure competitively-priced goods and services arising out of these vendor agreements. The Federal Government's own General Services Administration Schedules (also referred to as Multiple Award Schedules and Federal Supply Schedules) also can be utilized. By utilizing such cooperative purchasing programs and piggyback purchasing, the JPB saves considerable time and expense associated with independent procurements, which would be unlikely to yield more favorable pricing or service.

All vendors selected will hold valid agreements under the corresponding cooperative purchasing programs. Contracts will be executed only with vendors whose contracts were awarded under a cooperative buying agreement on a basis that complies with the JPB's procurement authority and policy, and will include the JPB's terms and conditions, as appropriate. Other cooperative purchasing consortia may be added to this program and utilized for the acquisition of technology items during FY 2022, but only to the extent each fully complies with the JPB's procurement authority and policy.

Contracts issued by individual governmental entities that allow other jurisdictions to use the contract they establish are called piggybacking contracts because they allow the agency to "piggyback" on the other governmental entities' solicitation process, contract terms and pricing. Contracts will be executed only with vendors whose contracts include piggybacking language on a basis that complies with the JPB's procurement authority and policy.

Contract Administrator: Shruti Ladani
Project Manager: Mehul Kumar, Executive Officer, IT

650.622.7857
650.508.6206

RESOLUTION NO. 2021 –

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

AUTHORIZING EXECUTION OF CONTRACTS FOR TECHNOLOGY-RELATED PRODUCTS AND SERVICES THROUGH PIGGYBACK CONTRACTS AND COOPERATIVE PURCHASING PROGRAMS FOR AN AGGREGATE NOT-TO-EXCEED AMOUNT OF \$1 MILLION FOR FISCAL YEAR 2022

WHEREAS, the Peninsula Corridor Joint Powers Board (JPB) will require new personal computers, computer, and telecommunications equipment and related services, digital reprographic equipment, software, hardware, licensing and maintenance agreements, computer peripherals, and temporary technology consultants throughout Fiscal Year (FY) 2022, to fulfill new technology requirements, to support the JPB's standardization policy, and to replace technology equipment that has reached the end of its useful life; and

WHEREAS, in light of the need to standardize, update and purchase the latest technology in personal computers, telecommunications equipment, and other related equipment and services in the most cost-effective manner, the JPB has determined that an independent JPB-initiated solicitation process for the procurements described above is unlikely to be in the JPB's best interest; and

WHEREAS, piggybacking on other agencies' procurements as well as participating in cooperative purchasing consortia including, but not limited to, the California Integrated Information Network (CALNET), the State of California Department of General Services (DGS)/California Multiple Award Schedule (CMAS), Sourcewell, the National Association of State Procurement Officials (NASPO) Valuepoint, the National Cooperative Procurement Partners (NCP), the Federal General Services Administration

(GSA), OMNIA Partners, and the Interlocal Purchasing System (TIPS Purchasing Cooperative), allows the JPB to procure favorably-priced technology systems equipment and related services; and

WHEREAS, Staff recommends, and the Acting Executive Director concurs, that the JPB participate in the above-mentioned programs, as well as additional cooperative purchasing programs and piggyback purchasing, to the extent such programs fully comply with the JPB's procurement authority and policy; and

WHEREAS, staff recommends that the Acting Executive Director, or her designee, be authorized to enter into contracts greater than \$150,000 with vendors under JPB-approved cooperative purchasing programs and piggyback purchasing to meet its personal computer, telecommunications equipment, and other related technology equipment and services requirements for FY 2022, pursuant to the terms and conditions of each program's vendor agreements, up to an aggregate not-to-exceed amount of \$1 million.

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

1. Determines that an independent JPB-initiated solicitation process for each purchase, lease and/or rental of new personal computers, computer and telecommunications equipment and services, digital reprographic equipment, hardware, software, licensing and maintenance agreements, computer peripherals and temporary technology consultants is unlikely to be in the JPB's best interest; and
2. Authorizes the procurement of technology systems equipment and related services through JPB-approved cooperative purchasing programs and piggyback contracts to meet its technology equipment and services requirements for

FY 2022 pursuant to the terms and conditions of each vendor agreement and to the extent that each cooperative purchasing program and each vendor agreement fully complies with the JPB's procurement authority and policy; and

3. Authorizes the Acting Executive Director or her designee to enter into contracts greater than \$150,000 with vendors under the JPB-approved cooperative purchasing programs and piggyback purchasing up to an aggregate, not-to-exceed, amount of \$1 million for FY 2022; and

4. Authorizes the Acting Executive Director, or her designee, to execute all necessary purchase orders, contracts and other documents to effectuate this resolution, including any agreements with other agencies' cooperative purchasing programs and piggyback purchasing for administrative fees for processing these purchases; and

5. Requests the Acting Executive Director, or her designee, to provide a report to the Board of Directors on a quarterly basis advising of actions taken pursuant to the authority conferred by this resolution.

Regularly passed and adopted this 3rd day of June, 2021 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary

PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT

TO: Joint Powers Board

THROUGH: Michelle Bouchard
Acting Executive Director

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

SUBJECT: **AUTHORIZATION TO EXECUTE MASTER AGREEMENT AND PROGRAM SUPPLEMENTS FOR STATE-FUNDED TRANSIT PROJECTS**

Finance Committee Recommendation Work Program-Legislative-Planning Committee Recommendation Staff Coordinating Council Reviewed Staff Coordinating Council Recommendation

ACTION

Staff recommends that the Board of Directors (Board) of the Peninsula Corridor Joint Powers Board (JPB):

1. Enter into a new 10-year Master Agreement (MA) with the California Department of Transportation (Caltrans) Division of Rail and Mass Transportation to remain eligible to receive State funding for transit projects; and to
2. Execute subsequent Program Supplements to receive funding for specific project(s), and to allow for the release and payment of State funds for these projects.

SIGNIFICANCE

Caltrans Division of Rail and Mass Transportation has prepared a new MA that establishes the general terms and conditions that are applicable to all local agencies that receive State funds for transit projects. Execution of the new MA is required prior to the execution of project-specific Program Supplements, and is needed to ensure that the JPB continues to remain eligible to receive funding from the Caltrans Division of Rail and Mass Transportation.

BUDGET IMPACT

There is no impact to the budget. Projects funded through Caltrans Division of Rail and Mass Transportation Program Supplements are approved by the Board as part of the adoption of and/or amendments to the capital budgets. Program Supplements provide the mechanism for the JPB to receive funding from Caltrans to carry out approved capital projects.

BACKGROUND

All project sponsors who receive transit funding from Caltrans are required to execute a new MA once every 10 years. The JPB's current MA with Caltrans Division of Rail and Mass Transportation expires in June 2021. The terms of the new MA are substantially the same as the existing MA and have been reviewed by the JPB's attorney.

Prepared by:

Leslie Fong, Senior Grants Analyst

650.508.6332

RESOLUTION NO. 2021 –

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

*** * ***

**AUTHORIZING EXECUTION OF A MASTER AGREEMENT WITH THE CALIFORNIA
DEPARTMENT OF TRANSPORTATION AND PROGRAM SUPPLEMENTS FOR
STATE-FUNDED TRANSIT PROJECTS**

WHEREAS, the Peninsula Corridor Joint Powers Board (JPB) may receive funding from the California Department of Transportation (Caltrans) Division of Rail and Mass Transportation now or sometime in the future for transit related projects; and

WHEREAS, the statutes related to state-funded transit projects require a local or regional implementing agency to execute an agreement with the Department before it can be reimbursed for project expenditures; and

WHEREAS, Caltrans utilizes Master Agreements (MA), along with associated Program Supplements, for the purpose of administering and reimbursing State funds to local agencies for transit projects; and

WHEREAS, the JPB's existing MA with Caltrans expires June 6, 2021; and

WHEREAS, Caltrans has presented the JPB with a new 10-year MA for approval and execution to satisfy the requirements described above; and

WHEREAS, the terms and conditions of the new MA are substantially the same as the existing MA and have been reviewed by the JPB's attorney; and

WHEREAS, the JPB must enter into the new MA to remain eligible to receive State funding for transit projects; and

WHEREAS, staff recommends that the JPB authorize the Acting Executive Director or designee to execute the MA and any subsequent project-specific Program Supplements, and any amendments thereto.

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

1. Authorizes the Acting Executive Director, or designee, to execute a Master Agreement with the California Department of Transportation, all subsequent Program Supplements for State-funded transit projects, and any amendments thereto; and
2. Agrees to comply with all conditions and requirements set forth in the Master Agreement, project-specific Program Supplements, and applicable statutes, regulations and guidelines for all State-funded transit projects.

Regularly passed and adopted this 3rd day of June, 2021 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary

PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT

TO: Joint Powers Board

THROUGH: Michelle Bouchard
Acting Executive Director

FROM: Stacy Cocke
Deputy Director, Program Management & Environmental Compliance,
Caltrain Modernization Program

SUBJECT: **AUTHORIZE A CHANGE ORDER TO THE PENINSULA CORRIDOR
ELECTRIFICATION PROJECT CONTRACT WITH ARINC FOR SUPERVISORY
CONTROL AND DATA ACQUISITION (SCADA) DATABASE CHANGES**



Finance Committee
Recommendation



Work Program-Legislative-Planning
Committee Recommendation



Staff Coordinating
Council Reviewed



Staff Coordinating Council
Recommendation

ACTION

Staff recommends the Board authorize the Acting Executive Director, or designee, to execute a change order to the Peninsula Corridor Electrification Project (PCEP) Traction Power Facility Supervisory Control and Data Acquisition (SCADA) System contract with ARINC, Inc. (ARINC) for database changes for a total of not-to-exceed amount of \$230,000, in a form approved by legal counsel.

SIGNIFICANCE

The SCADA system will monitor the traction power facilities for the new electrified Caltrain system and infrastructure, and provide health monitoring data and indicators to the Caltrain Central and Back-up Control Facilities using a database of SCADA points. The PCEP design-build infrastructure contract with Balfour Beatty Infrastructure, Inc. (BBII) requires BBII to develop a SCADA points list for inclusion in the database, including points that reflect the PCEP traction power facilities design..

In October 2020, BBII provided the JPB with what was determined at that time to be the final SCADA points list. In October 2020, JPB provided that SCADA points list to ARINC to begin the database development. Since that time, BBII has submitted three additional points lists to the JPB to incorporate all required indications (i.e. fire alarms, traction power facility (TPF) intrusion detection and gas pressure alarms).

Because BBII's SCADA points list received in October 2020 did not include all of BBII's contractually-required indications, the JPB has secured agreement from BBII for BBII to compensate the JPB for the cost of ARINC's additional database work under the proposed change order.

Staff and ARINC have agreed upon a change order price that staff determined is fair and reasonable. This change order has been approved by the PCEP Change Management Board.

BUDGET IMPACT

This contract change order will be funded by BBII without requiring a PCEP budget amendment.

BACKGROUND

The PCEP is a key component of the Caltrain Modernization (CalMod) Program. The PCEP will electrify the Caltrain Corridor from San Francisco's 4th and King Caltrain Station to approximately the Tamien Caltrain Station, convert diesel-hauled to electric trainsets ("Electric Multiple Unit" or "EMU"), and increase service to up to six Caltrain trains per peak hour per direction.

The ARINC contract scope is to provide the Traction Power Facility SCADA system. This system provides real-time health and monitoring information from the 10 TPFs to the Caltrain Central Control and Back-up Control Facilities.

Pursuant to Resolution 2017-40, the Board of Directors authorized the Executive Director to enter into change orders of up to 15% of the ARINC Contract. As the proposed change order would be specifically approved by the Board, the proposed action will not decrease the Executive Director's remaining change order authority.

Prepared By :

Stacy Cocke , Program Management &
Environmental Compliance, Caltrain Modernization Program 650.730.7262

RESOLUTION NO. 2021 –

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

*** * ***

**AUTHORIZING THE EXECUTIVE DIRECTOR TO EXECUTE A CHANGE ORDER TO THE
PENINSULA CORRIDOR ELECTRIFICATION PROJECT CONTRACT WITH ARINC, INC. FOR
SUPERVISORY CONTROL AND DATA ACQUISITION DATABASE CHANGES**

WHEREAS, the Peninsula Corridor Electrification Project (PCEP), a key component of the Caltrain Modernization Program, will electrify the Caltrain Corridor from San Francisco's 4th and King Caltrain Station to approximately the Tamien Caltrain Station, replace diesel-hauled trainsets with Electric Multiple Unit (EMU) trainsets, and increase service to up to six Caltrain trains per peak hour per direction; and

WHEREAS, the primary purposes of the PCEP are to improve Caltrain system performance and to reduce long-term environmental impacts associated with Caltrain service by reducing noise, improving regional air quality and reducing greenhouse gas emissions; and

WHEREAS, on August 3, 2017, the Board of Directors (Board) of the Peninsula Corridor Joint Powers Board (JPB), by means of Resolution No. 2017-40, awarded a contract to ARINC, Inc. (ARINC) for the development of a traction power facility Supervisory Control and Data Acquisition (SCADA) system for PCEP (Contract); and

WHEREAS, the SCADA system will monitor health indications and alarms at the ten traction power facilities that will provide electrical power to the EMUs, and transmit this information to the Caltrain Central and Back-up Control Facilities; and

WHEREAS, Balfour Beatty, Inc. (BBII), the PCEP infrastructure design-build contractor, is contractually required to provide input (known as the SCADA points list) from the traction power facility design to form the basis of the ARINC SCADA database; and

WHEREAS, after BBII provided what was understood to be the final SCADA point list to the JPB for ARINC to use in developing the SCADA database, BBII provided subsequent SCADA points lists which will require additional efforts outside the scope of the ARINC contract; and

WHEREAS, staff has negotiated a contract change order with ARINC to conduct the additional work required at a cost not to exceed \$230,000, which staff has determined is a fair and reasonable price.

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the Peninsula Corridor Joint Powers Board authorizes the Acting Executive Director to execute the ARINC contract change order described above for ARINC to perform additional traction power facility SCADA database changes in an amount not to exceed \$230,000.

Regularly passed and adopted this 3rd day of June, 2021 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michelle Bouchard
Acting Executive Director

FROM: Derek Hansel
Chief Financial Officer

SUBJECT: **AUTHORIZE AN AMENDMENT TO THE AGREEMENT WITH HDR ENGINEERING, INC. FOR ENGINEERING CONSULTANT DESIGN SERVICES**



Finance Committee
Recommendation



Work Program-Legislative-Planning
Committee Recommendation



Staff Coordinating
Council Reviewed



Staff Coordinating Council
Recommendation

ACTION

Staff Coordinating Council recommends the Board authorize an amendment to the Engineering Consultant Design Services agreement with HDR Engineering Inc. (HDR) to increase the maximum aggregate not-to-exceed amount by \$1,200,000, from \$6,204,353 to \$7,404,353, for the 25th Avenue Grade Separation Project (Project).

SIGNIFICANCE

The Peninsula Corridor Joint Powers Board (JPB) has engaged HDR to provide Engineering Consultant Design Services. Since the contract was executed in 2019, significant project delays and additional scope of work have resulted in a need to increase capacity for the Project. In order to maintain continuity of engineering services on the Project, to avoid the duplication of efforts and unnecessary expense required to integrate a new engineering consultant on the Project, and to avoid further Project delays, staff has determined that it is in the JPB's best interests to engage HDR to continue to provide the required engineering consultant design services to support the Project through June 30, 2022.

BUDGET IMPACT

The Project is funded from approved capital budgets using a variety of funding mechanisms and sources.

BACKGROUND

On June 6, 2019, the Board of Directors, through Resolution No. 2019-23, authorized the award of an engineering consultant design services contract to HDR for a three-year term for a maximum aggregate not-to-exceed amount of \$5,640,321. On May 4th, 2021, staff amended the contract with HDR under the Executive Director's authority to extend the schedule through June 30, 2022 and exercised the Executive Director's 10%

contingency to increase the contract amount by \$564,032 for a total not-to-exceed amount of \$6,204,353.

The Project has experienced significant delays and increases in scope that require continued design services during construction (DSDC). Additional funds and DSDC support are needed for completion of modifications to the Condon Lumber Yard access on 25th Avenue, bicycle storage at the Hillsdale Station, and the City of San Mateo Sanitary Sewer Bypass. Furthermore, added scope for the Parking Track Design and related DSDC services were not included in the original scope of work for HDR, and thus additional funds, support and time are needed for this effort. Finally, the relocation of a PG&E gas line from the JPB Right-of-Way to Delaware Street south of 31st Avenue, in support of the City of San Mateo Storm Drain Relocation project, requires added DSDC services. HDR completed the Project design and has supported the Project through construction. Based on the expected cost and duration for Project completion, staff has concluded it is in the JPB's best interest to approve the request to increase the maximum aggregate amount of the HDR contract by a not-to-exceed amount by \$1,200,000, from \$6,204,353 to \$7,404,353, for the Project.

Prepared
By:

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RESOLUTION NO. 2021-

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

* * *

**AUTHORIZING AN AMENDMENT TO THE CONTRACT WITH HDR ENGINEERING, INC., FOR
ENGINEERING CONSULTANT DESIGN SERVICES AGREEMENT TO INCREASE THE TOTAL
CONTRACT AMOUNT BY \$1,200,000**

WHEREAS, pursuant to Resolution 2019-23, the Board of Directors (Board) of the Peninsula Corridor Joint Powers Board (JPB) awarded an engineering consultant design services contract to HDR Engineering, Inc. (HDR) of Walnut Creek, California, for a three year term for a maximum aggregate not to-exceed amount of \$5,640,321 (Contract); and

WHEREAS, the JPB executed the 10% contingency to increase the Contract capacity by \$564,032, for a total not-to-exceed amount of \$6,204,353, and extended HDR's services through June 2022; and

WHEREAS, HDR has been providing engineering design services for the 25th Avenue Grade Separation Project (Project), and the JPB requires ongoing and continuous engineering design services for the Project; and

WHEREAS, due to several unanticipated factors, design changes, and project delays that developed following the award of this contract, including conflicts with existing utilities the Project experienced delays and increased in scope; and

WHEREAS, there is insufficient capacity in the current contract for HDR to perform this added scope; and

WHEREAS, should the JPB change design consultants on the Project, the JPB would incur substantial cost, loss of quality and further Project delays, and the JPB would have difficulty attracting other firms because the Project has been substantially designed by HDR; and

WHEREAS, in order to maintain continuity of services on the Project, avoid the duplication of efforts and unnecessary expense required to integrate a new Engineering and Design Services Consultant, and avoid additional Project delays, the JPB has determined that it is in the JPB's best interest for HDR to continue to provide the required services to support the Project through the end of the contract term, June 30, 2022; and

WHEREAS, the Interim Executive Director recommends that the Board authorize an amendment to the Engineering Consultant Design Services Contract with HDR, to increase the maximum aggregate not-to-exceed contract amount by \$1,200,000, from \$6,204,353 to \$7,404,353.

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby authorize the Executive Director, or designee, to execute an amendment to the contract for Engineering Consultant Design Services with HDR Engineering, Inc. of Walnut Creek, California to increase the maximum not-to-exceed amount by \$1,200,000, from \$6,204,353 to \$7,404,353.

Regularly passed and adopted this 3rd day of June 2021 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michelle Bouchard
Acting Executive Director

FROM: Derek Hansel
Chief Financial Officer

SUBJECT: **AMENDMENT OF THE CALTRAIN FARE STRUCTURE AND APPROVAL OF ASSOCIATED TITLE VI EQUITY ANALYSIS**

Finance Committee Recommendation Work Program-Legislative-Planning Committee Recommendation Staff Coordinating Council Reviewed Staff Coordinating Council Recommendation

ACTION

Staff recommends the Board of Directors (Board) of the Peninsula Corridor Joint Powers Board (JPB) adopt the proposed fare changes to extend the current Monthly Pass discount of 20% and postpone fare increases previously approved at the September 2019 Board meeting and subsequently postponed due to the pandemic, all as follows:

- A. Monthly Pass Products – Extend the temporary 20% discount through June 30, 2023 for all categories of the Monthly Pass.
- B. Go Pass – Postpone 5% increases in the price of the Go Pass as follows:
 - Postpone from January 1, 2022 to January 1, 2023: Increase of Go Pass price from \$342 to \$359, raising the annual minimum cost to employers from \$28,728 to a new minimum of \$30,156
 - Postpone from January 1, 2024 to January 1, 2025: Additional increase of 5%
- C. Clipper® Discount – Postpone from July 1, 2021 to April 1, 2022 a reduction of the Clipper discount from \$0.55 to \$0.25 per One-way adult fare with corresponding changes to all Clipper Products except the Eligible Discount One-way fare
- D. Periodic Fare Increases – Delay scheduled increases to the full price One-way base fare and zone charge (with corresponding increases to related products), as follows:
 - Base Fare increase of \$0.50: Postpone from July 1, 2021 to July 1, 2022
 - Zone Charge increase of \$0.25: Postpone from July 1, 2022 to July 1, 2024
 - Base Fare increase of \$0.50: Postpone from July 1, 2024 to July 1, 2026
- E. Clipper START Means-Based Fare Discount: Extend the pilot program if, and for so

long as, approved by the MTC (e.g., through June 2023).

SIGNIFICANCE

Caltrain has experienced a significant decline in ridership as a result of COVID-19 and the related Shelter-in-Place orders. Extending the Monthly Pass product discount of 20% and Clipper START, and postponing previously-approved fare increases, until the after Fiscal Year (FY) 2021-22 will help incentivize ridership to return and potentially increase overall fare revenue as a result.

BUDGET IMPACT

The proposed fare changes, if approved, would not impact the proposed budget for Fiscal Year 2022 because they have already been assumed in the proposed budget. The estimated budget impact from extending the Clipper START program is anticipated to be immaterial based on current ridership trends and revenue reimbursement for participating in the program.

BACKGROUND

In 2019, the Board of Directors approved a series of fare changes to address the JPB's anticipated budget shortfalls. At that time, the JPB didn't have a dedicated source of funding to support operating, maintenance and capital costs. Since that time, Covid-19 has severely impacted Caltrain ridership levels and reduced fare revenues, but the agency has been able to obtain federal economic relief funds to maintain its service at a reduced level. In addition, in November 2020, the voters approved Measure RR, creating the JPB's first non-fare dedicated source of revenue, reducing the agency's reliance on fares to fund operations.

The proposed delay in implementing previously-approved fare changes will continue to support the Fare Policy adopted by the Board in December 2018, support those in need of transportation in this challenging times, and incentivize the use of the public transit.

Public Outreach and Feedback

The process for considering the proposed changes to the Caltrain Fare Structure included public meetings and an outreach plan that provided multiple opportunities for riders and the general public to submit feedback. The plan included a virtual town hall on May 20, presentation to the Caltrain Citizens Advisory Committee on May 19, and a formal public hearing at the JPB Finance Committee meeting on May 24.

Staff provided information about the proposed fare changes and invited the public to share feedback through a number of available channels. Comments were also accepted via an online comment form, mail, a dedicated e-mail address, and by telephone. Information about the proposed changes and how to provide feedback was published in newspaper notices, a news release, notification to community-based organizations, social media and on a dedicated page on the Caltrain website.

A Title VI Equity Analysis

A fare discount that lasts beyond six months is considered permanent and requires the Board to adopt a Fare Equity Analysis in compliance FTA Circular 4702.1B.

The attached Title VI Fare Equity Analysis for the 20% Monthly pass Discount includes

comments from the public hearing, public meeting, and additional public outreach for Board consideration. Postponement of the other fare changes were studied when the increases were approved; a new study equity is not required.

The attached analysis is consistent with policies adopted by the Board to comply with Title VI of the Civil Rights Act of 1964.

The Title VI Equity Analysis:

- Analyzes the 20% Monthly Fare Discount on a system-wide level to determine whether the impacts would result in disparate treatment among protected classes;
- Uses Caltrain's Title VI Policies and analysis thresholds that were adopted in 2013
- Is based on 2019 Caltrain Triennial Survey, 2019 Caltrain Ridership Statistics, and Caltrain Customer Service data;
- Disaggregates data by fare type, zone, income and ethnicity to create a Fare Equity Matrix to meet the requirements of federal Title VI guidance;
- Identifies Fare Proposal Purpose and Summarizes Public Engagement;
- Concludes that the proposed fare changes do not result in either a disparate impact on minority populations not a disproportionate burden on low-income populations.

Prepared By:

Ryan Hinchman, Manager Financial Planning & Analysis

650.508.7733

RESOLUTION NO. 2021 –

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

* * *

**AMENDING THE CALTRAIN FARE STRUCTURE AND APPROVING THE
TITLE VI ANALYSIS OF THE CALTRAIN MONTHLY PASS DISCOUNT**

WHEREAS, pursuant to Resolution No. 1992-31, dated May 6, 1992, the Peninsula Corridor Joint Powers Board (JPB) adopted a Codified Tariff, setting forth the rate structure for Caltrain service; and

WHEREAS, from time to time, the JPB has amended the Codified Tariff to modify fares in order to implement policy and administrative changes in the Caltrain service; and

WHEREAS, the JPB adopted the Caltrain Fare Policy, by Resolution 2018-49, on December 6, 2018, consisting of goals for four topic areas: financial sustainability, equity, customer experience and ridership; and

WHEREAS, the JPB last revised the Fare Structure (formerly referred to as the "Codified Tariff") on September 5, 2019, by Resolution No. 2019-32, to increase Go Pass prices every other year, reduce the Clipper® Discount, increase base and zone fares alternating every other year, and participate in the regional means-based fare pilot program (Clipper START); and

WHEREAS, in light of the Covid-19 pandemic, on September 3, 2020, by Resolution 2020-47, the Board postponed previously-approved fare increases, which were to take effect on April 1 and July 1, 2020, until after Fiscal Year 2020-2021; and

WHEREAS, the JPB adopted Resolution 2020-21 on June 4, 2020 to extend the duration of the 2020 Go Pass participant agreements through March 2021 for an

equitable period to compensate for their users' loss of use of Caltrain for the duration of the State Order or the County Orders; and

WHEREAS, the JPB adopted Resolution 2020-30 on June 4, 2020 to increase the Caltrain discount associated with Clipper START from 20 percent to 50 percent off single-ride adult Clipper fares; and

WHEREAS, the JPB adopted Resolution 2021-01 on January 7, 2021 to reduce the 2021 Go Pass pricing to reflect the shortened program year and continued commute pattern changes caused by COVID-19, offer added flexibility to unused 2021 Go Passes to be distributed to on-site contractors, part-time employees, and graduate and post-doctoral students, and donate unused passes to qualified not-for-profit organizations, and upon completion and acceptance by this Board of a related equity analysis for 2022 Go Pass price decrease for participants purchasing passes for at least the last six months of 2021; and

WHEREAS, the JPB engaged in public outreach including published notices and virtual community meetings to afford members of the public an opportunity to comment upon the fare change proposals outlined below, held a duly-noticed public hearing at the May 24, 2021 meeting of the JPB Board of Directors' Finance Committee on extension of the Caltrain Monthly Pass discount, and also accepted comments on the fare changes listed below; and

WHEREAS, taking the public comment received into account, staff recommends that the Board of Directors (Board) adopt the following changes:

- A. Monthly Pass Products – Extend the staff-authorized temporary 20% discount through June 30, 2023 for all categories of the Monthly Pass
- B. Go Pass – Postpone 5% increases in the price of the Go Pass as follows:

- Postpone from January 1, 2022 to January 1, 2023: Increase of Go Pass price from \$342 to \$359, raising the annual minimum cost to employers from \$28,728 to a new minimum of \$30,156
 - Postpone from January 1, 2024 to January 1, 2025: Additional increase of 5%
- C. Clipper Discount – Postpone from July 1, 2021 to April 1, 2022 a reduction of the Clipper discount from \$0.55 to \$0.25 per One-way adult fare with corresponding changes to all Clipper Products except the Eligible Discount One-way fare
- D. Periodic Fare Increases – Delay scheduled increases to the full price One-way base fare and zone charge (with corresponding increases to related products), as follows:
- Base Fare increase of \$0.50: Postpone from July 1, 2021 to July 1, 2022
 - Zone Charge increase of \$0.25: Postpone from July 1, 2022 to July 1, 2024
 - Base Fare increase of \$0.50: Postpone from July 1, 2024 to July 1, 2026
- E. Clipper START Means-Based Fare Discount: Extend the pilot program if, and for so long as, approved by the MTC (e.g., through June 2023); and

WHEREAS, under Title VI of the Civil Rights Act of 1964 and implementing regulations, including Federal Transit Administration Circular C 4702.1B, the JPB is required to perform a Title VI Equity Analysis in conjunction with most fare changes to assess whether they will result in disparate impacts or disproportionate burdens on minority or low-income populations, respectively; and

WHEREAS, on April 4, 2013, by Resolution No. 2013-21, the Board adopted Disparate Impact and Disproportionate Burden Policies to set thresholds for when fare

or major service changes are deemed to have disproportionate effects on minority or low-income populations; and

WHEREAS, staff has previously prepared and the Board has previously adopted equity analyses related to the previously-adopted fare changes being postponed by this action; and

WHEREAS, staff has prepared and presented to the Board a Title VI Equity Analysis that assesses the potential effects of the extending the Monthly Pass discount, concluding that the change would result in no disparate impacts on minority passengers or disproportionate burdens on low-income passengers.

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

1. Finds pursuant to Title VI of the Civil Rights Act of 1964 that the fare changes enacted hereby will not have a disparate impact on minority populations or a disproportionate burden on low-income populations;
2. Approves the Title VI Equity Analysis attached as Attachment A and incorporated by this reference;
3. Approves the fare changes, as outlined in the recitals above; and
4. Amends the Fare Structure attached as Attachment B.

BE IT FURTHER RESOLVED that the Board of Directors authorizes the Acting Executive Director to sign any agreements or other documents, or take any other actions necessary, to give effect to this resolution.

Regularly passed and adopted this 3th day of June, 2021 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary

PENINSULA CORRIDOR JOINT POWERS BOARD



Title VI
Equity Analysis
Proposed Fare Changes:
Monthly Pass 20% Discount
June 2021

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ATTACHMENTS

ATTACHMENT 1 – CALTRAIN SYSTEM MAP

ATTACHMENT 2 – BOARD APPROVAL OF DISPARATE IMPACT AND DISPROPORTIONATE
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ATTACHMENT 3 – SERVICE AREA DEMOGRAPHICS: MAPS BY COUNTY

ATTACHMENT 4 – EXISTING FARE CHART

ATTACHMENT 5 – NOTICES OF PUBLIC HEARING AND MEETINGS

ATTACHMENT 6 – CALTRAIN DEDICATED WEBPAGE

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ATTACHMENT 11 – PRINTED PUBLIC COMMENT FORMS

ATTACHMENT 12 – ONLINE COMMENT FORMS

ATTACHMENT 13 – COMPILED PUBLIC COMMENT

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ATTACHMENT 15 – CITIZENS ADVISORY COMMITTEE MEETING MINUTES AND
COMMENTS

ATTACHMENT 16 – EMAIL CORRESPONDENCE COMMENTS

Caltrain

Title VI Equity Analysis

Monthly Pass 20% Discount– Fiscal Year 2021

Title VI of the Civil Rights Act of 1964 prohibits discrimination on the basis of race, color, and national origin in programs and activities receiving federal financial assistance. The Peninsula Joint Powers Board (JPB) operates the Caltrain commuter rail service serving San Francisco, San Mateo, and Santa Clara counties. The service spans 77.3 miles and includes 31 stations, 28 of which are weekday service, 23 which are weekend service (including one weekend-only) stations, and one special event service station which serves Stanford Stadium. The JPB has committed to the Federal Transit Administration (FTA) Title VI objectives set forth in Circular 4702.1B ensuring that FTA-assisted benefits and related services are made available and are equitably distributed without regard to race, color, or national origin.

As a federal grant recipient, the JPB is required to maintain and provide to the FTA information on Caltrain's compliance with Title VI regulations. At a minimum, the JPB must conduct periodic compliance assessments to determine whether its services are provided in a nondiscriminatory manner consistent with the law. Normally, the JPB performs a self-assessment every three years, or when it undertakes a change in its fares or a significant change in service.

This assessment covers the extension of the 20% discount on Monthly Passes that will be subject to Board of Directors consideration on June 3, 2021. Included in this Title VI analysis is a description of the proposed adjustment, and an analysis of any potential impacts on minority and low-income passengers. It includes public outreach including materials provided for Limited English proficient populations and public comments.

■ BACKGROUND

CALTRAIN OVERVIEW

Caltrain provides commuter rail service between Santa Clara, San Mateo, and San Francisco Counties. The service area – extending from Gilroy in the south to San Francisco in the north – is geographically and ethnically diverse, containing both dense urban cores and suburban landscape with residents from an array of different backgrounds. These factors make the Caltrain service area unique. To serve the region in Fiscal Year 2021 (before the COVID-19 pandemic), Caltrain operates 92 weekday trains, 36 Saturday trains, and 32 Sunday trains carrying approximately 19 million passengers per year. **Attachment 1** provides a copy of the Caltrain Service Map.

Attachment 3 contains combined minority demographic maps where the minority population is broken out by tract group using the U.S. Census Bureau's 2018 American Community Survey (ACS) Data. Minority Census tracts are defined as those in which the minority population exceeds the system-wide minority average of 58%. **Attachment 3** also contains low-income demographic maps where the service area's low-income population is broken out by tract group using ACS data. Low-

income tract groups are defined under the JPB's Title VI Program as those in which more than 13.9% of households have incomes under \$25,000.

■ FARE PROPOSAL

CURRENT FARES

Caltrain fares are based on the number of zones that are partially or wholly traveled through by the passenger. A matrix of Caltrain's existing fare chart is in **Attachment 4**.

Caltrain has a proof-of-payment fare enforcement system. Passengers must have a valid ticket before boarding the train or be subject to citation. Passengers are required to show a ticket or Clipper® card to the conductor or fare inspector upon request and may also be required to show proof of age or other proof of eligibility for a discounted fare product. Full fares apply to all customers 19 years of age or older except those who qualify for an Eligible Discount ticket, which is approximately 50 percent of the full-fare price. A description of all the Fare Payment Types is listed below.

In FY2019, a Title VI Equity Analysis was performed and the JPB Board of Directors enacted fare changes that included (1) the JPB's participation in a regional Means Based Fare pilot program now known as "Clipper START" and (2) unrelated fare increases. In April 2020, the Board-approved fare increases were suspended due to the Covid-19 pandemic. On July 2, 2020, the Board increased the previously-approved Clipper START discount to 50%.

One-way Ticket

Valid for use within four hours of the date and time sold, One-way tickets are honored for one-way passage away from the point of origin, including stopovers/transfers, within the zone limits.

Day Pass

Day Passes are honored for unlimited travel within zone limits and are valid for use through the last train on the service day on which the pass is sold.

Caltrain offers a joint adult *Caltrain/VTA Day Pass*. The Caltrain portion is valid to Zone 3 - perfect for customers heading to Levi's® Stadium or Great America – and costs an additional \$6 compared to a Caltrain Day Pass. The joint pass is valid on Caltrain through the last train of the night and on VTA local buses and light rail until 3 a.m.

Monthly Pass

The Monthly Pass, available only on the Clipper card, is valid for use for the calendar month for which the pass is issued. Monthly passes are honored for unlimited weekday trips between the zones indicated on the pass. On Saturdays, Sundays and holidays, the pass is honored for

unlimited trips between all zones.

Zone Upgrade Ticket

Valid for use within four hours of the date and time sold, Zone Upgrade tickets are valid only when accompanying another valid ticket (One-way, Day Pass or Monthly Pass) and cannot be used alone. The Zone Upgrade ticket will be honored for one-way passage for additional zones purchased beyond the original ticket's zone limits.

The Zone Upgrade ticket's validity period does not extend the original ticket's validity period.

Caltrain service operates across six zones. The current increase in fare between zones is \$2.00 for Adult fares, and \$1.00 for Eligible Discount fares.

Clipper START for Qualified Riders

The Clipper START program offers a 50% fare discount for adult low-income Caltrain riders.

Eligible Discount

Discounted fare products priced at approximately 50 % of full fares are available to:

- **Seniors:** customers 65 years of age or older.

- **Disabled:** customers holding any of the following valid identification: Regional Transit Connection Discount Card; registration for a permanent disabled California license plate or parking placard issued by the Department of Motor Vehicles.

- **Youth:** customers 18 years old or younger. When one or more children four years old or younger are accompanied by one paying adult, only one child will be transported free of charge. All other children must travel on Youth tickets.

- **Medicare cardholder:** customers who have a Medicare card.

Go Pass

Employer/Residential-sponsored annual passes offer unlimited rides on Caltrain through all zones, seven days a week for one low annual cost. Go Passes must be purchased by the sponsor for all employees/residents/students, whether the individuals use Caltrain or not.

The Go Pass fare is based on the cost of a monthly pass for three zones, which is the average distance travelled by a Go Pass customer. Entities participating in the Go Pass program are required to purchase passes for all workers/residents/students at the specified location. A minimum of 84 Go Passes must be purchased.

Group Sales

Groups traveling together (e.g., for school field trips) can purchase tickets at a 10 % discount over regular fares.

Station Parking

Daily parking is currently \$5.50, with monthly parking passes costing \$55.00. Passengers that purchase Monthly Passes also are eligible to purchase monthly parking passes.

PROPOSED FARE CHANGES

As part of the JPB's reaction to the COVID-19 pandemic, the agency offered a 20% discount on Monthly Passes effective January 2021, coinciding with the slow re-opening of workplaces and businesses in hopes to increase ridership. Because equity analyses must be performed before fare discounts can be implemented for more than six months, this Title VI assessment reviews a proposed extension of the 20% discount on Monthly Passes through June 2023 as if it were proposed to be a permanent fare change.

At the same time that the Board of Directors considers extending the Monthly Pass discount, it will also consider postponing a set of phased fare increases approved in 2019. As these changes were already the subject of an equity analysis, no additional study is required at this time.

If approved, both sets of fare changes will be reflected in the Caltrain Fare Chart, which is a legal document that outlines the specific fares for the train system.

Table 1: Caltrain Proposed Fare Adjustment

Clipper Monthly Pass	Travel within					
	1 Zone	2 Zones	3 Zones	4 Zones	5 Zones	6 Zones
Adult	\$96.00	\$163.50	\$231.00	\$298.50	\$366.00	\$433.50
	\$76.80	\$130.80	\$184.80	\$238.80	\$292.80	\$346.80
Eligible Discount	\$48.00	\$78.00	\$108.00	\$138.00	\$168.00	\$198.00
	\$38.40	\$62.40	\$86.40	\$110.40	\$134.40	\$158.40

■ CALTRAIN TITLE VI POLICIES

The Federal Transit Administration updated its Title VI of the Civil Rights Act of 1964 guidance in October 2012, through FTA Circular 4702.1B. This guidance requires that the governing authority of each federally-assisted public transportation provider adopt three policies including:

- Major Service Change Policy
- Disparate Impact Policy
- Disproportionate Burden Policy

The JPB adopted its policies based on a number of factors, including existing policies already in use, consultation with other transit agencies, and analysis of impacts of past service and fare change decisions. The JPB published its policies for public review in February 2013 and conducted significant public outreach to solicit input. Following public engagement, the JPB revised the policy proposals and the Board of Directors adopted the revised policies at the April 4, 2013 meeting. The adopted policies follow and are included in **Attachment 2**.

DISPARATE IMPACT POLICY

This policy establishes a threshold for determining whether a given action has a disparate impact on minority populations versus non-minority populations. Per FTA Circular 4702.1B:

Disparate impact refers to a facially neutral policy or practice that disproportionately affects members of a group identified by race, color, or national origin, where the recipient's policy or practice lacks a substantial legitimate justification and where there exists one or more alternatives that would serve the same legitimate objectives but with less disproportionate effect on the basis of race, color, or national origin....

The policy shall establish a threshold for determining when adverse effects of [fare/]service changes are borne disproportionately by minority populations. The disparate impact threshold defines statistically significant disparity and may be presented as a statistical percentage of impacts borne by minority populations compared to impacts borne by non-minority populations. The disparate impact threshold must be applied uniformly...and cannot be altered until the next Title VI Program submission.

In the course of performing a Title VI Equity Analysis, Caltrain must analyze how the proposed action would impact minority as compared to non-minority populations. In the event the proposed action has a negative impact that affects minorities more than non-minorities with a disparity that exceeds the adopted Disparate Impact Threshold or that benefits non-minorities

more than minorities with a disparity that exceeds the adopted Disparate Impact Threshold, Caltrain must evaluate whether there is an alternative that has a more equitable impact. Otherwise, Caltrain must take measures to mitigate the impact of the proposed action on the affected minority population and demonstrate that a legitimate business purpose cannot otherwise be accomplished and that the proposed change is the least discriminatory alternative.

The Caltrain Disparate Impact Threshold to determine if the adverse impacts of a major service change (as defined in the Major Service Change Policy) or a fare adjustment is established at 10 percent based on the cumulative impact of the proposed service and/or fare changes. This threshold applies to the difference of the impacts borne by minority populations compared to the same impacts borne by non-minority populations.

DISPROPORTIONATE BURDEN POLICY

This policy establishes a threshold for determining whether a given action has a disproportionate burden on low-income populations versus non-low-income populations. Per FTA Circular 4702.1B:

The policy shall establish a threshold for determining when adverse effects of [fare/]service changes are borne disproportionately by low-income populations. The disproportionate burden threshold defines statistically significant disparity and may be presented as a statistical percentage of impacts borne by low-income populations as compared to impacts borne by non-low-income populations.... The disproportionate burden threshold must be applied uniformly...and cannot be altered until the next [Title VI] program submission.

At the conclusion of the analysis, if the transit provider finds that low-income populations will bear a disproportionate burden of the proposed [fare/]service change, the transit provider should take steps to avoid, minimize or mitigate impacts where practicable. The provider should describe alternatives available to low-income populations affected by the [fare/]service changes.

The Caltrain Disproportionate Burden Threshold to determine if the adverse impacts of a major service change (as defined in the Major Service Change Policy) or a fare adjustment is established at 10 percent based on the cumulative impact of the proposed service and/or fare changes. This threshold applies to the difference of the impacts borne by low-income populations compared to the same impacts borne by non-low-income populations.

PUBLIC ENGAGEMENT OF POLICY DEVELOPMENT

FTA Circular C 4702.1B requires transit agencies to seek public input before Board action to adopt the Disparate Impact and Disproportionate Burden policies. Staff developed draft policies and requested public input through four community meetings throughout the Caltrain Service area, spanning San Francisco, San Mateo, and Santa Clara Counties. The JPB requested comments be made through mail, telephone, and a dedicated e-mail address (TitleVI@caltrain.com).

The Title VI Policies community meetings were held at the following times and locations:

Tuesday, Feb. 12, 2013 - 6:30 p.m. to 8 p.m.

Gilroy Senior Center, Meeting Room
7371 Hanna St, Gilroy

Thursday, Feb. 21, 2013 - 10:45 a.m. to 11:30 a.m.

Second floor auditorium
Caltrain Administrative Offices
1250 San Carlos Ave, San Carlos

Tuesday, Feb. 26, 2013 - 5:00 p.m. to 6:30 p.m.

Bay Area Opera House
4705 Third St, San Francisco

Wednesday, Feb. 27, 2013 - 6:30 p.m. to 8:00 p.m.

Mountain View City Hall
Plaza Conference Room
500 Castro St, Mountain View

The JPB reached out to the following Community groups and leaders including:

San Francisco County

- Asian Pacific American Community Center
- Bayview Hill Neighborhood Association
- Bayview Merchants Association
- Better Bayview
- Brite/4800 Third St Neighbors
- Dogpatch Neighborhood Association
- Hunters Point Shipyard CAC
- India Basin Neighborhood Association
- Potrero Boosters
- Potrero Hill/Dogpatch Merchants Association
- Visitacion Valley Planning Alliance

San Mateo County

- All City Managers
- All Mayors

Santa Clara County

- All City Managers
- All Mayors
- Postings to City Council member Newsletters:
 - Ken Yeager
 - Ash Kalra
- Public Advocates
- Transform
- Urban Habitat

Although there were several outreach methods used, including Caltrain website postings, Take One prints in English and Spanish, Visual Message Signs at all Stations, Community Meetings, News Releases, Advertisements in several newspapers, and Social media postings (in accordance with the Caltrain Title VI Outreach Plan), there was very limited feedback received by meeting attendees or other community members. Staff revised the proposal for its standards and policies and submitted them for Board approval. They were approved April 4, 2013 (refer to **Attachment 2**).

More information regarding Caltrain's Title VI policies and standards can be found here: <http://www.caltrain.com/riderinfo/TitleVI.html>

■ EQUITY EVALUATION OF PROPOSED CHANGES

In accordance with 49 CFR Section 21.5 (b) (2), 49 CFR Section 21.5 (b) (7) and Appendix C to 49 CFR part 21, grantees must evaluate all non-exempt fare changes to determine whether those changes have a discriminatory impact on minority or low-income populations.

Applying the JPB's Title VI Policies, this analysis confirms the 20% Monthly Pass Discount **will not have a disparate impact on minority riders nor impose a disproportionate burden on low-income riders.**

FARE EQUITY METHODOLOGY OVERVIEW

Based on FTA C 4702.1B, for proposed changes that increase fares by payment type or fare media, JPB should analyze any available information generated from ridership surveys that indicates whether minority and low-income passengers are more likely to use the payment types subject to the proposed change and the associated fare changes resulting from the change.

If the difference in the percentage change experienced between minority riders and non-minority riders is greater than 10%, that would suggest that the fare change would result in Disparate Impacts on minority populations. Further, if the percentage difference in the change experienced between low-income riders and non-low-income riders is greater than 10%, that would suggest that the fare change would result in a Disproportionate Burden to low-income populations. A difference of less than 0% (any negative percentage) would indicate that the fare change would benefit those populations more than the others.

The methodology developed to analyze the impact of the fare proposals on minority compared to non-minority populations and low-income compared to non-low-income populations included the following steps:

1. Determine data sources.
2. Analyzing the percentage of the proposed fare adjustment for each fare payment method compared with the breakdown of the system-wide fare payment method.
3. Defining the term low-income as those with an annual household income at or below 200 percent of the U.S. Department of Health and Human Services (HHS) poverty guidelines in 2019. Using the HHS poverty guidelines of \$12,060 for a household of one in 2019, those with an annual household income less than \$25,000 a year were defined as low-income.
4. Defining the term “minority” to mean those who self-identified as any ethnicity other than “white” alone in the Caltrain 2019 Triennial Survey.
5. Using Caltrain 2019 Triennial Survey Data and current and proposed discount to determine if the proposed fare changes will have a disparate impact or disproportionate burden on minority or low-income populations, respectively, based on the agency’s associated policies.

POTENTIAL ADVERSE EFFECTS

Typically, adverse effects associated with a fare change relate to the cost increase of a transit trip, fare or fare media. Because this proposed fare discount provides an overall benefit, there are no anticipated adverse effects.

DATA USE AND ANALYSIS

For purposes of examining the fare payment behavior, the following data was used:

- Caltrain 2019 Triennial Customer Survey, which contains information on customers' riding behavior including fare usage, ethnicity, income, and other relevant information.
- FY2019 ridership based on most recent reconciliation of ridership numbers (as of July 2019).

The 2020 Annual count was postponed due to impacts from the COVID-19. With over a 90% decrease in ridership, the 2020 ridership number would not reflect the benefits and impacts of this discount. As San Francisco, San Mateo, and Santa Clara counties begin to re-open offices and in-person services, it is anticipated that ridership will return to pre-Pandemic levels similar to the 2019 ridership. As the 20% Monthly Discount will be available until September 2023, JPB anticipates that this will beneficially impact riders ready to return to transit and incentivize others to take transit.

The fieldwork for the 2019 Customer Survey was conducted in November 2019. A total of 5,501 surveys were completed by Caltrain riders. Given the size and scope of the 2019 Caltrain system-wide onboard customer survey (5,501 total respondents with a margin of error of +/- 1.28 percent at a confidence level of 95 percent), the data generally can be used to develop cross-tabulations to conduct in-depth analysis regarding the potential impact of the proposal on minority and low-income populations.

Data Assumptions:

- Even though the Customer Survey data is a robust set, some passengers preferred not to reveal either their ethnicity, income, fare type, or fare category. Based on the unavailable data, the useable data set includes those who responded to all questions. While it would have been ideal for all the riders to have responded to all the questions, the data that was excluded from evaluation is not a significant detriment to a comprehensive evaluation.
- This analysis compared income and ethnicity status across fare categories and an included analysis that looks at the specifics for Monthly Pass users. Useable data for this question includes the number of zones travelled, Fare product, the type of Fare Category (Adult or Eligible Discount) and selection of ethnicity or income. Go Pass figures were included for comparison only.
- Given this data, percentages of minority riders were compared to non-minority riders by fare payment category and system-wide. Out of the 5,501 total survey respondents for the 2019 Caltrain Triennial Survey, 4303 (78.21% respondents) responded to all questions required for this Fare Equity Analysis. For the Monthly pass alone, approximately 1465 (~34%) provided responses.

ANALYSIS METHODOLOGY

This Equity Analysis uses the Average Fare Analysis to assess the impact of the discount on low-income communities and communities of color. The proposed change only affects the Monthly Pass Fare Category. However, two analyses were done to assess whether 1) focused changes would lead to an overall disparate impact or disproportionate burden when compared with other fare categories and 2) whether the 20% discount would be equally distributed amongst minority, non-minority, low-income and non-low-income Monthly Pass users.

The “Average Fare Analysis” is the comparative tool to determine the impact to minority and low low-income riders, by analyzing specific ridership and fare payment changes along with the impacts associated with changes in each fare category. The model usually compares “unit fares” among many fare types. This analysis used this Average Fare Analysis to incorporate the Adult fare category and Eligible Discount fare category users among all fare products.

The analysis provides a disaggregation of income and ethnicity within each fare category and zone usage. This includes a comparison of the current fare with the proposed fare. The Average Fare Analysis also provides the percentage change between the existing and proposed fare structures by fare type, for ridership income and minority status, to assess whether the proposed fare change will fall within the thresholds established by the JPB for a Disproportionate Burden or Disparate Impact.

To determine the comparative percentage change for each fare and rider group, the number of survey respondents is multiplied by the ridership in each fare and rider group. This number is then multiplied by both the existing fare as well as the proposed fare so that the difference between the two can be examined. Those totals are then added up respectively and the difference between the total existing fare and the total proposed fare for each group (including minority passengers, non-minority passengers, low-income passengers and non-low-income passengers), is then translated into a percent change. These percent changes are then compared with each passenger type’s overall ridership to determine whether the impact of the fare increase is felt proportionally to the overall ridership, or rather, whether a disparate impact and/or disproportionate burden exists.

The same methodology was used looking at only the users of the Monthly Pass, but the analysis considers the impact on Monthly Pass users, alone.

RIDERSHIP DEMOGRAPHICS OVERVIEW

Overall, Caltrain riders self-identified as 56.8% minority and 43.2% non-minority. See **Table 2**, **Table 3** and **Figures 1** and **2** below for details.

Table 2. Fare Product Usage Survey Data - Minority vs. Non-Minority Riders

Minority Status	One-Way	Day Pass	Clipper Cash	Go Pass	Monthly Pass	Total
Minority	293	151	540	593	867	2444
Non-Minority	203	165	429	464	598	1859
Total	496	316	969	1057	1465	4303

Table 3. Fare Product Usage By Percentage - Minority vs. Non-Minority Riders

Minority Status	One-Way	Day Pass	Clipper Cash	Go Pass	Monthly Pass	Total
Minority	59.0%	47.8%	55.7%	56.1%	59.2%	56.8%
Non-Minority	40.9%	52.2%	44.3%	43.9%	40.8%	43.2%
Total	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%

Figure 1: Fare Product Usage by Percentage – Minority vs. Non-Minority

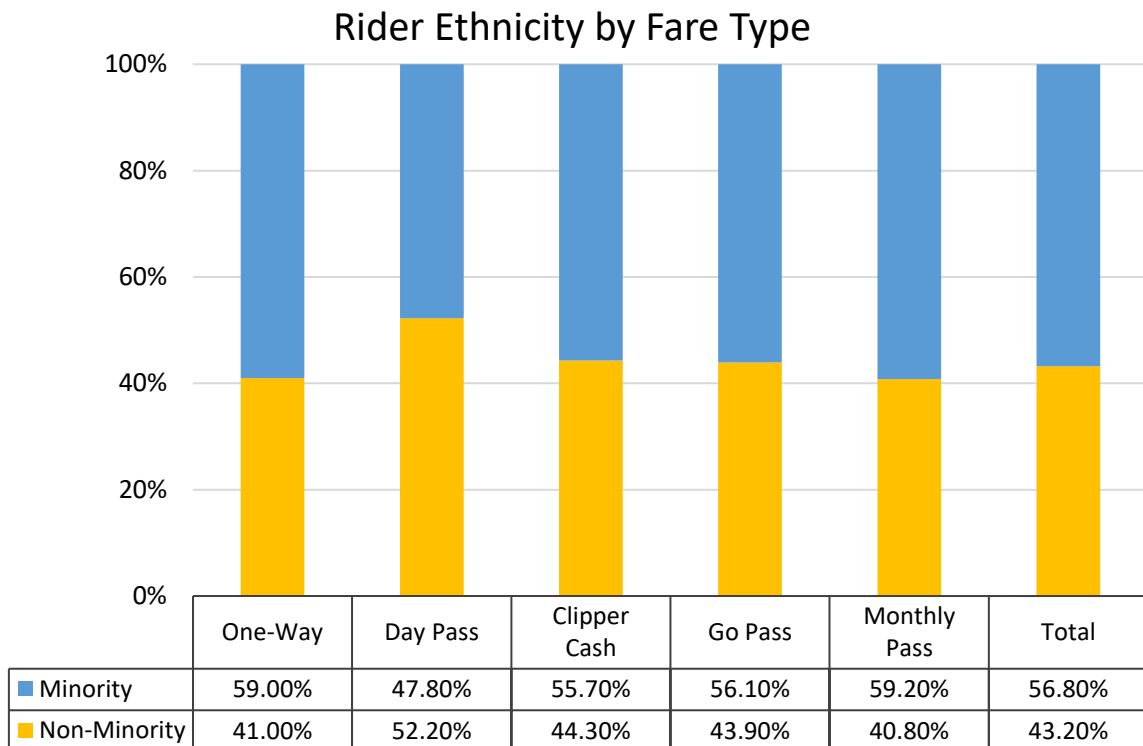
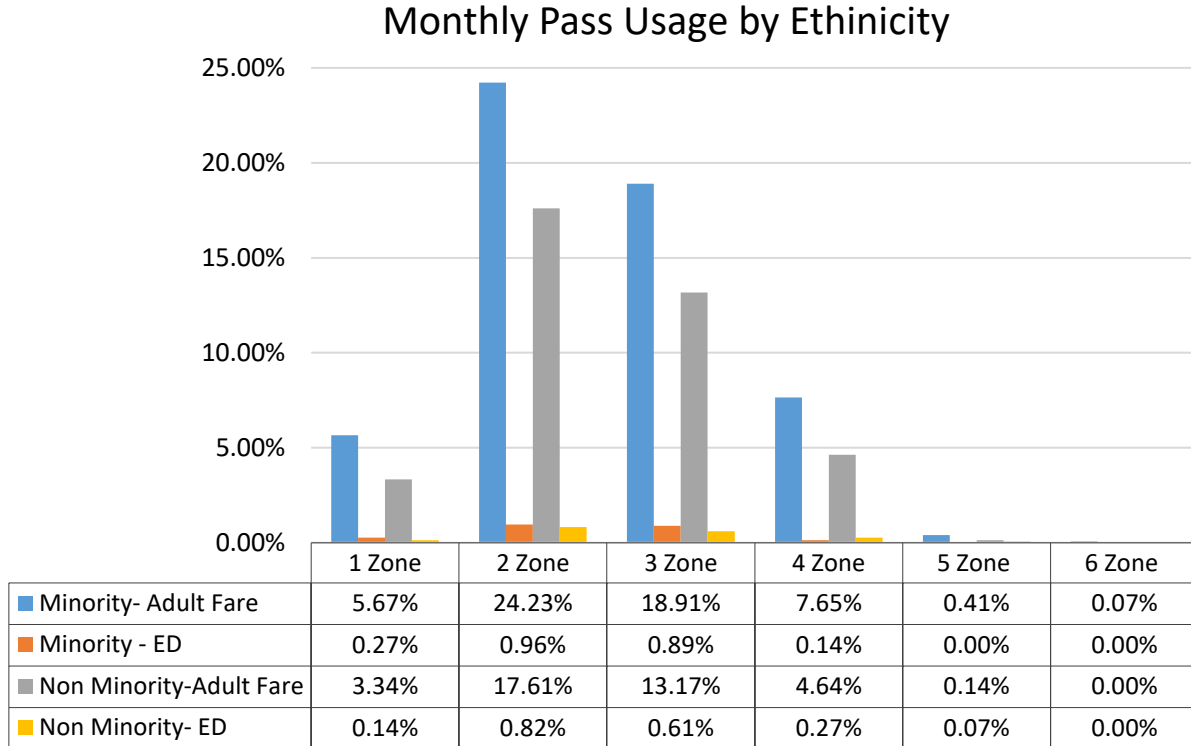


Figure 2: Monthly Pass Usage by Ethnicity



Of the 4,303 survey respondents (72.1% of those surveyed) who provided complete responses to the 2019 Customer Survey, 4.2% were low-income, and 95.8% were non-low-income. See **Table 4, Table 5** and **Figures 3** and **4** below for details.

Table 4. Fare Product Usage Survey Data - Low-Income vs. Non-Low-Income Riders

Income Category	One-Way	Day Pass	Clipper Cash	Go Pass	Monthly Pass	Total
Low-Income	55	19	51	17	40	182
Non-Low-Income	441	297	918	1040	1425	4121
Total	496	316	969	1057	1465	4303

Table 5. Fare Product Usage By Percentage - Low-Income vs. Non-Low-Income Riders

Income Category	One-Way	Day Pass	Clipper Cash	Go Pass	Monthly Pass	Total
Low-Income	11.00%	6.00%	5.3%	1.61%	2.73%	6.2%
Non-Low-Income	89.00%	94.00%	94.7%	98.39%	97.27%	93.8%
Total	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%

Figure 3. Fare Product Usage by Percentage – Low-income vs. Non-Low-income

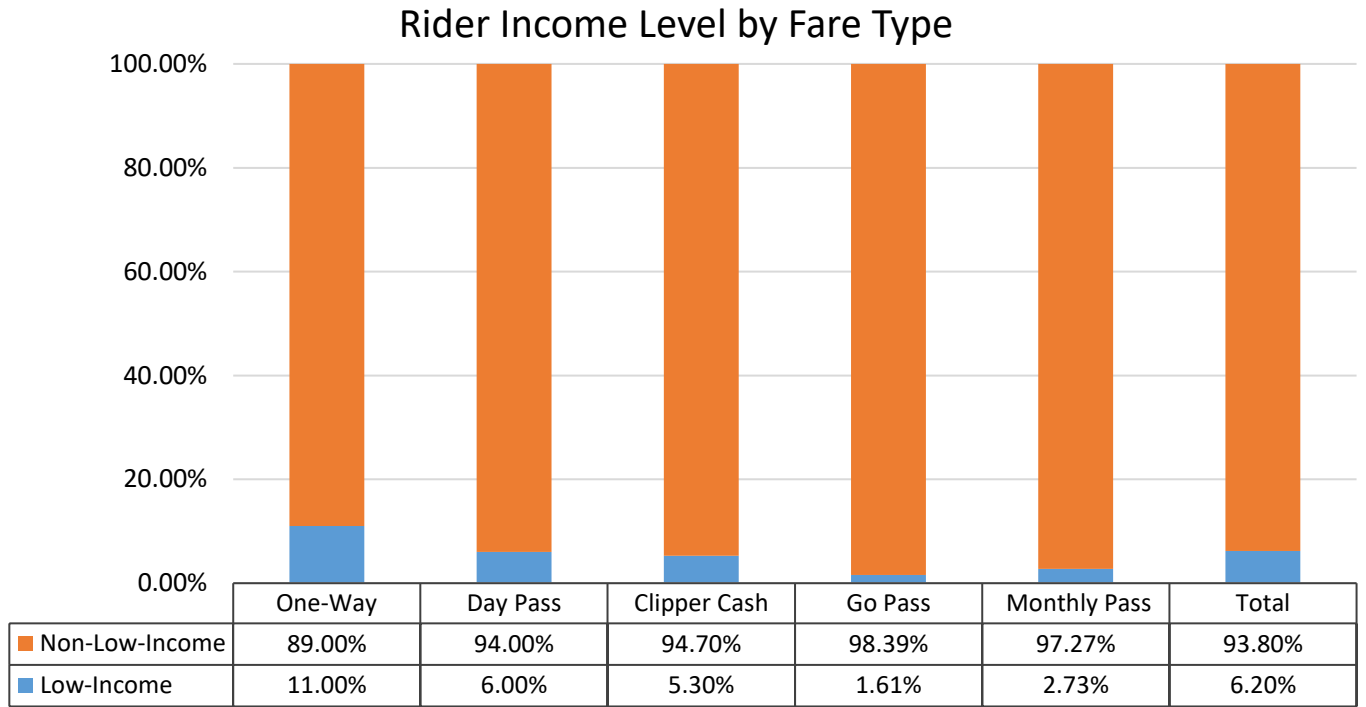
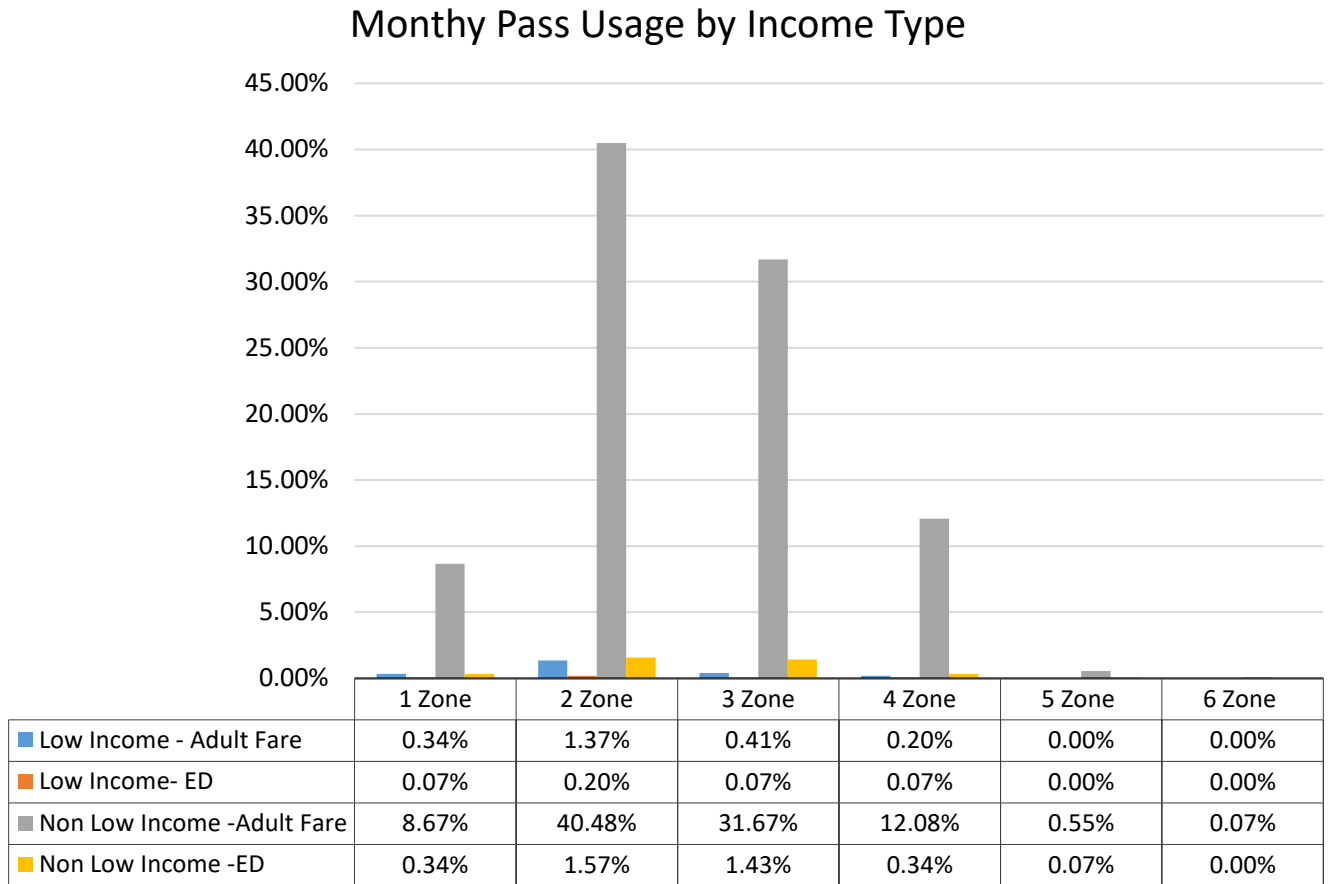


Figure 4: Monthly Pass Usage by Income Type



ZONE DEMOGRAPHICS OVERVIEW

A review of the rider characteristics by zones traveled was also conducted to determine whether zone usage would influence disparate impacts. **Figure 5**, below, presents the percentages by zone. **Figure 6**, provides the actual survey responses for context. With few responses for the later zones, this is likely a survey/data gap resulting from the need to cut the data into such small segments for the analysis rather than a true reflection of ridership and fare usage patterns.

Figure 5: Monthly Pass Users by Zone Traveled (Percentages)

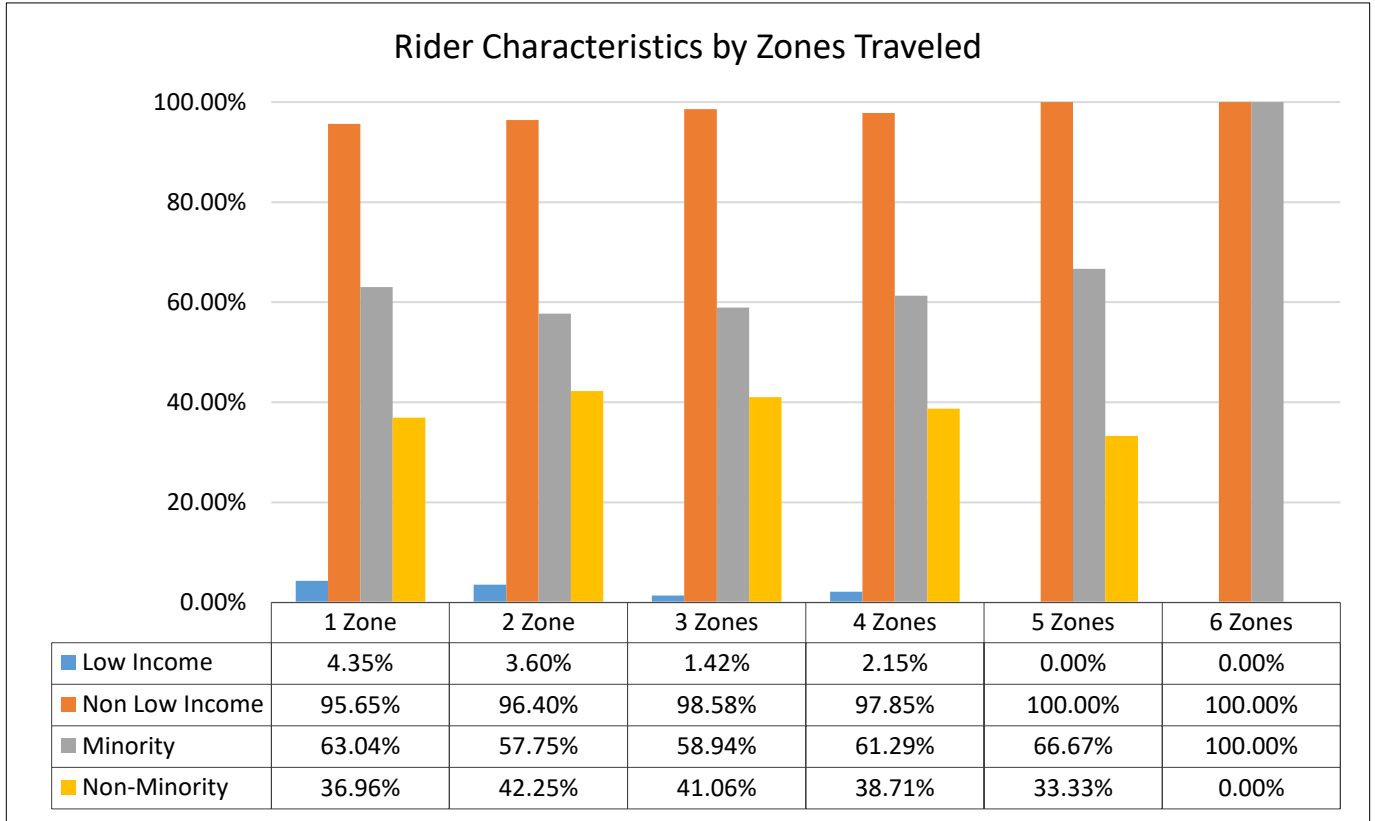
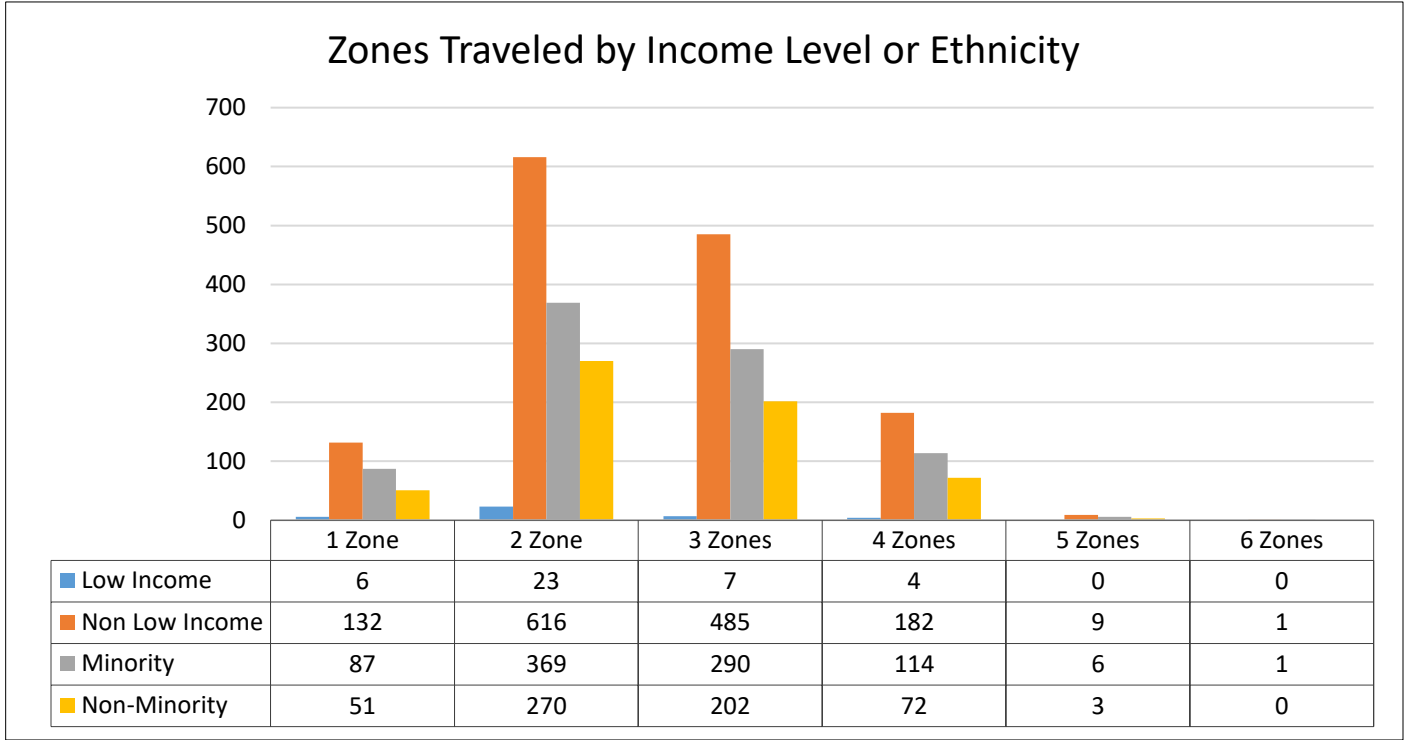


Figure 6: Monthly Pass Users Characteristics by Zone Traveled (Survey Responses)



Based on the charts above, most Caltrain passengers travel within 2 to 3 Zones.

Table 6: Monthly Pass by Zone Traveled (Totals)

Travel Within	# of 2019 Monthly Pass Users
1 Zone	138
2 Zones	639
3 Zones	492
4 Zones	186
5 Zones	9
6 Zones	1

FARE EQUITY ANALYSIS FINDINGS

Based on the analysis, and using the Caltrain Title VI policies, the Monthly Discount does not result in either a Disparate Impact on minority populations, nor a Disproportionate Burden on low-income populations. **Table 7a**, below, presents an analysis of the Monthly Pass Discount combined with other fare products. **Table 7b** presents a stand-alone Monthly Pass Discount analysis.

Table 7a: Average Fare Calculations

Travel Within Any		Payment Method	Ticket Type		Cost		Change		Survey Usage by Group - Annual Ridership													Usage by Group -								Cumulative Annual Current Fare				Cumulative Annual Proposed Fare				Annual Fare Change Experienced by Group							
Low-Income	Non-Low-Income	Minority	Minority Low Income	Minority Non-Low Income	Survey	Overall Survey	Low-Income %	Low-Income Number	Low-Income %	Income Number	Minority %	Minority Number	Non-Minority %	Non-Minority Number	Overall Survey	Overall Number	Low-Income %	Low-Income Number	Low-Income %	Income Number	Minority %	Minority Number	Non-Minority %	Non-Minority Number	Overall Survey	Overall Number	Low-Income %	Low-Income Number	Low-Income %	Income Number	Minority %	Minority Number	Non-Minority %	Non-Minority Number	Low-Income %	Low-Income Number	Low-Income %	Income Number	Minority %	Minority Number	Non-Minority %	Non-Minority Number			
*Mobile App one way included in Adult one Way, Mobile App Day Pass included in Adult Day Pass																																													
One Zone																																													
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Average Current Annual Fare																																													
Total Proposed Annual Fare																																													
Average Annual Proposed Fare																																													
Change as a percent of entire fare total																																													
Percent Ridership of Each Group (from 2019 survey total)																																													
Difference From Exact Proportional Impact of Fare Change																																													
Difference Between Protected Class and Non Protected																																													
Disparate Impact or Disproportionate Burden Finding																																													

Table 8: Disparate Impact and Disproportionate Burden Findings

8a DI/DB Finding – Monthly Pass Analysis

20% Monthly Discount							
Low-income Existing Ave Fare	Low-income Proposed Ave Fare	Non Low-income Existing Ave Fare	Non Low-income Proposed Ave Fare	Minority Existing Ave Fare	Minority Proposed Ave Fare	Non-Minority Existing Ave Fare	Non-Minority Proposed Ave Fare
\$163.99	\$131.99	\$194.67	\$155.89	\$194.95	\$155.96	\$192.68	\$154.15
Average % Change	(19.51%)		(19.92%)	Average % Change	(20%)		(19.99%)
		Difference	.4%			Difference	0.1%
		DI/DB	No			DI/DB	No

8b DI/DB – Fare Analysis

Fare Analysis (all Fare Products Comparison)							
Low-income Existing Ave Fare	Low-income Proposed Ave Fare	Non Low-income Existing Ave Fare	Non Low-income Proposed Ave Fare	Minority Existing Ave Fare	Minority Proposed Ave Fare	Non-Minority Existing Ave Fare	Non-Minority Proposed Ave Fare
\$5.34	\$5.10	\$6.59	\$5.99	\$6.62	\$6.01	\$4.87	\$4.45
Average % Change	(4.5%)		(9.11%)	Average % Change	(9.20%)		(8.49%)
		Difference	4.61%			Difference	(.71%)
		DI/DB	No			DI/DB	No

For all analyses, the differences for both categories based on ethnicity and income are below the 10% threshold. The proposed fare decreases will not disparately impact minority passengers nor disproportionately burden low-income populations.

■ PUBLIC OUTREACH AND INVOLVEMENT ACTIVITIES

DISSEMINATION OF INFORMATION, INCLUDING TO LIMITED ENGLISH PROFICIENT (LEP) PERSONS

FTA Circular C 4702.1B requires transit agencies to seek public input before Board approval for Major Service Changes or Fare Changes. The JPB's public participation process offers early and continuous opportunities for the public (including minorities and people with low-incomes) to be involved in the identification of potential impacts of proposed transportation decisions. Efforts to involve minority and low-income populations include both comprehensive measures and measures targeted at overcoming language and other barriers that prevent such populations from effective participation in decision-making.

The JPB's public information campaign to announce the public hearing and solicit input began after the April 1, 2021 Board action to call for the May 24, 2021 Public Hearing.

The JPB's public participation process included measures to disseminate information on the proposed service changes to Limited English Proficient (LEP) persons, as well as at public hearings and meetings. The public notices note in Caltrain's 22 Safe Harbor Languages that translations are available by contacting the Caltrain Customer Service Center phone number. The Caltrain Customer Service Center offers foreign language translation service via in-house translators or the Language Line.

Comprehensive measures employed by the JPB included placing public notices (**Attachment 5**) for the Public Hearing and the Public Meetings on the Caltrain website (**Attachment 6**), in Caltrain news releases (**Attachment 7**), as social media posts on Facebook and Twitter (**Attachment 8**), and in presentations (**Attachment 9**) to and discussions at Public Meetings. Information, including the Public Notice, Draft Proposed Fare Changes, and a Public Comment Form were posted to a dedicated Caltrain website.

Caltrain staff also reached out to Community-based Organizations to inform them of the proposed changes and communicated directly with organizations participating in the Go Pass program.

The JPB reached out to the following Community groups and leaders:

San Francisco County

- Arab Resource & Organizing Center
- Asian Pacific American Community Center
- Bayview Footprints (by Quesada Gardens Initiative)
- Bayview Hill Neighborhood Association
- Bayview Merchants Association
- Bernal Heights Housing Corporation
- BRITE (Bayview Residents Improving Their Environment)
- Castro/Upper Market Community Benefit District
- Catholic Charities
- Causa Justa Just Cause
- Central City Hospitality House
- Chinese Progressive Association
- Community Housing Partnership
- Compass Family Services
- Dogpatch Neighborhood Association
- Dolores Street Community Services
- Excelsior District Improvement Association
- Florence Fang Community Garden
- Green Benefit District (Dogpatch & Northwest Potrero Hill)
- GreenAction
- Greenbelt Alliance
- Hunters Point Family
- India Basin Neighborhood Association
- Mission Asset Fund
- Mujeres Unidas y Activas, San Francisco
- New Door Ventures
- Pomeroy Recreation and Rehabilitation Center
- Potrero Boosters
- Potrero Hill/Dogpatch Merchants Association
- Public Advocates
- Russian American Community Services
- San Francisco Bicycle Coalition
- San Francisco Rising
- San Francisco Transit Riders
- Senior and Disability Action, San Francisco
- SF Coalition on Homelessness
- SF Mission Bay Neighborhood Association
- SPUR
- Steppingstone, San Francisco
- Urban Land Institute (San Francisco)
- Visitacion Valley Planning Alliance (VVPA)
- Walk San Francisco

San Mateo County

- Anamatangi Polynesian Voices (APV)
- Bay Area Forward
- Belle Haven Action
- Catholic Charities Resettlement Program
- Chicana Latina Foundation
- Child Care Coord. Council
- Clean Coalition
- Coastside Hope
- College of San Mateo
- College Track
- College Track East Palo Alto
- Commission on Aging
- Daly City Community Service Center
- Daly City Partnership
- East Palo Alto Senior Center
- Ecumenical Hunger Program
- Fair Oaks Community Center
- Faith in Action
- Family Health Services
- Friends of Caltrain
- Housing Leadership Council
- Japanese American Community Center
- Japanese American Community Center
- Japanese Chamber of Commerce
- Language Pacifica
- Lesley Senior Communities, San Mateo
- LifeMoves,
- Menlo SPARK
- Mid-Peninsula Boys and Girls Club
- Midcoast Community Council
- Mid-Peninsula Housing
- Moon Ridge Apartments
- NAACP San Mateo County Chapter
- Next Step Veterans Resource Center
- Non-Profit Housing Association of Northern California
- Northern Peninsula Food Pantry and Dining Center
- Northern Peninsula Mandarin School
- Nuestra Casa
- One East Palo Alto,
- Our Lady of the Pillar Catholic Church
- Our Second Home
- Pacifica Resource Center
- PARS Equality Center
- Peninsula Family Service
- Peninsula Interfaith Action
- Pillar Ridge Manufactured Housing Community
- Project WeHope
- Redwood City 2020
- Renaissance Center Mid-Peninsula
- Safe Harbor Shelter
- Safe Routes to School Program at County Office of Education
- Samaritan House
- Sierra Club, Loma Prieta Chapter
- Sikh Gurdware of San Francisco
- Sitike Counseling Center
- Skyline College
- StarVista
- Yaseen Foundation
- Youth Leadership Institute
- Youth United for Community Action (YUCA)
- Zawaya

Santa Clara County

- **Asian Pacific Islander American Public Affairs Association, Peninsula Chapter**
- **BayRail Alliance**
- **City Team**
- **Committee for Green Foothills**
- **Day Worker Center of Mountain View**
- **Destination Home**
- **Ethiopian Community Services**
- **Family Giving Tree**
- **Family Supportive Housing, Inc.**
- **First Community Housing**
- **Grail Family Services**
- **Heart of the Valley**
- **Home First**
- **India Community Center**
- **Joint Venture Silicon Valley**
- **Live Oak Adult Day Services**
- **Mayfair Neighborhood Advisory Coalition, San Jose**
- **Mountain View Coalition for Sustainable Planning**
- **Palo Alto Housing**
- **Project Hired**
- **Public Allies - San Francisco, Silicon Valley**
- **Rahima Foundation**
- **Sacred Heart Community Service**
- **Salvation Army Family Services - San Jose**
- **Santa Clara & San Benito Counties Building & Construction Trades Council**
- **Santa Clara County Central Labor Council (South Bay AFL-CIO Labor Council)**
- **Silicon Valley Community Foundation**
- **Stevenson House**
- **Sustainable Silicon Valley**
- **The Five Wounds/Brookwood Terrace Neighborhood Action Coalition**
- **Transportation Justice Alliance**
- **Upward Scholars**
- **Vietnamese American Community Center, San Jose**
- **Vista Center for the Blind and Visually Impaired**
- **Working Partnerships**

DISSEMINATION OF INFORMATION TO LIMITED ENGLISH PROFICIENT PERSONS

Measures taken to overcome linguistic, institutional, and cultural barriers that may prevent minority and low-income populations from participating in decision-making also included publishing the public hearing notice and public meeting notices in newspapers of general circulation and various community newspapers in different languages (**Attachment 10**). Notifications for the public hearing and public meetings appeared in the newspapers listed in **Table 9**.

Table 9: Print Advertisement

	Date	Type	Newspaper
1	5/18/2021	Public Notice	Singtao (Chinese)
2	5/21/2021	Public Notice	El Observador (Spanish)
3	5/18/2021	Public Notice	San Mateo Daily Journal

Staff also established multiple ways for customers and the public to provide their input: at the community meetings and station outreaches by directing riders to an online survey in English with Translations in Spanish and Chinese (see **Attachment 11**), using a printed survey in English with Translations in Spanish and Chinese (see **Attachment 12**) for those without access to the internet or smart phones, through the postal service (by mail), by telephone call to the Customer Service Center’s general number or one for those with hearing impairments, through the unique e-mail address changes@caltrain.com and via an online comment form on the dedicated webpage <https://www.caltrain.com/riderinfo/2021ProposedFareChanges.html>.

PUBLIC OUTREACH

Due to the Covid-19 pandemic, Caltrain staff held public meetings virtually. Two public meetings were held virtually: one at a Caltrain Advisory Committee meeting (May 19, 2021) and the second at a general public meeting (May 20, 2021). Both events were held in the evening. No requests for translation or interpretation were received.

PUBLIC COMMENTS

Summary of Comments

As of May 24, 2021 Caltrain received 45 total comments from the various forms of outreach. Many of the comments were provided using the online survey. There were a total of 33 online surveys with complete responses addressing each fare proposal, plus 12 additional responses that were either partial survey responses or were comments received via mail, e-mail, and the public meeting. A compiled list of all public comments is provided in **Attachment 13**. The online survey responses are further summarized in **Attachment 14**.

Table 10 summarizes feedback for the proposal. Riders were polled on whether they agreed, disagreed or did not have an opinion on each fare proposal. In addition, the number of additional comments for each proposal is noted.

Table 10: Comment Tally

	Go Pass Increase- 5% (FY23)			Go Pass Increase-5% (FY 25)			Monthly Pass Discount	
	A - Agree	D - Disagree	N - No Opinion	A - Agree	D - Disagree	N - No Opinion	A - Agree	D - Disagree
#	14	9	8	13	7	9	30	3
%	45%	29%	26%	45%	21%	34%	91%	3%
# of Additional Public Comments	6			5			17	

	Reduce One Way Clipper - 30 cents.			Increase Base Fare - 50 cents (FY 22)			Increase Base Fare - 50 cents (FY 26)			Zone Fare Increase - 25 cent (FY24)		
	A - Agree	D - Disagree	N - No Opinion	A - Agree	D - Disagree	N - No Opinion	A - Agree	D - Disagree	N - No Opinion	A - Agree	D - Disagree	N - No Opinion
#	15	10	6	7	19	5	12	10	7	12	12	7
%	48%	32%	19%	23%	61%	16%	41%	34%	24%	39%	39%	23%
# of Additional Public Comments	7			6			6			6		

ATTACHMENT 1 – CALTRAIN SYSTEM MAP



**ATTACHMENT 2 – BOARD APPROVAL OF MAJOR
SERVICE, DISPARATE IMPACT AND DISPROPORTIONATE
BURDEN POLICIES**

RESOLUTION NO. 2013 – 21

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

* * *

ADOPTION OF SYSTEM-WIDE SERVICE STANDARDS AND POLICIES, DEFINITION OF "MAJOR SERVICE CHANGE," AND DISPARATE IMPACT AND DISPROPORTIONATE BURDEN POLICIES REQUIRED FOR COMPLIANCE WITH TITLE VI OF THE CIVIL RIGHTS ACT OF 1964

WHEREAS, Title VI of the Civil Rights Act of 1964 requires recipients of Federal grants and other assistance to operate their programs and services without regard to, or discrimination based on, race, color or national origin; and

WHEREAS, the Federal Transit Administration (FTA) issued Circular FTA C 4702.1B, effective October 1, 2012, setting forth requirements and guidelines for Title VI compliance; and

WHEREAS, as set forth in the above-referenced Circular, the Board of Directors is required to adopt System-Wide Service Standards and Policies to guide the equitable distribution of Caltrain programs and services; and

WHEREAS, the JPB is also required to adopt policies to define when a service change is sufficiently broad or large to necessitate a review of its potential impacts on minority and low-income populations, and to define when a fare change or major service change will have a disparate impact on minority populations or impose a disproportionate burden on low-income populations, all of which policies and definitions are required to be subject to public input; and

WHEREAS, over the past two months, JPB staff has presented draft policies to this Board and the public in Board meetings and other public meetings, undertaken extensive public outreach and accepted public comment on the policies; and

WHEREAS, the Staff Coordinating Council recommends the Board approve the attached System-Wide Service Standards and Policies, definition of "Major Service Change," and Disparate Impact and Disproportionate Burden Policies, which comply with FTA requirements and which will guide future decisions regarding and monitoring of Caltrain programs and services to ensure that they are provided equitably, without discrimination based on race, color or national origin.

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby approves the attached System-Wide Service Standards and Policies, definition of "Major Service Change," and Disparate Impact and Disproportionate Burden Policies.

