



Page 39 Amended
11/23 10.35am

BOARD OF DIRECTORS 2020

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

JIM HARTNETT
EXECUTIVE DIRECTOR

AGENDA

PENINSULA CORRIDOR JOINT POWERS BOARD

Finance Committee Meeting

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

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

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

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

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

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.

November 23, 2020

1:30 pm

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

3. Public Comment on Items not on the Agenda

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

- | | |
|---|---------------|
| 4. Approve Meeting Minutes of October 26, 2020 | MOTION |
| 5. Accept Statement of Revenues and Expenses for the Period Ending October 31, 2020 | MOTION |
| 6. Accept Comprehensive Annual Financial Report for Fiscal Year Ending June 30, 2020 | MOTION |
| 7. Adoption of the FY2021 Quarter 3 and Quarter 4 Operating Budget and Amendment to Decrease the Capital Budget | MOTION |
| 8. Amendment of the Financial Reserve Policy to Require Balanced Budgets | MOTION |
| 9. Award a Contract to Sposeto Engineering, Inc. for the Grade Crossing Improvements Project for a Total Amount of \$336,050 | MOTION |
| 10. Authorize the Execution of Funding Agreements with the California Department of Transportation to Receive \$2,000,000 for the San Mateo Grade Crossing Improvements Project | MOTION |
| 11. Receive Capital Projects Quarterly Report – 1 st Quarter Fiscal Year 2021 | INFORMATIONAL |
| 12. Clipper Start Quarterly Update | INFORMATIONAL |
| 13. Committee Member Requests | |
| 14. Date/Time of Next Regular Finance Committee Meeting: Monday, December 21, 2020 at 1:30 pm via Zoom | |
| 15. 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, 1:30 pm. Date, time and location of meetings may be changed as necessary. Meeting schedules for the Board and committees are available on the website.

Location of Meeting

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

*Should Zoom not be operational, please check online at

[http://www.caltrain.com/about/bod/Board of Directors Meeting Calendar.html](http://www.caltrain.com/about/bod/Board_of_Directors_Meeting_Calendar.html) for any updates or further instruction.

Public Comment*

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](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
Finance Committee Meeting
1250 San Carlos Avenue, San Carlos CA 94070**

DRAFT MINUTES OF OCTOBER 26, 2020

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

MEMBERS ABSENT: None

STAFF PRESENT: D. Hansel, M. Bouchard, J. Cassman, S. van Hoften, C. Mau, C. Mobley-Ritter, J. Sangha, K. Yin, J. Sharma, L. Larano, D. Seamans, S. Wong

1. CALL TO ORDER/PLEDGE OF ALLEGIANCE

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

2. ROLL CALL

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

3. PUBLIC COMMENT FOR ITEMS NOT ON THE AGENDA

Aleta Dupree, Oakland, commented on Clipper START, fare stability, obtaining grants, staying on seven day a week service, maintaining current crew skillsets, and keeping the railroad running as a lifeline.

Roland Lebrun, San Jose, commented on this meeting conflicting with the Transit Recovery Task Force meeting, paying attention to the rest of the region, rescheduling for another Monday.

4. APPROVE MEETING MINUTES OF SEPTEMBER 28, 2020

Motion/Second: Zmuda/Collins

Ayes: Zmuda, Collins, Davis

Noes: None

Absent: None

5. APPROVE 2021 FINANCE COMMITTEE CALENDAR

Chair Davis approved of the potential Monday Dec 20th meeting date and clarified with staff to correctly show May 24th as a regular Monday meeting date.

Motion/Second: Collins/Zmuda

Ayes: Zmuda, Collins, Davis

Noes: None

Absent: None

6. ACCEPT STATEMENT OF REVENUES AND EXPENSES FOR THE PERIOD ENDED SEPTEMBER 30, 2020

Derek Hansel, Chief Financial Officer, stated that they included the budgeted amount for the first quarter approved at the June Board meeting. He said they are working to appropriately present comparison numbers as requested by Director Zmuda because expenditures are not really planned on a monthly basis. Mr. Hansel noted that there will be a mismatch between the timing of collecting revenue and expenditures and recognizing this in the financial statements.

Director Monique Zmuda said it would be helpful to have an expected or proposed amount to compare to what we intended to spend and to what has been spent. She suggested trying a couple of different displays. Mr. Hansel noted that invoices are not received until the expenditures become reasonably large.

Public comment

Roland Lebrun, San Jose, commented on the clock and reaching out to the City of San Jose. He also commented on monthly revenue information.

Motion/Second: Collins/Zmuda

Ayes: Zmuda, Collins, Davis

Noes: None

Absent: None

7. AMEND THE PENINSULA CORRIDOR JOINT POWERS BOARD INVESTMENT POLICY AND REAUTHORIZE INVESTMENT OF MONIES WITH THE LOCAL AGENCY INVESTMENT FUND

Jayden Sangha, Treasury Manager, explained the objective of the investment policy. He noted changes in the diversification section, allowable investment instruments, principal debt allowed, and the summary of allowable investments. Mr. Sangha noted that the percentage of fund reflects the broad California government code.