Regularly passed and adopted this 4th day of April, 2013 by the following vote:

AYES: CISNEROS, COHEN, DEAL, KALRA, LLOYD, NOLAN,
 TISSIER, YEAGER

NOES: NONE

ABSENT: WOODWARD

ATTEST:


JPB Secretary



Chair, Peninsula Corridor Joint Powers Board

MAJOR SERVICE CHANGE POLICY

SERVICE CHANGES

All major increases or decreases in transit service are subject to a Title VI Equity Analysis prior to Board approval of the service change. A Title VI Equity Analysis completed for a major service change must be presented to the Caltrain Board for its consideration and included in the Caltrain Title VI Program with a record of the action taken by the Board.

Caltrain defines a major service change as any service change meeting at least one or both of the following criteria:

- A. An adjustment of service that equates to a reduction of or addition of 25 percent or more in total revenue train miles per day for the service day of the week (weekday, Saturday or Sunday) for which the change is made.
- B. A greater than 50 percent reduction or increase in the number of stops at a station per day for the service day of the week (weekday, Saturday or Sunday) for which the change is made.

Note: Any change that is a temporary or interim change due to construction or maintenance projects is exempted from the definition and is not considered a “major service change.”

DISPARATE IMPACT POLICY

This policy establishes a threshold for determining whether a given action has a disparate impact on minority populations versus non-minority populations. Per FTA Circular 4702.1B:

Disparate impact refers to a facially neutral policy or practice that disproportionately affects members of a group identified by race, color, or national origin, where the recipient's policy or practice lacks a substantial legitimate justification and where there exists one or more alternatives that would serve the same legitimate objectives but with less disproportionate effect on the basis of race, color, or national origin....

The policy shall establish a threshold for determining when adverse effects of [fare/]service changes are borne disproportionately by minority populations. The disparate impact threshold defines statistically significant disparity and may be presented as a statistical percentage of impacts borne by minority populations compared to impacts borne by non-minority populations. The disparate impact threshold must be applied uniformly...and cannot be altered until the next Title VI Program submission.

In the course of performing a Title VI Equity Analysis, Caltrain must analyze how the proposed action would impact minority as compared to non-minority populations. In the event the proposed action has a negative impact that affects minorities more than non-minorities with a disparity that exceeds the adopted Disparate Impact Threshold or that benefits non-minorities more than minorities with a disparity that exceeds the adopted Disparate Impact Threshold, Caltrain must evaluate whether there is an alternative that has a more equitable impact. Otherwise, Caltrain must take measures to mitigate the impact of the proposed action on the affected minority population and demonstrate that a legitimate business purpose cannot otherwise be accomplished and that the proposed change is the least discriminatory alternative.

The Caltrain Disparate Impact Threshold to determine if the adverse impacts of a major service change (as defined in the first part of this document) or a fare adjustment is established at 10 percent based on the cumulative impact of the proposed service and/or fare changes. This threshold applies to the difference of the impacts borne by minority populations compared to the same impacts borne by non-minority populations.

DISPROPORTIONATE BURDEN POLICY

This policy establishes a threshold for determining whether a given action has a disproportionate burden on low-income populations versus non-low-income populations. The Disproportionate Burden Policy applies only to low-income populations that are not also minority populations. Per FTA Circular 4702.1B:

The policy shall establish a threshold for determining when adverse effects of [fare/]service changes are borne disproportionately by low-income populations. The disproportionate burden threshold defines statistically significant disparity and may be presented as a statistical percentage of impacts borne by low-income populations as compared to impacts borne by non-low-income populations.... The disproportionate burden threshold must be applied uniformly...and cannot be altered until the next [Title VI] program submission.

At the conclusion of the analysis, if the transit provider finds that low-income populations will bear a disproportionate burden of the proposed [fare/]service change, the transit provider should take steps to avoid, minimize or mitigate impacts where practicable. The provider should describe alternatives available to low-income populations affected by the [fare/]service changes.

The Caltrain Disproportionate Burden Threshold to determine if the adverse impacts of a major service change (as defined in the first part of this document) or a fare adjustment is established at 10 percent based on the cumulative impact of the proposed service and/or fare changes. This threshold applies to the difference of the impacts borne by low-income populations compared to the same impacts borne by non-low-income populations.

Board Meeting Minutes (April 4, 2013)

Joint Powers Board Meeting
Minutes April 4, 2013

and Castro Street in Mountain View. Selection of these sites was coordinated with the California Public Utilities Commission and JPB staff.

Public Comment

Adina Levin, Friends of Caltrain, said the changes in the signal contract involve increasing gate down time at five intersections and re-signalizing the traffic lights. She hopes there is outreach to the affected communities.

Jeff Carter, Millbrae, said there will be some increased gate down time and when a train is at a station he hopes the gate will time out and release so traffic is not stopped the entire time the train is at the station.

A motion (Tissier/Nolan) to award a contract to Shimmick Construction for the Signal Preemption Improvement Project was approved unanimously.

AUTHORIZE THE SECOND AMENDMENT OF THE USE, OPERATING AND MAINTENANCE (UOM) AGREEMENT FOR THE MILLBRAE INTERMODAL STATION

Deputy CEO Chuck Harvey said when the Millbrae Intermodal Station was completed, the JPB entered into a cost-sharing agreement with BART to maintain the station. The costs were allocated through a cost model. This amendment codifies the agreement through FY2018 and the costs are being controlled by an agreement so they won't increase beyond the Consumer Price Index inflation.

A motion (Lloyd/Nolan) to authorize the second amendment of the UOM agreement for the Millbrae Intermodal Station was approved unanimously.

ADOPTION OF CALTRAIN TITLE VI STANDARDS AND POLICIES

Director, Rail Michelle Bouchard reported:

- The Federal Transit Administration requires approval and submission of five standards and policies.
 - The Major Service Change Policy is the criteria for determining when service change is significant enough to require a thorough analysis of potential effects on protected populations. Staff is recommending a change of 25 percent or more total train revenue miles and greater than 50 percent change in the number of trains stopping at a station per day.
 - Disparate Impact and Disproportionate Burden Policies determine the threshold when adverse effects of a fare or service changes are borne disproportionately by minority or low-income populations. Staff is recommending a 10 percent threshold.
 - Services Standards and Policies are established to monitor performance in quantifiable and qualitative measures/metrics. Service standards include vehicle load, vehicle headway, on-time performance and service availability. Service policies are vehicle assignment and transit amenities.
- Four community meetings were held and comments were accepted through March 29. Meetings were sparsely attended and only one comment was received.

Board Meeting Minutes (April 4, 2013 - Continued)

Joint Powers Board Meeting
Minutes April 4, 2013

Public Comment

Roland LeBrun, San Jose, said staff has to ensure cash customers are not targeted because most cash customers are minorities.

A motion (Lloyd/Tissier) to adopt the Caltrain Title VI Standards and Policies was approved unanimously.

LEGISLATIVE UPDATE

State Update

Executive Officer, Public Affairs Mark Simon said Acting Business Transportation and Housing Secretary Brian Kelly has formed a California Transportation Finance Working Group to explore options for meeting the State's long-term transportation funding needs and priorities. Public transit agencies will be represented on the working group through the California Transit Association. The first meeting is April 9 and one of the first things the group will be discussing is a recent report issued by the American Society of Civil Engineers which gave the State an overall grade of "C" for its infrastructure and cites "a lack of sufficient investment for the operations and maintenance of existing facilities and dedicated funding sources for new improvements to the system. There is a need for \$10 billion per year more to be spent for ongoing maintenance of existing facilities and an investment of \$36.5 billion to raise transportation to a "B" grade."

Federal Update

Mr. Simon said Congress is working to pass a continuing resolution and start work on the FY2014 appropriations process. Last year the Federal investment in the California High Speed Rail Project was a key topic during the appropriations process. Republican Congressmembers Jeff Denham and Kevin McCarthy requested the Government Accountability Office (GAO) review the project's cost, ridership and revenue projections. The GAO report released last week gave the project an overwhelmingly positive review.

Mr. Simon said there was a home value study done by the American Public Transportation Association and the Association of Realtors that showed property within a half-mile of transit sustained its value more effectively during the recession and rebounded more rapidly.

CORRESPONDENCE

No discussion.

BOARD MEMBER REQUESTS

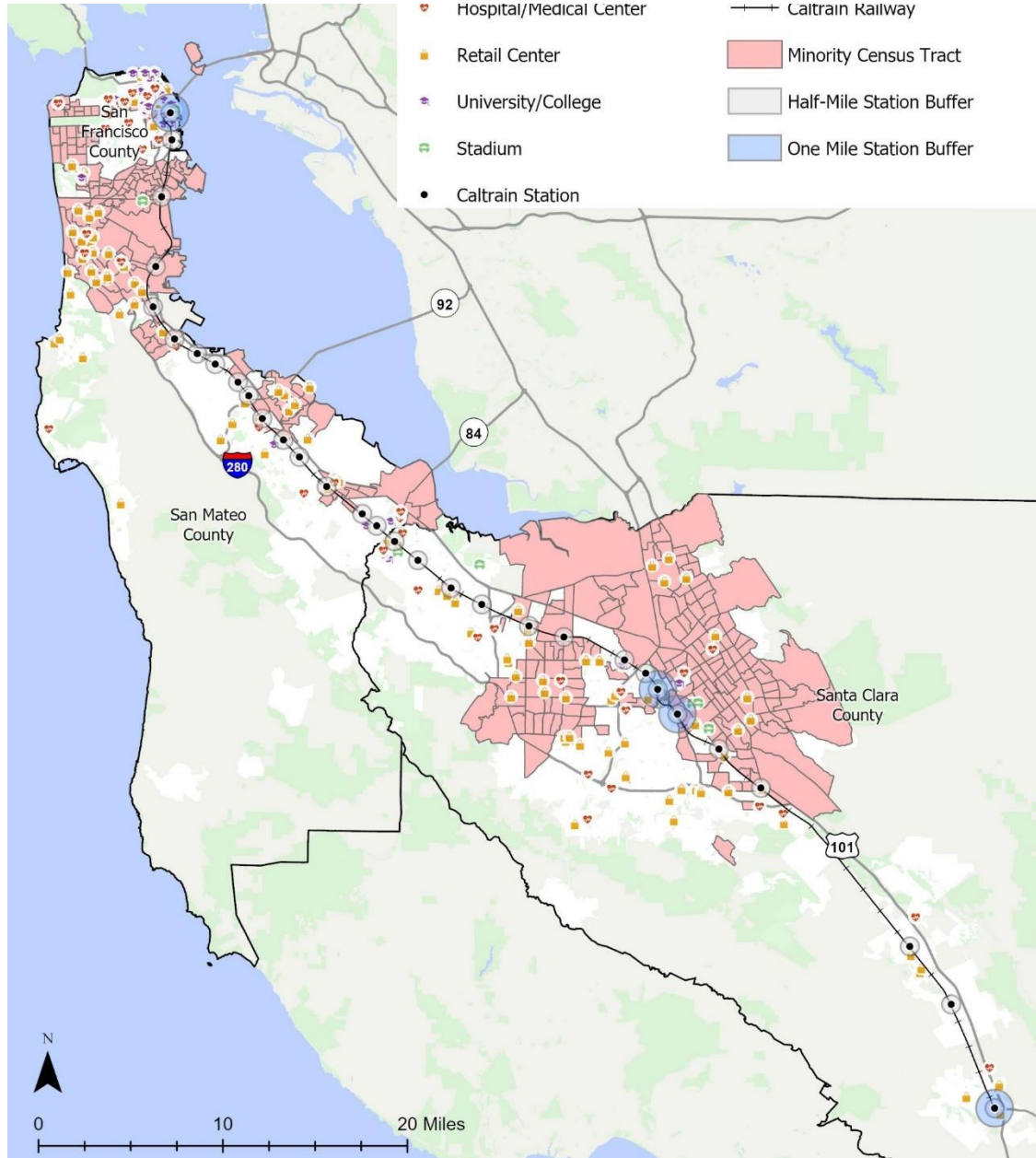
None

GENERAL COUNSEL REPORT

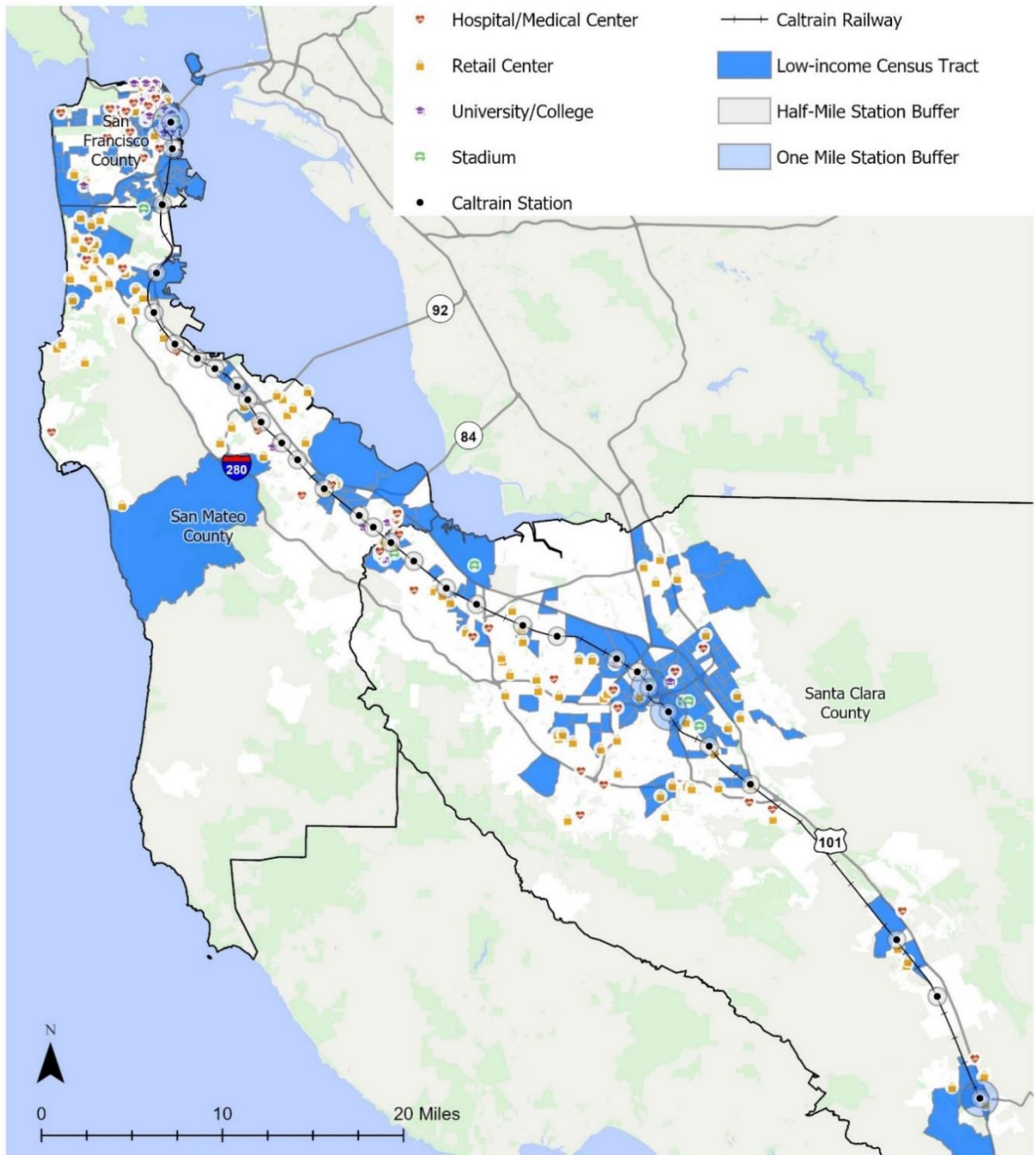
Mr. Miller said staff has contacted the general counsel for the CHSRA to see if their chair indicated Caltrain would respond to Mr. Brown's request. It is clear Proposition 1A is going to be complied with in the final analysis and the agreement that has been entered into codifies the blended system as the plan around which HSR will be designed and constructed and contains a funding plan template. Over time the funding plan will evolve as estimates are prepared and the public can be assured

ATTACHMENT 3 – SERVICE AREA DEMOGRAPHICS

MINORITY POPULATION BY CENSUS TRACT



LOW INCOME BY CENSUS TRACT



ATTACHMENT 4 – EXISTING FARE CHART

ADULT FARES

Ticket Type*	How to Buy	Travel within					
		1 Zone	2 Zones	3 Zones	4 Zones	5 Zones	6 Zones
One Way	Ticket Machine	\$3.75	\$6.00	\$8.25	\$10.50	\$12.75	\$15.00
	Clipper Card	\$3.20	\$5.45	\$7.70	\$9.95	\$12.20	\$14.45
Day Pass+	Ticket Machine	\$7.50	\$12.00	\$16.50	\$21.00	\$25.50	\$30.00
Zone Upgrade	Ticket Machine	\$2.25 per zone					
Monthly Pass++	Clipper Card	\$96.00	\$163.50	\$231.00	\$298.50	\$366.00	\$433.50

+ Levi's® Stadium, Caltrain is offering a **joint adult Caltrain + VTA Day Pass**. The Caltrain portion is valid to Zone 3 and costs an additional \$7.50 compared to a Caltrain Day Pass. The joint pass is valid on Caltrain through the last train of the night and on VTA buses and light rail until 3 a.m.

++ Customers with a two-zone or greater Caltrain Monthly Pass get free local rides or free local ride credits on SamTrans. Visit the [SamTrans Inter-Agency Transfers](#) page for details. VTA (Santa Clara Valley Transportation Authority) offers Caltrain customers with a two-zone or greater Caltrain Monthly Pass free transfers to VTA local, limited stop bus, bus rapid transit and light rail. For more information visit the [VTA Caltrain Fares page](#).

Eligible Discount Fare**

Ticket Type*	How to Buy	Travel within					
		1 Zone	2 Zones	3 Zones	4 Zones	5 Zones	6 Zones
One Way	Ticket Machine	\$1.75	\$2.75	\$3.75	\$4.75	\$5.75	\$6.75
	Clipper Card	\$1.60	\$2.60	\$3.60	\$4.60	\$5.60	\$6.60
Day Pass	Ticket Machine	\$3.75	\$6.00	\$8.25	\$10.50	\$12.75	\$15.00
Zone Upgrade	Ticket Machine	\$1.00 per zone					
Monthly Pass+	Clipper Card	\$48.00	\$78.00	\$108.00	\$138.00	\$168.00	\$198.00

+ Eligible Discount Monthly Pass holders get free local rides or free local ride credits on SamTrans. For more information visit the [SamTrans Inter-Agency Transfers page](#). VTA (Santa Clara Valley Transportation Authority) also offers a free transfer for Eligible Discount Monthly Pass holders. Visit [VTA's Caltrain fare page](#) for more information.

ATTACHMENT 5 – NOTICES FOR PUBLIC HEARING AND MEETINGS

PROPOSED CALTRAIN FARE CHANGES

Caltrain will hold a public hearing to receive public comment on a proposed extension of the 20% discount on the Monthly Pass fare product through June 30, 2023.

Though not part of the public hearing, the public will also have an opportunity to provide feedback on postponing the following fare changes that were approved by the Board of Directors in 2019:

- Reducing the Adult One-way Clipper® discount from 55 cents to 25 cents, with corresponding changes to all Clipper products
- Three incremental fare increases occurring every other year that alternate between increasing the Base Fare by 50 cents and the Zone Fare by 25 cents
- Two incremental fare increases to the Go Pass product by 5% every other year.

The following are several ways the public can provide input to Caltrain:

Public Meeting: Proposed Fare Changes

Thursday, May 20, 2021 at 5:30 p.m.

Access Online: join.zoom.us OR via Telephone: 1.669.900.6833

Enter Webinar ID: 971 6867 0624 and Passcode: 240979

Public Hearing: JPB's Board of Directors' Finance Committee meeting

Monday, May 24, 2021 at 1:30 p.m.

Access Online: join.zoom.us OR via Telephone: 1.669.900.6833

Enter Webinar ID: 933 8892 7360 and Passcode: 790810

Prior to the hearing, comments may be sent by completing the online comment form at www.caltrain.com/changes, by mail, e-mail or phone:

Board Secretary

Peninsula Corridor Joint Powers Board

P.O. Box 3006, San Carlos, CA 94070-1306

Changes@caltrain.com 1.800.660.4287 (TTY 650.508.6448)

Puede encontrar más información sobre los cambios propuestos en www.caltrain.com/changes.

建议改动的详细内容可以在这里找到：www.caltrain.com/changes.

Peninsula Corridor Joint Powers Board
AVISO DE AUDIENCIA Y REUNIONES PÚBLICAS

Cambios propuestos en las tarifas de Caltrain

La Peninsula Corridor Joint Powers Board (JPB) realizará un audiencia pública para recibir comentarios por parte del público sobre una extensión propuesta al descuento del 20% en la tarifa del Pase Mensual hasta el 30 de junio de 2023.

Aunque sin formar parte de la audiencia pública, el público también tendrá la oportunidad de proporcionar sus comentarios acerca de posponer los cambios siguientes en las tarifas, los cuales fueron aprobados anteriormente por la Junta Directiva en 2019:

- Reducir el descuento en la tarjeta Adult One-way Clipper® de 55 centavos a 25 centavos, con cambios correspondientes en todas las tarjetas Clipper
- Tres aumentos progresivos en las tarifas que se aplican cada dos años alternando entre un aumento de 50 centavos en la Tarifa Básica un año y uno de 25 centavos en la Tarifa de Zona el otro año
- Dos aumentos progresivos del 5% en las tarifas en el Go Pass cada dos años.

La audiencia pública se llevará a cabo durante la reunión del Comité Financiero de la Junta Directiva de la JPB:

Lunes, 24 de mayo de 2021 a la 2:30 p.m.

Acceso por Internet: join.zoom.us O por vía telefónica: 1.669.900.6833

Ingrese la ID del webinar: 933 8892 7360 y la contraseña: 790810

La JPB también realizará una reunión pública para presentar la propuesta y recibir comentarios por parte del público.

Jueves, 20 de mayo de 2021 a las 5:30 p.m.

Acceso por Internet: join.zoom.us O por vía telefónica: 1.669.900.6833

Ingrese la ID del webinar: 971 6867 0624 y la contraseña: 240979

Antes de la audiencia, los comentarios pueden enviarse llenando el formulario de comentarios por Internet en www.caltrain.com/changes, por correo, e-mail o teléfono:

Board Secretary

Peninsula Corridor Joint Powers Board

P.O. Box 3006, San Carlos, CA 94070-1306

Changes@caltrain.com 1.800.660.4287 (TTY 650.508.6448)

Para solicitar servicio de traducción o interpretación, llame a Caltrain al 1.800.660.4287 al menos tres días antes de la reunión.

如果需要翻译或口译协助，请在听证会开始之前至少提前 3 天拨打 1.800.660.4287 联系 Caltrain。

Peninsula Corridor Joint Powers Board

公众听证会通告

加州火车 (Caltrain) 票价调整建议

半岛走廊共同权力委员会 (Peninsula Corridor Joint Powers Board, JPB) 将举行一场公众听证会，以听取公众对下列事宜的意见：延长月票产品票价 20% 折扣至 2023 年 6 月 30 日。公众也将有机会就推迟理事会先前在 2019 年批准的下列票价调整提供反馈意见（非本次公众听证会内容）：

- 将成人单程 Clipper® 折扣从 55 美分降至 25 美分，并对所有 Clipper 产品进行相应的调整
- 每隔一年提价三次，按基本票价提高 50 美分和区域票价提高 25 美分交替进行
- 每隔一年对 Go Pass 产品提价两次，每次提高 5% 的票价。

公众听证会将在 JPB 理事会财务委员会会议期间举行：

2021 年 5 月 24 日，星期一，下午 2:30

在线接入：join.zoom.us 或拨打电话：1.669.900.6833

输入网络会议 ID：933 8892 7360 和密码：790810

JPB 还将召开一次公开会议，介绍该提案并听取公众的意见。

2021 年 5 月 20 日，星期四，下午 5:30

在线接入：join.zoom.us 或拨打电话：1.669.900.6833

输入网络会议 ID：971 6867 0624 和密码：240979

在听证会开始之前，公众可以通过在 www.caltrain.com/changes 上填写在线意见表、邮寄、电子邮件或电话把意见发送至：

Board Secretary

Peninsula Corridor Joint Powers Board

P.O. Box 3006, San Carlos, CA 94070-1306

Changes@caltrain.com 1.800.660.4287 (文字电话 650.508.6448)

如果需要翻译或口译协助，请在听证会开始之前至少提前 3 天拨打 1.800.660.4287 联系 Caltrain。

Para solicitar servicio de traducción o interpretación, llame a Caltrain al 1.800.660.4287 al menos tres días antes de la reunión.

ATTACHMENT 6– CALTRAIN DEDICATED WEBPAGE

2021 Proposed Fare Changes

Proposed Caltrain Fare Changes

Caltrain will hold a public hearing to receive public comment on a proposed extension of the 20% discount on the Monthly Pass fare product through June 30, 2023.

Though not part of the public hearing, the public will also have an opportunity to provide feedback on postponing the following fare changes that were previously approved by the Board of Directors in 2019:

- Reducing the Adult One-way Clipper® discount from 55 cents to 25 cents, with corresponding changes to all Clipper products
- Three incremental fare increases occurring every other year that alternate between increasing the Base Fare by 50 cents and the Zone Fare by 25 cents
- Two incremental fare increases to the Go Pass product by 5% every other year

Public Meeting: Present the proposal and receive comments from the public

Thursday, May 20, 2021 at 5:30 p.m.

Access Online: join.zoom.us OR via Telephone: 1.669.900.6833

Enter Webinar ID: 971 6867 0624 and Passcode: 240979

[Watch Recording of Meeting](#) | [Presentation Slides](#)

Public Hearing: JPB's Board of Directors' Finance Committee meeting

Monday, May 24, 2021 at 2:30 p.m.

Access Online: join.zoom.us OR via Telephone: 1.669.900.6833

Enter Webinar ID: 933 8892 7360 and Passcode: 790810

Prior to the hearing, comments may be sent by completing the online comment form links below:

Caltrain Proposed Fare Changes Public Comment Form

https://samtranscore.sjc1.qualtrics.com/jfe/form/SV_9EmYkYowochv0Ts

Cambios propuestos en las tarifas - Formulario de comentarios del público

https://samtranscore.sjc1.qualtrics.com/jfe/form/SV_9EmYkYowochv0Ts?Q_Language=ES-ES

Caltrain 拟议票价调整 - 公众意见表

https://samtranscore.sjc1.qualtrics.com/jfe/form/SV_9EmYkYowochv0Ts?Q_Language=ZH-S

Comments may also be sent by by mail, e-mail or phone:

Board Secretary
Peninsula Corridor Joint Powers Board
P.O. Box 3006, San Carlos, CA 94070-1306
Changes@caltrain.com
1.800.660.4287 (TTY 650.508.6448)

For translation or interpretation assistance, call Caltrain at 1.800.660.4287 at least three days before the meeting.

Para obtener asistencia sobre traducciones o interpretaciones, llame a Caltrain al 1.800.660.4287 al menos tres días antes de la reunión.

如需笔译或口译协助，请在会议召开前至少三天拨打 Caltrain 电话 1.800.660.4287。

ATTACHMENT 7 – CALTRAIN NEWS RELEASES AND COVERAGE

Caltrain Online News Release

> caltrain.com > [About Caltrain](#) > [Media Relations](#) > [News](#) > Caltrain Considers Fare Changes as Part of Pandemic Recovery

Caltrain Considers Fare Changes as Part of Pandemic Recovery

May 10, 2021

Caltrain will host a public hearing later this month to gather feedback on [potential changes](#) to its fare structure as the rail agency continues to work on recovery plans as a result of the coronavirus (COVID-19) pandemic.

Caltrain is seeking public comment on a proposed extension of the 20% discount on the [Monthly Pass](#) fare product through June 30, 2023. In March, the discount was approved only through September 2021. The agency is providing this discount to encourage people returning to work to take advantage of transit, while also providing some financial relief for those that have been riding regularly throughout the pandemic.

Though not part of the public hearing, the public will also have an opportunity to provide feedback on postponing the following fare changes which were approved by the Board of Directors in 2019:

- A reduction of the Adult One-way Clipper® discount from 55 cents to 25 cents, with corresponding changes to all Clipper products
- Three incremental fare increases occurring every other year that alternate between increasing the Base Fare by 50 cents and the Zone Fare by 25 cents
- Two incremental fare increases to the Go Pass product by 5% every other year

The following are several ways the public can provide input to Caltrain:

Public Meeting: Proposed Fare Changes

Thursday, May 20, 2021 at 5:30 p.m.

Access Online: join.zoom.us OR via Telephone: 1.669.900.6833

Enter Webinar ID: 971 6867 0624 and Passcode: 240979

Public Hearing: JPB's Board of Directors' Finance Committee meeting

Monday, May 24, 2021 at 2:30 p.m.

Access Online: join.zoom.us OR via Telephone: 1.669.900.6833

Enter Webinar ID: 933 8892 7360 and Passcode: 790810

Prior to the hearing, comments may be sent by completing the online comment form [HERE](#), by mail, e-mail or phone:

Board Secretary
Peninsula Corridor Joint Powers Board
P.O. Box 3006, San Carlos, CA 94070-1306
Changes@caltrain.com
1.800.660.4287 (TTY 650.508.6448)

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Para obtener asistencia sobre traducciones o interpretaciones, llame a Caltrain al 1.800.660.4287 al menos tres días antes de la reunión.

如需笔译或口译协助，请在会议召开前至少三天拨打 Caltrain 电话 1.800.660.4287.

###

About Caltrain: Owned and operated by the Peninsula Corridor Joint Powers Board, Caltrain provides commuter rail service from San Francisco to San Jose, with commute service to Gilroy. While the Joint Powers Board assumed operating responsibilities for the service in 1992, the railroad celebrated 150 years of continuous passenger service in 2014. Planning for the next 150 years of Peninsula rail service, Caltrain is on pace to electrify the corridor, reduce diesel emissions by 97 percent by 2040 and add more service to more stations.

Follow Caltrain on [Facebook](#) and [Twitter](#).



Caltrain Holding Public Hearings On Proposed Fare Changes

May 11, 2021 at 9:12 am

Filed Under: [Caltrain](#), [Discount](#), [Fares](#), [San Carlos](#)

SAN CARLOS (CBS SF/BCN) — Caltrain announced Tuesday a public hearing for later this month to obtain public input on a proposal to extend its monthly pass fare discount to 2023.

Currently, a 20% discount on the monthly pass is in place through Sept. 2021. The proposal — which would extend the discount through June 30, 2023 — aims to provide financial relief for Caltrain riders and encourage people to take the train as they return to work.

Other proposed fare changes include reducing the adult one-way Clipper discount from 55 cents to 25 cents; three incremental fare increases that alternate between increasing the base fare by 50 cents and the zone fare by 25 cents; and increasing the Go Pass by 5% every other year.

The public will be able to provide feedback on these additional proposals, though they are not part of the public hearing.

A public meeting discussing the proposed fare changes will take place May 20 at 5:30 p.m. via Zoom at join.zoom.us or by phone at (669) 900-6833. The webinar ID is 971 6867 0624 and passcode 240979 to join.

READ MORE: [Vegetation Fire Burns Along Altamont Pass East of Livermore](#)

The hearing takes place May 24 at 2:30 p.m. during a finance committee meeting for the Peninsula Corridor Joint Powers Board, which owns and operates Caltrain.

That meeting can be accessed via Zoom or by phone at (669) 900-6833 with webinar ID 933 8892 7360 and passcode 790810 to join.

People can submit comments before the hearing by [completing an online form](#), by emailing changes@caltrain.com, by phone at (800) 660-4287 (TTY (650) 508-6448) or by mail to Board Secretary, Peninsula Corridor Joint Powers Board, P.O. Box 3006, San Carlos, CA 94070-1306.

People needing translation or interpretation should call Caltrain at (800) 660-4287 at least three days before the meeting for assistance.

News

Caltrain seeks public input on proposed fare changes

by Astrid Casimire / Bay City News Service / Almanac

Uploaded: Tue, May 11, 2021, 12:12 pm 0

Time to read: about 1 minutes



A northbound Caltrain pulls out of the downtown Palo Alto train station on July 24, 2019. Caltrain will hold a public hearing later this month to get feedback on a proposal to extend its monthly pass fare discount to 2023. Photo by Veronica Weber.

Caltrain will hold a public hearing later this month to get feedback on a proposal to extend its monthly pass fare discount to 2023.

Currently, a 20% discount on the monthly pass is in place through September 2021. The proposal -- which would extend the discount through June 30, 2023 -- aims to provide financial relief for Caltrain riders and encourage people to take the train as they return to work.

Other proposed fare changes include reducing the adult one-way Clipper discount from 55 cents to 25 cents; three incremental fare increases that alternate between increasing the base fare by 50 cents and the zone fare by 25 cents; and increasing the Go Pass by 5% every other year.

The public will be able to provide feedback on these additional proposals, though they are not part of the public hearing.

A public meeting discussing the proposed fare changes will take place May 20 at 5:30 p.m. via Zoom at join.zoom.us or by phone at (669) 900-6833. The webinar ID is 971 6867 0624 and passcode 240979 to join.

The hearing takes place May 24 at 2:30 p.m. during a finance committee meeting for the Peninsula Corridor Joint Powers Board, which owns and operates Caltrain.

That meeting can be accessed via Zoom or by phone at (669) 900-6833 with webinar ID 933 8892 7360 and passcode 790810 to join.

People can submit comments before the hearing by completing an online form at https://samtranscore.sjci.qualtrics.com/jfe/form/SV_9EmYkYowochvoTs, by emailing changes@caltrain.com, by phone at (800) 660-4287 (TTY (650) 508-6448) or by mail to Board Secretary, Peninsula Corridor Joint Powers Board, P.O. Box 3006, San Carlos, CA 94070-1306.

People needing translation or interpretation should call Caltrain at (800) 660-4287 at least three days before the meeting for assistance.

For more information, visit <https://www.caltrain.com/riderinfo/2021ProposedFareChanges.html>.

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ATTACHMENT 8 – SOCIAL MEDIA POSTS

Caltrain Twitter Alerts



Caltrain @Caltrain · May 20

...

Don't forget to join us tonight at 5:30 PM

Caltrain @Caltrain · May 10

Latest News: #Caltrain Considers Fare Changes as Part of Pandemic Recovery

Caltrain will host a public hearing later this month on May 20th to gather feedback on potential changes to its fare structure.

Read more information here: bit.ly/2Rlly7S



1

1



Caltrain @Caltrain · May 13

...

Caltrain organizará una audiencia pública a finales de este mes el 20 de mayo para recopilar comentarios sobre posibles cambios en la estructura de tarifas.

Lea más información aquí: bit.ly/2Rlly7S



2

2



**ATTACHMENT 9 – VIRTUAL PUBLIC MEETING
PRESENTATION**



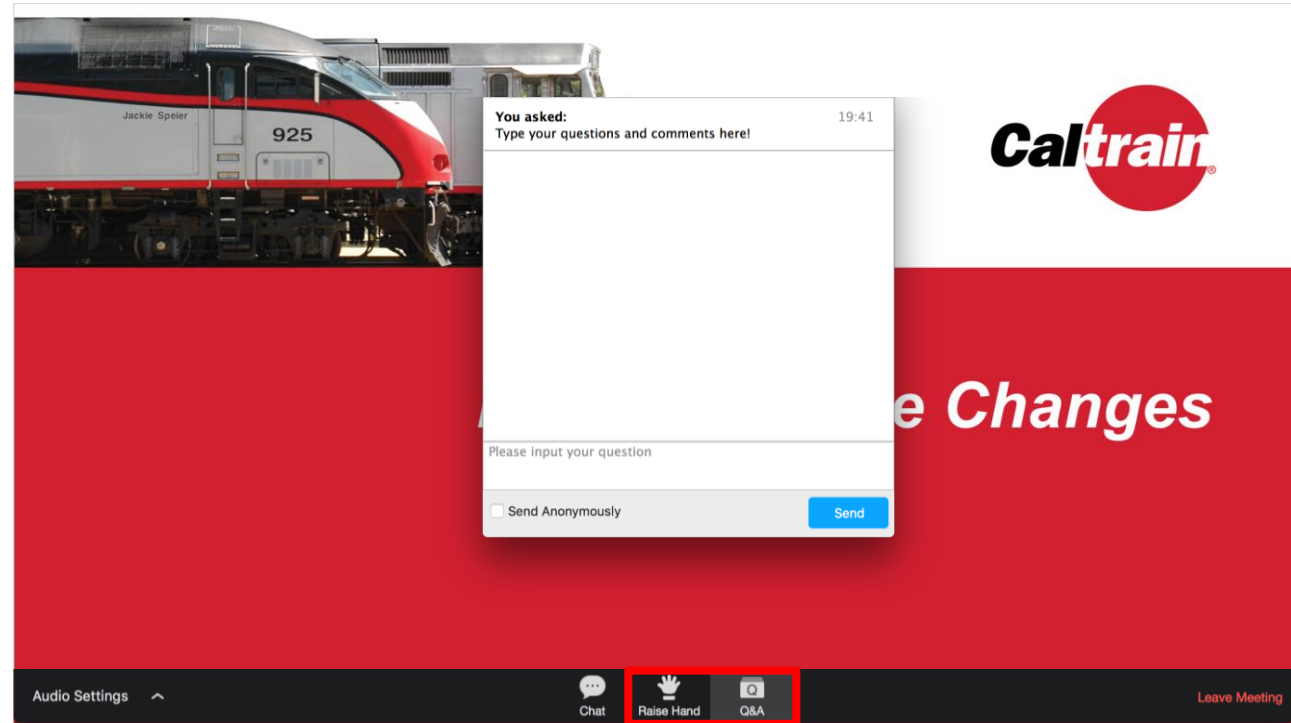
Proposed Fare Changes

Agenda

1. Meeting Logistics
2. Public Comment Process
3. Proposed Fare Changes
4. Timeline
5. Feedback/Q&A

Meeting Logistics

- All attendees are muted
- Q&A at end of presentation
 - Raise hand
 - Type using Q&A option
 - On Phone Press *9
- Recording of the presentation will be available after the meeting



Public Comment Process

- Call for public hearing in April 2021
- How to provide official public comment:
 - Online comment form – www.Caltrain.com/changes (English, Spanish, Chinese)
 - Participating at the virtual meeting on May 20 or public hearing on May 24
 - Email changes@caltrain.com
 - Mail Board Secretary
Peninsula Corridor Joint Powers Board
P.O. Box 3006, San Carlos, CA 94070-1306
 - Call 1.800.660.4287 (TTY 650.508.6448)

Title VI

- Staff is performing equity analysis on extending the 20% discount on Month Passes and will provide the final findings at the June 3 JPB Board meeting.
- In FY 2019, a Title VI equity analysis was submitted for the other fare changes. No disparate impact was found for minority communities and no disproportionate burden was found for low-income communities.

Proposed Fare Changes

Summary

1. Extend the temporary Monthly Pass product discount
 2. Postpone the implementation of previously Board approved fare changes in September 2019
 3. Consider an extension for the Clipper START pilot program
- Policy Goal: Support achievement of the agency's goals on ridership.

Monthly Pass



- Extend the temporary Monthly Pass Products discount of 20% through June 30, 2023
- The discounted price is equal 12 round-trips
- Subject to fare changes applicable to the Clipper one-way fare

Postpone Fare Increases

1. Postpone two previously adopted 5% increases by one year for the Go Pass:
 - 5% January 1, 2022, moved to January 1, 2023
 - 5% January 1, 2024, moved to January 1, 2025
2. Reduction of the Clipper discount from \$0.55 to \$0.25 per One-way adult fare, impacts all Adult Clipper products except eligible discount
 - July 1, 2021, moved to April 1, 2022

Postpone Fare Increases – cont'd

3. Periodic fare increases - 50-cent on the base fare

- July 1, 2021 moved to July 1, 2022
- July 1, 2025 moved to July 1, 2026

4. Periodic fare increases – 25-cent on the zone fare

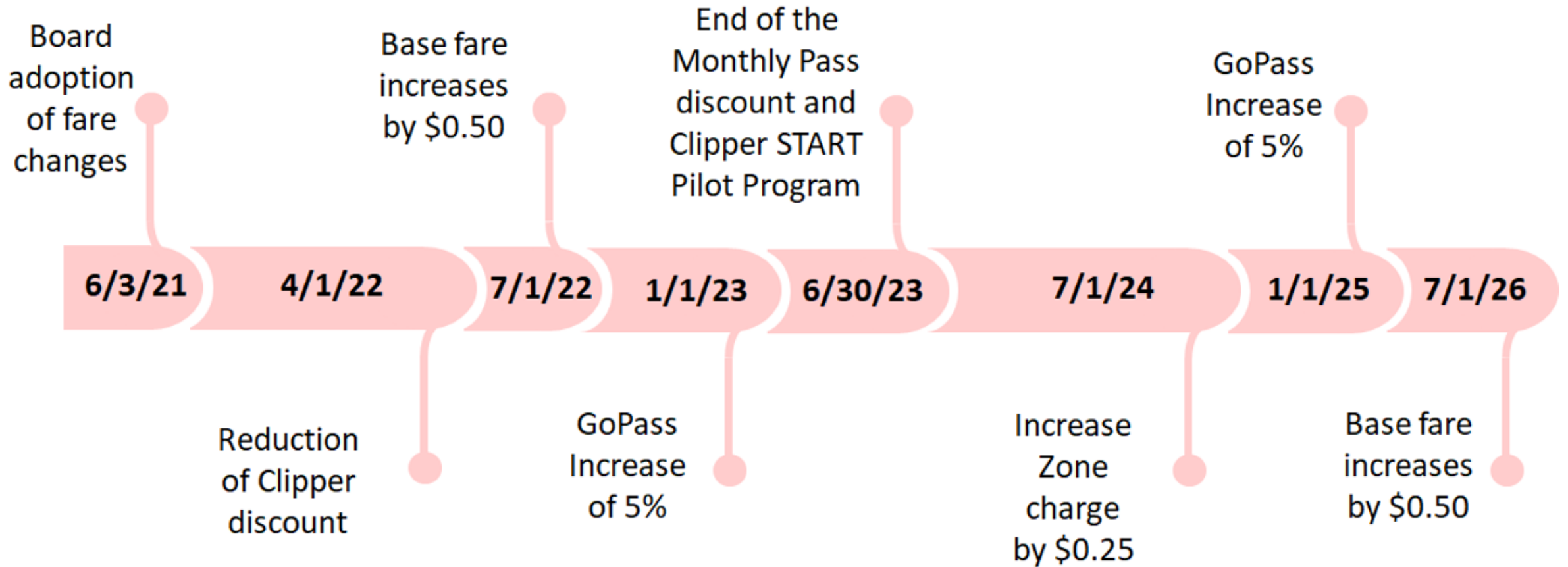
- July 1, 2023 moved to July 1, 2024

Regional Means-Based Fare Pilot Program

- The Clipper START fare is offered to eligible Adults and provides 50% discount on single-ride Adult Clipper Card fares.
- MTC is considering extending Clipper START through June 2023
 - Likely to be approved by the MTC Commission in summer 2021.
 - Caltrain requesting extension of Clipper START through June 2023, pending MTC approval



Proposed Timeline



Q&A and Comments

Public Comment Process

- How to provide official public comments:
 - Online comment form: www.Caltrain.com/changes (English, Spanish, Chinese)
 - Email: changes@caltrain.com
 - Mail Board Secretary
Peninsula Corridor Joint Powers Board
P.O. Box 3006, San Carlos, CA 94070-1306
 - Call: 1.800.660.4287 (TTY 650.508.6448)

**ATTACHMENT 10 – TRANSLATIONS: PRINTED MEDIA
ANNOUNCEMENT**

SING TAO (CHINESE TRANSLATION)

The order listed below has been received and processed. If you have any questions regarding this order, please contact your ad coordinator or the phone number listed below.

Customer Account Number: 133170

Type of Notice : HRG - NOTICE OF HEARING

Ad Description : Proposed Caltrain Fare Changes

Our Order Number : 3472013

Newspaper : SING TAO (S.F.)

Publication Date(s) : 05/18/2021

Thank you.

MELINDA VAZQUEZ

DAILY JOURNAL CORPORATION

CALIFORNIA NEWSPAPER SERVICE BUREAU

Phone: (800) 788 7840 / (213)229-5300

Fax: (800) 540 4089 / (213)229-5481

EL OBSERVADOR (SPANISH TRANSLATION)

Dear Customer:

The order listed below has been received and processed. If you have any questions regarding this order, please contact your ad coordinator or the phone number listed below.

Customer Account Number: 133170

Type of Notice : HRG - NOTICE OF HEARING
Ad Description : Proposed Caltrain Fare Changes
Our Order Number : 3472025
Newspaper : EL OBSERVADOR
Publication Date(s) : 05/21/2021

Thank you.

MELINDA VAZQUEZ
DAILY JOURNAL CORPORATION
CALIFORNIA NEWSPAPER SERVICE BUREAU
Phone: (800) 788 7840 / (213)229-5300
Fax: (800) 540 4089 / (213)229-5481

*Tear sheet confirmation was not available at the time of mail-out. The order confirmation is shown here

ENGLISH NEWSPAPER (DAILY JOURNAL)

Peninsula Corridor Joint Powers Board PUBLIC HEARING & MEETING NOTICE

Proposed Caltrain Fare Changes

The Peninsula Corridor Joint Powers Board (JPB) will hold a public hearing to receive public comment on a proposed extension of the 20% discount on the Monthly Pass fare product through June 30, 2023.

Though not part of the public hearing, the public will also have an opportunity to provide feedback on postponing the following fare changes that were previously approved by the Board of Directors in 2019:

- Reducing the Adult One-way Clipper® discount from 55 cents to 25 cents, with corresponding changes to all Clipper products
- Three incremental fare increases occurring every other year that alternate between increasing the Base Fare by 50 cents and the Zone Fare by 25 cents
- Two incremental fare increases to the Go Pass product by 5% every other year.

The public hearing will take place during the JPB's Board of Directors' Finance Committee meeting:

Monday, May 24, 2021 at 2:30 p.m.

Access Online: join.zoom.us OR via Telephone: 1.669.900.6833

Enter Webinar ID: 933 8892 7360 and Passcode: 790810

The JPB also will hold a public meeting to present the proposal and receive comments from the public.

Thursday, May 20, 2021 at 5:30 p.m.

Access Online: join.zoom.us OR via Telephone: 1.669.900.6833

Enter Webinar ID: 971 6867 0624 and Passcode: 240979

Prior to the hearing, comments may be sent by completing the online comment form at www.caltrain.com/changes, by mail, e-mail or phone.

Board Secretary

Peninsula Corridor Joint Powers Board

P.O. Box 3006, San Carlos, CA 94070-1306

Changes@caltrain.com 1.800.660.4287 (TTY 650.508.6448)

For translation or interpretation assistance, call Caltrain at 1.800.660.4287 at least three days before the meeting.

Para obtener asistencia sobre traducciones o interpretaciones, llame a Caltrain al 1.800.660.4287 al menos tres días antes de la reunión.

如需笔译或口译协助，请在会议召开前至少三天拨打 Caltrain 电话 1.800.660.4287。

ATTACHMENT 11 – PRINTED PUBLIC COMMENT FORMS

ENGLISH FORM

Caltrain Proposed Fare Changes	
Please mark if you agree, disagree or have no opinion, and provide additional comments about your position on each of the proposed fare changes.	
1) Extend 20% discount on Monthly Pass through 6/30/23.	<input type="checkbox"/> I agree <input type="checkbox"/> I disagree <input type="checkbox"/> No opinion Comments:
2) Reduce Adult One-way Clipper discount by 30 cents on 4/1/22.	<input type="checkbox"/> I agree <input type="checkbox"/> I disagree <input type="checkbox"/> No opinion Comments:
3) Increase base fare by 50 cents on 7/1/22.	<input type="checkbox"/> I agree <input type="checkbox"/> I disagree <input type="checkbox"/> No opinion Comments:
4) Increase Go Pass price by 5% on 1/1/23.	<input type="checkbox"/> I agree <input type="checkbox"/> I disagree <input type="checkbox"/> No opinion Comments:
5) Increase Zone fare by 25 cents on 7/1/24.	<input type="checkbox"/> I agree <input type="checkbox"/> I disagree <input type="checkbox"/> No opinion Comments:
6) Increase Go Pass price by 5% on 1/1/25.	<input type="checkbox"/> I agree <input type="checkbox"/> I disagree <input type="checkbox"/> No opinion Comments:
7) Increase Base fare by 50 cents on 1/1/26.	<input type="checkbox"/> I agree <input type="checkbox"/> I disagree <input type="checkbox"/> No opinion Comments:
8) Please enter additional comments here:	

9) How did you learn about the Caltrain Proposed Fare Changes? (check ALL that apply)
<input type="checkbox"/> Caltrain Board Meeting or Public Hearing <input type="checkbox"/> Community meeting - where?: _____ <input type="checkbox"/> Caltrain outreach event- where?: _____ <input type="checkbox"/> Through the Caltrain website <input type="checkbox"/> Through a newspaper advertisement <input type="checkbox"/> Social media <input type="checkbox"/> On the train <input type="checkbox"/> Other - please specify: _____
10) In which city do you live?
<input type="checkbox"/> Atherton <input type="checkbox"/> East Palo <input type="checkbox"/> Los Altos <input type="checkbox"/> Morgan Hill <input type="checkbox"/> Redwood <input type="checkbox"/> Santa Clara <input type="checkbox"/> Belmont <input type="checkbox"/> Alto <input type="checkbox"/> Hills <input type="checkbox"/> Mountain <input type="checkbox"/> City <input type="checkbox"/> Saratoga <input type="checkbox"/> Brisbane <input type="checkbox"/> Foster City <input type="checkbox"/> Los Gatos <input type="checkbox"/> View <input type="checkbox"/> San Bruno <input type="checkbox"/> South San <input type="checkbox"/> Burlingame <input type="checkbox"/> Gilroy <input type="checkbox"/> Menlo Park <input type="checkbox"/> Pacifica <input type="checkbox"/> San Carlos <input type="checkbox"/> Francisco <input type="checkbox"/> Campbell <input type="checkbox"/> Half Moon <input type="checkbox"/> Millbrae <input type="checkbox"/> Palo Alto <input type="checkbox"/> San <input type="checkbox"/> Sunnyvale <input type="checkbox"/> Colma <input type="checkbox"/> Bay <input type="checkbox"/> Millpitas <input type="checkbox"/> Portola <input type="checkbox"/> Francisco <input type="checkbox"/> Woodside <input type="checkbox"/> Cupertino <input type="checkbox"/> Hillsborough <input type="checkbox"/> Monte <input type="checkbox"/> Valley <input type="checkbox"/> San Jose <input type="checkbox"/> Daly City <input type="checkbox"/> Los Altos <input type="checkbox"/> Sereno <input type="checkbox"/> San Mateo
11) Please provide your name and e-mail address. (optional)
Name: _____
E-mail: _____
<input type="checkbox"/> Check this box to receive news and updates from Caltrain <input type="checkbox"/> Check this box to participate in future surveys
12) Which of the following best describes your race/ethnic background?(check ALL that apply) (optional)
<input type="checkbox"/> American Indian or Alaskan Native <input type="checkbox"/> Middle Eastern/Arabic/Persian <input type="checkbox"/> Asian/Asian American <input type="checkbox"/> Mixed <input type="checkbox"/> Black/African American <input type="checkbox"/> Pacific Islander or Native Hawaiian <input type="checkbox"/> Hispanic/Latino <input type="checkbox"/> White/Caucasian <input type="checkbox"/> Other - please specify: _____
13) Including yourself, how many people live in your household? (optional)
<input type="checkbox"/> 1 <input type="checkbox"/> 5 <input type="checkbox"/> 2 <input type="checkbox"/> 6 <input type="checkbox"/> 3 <input type="checkbox"/> 7 or more <input type="checkbox"/> 4
14) Annual Household Income (before taxes) (optional):
<input type="checkbox"/> Less than \$15K/year <input type="checkbox"/> \$75,000-\$99,999 <input type="checkbox"/> \$15,000 - \$24,999 <input type="checkbox"/> \$100,000-\$124,999 <input type="checkbox"/> \$25,000 - \$29,999 <input type="checkbox"/> \$125,000 - \$149,999 <input type="checkbox"/> \$30,000-\$39,999 <input type="checkbox"/> \$150,000-\$199,999 <input type="checkbox"/> \$40,000-\$49,999 <input type="checkbox"/> \$200,000-\$249,999 <input type="checkbox"/> \$50,000- \$74,999 <input type="checkbox"/> \$250,000 or more

Thank you for providing your feedback regarding the Caltrain proposed fare changes.



CHINESE FORM

Caltrain 拟议票价调整 - 公众意见表	
请标明您是赞同、反对或无意见，并就您对每项拟议的票价调整的立场提供补充意见。	
1) 将月票的 20% 折扣延长至 2023 年 6 月 30 日。	
<input type="checkbox"/> 赞同 <input type="checkbox"/> 反对 <input type="checkbox"/> 无意见 意见: _____	
2) 将成人单程 Clipper 折扣减少 30 美分。新的生效日期为 2022 年 4 月 1 日。	
<input type="checkbox"/> 赞同 <input type="checkbox"/> 反对 <input type="checkbox"/> 无意见 意见: _____	
3) 自 2022 年 7 月 1 日起将基本票价提高 50 美分。	
<input type="checkbox"/> 赞同 <input type="checkbox"/> 反对 <input type="checkbox"/> 无意见 意见: _____	
4) 自 2023 年 1 月 1 日起将 Go Pass 价格提高 5%。	
<input type="checkbox"/> 赞同 <input type="checkbox"/> 反对 <input type="checkbox"/> 无意见 意见: _____	
5) 自 2024 年 7 月 1 日起将区间票价提高 25 美分。	
<input type="checkbox"/> 赞同 <input type="checkbox"/> 反对 <input type="checkbox"/> 无意见 意见: _____	
6) 自 2025 年 1 月 1 日起将 Go Pass 价格提高 5%。	
<input type="checkbox"/> 赞同 <input type="checkbox"/> 反对 <input type="checkbox"/> 无意见 意见: _____	
7) 自 2026 年 1 月 1 日起将基本票价提高 50 美分。	
<input type="checkbox"/> 赞同 <input type="checkbox"/> 反对 <input type="checkbox"/> 无意见 意见: _____	
8) 请在此提供补充意见:	

9) 您是如何得知 Caltrain 的拟议票价调整的? (请勾选所有适用的选项)
<input type="checkbox"/> Caltrain 理事会或公众听证会 <input type="checkbox"/> 社区会议 - 在哪里? _____ <input type="checkbox"/> Caltrain 外展活动 - 在哪里? _____ <input type="checkbox"/> 通过 Caltrain 网站 <input type="checkbox"/> 通过报纸广告 <input type="checkbox"/> 社交媒体 <input type="checkbox"/> 在火车上 <input type="checkbox"/> 其他 - 请具体说明: _____
10) 您住在哪里?
<input type="checkbox"/> Atherton <input type="checkbox"/> East Palo <input type="checkbox"/> Los Altos <input type="checkbox"/> Morgan Hill <input type="checkbox"/> Redwood <input type="checkbox"/> Santa Clara <input type="checkbox"/> Belmont <input type="checkbox"/> Alto Hills <input type="checkbox"/> Mountain City <input type="checkbox"/> Saratoga <input type="checkbox"/> Brisbane <input type="checkbox"/> Foster City <input type="checkbox"/> Los Gatos View <input type="checkbox"/> San Bruno <input type="checkbox"/> South San <input type="checkbox"/> Burlingame <input type="checkbox"/> Gilroy <input type="checkbox"/> Menlo Park <input type="checkbox"/> Pacifica <input type="checkbox"/> San Carlos <input type="checkbox"/> Francisco <input type="checkbox"/> Campbell <input type="checkbox"/> Half Moon <input type="checkbox"/> Millbrae <input type="checkbox"/> Palo Alto <input type="checkbox"/> San <input type="checkbox"/> Sunnyvale <input type="checkbox"/> Colma Bay <input type="checkbox"/> Millpitas <input type="checkbox"/> Portola Francisco <input type="checkbox"/> Woodside <input type="checkbox"/> Cupertino <input type="checkbox"/> Hillsborough <input type="checkbox"/> Monte Valley <input type="checkbox"/> San Jose <input type="checkbox"/> 其他城市: <input type="checkbox"/> Daly City <input type="checkbox"/> Los Altos Sereno <input type="checkbox"/> San Mateo
11) 请提供您的姓名和电子邮箱地址。(可选的)
姓名: _____ 电子邮箱: _____ <input type="checkbox"/> 勾选此框, 以接收来自 Caltrain 的新闻和更新 <input type="checkbox"/> 勾选此框, 以参加未来的 Caltrain 调查问卷
12) 以下哪项最能说明您的种族/族裔背景。(请勾选所有适用的选项)(可选的)
<input type="checkbox"/> 美洲印第安人或阿拉斯加原住民 <input type="checkbox"/> 中东人/阿拉伯人/波斯人 <input type="checkbox"/> 亚裔/亚裔美国人 <input type="checkbox"/> 混血儿 <input type="checkbox"/> 黑人/非裔美国人 <input type="checkbox"/> 太平洋岛民或夏威夷原住民 <input type="checkbox"/> 西班牙裔/拉丁裔 <input type="checkbox"/> 白人/高加索人 <input type="checkbox"/> 其他 (请具体说明): _____
13) 包括您自己在内, 您家里共住有多少人?(可选的)
<input type="checkbox"/> 1 <input type="checkbox"/> 5 <input type="checkbox"/> 2 <input type="checkbox"/> 6 <input type="checkbox"/> 3 <input type="checkbox"/> 7 人或更多 <input type="checkbox"/> 4
14) 家庭年收入 (税前)。(可选的):
<input type="checkbox"/> 低于 \$15,000/年 <input type="checkbox"/> \$75,000-\$99,999 <input type="checkbox"/> \$15,000 - \$24,999 <input type="checkbox"/> \$100,000-\$124,999 <input type="checkbox"/> \$25,000 - \$29,999 <input type="checkbox"/> \$125,000 - \$149,999 <input type="checkbox"/> \$30,000-\$39,999 <input type="checkbox"/> \$150,000-\$199,999 <input type="checkbox"/> \$40,000-\$49,999 <input type="checkbox"/> \$200,000-\$249,999 <input type="checkbox"/> \$50,000- \$74,999 <input type="checkbox"/> \$250,000 或更多

感谢您提供有关 Caltrain 拟议票价变更的反馈。



SPANISH FORM

Cambios de tarifa propuestos por Caltrain	
Por favor indique si está de acuerdo, en desacuerdo o no tiene ninguna opinión al respecto, y proporcione comentarios adicionales sobre su posición con respecto a cada uno de los cambios propuestos en las tarifas.	
1) Extender el descuento del 20% en el pase mensual hasta el 6/30/23.	
<input type="checkbox"/> De acuerdo <input type="checkbox"/> En desacuerdo <input type="checkbox"/> No tiene ninguna opinión Comentarios:	
2) Reducir 30 centavos el descuento de la tarjeta Adult One-way Clipper. Nueva fecha de inicio de vigencia 4/1/22.	
<input type="checkbox"/> De acuerdo <input type="checkbox"/> En desacuerdo <input type="checkbox"/> No tiene ninguna opinión Comentarios:	
3) Aumentar 50 centavos la tarifa básica el 7/1/22.	
<input type="checkbox"/> De acuerdo <input type="checkbox"/> En desacuerdo <input type="checkbox"/> No tiene ninguna opinión Comentarios:	
4) Aumentar el 5% el precio del Go Pass el 1/1/23.	
<input type="checkbox"/> De acuerdo <input type="checkbox"/> En desacuerdo <input type="checkbox"/> No tiene ninguna opinión Comentarios:	
5) Aumentar 25 centavos la tarifa de Zona el 7/1/24.	
<input type="checkbox"/> De acuerdo <input type="checkbox"/> En desacuerdo <input type="checkbox"/> No tiene ninguna opinión Comentarios:	
6) Aumentar el 5% el Go Pass el 1/1/25.	
<input type="checkbox"/> De acuerdo <input type="checkbox"/> En desacuerdo <input type="checkbox"/> No tiene ninguna opinión Comentarios:	
7) Aumentar 50 centavos la tarifa Básica el 1/1/26.	
<input type="checkbox"/> De acuerdo <input type="checkbox"/> En desacuerdo <input type="checkbox"/> No tiene ninguna opinión Comentarios:	
8) Sírvase incluir comentarios adicionales es este lugar:	

9) ¿Cómo se enteró de los cambios propuestos en las tarifas de Caltrain? (marque TODAS las que correspondan)
<input type="checkbox"/> Reunión de la Junta o Audiencia Pública <input type="checkbox"/> Reunión comunitaria - ¿dónde?: _____ <input type="checkbox"/> Evento de difusión comunitaria de Caltrain - ¿dónde?: _____ <input type="checkbox"/> A través del sitio web de Caltrain <input type="checkbox"/> A través de un anuncio en el periódico <input type="checkbox"/> Redes sociales <input type="checkbox"/> En el tren <input type="checkbox"/> Otro - por favor, especifique: _____
10) ¿Dónde vive usted?
<input type="checkbox"/> Atherton <input type="checkbox"/> East Palo Alto <input type="checkbox"/> Los Altos Hills <input type="checkbox"/> Morgan Hill <input type="checkbox"/> Mountain View <input type="checkbox"/> Redwood City <input type="checkbox"/> Santa Clara <input type="checkbox"/> Belmont <input type="checkbox"/> Foster City <input type="checkbox"/> Los Gatos <input type="checkbox"/> Menlo Park <input type="checkbox"/> Pacifica <input type="checkbox"/> San Bruno <input type="checkbox"/> San Carlos <input type="checkbox"/> Saratoga <input type="checkbox"/> Burlingame <input type="checkbox"/> Gilroy <input type="checkbox"/> Half Moon Bay <input type="checkbox"/> Millbrae <input type="checkbox"/> Milpitas <input type="checkbox"/> Portola Valley <input type="checkbox"/> San Carlos Francisco <input type="checkbox"/> Sunnyvale <input type="checkbox"/> Campbell <input type="checkbox"/> Colma <input type="checkbox"/> Cupertino <input type="checkbox"/> Hillsborough <input type="checkbox"/> Milpitas <input type="checkbox"/> Monte Sereno <input type="checkbox"/> Palo Alto <input type="checkbox"/> San Jose <input type="checkbox"/> San Mateo <input type="checkbox"/> Woodside <input type="checkbox"/> Daly City <input type="checkbox"/> Los Altos <input type="checkbox"/> San Mateo
11) Sírvase proporcionar su nombre y dirección de email. (opcional)
Nombre: _____ Email: _____ <input type="checkbox"/> Marque este casillero para recibir noticias e información actualizada de Caltrain <input type="checkbox"/> Marque este casillero para participar en encuestas de Caltrain en el futuro
12) ¿Cuál de las siguientes opciones describe mejor su raza u origen étnico? (Por favor marque todas las que aplican) (opcional)
<input type="checkbox"/> Asiático / Asiático Americano <input type="checkbox"/> Indígena de las Islas del pacifico o hawaiano <input type="checkbox"/> Blanco / Caucásico <input type="checkbox"/> Indígena norteamericano o nativo de Alaska <input type="checkbox"/> Del Medio Oriente / Árabe / Persa <input type="checkbox"/> Mezcla <input type="checkbox"/> Hispano / Latino <input type="checkbox"/> Negro / Afroamericano <input type="checkbox"/> Otro (por favor especifique): _____
13) Incluyéndose a sí mismo, ¿cuántas personas viven en su hogar? (opcional)
<input type="checkbox"/> 1 <input type="checkbox"/> 5 <input type="checkbox"/> 2 <input type="checkbox"/> 6 <input type="checkbox"/> 3 <input type="checkbox"/> 7 personas o más <input type="checkbox"/> 4
14) Ingresos anuales en el hogar (antes de impuestos) (opcional):
<input type="checkbox"/> Menos de \$15,000 al año <input type="checkbox"/> \$75,000-\$99,999 <input type="checkbox"/> \$15,000-\$24,999 <input type="checkbox"/> \$100,000-\$124,999 <input type="checkbox"/> \$25,000-\$29,999 <input type="checkbox"/> \$125,000-\$149,999 <input type="checkbox"/> \$30,000-\$39,999 <input type="checkbox"/> \$150,000-\$199,999 <input type="checkbox"/> \$40,000-\$49,999 <input type="checkbox"/> \$200,000-\$249,999 <input type="checkbox"/> \$50,000-\$74,999 <input type="checkbox"/> \$250,000 o más

Gracias por compartir sus comentarios con respecto a los cambios de tarifas propuestos por Caltrain.



**ATTACHMENT 12 – ONLINE COMMENT FORMS: ENGLISH,
CHINESE, SPANISH**




English ▾

Caltrain Proposed Fare Changes - Public Comment Form

The Caltrain Board of Directors is considering a proposal to implement fare changes that were delayed due to COVID-19. We are soliciting feedback from members of the public on the proposed fare changes.

The deadline to submit your comments is May 24.

Please mark if you agree, disagree or have no opinion, and provide additional comments about your position on each of the proposed fare changes.

0%  100%






简体中文 ▾

Caltrain 拟议票价调整 - 公众意见表

Caltrain 理事会正在考虑实施因新冠疫情而推迟的票价调整。我们正在征求公众对拟议票价调整的反馈意见。

提交意见的截止日期是 5 月 24 日。

请标明您是赞同、反对或无意见，并就您对每项拟议的票价调整的立场提供补充意见。

0%  100%





Español ▾

Caltrain Proposed Fare Changes - Public Comment Form

La Junta Directiva de Caltrain está considerando una propuesta para implementar cambios en las tarifas que fueron retrasados debido a COVID-19. Solicitamos comentarios por parte de miembros del público sobre los cambios propuestos en las tarifas.

La fecha límite para presentar sus comentarios es el 24 de mayo.

Por favor indique si está de acuerdo, en desacuerdo o no tiene ninguna opinión al respecto, y proporcione comentarios adicionales sobre su posición con respecto a cada uno de los cambios propuestos en las tarifas.

0% 100%



ATTACHMENT 13 – COMPILED PUBLIC COMMENTS

#	Comment	Speaker	Public Meeting/ Public Hearing	Date
1	I support these changes to bring riders back post-pandemic. Looking forward, are there plans to reform the zone? I work just past the zone line and it makes the monthly bill way more expensive. More zones would be more fair. po I support these changes to bring riders back post-pandemic. Looking forward, are there plans to reform the zone? I work just past the zone line and it makes the monthly bill way more expensive. More zones would be more fair. rt these changes to bring riders back post-pandemic. Looking forward, are there plans to reform the zone? I work just past the zone line and it makes the monthly bill way more expensive. More zones would be more fair	Ryan G.	Public Meeting	5/20/2021
2	I'll ask another question if that's ok: does the Clipper START 50% discount also apply to monthly passes? Clipper Start Only for Adult?	Ryan G.	Public Meeting	5/20/2021
3	Will you follow BART's example and give 50% discounts in September?	Roland L.	Public Meeting	5/24/2021
4	We still have a deficit after RR passed? How/why do we have a deficit for next year?	Ryan G.	Public Meeting	5/20/2021
5	Generally in alignment with what is being presented here. These are challenging times and people in our community still in need for relief. The Clipper START program needs to continue and I'm a user of reduced fare under RTC and believe me reduced fare makes a difference. These changes do buy us time, I do remind to keep in place a substantial discount of 55 cents going forward until a day comes when we rely entirely on clipper or mobile payments. Most Clipper have a 3.00 acquisition fee and we want people to use it and easier to amortize this under 6 rides as opposed to 11 or 12 rights. Promote Clipper as much as possible which includes incentives and not discouragement.	Alita D.	Public Hearing	5/24/2021
6	I appreciate the report and I am in support of the proposal. ClipperSTART should stay at 55 cent discount. Been announced at prior meetings on comprehensive fare package and don't believe this is a comprehensive fare package. Post Pandemic- Caltrain should issue a 15 ride ticket that would not be regular and can't take advantage of the monthly pass and also encourage a 7 day pass that can't take advantage of monthly pass that would benefit low income riders. The zone system has to go. My correspondence shows the inequities of the zone system. Want to hear when a comprehensive fare package will be available.	Jeff. C.	Public Hearing	5/24/2021
7	Please help us help you working on the VTA and we will end up with a small surplus. Please help us help MTC retrieve the \$135M surplus CARES/Crissa VTA is sitting on.	Roland L.		5/24/2021

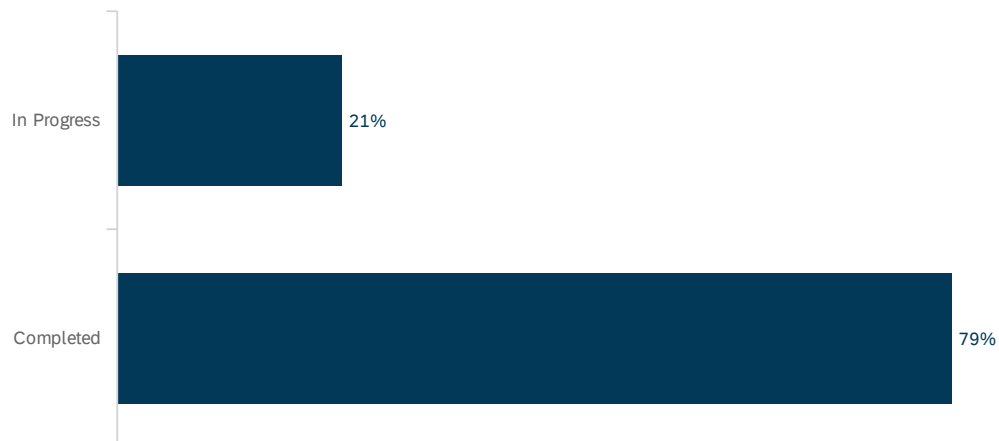
ATTACHMENT 14: ONLINE SURVEY RESPONSES

LIVE RESULTS: Caltrain Proposed Fare Changes - Public Comment Form

Caltrain Proposed Fare Changes - Public Comment Form

May 25, 2021 12:35 PM PDT

Survey Status



#	Field	Count
1	Finished	33

Q1 - Extend 20% discount on Monthly Pass through 6/30/23.



#	Field	Percentage
1	I agree	91%
2	I disagree	3%
3	No opinion	6%
		33

Showing rows 1 - 4 of 4

Q1 - Comments - Extend 20% discount on Monthly Pass through 6/30/23.

Comments

due to the pandemic, this discount will help me continue riding the train

Most employees got their salaries reduced during the pandemic to help with their companies' budgets. This 20% discount significantly helps us

I'm debating taking Caltrain again but a discount will help with the decision.

I want to continue to support public transportation but without go passes due to my employers budget cuts it makes it harder to do so. Requiring me to purchase a round trip ticket for \$17 is significant, giving a 20% discount would encourage me and others to use public transportation more often.

Based on people I've spoken to, financial incentive will play a compelling role in utilizing public transportation again

I started riding the train again when I hear about the fare changes. I had been driving from SF to SJ during the pandemic, because the bullet trains weren't running. The reduced price makes it difficult to pass up the train, even though it takes about 25 minutes longer than driving, not including the bicycle time on either end. Thanks!

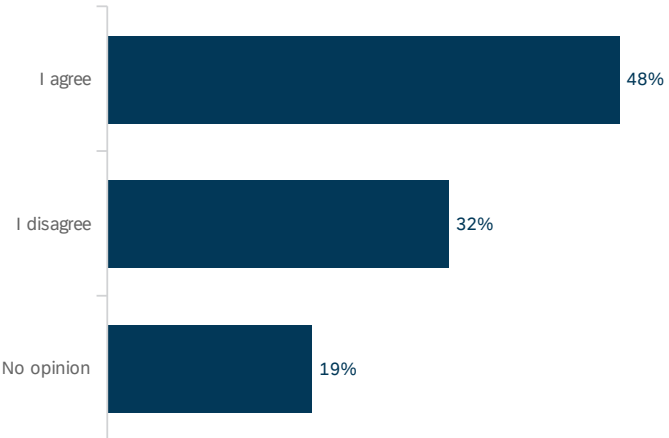
If big tech companies would support CalTrain rather than their army of private bus shuttles, this questionnaire would not have to happen.

Many people will be commuting fewer than the 5 days/week they used to. Is a monthly discount still the way to reward frequent riders? With the Clipper card you can do more innovative discounting. For example, a 3% discount on 21-40 round trips in a calendar year, 5% on round trips 41-60, and so on all the way up to a 20% discount for those who take more than 200 round trips a year.

I think this is a fantastic way to gain long-term ridership.

We all need to pay for the privilege of the railroad.

Q2 - Reduce Adult One-way Clipper discount by 30 cents. New effective date 4/1/22.



#	Field	Percentage
1	I agree	48%
2	I disagree	32%
3	No opinion	19%
		31

Showing rows 1 - 4 of 4

Q2 - Comments - Reduce Adult One-way Clipper discount by 30 cents. New effect...

Comments

Try 7/1/22

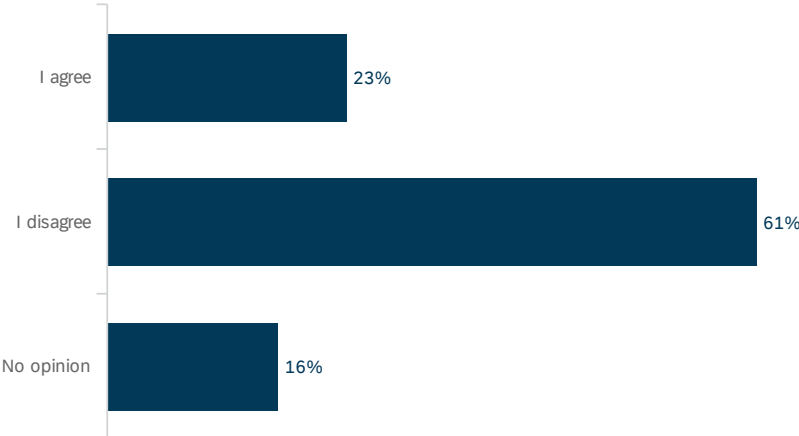
This reduction will also help bring new riders to the service

Do NOT reduce discount.

A 30 cent discount is better than nothing. Thanks

Foster City, CA 94404 all ask for the Clipper card. You are the beginning of the Army nail Clipper...☐☐

Q3 - Increase base fare by 50 cents on 7/1/22.



#	Field	Percentage
1	I agree	23%
2	I disagree	61%
3	No opinion	16%
		31

Showing rows 1 - 4 of 4

Q3 - Comments - Increase base fare by 50 cents on 7/1/22.

Comments

End of 2022

This seems acceptable and only fair but under the condition that the other discounts are put in place.

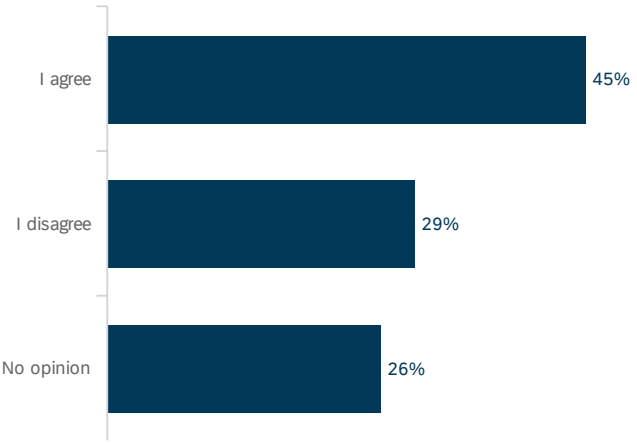
Why should public transit raise fees when there are no fees for drivers who clog freeways

This hurts lower-income families who can't afford a clipper card.

Quality.

If the economy doesn't recover fully, this will drive riders away

Q4 - Increase Go Pass price by 5% on 1/1/23.



#	Field	Percentage
1	I agree	45%
2	I disagree	29%
3	No opinion	26%
		31

Showing rows 1 - 4 of 4

Q4 - Comments - Increase Go Pass price by 5% on 1/1/23.

Comments

People using the Go Pass take the train on a regular basis and we should be the ones to get a discount.

Assuming my employer resumes to provide Go Pass

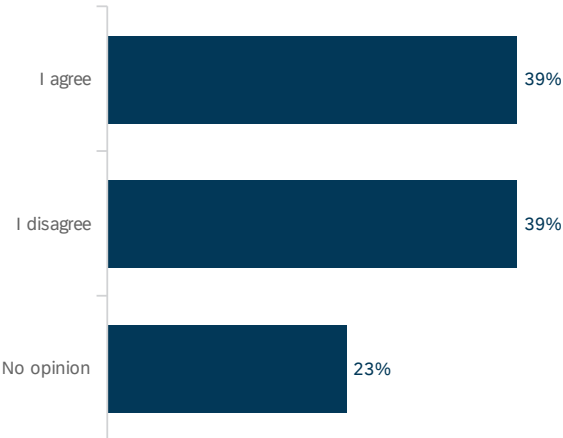
Make CalTrain more affordable

Since Go Passes are primarily used by daily riders with an employer, they often have higher incomes. If Caltrain is looking for more revenue in a way that doesn't harm lower-income individuals, this is a great way to do it.

An honor to ride.

Raise prices on go passes only. Most riders would support corporations chipping in more

Q5 - Increase Zone fare by 25 cents on 7/1/24.



#	Field	Percentage
1	I agree	39%
2	I disagree	39%
3	No opinion	23%
		31

Showing rows 1 - 4 of 4

Q5 - Comments - Increase Zone fare by 25 cents on 7/1/24.

Comments

seems fair if the discounts are given now.

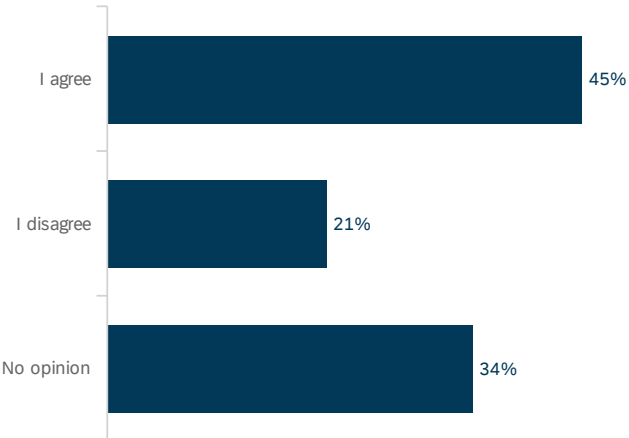
Make CalTrain more affordable

I think this is a better idea since inflation will likely make this feasible come 2024.

To secure zones. In keeping with the Presidential work of maintaining space...

That's fair. We should raise fares starting in 2024

Q6 - Increase Go Pass price by 5% on 1/1/25.



#	Field	Percentage
1	I agree	45%
2	I disagree	21%
3	No opinion	34%
		29

Showing rows 1 - 4 of 4

Q6 - Comments - Increase Go Pass price by 5% on 1/1/25.

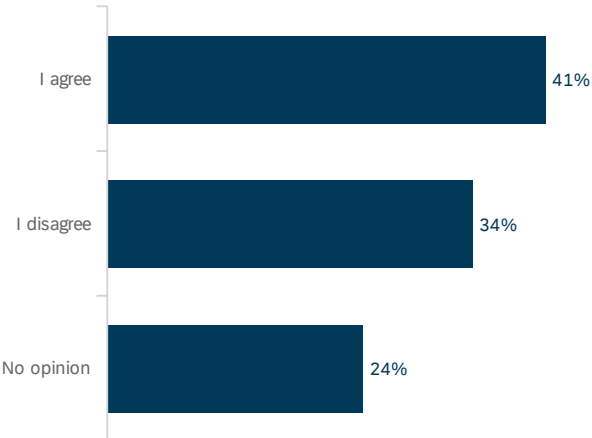
Comments

people using Go Pass take the train regularly and should get a discount.

Make CalTrain more affordable

You are in charge.

Q7 - Increase Base fare by 50 cents on 1/1/26.



#	Field	Percentage
1	I agree	41%
2	I disagree	34%
3	No opinion	24%
		29

Showing rows 1 - 4 of 4

Q7 - Comments - Increase Base fare by 50 cents on 1/1/26.

Comments

too far in the future

Make CalTrain more affordable

This is too far in the future to be surveying riders about in mid-2021.

Far enough out that this becomes manageable.

The Army of the Armed Forces Day will appreciate keeping base lines. Thank you for asking.

Q8 - Please enter additional comments here:

Please enter additional comments here:

If there are going to be more increases on pricing add more scheduled trains both on the weekdays and weekends not have trains run every hour. Having more frequent trains encouraged passengers to use public transit more often

Making it more expensive to ride the train is not going to increase rider ship. It becomes a hardship for those who rely solely on the train. If you have a car it becomes cheaper to drive.

thanks for considering the discounts

I think future fare changes are fair to continue supporting the Caltrain infrastructure, but short-term fare reductions will be helpful in jump starting use of public transportation again

As a student who relies on Caltrain to commute between Palo Alto and San Francisco, I strongly oppose any increases in the fare rates during the current and next fiscal year. I urge the Caltrain leadership to consider increased promotion of its services. Examples include working with educational institutions at all levels, as well as large private-sector businesses to offer expanded schedules that fit the patrons' needs and increase ridership as the COVID-19 pandemic subsides. Installing free wi-fi access on all trains will also boost ridership because many of my colleagues who do not take the Caltrain cite inability to perform work-related tasks during their commute. Let's keep public transit accessible for those who need it the most! STOP FARE INCREASES!

CalTrain is expensive, reduce fares and make it more accessible

I look forward to the schedule enhancements and completion of electrification that I've read about.

I think it is important that Caltrain assists riders who rely on the system the most (ie. transit-dependent) and increasing fares in the next two years is destined to harm these individuals. Long-term fare increases are fine so long as they are minimal, but Go Pass fare increases—I think—are a better way to raise funds without the regressive funding issue.

What is happening to senior fares?

Passage of Measure RR sours me on fare increases.

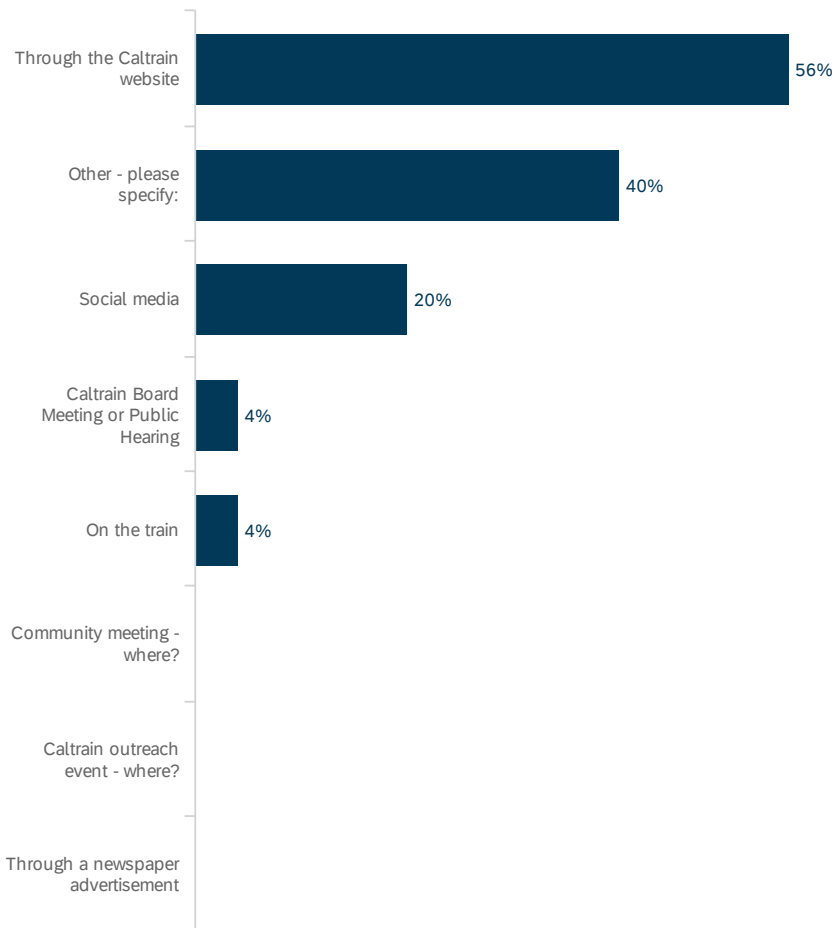
Please consider the power grid of Foster City, CA 94404 during your modernization and electrification of Cal Train June 2021. T-mobile of 5 G would so love your help. 🙏🇺🇸

I think you should wait until 2024 to raise base fares. This will hurt if the economy doesn't fully return by 2022.

Please enter additional comments here:

Please consider infrastructure developments like on-board WIFI on all trains

Q9 - How did you learn about Caltrain's Proposed Fare Changes?(check ALL that apply)

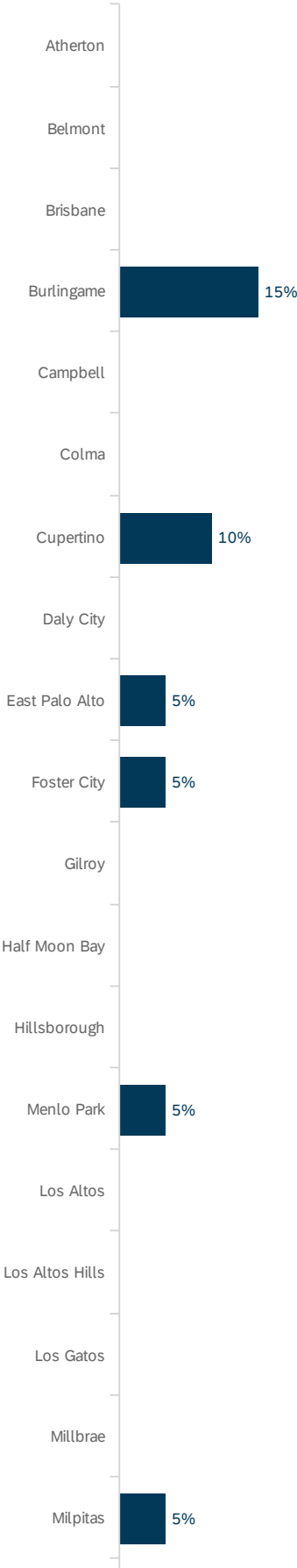


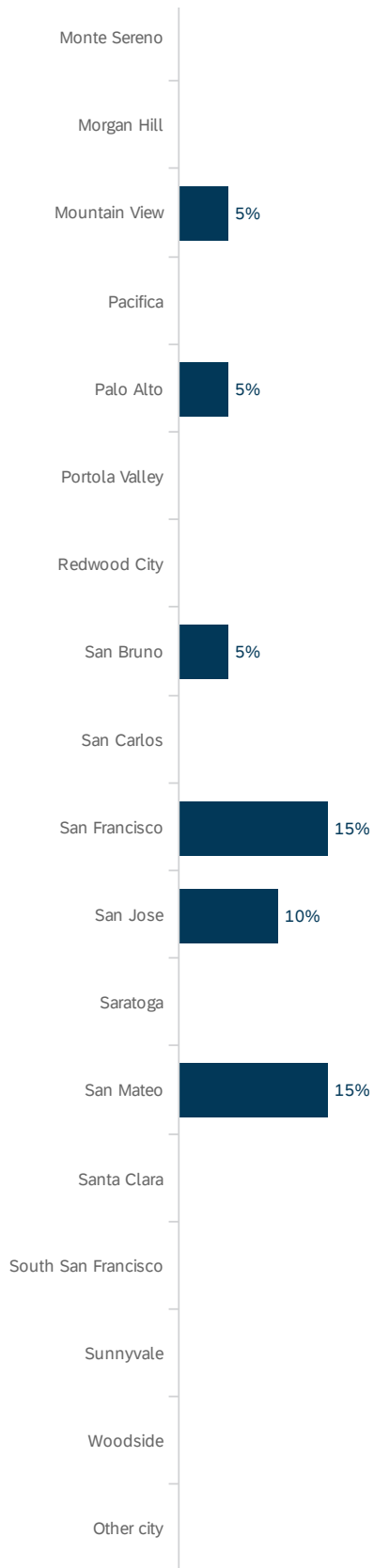
Q9 - Other - How did you learn about Caltrain's Proposed Fare Changes? (check ALL that apply)

Other - please specify:	Community meeting - where?	Caltrain outreach event - where?
co-worker	N/A	N/A
a fellow train rider	N/A	N/A
Article in the MV Voice newspaper	N/A	N/A
internet	N/A	N/A
By riding Cal Train zone 2 to zone 2 during the proposed pandemic...🤔	N/A	N/A
Friends of Caltrain	N/A	N/A

Other - please specify:	Community meeting - where?	▲ Caltrain outreach event - where?
by accident looking at your website.	N/A	N/A
news story online	N/A	N/A
email	N/A	N/A
On the news	N/A	N/A

Q10 - Where do you live?(Please select)





Field

Percentage

1 Atherton

0%

#	Field	Percentage
2	Belmont	0%
3	Brisbane	0%
4	Burlingame	15%
5	Campbell	0%
6	Colma	0%
7	Cupertino	10%
8	Daly City	0%
9	East Palo Alto	5%
10	Foster City	5%
11	Gilroy	0%
12	Half Moon Bay	0%
13	Hillsborough	0%
14	Menlo Park	5%
15	Los Altos	0%
16	Los Altos Hills	0%
17	Los Gatos	0%
18	Millbrae	0%
19	Milpitas	5%
20	Monte Sereno	0%
21	Morgan Hill	0%
22	Mountain View	5%
23	Pacifica	0%
24	Palo Alto	5%
25	Portola Valley	0%

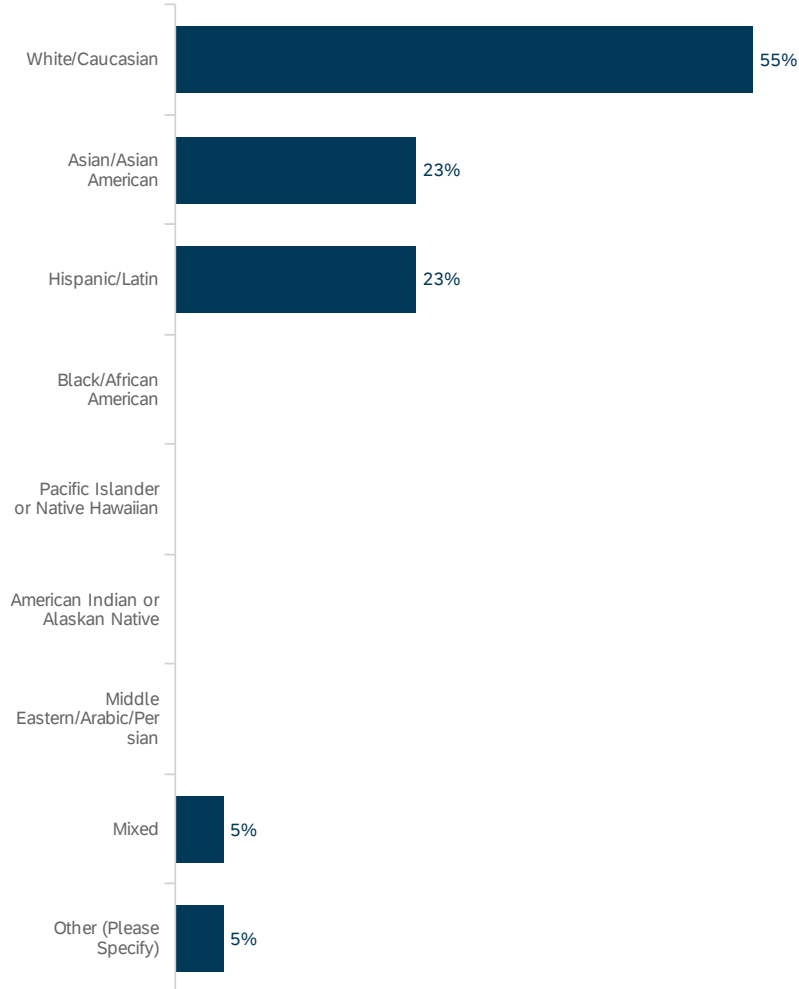
#	Field	Percentage
26	Redwood City	0%
27	San Bruno	5%
28	San Carlos	0%
29	San Francisco	15%
30	San Jose	10%
31	Saratoga	0%
32	San Mateo	15%
33	Santa Clara	0%
34	South San Francisco	0%
35	Sunnyvale	0%
36	Woodside	0%
37	Other city	0%
		20

Showing rows 1 - 38 of 38

Q11 - Other - Which city?

Which city?

Q14 - Which of the following best describes your race/ethnic background.



12_9_TEXT - Other (Please Specify)

Other (Please Specify)

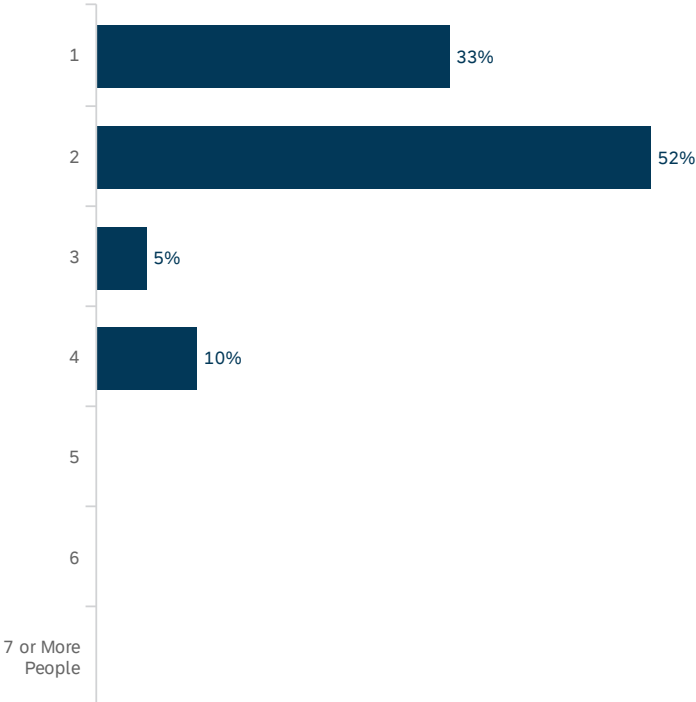
Portuguese-American

#	Field	Percentage
1	White/Caucasian	50%

#	Field	Percentage
2	Asian/Asian American	21%
3	Hispanic/Latin	21%
4	Black/African American	0%
5	Pacific Islander or Native Hawaiian	0%
6	American Indian or Alaskan Native	0%
7	Middle Eastern/Arabic/Persian	0%
8	Mixed	4%
9	Other (Please Specify)	4%
		24

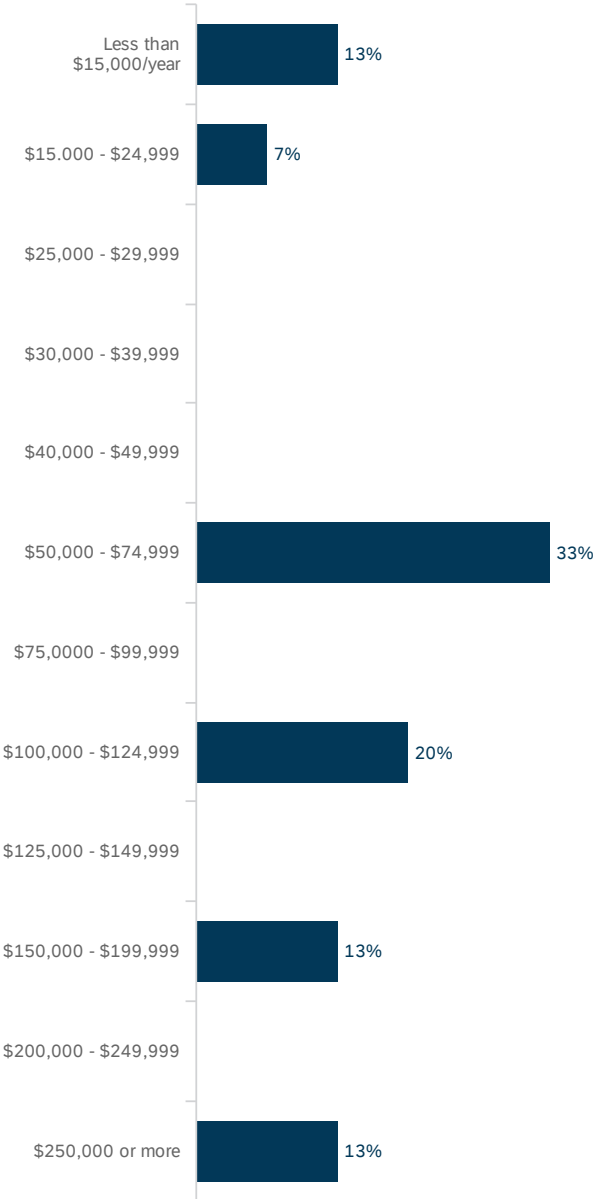
Showing rows 1 - 10 of 10

Q15 - Including yourself, how many people live in your household?



#	Field	Mean	Count
1	Including yourself, how many people live in your household?	2	21

Q16 - Annual Household Income (before taxes).



#	Field	Mean	Count
1	Annual Household Income (before taxes).	105667	15

Survey Language

Q_Language ▲

ZH-S

EN

EN

EN

EN

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Q_Language ▲

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End of Report

**ATTACHMENT 15: CAC MEETING MINUTES AND
COMMENTS**

**CITIZENS ADVISORY COMMITTEE (CAC)
PENINSULA CORRIDOR JOINT POWERS BOARD (JPB)
SAN MATEO COUNTY TRANSIT DISTRICT ADMINISTRATIVE BUILDING
Bacciocco Auditorium, 2nd Floor
1250 San Carlos Avenue, San Carlos CA 94070**

DRAFT MINUTES OF MAY 19, 2021

MEMBERS PRESENT: A. Brandt (Vice Chair), A. Dagum, P. Flautt, L. Klein, R. Kutler, P. Leung, N. Mathur (Alternate), K. Maxwell (Alternate), D. Tuzman, B. Shaw (Chair)

MEMBERS ABSENT: None

STAFF PRESENT: R. Hinchman, J. Navarrete, J. Navarro, C. Scarella

Due to COVID-19, this meeting was conducted as a teleconference pursuant to the provisions of the Governor's Executive Orders N-25-20 and N-29-20, which suspends certain requirements of the Ralph M. Brown Act.

Chair Brian Shaw called the meeting to order at 5:40 p.m. and led the Pledge of Allegiance.

Vice Chair Adrian Brandt corrected his comment and stated that the minutes reflect he had compared our electrification progress with China, however should have been India.

The amended draft of the Meeting Minutes for April 21, 2021 was approved.

APPROVAL OF MINUTES OF APRIL 21, 2021

Motion/Second: Brandt / Klein

Ayes: Dagum, Flautt, Kutler, Leung, Shaw, Tuzman

Absent: None

D. Tuzman arrived

PUBLIC COMMENT

Jeff Carter, Millbrae, via Zoom Q&A, shared his experience with using the new TVM installed at Millbrae. He stated that the machine was easy to use and easier than the machines at 4th & King station. He thanked staff for the upgrades to the TVMs.

Roland Lebrun, San Jose, via Zoom Q&A, stated that he issues a PRA for the timings to see progress of Constant Warning Time and the results. He stated that he is disappointed with the unmitigated catastrophe. He stated that the only thing that is

consistent with the Constant Warning Times is that they are consistently random. He stated that Caltrain is going to have a major problem. He said that he would be writing to the Board explaining what is going on, in terms they will understand, so that they can take appropriate action. He then said that he found it disturbing that GE Transportation Systems is the manufacturer. He stated that the ill-fated CBOSS was based on ITCS, which was a GE Transportation System product. He shared his concern with Caltrain using the same manufacturer. He then stated that there is an individual on the Staff Coordinating Council, unbeknown to anybody, was the Regional Sales Manager for GE Transportation Systems. Roland said that it is not a coincidence and will ask for the resignation from of the individual to get him removed from the Staff Coordinating Council. He hopes this will move things forward and put things back on track, just as PTC was.

Aleta Dupree, via Zoom Q&A, stated that she is looking forward to seeing the new Clipper Vending Machines and hopes that they have contactless payment functions with the chip insert. She stated that make it would make it easier for people to engage with Clipper and Clipper Start and move to being a system that will only use Clipper along with the Mobile App and beyond that, also move to open payments. She requested to staff to share what that would look like. She then stated that she has not been seeing the foundation production needed to put up wires and poles. She asked why staff is not producing foundations, especially as good weather approaches. She then asked staff to look toward the battery-powered pilot happening in Long Island, take that knowledge, and have some kind of a one-seat ride to Gilroy.

CHAIRPERSON'S REPORT

Chair Brian Shaw shared his recent experience with riding Transit and looking forward to using his Clipper card on his phone with Caltrain. He said things are looking bright as more vaccinated people are coming back and get back to the things we like to do. He also stated that Stanford is doing a pilot this summer, for volunteers to work from the office and looking towards September to have a larger return. He then thanked Vice Chair Adrian Brandt for filling in for him and delivering the CAC Report to the Board. He then shared that that Committee Member Anna Dagum will be stepping down from the CAC and will be her last month in attendance. He said that he would work with staff for a replacement and shared his appreciation for her contributions to the CAC.

COMMITTEE COMMENTS

Member Patrick Flautt thanked Member Dagum for her service to the CAC. He then reported that unfortunately he did not have an update regarding website and hopes to have an update by the next meeting. Member Flautt shared that he is working with the HSR CWG working group Manager for the area on having her present to the CAC tentatively in August ideally, or any meeting after that going at the end of the year for a presentation about the latest developments with High Speed Rail. He then promoted Bike to Wherever on May 21st and stated that there will be energizer stations to pledge to ride and that there will be free swag bags, T-shirts and that in Gilroy they will be giving away custom masks.

Vice Chair Adrian Brandt encouraged Alternate Members to apply for the CAC openings. He then referenced a letter from a Member of the Public, Roland Lebrun, in the correspondence packet about a PRA regarding wireless crossing technology. Vice Chair Brandt requested to know more about wireless crossing technology subjects and what is being planned, as it relates to Dual Speed Check. He shared his concerns about the inherent and inescapable limitations of the Dual Speech Check solution. Vice Chair Brandt then referenced a letter from Member of the Public, Jeff Carter about distanced based fares and encouraged everybody to cogitate on that. Vice Chair Brandt then referenced his letter in the correspondence packet regarding John Horgan's column in the San Mateo County Times about no current or correct schedules posted at stations. Lastly, Vice Chair Brandt he shared that the San Francisco Examiner Online did an item all about a website called TransitRecovery.com that compares every major transit system's current service to its pre-pandemic service levels and aggregates publicly available data from the FTA database on pre and post-pandemic ridership. He stated that a major factor and the problem Caltrain faces is that the ridership demographic is the most work from home eligible in the country, and that is reflected in this data.

Member David Tuzman also thanked Member Dagum for her participation in the Citizen's Advisory Committee. He then expressed his interest with Caltrain's timeline to fully restore service back to pre-Covid levels. He then shared that BART will be offering a fifty percent discount in the month of September to help attract customers back and suggested Caltrain offer a fare discount across all fare types, not just on the monthly pass which only suit certain riders. Lastly, he stated that when looking at the budget, he did not see any mention of funding streams from the American Rescue Plan Act and as the Cares Act funding dries up, he is interested to know whether there is funding coming through from that new passage.

Member Rosalind Kutler expressed that it is a different world, post-pandemic, and that passengers are facing many challenging situations and suggested everyone be more flexible with the idea of having a date where ridership return to pre-pandemic numbers.

Member Anna Dagum thanked the Committee for working together for the past two years and that it has been a pleasure to be a part of the committee.

Public Comments:

Roland Lebrun, San Jose, via Zoom Q&A, shared his concerns with wireless technology, he stated that the way it works is the train tells the gate the speed at which it is approaching, however not all trains are equipped with the technology and will behave differently, for example with Union Pacific, High Speed Rail, Capitol Corridor. Roland then stated although Dual Speed Check works, it does not belong on the Caltrain corridor as the results vary and is unsafe with pedestrian crossings and vehicle traffic. Roland then stated that ridership is affected depending on the type of service that is provided and that, right now, it takes an extra hour to get from the Santa Teresa Light Rail to MTC in San Francisco and is why it does not work. Roland advised the Committee that he will request that the Executive Director provide the Board a monthly

report showing the ridership recovery since the start of the pandemic. He stated that Caltrain will need to incentivize ridership.

Jeff Carter, Millbrae, via Zoom Q&A, shared his recent experience with riding the train and noticed that ridership seems to be increasing, as there seemed to be a lot more people on the train. He said that he rode the bike car and there were about fifteen bikes in the bike and attributes some of that to the discount on the monthly pass and anticipates to see more people on the train as the pandemic winds down. He then stated that regarding schedule, there is an issue with trains that run once per hour for certain paired stations and in order to increase ridership, Caltrain will need more frequent service.

Adina Levin, via Zoom Q&A, joined late and asked whether the Budget item had been presented and Chair Shaw advised that it had not. Adina stated that she would save her comments until after the Budget presentation.

FY2022 PRELIMINARY OPERATING & CAPITAL BUDGETS

Cynthia Scarella, Manager, Budgets, presented the FY 2022 DRAFT JPB Operating & Capital Budgets.

The full presentation can be found on caltrain.com

Committee Comments:

Member David Tuzman stated that the assumption that the JPB Members will not contribute to the budget this year, and that Samtrans Board agreed to voice willingness to continue their normal contribution, how would that factor into the budget at this state and asked whether other member agencies have started considering that. Ms. Cynthia Scarella stated that TA is willing to contribute to about \$2M and has sparked discussions with other member agencies, however she is not sure how that will work out and does not think it will affect the June Board and if there is an agreement, it will be presented as an amendment to the budget.

Member Larry Klein asked how long does it take for the Measure RR ballot fees to appear, as he thought that the different county's registrars would have billed for the November election by the 1st quarter of this year. Ms. Cynthia Scarella stated that the estimate is \$7M, however it has not been officially billed by the counties. Member Klein then asked whether staff has a full understanding ARPA fund intricacies and how that funding will be split up, and the different conditions of using that money. Ms. Cynthia Scarella stated that the allocation is not final and is why it is not on the sheet and that she would not like to speculate on the amount until the award document is received and at that time will be presented to the Board. Lastly, Member Klein asked with the increase sales tax with Measure RR, has there been any discussions about having a certain amount of capital bonds set out, or what would be the process. Ms. Cynthia Scarella advised that the CFO would be better able to provide the latest update on that process.

Member Rosalind Kutler asked whether federal funding CRRSA has constraints, if so, what would they be. Ms. Cynthia Scarella responded that the constraints, in terms of use, is a very general scope for transit operations and that a portion of CRSSA is used to balance the FY21 budget, and then the remaining will all be used for the FY22 budget and has no limitations on what type of transit use.

Vice Chair Brandt expressed his disappointment with the member agencies withdrawing their capital funding support and feels like a bit of a betrayal of the voter's trust. He stated that there is a governance structure problem and that the Board is trying to hash out a way forward. Vice Chair Adrian Brandt then stated that it is important to maximize labor productivity and to think about updating the Operating Procedures to allow two people per train to save money on the budget.

Member Kutler also shared that train schedules had been distributed and that she had received one and looks forward for the schedules to be posted at the stations.

Public Comments:

Jeff Carter, Millbrae, via Zoom Q&A, expressed his disappointment with the member agencies not contributing to either the capital or operating budgets. He stated that he thought that the intention of Measure RR was to supplement the member contributions. He agreed with Vice Chair Brandt and suggested to reduce the operating costs per train and to explore efficiencies in the operation. He then stated that there may have been some conscientious people that printed the schedules from the website and placed them on the trains and that there is still a lacking of schedules on the train.

Adina Levin, via Zoom Q&A, asked whether the ARPA funding might help address not only the deficit, but might be able to address the underfunding of the maintenance, if the partners do not contribute. She stated that she saw that the goal of the ARPA funding was potentially to fund operations but she thinks it might be flexible to cover state of good repair and that fares could cover state of good repair if ARPA needs to go to the operations. She stated that it looks like train car maintenance and replacement of hundred-year-old unsafe bridges is being reduced to an alarming extent and wondered whether the ARPA funding and moving money around could help cover those seemingly basic elements of a maintenance budget. Adina then asked when Caltrain would bring service back to 100% and whether they will match BART's timing of restoring service. She asked whether Caltrain would be able to match BART's fifty percent discount to passengers. Adina then asked, regarding shuttles not being available due to not meeting ridership goals, whether Caltrain may consider changes to the legislation to be able to work around that limit in the law because of a global pandemic. Lastly, Adina requested Caltrain to highlight the governance issues with the agencies, having trouble agreeing on how to fund the budget, during the governance process.

Roland Lebrun, San Jose, via Zoom Q&A, suggested that to have a successful rail operation is to look at what works and what does not and to run more of what works and less of what does not. He then stated that MTC is sitting on a half billion dollars of

funds, not being used by the Agency. He stated that there will be a funding gap in operations between now and 2028 and has copied Caltrain on a letter about this, if anyone is interested in learning more. He then stated that he has a PRA to break up the TASI contract between Rail Operations and Train Operations. Lastly, in regards to the resolving the partner agency issue, Roland suggested Caltrain buy the Gilroy parking lot from VTA and for VTA, in turn, use that money to come up with a contribution for Caltrain.

CALTRAIN PROPOSED FARE CHANGES

Ryan Hinchman, Manager, Financial Planning/Analysis, presented the Caltrain Proposed Fare Changes.

The full presentation can be found on caltrain.com

Committee Comments:

Member Tuzman asked whether staff has considered additional discounts or promotions how BART is doing to lure customers back. Mr. Ryan Hinchman stated that staff will continue to look at fares on an ongoing basis with all of the changes that are happening. Member Tuzman then asked what is an approximate timeline and bottlenecks towards conception and implementation of a new discount or promotion. Mr. Ryan Hinchman stated that it is difficult to answer without a specific question. He stated that it may vary and that there are certainly opportunities for a quick turnaround.

Vice Chair Adrian Brandt voiced his support to the twenty percent monthly discount and agreed with Member Tuzman's suggestion to have a much deeper discount as much as fifty percent off as BART is proposing, to get ridership base back up as quickly as possible. Additionally, he suggested moving away from the sort of premium commuter paradigm that caters to peak period, standard nine to five jobs to get the choice riders, who have other choices, back on the train.

Chair Shaw expressed his opinion on replacing zonal fares with distanced based fares and that now is the time to do so and may use the pandemic as justification to do so. He shared that the distanced based fares have been working for BART and that Caltrain has ticket machines that can sell tickets and that most people are using Clipper cards, which are very easily able to determine origin and destination stations. He suggested that for those passengers that are unable to obtain a Clipper card, they should receive it for free. He stated that conductors are not checking or selling tickets between stations anymore and that it is almost all done electronically and reiterated that the fare system needs to change to distanced based. He then suggested staff provide messaging to the public as to why zonal fares continue, to better understand justification.

Member David Tuzman shared that the MTC fare integration studies include explorations of different fare structures across the region and that there is an effort to craft legislation to guide the Bay Area Regional Transit in certain ways either about fare

structure, timing connectivity or design of their maps and schedules. He suggested considering drafting a resolution of support. He stated that he would Agendize this topic for further discussion at a later meeting.

Vice Chair Brandt thanked Chair Shaw for voicing his opinion on distanced based fares and shared that he has been requesting this for many years. He then agreed with Member Tuzman regarding drafting a resolution in support. He then proposed for a few members of the committee to work offline to draft a resolution for a future Agenda to take vote and pass it along to the Board for consideration. Chair Shaw suggested less than four members to participate in the subcommittee as to not have a quorum and comply with the Brown Act. Member Tuzman then suggested asking for volunteers for the subcommittee. Members Tuzman, Leung, Kutler and Brandt will meet to draft a resolution prior to the next meeting.

Member Kutler applauded the idea of creating a resolution for distanced based fares. She stated that by making recommendations is how the committee gets action. Chair Shaw said that he would Agendize this topic for a further meeting.

Public Comments:

Jeff Carter, Millbrae via Zoom Q&A, thanked the committee for further discussing distanced based fares and offered his help. He then referenced his letter in the correspondence packet and reiterated that staff indicated that they would have a comprehensive fare package later this year as highlighted in the minutes. Regarding fare products, he suggested a 15-ride ticket for those that do not need a monthly pass and may benefit from a discount. He invited the committee and staff to review the details in his letter located in the correspondence packet.

Roland Lebrun, San Jose, via Zoom Q&A, stated that it is not the time to increase the fares and that September is the time to jumpstart ridership recovery so that passengers choose Caltrain and not BART as they can get to San Francisco for half the price.

Aleta Dupree, via Zoom Q&A, stated that she is in favor of a distanced fare based system and that several other Transit Agencies use it. She then suggested to get rid of the paper tickets entirely and that passengers may use their phones as their Clipper card. She suggested staff to modernize the fare system and mitigate fare increase.

Alina Levin, via Zoom Q&A, applauded the active enthusiasm of the group to be making recommendations to the Caltrain board. She then stated that, in terms of ridership with the potential for people to continue to work from home more than before the pandemic, that there is an opportunity to supplement that ridership with other people who may have not been able to afford Caltrain before.

Member Anna Dagum expressed her support in the recommendation of distanced based fares. She then stated that eliminating paper tickets and transitioning to mobile tickets is not feasible just yet.

Member Kutler suggested to ensure ADA inclusion with any changes to fares and ticket media.

STAFF REPORT UPDATE

Joe Navarro, Deputy Chief, Rail Operations reported:
(The full report can be found on caltrain.com)

On-time Performance (OTP) –

- **April:** The April 2021 OTP was 93.9% compared to 94.3% for April 2020.
 - **Vehicle on Tracks** – There were two days, March 8 and 12, with a vehicle on the tracks that caused train delays.
 - **Mechanical Delays** – In April 2021 there were 780 minutes of delay due to mechanical issues compared to 197 minutes in April 2020.
 - **Trespasser Strikes** – There was one trespasser strike on March 25, resulting in a fatality.
- **March:** The March 2021 OTP was 88.9% compared to 96.7% for March 2020.
 - **Trespasser Strikes** – There was one trespasser strike on March 25, resulting in a fatality.

Mr. Navarro appreciated the enthusiasm from the committee with distanced based fares and shared that he takes all suggestions into consideration. Mr. Navarro followed-up on items from last month's meeting and reported that the automatic people counter will count wheelchairs, bikes and will distinguish between an adult and a child as well. He reported that the technology is a 3D sensor with two lenses in each sensor. He then reported that the braking distance of a 7-car EMU at 79 miles an hour to go to zero in an emergency would be 1400 in 76 feet vs. versus a F40, which is about 2300 feet to stop at the same time. Mr. Navarro then shared a copy of the printed pocket timetables and reported that they will be installed on the trains soon. He also reported that the schedules will also be posted in the station information boards with the "you are here" sticker. Mr. Navarro then reported that is looking for the first EMU train set to arrive in California at the end of November and hoping to have power in the third segment the week of August. He then reported that staff is looking to enhance conductor uniforms to appear more authoritative. He then stated that staff continues to work on the Code of Conduct and hopes to present it soon. He then advised that staff is looking for suggestions on the IPhone app for conductors and continue to work on the "text for help" on the train for customers. Lastly, he reported that his staff took over the TVM maintenance. Mr. Navarro shared a slide with ridership data and mentioned that ridership is picking up.

Committee Comments:

Vice Chair Brandt asked about average weekly ridership data and Mr. Navarro pointed out that the information is reflected in blue on the chart. Vice Chair Brandt stated that he would convert the data to percent to compare to other Transit Agencies. Mr. Navarro stated that he would have staff include the percent from April 2019. Vice Chair Brandt also suggested running the Code of Conduct by the CAC for input and advice. Chair Shaw agreed. Mr. Navarro said that he would make a note of it. Chair Shaw said that he would agendaize the item.

Public comments:

Jeff Carter, Millbrae, via Zoom Q&A, thanked Mr. Navarro for the schedule distribution. Jeff then shared that he has seen the improvements since Mr. Navarro joined Caltrain and appreciated Joe for the good work.

Roland Lebrun, via Zoom Q&A, asked whether the EMUs have pantograph cameras.

Mr. Navarro explained the camera system in detail and can be heard on the recorded CAC meeting located on Caltrain.com

JPB CAC Work Plan

June 16, 2021

- E Locker Update
- CID2
- Cubic Mobile App

July 21, 2021

- COVID 19 cleaning efforts cost
- Blue Ribbon Task Force
-

August 18, 2021

-

September 15, 2021

-

Suggested Items:

- Go Pass cost per ride factors – requested by Chair, Brian Shaw on 6/19/19
- San Mateo County Climate Action Plan – requested by Member Rosalind Kutler on 10/16/19
- MTC Means-Based Discount Fare program update
- Caltrain connections with other agencies – requested by Member Rosalind Kutler on 12/18/19

- Update on grade crossing pilot six months after installation – requested by Member, Patrick Flautt on 12/18/19
- Summary video of the CAC meetings by the Social Media Officer – requested by Chair, Brian Shaw on 12/18/19
- Operating Costs – requested by Member Adrian Brandt on 2/13/20
- Rail Corridor Use Policy – requested by Member Anna Dagum on 10/21/20
- South San Francisco
- Overview of COVID19 train schedule
- Industry Safe Functionality

DATE, TIME AND LOCATION OF NEXT REGULAR MEETING:

June 16, 2021 at 5:40 p.m., San Mateo County Transit District Administrative Building, 2nd Floor Bacciocco Auditorium, 1250 San Carlos Avenue, San Carlos, CA.

Adjourned at 7:54 pm

DRAFT

**ATTACHMENT 16: EMAIL
CORRESPONDENCE COMMENTS**

Caltrain PCJPB Public Hearing On Fare Changes / Finance Committee Meeting, May 24, 2021.

Comments from Jeff Carter.

I am in support of:

- 1) Extending the 20% discount on the Monthly Pass fare product through June 30, 2023, and beyond.
- 2) Postponing the implementation of previously Board approved fare changes in September 2019.
- 3) Considering an extension for the Clipper START pilot program.

While not the subject of the public hearing, I understand that staff plans to bring a comprehensive fare package in the near future as noted in the Executive Directors Report from the Minutes of March 4, 2021, PCJPB Board Meeting:

“Mr. Hartnett announced that Caltrain is temporarily reducing its monthly pass price by 20 percent; **staff will be bringing back a comprehensive fare package for the Board’s consideration in the Spring,** and there would be an adjusted schedule effective March 22.” Emphasis added.

It was also indicated at last month’s Finance Committee Meeting (26-April-2021) that a comprehensive fare package would be discussed in the future as noted in the minutes: **“Chair Zmuda explained that the comprehensive fare package would be a future separate agenda item.”**

I do recall some Staff discussion that the fare package would be ready by this meeting but have yet to see anything.

Given the new normal, post pandemic travel and working patterns, Caltrain must consider new fare product options:

- 1) A 15-ride ticket at a reasonable discount. This will benefit regular but non-daily customers. The new normal may have people going into the office a few days per week, who may not need a full monthly pass.
- 2) A 7-day pass which would offer a discount similar to the monthly pass. This lower cost alternative would benefit lower income customers who can not afford the full monthly pass. It will also benefit customers who take vacations for part of the month. This pass would differ from the monthly in that it would be effective for 7 days after first activation.

These two items would be consistent with the adopted Fare Policy which considers structuring fares to incentivize rider behavior in support of the agency’s policy goals.

Additionally, Caltrain must drop the unfair and inequitable zone system and introduce fair and equitable point-to-point fares. Having long, bulky 13-mile zones make the TVM and Clipper base fare (\$3.20-Clipper) and per-zone fare (\$2.25) unreasonably high. If you have the misfortune of using a station at the zone boundary, you must pay significantly higher fare to travel one or two stations in one direction compared to travelling one or two stations in the opposite direction. As soon as you get on Caltrain you pay for 13 miles, if you happen cross a zone boundary by just one station you are forced to pay for 26 miles.

The following page is an example of the unfairness of the current zone system and an example of a fairer distance-based point-to-point fare system. Clipper fares represented here.

I have developed a distance-based fare matrix some years ago, which shows station-to-station fares along with monthly, 15-ride, and 7-day fare products, which I have included in this correspondence.

A point-to-point fare system would also be consistent with the Fare Policy which considers structuring fares to incentivize rider behavior in support of the agency's policy goals. A lower base (and per station) fare would incentivize more people to try Caltrain for short trips, it would make Caltrain more affordable for lower income customers, this is a no-brainer.

The zones are left over from a bygone era, pre-proof-of-payment (POP), where traditional "commuter rail" service operated with conductors selling /checking tickets throughout the entire run. Now with TVM-based POP, zones are superfluous.

Attached are PDF files showing an example of station-to-station, distance-based fares and inter-station mileage matrix.

Note that I originally prepared this a few years ago and revised in May 2020 and thus included Atherton Station. This May 2021 revision shows Atherton in a white font and includes a 15-ride ticket instead of an 8-ride ticket. Multipliers have been revised to reflect the current (temporary) 20% discount on the monthly pass. Unfortunately, I did not have time to round off the fares for the 15-ride ticket and the 7-day pass.

Lets make Caltrain fares fair and equitable and affordable for low income customers and to encourage increased ridership and revenue.

Thanks again for your time and consideration, I look forward to discussion with staff and the CAC on revamping the fare system.

Jeff Carter

Caltrain Distance Based Fare Matrix May 2020 Rev May 2021 SINGLE TRIP ROUNDED

MI	0.2	0	1.6	5.06	9.1	11	13.56	15.13	16.23	17.6	18.93	20.14	21.83	23.09	25.3	27.7	28.74	30	31.63	33.99	35.97	38.62	40.62	44.3	45.59	46.85	48.56	52.4	55.7	67.5	71.2	77.46
Station	San Francisco	22nd Street	Bayshore	So. San Francisco	San Bruno	Millbrae	Broadway	Burlingame	San Mateo	Hayward Park	Hillsdale	Belmont	San Carlos	Redwood City	Atherton	Menlo Park	Palo Alto	California Ave	San Antonio	Mt. View	Sunnyvale	Lawrence	Santa Clara	College Park	San Jose (Cahill)	Tamien	Capitol	Blossom Hill	Morgan Hill	San Martin	Gilroy	
0.00	San Francisco	X																														
1.60	22nd Street	\$2.30	X																													
5.06	Bayshore	\$2.95	\$2.65	X																												
9.10	So. San Francisco	\$3.75	\$3.40	\$2.75	X																											
11.00	San Bruno	\$4.10	\$3.80	\$3.15	\$2.35	X																										
13.56	Millbrae	\$4.60	\$4.25	\$3.60	\$2.85	\$2.50	X																									
15.13	Broadway	\$4.85	\$4.55	\$3.90	\$3.15	\$2.80	\$2.30	X																								
16.23	Burlingame	\$5.10	\$4.80	\$4.10	\$3.35	\$3.00	\$2.50	\$2.20	X																							
17.60	San Mateo	\$5.35	\$5.05	\$4.40	\$3.60	\$3.25	\$2.75	\$2.45	\$2.25	X																						
18.93	Hayward Park	\$5.60	\$5.30	\$4.65	\$3.85	\$3.50	\$3.00	\$2.70	\$2.50	\$2.25	X																					
20.14	Hillsdale	\$5.85	\$5.50	\$4.85	\$4.10	\$3.75	\$3.25	\$2.95	\$2.75	\$2.50	\$2.25	X																				
21.83	Belmont	\$6.15	\$5.85	\$5.20	\$4.40	\$4.05	\$3.55	\$3.25	\$3.05	\$2.80	\$2.55	\$2.30	X																			
23.09	San Carlos	\$6.40	\$6.10	\$5.45	\$4.65	\$4.30	\$3.80	\$3.50	\$3.30	\$3.05	\$2.80	\$2.55	\$2.25	X																		
25.30	Redwood City	\$6.80	\$6.50	\$5.85	\$5.10	\$4.70	\$4.25	\$3.95	\$3.70	\$3.45	\$3.20	\$3.00	\$2.65	\$2.40	X																	
27.70	Atherton	\$7.25	\$6.95	\$6.30	\$5.55	\$5.15	\$4.70	\$4.40	\$4.20	\$3.90	\$3.65	\$3.45	\$3.10	\$2.90	\$2.45	X																
28.74	Menlo Park	\$7.45	\$7.15	\$6.50	\$5.75	\$5.35	\$4.90	\$4.60	\$4.40	\$4.10	\$3.85	\$3.65	\$3.30	\$3.05	\$2.65		X															
30.00	Palo Alto	\$7.70	\$7.40	\$6.75	\$5.95	\$5.60	\$5.10	\$4.85	\$4.60	\$4.35	\$4.10	\$3.85	\$3.55	\$3.30	\$2.90	\$2.45	\$2.25	X														
31.63	California Ave	\$8.00	\$7.70	\$7.05	\$6.30	\$5.90	\$5.45	\$5.15	\$4.95	\$4.65	\$4.40	\$4.20	\$3.85	\$3.60	\$3.20		\$2.55	\$2.30	X													
33.99	San Antonio	\$8.45	\$8.15	\$7.50	\$6.75	\$6.35	\$5.90	\$5.60	\$5.35	\$5.10	\$4.85	\$4.65	\$4.30	\$4.05	\$3.65	\$3.20	\$3.00	\$2.75	\$2.45	X												
35.97	Mt. View	\$8.85	\$8.55	\$7.85	\$7.10	\$6.75	\$6.25	\$5.95	\$5.75	\$5.50	\$5.25	\$5.00	\$4.70	\$4.45	\$4.05		\$3.35	\$3.15	\$2.80	\$2.40	X											
38.62	Sunnyvale	\$9.35	\$9.05	\$8.40	\$7.60	\$7.25	\$6.75	\$6.45	\$6.25	\$6.00	\$5.75	\$5.50	\$5.20	\$4.95	\$4.55	\$4.05	\$3.90	\$3.65	\$3.35	\$2.90	\$2.50	X										
40.62	Lawrence	\$9.70	\$9.40	\$8.75	\$8.00	\$7.65	\$7.15	\$6.85	\$6.65	\$6.35	\$6.10	\$5.90	\$5.55	\$5.35	\$4.90		\$4.25	\$4.00	\$3.70	\$3.25	\$2.90	\$2.40	X									
44.30	Santa Clara	\$10.40	\$10.10	\$9.45	\$8.70	\$8.35	\$7.85	\$7.55	\$7.35	\$7.05	\$6.80	\$6.60	\$6.25	\$6.05	\$5.60	\$5.15	\$4.95	\$4.70	\$4.40	\$3.95	\$3.60	\$3.10	\$2.70	X								
45.59	College Park	\$10.65	\$10.35	\$9.70	\$8.95	\$8.55	\$8.10	\$7.80	\$7.60	\$7.30	\$7.05	\$6.85	\$6.50	\$6.30	\$5.85		\$5.20	\$4.95	\$4.65	\$4.20	\$3.85	\$3.30	\$2.95	\$2.25	X							
46.85	San Jose (Cahill)	\$10.90	\$10.60	\$9.95	\$9.15	\$8.80	\$8.35	\$8.05	\$7.80	\$7.55	\$7.30	\$7.05	\$6.75	\$6.50	\$6.10	\$5.65	\$5.45	\$5.20	\$4.90	\$4.45	\$4.05	\$3.55	\$3.20	\$2.50	\$2.25	X						
48.56	Tamien	\$11.25	\$10.90	\$10.25	\$9.50	\$9.15	\$8.65	\$8.35	\$8.15	\$7.90	\$7.65	\$7.40	\$7.10	\$6.85	\$6.40		\$5.75	\$5.55	\$5.20	\$4.75	\$4.40	\$3.90	\$3.50	\$2.80	\$2.55	\$2.30	X					
52.40	Capitol	\$11.95	\$11.65	\$11.00	\$10.25	\$9.85	\$9.40	\$9.10	\$8.85	\$8.60	\$8.35	\$8.15	\$7.80	\$7.55	\$7.15	\$6.70	\$6.50	\$6.25	\$5.95	\$5.50	\$5.10	\$4.60	\$4.25	\$3.55	\$3.30	\$3.05	\$2.75	X				
55.70	Blossom Hill	\$12.60	\$12.30	\$11.60	\$10.85	\$10.50	\$10.00	\$9.70	\$9.50	\$9.25	\$9.00	\$8.75	\$8.45	\$8.20	\$7.80		\$7.10	\$6.90	\$6.55	\$6.10	\$5.75	\$5.25	\$4.85	\$4.15	\$3.90	\$3.70	\$3.35	\$2.65	X			
67.50	Morgan Hill	\$14.80	\$14.50	\$13.85	\$13.10	\$12.75	\$12.25	\$11.95	\$11.75	\$11.50	\$11.25	\$11.00	\$10.70	\$10.45	\$10.00	\$9.55	\$9.35	\$9.15	\$8.80	\$8.35	\$8.00	\$7.50	\$7.10	\$6.40	\$6.15	\$5.90	\$5.60	\$4.85	\$4.25	X		
71.20	San Martin	\$15.55	\$15.20	\$14.55	\$13.80	\$13.45	\$12.95	\$12.65	\$12.45	\$12.20	\$11.95	\$11.70	\$11.40	\$11.15	\$10.70		\$10.05	\$9.85	\$9.50	\$9.05	\$8.70	\$8.20	\$7.80	\$7.10	\$6.85	\$6.65	\$6.30	\$5.55	\$4.95	\$2.70	X	
77.46	Gilroy	\$16.70	\$16.40	\$15.75	\$15.00	\$14.65	\$14.15	\$13.85	\$13.65	\$13.35	\$13.10	\$12.90	\$12.55	\$12.35	\$11.90	\$11.45	\$11.25	\$11.00	\$10.70	\$10.25	\$9.90	\$9.40	\$9.00	\$8.30	\$8.05	\$7.80	\$7.50	\$6.75	\$6.15	\$3.90	\$3.20	X

BASE: \$2.00
PER MILE \$ 0.19

Prepared by Jeff Carter, May 2020 Revised May 2021

Caltrain Distance Based Fare Matrix May 2020 Rev May 2021 MONTHLY PASS ROUNDED

	MI	0	1.6	5.06	9.1	11	13.56	15.13	16.23	17.6	18.93	20.14	21.83	23.09	25.3	27.7	28.74	30	31.63	33.99	35.97	38.62	40.62	44.3	45.59	46.85	48.56	52.4	55.7	67.5	71.2	77.46		
Station	San Francisco	22nd Street	Bayshore	So. San Francisco	San Bruno	Millbrae	Broadway	Burlingame	San Mateo	Hayward Park	Hillsdale	Belmont	San Carlos	Redwood City	Atherton	Menlo Park	Palo Alto	California Ave	San Antonio	Mt. View	Sunnyvale	Lawrence	Santa Clara	College Park	San Jose (Cahill)	Tamien	Capitol	Blossom Hill	Morgan Hill	San Martin	Gilroy			
0.00	San Francisco	X																																
1.60	22nd Street	\$55.20	X																															
5.06	Bayshore	\$70.80	\$63.60	X																														
9.10	So. San Francisco	\$90.00	\$81.60	\$66.00	X																													
11.00	San Bruno	\$98.40	\$91.20	\$75.60	\$56.40	X																												
13.56	Millbrae	\$110.40	\$102.00	\$86.40	\$68.40	\$60.00	X																											
15.13	Broadway	\$116.40	\$109.20	\$93.60	\$75.60	\$67.20	\$55.20	X																										
16.23	Burlingame	\$122.40	\$115.20	\$98.40	\$80.40	\$72.00	\$60.00	\$52.80	X																									
17.60	San Mateo	\$128.40	\$121.20	\$105.60	\$86.40	\$78.00	\$66.00	\$58.80	\$54.00	X																								
18.93	Hayward Park	\$134.40	\$127.20	\$111.60	\$92.40	\$84.00	\$72.00	\$64.80	\$60.00	\$54.00	X																							
20.14	Hillsdale	\$140.40	\$132.00	\$116.40	\$98.40	\$90.00	\$78.00	\$70.80	\$66.00	\$60.00	\$54.00	X																						
21.83	Belmont	\$147.60	\$140.40	\$124.80	\$105.60	\$97.20	\$85.20	\$78.00	\$73.20	\$67.20	\$61.20	\$55.20	X																					
23.09	San Carlos	\$153.60	\$146.40	\$130.80	\$111.60	\$103.20	\$91.20	\$84.00	\$79.20	\$73.20	\$67.20	\$61.20	\$54.00	X																				
25.30	Redwood City	\$163.20	\$156.00	\$140.40	\$122.40	\$112.80	\$102.00	\$94.80	\$88.80	\$82.80	\$76.80	\$72.00	\$63.60	\$57.60	X																			
27.70	Atherton	\$174.00	\$166.80	\$151.20	\$133.20	\$123.60	\$112.80	\$105.60	\$100.80	\$93.60	\$87.60	\$82.80	\$74.40	\$69.60	\$58.80	X																		
28.74	Menlo Park	\$178.80	\$171.60	\$156.00	\$138.00	\$128.40	\$117.60	\$110.40	\$105.60	\$98.40	\$92.40	\$87.60	\$79.20	\$73.20	\$63.60		X																	
30.00	Palo Alto	\$184.80	\$177.60	\$162.00	\$142.80	\$134.40	\$122.40	\$116.40	\$110.40	\$104.40	\$98.40	\$92.40	\$85.20	\$79.20	\$69.60	\$58.80	\$54.00	X																
31.63	California Ave	\$192.00	\$184.80	\$169.20	\$151.20	\$141.60	\$130.80	\$123.60	\$118.80	\$111.60	\$105.60	\$100.80	\$92.40	\$86.40	\$76.80		\$61.20	\$55.20	X															
33.99	San Antonio	\$202.80	\$195.60	\$180.00	\$162.00	\$152.40	\$141.60	\$134.40	\$128.40	\$122.40	\$116.40	\$111.60	\$103.20	\$97.20	\$87.60	\$76.80	\$72.00	\$66.00	\$58.80	X														
35.97	Mt. View	\$212.40	\$205.20	\$188.40	\$170.40	\$162.00	\$150.00	\$142.80	\$138.00	\$132.00	\$126.00	\$120.00	\$112.80	\$106.80	\$97.20		\$80.40	\$75.60	\$67.20	\$57.60	X													
38.62	Sunnyvale	\$224.40	\$217.20	\$201.60	\$182.40	\$174.00	\$162.00	\$154.80	\$150.00	\$144.00	\$138.00	\$132.00	\$124.80	\$118.80	\$109.20	\$97.20	\$93.60	\$87.60	\$80.40	\$69.60	\$60.00	X												
40.62	Lawrence	\$232.80	\$225.60	\$210.00	\$192.00	\$183.60	\$171.60	\$164.40	\$159.60	\$152.40	\$146.40	\$141.60	\$133.20	\$128.40	\$117.60		\$102.00	\$96.00	\$88.80	\$78.00	\$69.60	\$57.60	X											
44.30	Santa Clara	\$249.60	\$242.40	\$226.80	\$208.80	\$200.40	\$188.40	\$181.20	\$176.40	\$169.20	\$163.20	\$158.40	\$150.00	\$145.20	\$134.40	\$123.60	\$118.80	\$112.80	\$105.60	\$94.80	\$86.40	\$74.40	\$64.80	X										
45.59	College Park	\$255.60	\$248.40	\$232.80	\$214.80	\$205.20	\$194.40	\$187.20	\$182.40	\$175.20	\$169.20	\$164.40	\$156.00	\$151.20	\$140.40		\$124.80	\$118.80	\$111.60	\$100.80	\$92.40	\$79.20	\$70.80	\$54.00	X									
46.85	San Jose (Cahill)	\$261.60	\$254.40	\$238.80	\$219.60	\$211.20	\$200.40	\$193.20	\$187.20	\$181.20	\$175.20	\$169.20	\$162.00	\$156.00	\$146.40	\$135.60	\$130.80	\$124.80	\$117.60	\$106.80	\$97.20	\$85.20	\$76.80	\$60.00	\$54.00	X								
48.56	Tamien	\$270.00	\$261.60	\$246.00	\$228.00	\$219.60	\$207.60	\$200.40	\$195.60	\$189.60	\$183.60	\$177.60	\$170.40	\$164.40	\$153.60		\$138.00	\$133.20	\$124.80	\$114.00	\$105.60	\$93.60	\$84.00	\$67.20	\$61.20	\$55.20	X							
52.40	Capitol	\$286.80	\$279.60	\$264.00	\$246.00	\$236.40	\$225.60	\$218.40	\$212.40	\$206.40	\$200.40	\$195.60	\$187.20	\$181.20	\$171.60	\$160.80	\$156.00	\$150.00	\$142.80	\$132.00	\$122.40	\$110.40	\$102.00	\$85.20	\$79.20	\$73.20	\$66.00	X						
55.70	Blossom Hill	\$302.40	\$295.20	\$278.40	\$260.40	\$252.00	\$240.00	\$232.80	\$228.00	\$222.00	\$216.00	\$210.00	\$202.80	\$196.80	\$187.20		\$170.40	\$165.60	\$157.20	\$146.40	\$138.00	\$126.00	\$116.40	\$99.60	\$93.60	\$88.80	\$80.40	\$63.60	X					
67.50	Morgan Hill	\$355.20	\$348.00	\$332.40	\$314.40	\$306.00	\$294.00	\$286.80	\$282.00	\$276.00	\$270.00	\$264.00	\$256.80	\$250.80	\$240.00	\$229.20	\$224.40	\$219.60	\$211.20	\$200.40	\$192.00	\$180.00	\$170.40	\$153.60	\$147.60	\$141.60	\$134.40	\$116.40	\$102.00	X				
71.20	San Martin	\$373.20	\$364.80	\$349.20	\$331.20	\$322.80	\$310.80	\$303.60	\$298.80	\$292.80	\$286.80	\$280.80	\$273.60	\$267.60	\$256.80		\$241.20	\$236.40	\$228.00	\$217.20	\$208.80	\$196.80	\$187.20	\$170.40	\$164.40	\$159.60	\$151.20	\$133.20	\$118.80	\$64.80	X			
77.46	Gilroy	\$400.80	\$393.60	\$378.00	\$360.00	\$351.60	\$339.60	\$332.40	\$327.60	\$320.40	\$314.40	\$309.60	\$301.20	\$296.40	\$285.60	\$274.80	\$270.00	\$264.00	\$256.80	\$246.00	\$237.60	\$225.60	\$216.00	\$199.20	\$193.20	\$187.20	\$180.00	\$162.00	\$147.60	\$93.60	\$76.80	X		

Caltrain Distance Based Fare Matrix May 2020 Rev May 2021 7-DAY PASS

	MI	0	1.6	5.06	9.1	11	13.56	15.13	16.23	17.6	18.93	20.14	21.83	23.09	25.3	27.7	28.74	30	31.63	33.99	35.97	38.62	40.62	44.3	45.59	46.85	48.56	52.4	55.7	67.5	71.2	77.46	
Station	San Francisco	22nd Street	Bayshore	So. San Francisco	San Bruno	Millbrae	Broadway	Burlingame	San Mateo	Hayward Park	Hillsdale	Belmont	San Carlos	Redwood City	Atherton	Menlo Park	Palo Alto	California Ave	San Antonio	Mt. View	Sunnyvale	Lawrence	Santa Clara	College Park	San Jose (Cahill)	Tamien	Capitol	Blossom Hill	Morgan Hill	San Martin	Gilroy		
0.00	San Francisco	X																															
1.60	22nd Street	\$14.95	X																														
5.06	Bayshore	\$19.18	\$17.23	X																													
9.10	So. San Francisco	\$24.38	\$22.10	\$17.88	X																												
11.00	San Bruno	\$26.65	\$24.70	\$20.48	\$15.28	X																											
13.56	Millbrae	\$29.90	\$27.63	\$23.40	\$18.53	\$16.25	X																										
15.13	Broadway	\$31.53	\$29.58	\$25.35	\$20.48	\$18.20	\$14.95	X																									
16.23	Burlingame	\$33.15	\$31.20	\$26.65	\$21.78	\$19.50	\$16.25	\$14.30	X																								
17.60	San Mateo	\$34.78	\$32.83	\$28.60	\$23.40	\$21.13	\$17.88	\$15.93	\$14.63	X																							
18.93	Hayward Park	\$36.40	\$34.45	\$30.23	\$25.03	\$22.75	\$19.50	\$17.55	\$16.25	\$14.63	X																						
20.14	Hillsdale	\$38.03	\$35.75	\$31.53	\$26.65	\$24.38	\$21.13	\$19.18	\$17.88	\$16.25	\$14.63	X																					
21.83	Belmont	\$39.98	\$38.03	\$33.80	\$28.60	\$26.33	\$23.08	\$21.13	\$19.83	\$18.20	\$16.58	\$14.95	X																				
23.09	San Carlos	\$41.60	\$39.65	\$35.43	\$30.23	\$27.95	\$24.70	\$22.75	\$21.45	\$19.83	\$18.20	\$16.58	\$14.63	X																			
25.30	Redwood City	\$44.20	\$42.25	\$38.03	\$33.15	\$30.55	\$27.63	\$25.68	\$24.05	\$22.43	\$20.80	\$19.50	\$17.23	\$15.60	X																		
27.70	Atherton	\$47.13	\$45.18	\$40.95	\$36.08	\$33.48	\$30.55	\$28.60	\$27.30	\$25.35	\$23.73	\$22.43	\$20.15	\$18.85	\$15.93	X																	
28.74	Menlo Park	\$48.43	\$46.48	\$42.25	\$37.38	\$34.78	\$31.85	\$29.90	\$28.60	\$26.65	\$25.03	\$23.73	\$21.45	\$19.83	\$17.23		X																
30.00	Palo Alto	\$50.05	\$48.10	\$43.88	\$38.68	\$36.40	\$33.15	\$31.53	\$29.90	\$28.28	\$26.65	\$25.03	\$23.08	\$21.45	\$18.85	\$15.93	\$14.63	X															
31.63	California Ave	\$52.00	\$50.05	\$45.83	\$40.95	\$38.35	\$35.43	\$33.48	\$32.18	\$30.23	\$28.60	\$27.30	\$25.03	\$23.40	\$20.80		\$16.58	\$14.95	X														
33.99	San Antonio	\$54.93	\$52.98	\$48.75	\$43.88	\$41.28	\$38.35	\$36.40	\$34.78	\$33.15	\$31.53	\$30.23	\$27.95	\$26.33	\$23.73	\$20.80	\$19.50	\$17.88	\$15.93	X													
35.97	Mt. View	\$57.53	\$55.58	\$51.03	\$46.15	\$43.88	\$40.63	\$38.68	\$37.38	\$35.75	\$34.13	\$32.50	\$30.55	\$28.93	\$26.33		\$21.78	\$20.48	\$18.20	\$15.60	X												
38.62	Sunnyvale	\$60.78	\$58.83	\$54.60	\$49.40	\$47.13	\$43.88	\$41.93	\$40.63	\$39.00	\$37.38	\$35.75	\$33.80	\$32.18	\$29.58	\$26.33	\$25.35	\$23.73	\$21.78	\$18.85	\$16.25	X											
40.62	Lawrence	\$63.05	\$61.10	\$56.88	\$52.00	\$49.73	\$46.48	\$44.53	\$43.23	\$41.28	\$39.65	\$38.35	\$36.08	\$34.78	\$31.85		\$27.63	\$26.00	\$24.05	\$21.13	\$18.85	\$15.60	X										
44.30	Santa Clara	\$67.60	\$65.65	\$61.43	\$56.55	\$54.28	\$51.03	\$49.08	\$47.78	\$45.83	\$44.20	\$42.90	\$40.63	\$39.33	\$36.40	\$33.48	\$32.18	\$30.55	\$28.60	\$25.68	\$23.40	\$20.15	\$17.55	X									
45.59	College Park	\$69.23	\$67.28	\$63.05	\$58.18	\$55.58	\$52.65	\$50.70	\$49.40	\$47.45	\$45.83	\$44.53	\$42.25	\$40.95	\$38.03		\$33.80	\$32.18	\$30.23	\$27.30	\$25.03	\$21.45	\$19.18	\$14.63	X								
46.85	San Jose (Cahill)	\$70.85	\$68.90	\$64.68	\$59.48	\$57.20	\$54.28	\$52.33	\$50.70	\$49.08	\$47.45	\$45.83	\$43.88	\$42.25	\$39.65	\$36.73	\$35.43	\$33.80	\$31.85	\$28.93	\$26.33	\$23.08	\$20.80	\$16.25	\$14.63	X							
48.56	Tamien	\$73.13	\$70.85	\$66.63	\$61.75	\$59.48	\$56.23	\$54.28	\$52.98	\$51.35	\$49.73	\$48.10	\$46.15	\$44.53	\$41.60		\$37.38	\$36.08	\$33.80	\$30.88	\$28.60	\$25.35	\$22.75	\$18.20	\$16.58	\$14.95	X						
52.40	Capitol	\$77.68	\$75.73	\$71.50	\$66.63	\$64.03	\$61.10	\$59.15	\$57.53	\$55.90	\$54.28	\$52.98	\$50.70	\$49.08	\$46.48	\$43.55	\$42.25	\$40.63	\$38.68	\$35.75	\$33.15	\$29.90	\$27.63	\$23.08	\$21.45	\$19.83	\$17.88	X					
55.70	Blossom Hill	\$81.90	\$79.95	\$75.40	\$70.53	\$68.25	\$65.00	\$63.05	\$61.75	\$60.13	\$58.50	\$56.88	\$54.93	\$53.30	\$50.70		\$46.15	\$44.85	\$42.58	\$39.65	\$37.38	\$34.13	\$31.53	\$26.98	\$25.35	\$24.05	\$21.78	\$17.23	X				
67.50	Morgan Hill	\$96.20	\$94.25	\$90.03	\$85.15	\$82.88	\$79.63	\$77.68	\$76.38	\$74.75	\$73.13	\$71.50	\$69.55	\$67.93	\$65.00	\$62.08	\$60.78	\$59.48	\$57.20	\$54.28	\$52.00	\$48.75	\$46.15	\$41.60	\$39.98	\$38.35	\$36.40	\$31.53	\$27.63	X			
71.20	San Martin	\$101.08	\$98.80	\$94.58	\$89.70	\$87.43	\$84.18	\$82.23	\$80.93	\$79.30	\$77.68	\$76.05	\$74.10	\$72.48	\$69.55		\$65.33	\$64.03	\$61.75	\$58.83	\$56.55	\$53.30	\$50.70	\$46.15	\$44.53	\$43.23	\$40.95	\$36.08	\$32.18	\$17.55	X		
77.46	Gilroy	\$108.55	\$106.60	\$102.38	\$97.50	\$95.23	\$91.98	\$90.03	\$88.73	\$86.78	\$85.15	\$83.85	\$81.58	\$80.28	\$77.35	\$74.43	\$73.13	\$71.50	\$69.55	\$66.63	\$64.35	\$61.10	\$58.50	\$53.95	\$52.33	\$50.70	\$48.75	\$43.88	\$39.98	\$25.35	\$20.80	X	

7-DAY
MULTIPLIER 6.5

Prepared by Jeff Carter, May 2020 Revised May 2021

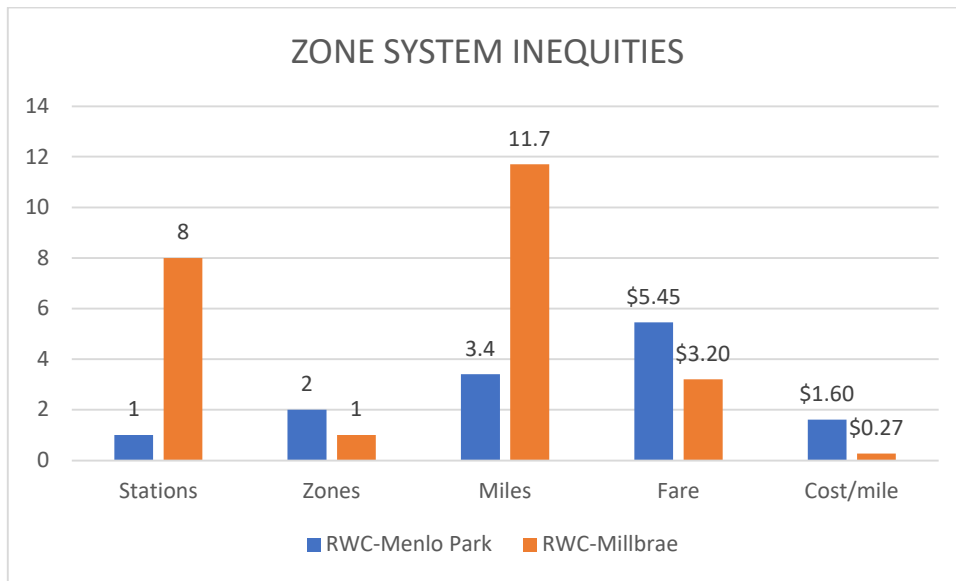
Caltrain Distance Based Fare Matrix May 2020 Rev May 2021 15-RIDE

	MI	0	1.6	5.06	9.1	11	13.56	15.13	16.23	17.6	18.93	20.14	21.83	23.09	25.3	27.7	28.74	30	31.63	33.99	35.97	38.62	40.62	44.3	45.59	46.85	48.56	52.4	55.7	67.5	71.2	77.46
Station		San Francisco	22nd Street	Bayside	So. San Francisco	San Bruno	Millbrae	Broadway	Burlingame	San Mateo	Hayward Park	Hillsdale	Belmont	San Carlos	Redwood City	Atherton	Menlo Park	Palo Alto	California Ave	San Antonio	Mt. View	Sunnyvale	Lawrence	Santa Clara	College Park	San Jose (Cahill)	Tamien	Capitol	Blossom Hill	Morgan Hill	San Martin	Gilroy
0.00	San Francisco	X																														
1.60	22nd Street	\$25.88	X																													
5.06	Bayside	\$33.19	\$29.81	X																												
9.10	So. San Francisco	\$42.19	\$38.25	\$30.94	X																											
11.00	San Bruno	\$46.13	\$42.75	\$35.44	\$26.44	X																										
13.56	Millbrae	\$51.75	\$47.81	\$40.50	\$32.06	\$28.13	X																									
15.13	Broadway	\$54.56	\$51.19	\$43.88	\$35.44	\$31.50	\$25.88	X																								
16.23	Burlingame	\$57.38	\$54.00	\$46.13	\$37.69	\$33.75	\$28.13	\$24.75	X																							
17.60	San Mateo	\$60.19	\$56.81	\$49.50	\$40.50	\$36.56	\$30.94	\$27.56	\$25.31	X																						
18.93	Hayward Park	\$63.00	\$59.63	\$52.31	\$43.31	\$39.38	\$33.75	\$30.38	\$28.13	\$25.31	X																					
20.14	Hillsdale	\$65.81	\$61.88	\$54.56	\$46.13	\$42.19	\$36.56	\$33.19	\$30.94	\$28.13	\$25.31	X																				
21.83	Belmont	\$69.19	\$65.81	\$58.50	\$49.50	\$45.56	\$39.94	\$36.56	\$34.31	\$31.50	\$28.69	\$25.88	X																			
23.09	San Carlos	\$72.00	\$68.63	\$61.31	\$52.31	\$48.38	\$42.75	\$39.38	\$37.13	\$34.31	\$31.50	\$28.69	\$25.31	X																		
25.30	Redwood City	\$76.50	\$73.13	\$65.81	\$57.38	\$52.88	\$47.81	\$44.44	\$41.63	\$38.81	\$36.00	\$33.75	\$29.81	\$27.00	X																	
27.70	Atherton	\$81.56	\$78.19	\$70.88	\$62.44	\$57.94	\$52.88	\$49.50	\$47.25	\$43.88	\$41.06	\$38.81	\$34.88	\$32.63	\$27.56	X																
28.74	Menlo Park	\$83.81	\$80.44	\$73.13	\$64.69	\$60.19	\$55.13	\$51.75	\$49.50	\$46.13	\$43.31	\$41.06	\$37.13	\$34.31	\$29.81		X															
30.00	Palo Alto	\$86.63	\$83.25	\$75.94	\$66.94	\$63.00	\$57.38	\$54.56	\$51.75	\$48.94	\$46.13	\$43.31	\$39.94	\$37.13	\$32.63	\$27.56	\$25.31	X														
31.63	California Ave	\$90.00	\$86.63	\$79.31	\$70.88	\$66.38	\$61.31	\$57.94	\$55.69	\$52.31	\$49.50	\$47.25	\$43.31	\$40.50	\$36.00		\$28.69	\$25.88	X													
33.99	San Antonio	\$95.06	\$91.69	\$84.38	\$75.94	\$71.44	\$66.38	\$63.00	\$60.19	\$57.38	\$54.56	\$52.31	\$48.38	\$45.56	\$41.06	\$36.00	\$33.75	\$30.94	\$27.56	X												
35.97	Mt. View	\$99.56	\$96.19	\$88.31	\$79.88	\$75.94	\$70.31	\$66.94	\$64.69	\$61.88	\$59.06	\$56.25	\$52.88	\$50.06	\$45.56		\$37.69	\$35.44	\$31.50	\$27.00	X											
38.62	Sunnyvale	\$105.19	\$101.81	\$94.50	\$85.50	\$81.56	\$75.94	\$72.56	\$70.31	\$67.50	\$64.69	\$61.88	\$58.50	\$55.69	\$51.19	\$45.56	\$43.88	\$41.06	\$37.69	\$32.63	\$28.13	X										
40.62	Lawrence	\$109.13	\$105.75	\$98.44	\$90.00	\$86.06	\$80.44	\$77.06	\$74.81	\$71.44	\$68.63	\$66.38	\$62.44	\$60.19	\$55.13		\$47.81	\$45.00	\$41.63	\$36.56	\$32.63	\$27.00	X									
44.30	Santa Clara	\$117.00	\$113.63	\$106.31	\$97.88	\$93.94	\$88.31	\$84.94	\$82.69	\$79.31	\$76.50	\$74.25	\$70.31	\$68.06	\$63.00	\$57.94	\$55.69	\$52.88	\$49.50	\$44.44	\$40.50	\$34.88	\$30.38	X								
45.59	College Park	\$119.81	\$116.44	\$109.13	\$100.69	\$96.19	\$91.13	\$87.75	\$85.50	\$82.13	\$79.31	\$77.06	\$73.13	\$70.88	\$65.81		\$58.50	\$55.69	\$52.31	\$47.25	\$43.31	\$37.13	\$33.19	\$25.31	X							
46.85	San Jose (Cahill)	\$122.63	\$119.25	\$111.94	\$102.94	\$99.00	\$93.94	\$90.56	\$87.75	\$84.94	\$82.13	\$79.31	\$75.94	\$73.13	\$68.63	\$63.56	\$61.31	\$58.50	\$55.13	\$50.06	\$45.56	\$39.94	\$36.00	\$28.13	\$25.31	X						
48.56	Tamien	\$126.56	\$122.63	\$115.31	\$106.88	\$102.94	\$97.31	\$93.94	\$91.69	\$88.88	\$86.06	\$83.25	\$79.88	\$77.06	\$72.00		\$64.69	\$62.44	\$58.50	\$53.44	\$49.50	\$43.88	\$39.38	\$31.50	\$28.69	\$25.88	X					
52.40	Capitol	\$134.44	\$131.06	\$123.75	\$115.31	\$110.81	\$105.75	\$102.38	\$99.56	\$96.75	\$93.94	\$91.69	\$87.75	\$84.94	\$80.44	\$75.38	\$73.13	\$70.31	\$66.94	\$61.88	\$57.38	\$51.75	\$47.81	\$39.94	\$37.13	\$34.31	\$30.94	X				
55.70	Blossom Hill	\$141.75	\$138.38	\$130.50	\$122.06	\$118.13	\$112.50	\$109.13	\$106.88	\$104.06	\$101.25	\$98.44	\$95.06	\$92.25	\$87.75		\$79.88	\$77.63	\$73.69	\$68.63	\$64.69	\$59.06	\$54.56	\$46.69	\$43.88	\$41.63	\$37.69	\$29.81	X			
67.50	Morgan Hill	\$166.50	\$163.13	\$155.81	\$147.38	\$143.44	\$137.81	\$134.44	\$132.19	\$129.38	\$126.56	\$123.75	\$120.38	\$117.56	\$112.50	\$107.44	\$105.19	\$102.94	\$99.00	\$93.94	\$90.00	\$84.38	\$79.88	\$72.00	\$69.19	\$66.38	\$63.00	\$54.56	\$47.81	X		
71.20	San Martin	\$174.94	\$171.00	\$163.69	\$155.25	\$151.31	\$145.69	\$142.31	\$140.06	\$137.25	\$134.44	\$131.63	\$128.25	\$125.44	\$120.38		\$113.06	\$110.81	\$106.88	\$101.81	\$97.88	\$92.25	\$87.75	\$79.88	\$77.06	\$74.81	\$70.88	\$62.44	\$55.69	\$30.38	X	
77.46	Gilroy	\$187.88	\$184.50	\$177.19	\$168.75	\$164.81	\$159.19	\$155.81	\$153.56	\$150.19	\$147.38	\$145.13	\$141.19	\$138.94	\$133.88	\$128.81	\$126.56	\$123.75	\$120.38	\$115.31	\$111.38	\$105.75	\$101.25	\$93.38	\$90.56	\$87.75	\$84.38	\$75.94	\$69.19	\$43.88	\$36.00	X

15-RIDE
MULTIPLIER 11.25

Prepared by Jeff Carter, May 2020 Revised May 2021

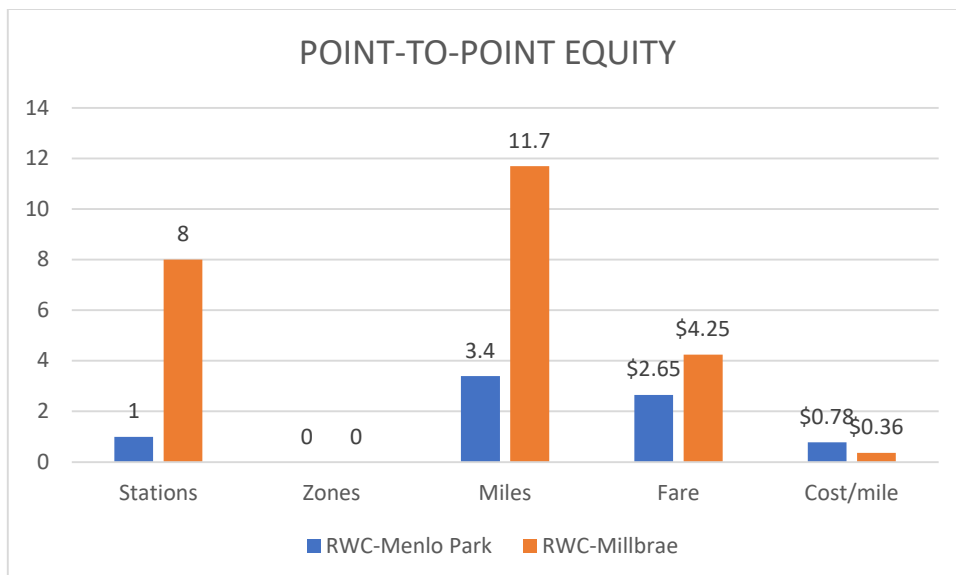
Station Pairs	Stations	Zones	Miles	Fare	Cost/mile
RWC-Menlo Park	1	2	3.4	\$5.45	\$1.60
RWC-Millbrae	8	1	11.7	\$3.20	\$0.27



We must ask ourselves, is it fair to pay \$5.45 for 1 station or 3.4 miles while it costs \$3.20 for 8 stations or 11.7 miles? So, one measly station (RWC – Menlo Park) costs the same as it does to go 13 stations or 25.3 miles if you are travelling from Redwood City to 4th & King.

Here is an example of a more fair and equitable point-to-point fare system where base fare is \$2.00 and cost per mile is \$0.19. We can see that this is much fairer than the current zone system.

Station Pairs	Stations	Zones	Miles	Fare	Cost/mile
RWC-Menlo Park	1	N/A	3.4	\$2.65	\$0.78
RWC-Millbrae	8	N/A	11.7	\$4.25	\$0.36



Adopted – May 6, 1992
Last Revised – September 5, 2019
Proposed for Amendment – June 3, 2021

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

CALTRAIN FARE STRUCTURE

This document establishes the fare structure for use of Caltrain passenger rail service, which operates between San Francisco and Gilroy, California. For pricing, refer to Section V, Fare Chart.

I. FARE CATEGORIES

A. FULL FARE

Full Fares apply to all customers except those who qualify for an Eligible Discount Fare or the Means-Based Fare Pilot Program.

B. ELIGIBLE DISCOUNT FARE

Customers qualifying for the Eligible Discount Fare pay one-half of the Full Fare, rounded to increments of approximately \$0.25. A customer qualifies for the Eligible Discount Fare by meeting or possessing any one or more of the requirements below. Proof of age or appropriate identification may be necessary when ticket is requested by the conductor or fare inspector.

1. Aged 65 years or older.
2. Aged 18 years or younger.
3. Disabled Person Placard Identification Card issued by the California State Department of Motor Vehicles (DMV).
4. Medicare Card.
5. Regional Transit Connection (RTC) Discount Card for persons with disabilities, including Clipper® cards that are designated as RTC Discount Cards. A personal care attendant travelling with an RTC Discount Card holder can pay the Eligible Discount Fare if the RTC Discount Card is marked with an attendant symbol.
6. Valid transit discount card issued by another California transit agency, which is equivalent to the RTC Discount Card.

C. MEANS-BASED FARE PILOT PROGRAM

The Regional Means-Based Fare Pilot Program (Pilot Program), administered by the Metropolitan Transportation Commission (MTC), will run for 18 months starting

July 15, 2020. Pending MTC's approval in summer 2021, the Pilot Program may be extended an additional 18 months (for a total duration of 36 months) through June 30, 2023. For the duration of the Pilot Program approved by MTC, Caltrain will offer a 50 percent discount off of One-way Clipper Card Fares to adults enrolled in the Pilot Program.

The Means-Based Fare is available only to participants who apply, are accepted and enroll in the Pilot Program. Participation is limited to adults aged 19 through 64, who are current residents in one of the nine San Francisco Bay Area counties, and who have an annual household income level at or below 200 percent of the Federal Poverty Level.

D. SWORN PEACE OFFICERS

Uniformed and non-uniformed, sworn peace officers showing proper identification are allowed to ride Caltrain without paying a fare.

E. CHILDREN FOUR YEARS OR YOUNGER

One child aged four years or younger accompanied by a paying adult may ride Caltrain without paying a fare. Additional children traveling with the same adult are required to pay a fare.

F. SPECIAL PROMOTIONAL FARES

From time to time, the Executive Director may authorize the establishment of special or promotional fares.

G. GROUP TRAVEL DISCOUNT

A 10 percent discount on regular cash fares is provided to fare-paying groups of 25 or more passengers that pre-purchase through the Caltrain Group Travel program.

II. CALTRAIN TICKET TYPES & FARE PAYMENT

A. ONE-WAY TICKET

Valid for use within four hours of the date and time sold. One-way Tickets are honored for one-way passage away from the point of origin, including stopovers/transfers, within the zone(s) indicated on such tickets.

B. DAY PASS

Valid for use on a single day, through the last train on the service day on which sold. Day passes are honored for unlimited travel within the zone(s) indicated on the ticket.

C. MONTHLY PASS

Valid for use for the calendar month for which issued. Monthly Passes are honored for unlimited weekday trips between the zone(s) indicated on such passes. On Saturdays, Sundays and holidays, Monthly Passes are honored for unlimited trips between all zones. The Monthly Pass multiplier is 15 days per month (30 x One-way Ticket fare). Purchasers of Monthly Passes are eligible to purchase a Monthly Parking Pass. Temporary reduction of the multiplier to 12

days per month (24 x One-way Ticket fare) will be in effect through June 30, 2023.

D. ZONE UPGRADE TICKET

Valid for use within four hours of the date and time sold. Zone Upgrade Tickets are valid only when accompanying a Monthly Pass or a valid paper One-way Ticket or Day Pass, and cannot be used alone. The Zone Upgrade Ticket will be honored for one-way passage for additional zones purchased beyond the original ticket's zone limits. The Zone Upgrade Ticket's validity period does not supersede the original ticket's validity period.

E. GO PASS

Valid for use within the calendar year for which issued. The Go Pass is an annual transit pass sold to universities and other employers for all of their students and/or employees that work more than 20 hours per week, with an option to have employees that work 20 hours or less per week and interns participate. The Go Pass also is sold to residential complexes for all residents aged five years and older. Go Passes are subject to the terms of agreements between the JPB and each participating university/employer/residential complex.

The Go Pass is a sticker affixed to a valid university, employer or residential complex-issued photo identification card. The Go Pass also is offered on Clipper as part of a pilot program. The Go Pass is honored for unlimited trips between all zones. Go Pass participants are eligible to purchase a Monthly Parking Permit.

F. FARE PAYMENT

1. **Ticket Vending Machines.** Customers may purchase the following fare products at Caltrain stations via the ticket vending machines: (i) One-way Ticket; (ii) Day Pass; and (iii) Zone Upgrade. Cash, credit and debit cards are accepted.
2. **Mobile Ticketing Application Pilot Program.** Customers may purchase the following fare products via the Caltrain Mobile App: (i) One-way Ticket; (ii) Day Pass; and (iii) Zone Upgrade. Credit and debit cards, PayPal, Google Pay and Apple Pay are accepted.
3. **CLIPPER.** Customers may purchase the following fare products via the Clipper regional transit fare payment system: (i) One-way Ticket; (ii) Monthly Pass. Customers paying with Clipper for a One-way ride receive a 25-cent discount (Full Fare) or 15-cent discount (Eligible Discount Fare) compared to paper and mobile tickets.

The Clipper card, which is issued and administered by the Metropolitan Transportation Commission (MTC), is valid for use on public transit services throughout the San Francisco Bay Area. MTC may establish fees and a cash minimum associated with the use of a Clipper card.

JPB staff is empowered to distribute fare media through other means (e.g. a website) without amendment of this document.

III. DESCRIPTION OF ZONES

The zone designations for Caltrain service are:

<u>Zone 1</u> San Francisco 22 nd Street Bayshore South San Francisco San Bruno	<u>Zone 2</u> Millbrae Broadway* Burlingame San Mateo Hayward Park Hillsdale Belmont San Carlos Redwood City	<u>Zone 3</u> Menlo Park Palo Alto Stanford Stadium^ California Avenue San Antonio Mountain View Sunnyvale
<u>Zone 4</u> Lawrence Santa Clara College Park# San Jose Diridon	<u>Zone 5</u> Capitol# Blossom Hill#	<u>Zone 6</u> Morgan Hill# San Martin# Gilroy#

* Weekend service only

^ Football/Other Select Levy Stadium events only

Weekday service only

IV. GENERAL CONDITIONS

A. CONDITIONS OF USE

Tickets and passes are nontransferable. Tickets mutilated, altered or changed in any way, or used in any manner other than in accordance with the provision of this Fare Structure shall be forfeited.

B. ENFORCEMENT

Passengers must have a valid ticket before boarding to ride Caltrain. Fares will be enforced by a Proof-of-Payment system as adopted and amended from time to time by the JPB. Proof of fare payment must be carried at all times while on Caltrain and must be presented for inspection upon request. Passengers without valid tickets are subject to written warnings and citations with monetary penalties as authorized by California law.

C. STOPOVERS/TRANSFERS

Stopovers and transfers are permitted within zones indicated on tickets provided travel is completed within the ticket's validity period. For One-way Tickets, travel can only continue and be completed in the original direction of travel. One-way Tickets cannot be used to reverse direction.

D. DELAYS

When a customer holding a valid ticket is delayed because of washout, wreck or other obstruction to tracks, public calamity, an act of God or of the public enemy so that the validity period of a passenger's ticket has expired, such ticket's validity may be extended by the conductor or fare inspector to the extent of such delay.

E. REFUNDS

1. One-way, Day Pass, and Zone Upgrade Tickets

One-Way, Day Pass and Zone Upgrade Tickets are not subject to refund.

2. Go Passes

Fees paid for Go Passes are subject to refund only in case of termination of a contract between the JPB and the Go Pass employer/university/residential complex. The JPB will refund the pro-rated portion of the Go Pass fee paid by the participating agency (equivalent to the number of unused months), less an administration fee, within 30 days of the contract termination date, provided that within 10 working days of the effective termination date, all undistributed Go Passes issued to the participating agency are returned to the JPB and the participating agency verifies in writing that it has made every good faith effort to collect or destroy all Go Passes that it distributed.

3. Monthly Passes

Unused Monthly Passes may be returned for a full refund prior to the date the passes first become valid.

Monthly Passes returned for a refund during the validity period will be refunded for the difference between the fare paid and the value of the transportation furnished. The value of transportation furnished will be considered to be the value of two one-way fares per weekday up to the date the pass is returned.

V. FARE TABLE

Zones Travelled	Fare Type	Payment Option	Category	Current	Eff. 4/1/22	Eff. 7/1/22	Eff. 7/1/23	Eff. 7/1/24	Eff. 7/1/26	
1	One-way	Ticket Machine, Mobile App	Adult	\$3.75	\$4.25			\$4.75		
			Eligible Discount	\$1.75	\$2.00			\$2.25		
		Clipper	Adult	\$3.20	\$3.50	\$4.00			\$4.50	
			Adult Means-based^	\$1.60	\$1.75	\$2.00				
			Eligible Discount	\$1.60	\$1.85			\$2.10		
	Day Pass	Ticket Machine, Mobile App	Adult	\$7.50	\$8.50			\$9.50		
			Eligible Discount	\$3.75	\$4.25			\$4.75		
	Monthly Pass	Clipper	Adult	\$76.80	\$84.00	\$96.00	\$120.00		\$135.00	
			Eligible Discount	\$38.40	\$44.40	\$55.50		\$63.00		
	2	One-way	Ticket Machine, Mobile App	Adult	\$6.00	\$6.50			\$6.75	\$7.25
Eligible Discount				\$2.75	\$3.00			\$3.25	\$3.50	
Clipper			Adult	\$5.45	\$5.75	\$6.25			\$6.50	\$7.00
			Adult Means-based^	\$2.70	\$2.85	\$3.10				
		Eligible Discount	\$2.60	\$2.85			\$3.10	\$3.35		
Day Pass		Ticket Machine, Mobile App	Adult	\$12.00	\$13.00			\$13.50	\$14.50	
			Eligible Discount	\$6.00	\$6.50			\$6.75	\$7.25	
Monthly Pass		Clipper	Adult	\$130.80	\$138.00	\$150.00	\$187.50	\$195.00	\$210.00	
			Eligible Discount	\$62.40	\$68.40	\$85.50	\$93.00	\$100.50		
3		One-way	Ticket Machine, Mobile App	Adult	\$8.25	\$8.75			\$9.25	\$9.75
	Eligible Discount			\$3.75	\$4.00			\$4.50	\$4.75	
	Clipper		Adult	\$7.70	\$8.00	\$8.50			\$9.00	\$9.50
			Adult Means-based^	\$3.85	\$4.00	\$4.25				
			Eligible Discount	\$3.60	\$3.85			\$4.35	\$4.60	
	Day Pass	Ticket Machine, Mobile App	Adult	\$16.50	\$17.50			\$18.50	\$19.50	
			Eligible Discount	\$8.25	\$8.75			\$9.25	\$9.75	
	Monthly Pass	Clipper	Adult	\$184.80	\$192.00	\$204.00	\$255.00	\$270.00	\$285.00	
			Eligible Discount	\$86.40	\$92.40	\$115.50	\$130.50	\$138.00		
	4	One-way	Ticket Machine, Mobile App	Adult	\$10.50	\$11.00			\$11.75	\$12.25
Eligible Discount				\$4.75	\$5.00			\$5.75	\$6.00	
Clipper			Adult	\$9.95	\$10.25	\$10.75			\$11.50	\$12.00
			Adult Means-based^	\$4.95	\$5.10	\$5.35				
		Eligible Discount	\$4.60	\$4.85			\$5.60	\$5.85		
Day Pass		Ticket Machine, Mobile App	Adult	\$21.00	\$22.00			\$23.50	\$24.50	
			Eligible Discount	\$10.50	\$11.00			\$11.75	\$12.25	
Monthly Pass		Clipper	Adult	\$238.80	\$246.00	\$258.00	\$322.50	\$345.00	\$360.00	
			Eligible Discount	\$110.40	\$116.40	\$145.50	\$168.00	\$175.50		
5		One-way	Ticket Machine, Mobile App	Adult	\$12.75	\$13.25			\$14.25	\$14.75
	Eligible Discount			\$5.75	\$6.00			\$7.00	\$7.25	
	Clipper		Adult	\$12.20	\$12.50	\$13.00			\$14.00	\$14.50
			Adult Means-based^	\$6.10	\$6.25	\$6.50				
			Eligible Discount	\$5.60	\$5.85			\$6.85	\$7.10	
	Day Pass	Ticket Machine, Mobile App	Adult	\$25.50	\$26.50			\$28.50	\$29.50	
			Eligible Discount	\$12.75	\$13.25			\$14.25	\$14.75	
	Monthly Pass	Clipper	Adult	\$292.80	\$300.00	\$312.00	\$390.00	\$420.00	\$435.00	
			Eligible Discount	\$134.40	\$140.40	\$175.50	\$205.50	\$213.00		
	6	One-way	Ticket Machine, Mobile App	Adult	\$15.00	\$15.50			\$16.75	\$17.25
Eligible Discount				\$6.75	\$7.00			\$8.25	\$8.50	
Clipper			Adult	\$14.45	\$14.75	\$15.25			\$16.50	\$17.00
			Adult Means-based^	\$7.20	\$7.35	\$7.60				
		Eligible Discount	\$6.60	\$6.85			\$8.10	\$8.35		
Day Pass		Ticket Machine, Mobile App	Adult	\$30.00	\$31.00			\$33.50	\$34.50	
			Eligible Discount	\$15.00	\$15.50			\$16.75	\$17.25	
Monthly Pass		Clipper	Adult	\$346.80	\$354.00	\$366.00	\$457.50	\$495.00	\$510.00	
			Eligible Discount	\$158.40	\$164.40	\$205.50	\$243.00	\$250.50		

^ Adult Means-base fare (Clipper START program) is a pilot program.

Zone Upgrade

Payment Option	Category	Current	Eff.	Eff.	Eff.	Eff.	Eff.
			4/1/22	7/1/22	7/1/23	7/1/24	7/1/26
Ticket Machine, Mobile App	Adult		\$2.25				\$2.50
	Eligible Discount		\$1.00				\$1.25

Go Pass

	Current	Eff. 1/1/2023	Eff. 1/1/2025
Minimum Cost	\$28,728.00	\$30,156.00	\$31,584.00
Per Eligible Rider	\$342.00	\$359.00	\$376.00



Proposed Fare Changes

Presentation Overview

1. Public Comment Process
2. Proposed Fare Changes

Public Comment Process

- Call for public hearing in April 2021
- How to provide public comment:
 - online comment form – www.Caltrain.com/changes (English, Spanish, Chinese)
 - Participating at the virtual meeting on May 20 or public hearing on May 24
 - Email changes@caltrain.com
 - Mail Board Secretary
Peninsula Corridor Joint Powers Board
P.O. Box 3006, San Carlos, CA 94070-1306
 - Call 1.800.660.4287 (TTY 650.508.6448)

Title VI

- Staff is performing equity analysis on extending the 20% discount on Month Passes and will provide the final findings at the June 3 JPB Board meeting.
- In FY 2019, a Title VI equity analysis was submitted for the other fare changes. No disparate impact was found for minority communities and no disproportionate burden was found for low-income communities.

Proposed Fare Changes

Summary

1. Extend the temporary Monthly Pass product discount
 2. Postpone the implementation of previously Board approved fare changes in September 2019
 3. Consider an extension for the Clipper START pilot program
- Policy Goal: Support achievement of the agency's goals on ridership.