Public comment

Aleta Dupree, Oakland, commented on keeping investments close to home, safety, the local investment pool has higher interest rates than other methods, and keeping AAA securities or better.

Director Ron Collins inquired about super national obligations. Mr. Sangha said they are international finance institutions that issue debt (which are allowed in the portfolio). Mr. Hansel added that they were multinational organizations that are granting or lending money to the organization itself, not the projects, and they are typically rated AAA and used for diversification with no currency risk. Connie Mobley-Ritter, Treasury Director, noted that they were all U.S. dollar denominated.

Director Zmuda asked for a redlined version in the future. She asked if this was an investment policy for all three entities (Joint Powers Board, Samtrans, and Transportation Authority). Ms. Mobley-Ritter replied that they were trying to be consistent and make the investment policies for all agencies mirror what is allowed in California, but also narrowed based on investment strategy and cash forecasts of each agency. Mr. Hansel emphasized that if the board wants a more restrictive policy, they could do so

and the policies would then differ. Director Zmuda asked if the use of commercial paper was used. Mr. Hansel replied yes. Director Zmuda asked if there was an investment board. Mr. Hansel replied that they do not have an investment board but meet periodically with investment advisors (Public Trust & Public Financial Management).

Director Davis asked about item j on mortgage bonds and if they were ever used and why AA or higher. Ms. Mobley-Ritter replied that they want to have a broad portfolio with a little more yield; it does not mean they will put 80 percent of any portfolio in mortgage-backed securities. Mr. Hansel added that there are different types of mortgage-backed securities and different ones were problematic during the Great Recession. He stated that the ones looked at would be government backed mortgage backed securities. Director Davis noted that this was not mentioned in the monthly investment portfolio report. Mr. Hansel replied that it would show if there were investments.

Motion/Second: Zmuda/Collins
Ayes: Collins, Zmuda, Davis
Noes: None
Absent: None

8. AWARD OF CONTRACT FOR BROADWAY BURLINGAME GRADE SEPARATION PROJECT FINAL DESIGN SERVICES

Kevin Yin, Director of Contract & Procurement, introduced the item. He stated that the JPB did a request for proposal for final design services, received four proposals, the selection committee scored based on qualifications, not considering price, and found Mark Thomas Company, Inc. of San Jose to be the highest scored proposer. Mr. Yin said staff conducted a cost analysis then negotiated with the highest score proposer. He stated that staff is recommending an award of this contract to MTCI a little over \$30 million over the two and a half year project. He noted that the budget for this is coming from the Burlingame Transportation Authority and this contractor is committed to utilizing about 42 percent of Small Business Enterprise (SBE) participation.

Public comment

Roland Lebrun, San Jose, compared the project to the 25th Avenue grade separation project and spoke in favor of removing the hold out rule and for the Board to have input on the design of this new station.

Director Zmuda asked under what circumstances an increase would be authorized and what for. Joy Sharma, Senior Project Manager, replied that the first option is relevant to the final design and construction cost of the project, which they are looking forward to implementing. She explained that the rest of the three options listed would be implemented if there are funds after two and a half years.

Director Zmuda asked where the budget comes in regarding the companies selected. Mr. Yin replied that no points were assigned in regards to cost, as that is not taken into account when selecting the highest scorer. Joan Cassman, Legal Counsel, confirmed

that this is required by law when choosing a contractor for architectural engineering design.

Director Collins asked about the not to exceed amount, whether this incurs additional costs on the contractor or on the JPB. Mr. Yin replied that there is typically a fixed profit negotiated ahead of time. Ms. Cassman replied that the Executive Director has some flexibility in terms of exceeding the amount (by ten percent). Director Collins asked about the timeline for the grade separation. Michelle Bouchard, Chief Operating Officer, replied that it would depend on funding, currently the project is in excess of two years and during that time, they would look for funding.

Chair Davis asked how this grade separation was prioritized over others. Ms. Bouchard replied that it is based on utility and safety standpoint on the Public Utility Commission (PUC) list and the County support for the project. Chair Davis asked if the funding for this from local municipalities also funds JPB staff work on these grade separations. Ms. Bouchard replied yes, from the project manager and all of the support costs. Ms. Cassman clarified that JPB manages the project as it affects Caltrain right-of-way, but does not contribute financially.

Director Collins inquired about the grade separations along the corridor. Ms. Bouchard replied that not all are on the list and it needs a corridor wide solution as a next step.