Monthly Pass

- Extend the temporary Monthly Pass Products discount of 20% through June 30, 2023
- The discounted price is equal 12 round-trips
- Subject to fare changes applicable to the Clipper One-way fare

Postpone Fare Changes

1. Postpone two previously adopted 5% increases by one year for the Go Pass:
 - 5% January 1, 2022, moved to January 1, 2023
 - 5% January 1, 2024, moved to January 1, 2025
2. Reduction of the Clipper discount from \$0.55 to \$0.25 per One-way adult fare, impacts all Adult Clipper products except eligible discount
 - July 1, 2021, moved to April 1, 2022

Postpone Fare Changes – cont'd

3. Periodic fare increases - 50-cent on the base fare

- July 1, 2021 moved to July 1, 2022
- July 1, 2025 moved to July 1, 2026

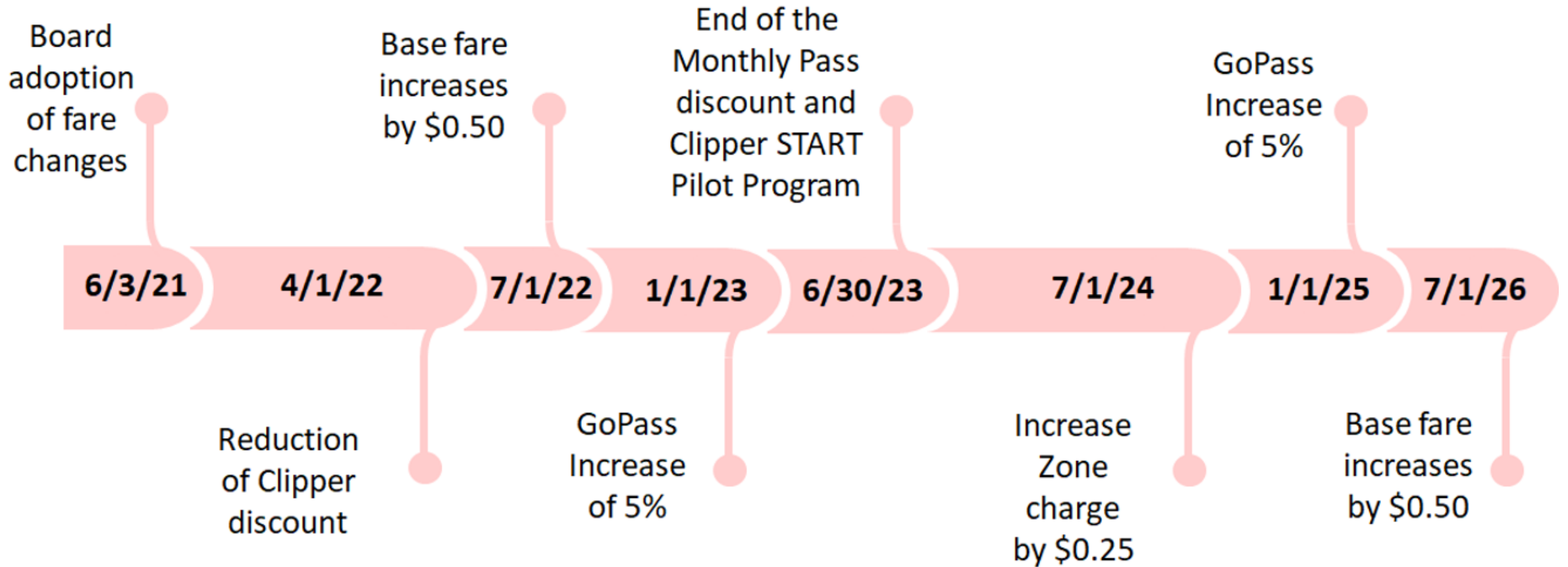
4. Periodic fare increases – 25-cent on the zone fare

- July 1, 2023 moved to July 1, 2024

Regional Means-Based Fare Pilot Program

- The Clipper START fare is offered to eligible Adults and provides 50% discount on single-ride Adult Clipper Card fares.
- MTC is in the process of considering an extension to the means-based fare pilot program (Clipper START) through June 2023, which is likely to be approved by the MTC Commission in summer 2021.
 - Caltrain Board is asked to approve extension to offer Clipper START discount on Caltrain up through June 2023, pending MTC approval of extension in summer 2021.

Proposed Timeline



**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michelle Bouchard
Acting Executive Director

FROM: Robert Barnard
Deputy Chief, Rail Development

SUBJECT: **CAPITAL PROJECTS QUARTERLY STATUS REPORT –
3RD QUARTER FISCAL YEAR 2021**



Finance Committee
Recommendation



Work Program-
Legislative-Planning



Staff Coordinating
Council Reviewed



Staff Coordinating Council
Recommendation

ACTION

Staff Coordinating Council recommends the Board receive the Capital Projects Quarterly Status Report link to report:

[https://www.caltrain.com/Assets/ Finance/Quarterly+Capital+Program+Status+Report/JPB/JPB+Quarterly+Report+FY21+Q3.pdf](https://www.caltrain.com/Assets/Finance/Quarterly+Capital+Program+Status+Report/JPB/JPB+Quarterly+Report+FY21+Q3.pdf)

SIGNIFICANCE

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

BUDGET IMPACT

There is no impact on the budget.

BACKGROUND

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

Prepared By: Robert Cheung
Project Controls Manager

650.730.0296

PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT

TO: Joint Powers Board

THROUGH: Michelle Bouchard
Acting Executive Director

FROM: Derek Hansel
Chief Financial Officer

SUBJECT: **MAY 24, 2021 FINANCE COMMITTEE REPORT OF THE CHIEF FINANCIAL OFFICER**

HIGHLIGHTS

- \$20.6 million from the CRRSAA phase 2 allocation has been received. Additional draws will be made as necessary.
- The adopted FY2021 budget contemplated a draw of \$15.3 million on the operating line of credit, and a draw down of approximately \$7 million in reserves. While we have drawn down the line of credit, and we may yet make a modest draw down on reserves to address cash flow issues, we anticipate the combination of expense control and receipt of Federal funding through the Phase 2 CRRSAA allocation will allow us to fully replenish the reserves to the extent drawn upon and reduce the outstanding balance of the line of credit.
- Based upon feedback from the Finance Committee and the Board, the Budgets Department, in conjunction with the Rail Division, has made adjustments to the Proposed Operating and Capital Budgets for Fiscal Year 2022, which will be discussed at this Finance Committee meeting. These adjustments include slight reductions in overall expenditures and will also address the issue of ensuring that the budget reflects some level of funding from future ARPA allocations from MTC. The operating budget also reflects the most recent feedback associated with Caltrain's insurance renewal process, which may end up being more favorable than previously anticipated.
- The first steps of a comprehensive financing plan which would address replacement of our existing lines of credit and other issues will be discussed at this Finance Committee meeting.
- The Staff Report on the Statement of Revenues and Expenses for the Period Ending February 28, 2021 follows.

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michelle Bouchard
Acting Executive Director

FROM: Derek Hansel
Chief Financial Officer

**SUBJECT: STATEMENT OF REVENUES AND EXPENSES FOR THE PERIOD ENDING
APRIL 30, 2021**

Finance Committee Recommendation Work Program-Legislative-Planning Committee Recommendation Staff Coordinating Council Reviewed Staff Coordinating Council Recommendation

ACTION

Staff proposes that the Board of Directors (Board) of the Peninsula Corridor Joint Powers Board (JPB) accept and enter into the record the Statement of Revenues and Expenses for the month of April 2021.

This staff report provides a brief discussion of significant items and trends on the attached Statement of Revenues and Expenses through April 30, 2021. The statement has been designed to follow the Agency-wide line item rollup as included in the approved budget. The columns have been designed to provide easy comparison of year-to-date current actuals to the budget including dollar and percentage variances.

SIGNIFICANCE

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

Forecast Revenues: Total revenue (page 1, line 18) is forecast \$36.9 million higher than budget. This is driven primarily by \$6.9M phase one allocation and \$31.6M drawdown of the phase 2 allocation from the Coronavirus Response and Relief Supplemental Appropriations Act (CRRSAA page 1, line 14). The revenue increase is partially offset by lower Farebox Revenue (page 1, line 1) which is \$1.4M lower than budget due to a 50% discount on the Go Pass program and lower than anticipated Go Pass renewals as companies continue to assess their return to work plans and by Shuttles Revenue (page 1, line 3) which is \$0.3 million lower than budget due to lower shuttle service as routes have been reduced or suspended due to low ridership.

Forecast Expenses: Total Expense (page 1, line 49) is \$4.2 million lower than budget. The variance is primarily due to lower expense trends. Rail Operator Service (page 1, line 24) is \$1.0 million lower than budget due to under-runs in services. Shuttles Services (page 1, line 26) is \$0.5 million lower than budget due to reduction or suspended service as result of low ridership. Facilities & Equipment Maintenance (page 1, line 31) is lower than budget by \$1.0 million due to lower Clipper Operator Charges as a result of lower

ridership and under-runs in other contract services. Managing Agency OH (page 1, line 39) is lower than budget by \$1.6 million due to the change in the cost allocation methodology effective January 1, 2021. This included an update to the basis for the cost allocations. As a result, the managing agency overhead costs allocated to the JPB Operating Budget is expected to decrease. Professional Services (page 1, line 41) is lower than budget by \$0.4 million as a result of under-runs in various planning studies and less consultant services. This is partially offset by Fuel & Lubricants (page 1, line 27) which is \$0.4 million higher than budget due to rising diesel prices.

Year to Date Revenues: As of April year-to-date actual, the Grand Total Revenue (page 1, line 18) is \$4.6 million higher than the approved budget. This is primarily driven by CRRSAA fund draw (page 1, line 14) which is partially offset by decrease of contributions from JPB Member Agencies (page 1, line 12).

Year to Date Expenses: As of April year-to-date actual, the Grand Total Expense (page 1, line 49) is \$11.5 million lower than the approved budget. This is primarily driven by Rail Operator Service (page 1, line 24), Facilities and Equipment Maintenance (page 1, line 31), Wages and Benefits (page 1, line 38), Managing Agency Admin OH Cost (page 1, line 39), Professional Services (page 1, line 41), and Other Office Expenses and Services (page 1, line 43).

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

BUDGET IMPACT

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

STRATEGIC INITIATIVE

This item does not achieve a strategic initiative.

Prepared By : Thwe Han, Accountant II

650-508-7912

Jennifer Ye, Manager, General Ledger

650-622-7890

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

% OF YEAR ELAPSED 83.3%

		JULY - APRIL				ANNUAL				
		CURRENT ACTUAL	APPROVED BUDGET	\$ VARIANCE	% VARIANCE	APPROVED BUDGET	FORECAST	\$ VARIANCE		
REVENUE										
OPERATIONS:										
1	Farebox Revenue	28,142,218	28,476,349	(334,131)	(1.2%)	32,029,149	30,630,341	(1,398,808)	1	
2	Parking Revenue	277,123	321,118	(43,995)	(13.7%)	372,718	372,718	-	2	
3	Shuttles	1,223,350	1,661,635	(438,285)	(26.4%)	2,031,246	1,773,647	(257,599)	3	
4	Rental Income	898,265	929,020	(30,755)	(3.3%)	1,111,804	1,111,804	-	4	
5	Other Income	1,193,586	1,446,925	(253,339)	(17.5%)	1,764,000	1,764,000	-	5	
6									6	
7	TOTAL OPERATING REVENUE	31,734,542	32,835,047	(1,100,505)	(3.4%)	37,308,917	35,652,510	(1,656,407)	7	
8									8	
9	CONTRIBUTIONS:									
10	AB434 Peninsula & TA Shuttle Funding	1,375,036	1,447,585	(72,549)	(5.0%)	1,737,950	1,737,950	-	10	
11	Operating Grants	3,928,115	3,938,985	(10,870)	(.3%)	12,808,500	12,808,500	-	11	
12	JPB Member Agencies	23,933,337	25,078,477	(1,145,140)	(4.6%)	28,809,434	28,809,434	-	12	
13	CARES ACT Fund	41,509,536	41,507,983	1,553	.0%	41,507,983	41,507,983	-	13	
14	CRRSAA Fund	6,936,627	-	6,936,627	.0%	-	38,536,627	38,536,627	14	
15									15	
16	TOTAL CONTRIBUTED REVENUE	77,682,650	71,973,030	5,709,620	7.9%	84,863,867	123,400,494	38,536,627	16	
17									17	
18	GRAND TOTAL REVENUE	109,417,192	104,808,077	4,609,115	4.4%	122,172,784	159,053,004	36,880,220	18	
19									19	
20									20	
21	EXPENSE									
22	OPERATING EXPENSE:									
23	Rail Operator Service	69,289,161	71,951,969	(2,662,808)	(3.7%)	85,109,942	84,109,942	(1,000,000)	23	
24	Security Services	5,428,390	5,626,594	(198,204)	(3.5%)	6,746,908	6,746,908	-	24	
25	Shuttle Services	2,594,384	3,309,858	(715,474)	(21.6%)	4,057,249	3,542,715	(514,534)	25	
26	Fuel and Lubricants	5,236,686	4,979,355	257,331	5.2%	5,930,523	6,330,523	400,000	26	
27	Timetables and Tickets	1,355	90,554	(89,199)	(98.5%)	110,000	110,000	-	27	
28	Insurance	5,331,623	5,341,109	(9,486)	(.2%)	5,410,000	5,410,000	-	28	
29	Claims, Payments, and Reserves	352,511	799,543	(447,032)	(55.9%)	960,000	960,000	-	29	
30	Facilities and Equipment Maintenance	2,082,921	4,679,027	(2,596,106)	(55.5%)	6,174,428	5,124,428	(1,050,000)	30	
31	Utilities	1,522,620	1,947,661	(425,041)	(21.8%)	2,100,400	2,100,400	-	31	
32	Maint & Services-Bldg & Other	968,957	1,310,408	(341,451)	(26.1%)	1,548,433	1,548,433	-	32	
33									33	
34									34	
35	TOTAL OPERATING EXPENSE	92,808,608	100,036,078	(7,227,470)	(7.2%)	118,147,883	115,983,349	(2,164,534)	35	
36									36	
37	ADMINISTRATIVE EXPENSE									
38	Wages and Benefits	8,065,509	8,669,269	(603,760)	(7.0%)	9,836,681	9,836,681	-	37	
39	Managing Agency Admin OH Cost	2,839,717	4,282,792	(1,443,075)	(33.7%)	5,139,352	3,515,247	(1,624,105)	38	
40	Board of Directors	12,104	14,513	(2,409)	(16.6%)	18,000	18,000	-	39	
41	Professional Services	3,115,630	4,464,453	(1,348,823)	(30.2%)	5,592,524	5,147,524	(445,000)	40	
42	Communications and Marketing	122,507	122,531	(24)	(.0%)	136,000	136,000	-	41	
43	Other Office Expenses and Services	807,146	2,239,817	(1,432,671)	(64.0%)	2,716,079	2,716,079	-	42	
44									43	
44									44	
45	TOTAL ADMINISTRATIVE EXPENSE	14,962,613	19,793,375	(4,830,762)	(24.4%)	23,438,636	21,369,531	(2,069,105)	45	
46									46	
46	Debt Service Expense	3,012,937	2,418,127	594,811	24.6%	2,901,752	2,901,752	-	47	
47									48	
48									48	
49	GRAND TOTAL EXPENSE	110,784,159	122,247,580	(11,463,421)	(9.4%)	144,488,271	140,254,633	(4,233,638)	49	
50									50	
50	NET SURPLUS / (DEFICIT)	(1,366,966)	(17,439,503)	16,072,536	(92.2%)	(22,315,487)	18,798,372	41,113,859	51	
51									52	
52	FUNDING OF SURPLUS / (DEFICIT):									
53									53	
54	Draw from Reserves					7,015,487	-		54	
55	Short-term Borrowings					15,300,000	-		55	
56	FUNDED SURPLUS / (DEFICIT):					-	18,798,372		56	



BOARD OF DIRECTORS 2021

DEVORA "DEV" DAVIS, CHAIR
 STEVE HEMINGER, VICE CHAIR
 CINDY CHAVEZ
 JEFF GEE
 GLENN HENDRICKS
 DAVE PINE
 CHARLES STONE
 SHAMANN WALTON
 MONIQUE ZMUDA

PENINSULA CORRIDOR JOINT POWERS BOARD

INVESTMENT PORTFOLIO

AS OF APRIL 30, 2021

MICHELLE BOUCHARD
 ACTING EXECUTIVE DIRECTOR

TYPE OF SECURITY		MATURITY DATE	INTEREST RATE	PURCHASE PRICE	MARKET RATE
Local Agency Investment Fund (Unrestricted)	*	Liquid Cash	0.339%	35,064,770	35,064,770
County Pool (Unrestricted)		Liquid Cash	0.879%	556,444	556,444
Other (Unrestricted)		Liquid Cash	0.050%	37,324,535	37,324,535
Other (Restricted)	**	Liquid Cash	0.050%	13,352,852	13,352,852
				\$ 86,298,602	\$ 86,298,602

Interest Earnings for April 2021 \$ 28,990.53
 Cumulative Earnings FY2021 \$ 54,752.81

* 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: Joint Powers Board

THROUGH: Michelle Bouchard
Acting Executive Director

FROM: Sebastian Petty
Deputy Chief, Caltrain Planning

SUBJECT: 2021 GO PASS DONATION PROGRAM UPDATE

Finance Committee Recommendation Work Program-Legislative-Planning Committee Recommendation Staff Coordinating Council Reviewed Staff Coordinating Council Recommendation

ACTION

This item is for information only.

SIGNIFICANCE

Staff will provide an update on the 2021 Go Pass Donation Program at the June meeting of the Peninsula Corridor Joint Powers Board (JPB). The Go Pass Donation Program is part of a larger package of significant, limited-time incentives to encourage continued Go Pass subscriber participation in 2021 and 2022.

Approved by the JPB on January 7, 2021, the incentives include:

1. A 25% reduction to the price of the 2021 Go Pass;
2. Loyalty benefit to 2021 subscribers of locking in an additional significant discount off 2022 rates;
3. A benefit for 2021 that allows companies an opportunity to offer unused passes purchased for full-time employees (20+ hours) to on-site part-time and contract workers; and
4. A benefit for 2021 that allows companies to donate unused passes to a network of qualified community-serving organizations (the Go Pass Donation Program).

The attached presentation provides an update on the implementation of the Go Pass Donation Program. In addition to incentivizing ongoing subscriber participation in the Go Pass program, the donation program is also specifically intended to rebuild Caltrain ridership in a manner that advances the railroad's equity goals. The Donation program is being split into phases for ease of implementation, with the first phase currently under development and anticipated to be launched by summer

2021. The second phase will begin in fall 2021 for full program launch in calendar year 2022.

The first phase of the Go Pass Donation Program will utilize 700 passes donated by Intuit to Caltrain. MTC is making a generous donation of Clipper Cards for use in the program. Caltrain wishes to express its appreciation to both Intuit and MTC for their critical donations that have enabled the first phase of the Go Pass Donation Program to be launched in summer of 2021.

BUDGET IMPACT

There is no budget impact associated with the Go Pass Donation Program.

Prepared by: Melissa Jones, Principal Planner, Caltrain Planning 650-295-6852



2021 Go Pass Donation Program Update

June 3, 2021

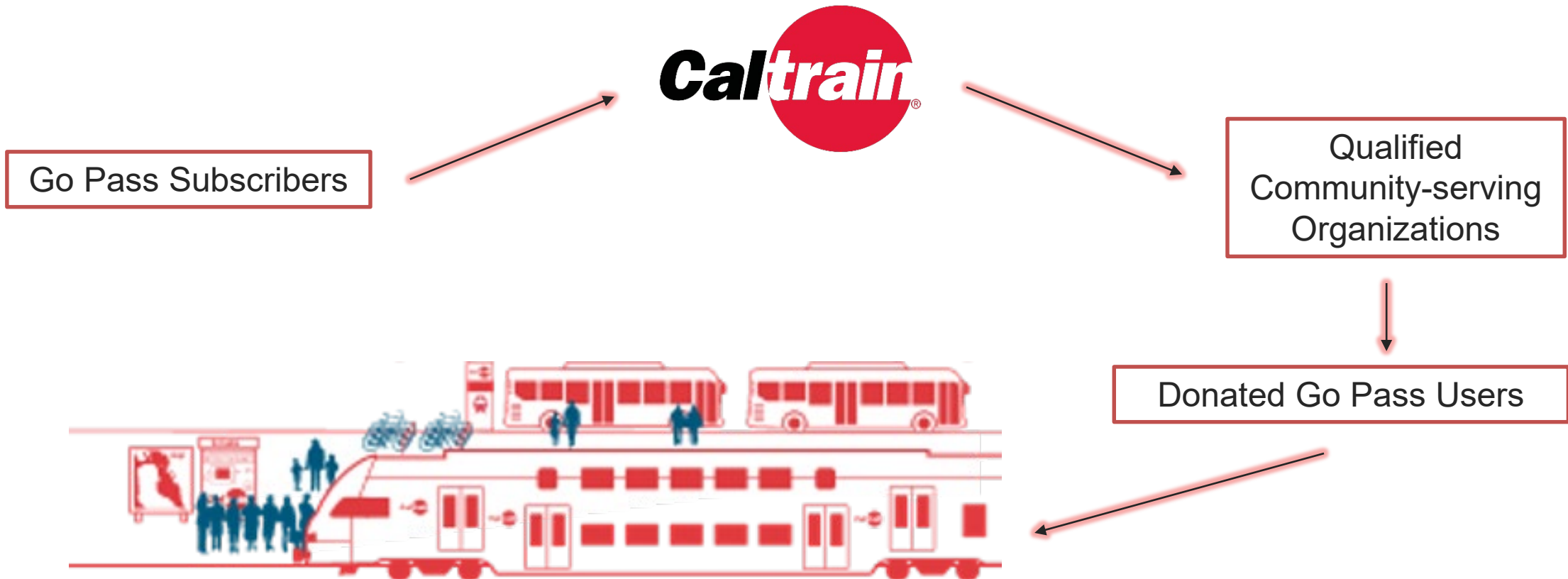
2021 Go Pass Program Overview

- The Donation Program is part of a larger package of limited time offerings for Go Pass subscribers in 2021 & 2022, including:
 - A 25% reduction to the price of the 2021 Go Pass.
 - Benefit to 2021 subscribers of locking in an additional significant discount off 2022 rates.
 - Allowing participants an opportunity to offer unused passes purchased for full-time employees to on-site part-time and contract workers.
 - **Allowing companies to donate unused passes to a network of qualified community-serving organizations (the Go Pass Donation Program).**

Go Pass Donation Program Goals

- Expand and maximize overall access to the Caltrain system.
- Advance equity goals and begin building a more diverse market
- Retain current relationships and develop new relationships with corridor communities and community-serving organizations, including qualified non-profits and public agencies.
- Preserve as much Caltrain Go Pass participation as possible for 2021 and 2022.

Proposed Donation Program Structure



Key Roles

- **Caltrain**
 - Manage the collection, organization, and distribution of donated passes. Clipper cards will be used as proof-of-payment.
 - Distribute donated passes to community-serving organizations in bulk. Recipient organizations will distribute passes to individual users.
- **Go Pass Subscribers**
 - Donate unused passes at their discretion.
 - Choose one or more donation recipients or let Caltrain choose on their behalf.
- **Community-serving Organizations**
 - Fill out an application and identify users to receive donated Go Passes.
 - Administer the program, including card activation, distribution, and tracking.
- **Users**
 - Take the survey, activate card, and ride the train!

Community-Serving Organizations Selection

- **Selection criteria**

- 501 (c3) non-profit or public entity that serves communities in the three counties served by Caltrain.
- Must demonstrate benefit/need of Go Pass to their constituents, including users who are low-income or have been underrepresented in Caltrain ridership.
- Must take on administrative responsibility to fulfill requirements of the program.

- **Application**

- Help eliminate bias in selection of organizations.
- Will ask for a description of service type, description of potential users and how they will benefit, demonstration of administrative capacity.

- **Input from Participants**

- Participating companies may nominate qualified organizations of their choosing to be a recipient of their donated passes or can defer to Caltrain to distribute.

Go Pass Participants

Benefits for Go Pass Participants:

- Potential tax write-off for donated passes.
- Name recognition in press releases and Board meetings.
- Ability to nominate qualified organizations to receive passes.
- Supporting the productive re-use of unused passes to those who may not have access to Caltrain otherwise.

Details for Joining the Program:

- Caltrain invites all 2021 Go Pass participants to join the Go Pass Donation Program.
- Participants that are interested in joining the Go Pass Donation Program or would like more information may reach out to Caltrain staff at b2b@caltrain.com.
- Any size donation of unused 2021 Go Passes is welcome and will be accepted through late fall 2021 (exact date TBD).

2021 Go Pass Program Overview

■ Phase 1 (Pilot Launch, Summer 2021)

- Pilot launch of the program will utilize 700 Go Pass passes donated by **Intuit**, using Clipper Cards donated by **MTC**.
- An initial group of qualified community-serving organizations across all three counties will be invited to participate in the pilot phase. Participating organizations will be asked to fill out a short application to confirm interest, need, and demonstration of ability to administer program on their end.
- Donated passes will be valid for use on Caltrain the 2021 calendar year.
- Goal of distributing donated passes to recipient organizations by summer 2021.

■ Phase 2 (Full Launch, January 2022)

- Phase 2 will be a full launch of the program, using any remaining donated passes received by the end of 2021. Staff anticipates additional donations toward end of calendar year.
- Phase 2 will aim to distribute passes in January 2022 and passes will be valid for the 2022 calendar year.
- Phase 2 will aim to expand and broaden list of community-serving organizations participating in program, using application system (expansion process and details are TBD in fall 2021).

Evaluation of Pilot Program

- In late summer 2021, Caltrain staff will evaluate the pilot program to inform Phase 2's launch in fall 2021.
- Evaluation to consider factors such as:
 - **Ridership:** how has the Pilot Program affected Caltrain ridership? What can we learn about how the new Go Pass users are using the Caltrain system?
 - **Community-serving Organizations:** how has the Pilot Program affected Caltrain's relationships with community-serving organizations on the corridor?
 - **Administration:** how could the administration of the Go Pass Donation Program be improved for Caltrain, community-serving organizations, and Go Pass participants?

Statement of Appreciation

- Caltrain wishes to acknowledge and express appreciation to the two entities that have made Phase 1's Pilot Launch possible.
 - **Intuit:** generously donated 700 passes to be used in pilot program's launch this summer. Thank you!
 - **MTC:** made a generous donation of Clipper Cards to be used in pilot program's launch. Thank you!

Thank You!

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michelle Bouchard
Acting Executive Director

FROM: Sebastian Petty
Deputy Chief, Caltrain Planning

SUBJECT: **APPROVE CALTRAIN CORRIDOR USE COMPATIBILITY FINDING FOR PROPOSED BICYCLE AND PEDESTRIAN UNDERCROSSING AT BERNARDO AVENUE IN SUNNYVALE AND MOUNTAIN VIEW**

Finance Committee Recommendation Work Program-Legislative-Planning Committee Recommendation Staff Coordinating Council Reviewed Staff Coordinating Council Recommendation

ACTION

Staff recommends that the Board of Directors (Board) of the Peninsula Corridor Joint Powers Board (JPB) approve the proposed project for a new bicycle and pedestrian undercrossing of the Caltrain rail corridor at Bernardo Avenue in Sunnyvale and Mountain View as compatible, with conditions, with current and future railroad needs.

SIGNIFICANCE:

The City of Sunnyvale, the City of Mountain View, and Santa Clara Valley Transportation Authority (VTA) are project sponsors for a proposed new bicycle and pedestrian undercrossing of the Caltrain right-of-way (ROW) at Bernardo Avenue, on the border of the two cities. This proposed capital project is in the initial stages of conceptual design, with multiple alternative designs currently in development and under consideration.

The JPB has a long-established property access agreement process for reviewing and approving third parties' proposed uses of its property, including proposed capital projects such as the Bernardo Avenue undercrossing. The first stage of review now includes determining the compatibility of the proposed use with the current and future rail needs, using the Caltrain Rail Corridor Use Policy (RCUP) that was adopted by the Board in February 2020. After compatibility is confirmed, all proposed uses will proceed through the various stages of the design and delivery process to ensure compliance with JPB engineering, operational, and regulatory requirements. This includes conceptual design, preliminary design and environmental clearance, final design, and eventually construction. Construction

and maintenance and property access agreements could start to be negotiated as early as 35 percent design and would be approved prior to construction.

JPB staff initiated the property access agreement process for the proposed bicycle and pedestrian undercrossing at Bernardo Avenue based on a request of the project sponsors. Using the RCUP, JPB staff reviewed the proposed project for initial compatibility with current and future rail needs. In accordance with the adopted RCUP, the proposed project was found to be initially "incompatible," as are all significant projects of this type that cross the active operating right of way. As laid out in the RCUP, JPB staff then completed additional review through the RCUP's Use Variance process (described in more detail below, in "Background"). Consistent with the Use Variance process, JPB staff has developed a recommendation for the Board's approval regarding the compatibility of the proposed undercrossing at Bernardo Avenue based on a number of key conditions that ensure the project will be developed and delivered in a manner consistent with the railroad's policies and current and future needs. The Board's approval of the proposed project's compatibility with current and potential future rail needs is required to advance the project through the design, delivery, and property access agreement processes.

At this time, staff recommends that the Board approve the compatibility of the proposed undercrossing at Bernardo Avenue with conditions, which are summarized below and are detailed in the resolution. These conditions are critical to ensuring the success of this proposed project as it moves forward through technical review in the JPB's capital project design and delivery processes.

A summary of recommended conditions to ensure compatibility with current and future rail needs is as follows:

- Minimize impacts to railroad infrastructure, operations, and maintenance;
- Comply with Caltrain construction standards;
- Achieve compatibility with future grade separation at Mary Avenue;
- The JPB will lead the process from 35 percent design through delivery; and
- Agreements will document roles and responsibilities in each phase of project development.

BACKGROUND

In the RCUP, all new pedestrian and bicycle crossings proposed under or over the corridor are considered to be initially "incompatible" with the railroad's current and future needs. This is not because the JPB does not support these types of projects – in fact, the JPB is generally supportive of enhancing community connectivity through new bicycle and pedestrian crossings. Rather, the agency recognizes that proposed pedestrian and bicycle crossings are major capital projects that could significantly impact rail facilities, resources, and operations and require intensive review and engagement by JPB staff. The RCUP has been specifically set up to *require* that new bicycle and pedestrian crossings go through a more detailed screening with the Use Variance process to make certain that these projects will be successful by being compatible with the railroad's current and future needs.

Through the RCUP's Use Variance process, individual consideration is given to each potential new pedestrian and bicycle crossing to ultimately help the project sponsor

develop a successful project. The Use Variance process provides an opportunity for the JPB to identify any potential issues or processes that would need to be addressed to prevent conflicts with future infrastructure or other future railroad needs for the property. Following Use Variance review of the proposed project, staff develops a recommendation to the Board, and the Board then makes a final compatibility determination for new pedestrian and bicycle crossings of the rail corridor.

For the proposed undercrossing at Bernardo Avenue, after the initial RCUP incompatibility finding, staff completed a detailed review of the proposed project through the Use Variance process to identify important factors that will be necessary for this proposed capital project on the Caltrain ROW to be compatible with current and future rail needs in the area. Staff understands the importance of the proposed undercrossing at Bernardo Avenue for enhancing connectivity in the surrounding communities in Sunnyvale and Mountain View. The recommended conditions associated with compatibility approval are necessary to move through the Caltrain design and delivery process in a manner that yields a project that successfully meets the needs of the railroad, as well as project sponsors and future cyclists and pedestrians.

Following Board approval of the Use Variance for the proposed Bernardo undercrossing, the project will be considered "compatible" with the railroad's current and potential future needs. Then, the project will proceed through the JPB's capital project design and delivery process, with the planned project moving through conceptual design to selection of an alternative, preliminary engineering and environmental clearance, final design, and ultimately construction. All project-specific details and processes will be memorialized in a series of agreements between the JPB and project sponsors as this third-party project moves through the various phases of design and delivery. Because this is a third-party project, all project costs must be covered by the project sponsors.

The RCUP is a policy framework to assist the JPB in deciding upon future uses of its own property and does not have a binding legal effect on the agency. This compatibility determination is therefore not considered a "project" under the terms of the California Environmental Quality Act (CEQA). Any actual change in use would be subject to review under CEQA, as appropriate. In the instance of the proposed undercrossing at Bernardo Avenue, environmental clearance, including CEQA compliance, will be included in the capital project design and delivery process.

Prepared by: Melissa Jones, Principal Planner, Caltrain Planning 650.295.6852

RESOLUTION NO. 2021-

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

*** * ***

**APPROVAL OF THE COMPATIBILITY OF THE PROPOSED BICYCLE AND PEDESTRIAN
UNDERCROSSING OF THE CALTRAIN CORRIDOR AT BERNARDO AVENUE
IN SUNNYVALE AND MOUNTAIN VIEW WITH CURRENT AND FUTURE RAILROAD NEEDS**

WHEREAS, the City of Sunnyvale (Sunnyvale), City of Mountain View (Mountain View), and Santa Clara Valley Transportation Authority (VTA) are sponsoring a proposed use of Peninsula Corridor Joint Powers Board (JPB) property for a new bicycle and pedestrian undercrossing at Bernardo Avenue (proposed project); and

WHEREAS, the proposed project will contribute to enhanced connectivity in the Sunnyvale and Mountain View communities and is supported in the following planning documents: Sunnyvale Vision Zero; Sunnyvale Active Transportation Plan; VTA Bicycle Expenditure Program; VTA Valley Transportation Plan 2040; and Santa Clara County Bicycle Plan; and

WHEREAS, in compliance with the JPB's Property Access Agreement process, the proposed project was reviewed for compatibility with the Caltrain Rail Corridor Use Policy (RCUP); and

WHEREAS, that review process found the proposed project to be initially "incompatible" with the RCUP, thus requiring additional detailed review through the RCUP's Use Variance process; and

WHEREAS, the RCUP's Use Variance review process clarified conditions that would ensure the compatibility of the proposed project with current and future rail needs, including Caltrain's Long-Term Service Vision; and

WHEREAS, in accordance with the findings of these reviews, the JPB finds that the proposed project is compatible with current and future rail needs with the following conditions:

1. The project will be designed and constructed to account for and minimally disrupt all current and future rail infrastructure, assets, and facilities in the area.
 - This infrastructure includes existing signal equipment, consisting of signals, signal houses, and pedestals; overhead catenary system equipment, including foundations, poles, and wires; other utilities in the area, including fiber optics; right-of-way fencing and gates; and vegetation.
 - "Future" refers to all improvements, etc. that are known or planned for in the area by the point when the proposed project reaches 35% design (electrification facilities, etc.).
 - If there is disruption to railroad assets and facilities, the project sponsors will need to cover all related costs and actively work with the JPB to ensure the infrastructure impacts are mitigated in a way that is minimally disruptive to ongoing operations.
2. The proposed project will be designed and constructed so as to minimally interrupt Caltrain operations and freight operations during and after construction.
 - It is anticipated that this project would proceed at a time when the railroad's Peninsula Corridor Electrification Project will be complete and

the railroad will be operating a mix of electric and diesel service. The energized railroad operations will add complexity to the design and delivery of the project.

- Passenger service and freight service delays and speed restrictions will need to be taken into account.
3. The proposed project will be designed to be compatible with the potential future grade separation project at Mary Avenue.
 - If the Mary Avenue grade separation project moves forward in the future, the design of the Bernardo Avenue undercrossing will ensure that there is not a future need to remove and/or rebuild any of the infrastructure associated with the bicycle and pedestrian undercrossing.
 4. The design of the proposed project will comply with all current and future railroad standards, including those for engineering, operations, and maintenance.
 - “Future” standards refers to the forthcoming, updated standards for the soon-to-be electrified railroad.
 5. The proposed project will be designed to not impede the railroad’s ability to maintain its infrastructure and right-of-way in the area during and after construction.
 6. The JPB will be responsible for delivering the project from the 35% design stage through the final design and the construction of the proposed project.
 7. Future agreements will provide clear roles and responsibilities for all parties for all stages of the proposed project.

- This will include agreement(s) related to community outreach and engagement, the constructed project's asset ownership, and the provision of ongoing security, maintenance, repairs, lighting, etc. associated with the constructed project.

NOW, THEREFORE, BE IT RESOLVED that Peninsula Corridor Joint Powers Board hereby approves the compatibility of the proposed project with current and future rail needs with the conditions listed above.

Regularly passed and adopted this 3rd day of June, 2021 by the following vote:

AYES:

NOES:

ABSENT:

ATTEST:

Chair, Peninsula Corridor Joint Powers Board

JPB Secretary



RCUP Use Variance for Proposed Bicycle and Pedestrian Undercrossing at Bernardo Avenue

June 3, 2021

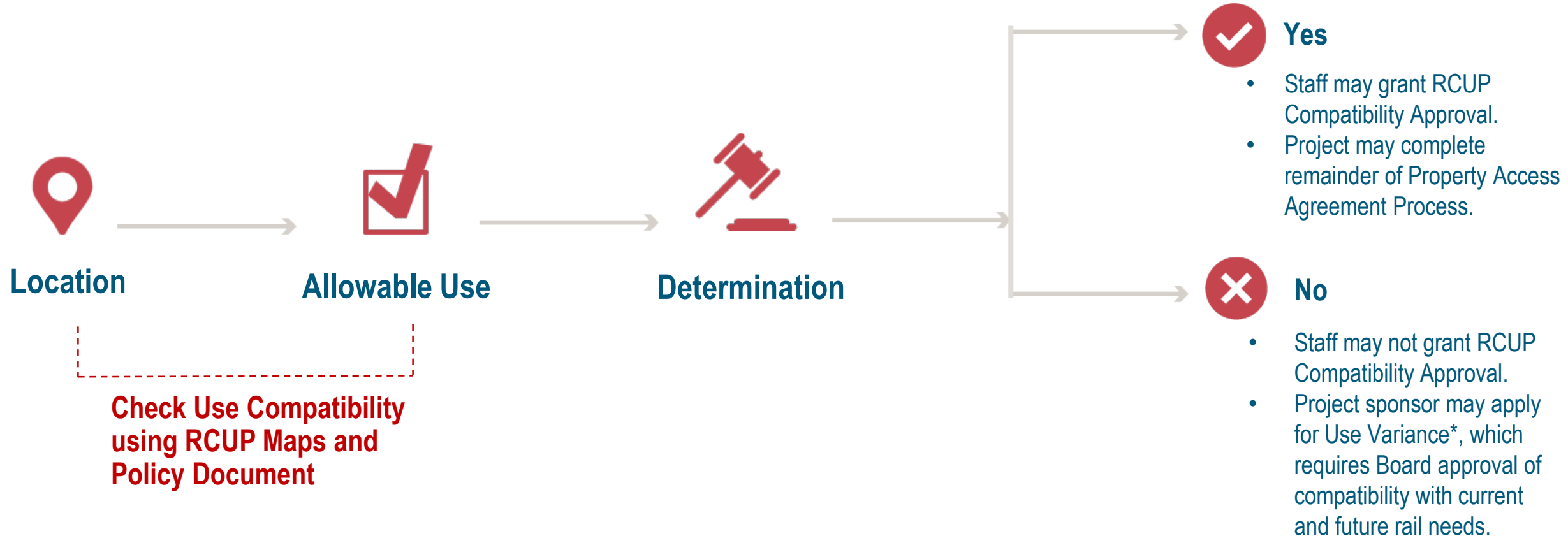
Presentation Overview

- Background and Context
- Caltrain Staff Recommendation for Use Variance
- Recommended Conditions for Approval
- Next Steps

Background – Property Access Agreement Process

- Caltrain frequently receives proposals for non-railroad uses of its property – including both private and public uses.
- The agency has a long-established property access agreement process to consider and approve proposed non-railroad uses of JPB property.
- Review process involves:
 1. **Compatibility review:** Rail Corridor Use Policy (RCUP) is used to provide a systematic framework for determining the compatibility of proposed uses with the railroad’s current and future needs (adopted by the Caltrain Board in February 2020 and aligns with Business Plan’s Long-Range Service Vision).
 2. **Technical review:** Once compatibility is confirmed, technical review commences for operational, engineering, and regulatory compliance.
 3. **Approval:** Final approval and property access agreements are granted after technical review is complete.

RCUP Compatibility Review: Decision-Making Process for a Proposed Non-Railroad Use



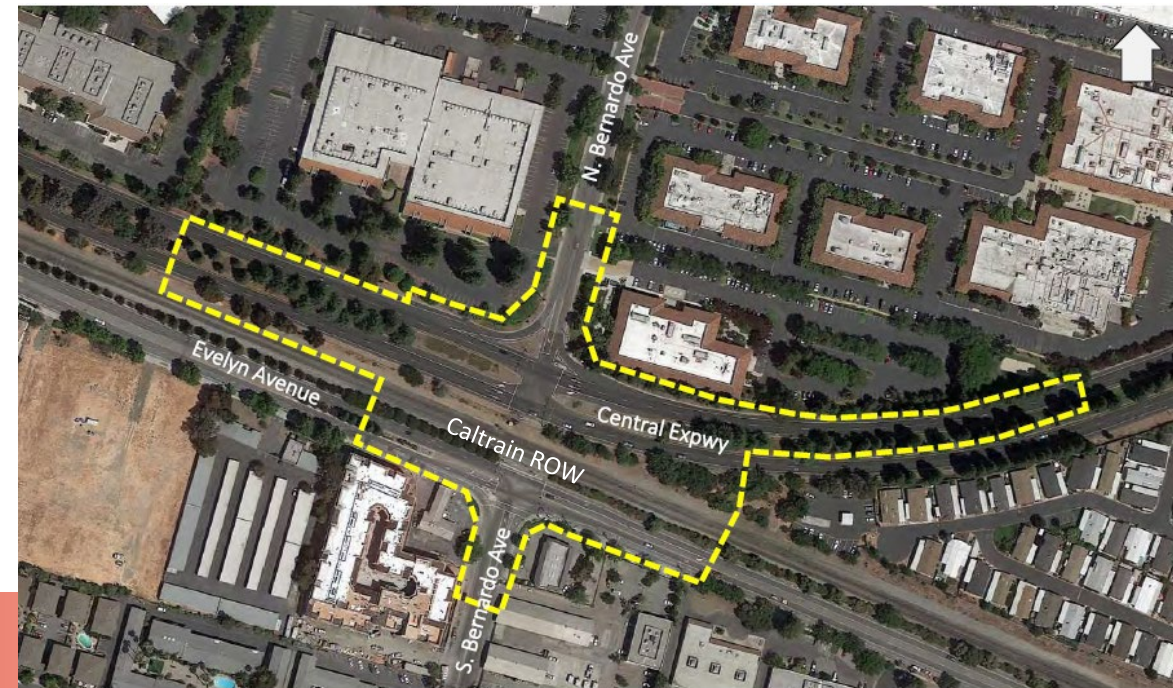
* Note: Initial Compatibility Review is free but Use Variance requires a fee.

Proposed Bicycle/Pedestrian Crossings in RCUP

- Caltrain generally supports community projects that enhance accessibility and connectivity, such as new bike/pedestrian crossings.
- By design, the RCUP considers all proposed new bike/ped crossings to be initially “incompatible” as these are significant capital projects that have the potential to seriously impact JPB facilities
 - This allows each project to go through a more detailed screening for compatibility via the RCUP’s Use Variance process.
- Through Use Variance process, staff gives individual consideration to each potential new bike/ped crossing to identify factors that will help the project sponsor develop a successful project.
- Staff then develops a compatibility recommendation for Board.
- Caltrain Board must make a compatibility determination for each proposed bike/ped crossing through action on the Use Variance.

Proposed Project Overview – Bernardo Avenue Undercrossing for Bicycles and Pedestrians

- Proposed project: a new separated undercrossing for bicycles and pedestrians to close a north-south gap across the Caltrain railroad tracks and County Expressway at the border of Sunnyvale and Mountain View
- Project sponsors: Sunnyvale, Mountain View, VTA
- Project status: conceptual design phase; applied for RCUP compatibility approval
- RCUP:
 - Initial finding: Incompatible
 - Project sponsors applied for RCUP Use Variance
 - Staff have reviewed proposed project and developed recommendation



Staff Recommendation to Caltrain Board

- Staff recommend that the Caltrain Board approve the Use Variance for the proposed bicycle and pedestrian undercrossing at Bernardo Avenue with conditions.

Recommended Conditions Associated with Approval

1. The project will be designed and constructed to account for and minimally disrupt all current and future rail infrastructure, assets, and facilities in the area.
 - This infrastructure includes existing signal equipment, consisting of signals, signal houses, and pedestals; overhead catenary system equipment, including foundations, poles, and wires; other utilities in the area, including fiber optics; right-of-way fencing and gates; and vegetation.
 - “Future” refers to all improvements, etc. that are known or planned for in the area by the point when the proposed project reaches 35% design (electrification facilities, etc.).
 - If there is disruption to railroad assets and facilities, the project sponsors will need to cover all related costs and actively work with the JPB to ensure the infrastructure impacts are mitigated in a way that is minimally disruptive to ongoing operations.

Recommended Conditions Associated with Approval

2. The proposed project will be designed and constructed so as to minimally interrupt Caltrain operations and freight operations during and after construction.
 - It is anticipated that this project would proceed at a time when the railroad's Peninsula Corridor Electrification Project will be complete and the railroad will be operating a mix of electric and diesel service. The energized railroad operations will add complexity to the design and delivery of the project.
 - Passenger service and freight service delays and speed restrictions will need to be taken into account.

Recommended Conditions Associated with Approval

3. The proposed project will be designed to be compatible with the potential future grade separation project at Mary Avenue.
 - If the Mary Avenue grade separation project moves forward in the future, the design of the Bernardo Avenue undercrossing will ensure that there is not a future need to remove and/or rebuild any of the infrastructure associated with the bicycle and pedestrian undercrossing.

Recommended Conditions Associated with Approval

4. The design of the proposed project will comply with all current and future railroad standards, including those for engineering, operations, and maintenance.
 - “Future” standards refers to the forthcoming, updated standards for the soon-to-be electrified railroad.
5. The proposed project will be designed to not impede the railroad’s ability to maintain its infrastructure and right-of-way in the area during and after construction.

Recommended Conditions Associated with Approval

6. The JPB will be responsible for delivering the project from the 35% design stage through the final design and the construction of the proposed project.

7. Future agreements will provide clear roles and responsibilities for all parties for all stages of the proposed project.
 - This will include agreement(s) related to community outreach and engagement, the constructed project's asset ownership, and the provision of ongoing security, maintenance, repairs, lighting, etc. associated with the constructed project.

Next Steps – Caltrain Board Process

- Caltrain staff recommend that the WPLP Committee approve the staff recommendation.
- After WPLP Committee approval, the item will move forward to the Caltrain Board's June 3, 2021 meeting agenda on the consent calendar, for full Board approval.

Next Steps After Use Variance Approval

- After the Board approves the Use Variance for the proposed project, it will be considered to be compatible with the railroad's current and future needs.
- The project may then proceed to the rest of the railroad's capital project design and delivery process, taking into account all required conditions associated with the Use Variance.
 - This will include engineering, operational, and regulatory review.
- For immediate next steps, the project sponsor will establish a service agreement with Caltrain for near-term technical review of alternatives.

Thank you!

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board
THROUGH: Michelle Bouchard
Acting Executive Director
FROM: April Chan
Chief Officer, Planning, Grants, and Transportation Authority
SUBJECT: **APPROVE 10-YEAR LEASE WITH PROMETHEUS REAL ESTATE GROUP AT THE
SAN CARLOS CALTRAIN STATION**

Finance Committee Recommendation Work Program-Legislative-Planning Committee Recommendation Staff Coordinating Council Reviewed Staff Coordinating Council Recommendation

ACTION

Staff recommends that the Board of Directors (Board) of the Peninsula Corridor Joint Powers Board (JPB):

- 1) Find a proposed lease of the San Carlos Caltrain Station depot building, and surrounding area (Depot), to be compatible with current and future rail needs; and
- 2) Authorize the Executive Director to enter into a ten-year lease, with two five-year mutual options, with PREG SC Transit Village, LP, a California limited partnership (Prometheus).

SIGNIFICANCE

In order to maximize revenue derived from its real property assets, JPB Real Estate staff recommends that a 10-year lease be approved to enable Prometheus to amortize its improvements to the Depot building over a lease term that is consistent with market expectations.

In addition to paying rent as described below, under the proposed lease, Prometheus (and sub-tenant BareBottle Brewery) will pay the majority of the cost to conduct certain deferred maintenance on the Depot building, as well as the cost to construct tenant improvements necessary to enable BareBottle to operate a taproom in the Depot.

The Depot's historically significant features are required to be maintained under a preservation covenant with the South Bay Historical Railroad Society. As such, all alterations will be conducted in accordance with the Secretary of the Interior's Guidelines for Historic Buildings and applicable local building codes, and in cooperation with the South Bay Historical Railroad Society, the supervisor of the

property's historic preservation covenant. The South Bay Historical Railroad Society approved the proposed use of the Depot as a taproom in December 2019.

BUDGET IMPACT

The costs of conducting deferred maintenance, including repairs to the building envelope, fire-and life safety systems, utility systems and interiors, are estimated to be in the range of \$194K to \$270K, in 2019 dollars. Under the lease, Prometheus, BareBottle and JPB will share this cost, with JPB's cost paid through its deferral of the first three years of rent under the lease, totaling just over \$150,000.

The JPB will start collecting rent of \$53,419.60 annually in year four of the lease, with rent increasing by three percent (3%) annually, and is expected to collect approximate \$409Kr the term of the lease. The base rent amount and business terms have been developed in consultation with a local commercial broker expert, who recommends they are reflective of market conditions for this type of use.

BACKGROUND

San Carlos Depot was constructed in 1888 and listed in the National Register of Historic Places database in 1984 for its association with transport and community development, as well as for its unique Richardsonian Romanesque design. Since June 1983, the Depot has been leased to various tenants for restaurant purposes. The most recent lease term ended approximately four years ago.

RCUP Compatibility

The Board of Directors (Board) adopted RCUP in February 2020 to guide the use of agency property and support delivery of Caltrain's Long-Term Service Vision. This policy was developed as an important piece of follow-on work to the Caltrain Business Plan to facilitate implementation; it is intended to ensure that nearer-term uses of the agency's limited property holdings will not preclude future achievement of the Long-Range Service Vision.

In reviewing the request to make the Depot available for a commercial lease, the initial RCUP compatibility review found the proposed use to be "incompatible" because it is within RCUP's Service Vision Capital Project Overlay. In the RCUP maps, this Overlay indicates areas of the corridor that may experience change due to potential future capital projects associated with the Long-Range Service Vision. In the Service Vision Capital Project Overlay, only proposed uses that are less than five years in duration are considered "compatible" with the RCUP.

On the other hand, proposed uses that are more than five years in duration are considered initially "incompatible" with the Service Vision Capital Project Overlay. However, uses may overcome duration-based findings of incompatibility through RCUP's Use Variance process. If the Board, through the Use Variance process, finds RCUP compatibility, the proposed use would then be reviewed for its compatibility with Caltrain's regulatory, operational, and engineering requirements.

In this instance, planning staff conducted additional review of a lease with a duration of 10 years. Staff determined that the Depot is located in a portion of the corridor that has been identified for potential future passing tracks that would be needed to grow service beyond the minimum level of service identified in the Long-Range Service Vision (12 trains per peak hour per direction); stated another way, these potential future passing tracks are not needed to achieve the Long-Range Service Vision's minimum level of service, but they would be needed to grow to a higher level of service.

In conducting the review, staff found that a 10-year lease is compatible with the railroad's current and future needs and would not preclude the agency from achieving the Long-Range Service Vision. Therefore, staff recommends that the Board find that a ten-year lease to be "compatible" with current and future rail needs. Additionally, while it is extremely unlikely that the site would be required within the initial 10-year lease term, nothing would preclude the use of condemnation should the railroad require the site before the end of the lease term and a voluntary buy-out could not be negotiated. Staff believes that any financial risk of doing so will be offset by the financial benefits derived from the lease.

Additionally, technical review has been completed for the proposed lease, and it has been found to be compliant with Caltrain's operational, regulatory, and engineering requirements.

Circumstances of Proposed Lease

Under an existing long-term ground lease, Prometheus has developed the San Carlos Transit Village, a Transit Oriented Development (TOD) project on the property surrounding the historic San Carlos Caltrans Depot Building and surrounding plaza area. As part of the TOD development, Prometheus also rebuilt the plaza area. Both the Plaza and Depot building are owed by JPB.

Due to its proximity to the surrounding TOD project, staff recommends that Prometheus should participate in the tenant selection for the Depot building as a master lessee. If the Board approves the proposed lease, Prometheus will enter into a sublease with BareBottle brewing company to operate a taproom in the Depot building. As the area involved in the Lease is less than 5,000 square feet, this lease is exempt from the requirements of the Surplus Land Act.

Prepared by: Brian W. Fitzpatrick, Director,
Real Estate and Property Development

650.508.7781

RESOLUTION NO. 2021-

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

*** * ***

**AUTHORIZATION OF A TEN-YEAR LEASE OF THE SAN CARLOS CALTRAIN STATION DEPOT
BUILDING TO PREG SC TRANSIT VILLAGE, LP.**

WHEREAS, the Peninsula Corridor Joint Powers Board (JPB) desires to authorize the Acting Executive Director to enter into a ten-year lease of the San Carlos Caltrain Station Depot Building and surrounding property (Depot), with two five-year mutual options, with PREG SC Transit Village, LP, a California limited partnership (Prometheus); and

WHEREAS, the proposed lease and use will contribute to the fulfillment of the City of San Carlos General Plan: Envision 2030, which calls for a walkable, thriving and transit-oriented downtown; and

WHEREAS, in compliance with the agency's Property Access Agreement process, this project was reviewed for compatibility with the Caltrain Rail Corridor Use Policy (RCUP), as well as undergoing technical review for operational, regulatory, and engineering compatibility; and

WHEREAS, that review process clarified that terms of the proposed lease would ensure its compatibility with the railroad's current and future needs and not preclude achievement of the Long-Range Service Vision; and

WHEREAS, in accordance with the findings of these reviews, the JPB finds that the proposed lease with Prometheus is compatible with the railroad's current and future needs; and

WHEREAS, in order to maintain the Depot's historically significant features, as required by the Preservation Covenant with the South Bay Historical Railroad Society, the lease will require that any modifications to the building be accomplished in compliance with the Secretary of the Interior's Standards for the Treatment of Historic Properties.

NOW, THEREFORE, BE IT RESOLVED that Peninsula Corridor Joint Powers Board hereby authorizes the Acting Executive Director to enter into a ten-year lease of the San Carlos Caltrain Station Depot Building and surrounding property, with two five-year mutual options, with PREG SC Transit Village LLP.

Regularly passed and adopted this 3rd day of June, 2021 by the following

vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary



Approval of 10-year lease with Prometheus Real Estate Group at the San Carlos Caltrain Station

*Joint Powers Board
June 3, 2021*

Items to be Discussed

- Recommended Board Actions
- Background
- High-Level Lease Terms
- RCUP Review and Approval (Sebastian)
- Lease Business Terms
- Alternative Approach
- Questions

Recommended Board Actions

- Staff recommends that the Board:
 - Find a proposed lease of the San Carlos Caltrain Station depot building, and surrounding area to be compatible with the railroad's current and future needs; and
 - Authorize the Executive director to enter into a ten-year lease, with two five-year mutual options with PREG SC Transit Village, LP, a California limited partnership

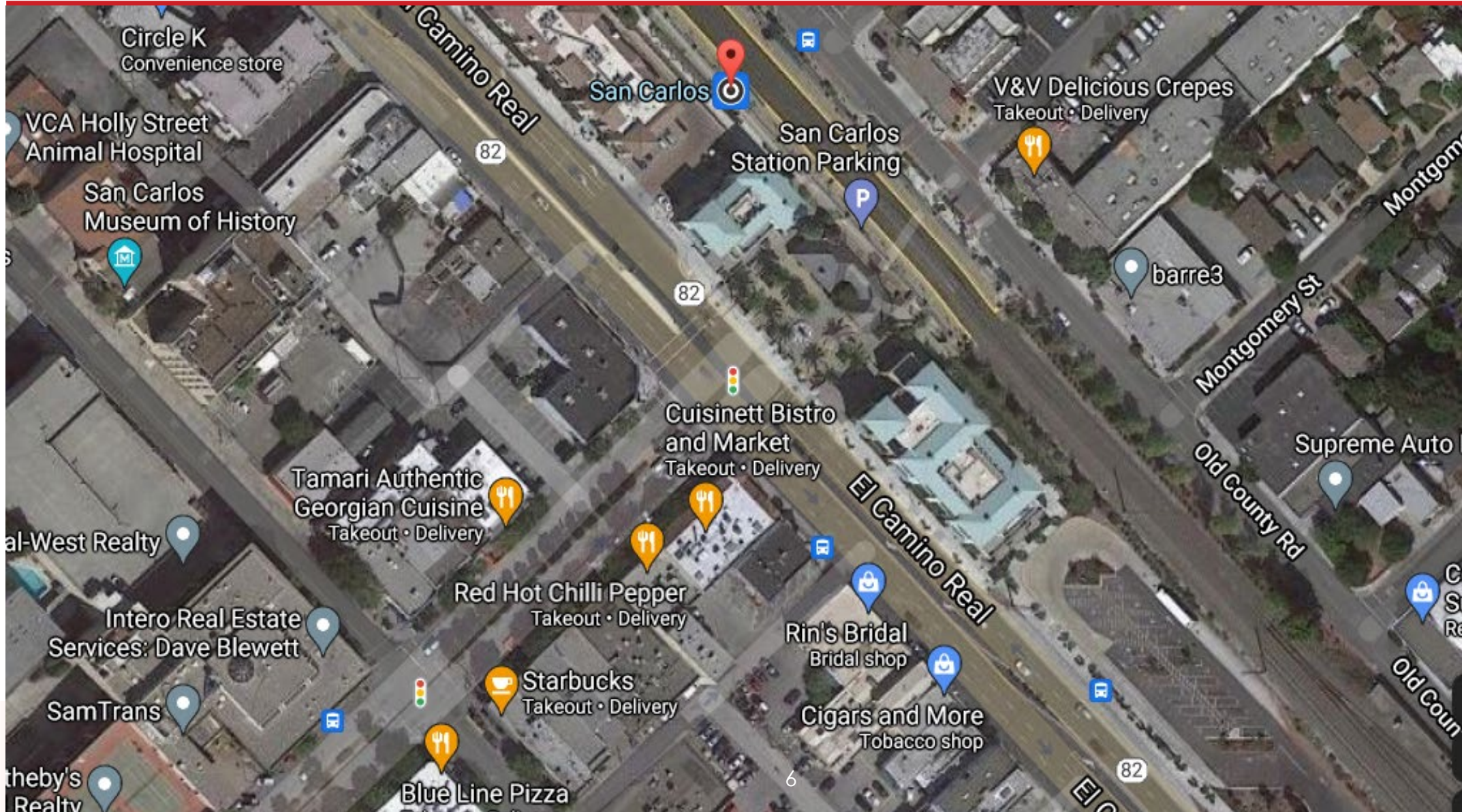
Background: Depot Building

- San Carlos Depot was constructed in 1888
- Listed on the National Register of Historic Places database in 1984
 - The South Bay Historical Railroad Society is the supervisor of the property's historic preservation covenant
- Since June 1983, the Depot has been leased to various tenants for restaurant purposes.
 - The most recent lease term ended approximately four years ago.

Background: Depot Building

- In 2019 staff conducted a study of each of its 7 historic station buildings to assess cost to conduct deferred maintenance at each site
- The assessment stated that the cost to cure deferred maintenance in San Carlos was estimated to be \$194K to \$270K, in 2019 dollars
 - The work includes improvements to the building envelope, fire-life safety, utilities systems, interiors and other professional services
- To date such work has occurred at only the Santa Clara Station
 - A former member of the historical society dedicated funds from his estate to help offset maintenance costs
 - In other cases, funds would need to come from the capital budget or through grants

Map



Background: The Development

- Prometheus has developed the San Carlos Transit Village, a Transit Oriented Development on the property surrounding the Depot and plaza area.
 - Prometheus rebuilt the plaza area.
- Due to its proximity to the surrounding TOD project, staff recommends that Prometheus should participate in the tenant relationship for the Depot building as a master lessee.
 - Prometheus will enter into a sublease with BareBottle brewing company to operate a taproom in the Depot building.
 - The South Bay Historical Railroad Society already approved the proposed use of the Depot as a taproom in December 2019

Picture of Plaza



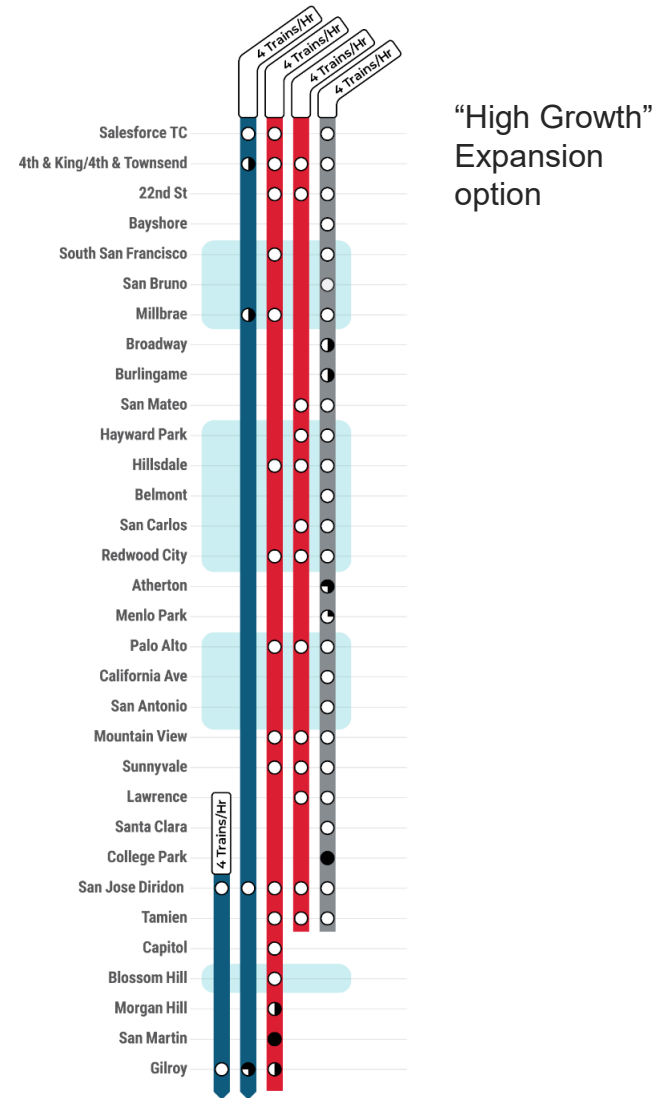
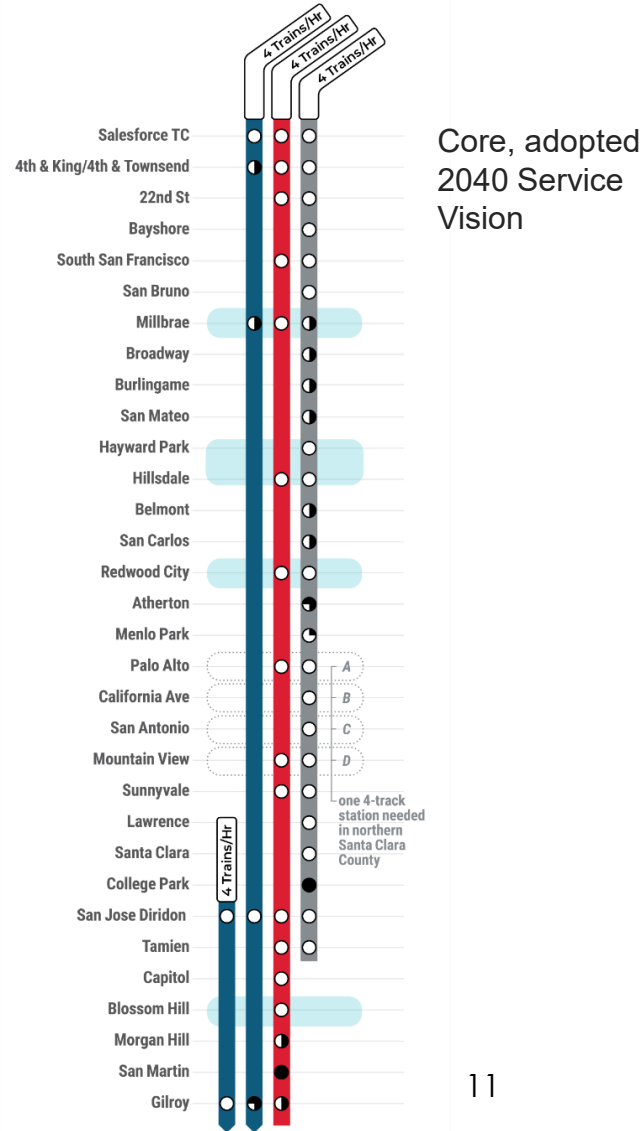
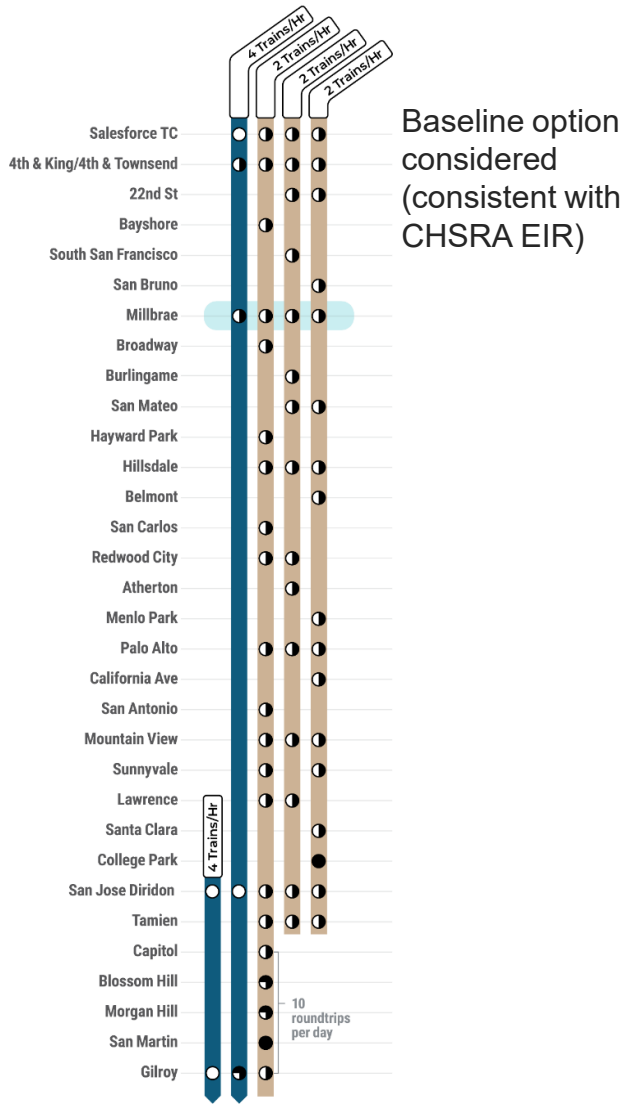
High-Level Lease Terms

- To maximize lease benefits and revenue, Real Estate staff recommends a 10-year lease to enable Prometheus to amortize its improvements to the Depot building.
- If approved, Prometheus will enter into a 10-year lease with JPB, with two mutual options of 5- years each
 - Pre-approved sublease with BareBottle brewing company to operate a taproom
- Under the proposed lease, Prometheus, BareBottle and JPB will split the cost to cure deferred maintenance and Tenant Improvements (TIs)
 - JPB's cost is capped and paid through its deferral of the first three years of rent under the lease, totaling just over \$150,000

RCUP: Project Review and Approval

- The Rail Corridor Use Policy (RCUP) is a Board-adopted policy to guide use of the agency's property and ensure compatibility with current and future rail needs.
 - RCUP's compatibility approval is first step in reviewing any proposed use of agency property – including public and private uses.
- For RCUP review of this proposed use, staff determined:
 - In RCUP maps, the proposed lease is within Service Vision Capital Project Overlay, indicating that the area could experience change from a potential future capital project.
 - The potential future capital project in this area is passing tracks that would only be needed to grow service beyond the minimum level of service identified in Caltrain's Long-Range Service Vision.
 - They are *not* required to accommodate CHSRA service on the corridor
 - They are *not* required to reach the total 12 trains per peak hour per direction (Caltrain's Long-Range Service Vision).
 - There is no feasible scenario that staff is aware of where these passing tracks would reach construction within the next ten years.

Project Review and Approval



Project Review and Approval: Recommendation

- Staff recommends that Board find the 10-year lease to be compatible with the railroad's current and future needs
 - The lease would not preclude the agency from achieving the Long-Range Service Vision or the specified passing tracks from being built if and when they are needed.
- Engineering staff has determined that the proposed lease is compatible with Caltrain's operational, regulatory, and engineering requirements.

Lease: Business Terms

- The Historic Depot is approximately 1,078 square feet and there is an approximately 351 square foot ancillary Baggage Building
 - Includes use of area for outdoor eating area/patio space.
- The initial lease rate is \$3.25/sf, with 3% increase yearly
 - Plus, \$1.625/sf for the Baggage building
- If the option is exercised, rent goes to market starting in year 11
- Payment of rent will commence in Year 4 at \$53,419.60
 - In addition lessee's payment of maintenance costs, total rent collected over the first 10 years is expected to be approximately \$409K

Lease: Alternative Approach

- JPB could conduct deferred maintenance itself
 - Would need to identify funds (up to \$270K in 2019 dollars)
- Advertise the site for lease
- Negotiate new leases terms
 - Would include a “TI Allowance” paid by JPB and time to build TI’s
- Such a process would likely take over three years before rent could be collected

Actions

- Staff recommends that the Board:
 - Find a proposed lease of the San Carlos Caltrain Station depot building and surrounding area to be compatible with the railroad's current and future needs; and
 - Authorize the Executive Director to enter into a ten-year lease, with two five-year mutual options with PREG SC Transit Village, LP, a California limited partnership

Questions?

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michelle Bouchard
Acting Executive Director

FROM: Rona Rios
Chief Communications Officer, Acting

SUBJECT: **STATE AND FEDERAL LEGISLATIVE UPDATE**

Finance Committee Recommendation Work Program-Legislative-Planning Committee Recommendation Staff Coordinating Council Reviewed Staff Coordinating Council Recommendation

ACTION

Staff recommends that the Board of Directors (Board) of the Peninsula Corridor Joint Powers Board (JPB) receives the attached memos. Staff will provide regular updates to the Board in accordance with Legislative Program.

SIGNIFICANCE

The 2021 Legislative Program establishes the principles that will guide the legislative and regulatory advocacy efforts. Based on those principles, staff coordinates closely with our Federal and State advocates on a wide variety of issues that are considered in Congress and the State legislature. The attached reports highlight the recent issues and actions that are relevant to the Board.

Prepared By: Brent Tietjen, Government and
Community Relations Officer

650-508-6495



May 18, 2021

TO: Caltrain Board of Directors

FM: Joshua W. Shaw, Matt Robinson & Michael Pimentel, Shaw Yoder Antwih Schmelzer & Lange
Mike Robson & Bridget McGowan, Edelstein Gilbert Robson & Smith LLC

RE: **STATE LEGISLATIVE UPDATE – June 2021**

General Update

April 30 marked the first significant legislative deadline of the 2021 legislative session whereby bills had to pass out of policy committees in the house of origin before being considered by the fiscal committee.

Now, bills face the fiscal committee deadline where all bills must pass out of the respective Appropriations Committee by May 21. In order to meet this deadline, the Senate and Assembly Appropriations Committee will hold a “suspense hearing” this week, where hundreds of bills will be heard at one time, many of which will be held in committee or pass with substantial amendments.

After the fiscal committee deadline, authors will have until June 4 for their bills to pass out of their house of origin. After May 21, the Legislature will be busy with floor sessions to pass remaining bills to meet this hard deadline.

2021-22 State Budget: May Revision

The Governor released his May Revision of the 2021-22 State Budget Friday, which projects a \$76 billion surplus of revenue above projected spending for 2021-22. This is a \$129 billion swing in forecasting from a year ago. It is an unprecedented surplus that is larger than the entire state budgets of all but a few states, and the swing in forecasted revenue from the previous year is almost as large as California’s entire General Fund spending.

The non-partisan Legislative Analyst Office termed the surplus as being “once-in-a-generation magnitude” and it is coupled with \$26 billion in federal America Rescue Plan funding that does not have to be spent in the next fiscal year. With over \$100 billion in new revenues the Governor and Legislature have considerable ability to deliver projects and services to Californians.

At the heart of the budget is the Governor's proposed investment of \$100 billion in new economic stimulus - dubbed the "*California Comeback Plan*" - supported by the state's improved state budget revenues.

The *California Comeback Plan* includes the following new investments in transportation, totaling \$11 billion:

- **Zero-Emission Buses and Trucks** - \$1.4 billion to demonstrate and purchase or lease "green" buses and trucks. (*Funding Source: \$1.3 billion in General Fund, \$87 billion in Air Pollution Control Fund*)
- **Priority Transit and Rail Projects** - \$1 billion for transit and rail projects statewide that improve rail and transit connectivity between state and regional/local services. (*Funding Source: \$1 billion in General Fund*)
- **Zero-Emission Rail and Transit Equipment Purchase and Infrastructure** - \$407 million to demonstrate and purchase or lease state-of-the-art clean bus and rail equipment and infrastructure that eliminate fossil fuel emissions and intercity rail and intercity bus frequencies. (*Funding Source: \$100 million in General Fund, \$280 million Public Transportation Account, and \$27 million in federal funds*)
- **Los Angeles Olympics** - \$1 billion to deliver critical projects in time for the 2028 Olympic Games. (*Funding Source: \$1 billion in General Fund*)
- **High Priority Grade Separations and Grade Crossing Improvements** - \$500 million to support critical safety improvements throughout the state. (*Funding Source: \$500 million in General Fund*)
- **High-Speed Rail** - \$4.2 billion to complete high-speed rail construction in the Central Valley, advance work to launch service between Merced and Bakersfield, advance planning and project design for the entire project, and leverage potential federal funds. (*Funding Source: \$4.2 billion in Proposition 1A*)
- **State Highway Rehabilitation and Local Roads and Bridges** - \$2 billion to support the advancement of priority State Highway Operation and Protection Program (*SHOPP*) projects, *Interregional Transportation Improvement Program (ITIP) projects, and local road and bridge investments. (Funding Source: \$1.1 billion in special funds, \$968 million in federal funds)*
- **Active Transportation** - \$500 million to General Fund to advance projects that increase the proportion of trips accomplished by walking and biking, increase the safety and mobility of non-motorized users, advance efforts to regional agencies to achieve GHG goals. (*Funding Source: \$500 million in General Fund*)

The Governor's May Revise also shows a significant turnaround in revenue support for core transit programs. Initially, the January Budget estimated the State Transit Assistance (STA) program would receive approximately \$667 million in FY 2021-22. Now, the program is projected to see revenues of approximately \$786 million, an increase of about \$119 million. Intercity and Commuter Rail would receive an estimated \$259 million in FY 2021-22 (an increase of approximately \$45 million).

Cap and Trade funding has remained stable. The Low Carbon Transit Operations Program is expected to provide \$106 million, distributed using the STA formula. Lastly, the Transit and Intercity Rail Capital Program is expected to receive approximately \$487 million in FY 2021-22, as transportation improvement fee (TIF) revenues also remain steady.

Beyond these direct investments in public transit, the Governor's budget proposes to help transportation agencies tackle homelessness and litter on public property. The May Revise includes the new *Clean California Initiative* in which Caltrans will partner with local governments (including transit agencies) in a statewide beautification effort. The Governor is proposing \$1.5 billion General Fund over three-years to clean up garbage statewide, beautify the state's transportation network, educate the public about the harms of litter, and create long-lasting litter deterrents. Integral to this effort are close partnerships with local entities, with a focus on increasing resources dedicated to eliminating trash and implementing measures to reduce future litter. The initiative will also provide resources to beautify the

state highways and local roads with regional art and other projects that will serve as community gateways.

Finally, the May Reviser proposes \$500 million one-time federal *American Rescue Plan Act* funds for HCD to provide additional planning and implementation grants to regional entities for infill developments, targeted towards the state's climate goals and reducing vehicle miles traveled. This funding would be available to transit agencies for advancing innovative transit projects.

Climate Action Plan for Transportation Infrastructure (CAPTI)

As you are aware, the California State Transportation Agency (CalSTA) released the [Climate Action Plan for Transportation Infrastructure](#) document. The plan outlines recommendations the state can implement to invest transportation funds to better mitigate climate change, as well as support public health, safety and equity. CAPTI builds on Executive Orders [N-19-19](#) and [N-79-20](#), which were signed by Governor Gavin Newsom in 2019 and 2020. CalSTA developed the draft CAPTI document after input from various state agencies and stakeholder groups. The draft document was available for public comment until May 19, 2021 with a final version expected in mid-July. More information can be found [here](#). Caltrain staff participated in the California Transit Association's CAPTI working group to develop formal comments on the document.

Bills of Interest

AB 361 (R. Rivas) Open Meetings: Teleconference. This bill would require a local agency to use teleconferencing without complying with the Brown Act when holding a meeting to declare or ratify a local emergency when state/local health officials have required or recommended social distancing. The bill would require that teleconferenced meetings provide notice of the meeting, post agendas, and means for public comment. Further, the bill prohibits local bodies from requiring public comment in advance of the meeting and require the body to make a series of findings related to the emergency 30 days after each meeting and every 30 days thereafter.

The bill passed out of the Assembly yesterday and will now go to the Senate.

Grants

In late-2020, the California Transportation Commission [awarded grants](#) for three SB 1 programs – the [Solutions for Congested Corridors Program](#) (SCCP), [Local Partnership Program](#) (LPP), and the [Trade Corridor Enhancement Program](#) (TCEP). In total, approximately \$2 billion was awarded for 56 new projects throughout the state to reduce traffic, improve goods movement, increase transit service, expand California's managed lanes network, and invest in bicycle and pedestrian improvements. According to the CTC, the funded projects would create more than 100,000 jobs over the next several years. The CTC will solicit applications for the next round of funding in the fall of 2021. Additionally, we expect the [Transit and Intercity Rail Capital Program](#) (TIRCP) to follow a similar schedule. We will provide more information as it becomes available.

Grade Separation Funding - Below is a list of the funding sources that we are aware of and/or that have been used to fund grade separations in the recent years. The funding sources below are managed across various state agencies and departments, including the Public Utilities Commission (PUC), the California State Transportation Agency (CalSTA), the California Transportation Commission (CTC), and Caltrans.

PUC Section 190 Grade Separation Program – The Program is a [state funding program](#) to grade separate crossings between roadways and railroad tracks and provides approximately \$15 million annually, transferred from Caltrans. Agencies apply to the PUC for project funding.

State Transportation Improvement Program – The STIP, managed by Caltrans and programmed by the CTC, is primarily used to fund highway expansion projects throughout the state, but also supports grade separations. The STIP is programmed every two years (currently the 2018 STIP added \$2.2 billion in new funding). Local agencies receive a share of STIP funding, as does the State. The STIP is funded with gasoline excise tax revenues.

Transit and Intercity Rail Capital Program – The TIRCP is managed by CalSTA and is available to fund rail and transit projects that reduce greenhouse gas emissions. The program receives funding from Cap and Trade and the recently created Transportation Improvement Fee to the tune of approximately \$500 million per year. The TIRCP is programmed over 5 years, with the most recent cycle beginning in May 2018. Caltrain received \$160 million for the CalMod project.

Proposition 1A – This \$9.9 billion Bond Act is the primary funding source for the high-speed rail project and has been used to fund a very limited number of grade separation projects in the past, including in the City of San Mateo.

Please see the information above regarding the Governor’s proposed \$500 million investment in grade separations.

Caltrain

State Legislative Matrix 5/14/2021

Bill Number (Author)	Summary	Location	Position
Active Bills			
<p>AB 339 (Lee D)</p> <p>Local government: open and public meetings.</p>	<p>Existing law, the Ralph M. Brown Act, requires, with specified exceptions, that all meetings of a legislative body of a local agency, as those terms are defined, be open and public and that all persons be permitted to attend and participate. Under existing law, a member of the legislative body who attends a meeting where action is taken in violation of this provision, with the intent to deprive the public of information that the member knows the public is entitled to, is guilty of a crime. This bill would, until December 31, 2023, require all open and public meetings of a city council or a county board of supervisors that governs a jurisdiction containing least 250,000 people to include an opportunity for members of the public to attend via a telephonic option or an internet-based service option. The bill would require all open and public meetings to include an in-person public comment opportunity, except in specified circumstances during a declared state or local emergency. The bill would require all meetings to provide the public with an opportunity to comment on proposed legislation in person and remotely via a telephonic or an internet-based service option, as provided. This bill contains other related provisions and other existing laws.</p> <p>Amended: 5/4/2021</p>	<p>Assembly Appropriations</p> <p>5/19/2021 9 a.m. - State Capitol, Assembly Chamber ASSEMBLY APPROPRIATIONS, GONZALEZ, LORENA, Chair</p>	<p>Watch</p>
<p>AB 361 (Rivas, Robert D)</p> <p>Open meetings: local agencies: teleconferences.</p>	<p>Existing law, the Ralph M. Brown Act requires, with specified exceptions, that all meetings of a legislative body of a local agency, as those terms are defined, be open and public and that all persons be permitted to attend and participate. The act contains specified provisions regarding the timelines for posting an agenda and providing for the ability of the public to directly address the legislative body on any item of interest to the public. The act generally requires all regular and special meetings of the legislative body be held within the boundaries of the territory over which the local agency exercises jurisdiction, subject to certain exceptions. The act allows for meetings to occur via teleconferencing subject to certain requirements, particularly that the legislative body notice each teleconference location of each member that will be participating in the public meeting, that each teleconference location be accessible to the public, that members of the public be allowed to address the legislative body at each teleconference location, that the legislative body post an agenda at each teleconference location, and that at least a quorum of the legislative body participate from locations within the boundaries of the local agency's jurisdiction. The act provides an exemption to the jurisdictional requirement for health authorities, as defined. The act authorizes the district attorney or any interested person, subject to certain provisions, to commence an action by mandamus or injunction for the purpose of obtaining a judicial determination that specified actions taken by a legislative body are null and</p>	<p>Assembly Third Reading</p> <p>5/17/2021 #66 ASSEMBLY THIRD READING FILE - ASSEMBLY BILLS</p>	<p>Watch</p>

Bill Number (Author)	Summary	Location	Position
	<p>void. This bill would authorize a local agency to use teleconferencing without complying with the teleconferencing requirements imposed by the Ralph M. Brown Act when a legislative body of a local agency holds a meeting for the purpose of declaring or ratifying a local emergency, during a declared state of emergency or local emergency, as those terms are defined, when state or local health officials have imposed or recommended measures to promote social distancing, and during a declared local emergency provided the legislative body determines, by majority vote, that meeting in person would present imminent risks to the health or safety of attendees. The bill would require legislative bodies that hold teleconferenced meetings under these abbreviated teleconferencing procedures to give notice of the meeting and post agendas, as described, to allow members of the public to access the meeting and address the legislative body, to give notice of the means by which members of the public may access the meeting and offer public comment, including an opportunity for all persons to attend via a call-in option or an internet-based service option, and to conduct the meeting in a manner that protects the statutory and constitutional rights of the parties and the public appearing before the legislative body. The bill would require the legislative body to take no further action on agenda items when there is a disruption which prevents the public agency from broadcasting the meeting, or in the event of a disruption within the local agency's control which prevents members of the public from submitting public comments, until public access is restored. The bill would specify that actions taken during the disruption are subject to challenge proceedings, as specified. The bill would prohibit the legislative body from requiring public comments to be submitted in advance of the meeting and would specify that the legislative body must provide an opportunity for the public to address the legislative body and offer comment in real time. When there is a continuing state of emergency, local emergency, or when state or local officials have imposed or recommended measures to promote social distancing, the bill would require a legislative body to make specified findings not later than 30 days after the first teleconferenced meeting pursuant to these provisions, and to make those findings every 30 days thereafter, in order to continue to meet under these abbreviated teleconferencing procedures. This bill contains other related provisions and other existing laws.</p> <p>Amended: 5/10/2021</p>		
<p>AB 629 (Chiu D) San Francisco Bay area: public transportation.</p>	<p>(1) Existing law creates the Metropolitan Transportation Commission as a local area planning agency for the 9-county San Francisco Bay area with comprehensive regional transportation planning and other related responsibilities. Existing law creates various transit districts located in the San Francisco Bay area, with specified powers and duties relative to providing public transit services. This bill would require the commission on or before February 1, 2022, to submit a copy of a specified transit fare study undertaken by the commission to certain committees of the Legislature. The bill would require the commission to submit a report on or before January 1, 2023, to those entities on the progress of implementing the recommendations of that study. This bill contains other related provisions and other existing laws.</p>	<p>Assembly Appropriations Suspense File 5/20/2021 Upon adjournment of Session - State Capitol, Assembly Chamber ASSEMBLY APPROPRIATIONS, GONZA LEZ, LORENA, Chair</p>	<p>Watch</p>

Bill Number (Author)	Summary	Location	Position
	Amended: 3/22/2021		
AB 1157 (Lee D) Controller: transportation funds: distribution and reporting requirements.	Existing law, for purposes of the State Transit Assistance Program, requires local transportation agencies to report to the Controller by June 15 of each year the public transportation operators within its jurisdiction that are eligible to claim specified local transportation funds. This bill would instead require local transportation agencies to report this information within 7 months after the end of each fiscal year. This bill contains other related provisions and other existing laws. Amended: 3/15/2021	Senate Transportation	Watch
ACA 1 (Aguiar-Curry D) Local government financing: affordable housing and public infrastructure: voter approval.	(1)The California Constitution prohibits the ad valorem tax rate on real property from exceeding 1% of the full cash value of the property, subject to certain exceptions. This measure would create an additional exception to the 1% limit that would authorize a city, county, city and county, or special district to levy an ad valorem tax to service bonded indebtedness incurred to fund the construction, reconstruction, rehabilitation, or replacement of public infrastructure, affordable housing, or permanent supportive housing, or the acquisition or lease of real property for those purposes, if the proposition proposing that tax is approved by 55% of the voters of the city, county, or city and county, as applicable, and the proposition includes specified accountability requirements. The measure would specify that these provisions apply to any city, county, city and county, or special district measure imposing an ad valorem tax to pay the interest and redemption charges on bonded indebtedness for these purposes that is submitted at the same election as this measure. This bill contains other related provisions and other existing laws. Introduced: 12/7/2020	Assembly Local Government	Supported February 2021
SB 44 (Allen D) California Environmental Quality Act: streamlined judicial review: environmental leadership transit projects.	The California Environmental Quality Act (CEQA) requires a lead agency, as defined, to prepare, or cause to be prepared, and certify the completion of, an environmental impact report (EIR) on a project that it proposes to carry out or approve that may have a significant effect on the environment or to adopt a negative declaration if it finds that the project will not have that effect. CEQA also requires a lead agency to prepare a mitigated negative declaration for a project that may have a significant effect on the environment if revisions in the project would avoid or mitigate that effect and there is no substantial evidence that the project, as revised, would have a significant effect on the environment. CEQA establishes a procedure by which a person may seek judicial review of the decision of the lead agency made pursuant to CEQA. This bill would provide that no reimbursement is required by this act for a specified reason. This bill contains other existing laws. Amended: 4/27/2021	Senate Appropriations Suspense File 5/20/2021 Upon adjournment of Session - Senate Chamber SENATE APPROPRIATIONS, PORTANTINO, Chair	Supported February 2021
SB 339 (Wiener D) Vehicles: road usage	Existing law requires the Chair of the California Transportation Commission to create a Road Usage Charge (RUC) Technical Advisory Committee in consultation with the Secretary of Transportation. Under existing law, the purpose of the technical advisory committee is to guide the development and evaluation of	Senate Appropriations Suspense File 5/20/2021 Upon adjournment of Session - Senate Chamber SENATE APPROPRIATIONS, PORTANTINO	Supported April 2021

Bill Number (Author)	Summary	Location	Position
charge pilot program.	<p>a pilot program to assess the potential for mileage-based revenue collection as an alternative to the gas tax system. Existing law requires the technical advisory committee to study RUC alternatives to the gas tax, gather public comment on issues and concerns related to the pilot program, and make recommendations to the Secretary of Transportation on the design of a pilot program, as specified. Existing law repeals these provisions on January 1, 2023. This bill would extend the operation of these provisions until January 1, 2027. The bill would require the Transportation Agency, in consultation with the California Transportation Commission, to implement a pilot program to identify and evaluate issues related to the collection of revenue for a road charge program, as specified. The bill would require the RUC Technical Advisory Committee to make recommendations to the Transportation Agency on the design of the pilot program, including the group of vehicles to participate. The bill would require that if a group of vehicles other than state-owned vehicles is selected, that participation in the program be voluntary. The bill would require the Transportation Agency to convene a state agency work group, as specified, to implement the pilot program and to design a process for collecting road charge revenue from vehicles. The bill would require that participants in the program be charged a mileage-based fee, as specified, and receive a credit or a refund for fuel taxes or electric vehicle fees, as specified. The bill would require that the pilot program not affect funding levels for a program or purpose supported by state fuel tax and electric vehicle fee revenues. The bill would require the Transportation Agency to submit reports to the Legislature, as specified.</p> <p>Amended: 4/5/2021</p>	NO, Chair	
<p>SB 771 (Becker D)</p> <p>Sales and Use Tax Law: zero emissions vehicle exemption.</p>	<p>Existing state sales and use tax laws impose a tax on retailers measured by the gross receipts from the sale of tangible personal property sold at retail in this state or on the storage, use, or other consumption in this state of tangible personal property purchased from a retailer for storage, use, or other consumption in this state. The Sales and Use Tax Law provides various exemptions from those taxes. This bill, on or after January 1, 2022, would provide an exemption from those taxes with respect to the sale in this state of, and the storage, use, or other consumption in this state of, a qualified motor vehicle, as defined, sold to a qualified buyer, as defined. The bill would provide that this exemption does not apply to specified state sales and use taxes from which the proceeds are deposited into the Local Revenue Fund, the Local Revenue Fund 2011, or the Local Public Safety Fund. This bill contains other related provisions and other existing laws.</p> <p>Amended: 5/11/2021</p>	<p>Senate Appropriations</p> <p>5/17/2021 9 a.m. - John L. Burton Hearing Room (4203) SENATE APPROPRIATIONS, PORTANTIN O, Chair</p>	Watch
Inactive Bills			
<p>AB 5 (Fong R)</p> <p>Greenhouse Gas Reduction Fund: High-Speed Rail</p>	<p>The California Global Warming Solutions Act of 2006 designates the State Air Resources Board as the state agency charged with monitoring and regulating sources of emissions of greenhouse gases. The act authorizes the state board to include in its regulation of those emissions the use of market-based compliance mechanisms. Existing law requires all moneys, except for fines and penalties,</p>	Assembly 2 year	Watch

Bill Number (Author)	Summary	Location	Position
Authority: K-12 education: transfer.	<p>collected by the state board from the auction or sale of allowances as part of a market-based compliance mechanism to be deposited in the Greenhouse Gas Reduction Fund. Existing law continuously appropriates 25% of the annual proceeds of the fund to the High-Speed Rail Authority for certain purposes. This bill would suspend the appropriation to the High-Speed Rail Authority for the 2023-24 and 2024-25 fiscal years and would require the transfer of those amounts from moneys collected by the state board to the General Fund. The bill would specify that the transferred amounts shall be available, upon appropriation, to augment funding for K-12 education and to support full-time in-person instruction for all students.</p> <p>Amended: 3/17/2021</p>		
<p>AB 476 (Mullin D)</p> <p>Department of Transportation: state highways: transit bus pilot program.</p>	<p>Existing law vests the Department of Transportation with full possession and control of the state highway system and associated real property. Existing law generally requires vehicles to be driven upon the right 1/2 of a roadway, defined to include only that portion of a highway improved, designed, or ordinarily used for vehicular travel. Existing law generally prohibits the driver of a vehicle from overtaking and passing another vehicle by driving off the paved or main-traveled portion of the roadway. Existing law authorizes the Monterey-Salinas Transit District and the Santa Cruz Metropolitan Transit District to conduct a transit bus-only program using the shoulders of certain state highways as transit bus-only traffic corridors, subject to approval by the Department of Transportation and the Department of the California Highway Patrol. Existing law requires that the highway segments to be used for the program are to be jointly determined by the districts, the department, and the Department of the California Highway Patrol, as provided. This bill would authorize the Department of Transportation to establish a pilot program to authorize a transit operator or operators to operate transit buses on the shoulders of state highways, under a project selected under the program. The bill would authorize an operator or operators, in partnership with a regional transportation agency that meets specified requirements, to submit an application to the department to establish and operate a project under the program. The bill would authorize the department to select no more than 8 total projects under the program using guidelines developed with input from the Department of the California Highway Patrol and the public. The bill would require the department, the Department of the California Highway Patrol, and the operator or operators and regional transportation agency that submitted the application to jointly determine the state highways, or segment of state highways, that will be used in a project. The bill would require the applicable regional transportation agency to be responsible for all costs attributable to the project. Two years after commencing a project, the bill would require an operator or operators, in conjunction with the applicable regional transportation agency, to submit a report to the Legislature that includes certain information about the project.</p> <p>Amended: 3/16/2021</p>	Assembly 2 year	Watch
AB 703 (Rubio ,	Existing law, the Ralph M. Brown Act, requires, with specified exceptions, that	Assembly 2 year	Watch

Bill Number (Author)	Summary	Location	Position
<p>Blanca D)</p> <p>Open meetings: local agencies: teleconferences.</p>	<p>all meetings of a legislative body of a local agency, as those terms are defined, be open and public and that all persons be permitted to attend and participate. The act contains specified provisions regarding the timelines for posting an agenda and providing for the ability of the public to observe and provide comment. The act allows for meetings to occur via teleconferencing subject to certain requirements, particularly that the legislative body notice each teleconference location of each member that will be participating in the public meeting, that each teleconference location be accessible to the public, that members of the public be allowed to address the legislative body at each teleconference location, that the legislative body post an agenda at each teleconference location, and that at least a quorum of the legislative body participate from locations within the boundaries of the local agency's jurisdiction. The act provides an exemption to the jurisdictional requirement for health authorities, as defined. This bill would remove the notice requirements particular to teleconferencing and would revise the requirements of the act to allow for teleconferencing subject to existing provisions regarding the posting of notice of an agenda, provided that the public is allowed to observe the meeting and address the legislative body directly both in person and remotely via a call-in option or internet-based service option, and that a quorum of members participate in person from a singular physical location clearly identified on the agenda that is open to the public and situated within the jurisdiction. The bill would require that, in each instance in which notice of the time of the teleconferenced meeting is otherwise given or the agenda for the meeting is otherwise posted, the local agency also give notice of the means by which members of the public may observe the meeting and offer public comment and that the legislative body have and implement a procedure for receiving and swiftly resolving requests for reasonable accommodation for individuals with disabilities, consistent with the federal Americans with Disabilities Act, as provided. This bill contains other related provisions and other existing laws.</p> <p>Amended: 4/29/2021</p>		
<p>AB 823 (Gray D)</p> <p>High-Speed Rail Authority: trains powered by fossil fuel combustion engines.</p>	<p>The California High-Speed Rail Act creates the High-Speed Rail Authority to develop and implement a high-speed rail system in the state, with specified powers and duties. Existing law requires the high-speed rail system to be designed to use electric trains. Existing law authorizes the authority, upon receiving legislative or voter approval, to enter into contracts with private or public entities for the design, construction, and operation of high-speed trains. This bill would prohibit the authority from directly or indirectly using local, state, federal, or any other public or private funding to purchase, lease, operate, or maintain a passenger or freight train powered by a diesel engine or other type of fossil fuel combustion engine, and from enabling such a train to operate on authority-owned rail infrastructure designed for speeds in excess of 125 miles per hour, except as specified.</p> <p>Introduced: 2/16/2021</p>	<p>Assembly 2 year</p>	<p>Watch</p>
<p>AB</p>	<p>Existing law creates the High-Speed Rail Authority with specified powers and</p>	<p>Assembly 2 year</p>	<p>Watch</p>

Bill Number (Author)	Summary	Location	Position
<p>1116 (Friedman D) High-Speed Rail Authority: oversight: Legislative Analyst's Office.</p>	<p>duties related to the development and implementation of a high-speed train system. Existing law, pursuant to the Safe, Reliable High-Speed Passenger Train Bond Act for the 21st Century, approved by the voters as Proposition 1A at the November 4, 2008, statewide general election, provides for the issuance of \$9.95 billion in general obligation bonds for high-speed rail and related rail purposes. This bill would require the Legislative Analyst's Office, for the purpose of reviewing the planning, financing, expenditures, and other elements of the statewide high-speed rail system, to review any materials submitted to the authority and documents the authority requests from contractors, consultants, or external parties, as specified, and to provide recommendations to the policy and budget committees of the Legislature regarding the statewide high-speed rail system and the development of shared mobility systems statewide. The bill would require the authority, and any entity contracting with the authority, to provide to the Legislative Analyst's Office any information that it requests and to permit representatives of the Legislative Analyst's Office to attend the authority's internal meetings. The bill would repeal these requirements on January 1, 2031.</p> <p>Introduced: 2/18/2021</p>		
<p>AB 1235 (Patterson R) High-speed rail: legislative oversight.</p>	<p>The California High-Speed Rail Act creates the High-Speed Rail Authority to develop and implement a high-speed rail system in the state, with specified powers and duties. Existing law requires the authority, on or before March 1, 2017, and every 2 years thereafter, to provide a project update report, approved by the Secretary of Transportation as consistent with specified criteria, to the budget committees and the appropriate policy committees of both houses of the Legislature, on the development and implementation of intercity high-speed train service, as provided. This bill would create the Joint Legislative High-Speed Rail Oversight Committee consisting of 3 Members of the Senate and 3 Members of the Assembly to provide ongoing and independent oversight of the high-speed rail project by performing specified duties, and would require the committee to make recommendations to the appropriate standing policy and budget committees of both houses of the Legislature to guide decisions concerning the state's programs, policies, and investments related to high-speed rail. The bill would require the authority to provide the committee with certain documents and information within prescribed timelines, and would require the authority to permit the chairperson of the committee, or the chairperson's designee, to attend meetings of any internal governance committees related to project oversight, as provided.</p> <p>Introduced: 2/19/2021</p>	<p>Assembly 2 year</p>	<p>Watch</p>

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Caltrain As of May 20, 2021 Transportation Report

Bipartisan Negotiations on Infrastructure Plan

- On March 31, President Joe Biden introduced the American Jobs Plan of 2021, requesting \$2 trillion over eight years to modernize the nation's infrastructure and create 19 million jobs. The infrastructure includes both traditional infrastructure such as roads, transit, rail, airports, and water, but also resiliency, broadband access, and housing.
- On April 22, Senate Environment and Public Works (EPW) Committee Ranking Member Shelley Moore Capito (R-WV), with a number of other Republicans, released a \$568 billion infrastructure framework as a counteroffer to the America Jobs Plan. The framework defines infrastructure as: roads and bridges; public transit systems; rail; safety; drinking water and wastewater infrastructure; inland waterways and ports; airports; broadband infrastructure; and water storage. The framework did not identify the specific funding programs, but did mention that the funds would flow through existing formula programs and "proven discretionary grant programs". Summary of the funding levels:

Roads and Bridges	\$299 B	Federal Highway Administration, Office of the Secretary
Public Transit Systems	\$61 B	Federal Transit Administration
Rail	\$20 B	Amtrak, Federal Railroad Administration, Office of the Secretary
Safety	\$13 B	Federal Motor Carrier Safety Administration, National Highway Traffic Safety Administration, Pipeline and Hazardous Materials Safety Administration

- On May 13, Senator Capito, along with the Republican ranking members of the other Senate policy committees that oversee infrastructure, met with the President to discuss infrastructure. The meeting went well, and on May 19, the group met with Secretary of Transportation Pete Buttigieg, Secretary of Commerce Gina Raimondo, and National Economic Adviser Brian Deese to further discuss infrastructure.

- The Senate Republicans have agreed to increase the funding level from their initial proposal and are open to including funding for electric vehicle charging stations.
- The Senate Republican seem optimistic on striking a deal with the President on infrastructure. "Next two weeks will probably be the critical time spot," Capito said. But "right now it is hard for me to see July 4 as an end date," she said.

House/Senate Consideration of the Surface Transportation Authorization Bill

- House Transportation Committee Chairman Peter DeFazio (D-Ore.) has delayed the committee's consideration of the surface transportation bill until early June. Originally, the committee was going to release a draft and markup the bill the week before Memorial Day recess. However, the staff are still vetting the over 2300 member designated project (otherwise known as earmarks).
- The Senate EPW Committee is tentatively planning to markup the Senate reauthorization bill on Mary 26. Even if the date is delayed, Chairman Tom Carper (D-DE) said the committee will pass the bill well before July 4

Decarbonizing Transportation Industry a Focus of House Energy & Commerce Hearing

- On May 5, the Subcommittee on Energy of the Committee on Energy and Commerce held a legislative [hearing](#) entitled, "The CLEAN Future Act: Driving Decarbonization of the Transportation Sector." During this hearing, lawmakers examined decarbonizing the transportation sector and discussed a series of proposed legislation, including:
 - **H.R. 1512**, the "**Climate Leadership and Environmental Action for our Nation's Future Act**" (**CLEAN Future Act**)
 - **H.R. 2852**, the "**NO EXHAUST Act**"
 - **H.R. 1221**, the "**Electric Vehicles for Underserved Communities Act of 2021**"
 - **H.R. 2308**, the "**Advanced Technology Vehicles Manufacturing Future Act of 2021**" or the "**ATVM Future Act**"
- The majority of discussion focused on the growing use of electric vehicles and what the impacts of this transition will be for the United States. Lawmakers expressed consensus on the desire to be energy independent, to not need to rely on China and other foreign competitors for critical materials, to create good American jobs and build domestically, and to lower consumer costs, all while working to achieve net zero greenhouse gas emissions no later than 2050.

- Republicans voiced concern for the Biden administration’s aggressive electrification push through the CLEAN Future Act, and stated that the market and consumer choice should drive the adoption of EVs. They expressed disapproval for the plan to mandate the transition to electric vehicles, stating that the country and the power grid are not yet prepared.
- Democrats supported the CLEAN Future Act as putting the country on the right path to tackle climate change. They stressed the need to ensure EVs, as well as their charging stations, are affordable and accessible for all communities, particularly those that are underserved.

Senate Democrats Propose \$15 Billion to Address Highway Inequities

- On April 19, Senate Democrats, led by EPW Chairman Tom Carper (D-Del.), introduced the “Reconnecting Communities Act” ([S. 1202](#)) that would create grants to finance the removal or retrofitting of highway overpasses and depressed highways that have harmed neighborhoods often occupied by low-income individuals and communities of color.
- The legislation would authorize \$15 billion over five years for the program. Biden’s \$2.25 trillion infrastructure and jobs package released last month proposed \$20 billion for a new plan “to reconnect neighborhoods cut off by historic investments and ensure new projects increase opportunity, advance racial equity and environmental justice, and promote affordable access.”
- Transportation Secretary Pete Buttigieg has repeatedly said he wants to address equity through transportation policy. The senators’ proposal — which only has Democratic cosponsors — poses a test of the administration’s ability to get bipartisan support for that goal.

Build More Housing Near Transit Act Reintroduced

- On April 14, Rep. Scott Peters (D-CA) [reintroduced](#) the Build More Housing Near Transit Act to encourage the construction of low and middle-income housing in transit-served, walkable locations. The bill, which reflects language included in last year’s [H.R. 2](#), the Moving Forward Act, would provide incentives for transit applicants who meet requirements related to building more housing along the future transit corridor.
- It covers projects submitted under the Federal Transit Administration (FTA)’s Capital Investment Grants (CIG) Program.
- According to the National Low Income Housing Coalition, the United States has a shortage of 7 million affordable homes, and 10.4 million Americans spend more than half of their income on housing.
- H.R. 2483, the Build More Housing Near Transit Act of 2021, aims to facilitate the construction of more housing, increase transit ridership, and maximize federal

investments. The bill will also help slow climate change, as research shows that building housing near transit lines has vast potential to reduce greenhouse gas emissions.

Grant Opportunities & Award Announcements

- **2021 Competitive Funding Opportunity: Pilot Program for Transit-Oriented Development (TOD) Planning**: \$10 million available. Applications due by June 21, 2021.
- **FY 2021 National Infrastructure Investments (RAISE Grants - Formerly BUILD Grants)**: \$1 billion available. Applications due by July 12, 2021.

[Pages 182-193 of this packet]

(Part of the Caltrain Equity Analysis -Item 6h)



BOARD OF DIRECTORS 2021

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MICHELLE BOUCHARD
ACTING EXECUTIVE DIRECTOR

Memorandum

Date: May 24, 2021
To: Board of Directors
From: Michelle Bouchard, Acting Executive Director
Subject: June 3, 2021 JPB Board Meeting Executive Director's Report

- **On-time Performance –**
 - **Through May 23:** The preliminary May 2021 OTP was 88.8 percent compared to 95.8 for May 2020.
 - **Trespasser Strikes –** There was one trespasser strike on May 4, resulting in a fatality.
 - **April:** The April 2021 OTP was 93.9 percent compared to 94.3 percent for April 2020.
- **Clipper Mobile App –**

The Clipper mobile app on iPhone was launched on April 15 and the app for Android was launched on May 19. Customers can manage their Clipper account, plan their trips and also use their smartphone with NFC enabled to pay for their fares on any of the 24 transit agencies in the Bay Area. For more details about how to use the Clipper app, visit www.clippercard.com.

The Metropolitan Transportation Commission (MTC) operates the Clipper system on behalf of the region's transit agencies.

- **CAC Meeting** – The Citizens Advisory Committee met on Wednesday, May 19, via teleconference. Cynthia Scarella, Manager – Caltrain Budgets, provided a presentation on the DRAFT JPB Operating & Capital Budgets. Ryan Hinchman, Manager – Financial Planning & Analysis, provided a presentation on Caltrain Proposed Fare Changes. Joe Navarro, Deputy Chief – Rail Operations, provided the Staff Report. The next CAC meeting is scheduled for Wednesday, June 16, via teleconference or in San Carlos.
- **BAC Meeting** – The Bicycle Advisory Committee met on Thursday, May 20, via teleconference. Dan Provence, Planning Administrator – Stations Mobility Access, provided a presentation on bicycle e-lockers. Lori Low, Government & Community Affairs Officer, provided a Bike Bump 2020 presentation. Lori also presented the Staff Report. The next Bicycle Advisory Committee meeting is scheduled for Thursday, July 15, via teleconference or in San Carlos.
- **Special Event Service** –

Services Performed:

- **SF Giants** –The SF Giants hosted 9 home games in May at limited capacity. May Monthly Giants Ridership will be reported in July.

The SF Giants hosted 13 home games in April at limited capacity. Total additional riders, boarding and alighting at Fourth and King Station in April was 5,794

- **Golden State Warriors** –The Golden State Warriors hosted 8 home games in May at limited capacity, including 2 play-in games for a play-off run, ending their season. May Monthly Warriors Ridership will be reported in July.

The Golden State Warriors hosted 3 home games in April at limited capacity. Total additional riders, boarding and alighting at Fourth and King Station in April was 322.

- **San Jose Sharks** – The SJ Sharks hosted 5 home games in May at limited capacity ending their season. April & May Monthly Sharks Ridership will be reported in July.

Services Scheduled:

- **SF Giants** – The Giants will host 15 home games at Oracle Park at limited capacity in June. Caltrain will continue to monitor ridership arriving and

departing SF station and will support customer needs as the season progresses.

- **Memorial Day Holiday Service** – On Monday, May 31, Caltrain will operate a Holiday/Sunday schedule in observance of the Memorial Day holiday.

Capital Projects –

The Capital Projects information is current as of May 14, 2021 and is subject to change between May 14 and June 3, 2021 (Board Meeting).

- **San Mateo 25th Avenue Grade Separation Project:** Raise the elevation of the alignment from Hillsdale Boulevard to south of the Highway 92 Overcrossing in the city of San Mateo. The project creates a grade separation at 25th Avenue, relocates the Hillsdale Station to the north, and creates two new east-west street grade-separated connections at 28th and 31st Avenues in San Mateo. The project is over 92% complete.

The new Hillsdale Station was opened for rail service on April 26th along with the parking lots between 28th Avenue and 31st Avenue, and, between 28th Avenue and 25th Avenue. Small portions of the parking lots at the southern end by 31st Avenue and at the northern end near 25th Avenue remain closed as these small sections are needed to support construction of the roadway underpasses.

Excavation to grade separate 25th Avenue occurred between March and May. Retaining walls are complete. Work on installation of underground utilities for storm drains and sanitary sewer systems continues. Completion is expected by Summer 2021.

Work continued at 31st Avenue on retaining walls, backfill, and installation of underground utilities for storm drains and traffic signals. Work will begin next month on curbs and gutters for the future roadway underpass.

- **South San Francisco Station Improvements:** Replace the existing side platforms with a new centerboard platform, construction of a new connecting pedestrian underpass to the two new plazas in downtown South San Francisco to the west and the shuttle area to east. Upon completion, the hold-out rule at this station will be removed that currently impacts overall system operational efficiency.

In May, the contractor (PMI) continued the construction of Ramp 3 (leading to West Plaza entrance, and, Ramp1/Stair 1 (East Side entrance on Poletti Ave.) leading to the Pedestrian Underpass. Underground electrical and ground improvements for the Communications-Electrical Room and Station Platform were in progress. Trackwork for the realigned Main Track #1 (MT1) was completed. Traffic signal work for the new Poletti Way access road continues. The project completion date is forecasted to extend from December 2020 until summer/fall of 2021.

Due to utility and contractor caused delays, the overall project budget and schedule impacts are being assessed. A future Board action will be requested upon completion of the assessment and coordination with applicable partner agencies.

- **Marin and Napoleon Bridge Rehabilitation Project:** This state of good repair project will perform repairs at the Marin St. Bridge and replace the Napoleon St. Bridge. Both bridges are in the City of San Francisco located south of the 22nd Street Station. The repairs at Marin Street are primarily for concrete spalling and cracks, and deficient walkways and handrails. The Napoleon St. bridge concrete spans will be removed and replaced with elevated soil berm structures and the main steel span will be replaced with a new steel span. The span replacement at Napoleon Street will require several partial weekend service outages between Bayshore and 4th & King Stations during the outages. The project will install security fencing to deter encampments, and, also include track improvements in the vicinity of the bridges.

During the weekends of April 17-18 and April 24-25, the contractor (PMI) completed replacement of bridge girders at the Napoleon Avenue Bridge and performed track improvements in the adjacent area. Rail service was suspended between Bayshore Station and San Francisco stations during these periods and a bus bridge was provided to shuttle passengers. During May, work continued to address structural deficiencies of the Marin and Napoleon bridges and track improvements in the adjacent areas. The contract is planned to complete in the summer of 2021.

- **Burlingame Broadway Grade Separation Project:** This project will grade separate the railroad alignment at Broadway, between Carolan and California Avenues, in the City of Burlingame and remove the current at-grade crossing. As a part of this project, the Broadway Station will become elevated and the hold out rule at this station will be eliminated that impacts operational efficiency. Currently this project is funded for the design phase through local funds (San Mateo County Transportation Agency Measure A and City of Burlingame). The City of Burlingame is the sponsor of the project with Caltrain acting as the lead agency for implementation.

The project will improve both traffic safety and traffic flow on Broadway. The Project will also provide improved and more efficient traffic movement along adjacent streets and intersections surrounding the crossing. Pedestrian and vehicle safety will be greatly improved by creating clear separation between pedestrians/vehicles and trains, and by eliminating the potentially dangerous conflicts presented by the current at-grade crossing. Lastly, railroad operation efficiency will be improved as there have been numerous accidents at the

Broadway at-grade crossing, many involving vehicles stopped on the tracks. The Broadway at-grade crossing is currently ranked on the California Public Utilities Commission's Grade Separation Priority List as the top ranked crossing for grade separation in northern California and as the second highest ranked crossing in the state. The Project can: 1) help reduce emergency response times as the Caltrain corridor bisects the east and west sides of the City, 2) help to alleviate traffic queuing on Broadway, which extends east to the U.S. Highway 101 ramps, 3) reduce traffic delays at nearby intersections with California Drive, Carolan Avenue and Rollins Road, and 4) significantly improve access to the Broadway commercial district from U.S. Highway 101, which would further support economic development.

Currently, the project is completing value engineering of the preliminary design to optimize cost, schedule, and construction efficiency. The current schedule is to complete the final design for construction contract advertisement by mid-2023. Construction scheduled to occur from early 2024 to early 2026. Advance utility relocations are expected to begin in mid-2023. Team is evaluating the potential use of alternative contract delivery methods to address project risk and site constraints.

- **Ticket Vending Machine (TVM) Rehabilitation:** Upgrade existing TVM Server and retrofit and refurbish two existing TVM machines to become prototypes for new TVM's so that the machines are capable of performing the functions planned for the current Clipper program. The new machines will be able to dispense new Clipper cards (excluding discount Clipper cards that require verification of eligibility) and have the ability of increasing the cash values of existing Clipper cards. Scope of the original contract was increased to include upgrades to the credit card reader and database.

In early October, the first phase of the project to develop a prototype Clipper TVM successfully completed final acceptance testing that results in completion of Phase 1. Phase 2 retrofitting of 12 additional TVM's was completed in March. Funding for Phase 3, for the rehabilitation of an additional 21 TVM's, secured and will be added to the project. The vendor's proposal for Phase 3 was received and the contract is with the vendor for execution with the award thereafter. Additional funds for Phase 4 for another 25 TVM's included in the FY21 Capital Budget amendment approved in October. Phase 4 will be added to the project when funding becomes available. Funding for Phase 5 to upgrade all remaining stations (30 TVM's) was included in the proposed preliminary FY22 Capital Budget.

- **Mary and Evelyn Avenue Traffic Signal Preemption Project:** Perform upgrades to train approach warning systems at Mary Avenue and Evelyn Avenue crossings in Sunnyvale. Project will improve vehicle safety at the at-

grade crossings by increasing traffic signal advance warning times for approaching trains in order to clear vehicles at the crossings. Project will mimic the 2014 completed traffic signal preemption project in Redwood City, Palo Alto, and Mountain View. This project is being funded through the State of California Public Utilities Commission Section 130 program to eliminate hazards at grade crossings.

The 100% crossing design by the Electrification project is not available for design coordination and a timeframe for its receipt is pending. Project proceeded to complete its design without this information from the Electrification project. The 100% design is complete and Notice to Proceed for construction was issued to TASI on July 9. TASI has completed the installation of traffic signal preemption equipment. Communications cables that were damaged by PCEP construction are currently under repair. JPB standalone testing is planned over the next several months and integrated testing with the City of Sunnyvale's traffic department will be conducted when the city's traffic controller upgrade is complete fall 2021.

- **FY19/FY20 Grade Crossing Improvements:** This project is a continuation of the ongoing grade crossing program to improve safety at grade crossings in accordance with Grade Crossing Hazards Analysis for the entire corridor. This analysis prioritized crossings and we have proceeded with the work in phases based on funding availability. Ten crossings were improved in 2018 under the FY16 budget authorization. Due to budget constraints, the FY19/FY20 scope is limited to five (5) crossings to be improved. The five crossings selected in this phase are 1st, 2nd, and 3rd Avenues in San Mateo, and, Glenwood and Oak Grove Avenues in Menlo Park. Work items include installation of signals, fences, gates, curbs, lighting and signs.

Construction began in April and the work on the 1st, and 2nd Avenues in San Mateo, and, Glenwood Avenue in Menlo Park have been completed. Work on the west side of 3rd Avenue in San Mateo is also complete. The work on the east side of 3rd Avenue is pending coordination with the City's construction activities. Work is also beginning in May in Menlo Park at the Oak Grove Avenue crossing.

- **Churchill Avenue Grade Crossing Improvements:** This project will make safety, pedestrian and bicycle access improvements to the Churchill Avenue crossing in the City of Palo Alto. The project scope includes widening sidewalks, associated relocation of pedestrian gates, and installing new vehicle pavement markings and markers.

Project began in December 2019. The 65% design, with design assumptions, was received at the end of April 2021 is under review. The City

of Palo Alto is rethinking the scope of work for the project and is in discussion with CPUC and Caltrans to modify the scope. The City of Palo Alto's design consultant has developed a conceptual design which is being reviewed by the City. Coordination meetings continued between staff and the City's design consultant.

- **Bayshore Station Bridge Painting:** This project will perform rehabilitation of the coatings of the existing steel pedestrian overpass bridge at the Bayshore Station, in Brisbane. The bridge connects the southbound platform to the northbound platform and the parking lots on the east side. The bridge was originally constructed as part of the Caltrain Express project (CTX) in 2002 and has not been repainted since. The bridge's paint coatings are in need of rehabilitation with surface rust that needs to be addressed along with a complete repainting of the bridge to bring the structure to a state of good repair.

The project is preparing the Issue for Bid construction documents. Coordination and outreach with the Electrification project and stakeholders, such as the Cities of Brisbane and San Francisco, have been conducted and continue. Advertisement for bids forecasted for mid-2021 with construction to commence in the spring of 2022.

- **Broadband Wireless Communications:** Project will provide wireless communication systems to enhance capabilities for monitoring of railroad operations and maintenance, and provide Wi-Fi capability for passengers. Project is funded through a grant from the Transit and Intercity Rail Capital Program (TIRCP). Currently, the project is only approved for the planning/design phase.

Project has completed the planning/conceptual design phase to develop project requirements. A stakeholder's review of planning/conceptual design phase has been completed and a recommendation has been made to proceed with the project as a Design/Build procurement. Request for Proposal documents have been developed and the contract is planned for advertisement in the Spring and contract award by the end of 2021. Design and Construction is planned from early 2022 until mid-2023.

- **MP-36 Locomotive Mid-Life Overhaul Project:** Perform mid-life overhaul of six MP-36-3C Locomotives. The mid-life overhaul includes complete disassembly of the main diesel engine, overhauling by reconditioning re-usable main frame components and re-assembly with new engine components and replacement of Separate Head-End Power (SEP-HEP) unit and all electrical components of the SEP-HEP compartment. All areas of the locomotive car body, trucks, wheels and electrical components shall be

reconditioned to like-new condition or replaced with new material. The project work is occurring off-site at the contractor's facility location. The 6 locomotives to be overhauled are Locomotive #'s 923, 924, 925, 926, 927 & 928. In order to maintain daily service, only 1 to 2 of these locomotives are released at a time for overhaul work that is expected to take approximately 8 months per locomotive. Due to this restriction, the overall completion of this work is expected to take approximately 4 years.

The first vehicle #927 was shipped to the vendor's facility at Mare Island (Vallejo) in July for overhauling. Its return to Caltrain has been delayed from early-2021 until mid-2021 due to COVID-19 related impacts to the vendor's supply chain, availability of testing staff due to travel restrictions, and increase in the scope of needed repairs. This delay is expected to be limited to vehicle #927, this unit is currently 55% completed. A second vehicle #924 was shipped to the vendor's facility in November and is currently being overhauled.

PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT

TO: Joint Powers Board

THROUGH: Michelle Bouchard Acting
Executive Director

FROM: John Funghi
Chief Officer, Caltrain Modernization Program

SUBJECT: **PENINSULA CORRIDOR ELECTRIFICATION PROJECT MONTHLY
PROGRESS REPORT - APRIL**

ACTION

Staff Coordinating Council recommends the Board receive the Peninsula Corridor Electrification Project (PCEP) Monthly Progress Report (MPR). The MPR is available online under "Reports and Presentations" at this webpage: http://www.caltrain.com/projectsplans/CaltrainModernization/CalMod_Document_Library.html. No action required.

SIGNIFICANCE

Staff prepares and submits a report covering the PCEP on a monthly basis.

BUDGET IMPACT

There is no impact on the budget.

BACKGROUND

The MPR is intended to provide funding partners, stakeholders, and the public a PCEP overview and an overall update on project progress. This document provides information on the scope, cost, funding, schedule, and project implementation.

Prepared by: Josh Averill, Program Management Administrator

650.508.6453



Caltrain Modernization Program Peninsula Corridor Electrification Project (PCEP)



April 2021 Monthly Progress Report

April 30, 2021

Funding Partners



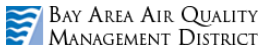
Federal Transit Administration (FTA) Core Capacity
FTA Section 5307 (Environmental / Pre Development only)
FTA Section 5307 (Electric Multiple Unit (EMU) only)



Prop 1B (Public Transportation Modernization & Improvement Account)
Caltrain Low Carbon Transit Operations Cap and Trade



Proposition 1A
California High Speed Rail Authority (CHSRA) Cap and Trade



Carl Moyer Fund



Bridge Tolls (Funds Regional Measure (RM) 1/RM2)



San Francisco
County Transportation
Authority



San Francisco County Transportation Authority (SFCTA)/San Francisco
Municipal Transportation Agency (SFMTA)



San Mateo County Transportation Authority (SMCTA) Contribution
SMCTA Measure A



Santa Clara Valley Transportation Authority (VTA) Measure A
VTA Contribution



City and County of San Francisco (CCSF) Contribution

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1.0 BACKGROUND

Over the last decade, Caltrain has experienced a substantial increase in ridership and anticipates further increases in ridership demand as the San Francisco Bay Area's population grows. The Caltrain Modernization (CalMod) Program, scheduled to be implemented by 2022, will electrify and upgrade the performance, operating efficiency, capacity, safety, and reliability of Caltrain's commuter rail service.

The PCEP is a key component of the CalMod Program and consists of converting Caltrain from diesel-hauled to Electric Multiple Unit (EMU) trains for service between the San Francisco Station (at the intersection of Fourth and King Streets in San Francisco) and the Tamien Station in San Jose. Caltrain will continue Gilroy service and support existing tenants.

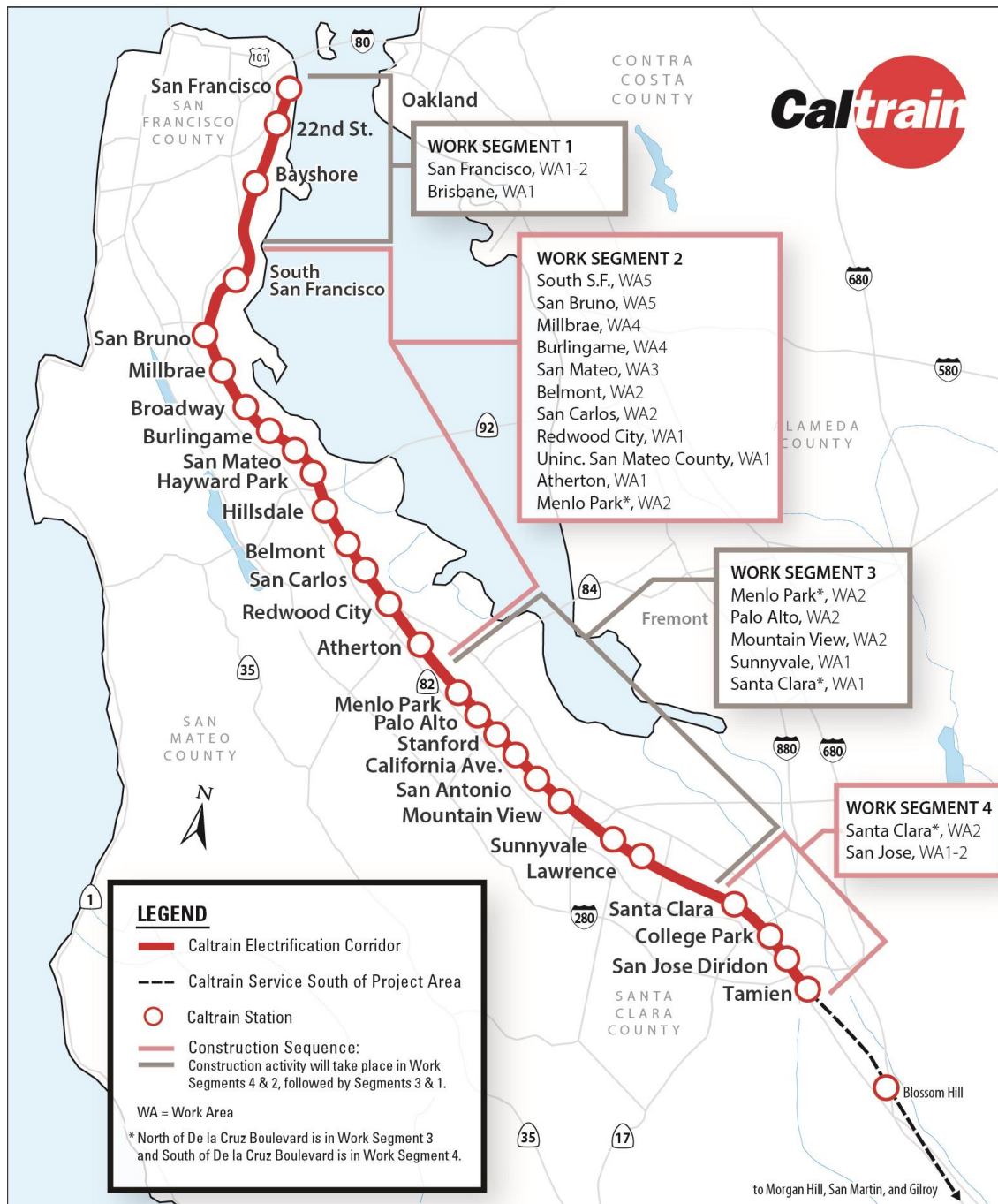
An electrified Caltrain will better address Peninsula commuters' vision of environmentally friendly, fast and reliable service. Electrification will modernize Caltrain and make it possible to increase service while offering several advantages in comparison with existing diesel power use, including:

- **Improved Train Performance, Increased Ridership Capacity and Increased Service:** Electrified trains can accelerate and decelerate more quickly than diesel-powered trains, allowing Caltrain to run more efficiently. In addition, because of their performance advantages, electrified trains will enable more frequent and/or faster train service to more riders.
- **Increased Revenue and Reduced Fuel Cost:** An electrified Caltrain will increase ridership and fare revenues while decreasing fuel costs.
- **Reduced Engine Noise Emanating from Trains:** Noise from electrified train engines is measurably less than noise from diesel train engines. Train horns will continue to be required at grade crossings, adhering to current safety regulations.
- **Improved Regional Air Quality and Reduced Greenhouse Gas Emissions:** Electrified trains will produce substantially less corridor air pollution compared with diesel trains even when the indirect emissions from electrical power generation are included. Increased ridership will reduce automobile usage, resulting in additional air quality benefits. In addition, the reduction of greenhouse gas emissions will improve our regional air quality, and will also help meet the state's emission reduction goals.

2.0 EXECUTIVE SUMMARY

The Monthly Progress Report is intended to provide an overview of the PCEP and provide funding partners, stakeholders, and the public an overall update on the progress of the project. This document provides information on the scope, cost, funding, schedule, and project implementation. Work along the Caltrain Electrification Corridor has been divided into four work segments and respective work areas (WA) as shown in Figure 2-1. PCEP activities are described and summarized by segments and work areas.

Figure 2-1 PCEP Work Segments



Peninsula Corridor Electrification Project
Monthly Progress Report

Crews completed foundation installation at the Centralized Equipment Maintenance and Operations Facility (CEMOF). At this time, foundation installation is complete at CEMOF, Segment 3, Segment 4, and Segment 2 Work Areas 5, 4, and 3. Foundation installation equipment has been mobilized to the Redwood City siding to begin installation in Segment 2 Work Areas 1 and 2. Potholing continues in Segment 1 in preparation for upcoming off-track foundation installations. Pacific Gas and Electric began work at the Traction Power Substation 1 Interconnection in South San Francisco.

Trainset 1 is still undergoing dynamic type testing in Pueblo, CO, and completed a success test operating at 115 miles per hour. Routine static testing was performed on Trainsets 3 and 4. As Stadler works to mitigate delays brought on by Coronavirus Disease 2019 (COVID-19) and subsequent supplier disruptions, the contractor has committed to install luggage racks and ceiling panels themselves. To date, 78 car shells have been shipped to Salt Lake City, 14 of which are still in transit.

2.1. Monthly Dashboards

Dashboard progress charts are included below to summarize construction progress.

Figure 2-2 Expenditure – Planned vs. Actual

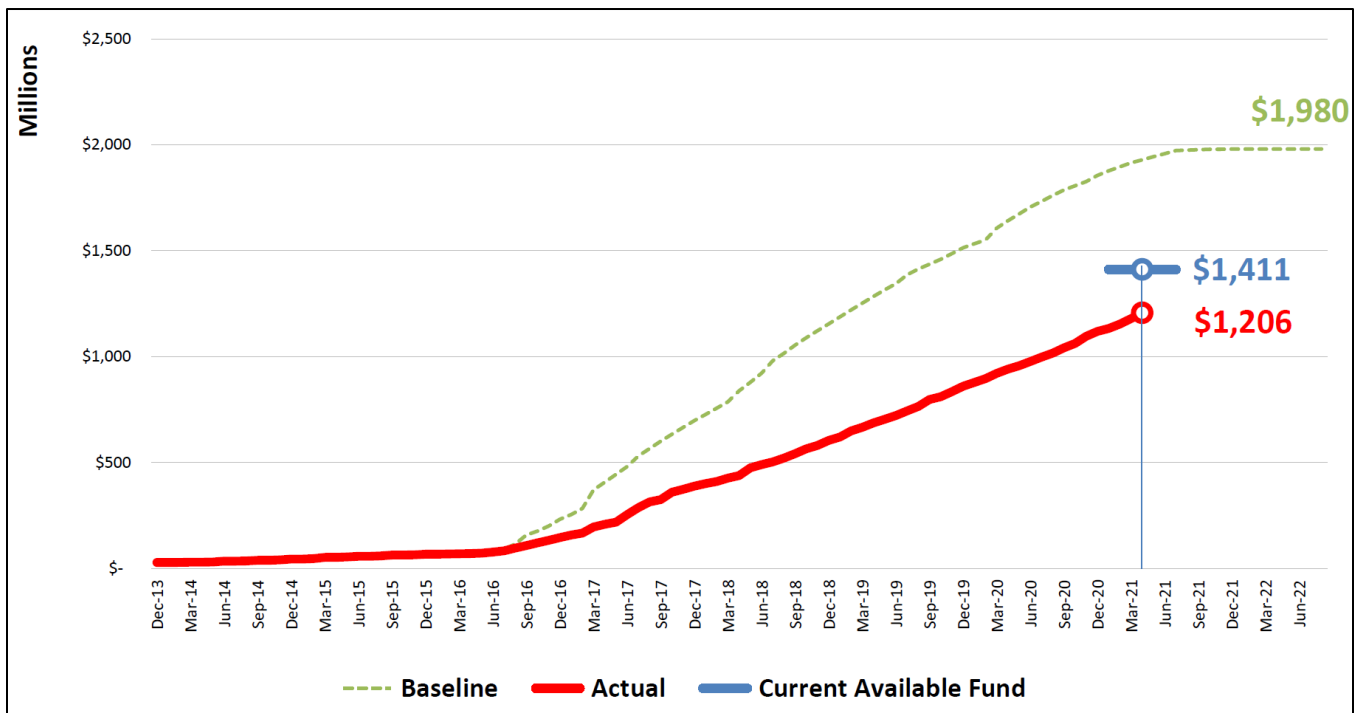


Figure 2-3 Spending Rate vs. Required

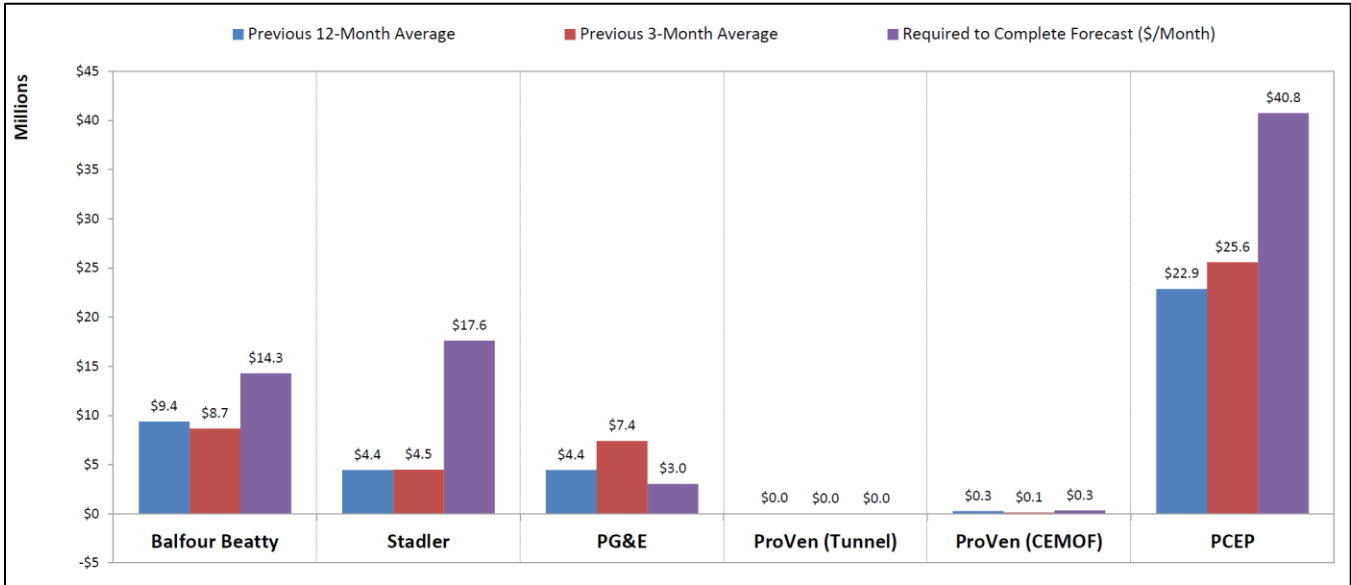
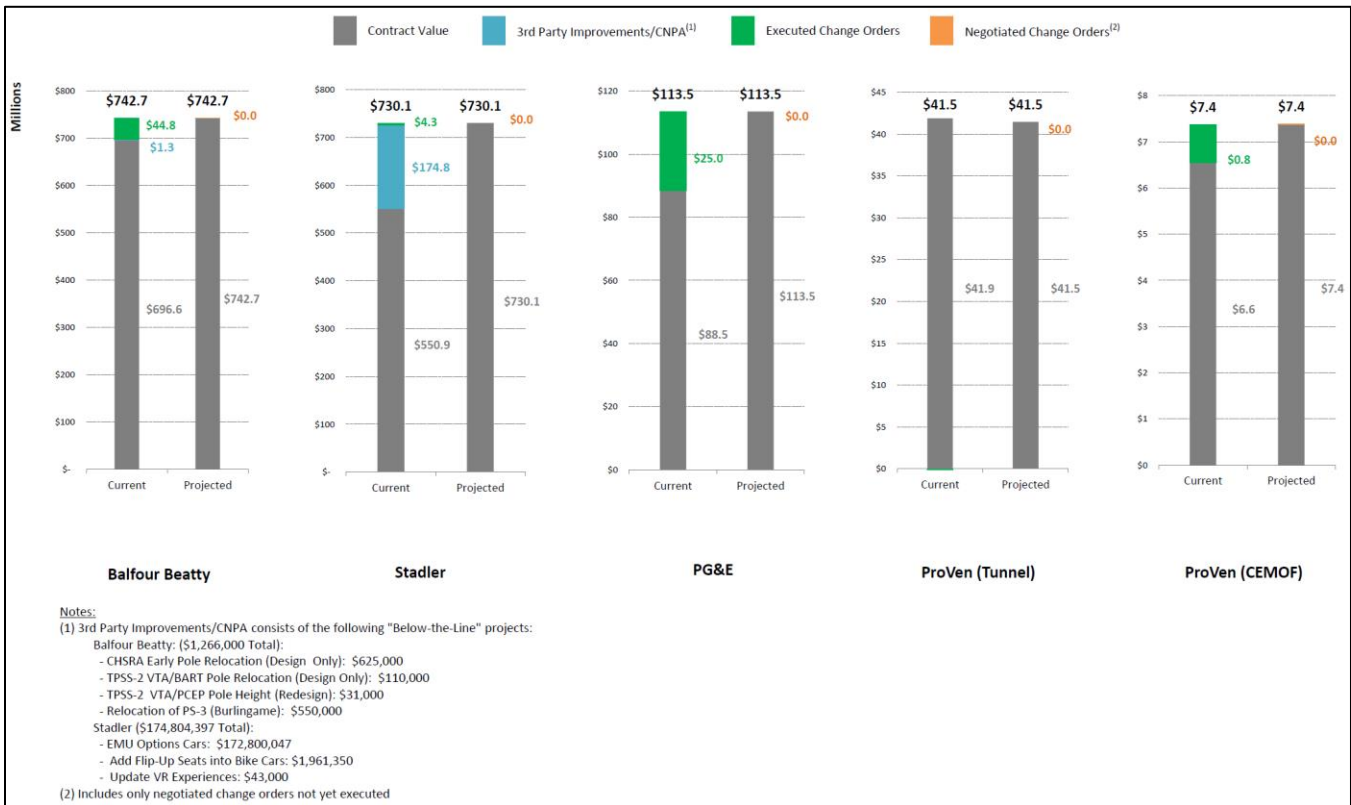


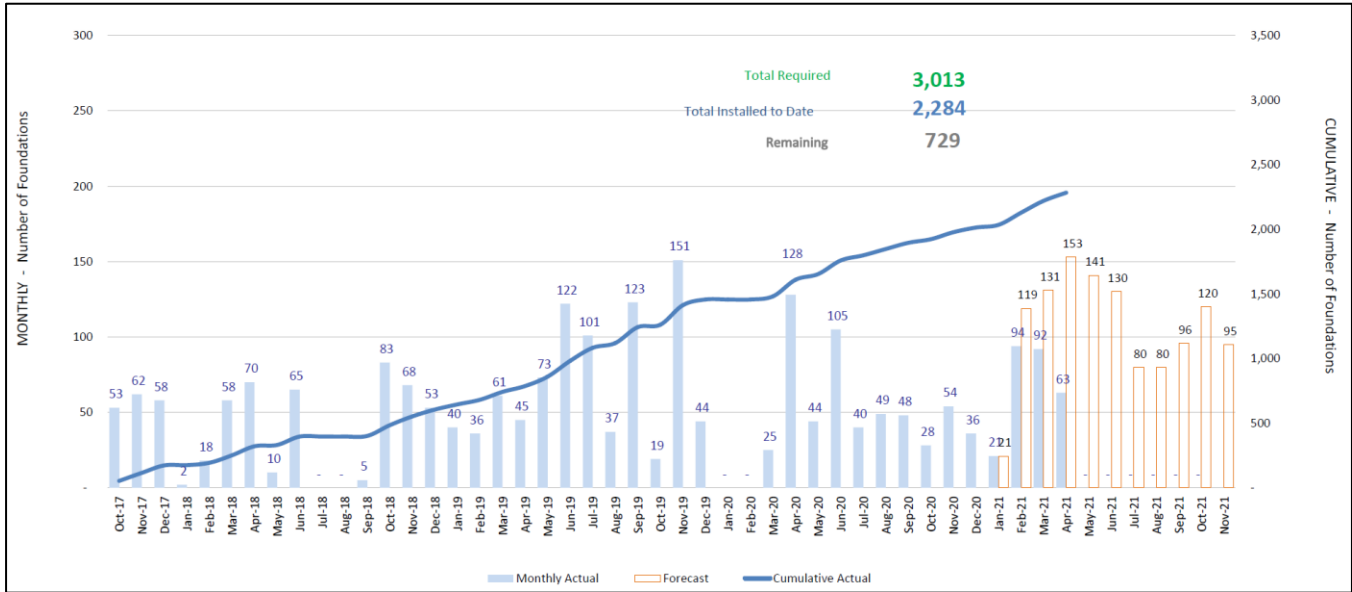
Figure 2-4 Construction Contract Budgets



Peninsula Corridor Electrification Project

Monthly Progress Report

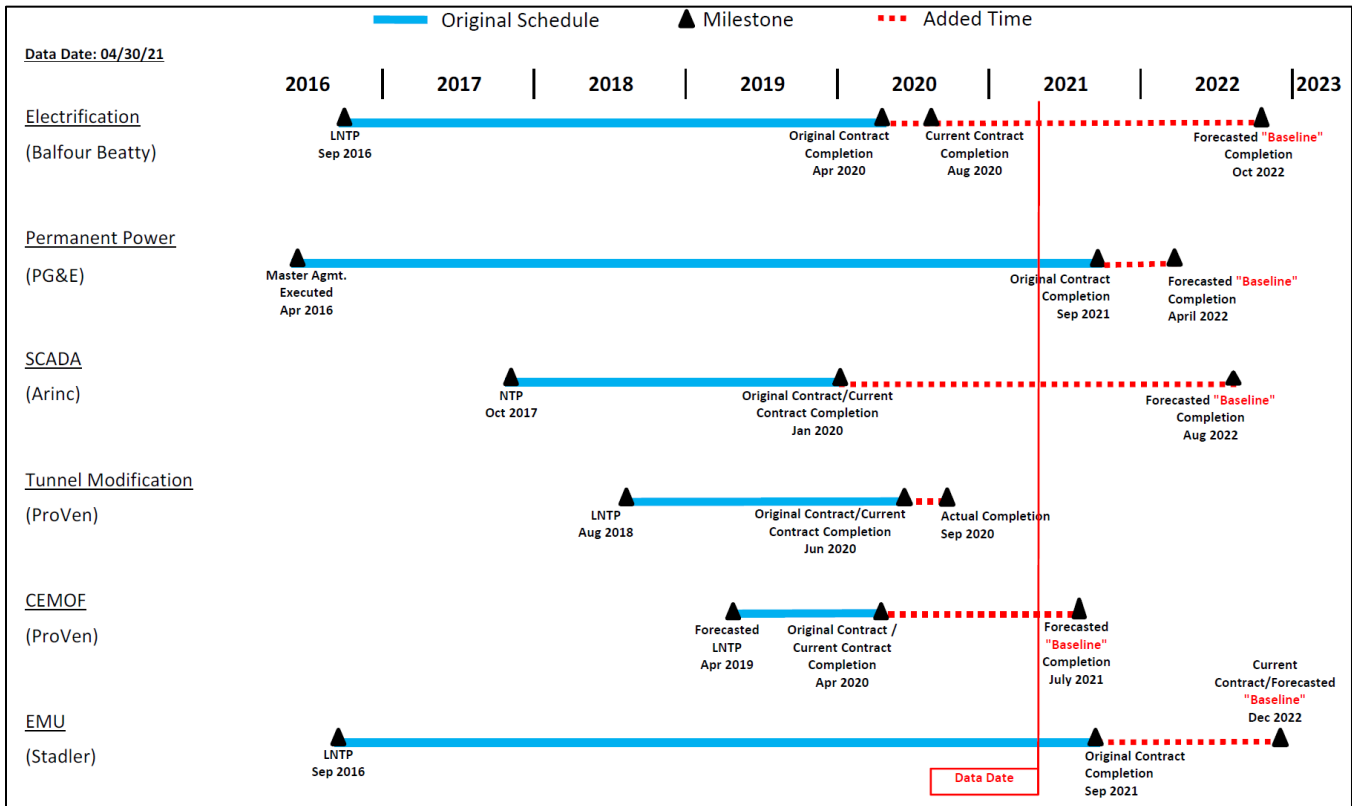
Figure 2-5 OCS Foundation Production



Notes regarding tables above:

- BBII is reporting a delay in the completion date for the OCS foundations from May 2021 to July 2021. PCEP's own projection of BBII's productivity estimates the completion date to be in November, reflected in Figure 2-5. The monthly forecast is revised at the end of ongoing OCS foundation workshops, which are held to determine the level of effort necessary for each of the activities prior to foundation installation. The delay to the OCS foundation completion date does not change the substantial completion date of the BBII contract.

Figure 2-6 Contractor Completion Schedule



2.2. Funding Partners Participation in PCEP

The PCEP has a series of weekly, biweekly, monthly and quarterly meetings to coordinate all aspects of the program. The meetings are attended by project staff with participation by our funding partners in accordance with the Funding Partners Oversight Protocol. A summary of funding partner meetings and invitees can be found in Appendix B.

This section of the report provides a summary of the discussions and decisions made at the meetings and a list of funding partners who attended the meetings.

Electrification – Weekly Discipline-Specific Meetings

Purpose: To replace the previous weekly Engineering Meeting with three discipline-specific meetings for the three major categories of work under the Electrification Design Build (DB) contract: Overhead Contact System (OCS) Foundation, Traction Power Facilities (TPF), and Signals. Each meeting will focus on the status, resolution and tracking of Balfour Beatty Infrastructure, Inc. (BBII) and Electrification design- and construction-related issues.

Activity this Month

OCS Foundation Meeting

Funding Partners: None

- Review of upcoming foundation design and installation schedule
- Discussion of open issues impacting foundations design and installation
- Discussion of outstanding Requests for Information (RFI)
- Review of foundation designs that potentially impact Right of Way (ROW)
- Review of outstanding Field Orders or Change Notices required for work to continue

TPF Meeting

Funding Partners: None

- Review of outstanding items as they relate to the design and construction of the PG&E Interconnection
- Review of PG&E Interconnection schedule
- Discuss progress and next steps for the Single-Phase Study
- Discuss outstanding comments on the interconnection agreement
- Review and resolve open issues on the construction and design of the TPFs (paralleling stations, traction power substations, switching station)

PCEP Delivery Coordination Meeting – Bi-Weekly

Purpose: To facilitate high-level coordination and information sharing between cross-functional groups regarding the status of the work for which they are responsible.

Activity this Month

Funding Partners: SFCTA: Luis Zurinaga; MTC: Trish Stoops; CHSRA: Sharath Murthy; VTA: Dennis Ratcliffe and Franklin Wong

The PCEP presentation to update the SFCTA Board and the Citizens Advisory Committee (CAC) is expected to occur in May 2021. There are two remaining cutovers in Segment 4, and the next cutover is planned for the weekend of May 15. The completion date is anticipated for June 2021. Fire Life/ Safety is conducting trainings with the county fire and police departments. In EMU design and testing, the three remaining final design reviews are being finalized and expected to be complete in Pueblo, Colorado by summer 2021. Train 1 reached 115 mph during testing and is operating very well along the test track. The internal testing of the wheel slip/slide protection has started in April and the official brake testing will begin in May. Train 2 heating, ventilation, and air conditioning (HVAC) air flow tests are in progress, and the climate room testing will occur in June. The Federal Railroad Administration (FRA) April visit at the TTCl site went well and no issues were reported. The CEMOF foundation installations are complete and the foundation train has mobilized to Redwood City for installation at S2WA1/2. Steel plate installation is complete in S2WA1/2 and foundation installation started on April 28. The comments from the structure and stability tests have been reviewed and have identified the issues that need to be resolved to pass the Supervisory Control and Data Acquisition (SCADA) Factory Acceptance Test (FAT). Hardware installation at the Central Control Facility (CCF) and Back-up Control Facility (BCCF) is scheduled to begin on May 11, and the training for TASI personnel will occur in mid-July.

Systems Integration Meeting – Bi-Weekly

Purpose: To discuss and resolve issues with inter-system interfaces and to identify and assign Action Item Owners for interface points that have yet to be addressed.

Activity this Month

Funding Partners: CHSRA: Sharath Murthy

Bi-weekly PCEP System Integration meetings are held to monitor and determine appropriate resolution for systems integration issues. The Systems Integration Lead also maintains contact with the EMU procurement team. The Traction Power SCADA team also holds bi-weekly status meetings. Coordination with the EMU procurement, Positive Train Control (PTC) and Caltrain Capital Project managers responsible for other capital projects on the corridor is ongoing. There is coordination with PG&E construction of the Interconnection to TPS-2, and the CEMOF upgrades as well. The Systems Integration meeting has been arranged to have a technical discussion of the interface issues to existing Caltrain legacy systems followed by a shorter session with CalMod management for elevation of issues identified. A smaller “breakout” group is meeting to determine and track what testing and with which resources will need to be coordinated among the various contracts and suppliers. This “Testing and Commissioning Meeting”

is the primary interface to the PCEP Design-Build Team at this time. Work to define dependencies for completion of Segment 4 (Intermediate Milestone #1) is ongoing with the Testing & Commissioning discussion. Work continues to develop a schedule fragmet for the achievement of Intermediate Milestone #1. This group will report back to the System Integration meeting group with their findings.

Master Program Schedule (MPS) Meeting – Monthly

Purpose: To review the status of the MPS and discuss the status of major milestones, critical and near-critical paths, upcoming Board review items, and progress with the contracts, among others.

Activity this Month

Funding Partners: Metropolitan Transportation Commission (MTC): Trish Stoops; VTA: Manolo Gonzalez-Estay; SFCTA: Luis Zurinaga; CHSRA: Wai-on Siu

The program's critical path continues to run through the manufacturing and testing of EMU Trainsets. Stadler's forecasted conditional acceptance of the 14th trainset in the MPS April update remains December 9, 2022. The impact of both the replacement of the internal parts supplier and COVID-19 remains unknown in Stadler's schedule during the upcoming months.

Milestone #1 - Segment 4 Construction Completion continues to be impacted by damage to the TPS-2 switchgear sustained during mishandling at customs in North Carolina. The new forecast date for Milestone # 1 is October 04, 2021.

PG&E Permanent power to TPS-2 also has been impacted by the late arrival of the TPS-2 Switchgear. The new forecast date for TPS-2 Permanent Power is August 23, 2021. Permanent Power to TPS-1 remains April 15, 2022.

ProVen's April 2021 progress schedule update for the CEMOF contract presents a three-month delay due to the subcontractor issues. The new forecast date for CEMOF's substantial completion is July 27, 2021.

The JPB's forecasted electrification substantial completion date for the BBII contract in the MPS April update remains the same. JPB is working with BBII to improve progress on both the signals system, which lags behind baseline productivity level, and traction power facilities, which continue to progress at a slow rate.

The forecasted revenue service date (RSD) remains December 9, 2022. However, this date is subject to change in the future upon the conclusion of the mediation process between JPB and BBII.

Risk Assessment Meeting – Monthly

Purpose: To identify risks and corresponding mitigation measures. For each risk on the risk register, mitigation measures have been identified and are being implemented. Progress in mitigating these risks is confirmed at the ongoing risk monitoring and monthly risk assessment meetings.

Activity this Month

No meeting was held in April due to the absence of items for the agenda.

Change Management Board (CMB) – Monthly

Purpose: To review, evaluate and authorize proposed changes to PCEP over \$200,000. The CMB discusses major topics including potential changes to PCEP contracts, contingency usage, track access delays and Differing Site Conditions (DSC) field order updates. Potential contract changes will follow the PCEP Change Order Procedure. Once approved changes are executed, they will be reported in the Change Management section (Section 9) of this report.

Activity this Month

Funding Partners: CHSRA: Boris Lipkin and Sharath Murthy; SFCTA: Luis Zurinaga; SMCTA: Joe Hurley; MTC: Trish Stoops; FTA: Mike Eidlin.

BBII Contract

One change was approved.

CEMOF Contract

No changes were identified for consideration.

Stadler Contract

No changes were identified for consideration.

SCADA Contract

One change was approved.

Tunnel Modification Contract

No changes were identified for consideration.

Amtrak Contract

No changes were identified for consideration.

Other

One change was approved.

2.3. Schedule

The program's critical path continues to run through the manufacturing and testing of EMU Trainsets. Stadler's forecasted conditional acceptance of the 14th trainset in the MPS April update remains December 9, 2022. The impact of both the replacement of the internal parts supplier and COVID-19 remains unknown in Stadler's schedule during the upcoming months.

Milestone #1 - Segment 4 Construction Completion continues to be impacted by damage to the TPS-2 switchgear sustained during mishandling at customs in North Carolina. The new forecast date for Milestone # 1 is October 04, 2021.

PG&E Permanent power to TPS-2 also has been impacted by the late arrival of the TPS-2 Switchgear. The new forecast date for TPS-2 Permanent Power is August 23, 2021. Permanent Power to TPS-1 remains April 15, 2022.

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The forecasted revenue service date (RSD) remains December 9, 2022. However, this date is subject to change in the future upon the conclusion of the mediation process between JPB and BBII.

Table 2-1 indicates major milestone dates for the MPS.

Table 2-1 Schedule Status

Milestones	Program Plan	Progress Schedule (April 2021) ¹
Milestone #1 Segment 4 Construction Completion	11/21/2019	10/04/2021 ¹
Arrival of First Vehicle at JPB	N/A	11/25/2021 ²
PG&E Provides Permanent Power	09/09/2021	04/15/2022
Electrification Substantial Completion	08/10/2020	10/22/2022 [*]
Acceptance of 14 th Trainset	08/20/2021	12/09/2022 ²
Revenue Service Date (RSD)	12/09/2021	12/09/2022
FFGA RSD	08/22/2022	08/22/2022

Note:

- ¹ Dates may shift slightly in the next month's Progress Schedule update due to additional signal cutovers in Segment 4.
- ² These dates are expected to be delayed due to COVID-19 impacts on Stadler's Assembly & Testing facility in Salt Lake City.
- ^A Completed Milestone.

Peninsula Corridor Electrification Project
Monthly Progress Report

* Pending mediation process resolution with BBII.

2.4. Budget

A summary of the overall budget and expenditure status for the PCEP is provided in Table 2-2 below.

Table 2-2 Budget and Expenditure Status

Description of Work	Budget (A)	Current Budget (B) ¹	Cost This Month (C) ²	Cost To Date (D) ³	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
Electrification Subtotal	\$1,316,125,208	\$1,316,125,208	\$18,568,064	\$923,541,161	\$392,584,047	\$1,316,125,208
EMU Subtotal	\$664,127,325	\$664,127,325	\$7,951,688	\$282,289,872	\$381,837,453	\$664,127,325
PCEP TOTAL	\$1,980,252,533	\$1,980,252,533	\$26,519,751	\$1,205,831,033	\$774,421,499	\$1,980,252,533

Notes regarding tables above:

1. Column B "Current Budget" includes executed change orders and awarded contracts.
2. Column C "Cost This Month" represents the cost of work performed this month.
3. Column D "Cost To Date" includes actuals (amount paid) and accruals (amount of work performed) to date.

2.5. Board Actions

- None

Future anticipated board actions include:

- Project office lease extension
- Change orders as needed

2.6. Government and Community Affairs

There were four outreach events this month.

3.0 ELECTRIFICATION – INFRASTRUCTURE

This section reports on the progress of the Electrification, SCADA, and Tunnel Modification components. A brief description on each of the components is provided below.

3.1. Electrification

The Electrification component of the PCEP includes installation of 138 miles of wire and overhead catenary system (OCS) for the distribution of electrical power to the EMUs. The OCS will be powered from a 25 kilovolt (kV), 60-Hertz, single phase, alternating current supply system consisting of two traction power substations (TPS), one switching station (SWS), and seven paralleling stations (PS). Electrification infrastructure will be constructed using a DB delivery method.

Activity This Month

- Completed installation of foundations in CEMOF. Segment 3, 4, CEMOF, and Segment 2 WA 5, 4, and 3 are now complete.
- Began mobilization of on-track foundation equipment to Redwood City Siding for installation of OCS foundations in Segment 2 WA 1 and 2.
- Installed gantry foundations in PS-1 and PS-2.
- Continued installation of OCS poles, cantilevers, and wires in Segment 3 and 4.
- Continued regulation of OCS wires (sagging the wires) in Segment 3.
- Continued installation of shunt wires in Segment 3.
- Continue to pothole at proposed OCS locations and utility locations in Segment 2 and Segment 1 in preparation of upcoming foundation installations.
- Continued to resolve conflicts found during the potholing process, such as loose concrete, asphalt, and other debris, and continued designing solutions for those conflicts that cannot be avoided. The conflicts must be resolved before installation of foundations at those locations.
- Relocated signal cables and remove abandoned facilities found in conflict with planned OCS foundations as conflicts were identified.
- PS-1: Continued installation of gantry termination cabinet and AC/DC panel.
- PS-2: Continued installation of drainage and lighting ductbank.
- PS-3: Continued construction of blast wall and poured main gantry foundations.
- PS-4: Continued excavation and pour for CMU wall, installation of ground grid, and began backfill.
- PS-5: Continued pulling low voltage wires and installation of planter box.
- PS-6: Continued drainage and access ramp installation.
- PS-7: Continued low voltage drop installation.
- TPS-1: Continued installation of gantry foundations and drain rock.
- TPS-2: Continued gantry low voltage termination.

Peninsula Corridor Electrification Project

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- Continued to install signal ductbank, conduits, and cables in Segment 2 and Segment 1.
- Performed signal equipment and track circuit installation in Segment 2.
- Installed transformer and performed wiring at Shark.
- Performed track circuit setup and local testing at Control Point (CP) De la Cruz and CP Coast.
- Installed transformer boxes at De la Cruz, Franklin, Stockton, Shark, Alameda and Bird.
- Performed track circuit setup and local testing at CP Shark and CP Alameda.
- Performed fire alarm installation.
- Continued fiber optic cable installation and splicing in Segment 4.
- Install overhead bridge attachments at various locations in Segment 3 and 4.
- Progressed the OCS design with BBII in all segments, which included submittal and review of Design Change Notices for revised foundation locations.
- Continued Right of Way acquisition process for off-track foundation installation in Segment 1.
- Continue Right of Way acquisition for TPS-1 interconnection.
- Coordinated design review with local jurisdictions for the OCS, traction power facilities, and bridge attachments design, including responses to comments from jurisdictions.
- Continued to review and coordinate signal and communication design submittals with BBII.
- Continued internal discussions about design, installation and testing of signal and communications modifications to the Caltrain system and schedule for cutover plans.
- Continued discussions with VTA on Right of Way acquisition for TPS-2 interconnection.
- Worked with BBII through Site Specific Work Plans (SSWP) for upcoming field work.
- Continued model validation for the single phase study.
- PG&E continued work at East Grand and FMC substations.
- PG&E continued TPS-2 Interconnection work and began work at TPS-1 Interconnection.

A summary of the work progress by segment is provided in Table 3-1 below.

Table 3-1 Work Progress by Segment

Segment	Work Area	Foundations			Poles		
		Required ^{abc}	Completed this Month	Completed to Date	Required ^{ab}	Completed this Month	Completed to Date
1	Tunnels	32	0	32	32	0	32
	A	303	0	0	259	0	0
	B	232	4	89	177	0	0
2	5	247	0	246	208	0	160
	4	316	0	315	253	0	190
	3	177	0	176	140	0	43
	2	239	7	85	205	0	60
	1	206	0	79	154	0	33
3	2	509	0	509	445	0	445
	1	392	0	392	310	0	306
4	A	242	0	242	180	1	171
	B	128	0	128	124	0	103
	CEMOF	85	51	85	81	0	0
Total		3,108	62	2,378	2,568	1	1,543

Note:

- ^{a.} Foundations required do not match poles required as guy foundations are needed in some locations for extra support.
- ^{b.} Reported number of required poles and foundations fluctuate due to Design changes.
- ^{c.} Update: To-date, 30 foundations have been installed by the South San Francisco in S2WA5 and 65 have been installed by the 25th Ave projects in S2WA3.

Activity Next Month

- Continue OCS foundation installations, in S2WA2 and 1.
- Continue off-track OCS foundation installations in S1.
- Continue resolution of foundation conflicts.
- Continue to install protective steel plates for protection of utilities during foundation installation.
- Continue to install OCS poles and assemblies in all Segments where available.
- Continue wire installation and regulation in Segments 3 and 4.
- Continue shunt wire installation.
- Continue work with BBII on field investigation activities and designs, which will include the progression of the OCS, traction power, bonding and grounding, signal systems, and other civil infrastructure such as overhead bridge protections.
- Pothole and clear obstructions at proposed OCS locations.
- Continue construction at TPS-1 and TPS-2.
- PS-1
 - Install and set gantry equipment and cables.
 - Install shallow foundations.

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- PS-2
 - Finish drainage work.
 - Install shallow foundations, lighting ductbank, and ground grid.
- PS-3
 - Complete comment responses to IFC design draft with PGH Wong, BBII, and City of Burlingame.
 - Pour blast wall.
 - Install main gantry foundations and high voltage ductbank.
- PS-4
 - Finish remaining CMU wall footing.
 - Finish installing ground grid and strain gantry foundations.
- PS-5
 - Install formwork and pour City of Palo Alto pad.
 - Install and pour planter box.
- PS-7: Set PG&E 400-amp service panel.
- Continue to install conduit and foundations for signal and wayside power cubicle (WPC) units in all Segments.
- Continue cable termination at signal locations in Segment 4.
- Continue fiber installation and splicing in Segment 4.
- Continue preparation for next signal cutover in Segment 4.
- Continue conduit installations in Segments 2 and 1.
- Continue to install impedance bond connections.
- Continue to install bridge attachments.
- Continue to progress location-specific design for grade crossing system.
- Continue planning process for signal cutovers.
- Review BBII work plans for upcoming construction activities.
- Coordinate with PG&E on construction for PG&E infrastructure.
- Coordinate with local jurisdictions to review designs.
- Continue tree pruning and removals.
- Continue progress on Single Phase Study.

3.2. Supervisory Control and Data Acquisition

SCADA is a system that monitors and controls field devices for electrification, including traction power substations (TPS), wayside power cubicles (WPC), and the OCS. SCADA will be integrated with the base operating system for Caltrain Operations and Control, which is the Rail Operations Center System (ROCS). A separate control console will be established for the Power Director.

Activity This Month

- Submitted Monthly Progress Report.
- Submitted April Schedule Update.
- Completed Factory Acceptance Testing (FAT).
- Completed FAT related comment reviews.
- Made progress with comment reviews related to cutovers.
- Received limited notice to proceed for working on the Revision 11 Points List changes needed for Milestone #1.

Activity Next Month

- Prepare and deliver the Monthly Report and the Monthly Schedule Update.
- Attend project status meetings (virtually).
- Review and address punch list items from FAT.
- Begin installation of hardware at BCCF & CCF.

3.3. Tunnel Modification

Tunnel modifications will be required on the four tunnels located in San Francisco. This effort is needed to accommodate the required clearance for the OCS to support electrification of the corridor. Outside of the PCEP scope, Caltrain Engineering has requested the PCEP team to manage completion of design and construction for the Tunnel 1 and Tunnel 4 Drainage and Track Rehabilitation Project. The Tunnel Drainage and Track Rehabilitation Project is funded separately from PCEP.

Activity This Month

- Reconciled Change Orders.
- Progressed As-Built Drawings.

Activity Next Month

- Reconcile Change Orders.
- Receive As-Built Drawings from ProVen.
- Close out RFIs, Submittals, and letters.

3.4. Interconnection Construction

The PCEP will require a 115-kV interconnection to supply power from the PG&E substations to the Caltrain substations in San Jose and South San Francisco. Construction of the interconnections will be performed by PG&E under an amendment to Supplemental Agreement No. 2.

Activity This Month

- EGS – TPS-1:
 - Installed strain gantry foundations.
 - Progressed Circuit #1 and #2 duct bank installation.
 - Continued terminating gantry termination cabinet.
 - Coordinated redesign with PG&E, TRC and Health Peak for the Transmission Structure Poles (TSP).
- FMC – TPS-2:
 - Completed Circuit #1 installation.
 - Rescheduled Circuit #2 and redundant fiber highway crossing.
 - Continued terminating gantry termination cabinet.

Activity Next Month

- EGS – TPS-1:
 - Complete TSP redesign coordination with South San Francisco team, TRC and PG&E.
 - TRC to submit 60% redesign for final location.
 - Continue the duct bank installation for Circuit #1 and #2 at the East Grand Substation and Gateway Blvd.
 - Complete low voltage termination at the TPS-1 site.
- FMC – TPS-2:
 - Complete gantry LV termination.
 - Install remaining fine grade.
 - Install site lighting poles.
 - Complete Circuit #2 and redundant fiber highway crossing.

4.0 ELECTRIC MULTIPLE UNITS

This section reports on the progress of the Electric Multiple Units (EMU) procurement and the Centralized Equipment Maintenance and Operations Facility (CEMOF) modifications.

4.1. Electric Multiple Units

The procurement of EMUs, or trainsets, from Stadler consists of a Base Order of 96 railcars, plus an Option Order of an additional 37 railcars, for a total of 133 railcars. The cars from these two orders will be combined and delivered as 19 seven-car Trainsets. The Base Order is funded from PCEP, and Option Order funded by a Transit and Intercity Rail Capital Program (TIRCP) grant. One more Option for additional cars is available.

Activity This Month

- Dynamic type testing continued on Train 1 at TTCL in Pueblo, CO. The train successfully operated at 115 miles per hour.
- HVAC qualification testing took place on Train 2, in Salt Lake City.
- Routine static testing was performed on Trainset 3 and started on Trainset 4.
- Production continued on Trainsets 3 through 13.
- COVID-19 related actions continued for the 14th month causing mixed disruptions to Stadler's activities:
 - Stadler's manufacturing facilities in Switzerland supporting the Caltrain Project have returned to normal levels of activity.
 - The Switzerland-based manufacturing of car shells and trucks frames is on schedule.
 - Salt Lake City-based manufacturing is delayed due to previously incurred and ongoing person-power limitations and sub-supplier parts shortages.
 - Stadler has submitted multiple requests for 'excusable delays' due to COVID-19. The extent of the continuing delay is being evaluated. Currently, delivery of the first trainset to Caltrain has been delayed 8.5 months to November 2021.
 - Stadler's supply chain has been disrupted by two supplier bankruptcies. Replacement suppliers were found, but the delivery schedule was impacted. In addition, one of the replacement suppliers is now having financial issues. Due to this, Stadler submitted another request for excusable delay in February 2021. The extent of the delay is being evaluated. The key point is Stadler's ability to assemble the luggage racks and ceiling panels themselves.
- Final Design Reviews remain to be completed for three systems. These software-based systems include Train Control, Monitoring and Diagnostics (MDS), and 'Positive Train Control (PTC). For train control and MDS, completion is near. For PTC, completion is anticipated in mid-2021.

- First Article Inspections (FAI) continue to have their paperwork formalized and closed out.
- 78 car shells have been shipped from Stadler Switzerland, with 64 arriving at Stadler's Salt Lake City facility (14 shells are in transit).
- Quality Assurance audits of USA-based sub-suppliers were halted in mid-March due to COVID-19 travel restriction. Audits will commence when sub-suppliers reopen and travel restrictions are lifted.

Activity Next Month

- Continue to close out system level FDRs and FAIs.
- Continue to support Caltrain/PCEP system integration and rail startup activation activities.
- Support type testing in SLC and at TTCl.

4.2. Centralized Equipment Maintenance and Operations Facility Modifications

The CEMOF Modifications Project will provide work areas to perform maintenance on new EMUs.

Activity This Month

- Hooked up final connection to switchgear for permanent power at the Parts Storage Warehouse.
- Installed fire sprinklers, T-Bar ceiling grid, and light fixtures at the Component Test Room.

Activity Next Month

- Re-do megger test for 480-volt line at north pit ductbank.
- Install lighting at Parts Storage Warehouse.
- Install exterior siding, wall panels, and Packaged Terminal Air Conditioner unit at Component Test Room.

5.0 SAFETY

Safety and Security requirements and plans are necessary to comply with applicable laws and regulations related to safety, security, and emergency response activities. Safety staff coordinates with contractors to review and plan the implementation of contract program safety requirements. Safety project coordination meetings continue to be conducted on a monthly basis to promote a clear understanding of project safety requirements as defined in contract provisions and program safety documents.

Activity This Month

- Project staff provided input and continued its participation in the BBII contractor workforce safety meetings. Project incidents continue to be reviewed with project staff to reinforce the application of recommended safety mitigation measures.
- Provided a project safety update at the FTA Quarterly Meeting.
- Conducted the monthly employee injury review for BBII and its subcontractors.
- Continued to provide input and oversight of the contractor SSWP safety provisions and ongoing safety construction oversight and inspections.
- Conducted the monthly project Safety and Security Certification and Fire/Life Safety Meetings.
- Continued to perform reviews and provide comments on the BBII Safety and Security Certification Design Criteria Conformance Checklists (DCCC) and Construction Specification Conformance Checklist (CSCC) submittals.
- Participated with internal stakeholders in Rail Activation Committee meetings.
- Investigated project incident occurrences and worked with the contractor representatives to identify incident root causes and develop and implement safety and security mitigation measures.
- Reviewed the status and next steps needed to support compliance to the FTA Oversight Procedure 54 (Readiness for Service) project safety and security requirements.
- Conducted ongoing safety inspections of contractor field activities.
- Performed hi-rail vehicle safety inspections of contractor on-track equipment.
- Participated in weekly project coordination meetings with the contractor to review open issues and recommended action items.
- Continued to coordinate with JPB Safety and the project contractors with the application of mitigation measures in response to the COVID-19 virus.

Activity Next Month

- Conduct monthly virtual safety communication meetings for the Project Safety and Security Certification Committee, Fire/Life Safety Committee, Rail Activation Committee, and other project-related contractor and JPB safety meetings to discuss safety priorities.
- Continue to finalize safety and security certification documentation requirements in coordination with project testing and commissioning activities.

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- Continue focus on performing site safety inspections on the OCS foundations, pole installations, potholing, and CEMOF work activities to assess safety work practices and identify additional opportunities for improvement. Conduct contractor equipment inspections as needed.
- Reinforce the ongoing application of recommended mitigation measures in response to the COVID-19 virus.
- Investigate project incident occurrences as needed and work with the contractor representatives to identify incident root cause, contributing factors and safety mitigation measures.

6.0 QUALITY ASSURANCE

The Quality Assurance (QA) staff performs technical reviews for planning, implementing, evaluating, and maintaining an effective program to verify that all equipment, structures, components, systems, and facilities are designed, procured, constructed, installed, and maintained in accordance with established criteria and applicable codes and standards throughout the design, construction, startup and commissioning of the PCEP.

Activity This Month

- Reviewed BBII submittals of Inspector Daily Reports (IDR) and Contractor Quality Control Report (CQCR).
- Provided QA review of BBII submittals of Material Review Reports (MRR) to ensure that purchase order quality and test document requirements are met and included in the receiving inspection document package.
- Provided QA review of BBII submittals of Certificates of Conformance (C of C) and Certificates of Analysis (C of A).
- Provided QA review of BBII Non-Conformance Reports (NCR) and Construction Discrepancy Reports (CDR) to assure that in-process discrepancies are processed as required.
- Provided review of BBII QA Audit Surveillance Reports.
- Provided QA review of Supplier Certified Test Reports (CTR), and Certified Material Tests Reports (CMTR).
- Prepared for upcoming audits for design, quality audits, quality records and training.
- Continued review of BBII record set of As-Built Drawings related to open NCR's.
- Received updated Buy America report submitted by BBII began review.
- Submitted revised JPB QMP R3 for review and approval
- Issued NCR #14 to BBII for Impedance Bond work performed to unapproved drawing.

Activity Next Month

- Review BBII quality records and prepare for upcoming audits for design, quality audits, quality records and training.

Table 6-1 below provides details on the status of audits performed through the reporting period.

Table 6-1 Quality Assurance Audit Summary

Quality Assurance Activity	This Reporting Period	Total to Date
Audits Conducted	0	131
Audit Findings		
Audit Findings Issued	0	81
Audit Findings Open	0	0
Audit Findings Closed	0	81
Non-Conformances		
Non-Conformances Issued	1	14
Non-Conformances Open	3	5
Non-Conformances Closed	0	9

7.0 SCHEDULE

The program's critical path continues to run through the manufacturing and testing of EMU Trainsets. Stadler's forecasted conditional acceptance of the 14th trainset in the MPS April update remains December 9, 2022. The impact of both the replacement of the internal parts supplier and COVID-19 remains unknown in Stadler's schedule during the upcoming months.

Milestone #1 - Segment 4 Construction Completion continues to be impacted by damage to the TPS-2 switchgear sustained during mishandling at customs in North Carolina. The new forecast date for Milestone # 1 is October 04, 2021.

PG&E Permanent power to TPS-2 also has been impacted by the late arrival of the TPS-2 Switchgear. The new forecast date for TPS-2 Permanent Power is August 23, 2021. Permanent Power to TPS-1 remains April 15, 2022.

ProVen's April 2021 progress schedule update for the CEMOF contract presents a three-month delay due to the subcontractor issues. The new forecast date for CEMOF's substantial completion is July 27, 2021.

The JPB's forecasted electrification substantial completion date for the BBII contract in the MPS April update remains the same. JPB is working with BBII to improve progress on both the signals system, which lags behind baseline productivity level, and traction power facilities, which continue to progress at a slow rate.

The forecasted revenue service date (RSD) remains December 9, 2022. However, this date is subject to change in the future upon the conclusion of the mediation process between JPB and BBII.

Shown below, Table 7-1 indicates major milestone dates for the MPS.

Table 7-1 Schedule Status

Milestones	Program Plan	Progress Schedule (April 2021) ¹
Milestone #1 Segment 4 Construction Completion	11/21/2019	10/04/2021 ¹
Arrival of First Vehicle at JPB	N/A	11/25/2021 ²
PG&E Provides Permanent Power	09/09/2021	04/15/2022
Electrification Substantial Completion	08/10/2020	10/22/2022 *
Acceptance of 14 th Trainset	08/20/2021	12/09/2022 ²
Revenue Service Date (RSD)	12/09/2021	12/09/2022
FFGA RSD	08/22/2022	08/22/2022

Note:

1. Dates may shift slightly in the next month's Progress Schedule update due to additional signal cutovers in Segment 4.
 2. These dates are expected to be delayed due to COVID-19 impacts on Stadler's Assembly & Testing facility in Salt Lake City.
- ^A Completed Milestone.
* Pending mediation process resolution with BBII.

Notable Variances

The delay to Milestone # 1, Segment 4 Construction Completion results from a delay in the delivery of the switchgear from May 24, 2021 to June 14, 2021. The new forecast date for Milestone # 1, Segment 4 Construction Completion is October 4, 2021.

The late arrival of Switchgear has also caused in a Schedule delay for TPS-2 / FMC - permanent power. The new forecast date for the TPS-2 permanent power is August 23, 2021.

The CEMOF substantial completion has been pushed back three-months due to sub-contractor issues. The new forecast substantial completion for CEMOF is July 27, 2021

Schedule Delays in both Electrification and EMU have resulted in a drawdown of the remaining schedule contingency. The program no longer has any schedule contingency.

Table 7-2 Critical Path Summary

Activity	Start	Finish
Manufacturing, Testing & Acceptance of Trainsets 1 - 14	08/13/2018	12/09/2022
Forecast Revenue Service Date (RSD)	12/09/2022	12/09/2022

Schedule Hold Points

Schedule Hold Points (SHP) represent key milestones on or near a schedule’s critical path that are used as measurement points with respect to contingency drawdown. Delays to these key milestones have resulted in consuming program schedule contingency.

Table 7-3 below reflects the SHPs for the PCEP master program schedule. The dates indicated the planned completion dates for each SHP.

Table 7-3 Schedule Hold Points

Schedule Hold Point (SHP)	Date
Arrival of 1 st Trainset at JPB	11/25/2021
Segment 4 Construction Completion	10/04/2021 ¹
Conditional Acceptance of 1 st Trainset	02/25/2022 ²
System Electrified	10/22/2022 [*]
Conditional Acceptance of 14th Trainset	12/09/2022 ²
Forecast Revenue Service Date (RSD)	12/09/2022 ^{2*}

Note:
¹ Dates may shift slightly in the next month’s Progress Schedule update due to additional signal cutover in segment 4.
² Dates may change due to COVID-19 Impact.
^A Completed Schedule Hold Point (SHP).
^{*} Pending mediation process resolution with BBII.

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8.0 BUDGET AND EXPENDITURES

The summary of overall budget and expenditure status for the PCEP and Third-Party Improvements is shown in the following tables. Table 8-1 reflects the Electrification budget, Table 8-2 the EMU budget, Table 8-3 the overall PCEP budget, and Table 8-4 Third Party Improvements budget. Table 8-5 summarizes the budget transfers of contingency completed this month.

Table 8-1 Electrification Budget & Expenditure Status

Description of Work	Budget (A)	Current Budget (B) ¹	Cost This Month (C) ²	Cost To Date (D) ³	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
ELECTRIFICATION						
Electrification ⁽⁴⁾	\$696,610,558	\$741,364,366	\$7,581,536	\$498,671,949	\$242,692,417	\$741,364,366
SCADA	\$0	\$3,842,455	\$1,046,355	\$2,980,726	\$861,729	\$3,842,455
Tunnel Modifications	\$11,029,649	\$41,469,522	(\$0)	\$41,314,390	\$155,132	\$41,469,522
Real Estate	\$28,503,369	\$28,503,369	\$84,890	\$23,343,160	\$5,160,209	\$28,503,369
Private Utilities ⁽⁵⁾	\$63,515,298	\$117,850,334	\$6,158,663	\$130,997,551	(\$13,147,217)	\$117,850,334
Management Oversight	\$141,506,257	\$168,029,038	\$1,542,239	\$157,950,758	\$10,078,280	\$168,029,038
Executive Management	\$7,452,866	\$9,568,427	\$59,171	\$9,322,733	\$245,695	\$9,568,427
Planning	\$7,281,997	\$6,281,997	\$14,495	\$5,960,307	\$321,690	\$6,281,997
Community Relations	\$2,789,663	\$1,789,663	\$3,999	\$1,476,559	\$313,104	\$1,789,663
Safety & Security	\$2,421,783	\$4,747,861	\$79,145	\$4,418,214	\$329,646	\$4,747,861
Project Management Services	\$19,807,994	\$17,526,725	\$197,864	\$13,899,958	\$3,626,767	\$17,526,725
Engineering & Construction	\$11,805,793	\$13,965,112	\$203,580	\$13,005,956	\$959,156	\$13,965,112
Electrification Eng & Mgmt	\$50,461,707	\$54,259,867	\$228,895	\$52,607,529	\$1,652,338	\$54,259,867
Construction Management	\$0	\$12,076,434	\$534,568	\$10,331,002	\$1,745,432	\$12,076,434
IT Support	\$312,080	\$407,170	\$0	\$400,132	\$7,038	\$407,170
Operations Support	\$1,445,867	\$3,337,383	\$26,621	\$3,051,075	\$286,308	\$3,337,383
General Support	\$4,166,577	\$6,963,434	\$61,188	\$6,788,757	\$174,677	\$6,963,434
Budget / Grants / Finance	\$1,229,345	\$1,626,354	\$602	\$1,622,113	\$4,241	\$1,626,354
Legal	\$2,445,646	\$4,993,672	\$40,695	\$4,933,490	\$60,182	\$4,993,672
Other Direct Costs	\$5,177,060	\$5,777,060	\$91,415	\$5,425,054	\$352,005	\$5,777,060
Prior Costs 2002 - 2013	\$24,707,878	\$24,707,878	\$0	\$24,707,878	\$0	\$24,707,878
TASI Support	\$55,275,084	\$59,409,403	\$1,977,990	\$57,278,321	\$2,131,082	\$59,409,403
Insurance	\$3,500,000	\$4,543,588	\$0	\$4,543,588	\$0	\$4,543,588
Environmental Mitigations	\$15,798,320	\$14,454,390	\$70,000	\$899,851	\$13,554,540	\$14,454,390
Required Projects	\$17,337,378	\$10,182,576	\$57,047	\$1,004,601	\$9,177,976	\$10,182,576
Maintenance Training	\$1,021,808	\$1,021,808	\$0	\$0	\$1,021,808	\$1,021,808
Finance Charges	\$5,056,838	\$6,137,156	\$49,343	\$4,556,266	\$1,580,890	\$6,137,156
Contingency	\$276,970,649	\$119,317,201	N/A	N/A	\$29,922,237	\$29,922,237
Forecasted Costs and Changes	\$0	\$0	N/A	N/A	\$89,394,964	\$89,394,964
ELECTRIFICATION SUBTOTAL	\$1,316,125,208	\$1,316,125,208	\$18,568,064	\$923,541,161	\$392,584,047	\$1,316,125,208

Notes regarding tables above:

1. Column B "Current Budget" includes executed change orders and awarded contracts.
2. Column C "Cost This Month" represents the cost of work performed this month.
3. Column D "Cost To Date" includes actuals (amount paid) and accruals (amount of work performed) to date.
4. Cost To Date for "Electrification" includes 5% for Contractor's retention until authorization of retention release.
5. Private utilities cost to date includes the unbudgeted upfront cost for PG&E's share of substation improvements prior to PG&E reimbursement.

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Table 8-2 EMU Budget & Expenditure Status

Description of Work	Budget (A)	Current Budget (B) ¹	Cost This Month (C) ²	Cost To Date (D) ³	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
EMU						
EMU	\$550,899,459	\$555,247,601	\$6,977,333	\$220,686,565	\$334,561,036	\$555,247,601
CEMOF Modifications	\$1,344,000	\$7,375,076	\$66,251	\$6,347,132	\$1,027,943	\$7,375,076
Management Oversight	\$64,139,103	\$61,961,693	\$854,154	\$51,473,315	\$10,488,378	\$61,961,693
Executive Management	\$5,022,302	\$6,263,136	\$38,730	\$5,945,056	\$318,080	\$6,263,136
Community Relations	\$1,685,614	\$975,782	\$2,451	\$688,454	\$287,327	\$975,782
Safety & Security	\$556,067	\$766,796	\$15,631	\$729,495	\$37,301	\$766,796
Project Mgmt Services	\$13,275,280	\$11,275,280	\$121,271	\$8,695,175	\$2,580,106	\$11,275,280
Eng & Construction	\$89,113	\$89,113	\$0	\$23,411	\$65,702	\$89,113
EMU Eng & Mgmt	\$32,082,556	\$29,981,014	\$374,293	\$24,238,455	\$5,742,558	\$29,981,014
Construction Management	\$0	\$1,603,758	\$211,006	\$1,562,764	\$40,994	\$1,603,758
IT Support	\$1,027,272	\$952,089	\$14,508	\$755,403	\$196,686	\$952,089
Operations Support	\$1,878,589	\$781,858	\$4,873	\$414,763	\$367,095	\$781,858
General Support	\$2,599,547	\$2,934,702	\$13,712	\$2,834,052	\$100,650	\$2,934,702
Budget / Grants / Finance	\$712,123	\$1,042,274	\$241	\$1,037,701	\$4,573	\$1,042,274
Legal	\$1,207,500	\$1,292,752	\$2,082	\$1,258,417	\$34,335	\$1,292,752
Other Direct Costs	\$4,003,139	\$4,003,139	\$55,356	\$3,290,169	\$712,970	\$4,003,139
TASI Support	\$2,740,000	\$2,789,493	\$23,708	\$413,767	\$2,375,726	\$2,789,493
Insurance	\$0	\$38,263	\$0	\$38,263	\$0	\$38,263
Required Projects	\$4,500,000	\$1,059,221	\$0	\$538,280	\$520,941	\$1,059,221
Finance Charges	\$1,941,800	\$3,761,482	\$30,243	\$2,792,550	\$968,932	\$3,761,482
Contingency	\$38,562,962	\$31,894,496	N/A	N/A	\$26,190,833	\$26,190,833
Forecasted Costs and Changes	\$0	\$0	N/A	N/A	\$5,703,662	\$5,703,662
EMU SUBTOTAL	\$664,127,325	\$664,127,325	\$7,951,688	\$282,289,872	\$381,837,453	\$664,127,325

Notes regarding tables above:

1. Column B "Current Budget" includes executed change orders and awarded contracts.
2. Column C "Cost This Month" represents the cost of work performed this month.
1. Column D "Cost To Date" includes actuals (amount paid) and accruals (amount of work performed) to date.

Table 8-3 PCEP Budget & Expenditure Status

Description of Work	Budget (A)	Current Budget (B) ¹	Cost This Month (C) ²	Cost To Date (D) ³	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
Electrification Subtotal	\$1,316,125,208	\$1,316,125,208	\$18,568,064	\$923,541,161	\$392,584,047	\$1,316,125,208
EMU Subtotal	\$664,127,325	\$664,127,325	\$7,951,688	\$282,289,872	\$381,837,453	\$664,127,325
PCEP TOTAL	\$1,980,252,533	\$1,980,252,533	\$26,519,751	\$1,205,831,033	\$774,421,499	\$1,980,252,533

Notes regarding tables above:

1. Column B "Current Budget" includes executed change orders and awarded contracts.
2. Column C "Cost This Month" represents the cost of work performed this month.
3. Column D "Cost To Date" includes actuals (amount paid) and accruals (amount of work performed) to date.

Table 8-4 Third Party Improvements/CNPA Budget & Expenditure Status

Description of Work	Budget (A)	Current Budget (B) ¹	Cost This Month (C) ²	Cost To Date (D) ³	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
CHSRA Early Pole Relocation	\$1,000,000	\$941,706	\$0	\$941,706	\$0	\$941,706
PS-3 Relocation (Design)	\$500,000	\$500,000	\$0	\$150,000	\$350,000	\$500,000
PS-3 Relocation (FEMA, BGSP Design Coord.)	\$50,000	\$50,000	\$0	\$0	\$50,000	\$50,000
TPSS-2 VTA/PCEP Pole Relocation (Design)	\$110,000	\$110,000	\$0	\$110,000	\$0	\$110,000
TPSS-2 VTA/PCEP Pole Height (Redesign)	\$31,000	\$31,000	\$0	\$27,900	\$3,100	\$31,000
EMU Option Cars	\$172,800,047	\$172,800,047	\$933,120	\$59,599,692	\$113,200,355	\$172,800,047
Add Flip-Up Seats into Bike Cars	\$1,961,350	\$1,961,350	\$0	\$980,675	\$980,675	\$1,961,350
Update Virtual Reality Experience	\$43,000	\$43,000	\$0	\$43,000	\$0	\$43,000
CNPA TOTAL	\$176,495,397	\$176,437,103	\$933,120	\$61,852,973	\$114,584,130	\$176,437,103

Notes regarding tables above:

1. Column B "Current Budget" includes executed change orders and awarded contracts.
2. Column C "Cost This Month" represents the cost of work paid this month.
3. Column D "Cost To Date" includes actuals (amount paid) to date.

Table 8-4 shows improvements outside of the scope of PCEP that are funded with non-PCEP funds. These improvements are implemented through the PCEP contracts. In FTA terminology, these efforts are categorized as Concurrent Non-Project Activities (CNPA).

CHSRA Early Pole Relocation: Relocation of 196 OCS poles as part of PCEP. Implementing these pole relocations minimizes future cost and construction impacts. This scope is funded by the CHSRA.

PS-3 Relocation (Design): Relocate PS-3 (Burlingame) as part of PCEP to avoid a future conflict with the Broadway Grade Separation Project (BGSP). This scope is funded by the BGSP.

PS-3 Relocation (FEMA, BGSP Design Coord.): PS-3 Relocation FEMA Update and Design Coordination: Perform incremental design effort related to the 2019 FEMA requirement update to the flood plain map and design coordination with the BGSP. This scope is funded by the BGSP.

TPSS-2 VTA/PCEP Pole Relocation and Height (Design): Design changes due to the relocation of VTA/BART Pole at TPSS-2 location and pole height redesign for live line clearances. This scope is funded by the VTA.

EMU Option Cars: Exercise Stadler Contract Option for 37 additional EMUs. This scope is funded with a combination of TIRCP and matching local funds.

Add Flip-Up Seats into Bike Cars: Stadler contract change order to add four additional flip-up seats in each of the two unpowered (bike) cars per trainset (eight total per trainset). This scope is funded by Caltrain outside of the PCEP.

Update Virtual Reality Experience: Stadler contract change order to update the virtual reality experience to reflect the latest configuration of the trainsets. This scope is funded by Caltrain outside of the PCEP.

Table 8-5 Budget Transfers of Contingency

Transfer	Description	Contingency¹
ELECTRIFICATION		
BBI-053-CCO-108A	Deletion of 5 & 5A Switch Crossover at CP Shark (Part 1)	\$163,996
BBI-053-CCO-024C	TPSS 1&2 PG&E Interconnection-Procurement of Long Lead Materials (Credit)	(\$1,345,033)
BBI-053-CCO-113A	Walk-in Enclosure at Luther Junction (BBI, PGH Wong and QEI)	\$51,281
BT-005E	Budget Allocation for Jacobs CM Services for FY21 H2 (2)	\$1,656,396
BT-023C	TASI Differing Site Condition Investigation and Removal	\$563,000
	ELECTRIFICATION SUBTOTAL	\$1,089,640
EMU		
BT-005E	Budget Allocation for Jacobs CM Services for FY21 H2 (2)	\$102,215
	EMU SUBTOTAL	\$102,215
	PCEP TOTAL	\$1,191,855

Notes regarding tables above:

¹. Budget amount transferred from project contingency. A negative amount represents a credit to contingency.

Table 8-5 shows budget transfers of project contingency implemented during the current monthly reporting period. This table includes contingency transfers for both executed contract change orders as covered under Section 9.0 and uses of contingency for Program budget line items outside the five PCEP contracts.

Appendix D includes costs broken down by Standard Cost Code (SCC) format. This format is required for reporting of costs to the FTA. The overall project total in the SCC format is lower than the project costs in table 8-3. This is due to the exclusion of costs incurred prior to the project entering the Project Development phase.

9.0 CHANGE MANAGEMENT

The change management process establishes a formal administrative work process associated with the initiation, documentation, coordination, review, approval and implementation of changes that occur during the design, construction or manufacturing of the PCEP. The change management process accounts for impacts of the changes and ensures prudent use of contingency.

Currently the PCEP contracts are BBII, CEMOF, Stadler, SCADA, Tunnel Modifications, and Amtrak.

A log of all executed change orders can be found in Appendix E.

Executed Contract Change Orders (CCO) This Month

Electrification Contract

Change Order Authority (5% of BBII Contract) 5% x \$696,610,558 = \$34,830,528

Date	Change Number	Description	CCO Amount
4/23/2021	BBI-053-CCO-108A	Deletion of 5 & 5A Switch Crossover at CP Shark (Part 1)	\$163,996
4/23/2021	BBI-053-CCO-024C	TPSS 1&2 PG&E Interconnection-Procurement of Long Lead Materials (Credit)	(\$1,345,033)
4/30/2021	BBI-053-CCO-113A	Walk-in Enclosure at Luther Junction (BBI, PGH Wong and QEI)	\$51,281
Total			(\$1,129,756)

¹ (When indicated) Change approved by the Board of Directors – not counted against the Executive Director’s Change Order Authority.

EMU Contract

Change Order Authority (5% of Stadler Contract) 5% x \$550,899,459 = \$27,544,973

Date	Change Number	Description	CCO Amount
	None		\$0
Total			\$0

¹ (When indicated) Change approved by the Board of Directors – not counted against the Executive Director’s Change Order Authority.

SCADA Contract

Change Order Authority (15% of ARINC Contract) 15% x \$3,446,917 = \$517,038

Date	Change Number	Description	CCO Amount
	None		\$0
Total			\$0

¹ (When indicated) Change approved by the Board of Directors – not counted against the Executive Director’s Change Order Authority.

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Tunnel Modification Contract

Change Order Authority (10% of ProVen Contract)²

10% x \$38,477,777 = \$3,847,778

Date	Change Number	Description	CCO Amount
	None		\$0
Total			\$0

¹ (When indicated) Change approved by the Board of Directors – not counted against the Executive Director's Change Order Authority.

² Tunnel modification contract (\$38,477,777) includes: Notching (\$25,281,170) and Drainage (\$13,196,607).

³ Third Party Improvements/CNPA Projects that are funded with non-PCEP funds.

CEMOF Contract

Change Order Authority (10% of ProVen Contract)

10% x \$6,550,777 = \$655,078

Date	Change Number	Description	CCO Amount
	None		\$0
Total			\$0

¹ (When indicated) Change approved by the Board of Directors – not counted against the Executive Director's Change Order Authority.

Amtrak AEM-7 Contract

Change Order Authority (Lump Sum)

Up to \$150,000

Date	Change Number	Description	CCO Amount
	None		\$0
Total			\$0

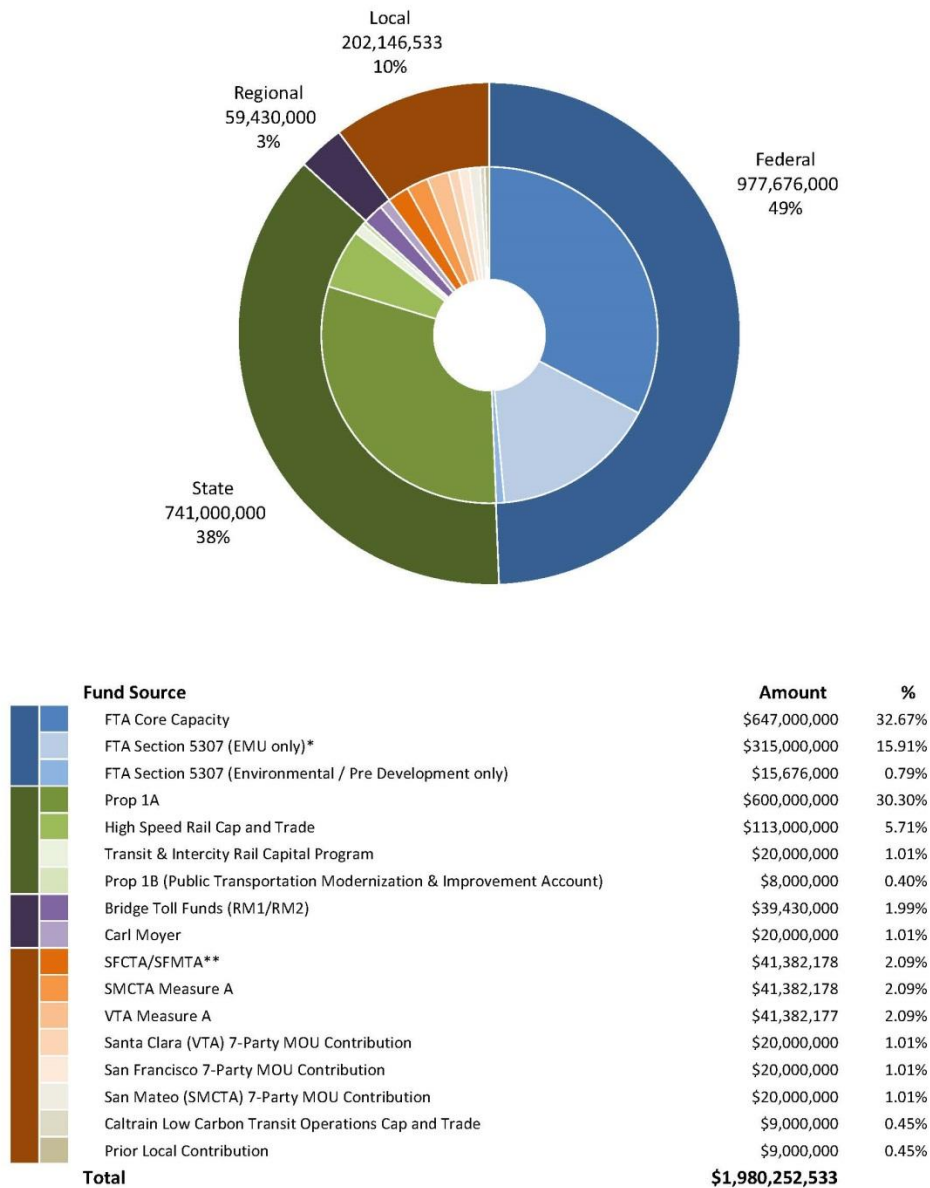
Notes:

¹ When the threshold of 75% is reached, staff may return to the Board to request additional authority.

10.0 FUNDING

Figure 10-1 depicts a summary of the funding plan for the PCEP. It provides a breakdown of the funding partners as well as the allocated funds. On March 11, 2021, President Biden signed into law the American Rescue Plan, which will provide PCEP with an additional \$52.4 million in Core Capacity funding, above and beyond the \$647 million awarded to the project in 2017. PCEP staff will work with FTA Region IX staff to ensure these funds are added to the project in the coming weeks.

Figure 10-1 Funding Plan



Notes:

*Includes necessary fund transfer with SMCTA

**Includes \$4M CMAQ Transfer considered part of SF local contribution

11.0 RISK MANAGEMENT

The risk management process is conducted in an iterative fashion throughout the life of the project. During this process, new risks are identified, other risks are resolved or managed, and potential impacts and severity modified based on the current situation. The Risk Management team's progress report includes a summary on the effectiveness of the Risk Management Plan, any unanticipated effects, and any correction needed to handle the risk appropriately.

The Risk Management team meets monthly to identify risks and corresponding mitigation measures. Each risk is graded based on the potential cost and schedule impacts they could have on the project. This collection of risks has the greatest potential to affect the outcome of the project and consequently is monitored most closely. For each of the noted risks, as well as for all risks on the risk register, mitigation measures have been identified and are being implemented. Progress in mitigating these risks is confirmed at monthly risk assessment meetings attended by project team management and through continuous monitoring of the Risk Management Lead.

The team has identified the following items as top risks for the project (see Appendix F for the complete Risk Table):

1. The contractor may not complete signal and communication design, installation and testing for the two-speed check (2SC) modifications within budget and schedule.
2. Extent of differing site conditions and associated redesign efforts results in delays to the completion of the electrification contract and increases program costs.
3. Sub-optimal contractor sequencing, when progressing design and clearing foundation locations may result in construction inefficiencies.
4. Property not acquired in time for contractor to do work.
5. Additional property acquisition is necessitated by change in design.
6. Contractor generates hazardous materials that necessitate proper removal and disposal in excess of contract allowances and expectations.
7. Change of vehicle sub-suppliers results in additional first article inspections at cost to JPB (i.e., COVID, bankruptcy).
8. Collaboration across multiple disciplines to develop a customized rail activation program may fail to comprehensively address the full scope of issues required to operate and maintain an electrified railroad and decommission the current diesel fleet.
9. Solution to FRA concerns over bike storage impeding path to emergency exit windows path results in increased costs and potential rework.
10. PG&E interconnection work may not be completed on time resulting in delays the reimbursement of PG&E Exhibit B Cost Allocation from PG&E.

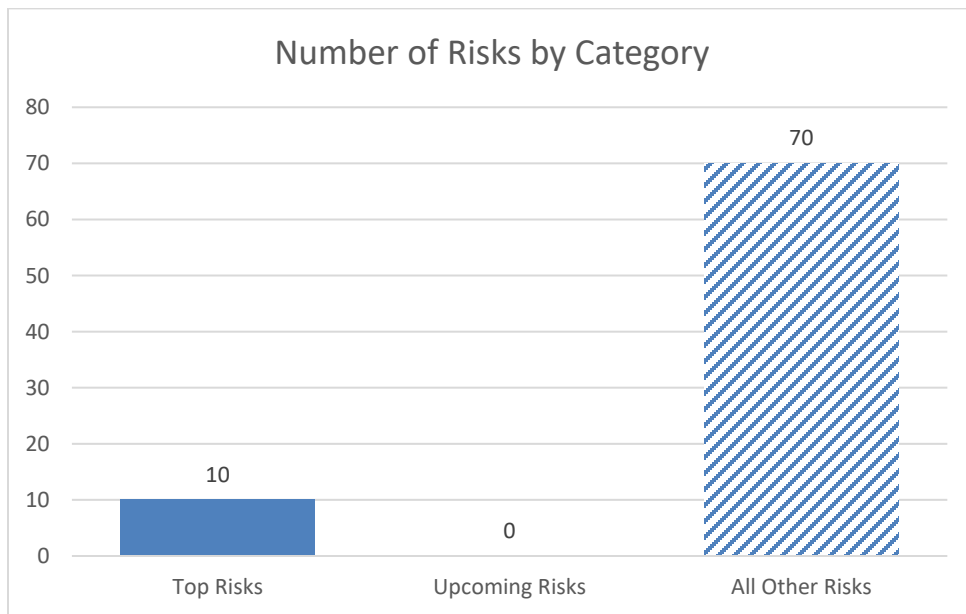
Activity This Month

- Updated risk descriptions, effects, and mitigations based upon weekly input from risk owners. Monthly cycle of risk updating was completed based on schedules established in the Risk Identification and Mitigation Plan.

- Updated risk retirement dates based upon revisions to the project schedule and input from risk owners.
- Continued weekly monitoring of risk mitigation actions and publishing of the risk register.
- Continued monitoring of issues on issues log for determination of new risks.
- The Risk Management team attended Project Delivery, Vehicle Design, Systems Integration, and Weekly Contractor Progress meetings to monitor developments associated with risks and to identify new risks.
- Updated contractor-owned risks through JPB and consultant personnel.

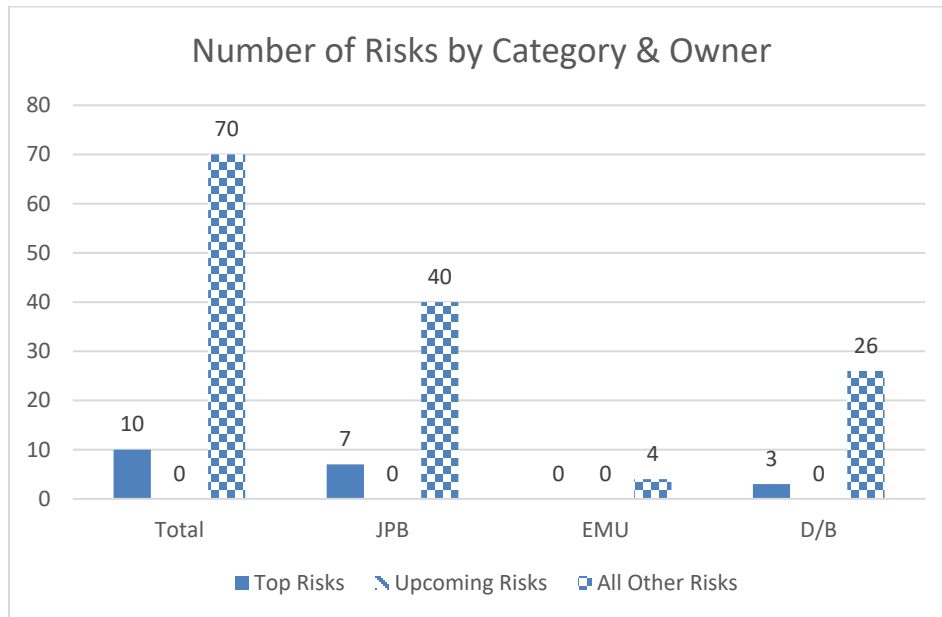
Figures 11-1 and 11-2 show the risks identified for the program. Risks are categorized as top risk, upcoming risk, and all other risks. The categories are based on a rating scale composed of schedule and cost factors. Top risks are considered to have a significantly higher than average risk grade. Upcoming risks are risks for which mitigating action must be taken within 60 days. All other risks are risks not falling into other categories.

Figure 11-1 Monthly Status of Risks



Total Number of Active Risks = 80

Figure 11-2 Risk Classification



Total Number of Active Risks = 80

Activity Next Month

- Conduct weekly monitoring of risk mitigation actions and continue publishing risk register.
- Update risk descriptions, effects, mitigations and retirement dates based on weekly monitoring and attendance at key project meetings.
- Monitor issues on issues log for determination of potential new risks.
- Convene Risk Assessment Committee meeting.

12.0 ENVIRONMENTAL

12.1. Permits

The PCEP has obtained the required environmental permits from the following agencies/federal regulations: Section 106 of the National Historic Preservation Act of 1966 (NHPA), Section 7 of the Endangered Species Act (ESA), United States Army Corps of Engineers, San Francisco Bay Regional Water Quality Control Board (SFWQCB), the California Department of Fish and Wildlife, and the San Francisco Bay Conservation Development Commission.

Activity This Month

- None

Activity Next Month

- None

12.2. Mitigation Monitoring and Reporting Program (MMRP)

The California Environmental Quality Act (CEQA) requires that a Lead Agency establish a program to monitor and report on mitigation measures that it has adopted as part of the environmental review process. The PCEP team has prepared a MMRP to ensure that mitigation measures identified in the PCEP Environmental Impact Report are fully implemented during project implementation. PCEP will implement the mitigation measures through its own actions, those of the DB contractor and actions taken in cooperation with other agencies and entities. The status of each mitigation measure in the MMRP is included in Appendix G.

Activity This Month

- Environmental compliance monitors were present during project activities (OCS pole foundation installation, pot holing for utility location, tree trimming/removal, conduit installation, etc.) occurring in areas that required environmental compliance monitoring. The monitoring was conducted in accordance with measures in the MMRP in an effort to minimize potential impacts on sensitive environmental resources.
- Biological surveyors continued to conduct pre-construction surveys for sensitive wildlife species including nesting bird surveys ahead of project activities. Pre-construction nesting bird surveys during the nesting bird season continued (Nesting bird season is defined as February 1 through September 15)
- Noise and vibration monitoring also occurred during project activities, and non-hazardous soil was removed from the right of way (ROW).
- Environmentally Sensitive Area (ESA) delineation (staking and/or fencing) occurred to delineate jurisdictional waterways and other potentially sensitive areas that should be avoided during upcoming construction activities. Pre-construction surveys for sensitive wildlife species continued at previously identified potential habitat locations. Wildlife exclusion fencing installation and monitoring occurred adjacent to portions of the alignment designated for wildlife exclusion fencing.

- Best management practices (BMPs) installation and maintenance (e.g., silt fencing, straw wattles with no monofilament netting per wildlife agency permit requirements, soil covers, etc.) occurred at equipment staging areas and other work areas throughout the alignment in accordance with the project-specific Stormwater Pollution Prevention Plan (SWPPP).

Activity Next Month

- Environmental compliance monitors will continue to monitor project activities (OCS pole foundation installation, sawcutting on station platforms, pot holing for utility location, tree trimming/removal, conduit installation, abandoned signal cable removal, permanent fence installation, fiber optic cable installation, etc.) occurring in areas that require environmental compliance monitoring in an effort to minimize potential impacts on sensitive environmental resources in accordance with the MMRP.
- Biological surveyors will continue to conduct pre-construction surveys for sensitive wildlife species including nesting bird surveys ahead of project activities. Pre-construction nesting bird surveys during the nesting bird season will continue (nesting bird season is defined as February 1 through September 15); and protocol-level surveys for sensitive avian species will continue for the 2021 breeding season at previously identified potential habitat location.
- Noise and vibration monitoring of project activities will continue to occur and non-hazardous soil will continue to be removed.
- BMPs installation will continue in accordance with the project-specific SWPPP, and ESA staking and fencing will continue to be maintained, to delineate jurisdictional waterways, and other potentially sensitive areas, that should be avoided during upcoming project activities.
- Wildlife exclusion fencing will continue to be maintained prior to upcoming construction activities adjacent to potentially suitable habitat for sensitive wildlife species.

13.0 UTILITY RELOCATION

Implementation of the PCEP requires relocation or rerouting of both public and private utility lines and/or facilities. Utility relocation will require coordination with many entities, including regulatory agencies, public safety agencies, federal, state, and local government agencies, private and public utilities, and other transportation agencies and companies. This section describes the progress specific to the utility relocation process.

Activity This Month

- Conducted utility coordination meeting to discuss overall status and areas of potential concern from the utilities.
- Continued relocation of Comcast and AT&T Utilities in all Segments, with a focus on Segment 3 and 4 ahead of OCS wiring.

Activity Next Month

- Coordinate with individual utility owners on the next steps of relocations, including support of any required design information.
- Update the relocation schedule as information becomes available from the utility owners.
- Continue to review relocation design from communications companies and coordinate relocation field work.
- Continue communication relocations in all Segments.

14.0 REAL ESTATE

The PCEP requires the acquisition of a limited amount of real estate. In general, Caltrain uses existing Right of Way (ROW) for the PCEP, but in certain locations, will need to acquire small portions of additional real estate to expand the ROW to accommodate installation of OCS supports (fee acquisitions or railroad easements) and associated Electrical Safety Zones (ESZ) (easements). There are two larger full acquisition areas required for wayside facilities. The PCEP Real Estate team manages the acquisition of all property rights. Caltrain does not need to acquire real estate to complete the EMU procurement portion of the PCEP.

The Project has obtained possessory rights for all but one of the parcels identified at the beginning of the project.

The Real Estate team's current focus is working to identify new parcels and acquire them in conjunction with the project schedule.

- Staff has defined a process to ensure that BBII conveys new property needs (both for poles and for overhead wires) as soon as possible.
 - BBII must justify and JPB must approve all new parcels.
- Design needs to progress to enable BBII to identify exact acquisition areas.
- Staff is conducting pre-acquisition activities as appropriate.
- JPB has approved eight new parcels to date.

Activity This Month

- Staff continues to review potential new pole locations and is engaging in a system-wide review of potential ESZ needs. Staff continues to meet with the internal signal team and BBII signal team to determine potential Real Estate interests.
- Staff continues to negotiate with Universal Paragon Corporation (UPC) to allow the potential for early access onto their property, a vital site for catenary pole installation.

Activity Next Month

- Continued review of ESZ needs submitted by BBII compared to direction from contract.
- Continue to meet with internal signal team and BBII signal team to determine potential Real Estate needs.
- Make offers on the parcel for which appraisals have been completed,
- Continue to work with project team to identify and analyze new potential parcels.
- Continue to work with UPC to finalize early access.

15.0 THIRD PARTY AGREEMENTS

Third-party coordination is necessary for work impacting public infrastructure, utilities, ROW acquisitions, and others. Table 15-1 below outlines the status of necessary agreements for the PCEP.

Table 15-1 Third-Party Agreement Status

Type	Agreement	Third-Party	Status
Governmental Jurisdictions	Construction & Maintenance ¹	City & County of San Francisco	Executed
		City of Brisbane	Executed
		City of South San Francisco	Executed
		City of San Bruno	Executed
		City of Millbrae	Executed
		City of Burlingame	Executed
		City of San Mateo	Executed
		City of Belmont	Executed
		City of San Carlos	Executed
		City of Redwood City	Executed
		Town of Atherton	Not Needed
		County of San Mateo	Executed
		City of Menlo Park	Executed
		City of Palo Alto	Executed
		City of Mountain View	Executed
		City of Sunnyvale	Executed
		City of Santa Clara	Executed
	County of Santa Clara	Executed	
	City of San Jose	Executed	
Condemnation Authority	San Francisco	In Process	
	San Mateo	Executed	
	Santa Clara	Executed	
Utilities	Infrastructure	PG&E	Executed
	Operating Rules	CPUC	Executed
Transportation & Railroad	Construction & Maintenance	Bay Area Rapid Transit	Executed ²
	Construction & Maintenance	California Dept. of Transportation (Caltrans)	In Process
	Trackage Rights	UPRR	Executed ²

Notes regarding table above:

1. Agreements memorialize the parties' consultation and cooperation, designate respective rights and obligations and ensure cooperation between the JPB and the 17 cities and three counties along the Caltrain ROW and within the PCEP limits in connection with the design and construction of the PCEP.
2. Utilizing existing agreements.

16.0 GOVERNMENT AND COMMUNITY AFFAIRS

The Community Relations and Outreach team coordinates all issues with all jurisdictions, partner agencies, government organizations, businesses, labor organizations, local agencies, residents, community members, other interested parties, and the media. In addition, the team oversees the BBII's effectiveness in implementing its Public Involvement Program.

Presentations/Meetings

- Caltrain Citizen Advisory Committee
- San Mateo United Homeowner's Association
- Local Policy Makers Group
- City/County Staff Coordinating Group

Third Party/Stakeholder Actions

- None

17.0 DISADVANTAGED BUSINESS ENTERPRISE (DBE) PARTICIPATION AND LABOR STATISTICS

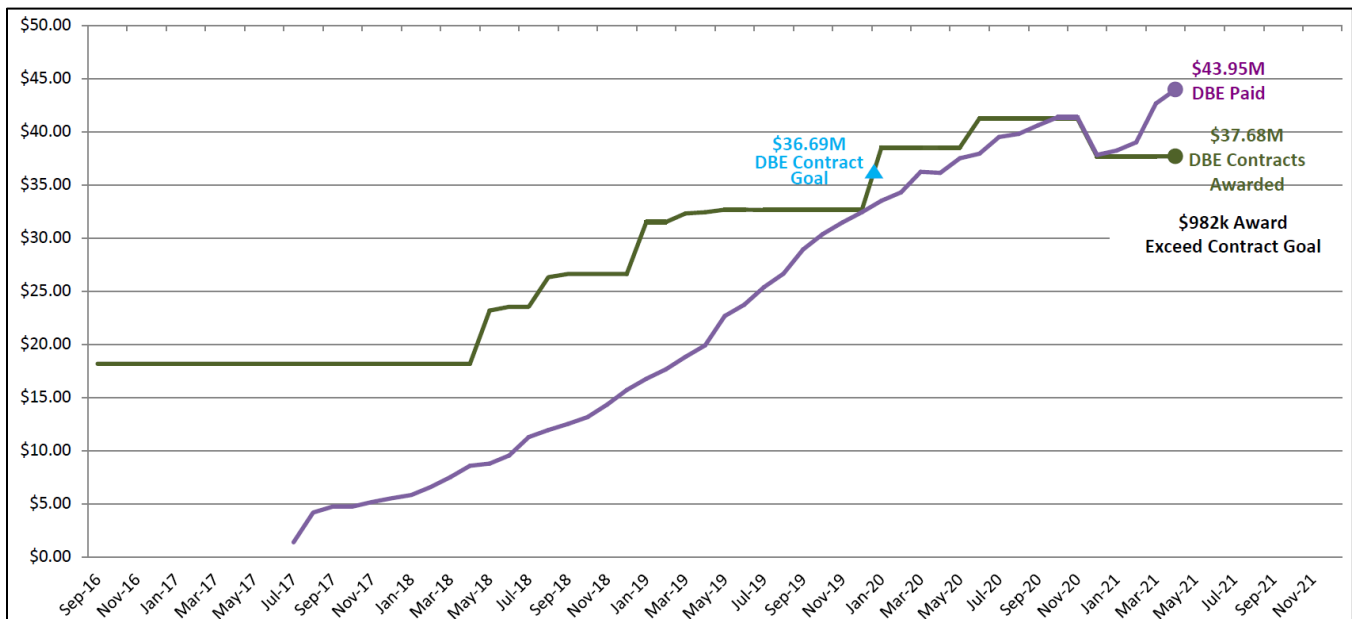
BBII proposed that 5.2% (\$36,693,442) of the DB base contract value including DBE contract change orders (\$705,643,121) would be subcontracted to DBEs.

Activity This Month

As expressed in Figure 17-1 below, to date BBII reports:

- **\$43,954,792** has been paid to DBE subcontractors.
- **\$37,675,908** of DBE contracts have been awarded.
- **6.23%** has been achieved.
- All reported figures are subject to verification by DBE Administrator.
- As a result of JPB’s DBE Office’s review of BBII’s DBE reports, one subcontractor was disqualified in December 2020. After removing amounts paid to the disqualified subcontractor, BBII’s reported awarded and achieved amounts show a decline from previous months. These amounts and are to be verified by JPB’s DBE Administrator.

Figure 17-1 DBE Participation



Activity Next Month

BBII has proposed the following key actions:

“We continue to anticipate increasing our DBE commitments to firms who we are currently negotiating pricing on proposed work or Professional Services Agreements. We are optimistic about the prospect of making future awards to DBE firms. We also anticipate that the existing project work will increase resulting in expanded work for current DBE subcontractors.”

18.0 PROCUREMENT

Invitation for Bids (IFB)/Request for Quotes (RFQ)/ Request for Proposals (RFP) Issued this Month:

- None

Bids, Quotes, Proposals in Response to IFB/RFQ/RFP Received this Month:

- None

In Process IFB/RFQ/RFP/Contract Amendments for Award:

- None

Contract Awards this Month:

- None

Work Directive (WD)/Purchase Order (PO) Awards & Amendments this Month:

- Multiple WDs & POs issued to support the program needs

Upcoming Contract Awards/Contract Amendments:

- None

Upcoming IFB/RFQ/RFP to be Issued:

- None

Existing Contracts Amendments Issued:

- None

19.0 TIMELINE OF MAJOR PROJECT ACCOMPLISHMENTS

Below is a timeline showing major project accomplishments from 2001 to 2017:

Date	Milestone
2001	Began federal National Environmental Policy Act (NEPA) Environmental Assessment (EA) / state EIR clearance process
2002	Conceptual Design completed
2004	Draft NEPA EA/EIR
2008	35% design complete
2009	Final NEPA EA/EIR and Finding of No Significant Impact (FONSI)
2014	RFQ for electrification RFI for EMU
2015	JPB approves final CEQA EIR JPB approves issuance of RFP for electrification JPB approves issuance of RFP for EMU Receipt of proposal for electrification FTA approval of Core Capacity Project Development
2016	JPB approves EIR Addendum #1: PS-7 FTA re-evaluation of 2009 FONSI Receipt of electrification best and final offers Receipt of EMU proposal Application for entry to engineering to FTA Completed the EMU Buy America Pre-Award Audit and Certification Negotiations completed with Stadler for EMU vehicles Negotiations completed with BBII, the apparent best-value electrification firm JPB approves contract award (LNTP) to BBII JPB approves contract award (LNTP) to Stadler FTA approval of entry into engineering for the Core Capacity Program Application for FFGA
2017	FTA finalized the FFGA for \$647 million in Core Capacity funding, met all regulatory requirements including end of Congressional Review Period (February) FTA FFGA executed, committing \$647 million to the project (May) JPB approves \$1.98 billion budget for PCEP (June) Issued NTP for EMUs to Stadler (June 1) Issued NTP for electrification contract to BBII (June 19) Construction began (August) EMU manufacturing began (October) Issued NTP for SCADA to Rockwell Collins (ARINC) (October) Issued NTP for CEMOF Facility Upgrades to HNTB (November)

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Date	Milestone
2018	Completed all PG&E agreements JPB approves contract award to Mitsui for the purchase of electric locomotives and Amtrak for overhaul services, storage, acceptance testing, training, and shipment of locomotive to CEMOF JPB approves authorization for the Executive Director to negotiate final contract award to ProVen for tunnel modifications and track rehabilitation project JPB approves contract award (LNTP) to ProVen for tunnel modifications Issued NTP to ProVen for tunnel modifications (October) Amended contract with ProVen to include OCS in the tunnels (November)
2019	JPB approves contract award to ProVen for CEMOF modifications (February) JPB approves LNTP to ProVen for CEMOF modifications (April) JPB approves NTP to ProVen for CEMOF modifications (September)
2020	JPB approves agreement amendment to PG&E for interconnection construction JPB executes agreement with PG&E for interconnection construction (May) FRA approved the waiver for Alternative Vehicle Technology regarding crashworthiness of EMU cars
2021	The intertie between TPS-2 and FMC was completed (January 18) First EMU vehicle shipped to Pueblo, CO for testing (February 10)

APPENDICES

Appendix A – Acronyms

**Peninsula Corridor Electrification Project
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AIM	Advanced Information Management	EA	Environmental Assessment
ARINC	Aeronautical Radio, Inc.	EAC	Estimate at Completion
BAAQMD	Bay Area Air Quality Management District	EIR	Environmental Impact Report
BBII	Balfour Beatty Infrastructure, Inc.	EOR	Engineer of Record
CAISO	California Independent System Operator	EMU	Electric Multiple Unit
CalMod	Caltrain Modernization Program	ESA	Endangered Species Act
Caltrans	California Department of Transportation	ESA	Environmental Site Assessments
CDFW	California Department of Fish and Wildlife	FAI	First Article Inspection
CEMOF	Centralized Equipment Maintenance and Operations Facility	FEIR	Final Environmental Impact Report
CEQA	California Environmental Quality Act (State)	FNTF	Full Notice to Proceed
CHSRA	California High-Speed Rail Authority	FFGA	Full Funding Grant Agreement
CIP	Capital Improvement Plan	FONSI	Finding of No Significant Impact
CNPA	Concurrent Non-Project Activity	FRA	Federal Railroad Administration
CPUC	California Public Utilities Commission	FTA	Federal Transit Administration
CTC	Centralized Traffic Control	GO	General Order
DB	Design-Build	HSR	High Speed Rail
DBB	Design-Bid-Build	ICD	Interface Control Document
DBE	Disadvantaged Business Enterprise	IFC	Issued for Construction
DEMP	Design, Engineering, and Management Planning	ITS	Intelligent Transportation System
		JPB	Peninsula Corridor Joint Powers Board
		LNTF	Limited Notice to Proceed

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MMRP	Mitigation, Monitoring, and Reporting Program	RFI	Request for Information
		RFP	Request for Proposals
MOU	Memorandum of Understanding	RFQ	Request for Qualifications
MPS	Master Program Schedule	ROCS	Rail Operations Center System
NCR	Non Conformance Report	ROW	Right of Way
NEPA	National Environmental Policy Act (Federal)	RRP	Railroad Protective Liability
NHPA	National Historic Preservation Act	RSD	Revenue Service Date
NMFS	National Marine Fisheries Service	RWP	Roadway Worker Protection
NTP	Notice to Proceed	SamTrans	San Mateo County Transit District
OCS	Overhead Contact System	SCADA	Supervisory Control and Data Acquisition
PCEP	Peninsula Corridor Electrification Project	SCC	Standard Cost Code
PCJPB	Peninsula Corridor Joint Powers Board	SPUR	San Francisco Bay Area Planning and Urban Research Association
PG&E	Pacific Gas and Electric	SFBCDC	San Francisco Bay Conservation Development Commission
PHA	Preliminary Hazard Analysis	SFCTA	San Francisco County Transportation Authority
PMOC	Project Management Oversight Contractor	SFMTA	San Francisco Municipal Transportation Authority
PS	Paralleling Station	SFRWQCB	San Francisco Regional Water Quality Control Board
PTC	Positive Train Control	SOGR	State of Good Repair
QA	Quality Assurance	SSCP	Safety and Security Certification Plan
QC	Quality Control	SSMP	Safety and Security Management Plan
QMP	Quality Management Plan	SSWP	Site Specific Work Plan
QMS	Quality Management System		
RAMP	Real Estate Acquisition Management Plan		
RE	Real Estate		

SWS	Switching Station
TASI	TransitAmerica Services Inc.
TBD	To Be Determined
TPS	Traction Power Substation
TVA	Threat and Vulnerability Assessment
UPRR	Union Pacific Railroad
USACE	United States Army Corp of Engineers
USFWS	U.S. Fish and Wildlife Service
VTA	Santa Clara Valley Transportation Authority

Appendix B – Funding Partner Meetings

Funding Partner Meeting Representatives
Updated May 21, 2021

Agency	CHSRA	MTC	SFCTA/SFMTA/CCSF	SMCTA	VTA
FTA Quarterly Meeting	<ul style="list-style-type: none"> • Boris Lipkin • Simon Whitehorn • Wai Siu (info only) • Sharath Murthy (info only) 	<ul style="list-style-type: none"> • Anne Richman 	<ul style="list-style-type: none"> • Luis Zurinaga 	<ul style="list-style-type: none"> • April Chan • Peter Skinner 	<ul style="list-style-type: none"> • Jim Lawson
Funding Partners Quarterly Meeting	<ul style="list-style-type: none"> • Boris Lipkin • Simon Whitehorn • John Popoff • Sharath Murthy (info only) 	<ul style="list-style-type: none"> • Trish Stoops 	<ul style="list-style-type: none"> • Luis Zurinaga 	<ul style="list-style-type: none"> • April Chan • Peter Skinner 	<ul style="list-style-type: none"> • Krishna Davey • Edwin Castillo • Franklin Wong
Funding Oversight (monthly)	<ul style="list-style-type: none"> • Kelly Doyle 	<ul style="list-style-type: none"> • Anne Richman • Kenneth Folan 	<ul style="list-style-type: none"> • Anna LaForte • Maria Lombardo • Luis Zurinaga • Monique Webster • Ariel Espiritu Santo 	<ul style="list-style-type: none"> • April Chan • Peter Skinner 	<ul style="list-style-type: none"> • Jim Lawson • Marcella Rensi • Michael Smith
Change Management Board (monthly)	<ul style="list-style-type: none"> • Boris Lipkin • Simon Whitehorn 	<ul style="list-style-type: none"> • Trish Stoops • Kenneth Folan 	<ul style="list-style-type: none"> • Luis Zurinaga • Tilly Chang (info only) 	<ul style="list-style-type: none"> • Joe Hurley 	<ul style="list-style-type: none"> • Krishna Davey • Edwin Castillo • Franklin Wong • James Costantini • Jim Lawson
Master Program Schedule Update (monthly)	<ul style="list-style-type: none"> • Wai Siu • Sharath Murthy 	<ul style="list-style-type: none"> • Trish Stoops 	<ul style="list-style-type: none"> • Luis Zurinaga 	<ul style="list-style-type: none"> • Joe Hurley 	<ul style="list-style-type: none"> • Jim Lawson
Risk Assessment Committee (monthly)	<ul style="list-style-type: none"> • Wai Siu • Sharath Murthy 	<ul style="list-style-type: none"> • Trish Stoops 	<ul style="list-style-type: none"> • Luis Zurinaga 	<ul style="list-style-type: none"> • Joe Hurley 	<ul style="list-style-type: none"> • Krishna Davey • Edwin Castillo • Franklin Wong
PCEP Delivery Coordination Meeting (bi-weekly)	<ul style="list-style-type: none"> • Wai Siu • Sharath Murthy 	<ul style="list-style-type: none"> • Trish Stoops 	<ul style="list-style-type: none"> • Luis Zurinaga 	<ul style="list-style-type: none"> • Joe Hurley 	<ul style="list-style-type: none"> • Krishna Davey • Edwin Castillo • Franklin Wong • James Costantini
Systems Integration Meeting (bi-weekly)	<ul style="list-style-type: none"> • Wai Siu • Sharath Murthy 	<ul style="list-style-type: none"> • Trish Stoops 	<ul style="list-style-type: none"> • Luis Zurinaga 	<ul style="list-style-type: none"> • Joe Hurley 	<ul style="list-style-type: none"> • Krishna Davey • Edwin Castillo • Franklin Wong

Appendix C – Schedule

Appendix D – Standard Cost Codes

Peninsula Corridor Electrification Project Monthly Progress Report

Description of Work	FFGA Baseline Budget (A)	Approved Budget (B)	Cost This Month (C)	Cost To Date (D)	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
10 - GUIDEWAY & TRACK ELEMENTS	\$14,256,739	\$27,369,522	(\$0)	\$25,013,485	\$3,283,155	\$28,296,640
10.02 Guideway: At-grade semi-exclusive (allows cross-traffic)	\$2,500,000	\$2,500,000	\$0	\$144,681	\$2,355,319	\$2,500,000
10.07 Guideway: Underground tunnel	\$8,110,649	\$24,869,522	(\$0)	\$24,868,804	\$927,836	\$25,796,640
10.07 Allocated Contingency	\$3,646,090	\$0	\$0	\$0	\$0	\$0
30 - SUPPORT FACILITIES: YARDS, SHOPS, ADMIN. BLDGS	\$2,265,200	\$8,165,286	\$66,251	\$6,742,238	\$1,619,358	\$8,361,596
30.03 Heavy Maintenance Facility	\$1,344,000	\$8,165,286	\$66,251	\$6,742,238	\$1,619,358	\$8,361,596
30.03 Allocated Contingency	\$421,200	\$0	\$0	\$0	\$0	\$0
30.05 Yard and Yard Track	\$500,000	\$0	\$0	\$0	\$0	\$0
40 - SITEWORK & SPECIAL CONDITIONS	\$255,072,402	\$259,555,656	\$6,501,237	\$234,721,308	\$35,280,626	\$270,001,933
40.01 Demolition, Clearing, Earthwork	\$3,077,685	\$10,110,000	(\$719,611)	\$7,026,702	\$3,120,904	\$10,147,606
40.02 Site Utilities, Utility Relocation	\$62,192,517	\$98,238,387	\$4,318,025	\$123,209,201	(\$18,262,255)	\$104,946,945
40.02 Allocated Contingency	\$25,862,000	(\$0)	\$0	\$0	(\$0)	(\$0)
40.03 Haz. mat'l, contam'd soil removal/mitigation, ground water treatments	\$2,200,000	\$8,744,961	(\$34,171)	\$6,555,554	\$2,866,380	\$9,421,934
40.04 Environmental mitigation, e.g. wetlands, historic/archeologic, parks	\$32,579,208	\$19,504,208	\$69,375	\$2,511,095	\$16,993,113	\$19,504,208
40.05 Site structures including retaining walls, sound walls	\$568,188	\$0	\$0	\$0	\$0	\$0
40.06 Pedestrian / bike access and accommodation, landscaping	\$804,933	\$2,735,000	\$304,750	\$338,000	\$2,397,000	\$2,735,000
40.07 Automobile, bus, van accessways including roads, parking lots	\$284,094	\$0	\$0	\$0	\$0	\$0
40.08 Temporary Facilities and other indirect costs during construction	\$107,343,777	\$99,613,100	\$2,562,869	\$95,080,756	\$22,835,670	\$117,916,426
40.08 Allocated Contingency	\$20,160,000	\$20,610,000	\$0	\$0	\$5,329,814	\$5,329,814
50 - SYSTEMS	\$504,445,419	\$503,805,169	\$8,357,891	\$270,975,077	\$258,473,307	\$529,448,384
50.01 Train control and signals	\$97,589,149	\$120,137,993	\$4,490,893	\$51,450,603	\$69,764,440	\$121,215,042
50.01 Allocated Contingency	\$1,651,000	\$0	\$0	\$0	\$0	\$0
50.02 Traffic signals and crossing protection	\$23,879,905	(\$0)	\$0	\$0	(\$0)	(\$0)
50.02 Allocated Contingency	\$1,140,000	\$1,140,000	\$0	\$0	\$1,140,000	\$1,140,000
50.03 Traction power supply: substations	\$69,120,009	\$101,632,202	\$1,908,152	\$56,119,891	\$47,827,225	\$103,947,116
50.03 Allocated Contingency	\$31,755,013	\$2,990,895	\$0	\$0	\$2,028,337	\$2,028,337
50.04 Traction power distribution: catenary and third rail	\$253,683,045	\$268,320,591	\$1,765,847	\$163,009,593	\$132,271,451	\$295,281,044
50.04 Allocated Contingency	\$18,064,000	\$4,018,488	\$0	\$0	\$271,844	\$271,844
50.05 Communications	\$5,455,000	\$5,547,000	\$193,000	\$394,989	\$5,152,011	\$5,547,000
50.07 Central Control	\$2,090,298	\$0	\$0	\$0	\$0	\$0
50.07 Allocated Contingency	\$18,000	\$18,000	\$0	\$0	\$18,000	\$18,000
60 - ROW, LAND, EXISTING IMPROVEMENTS	\$35,675,084	\$35,675,084	\$84,890	\$21,742,971	\$14,740,249	\$36,483,220
60.01 Purchase or lease of real estate	\$25,927,074	\$25,927,074	\$84,890	\$21,608,980	\$13,874,241	\$35,483,220
60.01 Allocated Contingency	\$8,748,010	\$8,748,010	\$0	\$0	(\$0)	(\$0)
60.02 Relocation of existing households and businesses	\$1,000,000	\$1,000,000	\$0	\$133,992	\$866,008	\$1,000,000
70 - VEHICLES (96)	\$625,544,147	\$619,576,898	\$7,590,436	\$264,331,060	\$355,792,284	\$620,123,345
70.03 Commuter Rail	\$589,167,291	\$590,626,491	\$5,366,543	\$261,568,888	\$334,564,956	\$596,133,844
70.03 Allocated Contingency	\$9,472,924	\$5,118,655	\$0	\$0	\$157,749	\$157,749
70.06 Non-revenue vehicles	\$8,140,000	\$5,067,821	\$0	\$538,280	\$4,529,541	\$5,067,821
70.07 Spare parts	\$18,763,931	\$18,763,931	\$2,223,893	\$2,223,893	\$16,540,038	\$18,763,931
80 - PROFESSIONAL SERVICES (applies to Cats. 10-50)	\$323,793,010	\$372,743,005	\$3,839,461	\$325,374,480	\$61,409,694	\$386,784,173
80.01 Project Development	\$130,350	\$130,350	\$0	\$289,233	(\$158,883)	\$130,350
80.02 Engineering (not applicable to Small Starts)	\$180,227,311	\$218,534,794	\$2,302,068	\$203,948,295	\$16,982,729	\$220,931,024
80.02 Allocated Contingency	\$1,866,000	\$4,678	\$0	\$0	\$4,678	\$4,678
80.03 Project Management for Design and Construction	\$72,029,265	\$86,612,175	\$697,427	\$86,009,335	\$16,537,017	\$102,546,352
80.03 Allocated Contingency	\$9,388,080	\$5,471,844	\$0	\$0	(\$0)	(\$0)
80.04 Construction Administration & Management	\$23,677,949	\$35,036,659	\$717,270	\$25,186,496	\$13,169,972	\$38,356,467
80.04 Allocated Contingency	\$19,537,000	\$8,581,451	\$0	\$0	\$5,261,643	\$5,261,643
80.05 Professional Liability and other Non-Construction Insurance	\$3,500,000	\$4,581,851	\$0	\$4,581,851	\$0	\$4,581,851
80.06 Legal; Permits; Review Fees by other agencies, cities, etc.	\$7,167,275	\$8,721,371	\$122,695	\$5,305,396	\$4,517,822	\$9,823,218
80.06 Allocated Contingency	\$556,000	\$0	\$0	\$0	\$0	\$0
80.07 Surveys, Testing, Investigation, Inspection	\$3,287,824	\$3,418,022	\$0	\$53,873	\$3,444,907	\$3,498,781
80.08 Start up	\$1,797,957	\$1,021,808	\$0	\$0	\$1,021,808	\$1,021,808
80.08 Allocated Contingency	\$628,000	\$628,000	\$0	\$0	\$628,000	\$628,000
Subtotal (10 - 80)	\$1,761,052,001	\$1,826,890,621	\$26,440,166	\$1,148,900,618	\$730,598,673	\$1,879,499,291
90 - UNALLOCATED CONTINGENCY	\$162,620,295	\$93,881,675	\$0	\$0	\$41,273,005	\$41,273,005
Subtotal (10 - 90)	\$1,923,672,296	\$1,920,772,296	\$26,440,166	\$1,148,900,618	\$771,871,678	\$1,920,772,296
100 - FINANCE CHARGES	\$6,998,638	\$9,898,638	\$79,586	\$7,348,816	\$2,549,822	\$9,898,638
Total Project Cost (10 - 100)	\$1,930,670,934	\$1,930,670,934	\$26,519,751	\$1,156,249,434	\$774,421,500	\$1,930,670,934

Appendix E – Change Order Logs

**Peninsula Corridor Electrification Project
Monthly Progress Report**

Change Order Logs

Electrification Contract

Change Order Authority (5% of BBII Contract)

5% x \$696,610,558 = \$34,830,528

Date	Change Number	Description	CCO Amount	Change Order Authority Usage¹	Remaining Authority
08/31/17	BBI-053-CCO-001	Track Access Delays Q4 2016	\$85,472	0.25%	\$34,745,056
02/28/18	BBI-053-CCO-003	Deletion of Signal Cable Meggering (Testing)	(\$800,000)	(2.30%)	\$35,545,056
02/21/18	BBI-053-CCO-004	Field Order for Differing Site Condition Work Performed on 6/19/17	\$59,965	0.17%	\$35,485,091
03/12/18	BBI-053-CCO-006	Track Access Delays for Calendar Quarter 1 2017	\$288,741	0.83%	\$35,196,350
04/24/18	BBI-053-CCO-002	Time Impact 01 Associated with Delayed NTP	\$9,702,667	0.00% ²	-
04/24/18	BBI-053-CCO-008	2016 Incentives (Safety, Quality, and Public Outreach)	\$750,000	0.00% ²	-
05/31/18	BBI-053-CCO-009	16th St. Grade Crossing Work Removal from BBII Contract	(\$685,198)	(1.97%)	\$35,881,548
05/31/18	BBI-053-CCO-012	2017 Incentives (Safety, Quality, and Public Outreach)	\$1,025,000	0.00% ²	-
06/25/18	BBI-053-CCO-010	Pothole Change Of Shift	\$300,000	0.86%	\$35,581,548
06/25/18	BBI-053-CCO-013	Field Order for Signal Cable Relocation (FO# 31)	\$95,892	0.28%	\$35,485,656
06/25/18	BBI-053-CCO-015	TASI Pilot Transportation 2017	\$67,345	0.19%	\$35,418,311
06/26/18	BBI-053-CCO-005	Field Orders for Signal Cable Relocation (FO#s 26, 30)	\$191,836	0.55%	\$35,226,475
06/28/18	BBI-053-CCO-014	Field Orders for Signal Cable Relocation (FO-36 & FO-38)	\$145,694	0.42%	\$35,080,781
06/29/18	BBI-053-CCO-007	Track Access Delays for Calendar Quarter 2 2017	\$297,512	0.85%	\$34,783,269
06/29/18	BBI-053-CCO-011	Field Orders for Differing Site Condition (FO#s Partial 07A , 08-14)	\$181,013	0.52%	\$34,602,256
06/29/18	BBI-053-CCO-017	Field Order for NorCal Utility Potholing (FO# 27)	\$93,073	0.27%	\$34,509,183
06/29/18	BBI-053-CCO-018	Field Order for NorCal Utility Potholing (FO# 29)	\$76,197	0.22%	\$34,432,986
06/29/18	BBI-053-CCO-020	Field Orders for Differing Site Condition (FO#s 15-19)	\$118,364	0.34%	\$34,314,622
7/19/2018	BBI-053-CCO-019	Field Order for NorCal Utility Potholing (FO-032)	\$88,956	0.26 %	\$34,225,666
7/19/2018	BBI-053-CCO-021	As In-Service (AIS) Drawings for Segment 2 and 4 Signal Design (CN-009)	\$105,000	0.30 %	\$34,120,666
7/25/2018	BBI-053-CCO-022	CEMOF Yard Traction Power Feed (CN-008)	\$332,700	0.96 %	\$33,787,966
7/31/2018	BBI-053-CCO-028	Sonic Echo Impulse Testing	\$4,541	0.01 %	\$33,783,425
7/31/2018	BBI-053-CCO-026	TASI Pilot Transportation 2018 (CNC-0022)	\$50,409	0.14%	\$33,733,016
7/31/2018	BBI-053-CCO-027	Signal Cable Relocation (FOs-040 & 051)	\$196,114	0.56%	\$33,536,902
9/27/2018	BBI-053-CCO-030	Delete Spare 115k Disconnect Switches	(\$19,000)	(0.05)%	\$33,555,902
9/28/2018	BBI-053-CCO-031	Bldg A HVAC and FOB Card Reader Systems	\$76,500	0.22 %	\$33,479,402
9/28/2018	BBI-053-CCO-025A	Addition of Shunt Wire at Transverse Utility Crossing Locations – Design	\$925,000	2.66 %	\$32,554,402
9/28/2018	BBI-053-CCO-016A	UPRR MT-1 Pole Relocation - Design Changes	\$903,000	0.00% ²	-
9/28/2018	BBI-053-CCO-024A	PG&E Utility Feed Connection to TPS#1 and TPS#2 (Design Only)	\$727,000	0.00% ²	-
12/17/2018	BBI-053-CCO-032	PS-2 Site Relocation (Design Only)	\$291,446	0.84%	\$32,262,956
1/17/2019	BBI-053-CCO-023	Insulated Rail Joints	\$2,694,519	0.00% ²	-
1/17/2019	BBI-053-CCO-029	CHSRA Early Pole Relocation (Design Only)	\$625,000	0.00% ^{2,3}	-
2/5/2019	BBI-053-CCO-040A	Increase in Potholing Quantity (unit price contract bid item by 25%)	\$1,662,500	4.77 %	\$30,600,456

Peninsula Corridor Electrification Project
Monthly Progress Report

Change Order Authority (5% of BBII Contract)

5% x \$696,610,558 = \$34,830,528

Date	Change Number	Description	CCO Amount	Change Order Authority Usage ¹	Remaining Authority
3/5/2019	BBI-053-CCO-042A	TPSS-2 VTA/BART Pole Relocation (Design Only) (CNPA funded by VTA)	\$110,000	0.32% ³	\$30,490,456
3/11/2019	BBI-053-CCO-036	Field Order for Signal Cable Relocation (FO-064)	\$86,538	0.25%	\$30,403,918
3/20/2019	BBI-053-CCO-035	Millbrae Avenue Existing Overhead Barrier	(\$40,000)	(0.11)%	\$30,443,918
3/19/2019	BBI-053-CCO-046	Training in Design Software and Potholing	\$136,611	0.39%	\$30,307,307
4/8/2019	BBI-053-CCO-041	Grade Crossing Warning System (CN59) – 5 mph Speed Check	\$446,982	1.28%	\$29,860,325
5/30/2019	BBI-053-CCO-044	Additional Daytime Potholing (Increase Quantity by 500 in Segment 4)	\$150,000	0.43 %	\$29,710,325
6/6/2019	BBI-053-CCO-048	Power Metering Devices	\$101,908	0.29 %	\$29,608,417
6/13/2019	BBI-053-CCO-045	Incentive Payment for 2018	\$1,025,000	0.00% ²	-
6/13/2019	BBI-053-CCO-024B	PG&E Utility Feed Connection to TPS #1 and TPS#2 (Material On Hand)	\$1,600,000	4.59 %	\$28,008,417
6/24/2019	BBI-053-CCO-043	PS-5 Site Relocation (Design Only)	\$348,000	1.00 %	\$27,660,417
6/24/2019	BBI-053-CCO-054	Change Design Sequence for OCS Foundations	\$37,500	0.11%	\$27,622,917
7/1/2019	BBI-053-CCO-040B	Increase Quantity for Utilities Potholing (Bid Item #9)	\$1,867,700	5.36 %	\$25,755,217
7/10/2019	BBI-053-CCO-033A	Relocation of PS3 (Design) (CNPA funded by BGSP)	\$500,000	1.44 % ³	\$25,255,217
8/15/2019	BBI-053-CCO-047	CEMOF Slot Drains (Design Only)	\$69,000	0.20%	\$25,186,217
8/16/2019	BBI-053-CCO-055	Sheriff's Deputy in Segment 4B	\$4,644	0.01%	\$25,181,573
9/3/2019	BBI-053-CCO-037	Field Orders for Signal Cable Relocation (FO-053 & FO-059)	\$184,576	0.53%	\$24,996,997
9/7/2019	BBI-053-CCO-057	Mediator with Technical Expertise	\$0	0.00%	\$24,996,997
9/27/2019	BBI-053-CCO-061	Interconnect Renaming of Circuit Numbers	\$58,058	0.17%	\$24,938,939
9/27/2019	BBI-053-CCO-063A	Track Access Delays - Quarter 1 2018 (Partial)	\$343,496	0.99%	\$24,595,443
10/21/2019	BBI-053-CCO-064	TPS-2 VTA Pole Height Redesign (CNPA funded by VTA)	\$31,000	0.09% ³	\$24,564,443
11/15/2019	BBI-053-CCO-038	Field Order for Signal Cable Relocation (FO-079 & FO-085)	\$187,764	0.54 %	\$24,376,680
11/26/2019	BBI-053-CCO-025B	Addition of OCS Shunt Wires in Segments 2 & 4 - Wire Assembly Materials Only - voided below on 7/31/20	\$144,370	0.41 %	\$24,232,310
12/11/2019	BBI-053-CCO-065A	Foundation Inefficiencies S2WA5	\$401,501	1.15%	\$23,830,809
12/17/2019	BBI-053-CCO-025C	Addition of OCS Shunt Wires in Segments 2 & 4 – Pole Assembly Materials Only - voided below on 7/31/20	\$884,500	2.54 %	\$22,946,309
1/7/2020	BBI-053-CCO-066A	Increase Quantity for Contaminated Soils (Bid Unit Price Item #1)	\$950,000	2.73 %	\$21,996,309
2/5/2020	BBI-053-CCO-023B	Insulated Rail Joints De-stressing	\$890,600	2.56 %	\$21,105,709
3/18/2020	BBI-053-CCO-072A	SVP Requirements for Joint SIS & SPS (Task 1) - voided below on 7/9/20	\$80,000	0.23 %	\$21,025,709
3/19/2020	BBI-053-CCO-023C	Portec Insulated Rail Joints	\$375,000	1.08 %	\$20,650,709
3/26/2020	BBI-053-CCO-076	Asbestos Pipe Abatement at CP Shark	\$145,872	0.42 %	\$20,504,837
3/31/2020	BBI-053-CCO-075	Norcal Utility Potholing (FO#39)	\$98,105	0.28 %	\$20,406,733
4/21/2020	BBI-053-CCO-077A	Contaminated Soil (Class 1) at TPS-1	\$701,780	2.01 %	\$19,704,953
4/27/2020	BBI-053-CCO-066B	Increase Quantity for Contaminated Soils (Bid Item #1)	\$926,273	2.66 %	\$18,778,680
4/27/2020	BBI-053-CCO-090A	Signal Cable Relocation (Field Order No. 340)	\$47,258	0.14 %	\$18,731,423
4/27/2020	BBI-053-CCO-091A	Signal Cable Relocation (Field Order No. 340)	\$131,663	0.38 %	\$18,599,759
4/29/2020	BBI-053-CCO-080A	Steel Plates to Protect Utilities (DTDS)	\$135,128	0.39 %	\$18,464,631

**Peninsula Corridor Electrification Project
Monthly Progress Report**

Change Order Authority (5% of BBII Contract)

5% x \$696,610,558 = \$34,830,528

Date	Change Number	Description	CCO Amount	Change Order Authority Usage ¹	Remaining Authority
4/29/2020	BBI-053-CCO-081A	Steel Plates to Protect Utilities (DTDS)	\$95,474	0.27 %	\$18,369,157
4/29/2020	BBI-053-CCO-071	Increase Quantity for Tree Pruning (Bid Unit Price Item #4d)	\$375,000	1.08 %	\$17,994,157
5/1/2020	BBI-053-CCO-050	Switch Machine Isolation – Credit	(\$277,430)	(0.80)%	\$18,271,586
5/19/2020	BBI-053-CCO-092A	Signal Cable Relocation (Field Order No. 340)	\$106,773	0.31 %	\$18,164,814
5/19/2020	BBI-053-CCO-093A	Signal Cable Relocation (Field Order No. 340)	\$90,765	0.26 %	\$18,074,049
5/27/2020	BBI-053-CCO-101	Asbestos Pipe Abatement at 46.3-07/08	\$21,037	0.06 %	\$18,053,012
6/15/2020	BBI-053-CCO-049A	Long-reach Foundations Installation - Unit Price	\$46,560	0.13 %	\$18,006,452
6/15/2020	BBI-053-CCO-049B	Long-reach Foundations Installation - Unit Price	\$46,560	0.13 %	\$17,959,892
6/18/2020	BBI-053-CCO-033B	PS-3 Site Relocation FEMA 2019 Update and BGSP Design Coordination – CNPA	\$50,000	0.14 % ³	\$17,909,892
6/30/2020	BBI-053-CCO-082A	Steel Plates to Protect Utilities (DTDS)	\$90,658	0.26 %	\$17,819,235
6/30/2020	BBI-053-CCO-083A	Steel Plates to Protect Utilities (DTDS)	\$181,900	0.52 %	\$17,637,335
6/30/2020	BBI-053-CCO-094A	Signal Cable Relocation (Field Order No. 340)	\$124,633	0.36 %	\$17,512,702
7/9/2020	BBI-053-CCO-072A	SVP Requirements for Joint SIS & SPS (Task 1) – Voided	(\$80,000)	(0.23)%	\$17,592,702
7/9/2020	BBI-053-CCO-072A REV2	SVP Requirements for Joint SIS & SPS (Tasks 0-5) - voided below on 2/23/2021	\$300,000	0.86 %	\$17,292,702
7/16/2020	BBI-053-CCO-100	Remove Tree Stump at 46.4-02	\$1,459	0.00 %	\$17,291,243
7/30/2020	BBI-053-CCO-078	Re-design CEMOF OCS Poles due to Stair 71 Conflict	\$11,796	0.03 %	\$17,279,447
7/30/2020	BBI-053-CCO-084A	Steel Plates to Protect Utilities (DTDS)	\$101,334	0.29 %	\$17,178,113
7/30/2020	BBI-053-CCO-085A	Steel Plates to Protect Utilities (DTDS)	\$94,062	0.27 %	\$17,084,051
7/30/2020	BBI-053-CCO-104	Utility Conflict During PVC Conduit Installation	\$2,657	0.01 %	\$17,081,394
7/31/2020	BBI-053-CCO-103	Track Access Delays – 2017 Quarter 3 - voided below on 2/16/2021	\$145,892	0.42 %	\$16,935,503
7/31/2020	BBI-053-CCO-025B	Addition of OCS Shunt Wires in Segments 2 & 4 - Wire Assembly Materials Only – Voided	(\$144,370)	(0.41)%	\$17,079,873
7/31/2020	BBI-053-CCO-025C	Addition of OCS Shunt Wires in Segments 2 & 4 – Pole Assembly Materials Only – Voided	(\$884,500)	(2.54)%	\$17,964,373
8/3/2020	BBI-053-CCO-063B	Track Access Delays – Quarter 1 2018 (Part 2)	\$92,906	0.27 %	\$17,871,466
8/14/2020	BBI-053-CCO-106	Track Access Delays – 2017 Quarter 4	\$903,794	2.59 %	\$16,967,672
9/10/2020	BBI-053-CCO-025F	OCS Shunt Wire (Construction)	\$9,500,000	0.00% ²	-
9/11/2020	BBI-053-CCO-126	Track Access Delays - 2019 Quarter 3 – OCS Foundations	\$81,223	0.23 %	\$16,886,450
9/24/2020	BBI-053-CCO-127	Track Access Delays – 2019 Quarter 4 – OCS Foundations	\$147,223	0.42 %	\$16,739,227
9/21/2020	BBI-053-CCO-051	CEMOF Yard OCS Changes (Design Only)	\$210,300	0.60 %	\$16,528,927
9/21/2020	BBI-053-CCO-074	Underground Utilities Clearance	\$0	0.00 %	\$16,528,927
10/19/2020	BBI-053-CCO-072C	PCEP SIS & SPS Additional Validation Work	\$27,696	0.08 %	\$16,501,231
10/27/2020	BBI-053-CCO-105	Pole Removal at Location 30.7-01	\$2,297	0.01 %	\$16,498,935
11/30/2020	BBI-053-CCO-056	Delivery of Signal Cable	\$3,391	0.01 %	\$16,495,544
12/22/2020	BBI-053-CCO-111	Incentives Payment for 2019	\$825,000	0.00% ²	-
2/9/2021	BBI-053-CCO-025G	OCS Shunt Wire (Design)	\$0	0.00 %	\$16,495,544
2/11/2021	BBI-053-CCO-047B	CEMOF Yard Slot Drains Relocation (Construction)	\$360,000	1.03 %	\$16,135,544
2/16/2021	BBI-053-CCO-103	Track Access Delays – 2017 Quarter 3 – voided	(\$145,892)	(0.42)%	\$16,281,435

Peninsula Corridor Electrification Project

Monthly Progress Report

Change Order Authority (5% of BBII Contract)

5% x \$696,610,558 = \$34,830,528

Date	Change Number	Description	CCO Amount	Change Order Authority Usage ¹	Remaining Authority
2/16/2021	BBI-053-CCO-103 REV1	Track Access Delays – 2017 Quarter 3	\$164,518	0.47 %	\$16,116,918
2/23/2021	BBI-053-CCO-072A REV2	SVP Requirements for Joint SIS & SPS (Tasks 0-5) – voided	(\$300,000)	(0.86)%	\$16,416,918
2/23/2021	BBI-053-CCO-072B	Requirements for PCEP Joint System Impact Study & Single Phase Study	\$520,000	1.49 %	\$15,896,918
3/17/2021	BBI-053-CCO-203	Increase in Permit Allowance (Bid Allowance Item #5)	\$300,000	0.86 %	\$15,596,918
3/17/2021	BBI-053-CCO-205	Increase in Partnering Allowance (Bid Allowance Item #2)	\$186,000	0.53 %	\$15,410,918
3/26/2021	BBI-053-CCO-192	Abandoned Utility Pole Removal at MP24.72	\$2,766	0.01 %	\$15,408,151
4/23/2021	BBI-053-CCO-108A	Deletion of 5 & 5A Switch Crossover at CP Shark (Part 1)	\$163,996	0.47 %	\$15,244,156
4/23/2021	BBI-053-CCO-024C	TPSS 1&2 PG&E Interconnection-Procurement of Long Lead Materials (Credit)	(\$1,345,033)	(3.86)%	\$16,589,188
4/30/2021	BBI-053-CCO-113A	Walk-in Enclosure at Luther Junction (BBI, PGH Wong and QEI)	\$51,281	0.15 %	\$16,537,907
Total			\$46,069,807	52.52 %	\$16,537,907

Notes:

1. When the threshold of 75% is reached, staff may return to the Board to request additional authority.
2. Change approved by the Board of Directors – not counted against the Executive Director's Change Order Authority.
3. Third party improvements/CNPA projects that are funded with non-PCEP funds.

EMU Contract

Change Order Authority (5% of Stadler Contract)

5% x \$550,899,459 = \$27,544,973

Date	Change Number	Description	CCO Amount	Change Order Authority Usage ¹	Remaining Authority
09/22/2017	STA-056-CCO-001	Contract General Specification and Special Provision Clean-up	\$0	0.00%	-
10/27/2017	STA-056-CCO-002	Prototype Seats and Special Colors	\$55,000	0.20%	\$27,489,973
11/02/2017	STA-056-CCO-003	Car Level Water Tightness Test	\$0	0.00%	-
12/05/2017	STA-056-CCO-004	Onboard Wheelchair Lift 800 Pound Capacity Provisions	\$848,000	3.08%	\$26,641,973
11/03/2017	STA-056-CCO-005	Design Progression (multiple)	\$0	0.00%	-
12/12/2017	STA-056-CCO-006	Prototype Seats and Special Colors	(\$27,500)	(0.10%)	\$26,669,473
01/17/2018	STA-056-CCO-007	Multi-Color Destination Signs	\$130,760	0.47%	\$26,538,713
02/09/2018	STA-056-CCO-008	Adjustment to Delivery and LDs due to delayed FNTP	\$490,000	0.00% ²	-
02/12/2018	STA-056-CCO-009	Ship Cab Mock-up to Caltrain	\$53,400	0.19%	\$26,485,313
04/17/2018	STA-056-CCO-010	Onboard Wheelchair Lift Locations	(\$1,885,050)	(6.84%)	\$28,370,363
04/17/2018	STA-056-CCO-011	Multiple Change Group 3 and Scale Models	\$0	0.00%	-
10/29/2018	STA-056-CCO-012	Multiple Change Group 4	\$0	0.00%	-
10/29/2018	STA-056-CCO-013	Wheelchair Lift Installation Redesign	\$228,400	0.83%	\$28,141,963
12/14/2018	STA-056-CCO-014	PTC System Change	\$0	0.00%	-
12/22/2018	STA-056-CCO-015	EMU Option Cars	\$172,800,047	0.00% ^{2,3}	-
6/26/2019	STA-056-CCO-016	Testing at TTCL (Pueblo Facility) - First Trainset	\$3,106,428	11.28 %	\$25,035,535
8/27/2019	STA-056-CCO-017	Virtual Reality Experience	\$400,000	1.45 %	\$24,635,535
8/21/2019	STA-056-CCO-018	EMI Conducted Emissions Limits	\$0	0.00%	\$24,635,535
8/8/2019	STA-056-CCO-019	Option Car Payment Milestones	\$0	0.00%	\$24,635,535

**Peninsula Corridor Electrification Project
Monthly Progress Report**

Change Order Authority (5% of Stadler Contract)

5% x \$550,899,459 = \$27,544,973

Date	Change Number	Description	CCO Amount	Change Order Authority Usage ¹	Remaining Authority
8/21/2019	STA-056-CCO-020	Multiple No Cost No Schedule Impact Changes Group 5	\$0	0.00%	\$24,635,535
10/28/2019	STA-056-CCO-021	Plugging of High-Level Doorways	\$736,013	2.67%	\$23,899,523
11/13/2019	STA-056-CCO-022	Add Flip-Up Seats into Bike Cars (CNPA: \$1.96M funded by Non-PCEP)	\$1,961,350	7.12% ³	\$21,938,173
4/21/2020	STA-056-CCO-025	Removal of Vandal Film from Windows	(\$374,994)	(1.36)%	\$22,313,167
5/6/2020	STA-056-CCO-023	Deferral of Wheelchair Lifts	\$632,703	2.30 %	\$21,680,464
7/13/2020	STA-056-CCO-026	Update VR Experiences (CNPA: \$43K funded by Non-PCEP)	\$43,000	0.16 % ³	\$21,637,464
9/14/2020	STA-056-CCO-027	EMU Liquidated Damages, and Delivery and Testing Schedule Modifications	\$0	0.00 %	\$21,637,464
10/12/2020	STA-056-CCO-029	Multiple No Cost / No Schedule Impact Changes Group 7	\$0	0.00 %	\$21,637,464
1/28/2021	STA-056-CCO-028	Procure Pantograph Automated Inspection System	\$790,211	2.87 %	\$20,847,253
2/26/2021	STA-056-CCO-031	Bike Car Dividers	\$194,940	0.71 %	\$20,652,313
3/8/2021	STA-056-CCO-030	Video of trainset while at TTC	\$9,833	0.04 %	\$20,642,481
3/25/2021	STA-056-CCO-032	Credit for Waived Testing	(\$1,040,000)	(3.78)%	\$21,682,481
Total			\$179,152,539	21.28 %	\$21,682,481

Notes:

1. When the threshold of 75% is reached, staff may return to the Board to request additional authority.
2. Change approved by the Board of Directors – not counted against the Executive Director's Change Order Authority.
3. Third party improvements/CNPA projects that are funded with non-PCEP funds.

SCADA Contract

Change Order Authority (15% of ARINC Contract)

15% x \$3,446,917 = \$517,038

Date	Change Number	Description	CCO Amount	Change Order Authority Usage ¹	Remaining Authority
2/11/2021	ARINC-061-CCO-001	Traction Power Facility SCADA Database Changes	\$395,538	76.50 %	\$121,500
Total			\$395,538	76.50 %	\$121,500

Notes:

1. When the threshold of 75% is reached, staff may return to the Board to request additional authority.
2. Change approved by the Board of Directors – not counted against the Executive Director's Change Order Authority.

Tunnel Modifications Contract

Change Order Authority (10% of ProVen Contract¹)

10% x \$55,077,777 = \$5,507,778

Date	Change Number	Description	CCO Amount	Change Order Authority Usage ²	Remaining Authority
3/27/2019	PROV-070-CCO-003	Track Access Delay	\$25,350	0.46 %	\$5,482,428
3/27/2019	PROV-070-CCO-004	Additional OCS Potholing Due to Conflict with Existing Utilities	\$70,935	1.29 %	\$5,411,493
3/27/2019	PROV-070-CCO-005	Install Tie Backs and Piles in Boulders at Tunnel 4	\$29,478	0.54 %	\$5,382,015
3/28/2019	PROV-070-CCO-001	Partnering Meetings (50% PCEP)	\$14,443	0.26 % ⁴	\$5,367,572
4/25/2019	PROV-070-CCO-002	Furnish Galvanized E-clips	\$37,239	0.68 %	\$5,330,333
4/30/2019	PROV-070-CCO-006	Additional Rock Bolts and Testing	\$22,549	0.41 %	\$5,307,784

Peninsula Corridor Electrification Project
Monthly Progress Report

Change Order Authority (10% of ProVen Contract¹)

10% x \$55,077,777 = \$5,507,778

Date	Change Number	Description	CCO Amount	Change Order Authority Usage ²	Remaining Authority
5/23/2019	PROV-070-CCO-013	Late Removal of Leaky Feeder Tunnel 4 (T-4)	\$21,225	0.39 %	\$5,286,559
5/28/2019	PROV-070-CCO-014	OCS Piles Utility Conflict at Tunnel-1 South (T-1S)	\$16,275	0.30 %	\$5,270,284
5/29/2019	PROV-070-CCO-012	OCS Piles Utility Conflict at T-4S	\$6,871	0.12 %	\$5,263,413
5/31/2019	PROV-070-CCO-016A	Portal Structure Detailing Changes	\$84,331	1.53 %	\$5,179,082
6/18/2019	PROV-070-CCO-009	Creosote Ties Covering (CNPA - Drainage \$3,116.00)	\$3,116	0.06 % ⁴	\$5,175,966
6/28/2019	PROV-070-CCO-008	Micropiles at South Tunnel-2 South (T-2S)	\$41,322	0.75 %	\$5,134,644
6/28/2019	PROV-070-CCO-010	Salvage Transition Panels (CNPA - Drainage \$6,144.00)	\$6,144	0.11 % ⁴	\$5,128,500
6/28/2019	PROV-070-CCO-011	Demo PVC and Plug Tunnel-1 South (T-1S) (CNPA - Drainage \$4,035.00)	\$4,035	0.07 % ⁴	\$5,124,465
6/28/2019	PROV-070-CCO-020	Unidentified SD Conflict with Junction Inlet (CNPA - Drainage \$1,976.00)	\$1,976	0.04 % ⁴	\$5,122,489
9/26/2019	PROV-070-CCO-007	Canopy Tube Drilling	\$89,787	1.63%	\$5,032,702
9/26/2019	PROV-070-CCO-023	Over-excavate Trapezoidal Ditch at T-1N (CNPA - Drainage \$46,914.00)	\$46,914	0.85% ⁴	\$4,985,788
10/4/2019	PROV-070-CCO-029	Additional DryFix Pins	\$105,000	1.91%	\$4,880,788
10/4/2019	PROV-070-CCO-021	Out of Sequence Piles	\$185,857	3.37 %	\$4,694,931
10/30/2019	PROV-070-CCO-017	Hard Piping in T-4 (CNPA - Drainage \$2,200.00)	\$2,200	0.04 % ⁴	\$4,692,731
1/25/2020	PROV-070-CCO-027	Grout Quantity Underrun	(\$1,216,000)	(22.08)%	\$5,908,731
1/29/2020	PROV-070-CCO-026	HMAC Quantity Overrun (CNPA - Drainage \$160,000.00)	\$160,000	2.9 % ⁴	\$5,748,731
5/11/2020	PROV-070-CCO-025	NOPC #1 CWR (CNPA - Drainage \$660,000.00)	\$660,000	11.98 % ⁴	\$5,088,731
7/31/2020	PROV-070-CCO-032	Stone Masonry Fabrication at T-4S	\$26,367	0.48 %	\$5,062,364
7/31/2020	PROV-070-CCO-035	Low Overhead Obstruction at T-1N	\$18,894	0.34 %	\$5,043,470
1/27/2021	PROV-070-CCO-037	Additional Fence	\$15,651	0.28 %	\$5,027,819
8/20/2020	PROV-070-CCO-034	Milestone No. 2 - Overall Substantial Completion	\$0	0.00 %	\$5,027,819
Total			\$479,959	8.71 %	\$5,027,819

Notes:

1. Tunnel modifications contract (\$55,077,777) includes: Notching (\$25,281,170), Drainage (\$13,196,607) and OCS Installation (\$16,600,000).
2. When the threshold of 75% is reached, staff may return to the Board to request additional authority.
3. Change approved by the Board of Directors – not counted against the Executive Director’s Change Order Authority.
4. Third Party Improvements/CNPA Projects that are funded with non-PCEP funds.

CEMOF Modifications Contract

Change Order Authority (10% of ProVen Contract)

10% x \$6,550,777 = \$655,078

Date	Change Number	Description	CCO Amount	Change Order Authority Usage ¹	Remaining Authority
1/16/2020	PROV-071-CCO-001	Change Casing Size of Siphon Line to Schedule 80 PVC Pipe	\$3,849	0.59 %	\$651,229
1/13/2020	PROV-071-CCO-002	Leakage test for IW line	\$1,339	0.20 %	\$649,890
1/15/2020	PROV-071-CCO-003	Roughen surface of existing concrete	\$3,159	0.48 %	\$646,731
1/9/2020	PROV-071-CCO-004	Change Catch Basin Size from 24"X24" to 36" Round	\$14,415	2.20 %	\$632,316
1/15/2020	PROV-071-CCO-005	Hand Dig around Communication Lines	\$906	0.14 %	\$631,410

**Peninsula Corridor Electrification Project
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Change Order Authority (10% of ProVen Contract)

10% x \$6,550,777 = \$655,078

Date	Change Number	Description	CCO Amount	Change Order Authority Usage¹	Remaining Authority
1/17/2020	PROV-071-CCO-008	Change Storm Drain Line A Material from 12-inch RCP Pipe to 12-inch PVC Pipe	\$3,583	0.55 %	\$627,827
1/16/2020	PROV-071-CCO-009	Demolition of Existing Exterior Light	\$1,558	0.24 %	\$626,269
2/13/2020	PROV-071-CCO-010	Deletion of Plastic Bollards Around New Inspection Pit	(\$3,324)	(0.51)%	\$629,593
2/13/2020	PROV-071-CCO-011	Fixing Broken Conduit in Concrete Slab North of Maintenance Building	\$4,286	0.65 %	\$625,307
2/13/2020	PROV-071-CCO-012	Epoxy Dowels at New Stairwells	\$3,526	0.54 %	\$621,781
2/13/2020	PROV-071-CCO-013	Deletion of the Removal and Replacement of Pump Disconnect Switches	(\$7,007)	(1.07)%	\$628,788
2/13/2020	PROV-071-CCO-014	Recycled Base Rock for Backfill at Pressurized Water Line at Parts Storage Warehouse	\$1,411	0.22 %	\$627,377
2/20/2020	PROV-071-CCO-015	Cut and Cap Oil Line	\$1,002	0.15 %	\$626,375
2/25/2020	PROV-071-CCO-016	Installation of Homerun Conduit	\$27,404	4.18 %	\$598,971
2/25/2020	PROV-071-CCO-017	Potholing for Boosted Water Line	\$18,476	2.82 %	\$580,495
2/28/2020	PROV-071-CCO-018	Cap Compressed Air Line	\$9,519	1.45 %	\$570,976
2/28/2020	PROV-071-CCO-019	Acoustic Ceiling Removal at Component Test Room	\$4,253	0.65 %	\$566,723
3/5/2020	PROV-071-CCO-020	Ground Wire Relocation	\$14,117	2.16 %	\$552,606
3/13/2020	PROV-071-CCO-021	Zurn Drain Assembly in Lieu of Fibrelyte	\$1,104	0.17 %	\$551,502
4/8/2020	PROV-071-CCO-022	Deletion of Concrete Pad and Double Plywood Floor at PSW	(\$1,409)	(0.22)%	\$552,911
4/8/2020	PROV-071-CCO-023	Flashing at Overflow Drain at Component Test Room	\$2,981	0.46 %	\$549,930
4/9/2020	PROV-071-CCO-024	Parts Storage Warehouse Power Feed	\$16,412	2.51 %	\$533,518
4/22/2020	PROV-071-CCO-025	Removal of Hazardous Soil from PSW Subgrade Excavation	\$43,444	6.63 %	\$490,073
4/22/2020	PROV-071-CCO-026A	Removal of Hazardous Soil from PSW Footing Excavation	\$35,808	5.47 %	\$454,266
4/27/2020	PROV-071-CCO-027	480 Volt Duct Bank and Wire Removal	\$5,015	0.77 %	\$449,251
5/28/2020	PROV-071-CCO-031A	Temporary Facilities - Eye Wash Stations	\$656	0.10 %	\$448,595
6/3/2020	PROV-071-CCO-032A	Water Diversion Pump for Catch Basin Work	\$2,745	0.42 %	\$445,850
6/3/2020	PROV-071-CCO-033A	Light Towers for Maintenance Building Yard	\$3,897	0.59 %	\$441,953
6/3/2020	PROV-071-CCO-034	Investigation of Concrete Underneath Ties at Track 5	\$5,060	0.77 %	\$436,893
6/16/2020	PROV-071-CCO-029A	Shoring Design for Boosted Water Line Work	\$14,307	2.18 %	\$422,586
6/16/2020	PROV-071-CCO-030A	Investigation and Re-wiring of Electrical Receptacles at CTR	\$7,783	1.19 %	\$414,803
6/10/2020	PROV-071-CCO-028	Credit for Electrical Feed to Parts Storage Warehouse	(\$18,682)	(2.85)%	\$433,485
7/24/2020	PROV-071-CCO-029B	Shoring Design for Boosted Water Line Work	\$2,175	0.33 %	\$431,310
7/24/2020	PROV-071-CCO-032B	Water Diversion Pump for Catch Basin Work	\$3,621	0.55 %	\$427,689
7/24/2020	PROV-071-CCO-035	Settlement Slab Demolition	\$479	0.07 %	\$427,210
7/24/2020	PROV-071-CCO-036	Storm Drain Line A	\$2,066	0.32 %	\$425,144
7/30/2020	PROV-071-CCO-037	Owner Supplied WSP Cabinet - Added Mechanical Pad and Conduit Pull	\$5,922	0.90 %	\$419,222
7/30/2020	PROV-071-CCO-038	Interior and Exterior Metal Wall Panels at CTR	\$10,317	1.57 %	\$408,905
7/30/2020	PROV-071-CCO-039	Exterior CMU Wall at CTR	\$16,152	2.47 %	\$392,753
7/30/2020	PROV-071-CCO-040	Membrane Waterproofing Specification Modifications	\$36,233	5.53 %	\$356,520

Peninsula Corridor Electrification Project
Monthly Progress Report

Change Order Authority (10% of ProVen Contract)

10% x \$6,550,777 = \$655,078

Date	Change Number	Description	CCO Amount	Change Order Authority Usage ¹	Remaining Authority
12/17/2019	PROV-071-CCO-007	Demolition of Existing Transition Slab at North and South Pits	\$8,101	1.24 %	\$348,419
8/13/2020	PROV-071-CCO-041	Abandonment of Drainage Structure in Conflict with Shoring at Stair No. 71	\$11,015	1.68 %	\$337,404
8/14/2020	PROV-071-CCO-043	Lighting Circuit Restoration	\$2,980	0.45 %	\$334,424
8/18/2020	PROV-071-CCO-026B	Removal of Hazardous Soil from PSW Ductbank Excavation	\$6,838	1.04 %	\$327,586
8/24/2020	PROV-071-CCO-044	Aerial Cable and Waterproofing Cable Penetrations at the CCF and PSW Buildings	\$14,589	2.23 %	\$312,997
8/24/2020	PROV-071-CCO-045	Conduit Outside Component Test Room	\$6,865	1.05 %	\$306,132
9/15/2020	PROV-071-CCO-030B	Component Test Room Data and Electrical Outlets and Masonry Work	\$12,530	1.91 %	\$293,602
9/17/2020	PROV-071-CCO-042	Shallow Fire Sprinkler Line	\$162,000	0.00% ²	-
10/19/2020	PROV-071-CCO-046A	Electrical Duct Bank Extension from Parts Storage Warehouse to CCF Building	\$20,307	3.10 %	\$273,295
10/19/2020	PROV-071-CCO-047	Removal of Oil Line at the Exterior of the Maintenance Building in the Way of Storm Drain Line A	\$262	0.04 %	\$273,033
10/20/2020	PROV-071-CCO-048	Electrical Conduit and Wires at Track 5	\$6,770	1.03 %	\$266,263
11/30/2020	PROV-071-CCO-033B	Light Towers for Maintenance Building Yard	\$10,393	1.59 %	\$255,870
11/17/2020	PROV-071-CCO-049	Lighting at Parts Storage Warehouse	\$6,358	0.97 %	\$249,512
11/25/2020	PROV-071-CCO-050	NTP Delay – Non-Compensable Time Extension	\$0	0.00 %	\$249,512
11/19/2020	PROV-071-CCO-051	Relocation of an Existing Boosted Water Line in Conflict with South Pit Extension	\$250,000	0.00% ²	-
2/26/2021	PROV-071-CCO-052	Acoustic Ceiling Framing at the Component Test Room	\$3,998	0.61 %	\$245,514
2/26/2021	PROV-071-CCO-053	Temporary Sanitary Facilities During Boosted Water/Copper Line Work	\$963	0.15 %	\$244,551
3/3/2021	PROV-071-CCO-054	Relocation of Material Onsite for OCS Foundation Project	\$1,772	0.27 %	\$242,779
Total			\$824,299	62.94 %	\$242,779

Notes:

1. When the threshold of 75% is reached, staff may return to the Board to request additional authority.
2. Change approved by the Board of Directors – not counted against the Executive Director’s Change Order Authority.

AMTRAK AEM-7 Contract

Change Order Authority (Lump Sum)

Up to \$150,000

Date	Change Number	Description	CCO Amount	Change Order Authority Usage ¹	Remaining Authority
10/25/2019	AMTK-066-CCO-001	Change to Amtrak Contract for Test Locomotives	(72,179)	(48.12%)	222,179
Total			(72,179)	(48.12%)	\$222,179

Notes:

1. When the threshold of 75% is reached, staff may return to the Board to request additional authority.

Appendix F – Risk Table

Listing of PCEP Risks and Effects in Order of Severity

ID	RISK DESCRIPTION	EFFECT(S)
314	The contractor may not complete signal and communication design, installation and testing for the Two-speed check (2SC) modifications within budget and schedule.	Delay to integrated testing and operations/revenue service
303	Extent of differing site conditions and associated redesign efforts results in delays to the completion of the electrification contract and increases program costs.	<p>Extends construction of design-build contract with associated increase in project costs</p> <ul style="list-style-type: none"> • DSC design cost • Inefficiencies • Construction costs related to DSCs (i.e., larger foundations) • Additional potholing
010	Potential for Stadler's sub-suppliers to fall behind schedule or delays in parts supply chain result in late completion of vehicles.	<ul style="list-style-type: none"> • Delay in obtaining parts / components. • Cost increases. (See Owner for allocation of costs) • Schedule increase - 3 months (See Owner for allocation of damages associated with this Risk)
313	Sub-optimal contractor sequencing, when progressing design and clearing foundation locations may result in construction inefficiencies	Contractor claims for increase in construction and design costs, and reduced production rates extending construction duration
240	<p>Property not acquired in time for contractor to do work.</p> <p>Property Acquisition not complete per contractor availability date</p> <p><>Fee</p> <p><>Easement</p> <p><>Contract stipulates that if parcels are not available by contract date, there is only a delay if parcels are not available by the time contractor completes the Segment</p>	<ul style="list-style-type: none"> • Potential delays in construction schedule
267	Additional property acquisition is necessitated by change in design.	New project costs and delays to schedule.
273	Contractor generates hazardous materials, that necessitates proper removal and disposal in excess of contract allowances and expectations.	Delay to construction while removing and disposing of hazardous materials resulting in schedule delay, increased construction costs, and schedule delay costs.
308	Rejection of DVR for ATF and static wires results in cost and schedule impacts to PCEP.	Delay and delay claims

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ID	RISK DESCRIPTION	EFFECT(S)
318	Change of vehicle sub-suppliers results in additional first article inspections at cost to JPB (i.e., COVID, bankruptcy)	PCEP incurs additional cost to validate supplier and product, including repeat FAIs as needed
263	Collaboration across multiple disciplines to develop a customized rail activation program may fail to comprehensively address the full scope of issues required to operate and maintain an electrified railroad and decommission the current diesel fleet.	Delay in testing of EMUs. Delay in Revenue Service Date. Additional costs for Stadler and BBII due to overall schedule delays.
304	Solution to FRA concerns over bike storage impeding path to emergency exit windows path results in increased costs and potential rework.	Protracted negotiations with FRA to achieve original design
330	PG&E interconnection work may not be completed on time resulting in delays to the reimbursement of PG&E Exhibit B Cost Allocation from PG&E.	<ul style="list-style-type: none"> • Potential cash flow issue requiring use of line-of-credit • Failure to receive reimbursement during course of project • Delay or otherwise affect close-out of FFGA
209	TASI may not have sufficient number of signal maintainers for testing.	<ul style="list-style-type: none"> • Delays to construction/testing. • Delays to completion of infrastructure may delay acceptance of vehicles
011	<p>Risks in achieving acceptable vehicle operations performance:</p> <ul style="list-style-type: none"> <> software problems <> electrical system problems <> mechanical problems <> systems integration problems <> interoperability with diesel equipment <p>Increased issues lately with vehicles regarding system integration and compatibility.</p>	<p>Cost increase.</p> <p>Delays vehicle acceptance</p> <p>Potential spill-over to other program elements</p>
244	Delays to completion of Segment 4 and then the entire alignment would create storage issues and impede the ability to exercise (power up and move) EMUs and delay testing of the delivered EMUs.	Delay claims from the EMU contractor (Stadler) and expiration of the EMU 2 year warranty before putting significant mileage on the EMUs. Inability to exercise EMUs
319	Failure of BBI to order cages in advance results in delays to foundation installation	Delays in installation of catenary system and additional cost for track protection and oversight.
325	EMU production delay. Possible that there are quality issues, failed factory tests, poor integration / control of suppliers.	Schedule Increase
327	EMU production delay. Possible that there is poor integration / control of suppliers.	Schedule Increase

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ID	RISK DESCRIPTION	EFFECT(S)
329	Work for PCEP that is being constructed by other projects may not be completed in accordance with the BBII project schedule. Critical work includes: • Installation of signal house as part of SSF Station Project	Delay to BBII construction progress and associated delay claims
013	Vehicle manufacturer could default.	Prolonged delay to resolve issues (up to 12 months) Increase in legal expenses Potential price increase to resolve contract issue
067	Relocation of overhead utilities must precede installation of catenary wire and connections to TPSs. Relocation work will be performed by others and may not be completed to meet BBII's construction schedule.	Delay in progress of catenary installation resulting in claims and schedule delay
223	Major program elements may not be successfully integrated with existing operations and infrastructure in advance of revenue service.	Proposed changes resulting from electrification may not be fully and properly integrated into existing system. Rework resulting in cost increases and schedule delays
242	Track access does not comply with contract-stipulated work windows.	Contractor claims for delays, schedule delays and associated costs to owner's representative staff.
253	Permits for bridges may not be issued in a timely manner.	Delays to issuance of permit for construction while negotiating and executing an operation and maintenance agreement for equipment installed on bridges; existing bridge deficiencies could result in additional costs to PCEP.
261	Although EMUs meets their electromagnetic emissions limits and wayside signal system track circuits meet their susceptibility requirements there are still compatibility issues leading to improper signal system operation	Changes on the EMU and/or signal system require additional design and installation time and expense.
285	Potential for inflation, (except with respect to Maintenance Option) to increase contractor costs.	Higher cost
286	Potential for wage escalation, (except for Maintenance Option) to increase contractor costs.	Higher cost

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ID	RISK DESCRIPTION	EFFECT(S)
056	Lack of operations personnel for testing.	<ul style="list-style-type: none"> • Testing delayed. • Change order for extended vehicle acceptance.
115	Other capital improvement program projects compete with PCEP for track access allocation and requires design coordination (design, coordination, integration).	Schedule delay as resources are allocated elsewhere, won't get track time, sequencing requirements may delay PCEP construction, track access requirements must be coordinated.
289	Coordination and delivery of permanent power for power drops for everything except traction power substations along alignment	Can't test resulting in delays to schedule and associated additional project costs.
296	PG&E needs to complete interconnection to be sufficiently complete to accept interim power	SCC
321	Single Phase Study and interconnection agreement may be delayed preventing energization of Segment 4 for milestone 1	
082	Unexpected restrictions could affect construction progress: <> night work <> noise <> local roads <> local ordinances	<ul style="list-style-type: none"> • Reduced production rates. • Delay
270	OCS poles or structures as designed by Contractor fall outside of JPB row	Additional ROW Take, additional cost and time
012	Potential for electromagnetic interference (EMI) to private facilities with sensitive electronic equipment caused by vehicles.	<ul style="list-style-type: none"> • Increased cost due to mitigation • Potential delay due to public protests or environmental challenge.
014	Contractor's proposal on stakeholder requested changes to the vehicles (e.g., High Level Doors in lieu of windows as emergency exits) may significantly exceed JPB authorized amount.	Schedule delay. Cost increase.
078	Need for unanticipated, additional ROW for new signal enclosures.	Delay while procuring ROW and additional ROW costs.
087	Unanticipated HazMat or contaminated hot spots encountered during foundation excavations for poles, TPSS, work at the yards.	Increased cost for clean-up and handling of materials and delay to schedule due to HazMat procedures.
088	Construction safety program fails to sufficiently maintain safe performance.	Work stoppages due to safety incidents resulting in schedule delay and additional labor costs.
171	Electrification facilities could be damaged during testing.	Delay in commencing electrified operations.
247	Timely resolution of 3rd party design review comments to achieve timely approvals	Delay to completion of design and associated additional labor costs.

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ID	RISK DESCRIPTION	EFFECT(S)
251	Subcontractor and supplier performance to meet aggressive schedule <>Potential issue meeting Buy America requirements	Delay to production schedule resulting in increased soft costs and overall project schedule delay.
272	Final design based upon actual Geotech conditions	Could require changes
287	Design changes may necessitate additional implementation of environmental mitigations not previously budgeted.	Increased cost for environmental measures and delays to construct and overall delay in construction schedule
291	Order/manufacture of long lead items prior to 100% IFC design document that proves to be incorrect	Design change and/or delays
317	JPB may not make timely acquisition of resources to staff rail activation plan with key personnel.	Delay in operating electrified railroad - delay of RSD.
323	FRA concerns require re-design	
326	EMU production delay. Possible that there are failed factory tests	Schedule Increase
027	Vehicle power consumption may not meet requirements. <>System impact study and load flow show no issues	Issue with PG&E. Can't run full acceleration.
031	New cars possibly not reliable enough to be put into service as scheduled	Operating plan negatively impacted
101	PG&E may not be able to deliver permanent power for the project within the existing budget and in accordance with the project schedule	Additional project costs; potential delay to revenue service date
150	Number of OCS pole installation is significant. Any breakdown in sequencing of operations or coordination of multiple crews will have a substantial effect on the project.	Delay.
245	Failure of BBI to submit quality design and technical submittals in accordance with contract requirements <ul style="list-style-type: none"> • \$3-\$5M/month burn rate for Owner's team during peak 	Delays to project schedule and additional costs for preparation and review of submittals.
252	Failure of BBI to order/manufacture long lead items prior to 100% IFC design document approval by JPB	Delays to project schedule and additional cost for contractor and JPB staff time.
271	Need for additional construction easements beyond that which has been provided for Contractor proposed access and staging	Additional cost and time

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ID	RISK DESCRIPTION	EFFECT(S)
306	Possible legal challenge and injunction to any changes in PCEP requiring subsequent CEQA or NEPA environmental clearance documentation/actions.	Worst case: a judge issues an injunction, which would prohibit any work ONLY on the project scope of the environmental document. Impact to the project from cost and schedule impact depends on if work is on the critical or becomes on the critical path.
322	BBII needs to complete traction power substations to be sufficiently complete to accept interim power	Delay in testing and increased costs
008	Requests for change orders after vehicles are in production	Delays to manufacturing of vehicles and additional design and manufacturing costs.
025	Potential that vehicles cannot meet requirements for "Mean Time to Repair" (MTTR).	Increased maintenance cost.
032	Failure to come up to speed on stakeholder safety requirements: <> FTA <> FRA <> CPUC	Takes longer than expected to gain FRA/FTA concurrence on waiver and/or level boarding requirements.
053	Failure to meet Buy America requirements. (Contractor definition of component v. sub-component may not be accepted by Caltrain / FTA.)	Potential need for negotiations that might lead to delay of project award. (BA is not negotiable)
069	Potential need for additional construction easements. Especially for access and laydown areas. Contractor could claim project is not constructible and needs more easements after award.	Increased cost Delay
106	Potential that DB contractor will have insufficient field resources (personnel or equipment) to maintain aggressive schedule. Multiple segments will need to be under design simultaneously. Labor pool issue. 32 qualified linemen will be needed. Potential there is not enough available. Big storm damage anywhere in US will draw from the pool to make line repairs. Possible shortages with other specialty crafts as well.	Delay.

ID	RISK DESCRIPTION	EFFECT(S)
151	Public could raise negative concerns regarding wheel/rail noise.	Increased cost to mitigate: <> grind rails <> reprofile wheels <> sound walls
161	Unanticipated costs to provide alternate service (bus bridges, etc.) during rail service disruptions.	Cost increase.
192	Environmental compliance during construction. - Potential impact to advancing construction within the vicinity of any cultural finds that are excavated. - Failure to meet the commitments contained within the PCEP EA, FEIR and permit conditions	<ul style="list-style-type: none"> • Delay • Cost increase
195	Introduction of electrified train service will require training of first responders in working in and around the rail corridor. The new vehicles will be considerably quieter than the existing fleet and the presence of high voltage power lines will require new procedures for emergency response. A new training program will need to be developed and disseminated for: <ul style="list-style-type: none"> • Fire, police, and first responders • Local communities • Schools 	Safety hazards resulting in incidents that delay construction and increase labor cost. Delays in RSD until training is completed as requirement of safety certification process.
237	JPB needs an agreement with each city in which catenary will be strung over an existing grade crossing (17 in all) under GO 88 (grade crossings). These agreements must be executed subsequent to installing overhead catenary. JPB is preparing a response to CPUC while working with the cities. Delays in reaching agreement could have impacts on schedule and budget.	Not completing the grade crossing diagnostics and getting agreement from the cities on the results can result in delays to necessary approvals for the project and revenue service.
248	3rd party coordination <>Jurisdictions, Utilities, UP, Contractors <>D/B needs to provide timely information to facilitate 3rd party coordination <>Risk is for construction	Delays in approvals resulting in project schedule delays and associated costs.

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ID	RISK DESCRIPTION	EFFECT(S)
250	Potential for municipalities and other agencies to request betterments as part of the electrification project	Delay to project schedule in negotiating betterments as part of the construction within municipalities and associated increased cost to the project as no betterments were included in the project budget.
254	Potential that bridge clearance data are inaccurate and that clearances are not sufficient for installation of catenary.	Results in additional design and construction to create sufficient clearance.
266	Verizon poles in conflict with OCS may not be removed in advance of OCS installation.	Delay in progress of catenary installation resulting in claims and schedule delay
274	JPB as-built drawings and existing infrastructure to be used as basis of final design and construction is not correct	Additional cleanup of as-builts after PCEP construction
275	DB fails to verify as-built drawings and existing infrastructure	Additional cleanup of as-builts after PCEP construction
278	Failure of D/B contractor and subcontractors and suppliers to meet Buy America requirements	Delays while acceptable materials are procured and additional costs for delays and purchase of duplicative equipment.
282	Failure to maintain dynamic envelope and existing track clearances consistent with requirements.	Redesign entailing cost and schedule impacts.
284	Compliance with project labor agreement could result in inefficiencies in staffing of construction.	Increase in labor costs and less efficient construction resulting in schedule delays.
290	Delays in agreement and acceptance of initial VVSC requirements database.	Delay to design acceptance
292	Communications equipment, including the UPS, will not fit in the spaces allotted to communications work within the buildings.	Requisite equipment under design criteria could result in the need for larger unit than originally planned resulting in design and fabrication changes and associated schedule delays and costs.
311	Although project recordable injuries remain below the industry average, there have been numerous small impact incidents occurring that could potentially lead to a more serious event occurring.	The occurrence of a high impact safety event could result in project rework, construction delays, and increased project costs.

Appendix G – MMRP Status Log

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
AES-2a: Minimize OCS construction activity on residential and park areas outside the Caltrain ROW.	X	X			Ongoing	The OCS proposed construction schedule has been provided to the JPB. OCS construction began the week of October 2, 2017. The D-B has utilized the potholing process to assist in locating conflicts in the 35% design and attempting to relocate OCS pole locations within the ROW.
AES-2b: Aesthetic treatments for OCS poles, TPFs in sensitive visual locations, and Overbridge Protection Barriers.	X				Ongoing	The design requirements indicated in the measure have been implemented as described, and coordination with the specific jurisdictions regarding pole colors and design is ongoing. Coordination with the JPB & local jurisdiction regarding Overbridge Protection Barriers and TPFs is ongoing.
AES-4a: Minimize spillover light during nighttime construction.		X			Ongoing	OCS construction began the week of October 2, 2017; and the BBI community relations lead has notified nearby residents of upcoming construction. During construction, lighting is faced inward, towards the railroad tracks, and any complaints will be documented and addressed by the BBI community relations lead.
AES-4b: Minimize light spillover at TPFs.	X				Upcoming	The design requirements indicated in the measure are being utilized in the design and construction process.
AQ-2a: Implement BAAQMD basic and additional construction mitigation measures to reduce construction-related dust.	X	X			Ongoing	The Dust Mitigation Plan was submitted to the JPB and approved. The requirements in the Dust Mitigation Plan will be implemented throughout the construction period and documented in daily reports.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
AQ-2b: Implement BAAQMD basic and additional construction mitigation measures to control construction-related ROG and NOX emissions.	X	X			Ongoing	The Equipment Emissions Control Plan was submitted to the JPB and approved. The requirements in the Equipment Emissions Control Plan will be implemented throughout the construction period and documented in daily reports.
AQ-2c: Utilize clean diesel-powered equipment during construction to control construction-related ROG and NOX emissions.	X	X			Ongoing	The Equipment Emissions Control Plan was submitted to the JPB and approved. The requirements in the Equipment Emissions Control Plan will be implemented throughout the construction period and documented in daily reports.
BIO-1a: Implement general biological impact avoidance measures.	X	X			Ongoing	Worker Environmental Awareness Training is provided to all project-related personnel before they work on the project. All measures as described will be implemented throughout the construction period and documented in daily reports.
BIO-1b: Implement special-status plant species avoidance and revegetation measures.	X	X	X		Complete	Not applicable. Subsequent habitat assessment and avoidance of Communication Hill eliminated any potential to affect special-status plant species. The measure is not needed.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
BIO-1c: Implement California red-legged frog and San Francisco garter snake avoidance measures.	X	X			Ongoing	Pre-construction surveys are occurring no more than 7 days prior to the initiation of construction activities nearby/adjacent to potential habitat for CRLF and SFGS. The Wildlife Exclusion Fencing Plans for Segments 1 and 4 were submitted and approved by the wildlife agencies, and installation and monitoring of wildlife exclusion fencing is ongoing. No CRLF / SFGS or sign of each species has been observed to date on the Project.
BIO-1d: Implement western pond turtle avoidance measures.	X	X			Ongoing	Pre-construction surveys are occurring no more than 7 days prior to the initiation of construction activities nearby/adjacent to potential habitat for WPT. No WPT or WPT sign have been observed to date on the Project.
BIO-1e: Implement Townsend’s big-eared bat, pallid bat, hoary bat, and fringed myotis avoidance measures.	X	X			Ongoing	Pre-construction surveys are occurring no more than 7 days prior to the initiation of construction activities with the potential to disturb bats or their habitat. No special-status bats or sign have been observed to date on the Project.
BIO-1f: Implement western burrowing owl avoidance measures.	X	X			Ongoing	Protocol surveys for Western Burrowing Owl have been conducted from April–July, in 2017, 2018, 2019, and 2020, at previously identified potentially suitable habitat locations. Note that all of these locations are in Construction Segment 4 (southern Santa Clara and San Jose). No Burrowing Owls have been observed during the 2017-2019 surveys. Survey reports for the 2017, 2018, 2019, and 2020 surveys have been submitted to the JPB for the project

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						<p>record. In addition, pre-construction surveys of the potential BUOW habitat areas in Segment 4 are ongoing, as needed, and if required, they occur no more than 7 days prior to the onset of new ground-disturbing construction activities.</p> <p>During a 2020 pre-construction survey (March 24, 2020), two burrowing owls were observed adjacent to the Caltrain ROW, near MP 44.6. The owls were located approximately 150 feet away from the Caltrain ROW. A 200-meter no-disturbance buffer and a combination of full-time monitoring and weekly spot-checks, as approved by the CDFW, were implemented during the breeding season (March through August). No impacts to the BUOW were observed, and the BUOW was consistently observed at the northern most potential BUOW burrow location during the monitoring effort. On September 1, since there was some potential for indirect impacts during the non-breeding season (September 1 through January 31), the disturbance buffer was reduced from 200 meters to 75 meters, as approved by the CDFW. On February 2, 2021, while conducting nesting bird surveys in the area, a biologist checked the burrow and there were no sign of use and cobwebs were present. Subsequent check-ins of the area revealed the same results, and it was determined the burrow was no longer active, and the buffer was removed. The</p>

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						Biologist will continue to conduct preconstruction surveys for nesting burrowing owls no more than 7 days prior to ground disturbance as needed throughout the 2021 nesting season.
BIO-1g: Implement northern harrier, white-tailed kite, American peregrine falcon, saltmarsh common yellowthroat, purple martin, and other nesting bird avoidance measures.	X	X			Ongoing	Nesting Bird and raptor surveys were conducted from February 1 through September 15, in 2017, 2018, 2019, and 2020, prior to project-related activities with the potential to impact nesting birds. Nesting bird surveys continued during this reporting period for the 2021 nesting season. Active cliff swallow nests were observed on the underside of the Tunnel Ave bridge. Biological monitors were present as work occurred within the 50-foot monitoring buffer. No signs of distress were observed. No additional active nests were observed on the Project.
BIO-1h: Conduct biological resource survey of future contractor-determined staging areas.	X	X			Ongoing	The agency-approved Qualified Biologist has conducted surveys of the staging areas currently being used for construction activities. No special-status species or other potentially sensitive biological resources were observed. The agency-approved Qualified Biologist will continue to survey ahead of the initiation of activities at planned staging areas as the Project moves into new construction areas.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
BIO-1i: Minimize impacts on Monarch butterfly overwintering sites.	X	X			Ongoing	The agency-approved Qualified Biologist has periodically monitored the project limits to evaluate the presence of Monarch butterfly overwintering sites. No Monarch butterfly overwintering sites have been observed on the Project to date.
BIO-1j: Avoid nesting birds and bats during vegetation maintenance.				X	Upcoming	To be completed during Project operation.
BIO-2: Implement serpentine bunchgrass avoidance and revegetation measures.	X	X	X		Complete	Not applicable. Subsequent habitat assessment and avoidance of Communication Hill eliminated any potential to affect serpentine bunchgrass. This measure is no longer needed.
BIO-3: Avoid or compensate for impacts on wetlands and waters.	X	X	X		Complete	The JPB has compensated for unavoidable wetland impacts by purchasing adequate credits from a wetlands mitigation bank approved by USACE and SFRWQCB.
BIO-5: Implement Tree Avoidance, Minimization, and Replacement Plan.	X	X	X		Ongoing	Tree removal and pruning activities were initiated in August 2017, and are ongoing, under the guidance of the BBI Arborist, and in accordance with the Tree Avoidance, Minimization, and Replacement Plan. Tree Removal and Pruning status is provided to the JPB on a regular basis.
BIO-6: Pay <i>Santa Clara Valley Habitat Plan</i> land cover fee (if necessary).	X				Complete	Not applicable. The SCVHP does not apply to the Project because TPS2, Option 1 was not selected and OCS

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						does not extend to Communication Hill. This measure is not needed.
CUL-1a: Evaluate and minimize impacts on structural integrity of historic tunnels.	X				Upcoming	To be implemented prior to construction in tunnels.
CUL-1b: Minimize impacts on historic decorative tunnel material.	X				Upcoming	To be implemented prior to construction in tunnels. Historic American Engineering Record (HAER) documentation was completed in October 2018, pursuant to this measure.
CUL-1c: Install project facilities in a way that minimizes impacts on historic tunnel interiors.	X				Upcoming	To be implemented prior to construction in tunnels.
CUL-1d: Implement design commitments at historic railroad stations	X				Complete	The Qualified Architectural Historian completed and submitted the HABS Level III documents to the JPB for all seven of the historic stations. Pole placement has been designed to minimize the visual impact to historic stations and all design changes are reviewed by the Environmental Compliance Lead to ensure the mitigation measure is being implemented as the design of the project progresses.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
CUL-1e: Implement specific tree mitigation considerations at two potentially historic properties and landscape recordation, as necessary.	X	X			Complete	It was determined that the project is not acquiring any ROW at either of the subject properties so all tree effects would be within the JPB ROW. Therefore, the APE does not include these two historic properties. This measure is no longer needed.
CUL-1f: Implement historic bridge and underpass design requirements.	X				Ongoing	This measure is being implemented as described during the design process and will be incorporated into the final design. The four bridges that are included in the MMRP are rail bridges crossing over another feature. Design of the OCS system is taking into account that there are requirements that restrict the design. Thus far, the designs for Construction Segments 2 & 4 are in process and designs are not yet complete. The D-B will forward to the Architectural Historian once complete.
CUL-2a: Conduct an archaeological resource survey and/or monitoring of the removal of pavement or other obstructions to determine if historical resources under CEQA or unique archaeological resources under PRC 21083.2 are present.	X				Ongoing	Periodic inspections of ground surface areas along the alignment, in conjunction with cultural monitoring as-needed of project activities in culturally sensitive areas are ongoing. The Archaeological Final Report will be provided at the conclusion of construction activities.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
CUL-2b: Conduct exploratory trenching or coring of areas where subsurface project disturbance is planned in those areas with “high” or “very high” potential for buried site.	X				Ongoing	Exploratory trenching and subsurface testing of all potentially culturally sensitive areas occurred prior to the initiation of construction activities in those areas. The results will be included in the Archaeological Final Report. No cultural resources requiring the development of a treatment plan were observed. A Native American monitor has been present for all exploratory trenching and subsurface testing work.
CUL-2c: Conduct limited subsurface testing before performing ground-disturbing work within 50 meters of a known archaeological site.	X				Ongoing	Exploratory trenching and subsurface testing of all potentially culturally sensitive areas occurred prior to the initiation of construction activities in those areas. The results will be included in the Archaeological Final Report. No cultural resources requiring the development of a treatment plan were observed. A Native American monitor has been present for all exploratory trenching and subsurface testing work.
CUL-2d: Conduct exploratory trenching or coring of areas within the three zones of special sensitivity where subsurface project disturbance is planned.	X				Ongoing	Exploratory trenching and subsurface testing of all potentially culturally sensitive areas occurred prior to the initiation of construction activities in those areas. The results will be included in the Archaeological Final Report. No cultural resources requiring the development of a treatment plan were observed. A Native American monitor has been present for all exploratory trenching and subsurface testing work.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
CUL-2e: Stop work if cultural resources are encountered during ground-disturbing activities.	X	X			Ongoing	No prehistoric or historic-period cultural materials have been observed during cultural monitoring.
CUL-2f: Conduct archaeological monitoring of ground-disturbing activities in areas as determined by JPB and SHPO.		X			Ongoing	Cultural monitoring as-needed of project activities in culturally sensitive areas is ongoing. The Archaeological Final Report will be provided at the conclusion of construction activities.
CUL-3: Comply with state and county procedures for the treatment of human remains discoveries.		X			Ongoing	No human remains have been observed to date on the Project.
EMF-2: Minimize EMI effects during final design, Monitor EMI effects during testing, commission and operations, and Remediate Substantial Disruption of Sensitive Electrical Equipment.	X	X	X		Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. Designs are submitted and reviewed/commented on by JPB. Monitoring EMI effects will occur post construction.
GEO-1: Perform a site-specific geotechnical study for traction power facilities.	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. Geotechnical studies are being conducted by Parikh under subcontract with PGH Wong.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						Studies and results are submitted to JPB as completed.
GEO-4a: Identification of expansive soils.	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design by the D-B as described. Geotechnical studies are being conducted by Parikh under subcontract with PGH Wong. Studies and results are submitted to JPB as completed.
GEO-4b: Mitigation of expansive soils.	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design by the D-B as described. Geotechnical studies are being conducted by Parikh under subcontract with PGH Wong. Studies and results are submitted to JPB as completed.
HAZ-2a: Conduct a Phase II Environmental Site Assessment prior to construction.	X				Complete	A Phase II Environmental Assessment was completed prior to construction by the JPB consultant, and the results were provided to BBI, and the required mitigation is being implemented prior to the initiation of construction activities.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
HAZ-2b: Implement engineering controls and best management practices during construction.	X	X			Ongoing	D-B field activities are being monitored daily for significant color changes or odors which may indicate contamination. In addition, assessments of existing subsurface pipes by a certified Asbestos Consultant are occurring as needed throughout the project as they are observed. Following the assessments, a specification describing the methods for removal and disposal are provided to the certified asbestos contractor. The removal and disposal work performed by the certified asbestos contractor is monitored by the certified asbestos consultant. During the reporting period, a certified asbestos consultant conducted exposure monitoring at PS-1 where naturally occurring asbestos was detected. Also, during the reporting period, samples of wrapped conduit at MP 46.7-12A were collected for asbestos analysis.
HYD-1: Implement construction dewatering treatment, if necessary.	X	X			Ongoing	Facilities & BMPs are in place to deal with this requirement should it arise in the OCS foundations.
HYD-4: Minimize floodplain impacts by minimizing new impervious areas for TPFs or relocating these facilities.	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. The TPFs in Construction Segments 2 & 4 are currently in final design and design for TPFs in Construction Segments 1 & 3 has begun. The design minimizes hardscape only to required structure foundations; yard areas are to receive a pervious material.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
HYD-5: Provide for electrical safety at TPFs subject to periodic or potential flooding.	X			X	Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. The TPFs in Construction Segments 2 & 4 are currently in final design and design for TPFs in Construction Segments 1 & 3 has begun. The design plan currently raises the TPFs above the floodplain.
HYD-7: Implement sea level rise vulnerability assessment and adaptation plan.				X	Ongoing	The JPB has initiated this measure and preparation of the sea level rise vulnerability assessment and adaptation plan is underway.
NOI-1a: Implement Construction Noise Control Plan.	X	X			Ongoing	The Noise and Vibration Control Plan has been submitted and is being implemented. Field activity is monitored per the Plan. If allowable noise levels are near or exceed allowable noise levels, mitigation such as blankets are used from that point forward.
NOI-1b: Conduct site-specific acoustical analysis of ancillary facilities based on the final mechanical equipment and site design and implement noise control treatments where required.	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. PGH Wong has completed analysis and design and issued for JPB review.
NOI-2a: Implement Construction Vibration Control Plan.	X	X			Ongoing	The Noise and Vibration Control Plan has been submitted and is being implemented. Field activity is monitored per the Plan.

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Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
PSU-8a: Provide continuous coordination with all utility providers.	X	X			Ongoing	The design requirements indicated in the measure will be implemented through the final design as described. Coordination with utility providers is ongoing and there have not been any service interruptions thus far.
PSU-8b: Adjust OCS pole foundation locations.	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described.
PSU-8c: Schedule and notify users about potential service interruptions.	X	X			Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. There have not been any service interruptions thus far.
PSU-9: Require application of relevant construction mitigation measures to utility relocation and transmission line construction by others.	X	X			Ongoing	JPB has initiated coordination with PG&E regarding transmission line construction. PG&E is currently raising overcrossing lines in Segment 2.
TRA-1a: Implement Construction Road Traffic Control Plan.	X	X			Ongoing	The D-B has begun traffic control design and permit applications with the City of Millbrae, Burlingame and San Mateo. Other communities will follow. Designs have been completed for all cross-over bridges in Segments 2 & 4 and submitted.
TRA-1c: Implement signal optimization and roadway geometry improvements at	X	X			Upcoming	This measure has not started

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
impacted intersections for the 2020 Project Condition.						
TRA-2a: Implement construction railway disruption control plan.	X	X			Ongoing	Minimization of railway disruption is being coordinated by the Site Specific Work Plan. A Construction Railway Disruption Control Plan was prepared to document the measures that are being implemented.
TRA-3b: In cooperation with the City and County of San Francisco, implement surface pedestrian facility improvements to address the Proposed Project's additional pedestrian movements at and immediately adjacent to the San Francisco 4th and King Station.	X	X	X		Upcoming	This measure has not started.
TRA-4b: Continue to improve bicycle facilities at Caltrain stations and partner with bike share programs where available following guidance in Caltrain's Bicycle Access and Parking Plan.				X	Ongoing	The JPB adopted the Caltrain Bicycle Parking Management Plan in November 2017, and staff have been working to implement the Plan's recommendations to improve wayside bike parking facilities along the corridor. Staff have also been coordinating with local jurisdictions that have launched bikeshare pilot programs to safely site bicycles near Caltrain stations.

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Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
NOI-CUMUL-1: Implement a phased program to reduce cumulative train noise along the Caltrain corridor as necessary to address future cumulative noise increases over FTA thresholds				X	Upcoming	This measure will be implemented during project operation.
NOI-CUMUL-2: Conduct project-level vibration analysis for Blended System operations and implement vibration reduction measures as necessary and appropriate for the Caltrain corridor				X	In Progress	CHSRA is conducting this analysis as part of the EIR/EIS for the San Francisco to San Jose section.
TRA-CUMUL-1: Implement a phased program to provide traffic improvements to reduce traffic delays near at-grade crossings and Caltrain stations				X	Upcoming	This measure will be implemented during project operation.
TRA-CUMUL-2: Implement technical solution to allow electric trolley bus transit across 16th Street without OCS conflicts in cooperation with SFMTA.	X				Complete	Not applicable. SFMTA has elected to not electrify the 16 th Street crossing. This measure no longer applies.
Mitigation Measure TRA-CUMUL-3: As warranted, Caltrain and freight operators will partner to provide Plate H clearance as feasible between San Jose and Bayshore.				X	Upcoming	This measure will be implemented during project operation.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
AES-2a: Minimize OCS construction activity on residential and park areas outside the Caltrain ROW.	X	X			Ongoing	The OCS proposed construction schedule has been provided to the JPB. OCS construction began the week of October 2, 2017. The D-B has used the potholing process to assist in locating conflicts in the 35% design and attempting to relocate OCS pole locations within the ROW, thereby avoiding parks and residential areas.
AES-2b: Aesthetic treatments for OCS poles, TPFs in sensitive visual locations, and Overbridge Protection Barriers.	X				Ongoing	The design requirements indicated in the measure have been implemented as described, and coordination with the specific jurisdictions regarding pole colors and design, TPFs, and Overbridge Protection Barriers, is ongoing.
AES-4a: Minimize spillover light during nighttime construction.		X			Ongoing	OCS construction began the week of October 2, 2017. The BBI community relations lead has notified nearby residents of upcoming construction. During construction, lighting is faced inward, towards the railroad tracks, and any complaints will be documented and addressed by the BBI community relations lead.
AES-4b: Minimize light spillover at TPFs.	X				Upcoming	The design requirements indicated in the measure are being used in the design process of the TPFs.
AQ-2a: Implement BAAQMD basic and additional construction mitigation measures to reduce construction-related dust.	X	X			Ongoing	The Dust Mitigation Plan was submitted to the JPB. The requirements in the Dust Mitigation Plan will be implemented throughout the construction period and documented in daily reports.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
AQ-2b: Implement BAAQMD basic and additional construction mitigation measures to control construction-related ROG and NOX emissions.	X	X			Ongoing	The Equipment Emissions Control Plan was submitted to the JPB. The requirements in the Equipment Emissions Control Plan will be implemented throughout the construction period and documented in daily reports.
AQ-2c: Utilize clean diesel-powered equipment during construction to control construction-related ROG and NOX emissions.	X	X			Ongoing	The Equipment Emissions Control Plan was submitted to the JPB. The requirements in the Equipment Emissions Control Plan will be implemented throughout the construction period and documented in daily reports.
BIO-1a: Implement general biological impact avoidance measures.	X	X			Ongoing	Worker Environmental Awareness Training is provided to all project-related personnel before they work on the project. All measures as described will be implemented throughout the construction period and documented in daily reports.
BIO-1b: Implement special-status plant species avoidance and revegetation measures.	X	X	X		Complete	Not applicable. Subsequent habitat assessment and avoidance of Communication Hill eliminated any potential to affect special-status plant species. The measure is not needed.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
BIO-1c: Implement California red-legged frog and San Francisco garter snake avoidance measures.	X	X			Ongoing	Pre-construction surveys are occurring no more than 7 days prior to the initiation of construction activities nearby/adjacent to potential habitat for CRLF and SFGS. The Wildlife Exclusion Fencing Plan for Segments 2 and 4 was submitted and approved by the wildlife agencies, and installation and monitoring of wildlife exclusion fencing is ongoing. No CRLF / SFGS or sign of each species has been observed to date on the Project. A separate Wildlife Exclusion Fencing Plan will be submitted for Segments 1 and 3, prior to initiation of construction activities in those segments.
BIO-1d: Implement western pond turtle avoidance measures.	X	X			Ongoing	Pre-construction surveys are occurring no more than 7 days prior to the initiation of construction activities nearby/adjacent to potential habitat for WPT. No WPT or WPT sign have been observed to date on the Project.
BIO-1e: Implement Townsend's big-eared bat, pallid bat, hoary bat, and fringed myotis avoidance measures.	X	X			Ongoing	Pre-construction surveys are occurring no more than 7 days prior to the initiation of construction activities with the potential to disturb bats or their habitat. No special-status bats or sign have been observed to date on the Project.

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Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
BIO-1f: Implement western burrowing owl avoidance measures.	X	X			Ongoing	Protocol surveys for Western Burrowing Owl were conducted from April 2017 through July 2017 at previously identified potentially suitable habitat locations. Note that all of these locations are in Construction Segment 4 (southern Santa Clara and San Jose). No Burrowing Owls were observed during the surveys. Construction in Segment 4 is anticipated to occur in 2018. Prior to construction activities in Segment 4, pre-construction surveys of the potential habitat areas will occur no more than 7 days prior to the onset of construction activities. In addition, protocol surveys were initiated in March 2018, and were completed in June 2018, at the previously identified potentially suitable habitat locations, which will allow work to occur during the 2019 breeding season, if necessary. No Burrowing Owls were observed during the 2018 surveys.
BIO-1g: Implement northern harrier, white-tailed kite, American peregrine falcon, saltmarsh common yellowthroat, purple martin, and other nesting bird avoidance measures.	X	X			Ongoing	Nesting Bird surveys were conducted from February 1 through September 15, 2017 prior to project-related activities with the potential to impact nesting birds. No active nests were observed during this reporting period. Nesting Bird surveys were initiated on February 1, 2018 and continued throughout the reporting period. Active nests were observed during this reporting period, and no-disturbance buffers were implemented to avoid any impacts to active nests, and all project activities which occurred nearby active nests

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						were monitored by agency-approved biological monitors.
BIO-1h: Conduct biological resource survey of future contractor-determined staging areas.	X	X			Ongoing	The agency-approved Qualified Biologist has conducted surveys of the staging areas currently being used for construction activities. No special-status species or other potentially sensitive biological resources were observed. The agency-approved Qualified Biologist will continue to survey ahead of the initiation of activities at planned staging areas as the Project moves into new construction areas.
BIO-1i: Minimize impacts on Monarch butterfly overwintering sites.	X	X			Ongoing	The agency-approved Qualified Biologist has periodically monitored the project limits to evaluate the presence of Monarch butterfly overwintering sites. No Monarch butterfly overwintering sites have been observed on the Project to date.
BIO-1j: Avoid nesting birds and bats during vegetation maintenance.				X	Upcoming	To be completed during Project operation.
BIO-2: Implement serpentine bunchgrass avoidance and revegetation measures.	X	X	X		Complete	Not applicable. Subsequent habitat assessment and avoidance of Communication Hill eliminated any potential to affect serpentine bunchgrass. This measure is no longer needed.

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Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
BIO-3: Avoid or compensate for impacts on wetlands and waters.	X	X	X		Complete	The JPB has compensated for unavoidable wetland impacts by purchasing adequate credits from a wetlands mitigation bank approved by USACE and SFRWQCB.
BIO-5: Implement Tree Avoidance, Minimization, and Replacement Plan.	X	X	X		Ongoing	Tree removal and pruning activities were initiated in August 2017, and are ongoing, under the guidance of the BBI Arborist, and in accordance with the Tree Avoidance, Minimization, and Replacement Plan. Tree Removal and Pruning status is provided to the JPB on a weekly basis.
BIO-6: Pay <i>Santa Clara Valley Habitat Plan</i> land cover fee (if necessary).	X				Complete	Not applicable. The SCVHP does not apply to the Project because TPS2, Option 1 was not selected and OCS does not extend to Communication Hill. This measure is not needed.
CUL-1a: Evaluate and minimize impacts on structural integrity of historic tunnels.	X				Upcoming	To be implemented prior to construction in tunnels.
CUL-1b: Minimize impacts on historic decorative tunnel material.	X				Upcoming	To be implemented prior to construction in tunnels.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
CUL-1c: Install project facilities in a way that minimizes impacts on historic tunnel interiors.	X				Upcoming	To be implemented prior to construction in tunnels.
CUL-1d: Implement design commitments at historic railroad stations	X				Complete	The Qualified Architectural Historian completed and submitted the HABS Level III documents to the JPB for all seven of the historic stations. Pole placement has been designed to minimize the visual impact to historic stations and all design changes are reviewed by the Environmental Compliance Lead to ensure the mitigation measure is being implemented as the design of the project progresses.
CUL-1e: Implement specific tree mitigation considerations at two potentially historic properties and landscape recordation, as necessary.	X	X			Complete	It was determined that the project is not acquiring any ROW at either of the subject properties so all tree effects would be within the JPB ROW. Therefore, the APE does not include these two historic properties. This measure is no longer needed.

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Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
CUL-1f: Implement historic bridge and underpass design requirements.	X				Ongoing	This measure is being implemented as described during the design process and will be incorporated into the final design. The four bridges that are included in the MMRP are rail bridges crossing over another feature. Design of the OCS system is taking into account that there are requirements that restrict the design. Thus far, the designs for Construction Segments 2 & 4 are in process and designs are not yet complete. The D-B will forward to the Architectural Historian once complete.
CUL-2a: Conduct an archaeological resource survey and/or monitoring of the removal of pavement or other obstructions to determine if historical resources under CEQA or unique archaeological resources under PRC 21083.2 are present.	X				Ongoing	Periodic inspections of ground surface areas along the alignment, in conjunction with cultural monitoring as-needed of project activities in culturally sensitive areas are ongoing. The Archaeological Final Report will be provided at the conclusion of construction activities.
CUL-2b: Conduct exploratory trenching or coring of areas where subsurface project disturbance is planned in those areas with “high” or “very high” potential for buried site.	X				Ongoing	Exploratory trenching and subsurface testing of all potentially culturally sensitive areas occurred prior to the initiation of construction activities in those areas. The results will be included in the Archaeological Final Report. No cultural resources requiring the development of a treatment plan were observed. A Native American monitor has been present for all exploratory trenching and subsurface testing work.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
CUL-2c: Conduct limited subsurface testing before performing ground-disturbing work within 50 meters of a known archaeological site.	X				Ongoing	Exploratory trenching and subsurface testing of all potentially culturally sensitive areas occurred prior to the initiation of construction activities in those areas. The results will be included in the Archaeological Final Report. No cultural resources requiring the development of a treatment plan were observed. A Native American monitor has been present for all exploratory trenching and subsurface testing work.
CUL-2d: Conduct exploratory trenching or coring of areas within the three zones of special sensitivity where subsurface project disturbance is planned.	X				Ongoing	Exploratory trenching and subsurface testing of all potentially culturally sensitive areas occurred prior to the initiation of construction activities in those areas. The results will be included in the Archaeological Final Report. No cultural resources requiring the development of a treatment plan were observed. A Native American monitor has been present for all exploratory trenching and subsurface testing work.
CUL-2e: Stop work if cultural resources are encountered during ground-disturbing activities.	X	X			Ongoing	No prehistoric or historic-period cultural materials have been observed during cultural monitoring.
CUL-2f: Conduct archaeological monitoring of ground-disturbing activities in areas as determined by JPB and SHPO.		X			Ongoing	Cultural monitoring as-needed of project activities in culturally sensitive areas is ongoing. The Archaeological Final Report will be provided at the conclusion of construction activities.

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Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
CUL-3: Comply with state and county procedures for the treatment of human remains discoveries.		X			Ongoing	No human remains have been observed to date on the Project.
EMF-2: Minimize EMI effects during final design, Monitor EMI effects during testing, commission and operations, and Remediate Substantial Disruption of Sensitive Electrical Equipment.	X	X	X		Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. Designs are submitted and reviewed/commented on by JPB. Monitoring EMI effects will occur post construction.
GEO-1: Perform a site-specific geotechnical study for traction power facilities.	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. Geotechnical studies and results are submitted to JPB as completed.
GEO-4a: Identification of expansive soils.	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. Geotechnical studies and results are submitted to JPB as completed.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
GEO-4b: Mitigation of expansive soils.	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. Geotechnical studies and results are submitted to JPB as completed.
HAZ-2a: Conduct a Phase II Environmental Site Assessment prior to construction.	X				Complete	A Phase II Environmental Assessment was completed prior to construction by the JPB consultant, and the results were provided to BBI, and the required mitigation is being implemented prior to the initiation of construction activities.
HAZ-2b: Implement engineering controls and best management practices during construction.	X	X			Ongoing	Field activities are being monitored daily for significant color changes or odors which may indicate contamination. In addition, an assessment of two existing subsurface pipes by a certified Asbestos Consultant occurred during this reporting period, and a specification describing the methods for removal and disposal is currently in progress.
HYD-1: Implement construction dewatering treatment, if necessary.	X	X			Ongoing	Facilities & BMPs are in place to deal with this requirement should it arise in the OCS foundations.
HYD-4: Minimize floodplain impacts by minimizing new impervious areas for TPFs or relocating these facilities.	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. The TPFs in Construction Segments 2 & 4 are currently in final design and design for TPFs in Construction Segments 1 & 3 has begun. The design minimizes

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						hardscape only to required structure foundations; yard areas are to receive a pervious material.
HYD-5: Provide for electrical safety at TPFs subject to periodic or potential flooding.	X			X	Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. The TPFs in Construction Segments 2 & 4 are currently in final design and design for TPFs in Construction Segments 1 & 3 has begun. The design plan currently raises the TPFs above the floodplain.
HYD-7: Implement sea level rise vulnerability assessment and adaptation plan.				X	Ongoing	The JPB has initiated this measure and preparation of the sea level rise vulnerability assessment and adaptation plan is underway.
NOI-1a: Implement Construction Noise Control Plan.	X	X			Ongoing	The Noise and Vibration Control Plan has been submitted and is being implemented. Field activity is monitored per the Plan. If allowable noise levels are near or exceed allowable noise levels, mitigation such as blankets are used from that point forward.
NOI-1b: Conduct site-specific acoustical analysis of ancillary facilities based on the final mechanical equipment and site design and implement noise control treatments where required.	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. Design is still in process and a noise study is currently being performed.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
NOI-2a: Implement Construction Vibration Control Plan.	X	X			Ongoing	The Noise and Vibration Control Plan has been submitted and is being implemented. Field activity is monitored per the Plan.
PSU-8a: Provide continuous coordination with all utility providers.	X	X			Ongoing	The design requirements indicated in the measure will be implemented through the final design as described. Coordination with utility providers is ongoing and there have not been any service interruptions thus far.
PSU-8b: Adjust OCS pole foundation locations.	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described.
PSU-8c: Schedule and notify users about potential service interruptions.	X	X			Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. There have not been any service interruptions thus far.
PSU-9: Require application of relevant construction mitigation measures to utility relocation and transmission line construction by others.	X	X			Ongoing	JPB has initiated coordination with PG&E regarding transmission line construction. PG&E is currently raising overcrossing lines in Segment 2.

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Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
TRA-1a: Implement Construction Road Traffic Control Plan.	X	X			Ongoing	The D-B has begun traffic control design and permit applications with cities in Segments 2 and 4. Designs have been completed and approved for all cross-over bridges in Segments 2 and 4.
TRA-1c: Implement signal optimization and roadway geometry improvements at impacted intersections for the 2020 Project Condition.	X	X			Upcoming	This measure has not started
TRA-2a: Implement construction railway disruption control plan.	X	X			Ongoing	Minimization of railway disruption is being coordinated by the Site Specific Work Plan. A Construction Railway Disruption Control Plan was prepared to document the measures that are being implemented.
TRA-3b: In cooperation with the City and County of San Francisco, implement surface pedestrian facility improvements to address the Proposed Project's additional pedestrian movements at and immediately adjacent to the San Francisco 4th and King Station.	X	X	X		Upcoming	This measure has not started.
TRA-4b: Continue to improve bicycle facilities at Caltrain stations and partner with bike share programs where available following guidance in				X	Ongoing	The JPB adopted the Caltrain Bicycle Parking Management Plan in November 2017, and staff have been working to implement the Plan's recommendations to improve wayside bike parking facilities along

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
Caltrain's Bicycle Access and Parking Plan.						the corridor. Staff have also been coordinating with local jurisdictions that have launched bikeshare pilot programs to safely site bicycles near Caltrain stations.
NOI-CUMUL-1: Implement a phased program to reduce cumulative train noise along the Caltrain corridor as necessary to address future cumulative noise increases over FTA thresholds				X	Upcoming	This measure will be implemented during project operation.
NOI-CUMUL-2: Conduct project-level vibration analysis for Blended System operations and implement vibration reduction measures as necessary and appropriate for the Caltrain corridor				X	In Progress	CHSRA is conducting this analysis as part of the EIR/EIS for the San Francisco to San Jose section.
TRA-CUMUL-1: Implement a phased program to provide traffic improvements to reduce traffic delays near at-grade crossings and Caltrain stations				X	Upcoming	This measure will be implemented during project operation.
TRA-CUMUL-2: Implement technical solution to allow electric trolley bus transit across 16th Street without OCS conflicts in cooperation with SFMTA.	X				Complete	Not applicable. SFMTA has elected to not electrify the 16 th Street crossing. This measure no longer applies.
Mitigation Measure TRA-CUMUL-3: As warranted, Caltrain and freight operators will partner to provide Plate H clearance				X	Upcoming	This measure will be implemented during project operation.

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Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
as feasible between San Jose and Bayshore.						

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michelle Bouchard
Acting Executive Director

FROM: John Funghi
Chief Officer, Caltrain Modernization Program

SUBJECT: **PENINSULA CORRIDOR ELECTRIFICATION PROJECT (PCEP) UPDATE**

Finance Committee Recommendation Work Program-Legislative-Planning Committee Recommendation Staff Coordinating Council Reviewed Staff Coordinating Council Recommendation

ACTION

Staff recommends that the Board of Directors (Board) of the Peninsula Corridor Joint Powers Board (JPB) receives an informational update on the Peninsula Corridor Electrification Project, including an update on the Federal Transit Administration DRAFT Risk Refresh Report.

SIGNIFICANCE

This item provides draft information from the FTA on the PCEP budget and schedule. Looking ahead, this information, once finalized, will impact the FFGA and project funding plan.

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michelle Bouchard
Executive Director, Caltrain

FROM: Sebastian Petty
Deputy Chief, Planning, Caltrain

SUBJECT: **UPDATE ON SERVICE RESTORATION**

Finance Committee Recommendation Work Program-Legislative-Planning Committee Recommendation Staff Coordinating Council Reviewed Staff Coordinating Council Recommendation

ACTION

Staff Coordinating Council recommends the Board of Directors (Board) receive an informational update on proposed fall schedule change and service restoration.

SIGNIFICANCE

Caltrain is currently operating a reduced, 70-train per weekday service based on the significant reduction in demand resulting from the COVID-19 Pandemic. The current service has been developed to conserve agency resources while continuing to provide a foundational level of regional rail service to communities in San Francisco, San Mateo and Santa Clara counties.

As the COVID-19 Pandemic recedes and the region and state relax and lift public health orders, transit operators are preparing to adjust and restore service. Caltrain is developing plans for a service change and expansion to coincide with BART's recently announced intention to operate an expanded service starting on August 30th. This restoration will allow Caltrain to provide a competitive service offering as employees return to work and in-person education resumes in the region. The planned service change also provides a further opportunity to continue implementation of the Equity, Connectivity Recovery and Growth Framework adopted by the Board in 2020 – with an emphasis on providing improved service at all times of day, a simplified set of service patterns, and coordinated connections at key regional transfer points. Staff is presenting initial analysis and recommendations to the Board and will then work to solicit stakeholder feedback and refine the proposed approach throughout the summer.

BUDGET IMPACT

There is no budget impact associated with receiving this informational update. The restoration of service described has been incorporated into the FY22 operating budget.

BACKGROUND

Starting in March of 2020, the emergence of the COVID-19 Pandemic resulted in a rapid and severe crisis for the railroad, with ridership plummeting by as much as 98%. Caltrain quickly implemented significant service cuts and has been restoring and adjusting service over subsequent months as the pandemic has continued.

At the June 2020 Board Meeting, Peninsula Corridor Joint Powers Board (JPB) staff announced that activity on the Caltrain Business Plan would pause and pivot toward COVID Recovery Planning efforts. At the September 2020 Board Meeting the Board adopted the Equity, Connectivity, Recovery & Growth Framework (the Framework) – a significant policy document that outlines Caltrain's approach to recovering from the COVID-19 Pandemic and growing the system in a manner consistent with the larger Business Plan process. The framework includes specific policies and actions that describe how Caltrain can recover in a way that emphasizes improving equity outcomes on the system and enhancing connectivity to the region's transit network.

The Equity, Connectivity, Recovery & Growth Framework was used to develop a reduced, 70 train per weekday service that was implemented at the end of 2020 and adjusted in March of 2021 to coincide with an update to BART's timetable. This service focused on initial implementation of the Framework by providing a simplified set of train patterns, improved midday and weekend service levels, and coordinated connections at the Millbrae BART station.

Prepared by: Ted Burgwyn, Director,
Rail Network and Operations Planning, Caltrain

650-551-6139

Caltrain Business Plan

COVID RECOVERY
PLANNING

UPDATE ON SERVICE
RESTORATION

June 3 2021



Ongoing Recovery Planning Efforts

Caltrain has pivoted its Business Plan effort to focus on COVID-19 Recovery planning. This work is spread across multiple streams as shown on the right

Caltrain staff will engage regularly with the Board, stakeholders and the public as recovery planning proceeds over the next several months



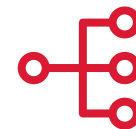
Equity, Connectivity, Recovery, & Growth Framework



Near Term Service Planning



Financial Analysis



Scenario Planning

Ongoing Recovery Planning Efforts

Caltrain has pivoted its Business Plan effort to focus on COVID-19 Recovery planning. This work is spread across multiple streams as shown on the right

Caltrain staff will engage regularly with the Board, stakeholders and the public as recovery planning proceeds over the next several months



Equity, Connectivity, Recovery, & Growth Framework



Near Term Service Planning



Financial Analysis



Scenario Planning

Context & Background

Multiple Phases of Crisis & Response

Initial Triage

March 2020 – May 2020

Surviving the Pandemic

May 2020 – 2021 (?)

Preparing for the Next Reality

2021 and Beyond



Initial crisis and immediate triage response by Caltrain

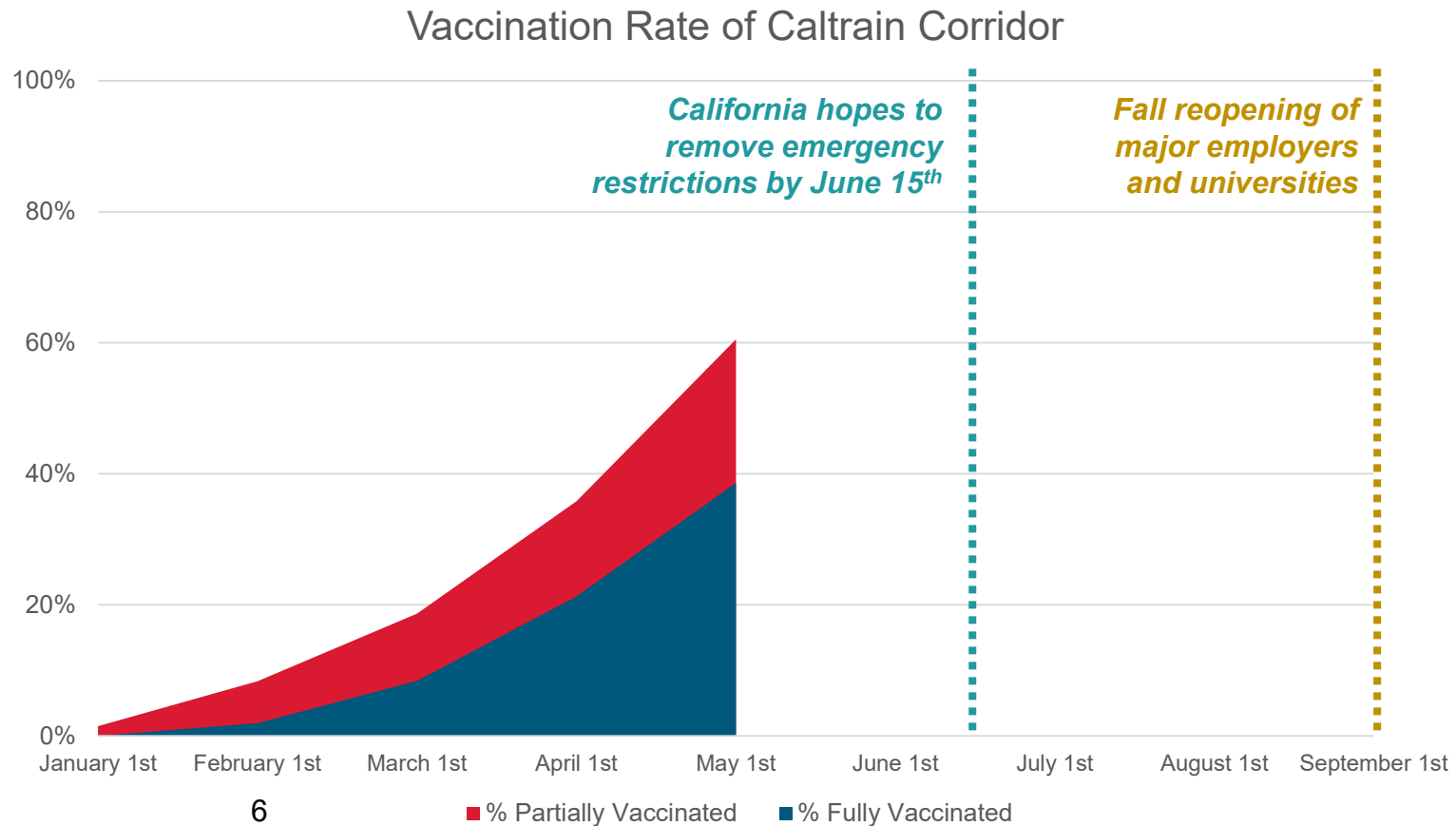
Extended period where Pandemic is ongoing and Caltrain ridership and operations remain deeply impacted and in a state of dynamic flux. Railroad's financial position is precarious

Long-term resolution of pandemic through vaccine or other permanent public health approaches. Caltrain adjusts to new Business Environment

Vaccinations & Reopening

Key Milestones

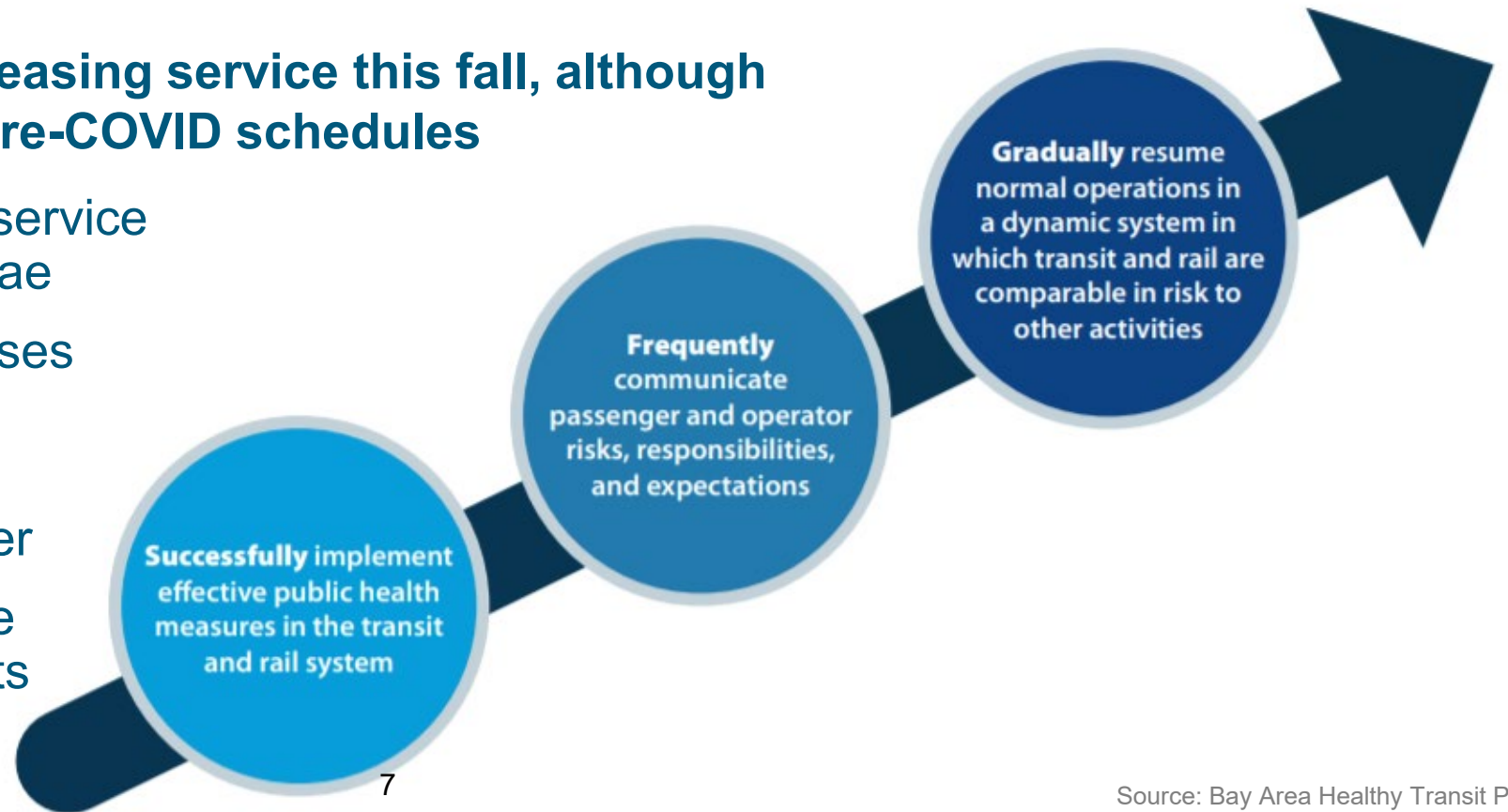
- As of May 1st, 61% of residents of Santa Clara, San Mateo, and San Francisco counties are partially or fully vaccinated
- California hopes to remove all emergency restrictions by June 15
- Several major employers are targeting reopening in September (Google, Apple, etc)
- Major universities expect to be in person in the fall (Stanford, San Jose State, Santa Clara, etc)



Regional Transit Service Scaling Up

Many transit agencies are increasing service this fall, although few are completely restoring pre-COVID schedules

- BART will provide 15-minute service on all lines, including at Millbrae
- WETA phasing service increases between July and October
- ACE and Capitol Corridor are increasing service this summer
- Muni, VTA, and SamTrans are evaluating service adjustments



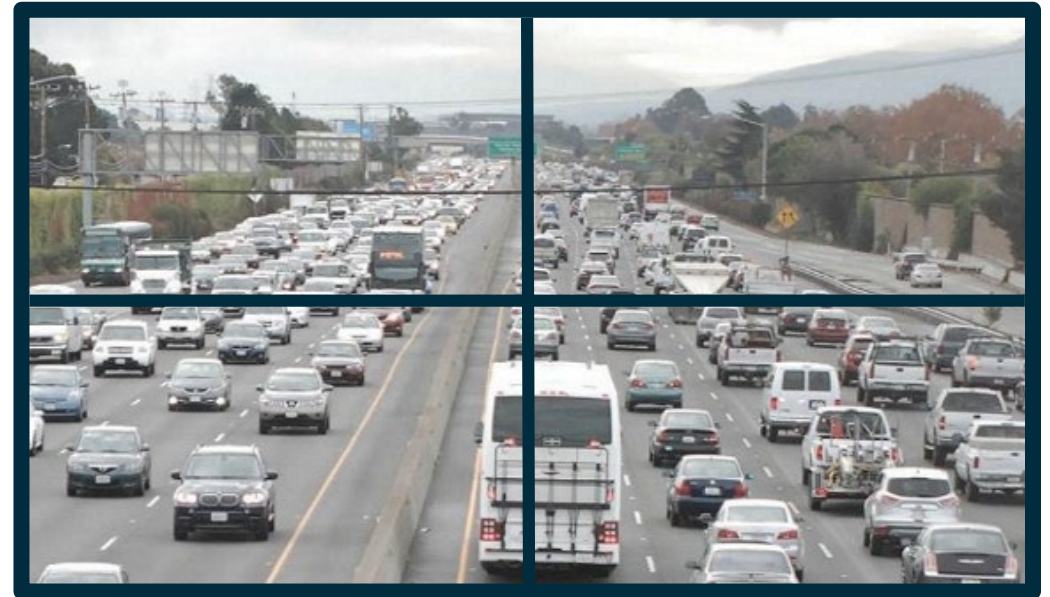
A Window of Opportunity

As workplaces, universities, and events establish a “new normal,” Caltrain has a window of opportunity to shape post-pandemic travel behavior:



Caltrain recaptures ridership and attract new riders by increasing service

OR



Former riders shift to driving because Caltrain service does not meet their needs

Service Planning

Service Restoration Goals

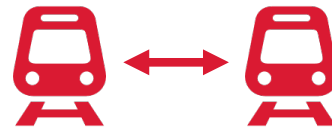
Caltrain seeks to recapture and expand market share while also building upon the principles of the Equity, Connectivity, Recovery, and Growth Policy:



**Competitively
Serve core
ridership markets
and attract new
riders**



**Provide a
standardized
repetitive schedule**



**Coordinate transit
connections**



**Address social and
racial equity needs**

What We've Heard

Service during COVID-19 Pandemic has been reduced and ridership remains very low as many major employers along the corridor continue remote work. Caltrain has listened to feedback on the current reduced service. As we look to change the service in the next few months we want to retain elements of the service that work well while also adjusting and improving.

	AM Peak	Midday	PM Peak	Evening
Current Service Plan	2	2	2	
70 Trains/Weekday	1	1	1	1

- **Customers have benefitted from improved connections with BART at Millbrae**
- **Midday and weekend service increase is popular**
- **Increased train service desired, including express trains**
- **Add more stops to improve connectivity/frequency at all stations (skip-stop service at current service level is inconvenient for travelers going between intermediate stations)**



Fall Service Strategy

Increasing service for the Fall will help Caltrain rebuild core ridership markets and support the region's economic recovery.

Investing in the Region's Economic Recovery:



Provide a Competitive Regional Transit Service

- Recapture riders adjusting to new travel behavior
- Emphasize connectivity to rail and bus services



Continue Equity-Oriented Planning

- Maintain off-peak and weekend service enhancements to diversify trip purposes and ridership markets



Expect the Unexpected

- Duration of pandemic and effects on travel behavior remain unknown
- Ridership and farebox revenue may take time to fully recover

Ongoing Constraints

While Caltrain's primary goal of the fall schedule change is to increase service, the railroad must continue to operate within some significant constraints.

Other factors impacting the train schedule:



Work within Existing Financial Constraints

- Farebox revenue remains low and will take time to recover
- Service levels must be aligned with financial capacity



Deliver Major Construction Projects

- South San Francisco and Electrification projects require track access to complete
- Train schedules must be tailored to accommodate ongoing single-tracking operations.

Fall Service Changes Under Consideration

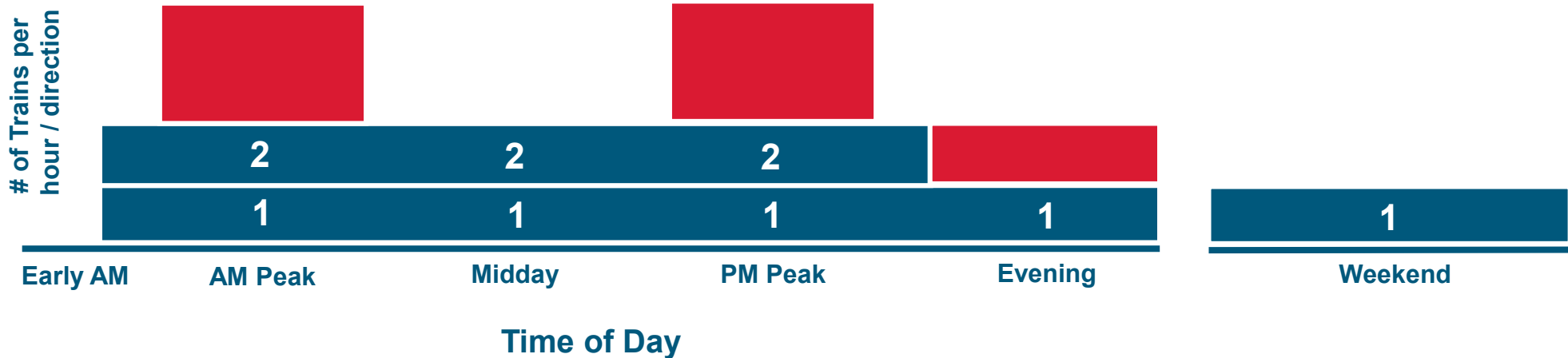
- **Maintain service enhancements identified in the Equity, Connectivity, Recovery, and Growth Policy**
 - Expanded off-peak and weekend service
 - Simplified repetitive service pattern
 - Improved coordination with BART and other transit providers
- **Increase peak period service levels above the current 2 trains per hour**
- **Increase evening service levels above 1 train per hour**
- **Evaluate changes to service patterns including potential restoration of “Baby Bullet” style express service**
- **Restore 3 daily roundtrips to Gilroy**

Fall 2021 Service Expansion

Service planning will consider expanding peak period and evening frequency and adjusting stopping patterns. Overall span of service hours and weekend frequency will not change.

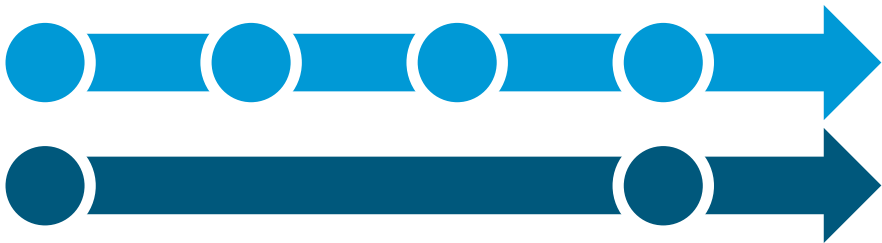
Fall Service Changes

Current Service Levels



Key Tradeoffs

Number of Stops



Types of Service



		Number of Stops	
		More Stops	Less Stops
Types of Service	All Trains the Same	<p>Pros: Frequent service to all stations. Consistent headways with good connectivity.</p> <p>Cons: Trains are slow.</p>	<p>Pros: Reasonable travel times at all stations. Frequent service at major stations only.</p> <p>Cons: Infrequent service with challenging connectivity at most stations. Complicated service.</p>
	Different Types of Trains	<p>Pros: Faster travel times between major stations. Good connectivity between all stations.</p> <p>Cons: Slow travel times for all other stations. Inconsistent headways at major stations. Somewhat complicated service.</p>	

Next Steps

- **Develop service plan to achieve the outlined goals**
- **Coordinate with BART timetable to optimize connections**
- **Prepare to participate in region's "Welcome Back to Transit" marketing campaign**
- **Consider potential to join BART in promotional fare reduction planned for month of September**

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michelle Bouchard
Executive Director

Derek Hansel
Chief Financial Officer

SUBJECT: **ADOPTION OF THE FISCAL YEAR 2022 PROPOSED OPERATING BUDGET
AND THE FISCAL YEAR 2022 PROPOSED CAPITAL BUDGET**

Finance Committee Recommendation Work Program-Legislative-Planning Committee Recommendation Staff Coordinating Council Reviewed Staff Coordinating Council Recommendation

ACTION

Staff proposes the Finance Committee recommend the Board of Directors (Board):

1. Adopt the Peninsula Corridor Joint Powers Board's (JPB) Fiscal Year 2021-22 (FY2022) Operating Budget in the amount of \$176,743,469, a copy of which is attached as Attachment A;
2. Adopt the JPB's FY2022 Capital Budget in the amount of \$39,209,919, a copy of which is attached as Attachment B;
3. Direct the Acting Executive Director, or designee, to forward the budgets to the JPB member agencies and the Metropolitan Transportation Commission (MTC); and
4. Direct the Acting Executive Director, or designee, to take all actions necessary to apply for and receive Senate Bill 1 State of Good Repair funds and other grants included in the proposed FY 2022 Capital Budget, and take any other actions necessary to give effect to the above actions.

SIGNIFICANCE

Over the past two decades, Caltrain has experienced rapid ridership growth and many of its peak-hour trains operated near, at, or above their seated capacity. The launch of the Baby Bullet in 2004 helped spur this growth. Meeting growing customer demand while maintaining a high standard of safe, reliable, and comfortable service was the preeminent operational challenge faced by Caltrain.

The arrival of the COVID-19 pandemic has had profound consequences for Caltrain. Average weekday ridership of 65,000 dipped by as much as 95%. For an agency historically dependent on farebox revenue to fund operations, this has been financially devastating. Caltrain is not alone - the financial, social, and economic impacts brought about by the pandemic have led to what may be one of the most challenging times for public transit in the history of our country.

The JPB has responded to the challenges and focused on fulfilling its core mission in the first year of the pandemic through Board-approved measures to support Caltrain's riding public, including essential workers and low-income riders, by:

- Suspending increases to Clipper® fare products for Single Adult rides and adult monthly passes.
- Increasing discounts from 20% to 50% off of single-ride Clipper fares for riders who qualified for the regional means-based fare pilot program;
- Postponing previously approved fare increases until after June 2021.
- Extending the validity of the 2020 GoPass by three months, through March 2021.
- Selling the 2021 GoPass at a 25% discount and at a pro-rated cost to account for the shorter duration of the 2021 GoPass (April-December 2021).
- Adopting a Framework for Equity, Connectivity Recovery and Growth to ensure that Caltrain services are available to all.
- Providing free train rides to transport the riding public to their vaccination destinations.

On the financial side, Caltrain benefitted significantly from the support of its GoPass customers, who overwhelmingly maintained their participation in the program despite the plummet in ridership. Most importantly, and like transit properties across the country, we depended heavily on unprecedented federal support of our operations, including large allocations of funding from the CARES act and the CRRSAA act (\$64.6 million and \$46.7 million respectively), and judiciously utilized funds to support the above measures, ensuring transport for the riding public, such as by:

- Implementing staff cost reduction measures including no increase to full-time equivalent (FTE) positions, a hiring freeze and no universal wage increases.
- Working diligently with the contract rail operator, TransitAmerica Services, Inc. (TASI), to maintain a viable schedule to serve ridership during the pandemic, while minimizing overtime, and appropriately reallocating operating staff to support capital projects

In an effort that materially addresses Caltrain's long-term financial sustainability, the JPB successfully sought voter approval of the Measure RR 1/8-cent sales tax in November 2020. Measure RR will provide Caltrain's first-ever source of dedicated non-fare revenues. Though significant Measure RR revenues will not flow to the JPB until the second quarter of FY2022, staff is currently taking steps to ensure cash flow availability to meet Caltrain needs. Additionally, the MTC will soon begin its process for allocating funds from the latest federal pandemic stimulus package, the American Rescue Plan Act (ARPA). Whilst the ARPA funds are not yet allocated, this proposed budget includes the use of ARPA funds to support operation in FY2022.

Changes from the FY2022 Preliminary Budget to the FY2022 Proposed Budget:

The FY2021 Preliminary Budget was achieved by tapping an existing line of credit. In FY2022 Staff will use the upcoming ARPA funds to balance the budget.

(in \$million)	FY2022 Preliminary	FY2022 Proposed	Incr (Decr)
Revenue	157.70	161.90	4.20
Expense	178.90	176.70	(2.20)
Line of Credit	21.20		(21.20)
ARPA		14.80	14.80
Surplus (Deficit)	0.00	0.00	0.00

The increase in revenue reflects a reduction in the allocation of Measure RR funds for the Capital budget. The Project Team conducted a rigorous review of the proposed projects for FY2022. This exercise resulted in increased availability of Measure RR for operations and a lower level of deficit financing. In addition, Operating Grants adjusted upwards by \$100k to reflect funds for the Holiday Train from the Silicon Valley Community Foundation.

On the expense side, negotiations on the Rail Operator Service contract includes a further reduction of \$946.3K. The adjustments include the removal of the annual passenger count and lower cost estimated for fiber maintenance. In addition, the budget for Timetables and Tickets was reduced by half. Insurance was adjusted to the latest cost estimates for property insurance and railroad liability.

FY2022 Proposed Operating Budget Overview:

- The FY2022 Proposed Operating Budget includes Measure RR revenues for the first time, presenting new opportunities to consider various levels of operation.
- The budget assumes a tentative restoration of service to 92 trains per weekday.
- The farebox forecast takes into consideration that a lasting shift to working- from-home for many workers may dampen growth going forward.
- Revenues from federal relief operating support for FY2022 is projected to be available but at a significantly lower level than in FY2021 (this does not yet include funding from the ARPA funds, discussed above).
- For the first time in the JPB's history, the FY2022 Proposed Operating Budget assumes no operating contributions from the JPB's three member agencies (the San Mateo County Transit District, Santa Clara Valley Transportation Authority and City and County of San Francisco). The Joint Exercise of Powers Agreement provides for sharing of operating support among the agencies to the extent that there is an expected operating deficit. Given the availability of Measure RR revenue, the anticipation of additional federal funding through ARPA, the ability to address cash

flow through borrowing, and the recognition of the challenges facing the member agencies given the pandemic, Staff proposes that the JPB forego pursuing operating contributions for FY2022. Staff is also recognizing that a resumption in operating contributions in future years will likely be necessary in order to achieve the goals of the Board for Caltrain operations.

FY2022 Proposed Capital Budget Overview:

- Projects in the FY2022 Proposed Capital Budget will support the forthcoming shift to rail electrification.
- The FY2022 Proposed Capital Budget is a constrained budget and full funding sources is identified for all projects included in the Proposed Capital Budget presented to the Board in June. The FY2022 Proposed Capital Budget assumes zero member contributions to the capital budget. This represents a cut of \$18.0 million in aggregate from the three member agencies (\$6.0 million each). As above, the Joint Exercise of Powers Agreement specifies a process for allocating funding of capital requirements among the agencies. In FY2022, the funding requirements (and available sources) of the operating and capital budgets are such that Staff is not proposing a capital request from the member agencies. As the future funding needs of Caltrain develop (in response to policy direction from the Board), Staff anticipates that a restoration of member agency capital funding will be required.

FY2022 PROPOSED OPERATING BUDGET

Please refer to Attachment A – FY2022 Proposed JPB Financial Statement-Comparative Budgets for a comparative schedule of the FY2022 Proposed Operating Budget which shows the FY2020 Actual, FY2021 Adopted Budget, FY2021 Forecast and the FY2022 Proposed Operating Budget. The line numbers for each revenue and expense item detailed below refer to the corresponding line numbers on Attachment A.

Revenue Projections

Total revenues for FY2022 are projected at \$161.9 million, an increase of \$34.4 million or 27.0% over the FY2021 Forecast:

- Revenue from Operations for FY2022 is projected at \$40.6 million, an increase of \$4.9 million or 13.8% over the FY2021 Forecast.
- Revenue from Contributions for FY2022 projected at \$121.3 million, an increase of \$29.5 million or 32.2% higher than the FY2021 Forecast.

Operating Revenue

Line 1 **Farebox Revenue:** \$34.6 million, an increase of \$4.0 million or 13.1% higher than the FY2021 forecast.

Farebox revenue includes fare receipts collected directly from rail passengers or through pass sales. Generally, the GoPass has been sold on a calendar year basis. For calendar year 2021, sales were for passes effective April 1, 2021 (coinciding with the extended expiration of the 2020 passes).

Description	FY2020	FY2021	FY2021	FY2022	\$ Change	% Change
	ACTUAL	BUDGET	FORECAST	PROPOSED BUDGET	FY22 Proposed to FY21 Forecast	FY22 Proposed to FY21 Forecast
Caltrain Fares	56,389,061	5,575,500	5,465,481	25,039,000	19,573,519	358.1%
GoPass	19,705,372	26,453,649	25,164,860	9,600,000	(15,564,860)	-61.9%
Farebox Revenue	76,094,433	32,029,149	30,630,341	34,639,000	4,008,659	13.1%

The farebox revenue forecast attempts to take into consideration the variety of factors that are likely to impact ridership. These include the general economic activity, the return of more typical “work from office” situations, the degree to which employees have the freedom to and choose to work from home more frequently, and the degree to which potential riders are comfortable choosing public transit alternatives.

Line 2 **Parking Revenue:** \$1.5 million, an increase of \$1.2 million or 312.1% higher than the FY2021 forecast.

Parking revenue includes fees at parking lots at various passenger stations to and from a parking lot located at the SAP Center adjacent to the San Jose Diridon station.

Description	FY2020	FY2021	FY2021	FY2022	\$ Change	% Change
	ACTUAL	BUDGET	FORECAST	PROPOSED BUDGET	FY22 Proposed to FY21 Forecast	FY22 Proposed to FY21 Forecast
Parking Revenue	3,659,013	372,718	372,718	1,536,000	1,163,282	312.1%

Parking revenue estimates follow Farebox revenue trend projections.

Line 3 **Shuttle Revenue:** \$1.6 million, a decrease of \$0.2 million or 9.6% lower than the FY2021 forecast.

Shuttle Program funding comes from participating employers, the San Mateo County Transportation Authority (TA), Bay Area Air Quality Management District (BAAQMD). This line item refers only to the revenue generated from participating local 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.

Description	FY2020	FY2021	FY2021	FY2022	\$ Change	% Change
	ACTUAL	BUDGET	FORECAST	PROPOSED BUDGET	FY22 Proposed to FY21 Forecast	FY22 Proposed to FY21 Forecast
Employer Share - SamTrans / JPB Shuttle Programs	1,783,942	2,031,246	1,773,647	1,603,900	(169,747)	-9.6%

Line 4 **Rental Income:** \$1.2 million, an increase of \$80.7 thousand or 7.3% higher than the FY2021 forecast.

Rental income is generated from third-party use of properties owned by the JPB along the Caltrain right of way (ROW).

Description	FY2020 ACTUAL	FY2021 BUDGET	FY2021 FORECAST	FY2022 PROPOSED BUDGET	\$ Change FY22 Proposed to FY21 Forecast	% Change FY22 Proposed to FY21 Forecast
Rental Revenue	533,563	1,111,804	1,111,804	1,192,466	80,662	7.3%

Line 5. **Other Income:** \$1.6 million, a decrease of \$179.4 thousand or 10.2% lower than the FY2021 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.

Description	FY2020 ACTUAL	FY2021 BUDGET	FY2021 FORECAST	FY2022 PROPOSED BUDGET	\$ Change FY22 Proposed to FY21 Forecast	% Change FY22 Proposed to FY21 Forecast
Parking Citation Program Revenue	601,657	-	-	-	-	0.0%
Misc. Operating Revenue	(939,688)	-	-	156,000	156,000	100.0%
Shared Track Maintenance Revenue	473,513	409,000	409,000	409,000	-	0.0%
Other Non-Transit Revenues	351,006	-	-	300,000	300,000	100.0%
Insurance Reimbursements	12,226	-	-	-	-	0.0%
Advertising Income	1,468,979	970,000	970,000	509,608	(460,392)	-47.5%
Other Interest Income	108,818	250,000	250,000	100,000	(150,000)	-60.0%
Interest Income - LAIF	(84,351)	126,000	126,000	110,000	(16,000)	-12.7%
Interest Income - County Pool	(5,860)	9,000	9,000	-	(9,000)	-100.0%
Other Income	1,986,300	1,764,000	1,764,000	1,584,608	(179,392)	-10.2%

Shared track maintenance revenue is generated from the annual contract with United Pacific Railroad (UPRR). Other non-transit revenue is generated from construction permits from 3rd party contractors. Advertising income assumes that at least 40-50% ridership will return by January 2022. Interest income is lower due to declining interest rates on fixed income products.

CONTRIBUTIONS

Line 9 **AB434 & TA Shuttle Funding:** \$1.1 million, a decrease of \$0.6 million or 35.6% lower than the FY2021 forecast.

Contributions for the service come from State and local sources. In 1991, through Assembly Bill (AB) 434, the State Legislature authorized a \$4.00 surcharge on cars and trucks to fund projects that reduce on-road motor vehicle emissions. AB434 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.

Description	FY2020	FY2021	FY2021	FY2022	\$ Change	% Change
	ACTUAL	BUDGET	FORECAST	PROPOSED BUDGET	FY22 Proposed to FY21 Forecast	FY22 Proposed to FY21 Forecast
AB434 - California Clean Air A	607,933	565,050	565,050	80,000	(485,050)	-85.8%
TA Contr-SM Cnty Caltrain Shut	725,238	1,172,900	1,172,900	1,039,300	(133,600)	-11.4%
AB434 & TA Shuttle Funding	1,333,171	1,737,950	1,737,950	1,119,300	(618,650)	-35.6%

After calendar year 2020, AB434 funds are no longer be available. Shuttles are not yet expected to generate the necessary net emission savings until ridership approaches pre-COVID levels. A new Transportation Fund for Clean Air (TFCA) Regional Fund managed by BAAQMD is pending application approval.

Line 10 **Operating Grants:** \$6.5 million, a decrease of \$6.3 million or 49.1% lower than the FY2021 forecast

State Transit Assistance (STA) revenue generated from the statewide sales tax on diesel fuel 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.

Description	FY2020	FY2021	FY2021	FY2022	\$ Change	% Change
	ACTUAL	BUDGET	FORECAST	PROPOSED BUDGET	FY22 Proposed to FY21 Forecast	FY22 Proposed to FY21 Forecast
Operating Grants	2,786,819	12,608,500	12,808,500	6,525,471	(6,283,029)	-49.1%

This estimate includes preliminary allocations for STA. The balancing measures used in FY2021 budget will not carry over to FY2022. The FY2021 balancing measures included use of State Rail Assistance funds and de-allocated capital federal funds.

Line 11 **JPB Member Agencies:** Zero, a decrease of \$28.8 million or 100% lower than the FY2021 forecast.

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 member agencies were previously calculated in accordance with an allocation methodology based on the average mid-weekday boarding data including Gilroy.

Description	FY2020	FY2021	FY2021	FY2022	\$ Change	% Change
	ACTUAL	BUDGET	FORECAST	PROPOSED BUDGET	FY22 Proposed to FY21 Forecast	FY22 Proposed to FY21 Forecast
JPB Member Agencies	28,035,055	29,009,434	28,809,434	-	(28,809,434)	-100.0%

This budget assumes there will be no member agency contributions for operations in FY2022. Staff proposes this measure due to the effects of the pandemic upon the operations of the member agencies and the expected ability of Caltrain to meet its FY22 operating obligations through Measure RR, farebox revenue, extraordinary Federal funding, and a limited amount of borrowing.

Line 12 **Measure RR:** \$86.6 million, an increase of \$86.6 million.

At the November 3, 2020 election, the voters approved Measure RR, a 1/8-cent sales tax that will provide a dedicated funding source for Caltrain.

Description	FY2020 ACTUAL	FY2021 BUDGET	FY2021 FORECAST	FY2022 PROPOSED BUDGET	\$ Change FY22 Proposed to FY21 Forecast	% Change FY22 Proposed to FY21 Forecast
Measure RR	-	-	-	86,576,919	86,576,919	100.0%

FY2022 estimated Measure RR funding is \$101.9M with \$86.6 million allocated to the Operating Budget, and \$15.3 million allocated to the FY2022 Capital Budget.

Line 13 **CARES Act Funding:** Zero, a decrease of \$41.5 million or 100% lower than the FY2021 Forecast.

Coronavirus Aid, Relief, and Economic Security Act (CARES Act) Funding was provided by the federal government to transit agencies to supplement operating funds that were lost due to decreased ridership, tax revenue and other factors, as well as to address increased costs associated with pandemic related operations.

Description	FY2020 ACTUAL	FY2021 BUDGET	FY2021 FORECAST	FY2022 PROPOSED BUDGET	\$ Change FY22 Proposed to FY21 Forecast	% Change FY22 Proposed to FY21 Forecast
CARES Act	23,127,798	41,509,536	41,509,536	-	(41,509,536)	-100.0%

The CARES Act federal relief fund will not continue into FY2022.

Line 14 **CRRSAA Funding:** \$27.1M, an increase of \$20.2 million or 290.9% higher than FY2021 Forecast

Coronavirus Response and Relief Supplemental Appropriations Act of 2021 (CRRSAA) funding is being provided by the federal government to transit agencies to address the issues identified above.

Description	FY2020 ACTUAL	FY2021 BUDGET	FY2021 FORECAST	FY2022 PROPOSED BUDGET	\$ Change FY22 Proposed to FY21 Forecast	% Change FY22 Proposed to FY21 Forecast
CRRSSA	-	-	6,936,627	27,115,922	20,179,295	290.9%

The CRRSAA funds totals \$46.7 million, of which \$19.6 million is projected to be used in FY2021 to support operations and the remaining \$27.1 million will support FY2022 operations.

Expense Projections

Grand Total Expense for FY2022 projected at \$176.7 million, an increase of \$36.6

million or 26.2% over the FY2021 Forecast:

- Operating Expense for FY2022 projected at \$136.5 million, an increase of \$21.4 million or 18.6% over the FY2021 Forecast.
- Administrative Expense for FY2022 projected at \$28.9 million, an increase of \$6.2 million or 27.6% over the FY2021 Forecast.
- Long-term Debt Expense for FY2022 projected at \$2.4 million.
- One-time Expenses for FY2022 are projected at \$9.0 million. This includes cost for Measure RR ballot and Governance project.

OPERATING EXPENSE

Line 22 **Rail Operator Service:** \$97.4 million, an increase of \$13.2 million or 15.7% higher than the FY2021 forecast.

The JPB contracts out for rail operator service with TransitAmerica Services, Inc. (TASI). TASI provides rail operations, maintenance and support services in the following areas: Administration/Safety, Operations and Dispatch, Maintenance of Equipment, Maintenance of Track, Communications, Signals and Stations, Capital Construction Support and State of Good Repair (SOGR) maintenance. TASI is paid on a cost-plus-performance-fee contract structure.

Description	FY2020	FY2021	FY2021	FY2022	\$ Change	% Change
	ACTUAL	BUDGET	FORECAST	PROPOSED BUDGET	FY22 Proposed to FY21 Forecast	FY22 Proposed to FY21 Forecast
Rail Operator Service	83,915,012	85,109,942	84,109,942	97,353,730	13,243,788	15.7%

In FY2021, the budget assumed a train schedule determined and implemented on a per quarter basis. For FY2022, the budget of \$97.4 million assumes a tentative restoration of service to 92 trains per weekday.

The \$97.4 million estimate for FY2022 includes provisions for the negotiated contractual union increases, a 0.5% increase in General & Administration fee and maintenance support for Positive Train Control (PTC). The FY2022 estimate also includes \$0.6M for work on Fiber Optics and \$1.0 million for the Ticket Vending Machine maintenance program that will be shifted in FY2022 from Caltrain staff costs to the TASI contract.

Line 24 **Security Services:** \$7.5 million, an increase of \$0.7 million or 11.0% higher than the FY2021 forecast.

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

Description	FY2020	FY2021	FY2021	FY2022	\$ Change	% Change
	ACTUAL	BUDGET	FORECAST	PRELIMINARY BUDGET	FY22 Preliminary to FY21 Forecast	FY22 Preliminary to FY21 Forecast
Security Services	5,913,164	6,746,908	6,746,908	7,486,512	739,604	11.0%

FY2022 security and services budget includes the annual contractual increases and overtime estimates at pre-COVID level, (which is consistent with security services being provided for special service). For FY2022, the JPB % share of overtime cost was increased based on special events for each agency.

Line 25 **Shuttles**: \$2.7 million, a decrease of \$0.8 million or 23.1% lower than the FY2021 forecast.

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

Description	FY2020	FY2021	FY2021	FY2022	\$ Change	% Change
	ACTUAL	BUDGET	FORECAST	PROPOSED BUDGET	FY22 Proposed to FY21 Forecast	FY22 Proposed to FY21 Forecast
Shuttle Service	4,138,715	4,057,249	3,542,715	2,723,200	(819,515)	-23.1%

Line 26 **Fuel**: \$10.4 million, an increase of \$4.5 million or 76.0% higher than the FY2021 forecast.

The proposed budget covers the cost of diesel fuel for JPB locomotive operations, including the associated taxes. Starting in FY2021, Caltrain entered into a diesel fuel-hedging program that helps manage the exposure to changes in diesel fuel prices.

Description	FY2020	FY2021	FY2021	FY2022	\$ Change	% Change
	ACTUAL	BUDGET	FORECAST	PROPOSED BUDGET	FY22 Proposed to FY21 Forecast	FY22 Proposed to FY21 Forecast
Fuel and Lubricants	9,289,638	5,930,523	5,930,523	10,434,846	4,504,323	76.0%

	FY21	FY22			
	Adopted Budget	Proposed Budget	Hedged	Unhedged	
Hedge %			64%	36%	
Price / Gallon		\$1.30	\$1.71	\$2.40	
Projected Fuel Consumption - No. of Gallons		3,121,180	3,962,405	2,535,939	1,426,466
Projected Fuel Cost		\$4,057,534	\$7,759,974	\$4,336,456	\$3,423,518
Taxes		\$1,872,989	\$2,674,872	\$1,645,839	\$1,029,033
Total Projected Fuel Cost including taxes		\$5,930,523	\$10,434,846	\$5,982,295	\$4,452,551

The FY2022 budget assumes 64.0% of the fuel portfolio is hedged at \$1.71/gallon and 36.0% is unhedged at \$2.40/gallon.

Line 27 **Timetables and Tickets**: \$55,000, a decrease of \$55.0 thousand or 50.0% lower than the FY2021 forecast.

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

Description	FY2020	FY2021	FY2021	FY2022	\$ Change	% Change
	ACTUAL	BUDGET	FORECAST	PROPOSED BUDGET	FY22 Proposed to FY21 Forecast	FY22 Proposed to FY21 Forecast
Time Tables, Schedules, & Maps	47,061	110,000	110,000	55,000	(55,000)	-50.0%
Tickets	98,757				-	0.0%
Timetables and Tickets	145,818	110,000	110,000	55,000	(55,000)	-50.0%

Line 28 **Insurance**: \$5.9 million, an increase of \$0.4 million or 8.3% higher than the FY2021 forecast

The Insurance budget includes premiums, deductibles, adjuster fees, broker fees and other insurance costs. Rates reflect costs for property, casualty, and liability insurance.

Description	FY2020	FY2021	FY2021	FY2022	\$ Change	% Change
	ACTUAL	BUDGET	FORECAST	PROPOSED BUDGET	FY22 Proposed to FY21 Forecast	FY22 Proposed to FY21 Forecast
Insurance	4,331,946	5,410,000	5,410,000	5,857,210	447,210	8.3%

It should be noted that difficult market conditions in the liability insurance industry predate the COVID pandemic. This was a market hardened by huge losses, global events and a litigious environment in the United States. Liability insurance cost went up as fewer insurers opted to continue to operate in the industry and existing carriers reduced their exposures. FY2022 insurance proposed budget is adjusted to the latest cost estimates for property insurance and railroad liability.

Line 29 **Claims, Reserves and Payments**: \$820,000, a decrease of \$0.1 million or 14.6% lower than the FY2021 forecast.

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

Description	FY2020	FY2021	FY2021	FY2022	\$ Change	% Change
	ACTUAL	BUDGET	FORECAST	PROPOSED BUDGET	FY22 Proposed to FY21 Forecast	FY22 Proposed to FY21 Forecast
Claims Reserves & Payments	(166,416)	960,000	960,000	820,000	(140,000)	-14.6%

Line 30 **Facilities and Equipment Maintenance**: \$7.5 million, an increase of \$3.6 million or 90.6% higher than the FY2021 forecast.

This budget item covers expenses related to Clipper Operator charges, revenue collection services, ticket vending machines, data line services and other contract services.

Description	FY2020 ACTUAL	FY2021 BUDGET	FY2021 FORECAST	FY2022 PROPOSED BUDGET	\$ Change FY22 Proposed to FY21 Forecast	% Change FY22 Proposed to FY21 Forecast
Facilities and Equipment Maintenance	2,739,785	4,813,563	3,953,563	7,534,353	3,580,790	90.6%

The FY2022 budget includes additional PTC maintenance costs, as part of the final shift of PTC implementation from a capital project to fully operational.

Line 31 **Utilities:** \$2.6 million, a decrease of \$0.2 million or 6.5% lower than the FY2021 forecast.

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

Description	FY2020 ACTUAL	FY2021 BUDGET	FY2021 FORECAST	FY2022 PROPOSED BUDGET	\$ Change FY22 Proposed to FY21 Forecast	% Change FY22 Proposed to FY21 Forecast
Utilities	2,026,492	2,731,385	2,731,385	2,552,600	(178,785)	-6.5%

The budget reflects a lower estimate on PTC-related maintenance costs for CalNet data circuits and phones and an increase in utilities for the Backup Central Control Facility (BCCF).

Line 32 **Maintenance & Services – Building and Other:** \$1.7 million, an increase of \$84.3 thousand or 5.3% higher than the FY2021 forecast.

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

Description	FY2020 ACTUAL	FY2021 BUDGET	FY2021 FORECAST	FY2022 PROPOSED BUDGET	\$ Change FY22 Proposed to FY21 Forecast	% Change FY22 Proposed to FY21 Forecast
Maintenance Services	1,542,911	1,590,000	1,590,000	1,674,250	84,250	5.3%

ADMINISTRATIVE EXPENSE

Line 36 **Wages & Benefits:** \$13.0 million, an increase of \$2.2 million or 20.2% higher than the FY2021 forecast.

The San Mateo County Transit District (District) serves as the managing agency for the JPB. Wages & Benefits reflects staffing costs for an anticipated 72.67 FTEs for the operating budget.

Description	FY2020 ACTUAL	FY2021 BUDGET	FY2021 FORECAST	FY2022 PROPOSED BUDGET	\$ Change FY22 Proposed to FY21 Forecast	% Change FY22 Proposed to FY21 Forecast
Wages & Benefits	11,673,413	10,930,000	10,826,318	13,012,686	2,186,368	20.2%

Built into this budget is hiring for positions that were frozen in FY21 as part of cost savings efforts. The FY2022 proposed operating budget also includes a request for an additional 4.9 FTEs.

Operating

FY2022 FTE	Admin	Bus	CalMod	Comm	Exec	Finance	Planning	Rail	Total
Represented	-	-	-	-	-	-	-	-	-
Non-Represented	6.40	2.90	-	16.12	0.45	6.90	2.92	32.08	67.77
New FTEs	0.50	-	-	0.40	-	-	0.35	3.65	4.90
Total Operating	6.90	2.90	-	16.52	0.45	6.90	3.27	35.73	72.67

Fringe benefit costs are applied to actual staff wages as a calculated rate. The District aggregates all estimated annual fringe benefit costs of employees associated with a particular agency (payroll taxes, pension, medical, dental and vision premiums, life insurance, long-term disability, unemployment, and paid time-off). This total is then divided by the total projected wages for that agency for the upcoming year to arrive at a fringe benefit rate that is charged on a periodic basis against payroll costs. Variances are trued up annually.

Line 37 **Managing Agency Admin OH Cost:** \$3.5 million, a decrease of \$82.2 thousand or 2.3% lower than the FY2021 forecast.

Managing Agency Administrative Overhead (OH) Cost reflects the cost of District personnel dedicated to the Caltrain business (as opposed to Caltrain operations).

Description	FY2020	FY2021	FY2021	FY2022	\$ Change	% Change
	ACTUAL	BUDGET	FORECAST	PROPOSED BUDGET	FY22 Proposed to FY21 Forecast	FY22 Proposed to FY21 Forecast
Managing Agency Admin OH Cost	4,406,537	5,139,352	3,553,099	3,470,871	(82,228)	-2.3%

The Indirect Cost Allocation Plan (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 is 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

four agencies managed or supported by the District. 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 are distributed to each department. 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.

In mid-FY2021, the ICAP methodology was changed to more appropriately allocate these costs across the range of projects served – staff anticipates that this approach will continue for FY2022. In prior years, the ICAP rate was applied to pre-defined labor costs. The new methodology applies the ICAP rate to all labor and non-labor costs. The methodology does not change how much ICAP in total is paid, but rather how the total ICAP is allocated to different projects.

Line 38 **Board of Directors:** \$48,275, an increase of \$37.2 thousand or 337.9% higher than the FY2021 forecast.

This covers director compensation, seminars and training, and meetings for the Board of Directors.

Description	FY2020 ACTUAL	FY2021 BUDGET	FY2021 FORECAST	FY2022 PROPOSED BUDGET	\$ Change FY22 Proposed to FY21 Forecast	% Change FY22 Proposed to FY21 Forecast
Board of Directors	24,589	11,025	11,025	48,275	37,250	337.9%

In FY2022, the budgets for the Board retreats were moved from the Other Office Expense and Services account to the Board of Directors line item.

Line 39 **Professional Services:** \$8.2 million, an increase of \$3.1 million or 60.5% higher than the FY2021 forecast

This covers the cost of consultants for legal services, audit services, and legislative advocacy and technical services. The professional services also include additional operating maintenance of PTC related to rail friction, electronic recording, measuring, and communications systems and communications data security.

Description	FY2020	FY2021	FY2021	FY2022	\$ Change	% Change
	ACTUAL	BUDGET	FORECAST	PROPOSED BUDGET	FY22 Proposed to FY21 Forecast	FY22 Proposed to FY21 Forecast
Legal Services	(183,342)	2,062,904	1,912,904	2,814,850	901,946	47.2%
Annual Audit Services	69,012	78,000	78,000	78,000	-	0.0%
Legislative Advocate	163,541	169,200	169,200	169,200	-	0.0%
Consultants	1,940,055	3,089,896	2,956,896	5,150,770	2,193,874	74.2%
Professional Services	1,989,266	5,400,000	5,117,000	8,212,820	3,095,820	60.5%

The FY2022 budget for consultants reflects the additional cost for the new legal counsel and the continuing shift of PTC from a capital project to maintenance.

Line 40 **Communications and Marketing**: \$0.3 million, an increase of \$0.2 million or 137.3% higher than the FY2021 forecast.

This covers the cost of promotional advertising for fares, schedule changes and the cost of providing the riding public with a mobile app.

Description	FY2020	FY2021	FY2021	FY2022	\$ Change	% Change
	ACTUAL	BUDGET	FORECAST	PROPOSED BUDGET	FY22 Proposed to FY21 Forecast	FY22 Proposed to FY21 Forecast
Communications and Marketing	293,830	136,000	136,000	322,750	186,750	137.3%

FY2022 budget reflects a one-time marketing campaign led by the Metropolitan Transportation Commission to promote Return to Transit, in addition to outreach and public hearings.

Line 41 **Other Office Expense and Services**: \$3.8 million, an increase of \$0.8 million or 27.5% higher than the FY2021 forecast.

This covers license renewal, bank fees, office vehicle maintenance, property taxes, software maintenance, and leases for properties along the Caltrain right of way 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.

Description	FY2020	FY2021	FY2021	FY2022	\$ Change	% Change
	ACTUAL	BUDGET	FORECAST	PROPOSED BUDGET	FY22 Proposed to FY21 Forecast	FY22 Proposed to FY21 Forecast
Communications and Marketing	293,830	136,000	136,000	322,750	186,750	137.3%

Built into this estimate are recruitment services and relocation costs, an increase in banking costs due to lower earnings credit rate, the projected use of a line of credit and the restoration of staff training costs that were frozen in FY2021.

Line 44 **Ballot Measure RR Fee**: \$7.0 million estimate.

Description	FY2020	FY2021	FY2021	FY2022	\$ Change	% Change
	ACTUAL	BUDGET	FORECAST	PROPOSED BUDGET	FY22 Proposed to FY21 Forecast	FY22 Proposed to FY21 Forecast
Measure RR Ballot Costs	-	-	-	7,000,000	7,000,000	100.0%

This one-time \$7.0 million estimate is to cover costs incurred by the counties of San Francisco, San Mateo and Santa Clara to put the Measure RR ballot up for a vote in FY2021 elections.

Line 45 **Governance:** \$2.0 million estimate

Description	FY2020 ACTUAL	FY2021 BUDGET	FY2021 FORECAST	FY2022 PROPOSED BUDGET	\$ Change FY22 Proposed to FY21 Forecast	% Change FY22 Proposed to FY21 Forecast
Governance	-	-	-	2,000,000	2,000,000	100.0%

This item is a place holder to cover the related costs for the Governance review that includes staff costs, consultant support, legal consultation and specialized financial analysis.

Line 47 **Long Term Debt Expense:** \$2.4 million, no change over the FY2021 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.

Description	FY2020 ACTUAL	FY2021 BUDGET	FY2021 FORECAST	FY2022 PROPOSED BUDGET	\$ Change FY22 Proposed to FY21 Forecast	% Change FY22 Proposed to FY21 Forecast
Long-term Debt Expense	2,635,046	2,381,752	2,381,752	2,381,752	-	0.0%

PROPOSED FY2022 CAPITAL BUDGET - \$39,209,919

i. STATE OF GOOD REPAIR (SOGR) - \$12,210,771

BRIDGES - \$1,989,000

1. Guadalupe River Bridge Replacement and Extension - \$1,989,000

Replace the Guadalupe River Bridge in San Jose, damaged by weather and arson. The project will remove the MT1 Guadalupe River Bridge, including piers and abutments, and replace it with a new railroad bridge. The track structure will be reconstructed at the existing alignment and profile. Construction of the new railroad bridge may require protection or relocation of the underground utilities in the right-of-way and/or attached to the existing bridge.

RIGHT OF WAY - \$5,593,771

2. Track SOGR - \$5,437,771

The System Wide Track Rehabilitation Program covers the work required to keep the

Caltrain railroad in a state of good repair. The type and scope of work scheduled for each fiscal year is based on the condition of the railroad and on the inspections and the tests performed throughout the year.

3. Right of Way Fencing - \$156,000

The project will continue to install vandal-resistant fencing at key locations along the JPB main line rail corridor to deter trespassing. This work plan is intended to span four years, picking up where the last three-year contract was successfully completed.

SIGNALS & COMMUNICATIONS - \$3,068,000

4. Communications SOGR - \$416,000

This project is part of an annual request to maintain the Caltrain communication systems in a state of good repair. Projects typically repair and replace communication systems that are beyond their useful life and/or vandalized. Typical scopes of work include, but are not limited to, new Base Stations, new Visual Message Signs, station network cables, repair of microwave dishes, etc.

5. Fiber Optics SOGR - \$572,000

The System Wide Fiber Optics State of Good Repair Project covers the work required to maintain the reliability and consistency of the fiber optics infrastructure. The type and scope of work scheduled for each fiscal year are based on the condition of the system, the inspections and the tests performed throughout the year.

6. Signal SOGR - \$1,248,000

The System Wide Signal State of Good Repair Project covers the work required to maintain the reliability and safety of the signal and crossing systems. The type and scope of work scheduled for each fiscal year are based on the condition of the Signal systems, the inspections and the tests performed throughout the year.

7. Migration to Digital Voice Radio System - \$832,000

This project is part of the continual effort of Caltrain to migrate toward a digital voice radio system. Migrate from the analog voice radio system to a digital voice radio system that will be connected to JPB fiber and off the AT&T leased lines.

FACILITIES AND INTERMODAL ACCESS - \$1,560,000

8. Stations SOGR - \$208,000

This project is part of an annual request to maintain the Caltrain stations in a state of good repair. Projects typically restore station amenities that are beyond their useful life and/or vandalized. Typical scopes of work include, but are not limited to, new shelters, display cases, benches, garbage cans and new roofs for station buildings.

9. Historic Stations SOGR - \$1,352,000

This project will be part of an annual request for work towards the preservation of the six Caltrain historic stations to keep them in a state of good repair. This project will typically restore station amenities that are beyond their useful life and/or vandalized.

Typical scopes of work include, but are not limited to, new restrooms, roofs, windows, lighting, doors, interior and exterior walls made of brick, stone, stucco, wood and other surfaces. HVAC, plumbing and electrical upgrades are included as well.

ii. LEGAL MANDATES AND REQUIRED ENHANCEMENTS - \$4,709,148

10. Rail Program Integration and Transition - \$4,658,148

The objective of this program is to focus on identifying, defining, and implementing the integration of work necessary to support Caltrain's transition to electrified service. As part of the Program Integration, the Rail Activation effort will ensure that each element of the activation work is accomplished in accordance with the following phases: commissioning, acceptance, pre-revenue service, safety certification, and overall Electrified Revenue Service plan and objectives. This program will involve all of the Caltrain Rail Divisions, as well as the District's functional departments from Communications to Information Technology.

11. Hayward Park Remediation - \$51,000

This project is to perform removal of contaminated soils from a historical asphalt plant located within the Hayward Park Station parking lot

iii. OPERATIONAL IMPROVEMENTS / ENHANCEMENTS - \$17,024,000

12. PADS Replacement - \$1,040,000

Develop a Request for Proposals with the system requirements and award a contract to implement a new real-time passenger information system at the Central Control Facility (CCF), the Backup Central Control Facility (BCCF) and at the stations.

13. Grade Crossing Improvement Construction - \$1,040,000

This project will be the construction phase of the FY2021 Grade Crossing Improvements Project. The construction will install safety improvements at the selected grade crossings from the design developed in the previous year.

14. Caltrain VoIP - \$520,000

Caltrain requires the design and installation of a Voice over Internet Protocol (VoIP) system that is compatible with the District's existing VoIP system, and provide necessary support for the Peninsula Corridor Electrification Program (PCEP) and PTC projects. PCEP requires VoIP support for traction power houses/substations installed on the ROW to communicate with the dispatcher. PTC requirements are to provide "dual ring" capability, which routes current plain old telephone service (POTS) phone numbers to both CCF and BCCF simultaneously. The design of this system should include the necessary hardware to provide a redundant solution located at Caltrain's two data centers, namely the CCF and the BCCF.

15. TVM Upgrade Phase 5 - \$1,040,000

The objective is to make all the Ticket Vending Machines (TVMs) consistent with the same software and hardware for easier maintenance. The locations of the TVMs will be determined during Phase 4, which will be at the end of CY2021.

16. Caltrain Fiber Connectivity to Caltrain Stations & Digital Voice Base Station - \$624,000

This project will connect the VHF voice backhaul system, which is currently under AT&T service to the Caltrain Fiber Backbone system. There are 12 VHF radio base station sites.

17. Next Gen Clipper Validators Site Prep - \$1,560,000

This project will be the construction phase of the station site prep for the next generation Clipper validators that will replace the Clipper CID at all the stations.

18. Mountain View Transit Center Grade Separation & Access Project - \$11,200,000

The Mountain View Transit Center Grade Separation and Access Project will improve safety and multimodal access to the Transit Center and Downtown Mountain View. The project includes closing Castro Street at W. Evelyn Avenue and redirecting motorized traffic to the existing Shoreline Blvd overpass via a new access ramp. A dedicated pedestrian and bicycle undercrossing will be constructed under the Caltrain tracks and Central Expressway to connect Castro Street with Moffett Boulevard on the other side. This project will be fully funded by the Santa Clara Valley Transportation Authority (VTA) and the City of Mountain View.

iv. PLANNING/STUDIES - \$3,606,000

19. Operations, Access and Customer Interface Planning - \$260,000

Support for various operational planning activities that achieve key near, medium and long-term agency goals including improving service, fleet management, station access, and the customer experience across near-, medium and long-term timeframes.

20. Business Strategy and Policy Development - \$780,000

Policy and business strategy development in areas that help the railroad recover ridership and improve equity in the short-term while preparing the agency to deliver the 2040 Service Vision in the long-term.

21. Electrification Expansion and Integration Preliminary Planning - \$520,000

Planning support will assist with further integration of the PCEP program as well as conceptual development of the next generation of "electrification expansion" investments identified through Caltrain Business Plan work and supported in part by Measure RR.

22. Capital Planning Technical Support - \$286,000

Rail program development support to assist with a variety of capital planning projects (as needed and determined by the Capital Improvement Program development process).

23. Transit-Oriented Development Studies - \$1,040,000

Planning will be conducted for areas around transit-oriented developments (TODs) where the JPB owns property or has property rights in the vicinity of stations. Stations

expected to require such services in the short-term include 4th and King, Redwood City as well as Diridon.

24. Diridon Integrated Station Concept Plan (DISC) - \$720,000

Planning will continue to advance study on the Diridon Integrated Station Concept Plan (DISC). This is a collaborative effort amongst Caltrain, the California High Speed Rail Authority, Santa Clara Valley Transportation Authority, Metropolitan Transportation Commission and the City of San Jose, to establish an implementation plan that charts out a strategy for the program of projects that will comprise and enable DISC to develop the Diridon Station as a world-class transit center. This additional funding will come from the City of San Jose.

v. Capital Contingency Funds - \$1,660,000

25. Capital Contingency Funds - Engineering - \$330,000

This contingency supports unforeseen capital expenditure related to the delivery of capital projects/programs.

26. Capital Contingency Funds - Rail - \$660,000

This contingency supports unforeseen capital expenditure related to rail operations.

27. Capital Project Development - \$335,000

This contingency supports planning and engineering study activities.

28. Capital Program Management - \$335,000

This contingency supports programs and project controls support, including monitoring project performance and delivery.

Prepared by: JPB Budgets Team: Cynthia Scarella | Cleo Liao

PENINSULA CORRIDOR JOINT POWERS BOARD
STATEMENT OF REVENUE AND EXPENSE
PROPOSED BUDGET
FY2022

	FY2020 ACTUAL	FY2021 BUDGET	FY2021 FORECAST	FY2022 PROPOSED BUDGET	FY2022 Proposed to FY2021 Forecast \$ variance	FY2022 Proposed to FY2021 Forecast % variance		
	A	B	C	D	E = D - C	F = E / C		
REVENUE								
OPERATIONS:								
1	Farebox Revenue	76,094,433	32,029,149	30,630,341	34,639,000	4,008,659	13.1%	1
2	Parking Revenue	3,659,013	372,718	372,718	1,536,000	1,163,282	312.1%	2
3	Shuttles	1,783,942	2,031,246	1,773,647	1,603,900	(169,747)	-9.6%	3
4	Rental Income	533,563	1,111,804	1,111,804	1,192,466	80,662	7.3%	4
5	Other Income	1,986,300	1,764,000	1,764,000	1,584,608	(179,392)	-10.2%	5
6	TOTAL OPERATING REVENUE	84,057,251	37,308,917	35,652,510	40,555,974	4,903,464	13.8%	6
7								7
8	CONTRIBUTIONS:							
9	AB434 & TA Shuttle Funding	1,333,171	1,737,950	1,737,950	1,119,300	(618,650)	-35.6%	9
10	Operating Grants	6,816,688	12,608,500	12,808,500	6,525,471	(6,283,029)	-49.1%	10
11	JPB Member Agencies	28,035,055	29,009,434	28,809,434	-	(28,809,434)	-100.0%	11
12	Measure RR	-	-	-	86,576,919	86,576,919	100.0%	12
13	CARES Act	23,127,798	41,507,983	41,507,983	-	(41,507,983)	-100.0%	13
14	CRRSAA	-	-	6,936,627	27,115,922	20,179,295	290.9%	14
15	TOTAL CONTRIBUTED REVENUE	59,312,712	84,863,867	91,800,494	121,337,612	29,537,118	32.2%	15
16								16
17	GRAND TOTAL REVENUE	143,369,963	122,172,784	127,453,004	161,893,586	34,440,582	27.0%	17
18								18
19	EXPENSE							
20								20
21	OPERATING EXPENSE:							
22	Rail Operator Service	83,915,012	85,109,942	84,109,942	97,353,730	13,243,788	15.7%	22
23	Positive Train Control	1,669,554	-	-	-	-	0.0%	23
24	Security Services	5,913,164	6,746,908	6,746,908	7,486,512	739,604	11.0%	24
25	Shuttle Service	4,138,714	4,057,249	3,542,715	2,723,200	(819,515)	-23.1%	25
26	Fuel and Lubricants	9,289,638	5,930,523	5,930,523	10,434,846	4,504,323	76.0%	26
27	Timetables and Tickets	145,818	110,000	110,000	55,000	(55,000)	-50.0%	27
28	Insurance	4,331,946	5,410,000	5,410,000	5,857,210	447,210	8.3%	28
29	Claims, Reserves, and Payments	(166,416)	960,000	960,000	820,000	(140,000)	-14.6%	29
30	Facilities and Equipment Maint	2,739,785	4,813,563	3,953,563	7,534,353	3,580,790	90.6%	30
31	Utilities	2,026,493	2,731,385	2,731,385	2,552,600	(178,785)	-6.5%	31
32	Maint & Services-Bldg & Other	1,542,912	1,590,000	1,590,000	1,674,250	84,250	5.3%	32
33	TOTAL OPERATING EXPENSE	115,546,620	117,459,570	115,085,036	136,491,701	21,406,665	18.6%	33
34								34
35	ADMINISTRATIVE EXPENSE							
36	Wages and Benefits	11,673,415	10,930,000	10,826,318	13,012,686	2,186,368	20.2%	36
37	Managing Agency Admin OH Cost	4,406,537	5,139,352	3,553,099	3,470,871	(82,228)	-2.3%	37
38	Board of Directors	24,588	11,025	11,025	48,275	37,250	337.9%	38
39	Professional Services	1,989,266	5,400,000	5,117,000	8,212,820	3,095,820	60.5%	39
40	Communications and Marketing	293,830	136,000	136,000	322,750	186,750	137.3%	40
41	Other Office Expense and Services	1,789,476	3,030,572	2,982,254	3,802,614	820,360	27.5%	41
42	TOTAL ADMINISTRATIVE EXPENSE	20,177,112	24,646,949	22,625,696	28,870,016	6,244,320	27.6%	42
43								43
44	Measure RR Ballot Costs	-	-	-	7,000,000	7,000,000	100.0%	44
45	Governance	-	-	-	2,000,000	2,000,000	100.0%	45
46								46
47	Long-term Debt Expense	2,635,046	2,381,752	2,381,752	2,381,752	-	0.0%	47
48								48
49	GRAND TOTAL EXPENSE	138,358,778	144,488,271	140,092,484	176,743,469	36,650,985	26.2%	49
50								50
51								51
52								52
53								53
54	PROJECTED SURPLUS/(DEFICIT)	5,011,185	(22,315,487)	(12,639,480)	(14,849,883)			54
55	CRRSAA			12,639,480				55
56	ARPA				14,849,883			56
57	Adjustment of PTC Litigation Fees	(5,362,421)						57
58	Use of Reserves		7,000,000					58
59	Line of Credit		15,315,487					59
60	NET SURPLUS / (DEFICIT) - ADJUSTED	(351,236)	-	-	-			60



FY2022 PROPOSED CAPITAL BUDGET

Attachment B
June 2021

Item #	PROJECT NAME	PRIOR YEARS APPROVED	PROPOSED FY2022 CAPITAL BUDGET	Federal Funds	STA SOGR Funds	Measure RR	Others	PROPOSED FY2022 CAPITAL BUDGET
i. STATE OF GOOD REPAIR								
Bridges								
1	Guadalupe River Bridge Replacement and Extension	12,400,000	1,989,000	1,591,200	397,800	-	-	1,989,000
			1,989,000	1,591,200	397,800	-	-	1,989,000
Right of Way								
2	Track SOGR	11,220,000	5,437,771	4,350,217	1,087,554	-	-	5,437,771
3	Right of Way Fencing	585,000	156,000	-	-	156,000	-	156,000
			5,593,771	4,350,217	1,087,554	156,000	-	5,593,771
Signal & Communications								
4	Communications SOGR	2,000,000	416,000	332,800	5,667	77,533	-	416,000
5	Fiber Optics SOGR	1,000,000	572,000	457,600	-	114,400	-	572,000
6	Signal SOGR	-	1,248,000	998,400	-	249,600	-	1,248,000
7	Migration To Digital Voice Radio System	700,000	832,000	665,600	-	166,400	-	832,000
			3,068,000	2,454,400	5,667	607,933	-	3,068,000
Rolling Stock								
			-	-	-	-	-	-
Facilities & Intermodal Access								
8	Stations SOGR	1,500,000	208,000	-	-	208,000	-	208,000
9	Historic Stations SOGR	-	1,352,000	-	-	1,352,000	-	1,352,000
			1,560,000	-	-	1,560,000	-	1,560,000
	Total SOGR		12,210,771	8,395,817	1,491,021	2,323,933		12,210,771
ii. LEGAL MANDATES AND ELECTRIFIED SERVICE RAIL PROGRAM INTEGRATION								
10	Rail Program Integration and Transition	-	4,658,148	-	-	4,658,148	-	4,658,148
11	Hayward Park Remediation	-	51,000	-	-	51,000	-	51,000
			4,709,148	-	-	4,709,148	-	4,709,148
iii. OPERATIONAL IMPROVEMENTS/ENHANCEMENTS								
12	PADS Replacement	-	1,040,000	-	-	1,040,000	-	1,040,000
13	Grade Crossing Improvements Construction	500,000	1,040,000	-	-	1,040,000	-	1,040,000
14	Caltrain VoIP	-	520,000	-	-	520,000	-	520,000
15	TVM Upgrade Phase 5	2,795,000	1,040,000	832,000	-	208,000	-	1,040,000
16	Caltrain Fiber Connectivity to Caltrain Stations and Digital Voice Base Station	-	624,000	-	-	624,000	-	624,000
17	Next Gen Clipper Validators Site Prep	2,500,000	1,560,000	1,248,000	-	312,000	-	1,560,000
18	Mountain View Transit Center Grade Separation and Access Project ¹	-	11,200,000	-	-	-	11,200,000	11,200,000
			17,024,000	2,080,000	-	3,744,000	11,200,000	17,024,000
iv. PLANNING/STUDIES								
19	Operations, Access and Customer Interface Planning	-	260,000	-	-	260,000	-	260,000
20	Business Strategy and Policy Development	-	780,000	-	-	780,000	-	780,000
21	Electrification Expansion and Integration - Preliminary Planning	-	520,000	-	-	520,000	-	520,000
22	Capital Planning Technical Support	-	286,000	-	-	286,000	-	286,000
23	Transit-oriented Development Studies	-	1,040,000	-	-	1,040,000	-	1,040,000
24	Diridon Integrated Station Concept Plan (DISC) ²	-	720,000	-	-	-	720,000	720,000
			3,606,000	-	-	2,886,000	720,000	3,606,000
iv. CAPITAL CONTINGENCY FUNDS								
25	Capital Contingency Funds - Engineering	-	330,000	-	-	330,000	-	330,000
26	Capital Contingency Funds - Rail	-	660,000	-	-	660,000	-	660,000
27	Capital Project Development	-	335,000	-	-	335,000	-	335,000
28	Capital Program Management	-	335,000	-	-	335,000	-	335,000
		35,200,000	1,660,000	-	-	1,660,000	-	1,660,000
			39,209,919	10,475,817	1,491,021	15,323,081	11,920,000	39,209,919

¹ \$10.0 million from Santa Clara Valley Transportation Authority (VTA) per Reso 2020-39 and \$1.2 million from the City of Mountain View

² City of San Jose

RESOLUTION NO. 2021-

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

*** * ***

**ADOPTION OF THE FISCAL YEAR 2022 OPERATING BUDGET IN THE AMOUNT OF
\$176,743,469 AND THE FISCAL YEAR 2022 CAPITAL BUDGET IN THE AMOUNT OF
\$39,209,919**

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 Staff recommends that the Board adopt the Fiscal Year 2021-22 (FY2022) Operating Budget shown as Attachment A, and the FY2022 Capital Budget shown as Attachment B; and

WHEREAS, the local match funding component of the FY2022 Capital Budget will not include funds from the JPB's three member agencies (the City and County of San Francisco, the San Mateo County Transit District and Santa Clara Valley Transportation Authority); and

WHEREAS, the amount of anticipated funding from the Senate Bill 1 State of Good Repair Program for the FY2022 Capital Budget is estimated to be \$1,491,021.

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby adopts the Fiscal Year 2022 Operating Budget, a copy of which is attached hereto and incorporated herein as Attachment A, in the amount of \$176,743,469; and

BE IT FURTHER RESOLVED that the Board adopts the FY2022 Capital Budget in the amount of \$39,209,919, attached hereto and incorporated herein as Attachment B, with the understanding that the three JPB member agencies will not allocate funds for the FY2022 Capital Budget; and

BE IT FURTHER RESOLVED that the Acting Executive Director, or designee, is requested to forward a copy of the FY2022 Operating Budget and Capital Budgets to the JPB member agencies at the earliest practicable date; and

BE IT FURTHER RESOLVED that the Acting Executive Director, or designee, is directed to submit these budgets to the Metropolitan Transportation Commission, together with a copy of this resolution, at the earliest practical date; and

BE IT FURTHER RESOLVED that the Board of Directors approves the Senate Bill 1 (S.B. 1) State of Good Repair Program projects included in the FY2022 Capital Budget as shown in Attachment B; and

BE IT FURTHER RESOLVED that the Board of Directors (1) authorizes the General Acting Executive Director, or designee, to submit a request for S.B. 1 State of Good Repair funds and to execute any related grant applications, forms and agreements and (2) agrees to comply with all conditions and requirements set forth in the Certification and Assurances and applicable statutes, regulations and guidelines for all State of Good Repair Program-funded transit capital projects; and

BE IT FURTHER RESOLVED that the Board authorizes the Acting Executive Director, or designee, to take such additional actions as may be necessary to give effect to this resolution, including executing funding agreements and 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 June, 2021 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary



FY2022 Proposed Operating and Capital Budgets

Board of Directors Meeting
June 3 , 2021
Agenda Item #10

Introduction

Budget Overview

- Meeting FY2021 pandemic related challenges
 - Provide service to essential workers
 - Maintain fiscal health
 - Position Caltrain for recovery
- Measures taken in FY2021
 - Schedule changes to meet ridership changes
 - Fare increase suspension & additional discounts
 - Cost containment
 - Re-prioritization of existing resources
 - Framework for Equity, Connectivity Recovery & Growth

Introduction

Areas of Uncertainty in FY2022

- Path of the pandemic
- Ridership recovery
- Federal funding (CRRSAA allocated, ARPA to be allocated)

Options

- Expense management
- Leveraging Measure RR

Member Contributions

- None for the Operating Budget
- None for the Capital Budget



FY2022 Proposed Budget Outlook

(in \$ millions)

	FY2020 Actuals	FY2021 Adopted	FY2021 Forecast	FY2022 Proposed
Revenue	\$143.4	\$122.2	\$127.5	\$161.9
Expenditure	<u>138.4</u>	<u>144.5</u>	<u>140.1</u>	<u>176.7</u>
Surplus (Deficit)	\$5.0	(\$22.3)	(\$12.6)	(\$14.8)
PTC Litigation Adj	(5.4)	0	0	0
Use of Reserve	0	7.0	0	0
Line of Credit	0	15.3	0	0
CRRSSA	0	0	12.6	0
ARPA	<u>0</u>	<u>0</u>	<u>0</u>	<u>14.8</u>
Adj. Surplus (Deficit)	<u><u>\$(0.4)</u></u>	<u><u>\$0</u></u>	<u><u>\$0</u></u>	<u><u>\$0</u></u>



Changes from May Board (in \$ millions)

	FY2022 Prelim	FY2022 Proposed	Changes
Revenue	\$157.7	\$161.9	\$4.2
Expenditure	<u>178.9</u>	<u>176.7</u>	<u>(2.2)</u>
Surplus (Deficit)	\$(21.2)	\$(14.8)	
Line of Credit	21.2	0	(21.2)
ARPA	0	14.8	14.8
Adj. Surplus (Deficit)	<u><u>\$0</u></u>	<u><u>\$0</u></u>	<u><u>\$0</u></u>

	Change from May Board	
	Revenues	Expense
Other Income	(0.1)	
Operating Grants	0.1	
Measure RR	4.0	
CRRSAA	0.2	
Rail Operator Service		(0.9)
Timetables & Tickets		(0.1)
Insurance		(1.2)
	<u><u>\$ 4.2</u></u>	<u><u>\$ (2.2)</u></u>

FY2022 Revenue Assumptions

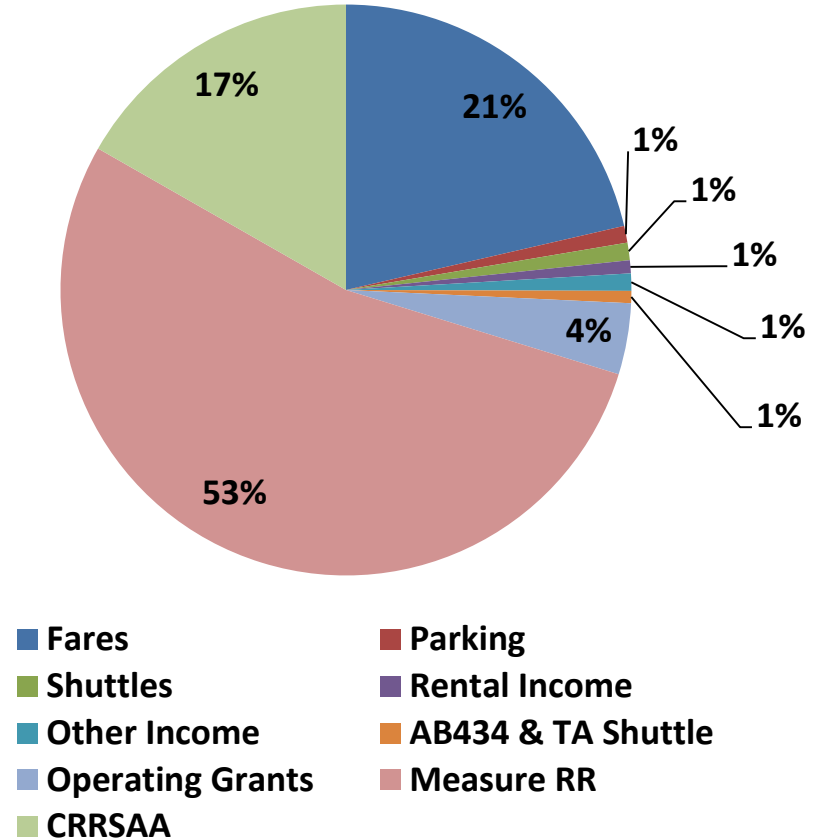
- Farebox WFH may affect decision to purchase/renew GoPass
- Shuttle AB434 is no longer available after CY2020; reduced TA Shuttle Funding
- JPB Members No member contributions for FY2022
- Measure RR Forecast is \$101.9M. Assumed \$15.3M placeholder for FY2022 Capital budget
- CARES Act No longer available in FY2022
- CRRSAA \$27.1M forecast for FY2022
- ARPA \$14.8M placeholder for FY2022



FY2022 Proposed Revenue

(in \$ millions)

Fares	\$34.6
Parking	1.6
Shuttles	1.6
Rental Income	1.2
Other Income	1.6
AB434 & TA Shuttle	1.1
Operating Grants	6.5
Measure RR	86.6
CRRSAA	<u>27.1</u>
Total Revenue	<u>\$161.9</u>



FY2022 Expenditure Assumptions

- Placeholder: \$97.4M TASI contract, final budget pending
- Fuel: assumes 64% of the fuel contract is hedged at \$1.71/gallon and 36% unhedged at \$2.40/gallon.
- Final shift of PTC expenses from capital to regular Rail operations, now in full revenue service
- TVM maintenance currently performed by Bus Division will be handled by Rail Division through the TASI contract.

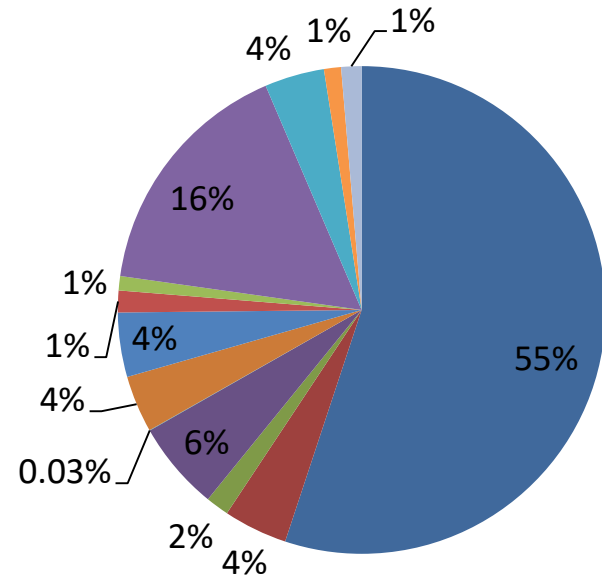
- Communications campaign focus is Ridership Recovery
- Funding of Measure RR ballot costs
- Support of Governance discussions continues in FY2022
- New Legal Counsel and new Independent Auditor in FY2022

FY2022 Proposed Expenditure

(in \$ millions)

Rail Ops	\$97.4
Security Services	7.4
Shuttle Services	2.7
Fuel	10.4
Timetables & Tickets	0.1
Insurance	6.7
Facilities and Equip Maint	7.5
Utilities	2.5
Maint & Services	1.7
Administrative *	28.9
Measure RR Ballot Costs	7.0
Governance	2.0
Long-term debt	<u>2.4</u>
Total Expenses	<u>\$176.7</u>

* Includes Wages & Benefits, Admin OH, Prof Svcs, Communications & Marketing, and Other Office Exp



- Rail Ops
- Shuttle Services
- Timetables & Tickets
- Facilities and Equip Maint
- Maint & Services
- Measure RR Ballot Costs
- Long-term debt
- Security Services
- Fuel
- Insurance
- Utilities
- Administrative
- Governance

Key Expense Drivers

STAFF

- Restoration of the FY2021 hiring freeze, reduced fringe benefits and increased contribution in CalPERS and Retiree Medical programs
- 4.9 FTE requests in FY2022

OPERATIONS AND MAINTENANCE

- TASI
- PTC

ONE TIME COSTS

- Measure RR Ballot Costs
- Governance



Staff Allocation for Caltrain

FUNCTION	FTE allocated to JPB		JPB Full-Time Personnel
	OPERATING	CAPITAL	
Rail, Calmod, & Bus Divisions	38.63	64.51	82
Grants and Administration*	17.52	18.38	8
Marketing, Communications and Customer Service	16.52	1.68	-
Total**	72.67	84.57	90

* includes Finance, Contracts & Procurement, and Safety & Security

** includes new 4.9 FTE



FY2022 PROPOSED CAPITAL BUDGET



FY2022 Unconstrained Capital Budget

Project Assumptions:

- Projects that will support CalMod delivery and transition as a necessary part of the Rail Program Integration

Total Unconstrained Capital Budget	\$ 81.3M
Estimated Federal and Non-Federal Funds	\$ <u>39.2M</u>
Funding Gap	\$ 42.1M

Funding Assumptions:

- Partner Investments = zero
- No SRA for capital use
- Measure RR option

Funding Plan :

FY2022 Proposed Capital Budget - Unconstrained vs Constrained (in \$ millions)

	Un- constrained	Constrained
Federal Grants	\$10.5	\$10.5
State & Regional Grants	1.5	1.5
Measure RR	15.3	15.3
Others	11.9	11.9
Funding Gap	<u>42.1</u>	<u>0</u>
Total	<u>\$81.3</u>	<u>\$39.2</u>

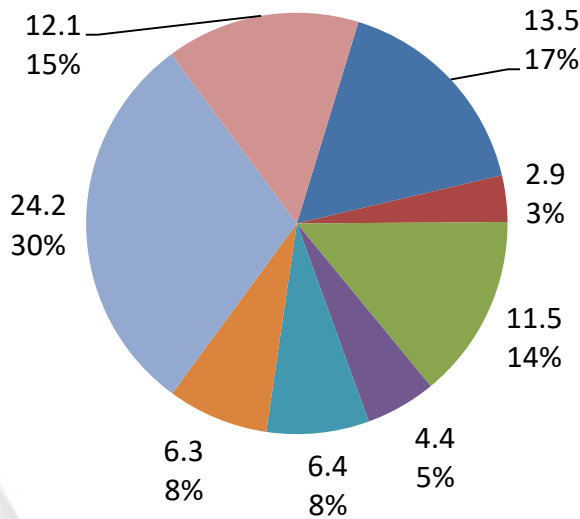
FY2022 Proposed Capital Budget

Unconstrained vs Constrained (in \$ millions)

	Un- constrained	Constrained
SOGR		
Bridges	\$13.5	\$2.0
Stations & Intermodal Access	2.9	1.6
Right of Way	11.5	5.6
Signals & Communications	4.4	3.0
Rolling Stock	6.4	0
Legal Mandates	6.3	4.7
Operational Improvements / Enhancements	24.2	17.0
Planning/Studies	<u>12.1</u>	<u>5.3</u>
Total	<u><u>\$81.3</u></u>	<u><u>\$39.2</u></u>

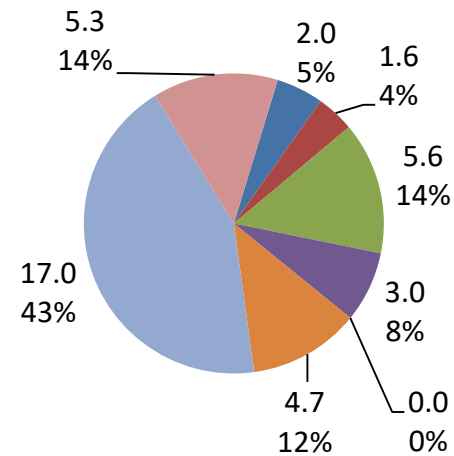
FY2022 Proposed Capital Budget Unconstrained vs Constrained (in \$ millions)

Unconstrained



- Bridges
- Facilities & Intermodal Access
- Right of Way
- Signals & Communications
- Rolling Stock
- Legal Mandates
- Operational Improvements/Enhancements
- Planning/Studies

Constrained



- Bridges
- Facilities & Intermodal Access
- Right of Way
- Signals & Communications
- Rolling Stock
- Legal Mandates
- Operational Improvements/Enhancements
- Planning/Studies

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board
THROUGH: Michelle Bouchard
Acting Executive Director
FROM: Derek Hansel
Chief Financial Officer

SUBJECT: AFFIRMATION OF DEBT POLICY AND CONSIDERATION OF 2021 FINANCING PLAN



Finance Committee
Recommendation



Work Program-Legislative-Planning
Committee Recommendation



Staff Coordinating
Council Reviewed



Staff Coordinating Council
Recommendation

ACTION

Staff recommends the Board:

1. Authorize the Chief Financial Officer to take the necessary steps to proceed with the development of a financing plan, including replacement of the current revolving lines of credit and refinancing of outstanding farebox revenue bonds;
2. Authorize staff to proceed to work with the City and County of San Francisco, the Santa Clara Valley Transportation Authority, and the San Mateo County Transit District, each a member agency (Member Agency) of the Peninsula Corridor Joint Powers Board, with respect to the public hearings required to be conducted and the approving resolutions required to be adopted in connection with the proposed replacement of the revolving lines of credit;
3. Re-approve the Debt Policy (Exhibit A)

SIGNIFICANCE

The proposed debt would be incurred to: replace two existing revolving lines of credit, secured by certain State and Federal grants and a subordinate pledge of farebox revenues generated from the Peninsula Corridor Joint Powers Board's Caltrain service, with two new revolving lines of credit, secured by the same State and Federal grants and a subordinate pledge of Measure RR sales tax revenues; and (b) if economic, advance refund \$47,635,000 principal amount of Peninsula Corridor Joint Powers Board Farebox Revenue Bonds, 2019 Series A with sales tax revenue refunding bonds secured by Measure RR sales tax revenues.

Board authorization is required to (i) approve proceeding with the proposed funding plan and (ii) authorize staff to take such actions as are necessary to implement the proposed funding plan, including, but not limited to, such actions as are necessary to assist each Member Agency to take the actions related to the proposed debt required by Section 6586.5 of the California Government Code.

To comply with California Government Code Section 8855, the Peninsula Corridor Joint Powers Board (JPB) is required to re-affirm its Debt Policy at least once every three years. The JPB's Debt Policy was adopted in August 2018.

BUDGET IMPACT

There is no budget impact associated with the authorizations requested in these recommendations. Ultimate incurrence of the proposed debt is expected to result in financial obligations borne entirely by Measure RR revenues and is not expected to have any adverse financial impact on the JPB or its member agencies. More information will be provided when the actions approving the issuance of the debt are brought back to the JPB Board for approval.

BACKGROUND

In 2016, the JPB entered into a revolving credit agreement with JP Morgan in the amount of \$150,000,000 to finance certain capital costs associated with the PCEP project on an interim basis (the "2016 Credit Agreement"). The 2016 Credit Agreement was secured by certain State and Federal grants and a subordinate pledge of farebox revenues.

In 2019, the JPB increased the amount of the 2016 Credit Agreement to \$170,000,000 (the "2019 PCEP Credit Agreement") and entered into a separate credit agreement to fund certain working capital needs in the amount of \$30,000,000 (the "2019 Working Capital Credit Agreement" and, collectively, the 2019 PCEP Credit Agreement, the "2019 Credit Agreements"). The 2019 PCEP Credit Agreement was secured by the same grants securing the 2016 Credit Agreement and a subordinate pledge of farebox revenues; the 2019 Working Capital Credit Agreement was secured by a subordinate pledge of farebox revenues.

In 2019, the JPB also issued farebox revenue bonds in the amount of \$47,635,000 to refinance farebox revenue bonds issued in 2007 and 2015 and to finance the acquisition of certain real property that the JPB had previously been leasing (the "2019 Bonds").

Staff are currently working with our Financial Advisors and Bond Counsel to develop a comprehensive financing plan, that includes, among other objectives:

- Replacing the 2019 Credit Agreements with two new revolving credit agreements in the same aggregate amount as initially entered but in re-allocated amounts (\$100,000,000 for PCEP and \$100,000,000 for Working Capital) and secured by a subordinate pledge of Measure RR sales tax revenues instead of farebox revenues

- Refinance, if economic, the 2019 Bonds with Measure RR sales tax revenue bonds

Pursuant to Section 6586.5 of the California Government Code, each Member Agency is required to conduct a public hearing and, subsequent to conducting the public hearing, adopt a resolution approving the proposed debt and making a finding of significant public benefit in accordance with the criteria specified in Section 6586.5 of the California Government Code. Staff is working with each of the Member Agencies with respect to these actions. Subsequent to these approvals, staff will return to the JPB Board for final approval of the transaction including all documents – this is currently anticipated to be scheduled for the August 2021 meeting.

On August 2, 2018, the JPB adopted a debt policy (the “Debt Policy”) as required under SB 1029. Under its terms, the Debt Policy must be presented to the JPB for consideration of any changes or re-approval at least once every three years. The Chief Financial Officer recommends re-approval by the JPB Board.

Prepared By:	Derek Hansel, Chief Financial Officer	650.508.6466
	Jayden Sangha, Acting Director, Treasury	650.508.6405

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PENINSULA CORRIDOR JOINT POWERS BOARD

DEBT POLICY

Dated as of _August 02, 2018

I. Purpose

The purpose of this Debt Policy (the "Debt Policy") is to establish comprehensive guidelines for the issuance and management of debt issuances (herein referred as "Debt") by Peninsula Corridor Joint Powers Board (the "Issuer"). This Debt Policy is intended to help ensure that: (i) the Issuer, the governing body of the Issuer (the "Board of Directors" or the "Board"), and Issuer management and staff adhere to sound debt issuance and management practices; (ii) the Issuer achieves the most advantageous cost of borrowing commensurate with prudent levels of risk; and (iii) the Issuer preserves and enhances the credit ratings assigned to its debt.

II. Scope of Debt Policy

This Debt Policy shall provide guidance for the issuance and management of debt issuances of the Issuer, together with credit, liquidity and other ancillary instruments and agreements secured or executed in connection with such transactions. While adherence to this Debt Policy is recommended in applicable circumstances, the Issuer recognizes that changes in the capital markets, Issuer programs and other unforeseen circumstances may produce situations that are not covered by the Debt Policy or require modifications or exceptions to achieve Debt Policy goals. In these cases, management flexibility is appropriate, provided specific authorization from the Board of Directors is obtained. The Issuer may approve Debt and other related agreements the terms or provisions of which deviate from this Debt Policy, upon the recommendation and approval of the Chief Financial Officer of the Issuer (the "Chief Financial Officer") as circumstances warrant. The failure by the Issuer to comply with any provision of this Debt Policy shall not affect the validity of any Debt that is otherwise duly authorized and executed.

The Chief Financial Officer is the designated administrator of the Debt Policy. The Chief Financial Officer shall have the day-to-day responsibility and authority for structuring, implementing and managing the Issuer's debt and financing program. The Debt Policy requires that each debt issuance be specifically authorized by the Board of Directors.

III. Legal Authority; Compliance with Laws, Resolutions, Debt Documents and Other Contracts

A) Legal Authority

The Issuer has exclusive authority to plan and issue Debt for Issuer related purposes, subject to approval by the Board of Directors.

B) Compliance with Law

All Debt of the Issuer shall be issued in accordance with applicable Federal and State laws, rules and regulations, including without limitation the Internal Revenue Code of 1986 (the "Code") with respect to the issuance of tax-exempt Debt, the Securities Act of 1934 and the Securities Exchange Act of 1933, in each case as supplemented and amended, and regulations promulgated pursuant to such laws.

C) Compliance with Issuer Resolutions and Debt Documents

Debt of the Issuer shall be issued in accordance with applicable resolutions and debt documents of the Issuer, in each case as supplemented and amended.

D) Compliance with Other Agreements

Debt of the Issuer shall be issued in compliance with any other agreements of the Issuer with credit or liquidity providers, bond insurers or other third parties.

E) Compliance with SB 1029

This Debt Policy complies with California Senate Bill 1029 (2016). The following paragraph cross-references the debt policy requirements of SB 1029 with the relevant sections of this policy.

- 1) Cal. Gov. Code Section 8855(i)(1)(A): The purposes for which the debt may be used. See Section V: Purposes for Debt.
- 2) Cal. Gov. Code Section 8855(i)(1)(B): The types of debt that may be issued. See Section VI: Types of and Limitations on Debt.
- 3) Cal. Gov. Code Section 8855(i)(1)(C): The relationship of the debt to, and integration with, the issuer's capital improvement program or budget. See Section XV: Budgeting and Capital Planning.
- 4) Cal. Gov. Code Section 8855(i)(1)(D): Policy goals related to the issuer's planning goals and objectives. See Section I: Purpose.
- 5) Cal. Gov. Code Section 8855(i)(1)(E): The internal control procedures that the issuer has implemented, or will implement, to ensure that the proceeds of the proposed debt issuance will be directed to the intended use. See Section IV: Administration of Debt Policy.

IV. Administration of Debt Policy

A) Issuer

The Issuer shall be responsible for:

- 1) Approval of the issuance of all Debt and the terms and provisions thereof;
- 2) Appointment of financial advisors, bond counsel, disclosure counsel, Issuer consultants, underwriters, feasibility consultants, trustee and other professionals retained in connection with the issuance of Debt;
- 3) Approval of this Debt Policy and any supplements or amendments;
- 4) Periodic approval of the Issuer's capital improvement plans;
- 5) Periodic approval of proposed Issuer annual and supplemental budgets for submission to the Board of Directors, including without limitation provisions for the timely payment of principal of and interest on all Debt; and

- 6) Maintaining internal control procedures with respect to Debt proceeds.

B) Chief Financial Officer

The Chief Financial Officer shall have responsibility and authority for the structure, issuance and management of the Issuer's Debt and financing programs. These responsibilities shall include, but not be limited to, the following:

- 1) Determining the appropriate structure and terms for all proposed debt transactions;
- 2) Undertaking to issue Debt at the most advantageous interest and other costs consistent with prudent levels of risk;
- 3) Ensuring compliance of any proposed Debt with any applicable additional debt limitations under State law, or the Issuer's Debt Policy, resolutions and debt documents;
- 4) Seeking approval from the Board of Directors for the issuance of Debt or other debt obligations;
- 5) Coordinating with member agencies of the Issuer in connection with securing any approvals required from the member agencies in connection with Debt issuance;
- 6) Recommending to the Board of Directors the manner of sale of any Debt or other debt transactions;
- 7) Monitoring opportunities to refund outstanding Debt to achieve debt service savings, and recommending such refunding to the Board, as appropriate;
- 8) Providing for and participating in the preparation and review of all legal and disclosure documents in connection with the issuance of any Debt by the Issuer;
- 9) Recommending the appointment of financial advisors, bond counsel, disclosure counsel, Issuer consultants, underwriters, feasibility consultants and other professionals retained in connection with the Issuer's debt issuance as necessary or appropriate;
- 10) Distributing information regarding the business operations and financial condition of the Issuer to appropriate bodies on a timely basis in compliance with any applicable continuing disclosure requirements;
- 11) Communicating regularly with the rating agencies, bond insurers, investment providers, institutional investors and other market participants related to the Issuer's Debt; and
- 12) Maintaining a database with summary information regarding all of the Issuer's outstanding Debt and other debt obligations.

C) Procedures for Approval of Debt

The proposed issuance of Debt by the Issuer shall be submitted to and subject to approval by the Issuer Board of Directors for authorization and approval.

D) Considerations in Approving Issuance of Debt

The Issuer may take into consideration any or all of the following factors, as appropriate, prior to approving the proposed issuance of Debt:

- 1) Whether the proposed issuance complies with this Debt Policy;
- 2) Source(s) of payment and security for the Debt;
- 3) Projected revenues and other benefits from the projects proposed to be funded;
- 4) Projecting operating, other costs and potential revenues with respect to the proposed projects;
- 5) Impacts, if any, on debt service coverage and funds required for operations of the Issuer;
- 6) Impacts, if any, on Issuer and Debt credit ratings;
- 7) Period, if any, over which interest on the Debt should be capitalized;
- 8) Extent to which debt service on the Debt should be level or non-level;
- 9) Appropriate lien priority of the Debt; and
- 10) Adequacy of the proposed disclosure document.

V. Purposes for Debt

The Issuer may issue Debt for the purposes of financing and refinancing the costs of capital projects undertaken by the Issuer. The Issuer may also issue Debt to pay extraordinary unfunded costs, including, but not limited to, termination or other similar payments due in connection with interest rate swaps (if any) and investment agreements entered into in connection with Debt. Proceeds of Debt may be applied to pay costs of issuances, to fund capitalized interest and debt service reserves and to pay costs incurred in connection with securing credit enhancement, including but not limited to, premiums payable for bond insurance and reserve fund sureties.

The Issuer shall not issue Debt for the purpose of funding operating costs except under extraordinary circumstances or at minimal cost for cash flow management purposes where statutorily permitted.

VI. Types of and Limitations on Debt

A) Farebox Revenue Bonds

The Issuer may issue Debt secured by and payable in whole or in part from a pledge of farebox revenues.

B) Grant Debt

The Issuer may issue Debt payable in whole or in part from Federal and State grants to pay capital or other costs as permitted by the applicable provisions, conditions and requirements

specified in the applicable grant, including, but not limited to, Debt in the form of notes payable from, and in anticipation of, the future receipt of grant proceeds.

C) Sales Tax Revenue Debt

If and to the extent authorized in accordance with applicable provisions of State law, the Issuer may issue Debt payable in whole or in part from sales tax revenues.

D) Refunding Debt

The Issuer may issue Debt to refund the principal of and interest on outstanding Debt of the Issuer in order to (i) achieve debt service savings; (ii) restructure scheduled debt service; (iii) convert from or to a variable or fixed interest rate structure; (iv) change or modify the source or sources of payment and security for the refunded Debt; or (v) modify covenants otherwise binding upon the Issuer. Refunding Debt may be issued either on a current or advance basis, as permitted by applicable Federal tax laws. The Issuer may also utilize a tender offer process to refund Debt that is not otherwise subject to optional call by the Issuer.

Refunding Debt should be issued to achieve debt service savings in most cases. Refundings which do not produce savings are permitted if justified based on the need for restructuring to remove covenants/pledges that are restrictive and/or no longer required by the market and/or to make other changes in debt documents that would benefit the current, short-term, or long term capital cost of the Issuer.

E) Long-Term Debt

The Issuer may issue Debt with longer-term maturities to amortize Issuer capital or other costs over a period commensurate with the expected life, use or benefit provided by the project, program or facilities financed from such Debt. Long-term Debt generally will have a final maturity of five (5) years or more.

F) Short-Term Debt

The Issuer may issue Debt with shorter-term maturities to provide interim financing for capital projects in anticipation of the issuance of longer-term Debt, receipt of Federal or State grants, receipt of other revenues, and/or for cash flow management. Short-term Debt shall consist of Debt of an issue with a final maturity of less than five (5) years and may include, but is not limited to, Debt in the form of Tax and Revenue Anticipation Notes, Bond Anticipation Notes, Grant Anticipation Notes, and/or Commercial Paper.

G) Fixed-Rate Debt

The Issuer may and generally will issue Debt that bears a fixed interest rate established on either an actual basis or a synthetic basis using an interest rate swap or other derivative product.

H) Variable Rate Debt

The Issuer may also issue Debt that bears a variable rate of interest, including, but not limited to, variable rate demand obligations and floating rate notes.

VII. Terms and Provisions of Debt

A) Debt Service Structure

The Issuer shall design the financing schedule and repayment of debt so as to take best advantage of market conditions, provide flexibility and, as practical, to recapture or maximize its debt capacity for future use. Annual debt service payments will generally be structured on a level basis; however, principal amortization may occur more quickly or slowly where permissible, to mirror debt repayment streams and/or provide future financing flexibility.

B) Amortization of Principal

Long-term Debt of the Issuer shall be issued with maturities that amortize the principal of such Debt over a period commensurate with the expected life, use or benefit (measured in years) provided by the projects, programs and/or facilities financed from the proceeds of such Debt. The weighted average maturity of such Debt (if issued as tax-exempt Debt) should not exceed one hundred and twenty percent (120%) of the reasonably estimated weighted average life, use or benefit (measured in years) of the projects, programs and/or facilities financed from the proceeds of such Debt.

Amortization of principal may be achieved either through serial maturities and/or through term Debt subject to mandatory sinking fund payments and/or redemptions.

C) Capitalization of Interest

The Issuer may fund interest on Debt from proceeds of Debt for legal, budgeting or structuring purposes.

D) Call Provisions for Debt

- 1) **Optional Call Provisions.** The Issuer shall seek to include the shortest practicable optional call rights, with and/or without a call premium, consistent with optimal pricing of such Debt. Call premiums, if any, should not be in excess of then prevailing market standards and to the extent consistent with the most advantageous borrowing cost for the Issuer. Non-callable maturities may be considered and used to accommodate market requirements or other advantageous benefits to the Issuer.
- 2) **Extraordinary Call Provisions.** The Issuer, at its option, may include extraordinary call provisions, including for example with respect to unspent proceeds, damage to or destruction of the project or facilities financed, credit-related events of the Issuer or the user of the project or facilities financed, or other matters, as the Issuer may determine is necessary or desirable.

E) Payment of Interest

- 1) **Current Interest Debt** may be issued. It is anticipated that the interest on most, if not all, Debt issued will be paid on a current interest basis.
- 2) **Deferred Interest Debt** may also be issued. Debt of the Issuer may be issued with the payment of actual or effective interest deferred in whole or in part to the maturity or redemption date of each debt instrument, or the conversion of such debt instrument to a current interest-paying debt instrument (known, respectively, as capital appreciation bonds,

zero coupon bonds and convertible capital appreciation bonds). Deferred Interest Debt may be issued to achieve optimal sizing, debt service structuring, pricing or for other purposes.

F) Determination of Variable Interest Rates on Debt

The interest rate from time to time on Debt the interest of which is not fixed to maturity may be determined in such manner that the Issuer determines, including without limitation on a daily, weekly, monthly or other periodic basis, by reference to an index, prevailing market rates or other measures, and by or through an auction or other method.

G) Tender Options on Debt

The Issuer may issue Debt subject to the right or obligation of the holder to tender the Debt back to the Issuer for purchase, including, for example, to enable the holder to liquidate their position, or upon the occurrence of specified credit events, interest rate mode changes or other circumstances. The obligation of the Issuer to make payments to the holder upon any such tender may be secured by (i) a credit or liquidity facility from a financial institution in an amount at least equal to the principal amount of the Debt subject to tender, (ii) a liquidity or similar account into which the Issuer shall deposit and maintain an amount at least equal to the principal amount of the Debt subject to tender, or (iii) other means of self-liquidity that the Issuer deems prudent.

H) Multi-Modal Debt

The Issuer may issue Debt that may be converted between two or more interest rate modes without the necessity of a refunding. Such interest rate modes may include, without limitation: daily interest rates, weekly interest rates, other periodically variable interest rates, commercial paper rates, auction rates, fixed rates for a term and fixed rates to maturity (in each case with or without tender options).

I) Debt Service Reserve Funds

The Issuer may issue Debt that is secured by amounts on deposit in or credited to a debt service reserve fund or account in order to minimize the net cost of borrowing and/or to provide additional reserves for debt service or other purposes. Debt service reserve funds may secure one or more issues of Debt, and may be funded by proceeds of Debt, other available moneys of the Issuer, and/or by surety policies, letters or lines of credit or other similar instruments. Surety policies, letters or lines of credit or other similar instruments may be substituted for amounts on deposit in a debt service reserve fund if such amounts are needed for capital projects or other purposes.

Amounts in the debt service reserve funds shall be invested in accordance with the requirements of the applicable Debt documents in order to: (i) maximize the rate of return on such amounts; (ii) minimize the risk of loss; (iii) minimize volatility in the value of such investments; and (iv) maximize liquidity so that such amounts will be available if it is necessary to draw upon them.

J) Lien Levels

The Issuer may create senior and junior lien pledges for each fund source which secures Debt repayment in order to optimize financing capacity.

VIII. Maintenance of Liquidity; Reserves

The Issuer may maintain unencumbered reserves in amounts sufficient in the determination of the Issuer to cover unexpected revenue losses, operating and maintenance costs, extraordinary payments and other contingencies, and to provide liquidity in connection with the Issuer's outstanding Debt.

IX. Investment of Debt Proceeds and Related Moneys

Proceeds of Debt and amounts in the Issuer's debt service, project fund and debt service reserve funds with respect to outstanding Debt shall be invested in accordance with the terms of the applicable Debt documents and other applicable agreements of the Issuer.

X. Third Party Credit Enhancement

The Issuer may secure credit enhancement for its Debt from third-party credit providers to the extent such credit enhancement is available upon reasonable, competitive and cost-effective terms. Such credit enhancement may include municipal bond insurance ("Bond Insurance"), letters of credit and lines of credit (collectively and individually, "Credit Facilities"), as well as other similar instruments.

A) Bond Insurance

All or any portion of an issue of Debt may be secured by Bond Insurance provided by municipal bond insurers ("Bond Insurers") if it is economically advantageous to do so, or if it is otherwise deemed necessary or desirable in connection with a particular issue of Debt. The relative cost or benefit of Bond Insurance may be determined by comparing the amount of the Bond Insurance premium to the present value of the estimated interest savings to be derived as a result of the insurance.

B) Credit Facilities

The issuance of certain types of Debt requires a letter of credit or line of credit (a "Credit Facility") from a commercial bank or other qualified financial institution to provide liquidity and/or credit support. The types of Debt where a Credit Facility may be necessary include commercial paper, variable rate Debt with a tender option and Debt that could not receive an investment grade credit rating in the absence of such a facility.

The criteria for selection of a Credit Facility provider shall include the following:

- 1) Long-term ratings from at least two nationally recognized credit rating agencies ("Rating Agencies") preferably to be equal to or better than those of the Issuer;
- 2) Short-term ratings from at least two Rating Agencies of at least P-1/A-1+ or equivalent;
- 3) Experience providing such facilities to state and local government issuers;

- 4) Fees, including without limitation initial and ongoing costs of the Credit Facility; draw, transfer and related fees; counsel fees; termination fees and any trading differential; and
- 5) Willingness to agree to the terms and conditions proposed or required by the Issuer.

XI. Use of Derivatives

Derivative products, include, but are not limited to, interest rate swaps, interest rate caps and collars and forward or other hedging agreements. Derivative products will be considered in the issuance or management of debt only in instances where it has been demonstrated that the derivative product will either provide a hedge that reduces risk of fluctuations in expense or revenue, or alternatively, where it will reduce total debt service cost in a manner that exceed the risks. Derivative products will only be utilized following the adoption of derivative product policy and with prior Board approval. In addition, an analysis of early termination costs and other conditional terms must be completed by the Issuer's financial advisor prior to the approval of any derivative product by the Board. Such analysis will document the risks and benefits associated with the use of the particular derivative product.

XII. Methods of Sale and Pricing of Debt

There are three principal methods for the initial sale of Debt: (i) competitive; (ii) negotiated and (iii) private placement, including, but not limited to, direct purchase transactions. The Issuer shall utilize that method of sale that (a) is reasonably expected to produce the most advantageous interest cost with respect to the Debt and (b) provides the Issuer with the flexibility most desirable in connection with the structuring, timing or terms of such Debt. The Issuer shall utilize such method that is likely to provide the most advantageous borrowing costs and execution on behalf of the Issuer.

Debt may be sold at such prices, including at par, a premium or a discount, as the Issuer, in consultation with its financial advisor, may determine is likely to produce the most advantageous interest cost under then prevailing market conditions, subject to compliance with applicable State law and Federal laws.

XIII. Debt Redemption Programs

The Issuer may establish from time-to-time a plan or program for the payment and/or redemption of outstanding Debt and/or interest thereon from revenues and/or other available funds pursuant to a recommendation from the Chief Financial Officer. Such plan or program may be for the purposes of reducing outstanding Debt, managing the amount of debt service payable in any year, or other suitable purposes, as determined by the Issuer.

XIV. Professional Services

The Issuer may retain professional services providers as necessary or desirable in connection with: (i) the structuring, issuance and sale of its Debt; (ii) monitoring of and advice regarding its outstanding Debt; and (iii) the negotiation, execution and monitoring of related agreements, including without limitation Bond Insurance, Credit Facilities, Derivatives and investment agreements; and (iv) other similar or related matters. Professional service providers may include financial advisors, bond counsel, disclosure counsel, Issuer consultants, bond trustees and Federal arbitrage rebate services providers, and may include, as appropriate, underwriters, feasibility

consultants, remarketing agents, auction agents, broker-dealers, escrow agents, verification agents and other similar parties.

The Issuer shall require that its financial advisors, bond and disclosure counsel and other Issuer consultants be free of any conflicts of interest, or that any necessary or appropriate waivers or consents are obtained.

A) Financial Advisors

The Issuer may utilize one or more financial advisors to provide ongoing advisory services with respect to the Issuer's outstanding and proposed Debt and related agreements, including without limitation Bond Insurance, Credit Facilities, Derivatives, investment agreements and other similar matters. Financial advisors must be registered with the Municipal Securities Rulemaking Board and as a municipal advisor as such term is defined in the Securities Exchange Act of 1934 and shall be required to disclose any conflicts of interest.

B) Bond Counsel, Disclosure Counsel and Other Legal Counsel

- 1) Bond Counsel. The Issuer may utilize one or more bond counsel firms to provide ongoing legal advisory services with respect to the Issuer's outstanding and proposed Debt and related agreements, including without limitation Credit Facilities, Derivatives, investment agreements and other similar matters. All Debt issued by the Issuer shall require a written opinion from the Issuer's bond counsel, as appropriate, regarding (i) the validity and binding effect of the Debt, and (ii) the exemption of interest from Federal and State income taxes.
- 2) Disclosure Counsel. The Issuer may utilize a disclosure counsel firm to provide ongoing legal advisory services with respect to initial and continuing disclosure in connection with the Issuer's outstanding and proposed Debt. Such firm may be one of the Issuer's bond counsel firms.
- 3) Other Legal Counsel. The Issuer may encourage or require, as appropriate, the retention and use of legal counsel by other parties involved in the issuance of Debt and the execution of related agreements which are approved by the Issuer.

C) Issuer Consultant

The Issuer may utilize one or more outside Issuer consultants to provide ongoing advisory services with respect to the Issuer's outstanding and proposed Debt, Issuer fares, strategic business and financial decisions and such other matters as the Issuer requires.

D) Trustees and Fiscal Agents

The Issuer may engage bond trustees and/or fiscal agents, paying agents and tender agents, as necessary or appropriate, in connection with the issuance of its Debt.

E) Underwriters

The Issuer may engage an underwriter or a team of underwriters, including a senior managing underwriter, in connection with the negotiated sale of its Debt. The Issuer also may engage one or more underwriters, as necessary or appropriate, to serve as remarketing agents, broker-dealers or in other similar capacities with respect to variable rate, auction, tender option, commercial paper and other similar types of Debt issued by the Issuer.

F) Feasibility Consultants

The Issuer may retain feasibility consultants in connection with proposed project, programs, facilities or activities to be financed in whole or in part from proceeds of Debt. The criteria for the selection of such feasibility consultants, in addition to those set forth above, shall include their expertise and experience with projects, programs, facilities or activities similar to those proposed to be undertaken by the Issuer.

G) Arbitrage Rebate Services Providers

Because of the complexity of the Federal arbitrage rebate statutes and regulations, and the severity of potential penalties for non-compliance, the Issuer may retain an arbitrage rebate services provider in connection with its outstanding and proposed Debt, and may also solicit related legal and tax advice from its bond counsel or separate tax counsel. The responsibilities of the arbitrage rebate services provider shall include: (i) the periodic calculation of any accrued arbitrage rebate liability and of any rebate payments due under and in accordance with the Code and the related rebate regulations; (ii) advice regarding strategies for minimizing arbitrage rebate liability; (iii) the preparation and filing of periodic forms and information required to be submitted to the Internal Revenue Service; (iv) the preparation and filing of requests for reimbursement of any prior overpayments; and (v) other related matters as requested by the Issuer.

The Issuer shall maintain necessary and appropriate records regarding (i) the expenditure of proceeds of Debt, including the individual projects and facilities financed and the amounts expended thereon, and (ii) investment earnings on such Debt proceeds. The Issuer shall maintain such records for such period of time as shall be required by the Code.

H) Other Professional Services

The Issuer may retain such other professional services providers, including without limitation verification agents, escrow agents, auction agents, as may be necessary or appropriate in connection with its Debt.

XV. Budgeting and Capital Planning

The Issuer's budgeting process, including its budgeting process for capital expenditures, shall provide a framework for evaluating proposed debt issuances.

XVI. Credit Rating Objectives

The Issuer shall seek to preserve and enhance the credit ratings with respect to its outstanding Debt to the extent consistent, with the Issuer's current and anticipated business operations and financial condition, strategic plans and goals and other objectives, and in accordance with any developed credit strategies.

XVII. Debt Affordability

Consistent with its credit rating objectives, the Issuer shall periodically review its debt affordability levels and capacity for the undertaking of new financing obligations to fund its capital improvement plans. Debt affordability measures shall be based upon the credit objectives of the Issuer, criteria identified by rating agencies, comparison of industry peers and other internal factors of the Issuer.

XVIII. Relationships with Market Participants

The Issuer shall seek to preserve and enhance its relationships with the various participants in the municipal bond market, including without limitation, the Rating Agencies, Bond Insurers, credit/liquidity providers and current and prospective investors, including through periodic communication with such participants.

The Issuer shall prepare or cause to be prepared appropriate disclosures as required by Securities and Exchange Commission Rule 15c2-12, the federal government, the State of California, rating agencies and other persons or entities entitled to disclosure to ensure compliance with applicable laws and regulations and agreements to provide ongoing disclosure.

XIX. Periodic Review

The Chief Financial Officer shall review this Debt Policy on a periodic basis, and recommend any changes to the Board for consideration. This Debt Policy, including any proposed changes or additions hereto, shall be presented to the Board at least once every three (3) years for re-approval.