Motion/Second: Collins/Zmuda
Ayes: Collins, Zmuda, Davis
Noes: None
Absent: None

9. AUTHORIZATION FOR EXECUTION OF TWO CHANGE ORDERS FOR A TOTAL NOT-TO-EXCEED AMOUNT OF \$412,000 FOR THE CONTRACT WITH PROVEN MANAGEMENT, INC. FOR CEMOF MODIFICATIONS REQUIRED FOR THE PENINSULA CORRIDOR ELECTRIFICATION PROJECT

Liria Larano, CalMod Deputy Chief, requested authorization for two change orders and noted that the scope of work is to make modifications to accommodate longer trains. She stated that the first change is for protection of an existing fire sprinkler line for \$162,000 a month and the second is for relocation of an existing boosted waterline for not to exceed amount of \$250,000. Ms. Larano said Proven found that the fire sprinkler line was in conflict with a wall on the north end, not shown in the drawings, and in the south end, they found the boosted waterline different from the as-built drawings. She stated that the change orders will allow Proven to address these conflicts and it is funded by contingency funds.

Public comment

Roland Lebrun, San Jose, commented on the cost of seven car electric multiple units (EMUs) versus eight car EMUs.

Director Zmuda asked if the modification would increase the time taken to complete

the work. Ms. Larano replied yes, as the contractor is incurring delays (completion date now December from June) She stated that there could be a time component in the cost.

Chair Davis asked about the eight car EMUs. Ms. Larano replied that the extension should accommodate eight cars, but they will have to double check.
Chair Davis noted water seepage at the Taylor Street overpass in tandem with this project.

Motion/Second: Zmuda/Collins
Ayes: Collins, Zmuda, Davis
Noes: None
Absent: None

10. AMENDMENT OF PUBLIC SAFETY COMMUNICATIONS SERVICES AGREEMENT

Victoria O'Brien, Deputy Director for Safety and Security, asked for an extension to the dispatch amendment, of five years so it is concurrent with the contract with the transit police. Mr. Hansel said that these contracts were historically in tandem with the Sherriff department's contract, but the two services were split into two contracts some time ago.

Director Zmuda inquired whether they could change or terminate this contract in case of governance changes. Ms. Cassman replied that yes, they could.

Motion/Second: Collins/Zmuda
Ayes: Collins, Zmuda, Davis
Noes: None
Absent: None

11. UPDATE ON THE EXECUTION OF THE FY 2021 FUEL HEDGING PROGRAM

Connie Mobley-Ritter, Treasury Director, provided the presentation and stated that they bought four contracts through June 2021 in anticipation of the PCEP (Peninsula Corridor Electrification Project) program and electrical train status. Ms. Mobley-Ritter stated that they are currently 35 percent hedged, though they would like to be 50-60 percent hedged. She stated that the purpose of the hedge is to stabilize fuel budget going forward and to not speculate. She noted that they have realized gains on the hedge of \$41,000, and unrealized gains of \$21,000, but if fuel prices drop, there could be unrealized losses.

Public comment

Aleta Dupree, Oakland, commented on reducing open position and stability, fuel being volatile, 50-60 percent being reasonable, and previous transportation agency outcomes.

Chair Davis inquired about the 35 percent of anticipated fuel being hedged, based on 70 train per day schedule, and whether there is a larger percentage hedged due to currently running 42 trains per day. Mr. Hansel replied that there are currently 70 trains running per day. He noted that this is different hedging than what the agency has historically done.

12. UPDATE ON THE CURRENT STATUS OF THE OPERATING CONTRACT WITH TRANSITAMERICA, INC.

Ms. Bouchard provided the presentation and stated that TASI provides a complete turnkey contracted operations and maintenance service for Caltrain valid until June 2022. Ms. Bouchard noted that putting together a contract takes up to two and a half years from writing the RFP (request for proposals) to mobilizing a new contractor. The organizational assessment took a look service delivery and recommended pursuing an extension through electrification (2027 end date). She stated next steps of presenting "asks" to TASI and continued monthly presentation to the PCEP Ad Hoc Committee.

Public comment

Roland Lebrun, San Jose, commented on the Amtrak to TASI transition, extensions, opportunities to option for standard takeover of the maintenance of diesel trains, and TASI funding.

Aleta Dupree, Oakland, commented on the advantage of incumbency providing stable railroad operations, private contracting of railroad operations on behalf of transit boards, extensions, and being able to ride the train.

13. COMMITTEE MEMBER REQUESTS

Director Zmuda requested looking at a potential policy for future balanced budgets that will be presented to the Board within the next month or so.

Chair Davis requested grade crossing information (PUC prioritization list along the corridor and a table for the amounts funded by local municipalities).

14. DATE/TIME OF NEXT REGULAR FINANCE COMMITTEE MEETING

Monday, November 23, 2020 at 1:30 pm, via Zoom.

15. ADJOURN

The meeting adjourned at 3:05 pm.

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

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: JPB Finance Committee
THROUGH: Jim Hartnett
Executive Director
FROM: Derek Hansel
Chief Financial Officer
SUBJECT: **STATEMENT OF REVENUES AND EXPENSES FOR THE PERIOD ENDING
OCTOBER 31, 2020**

ACTION

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

This staff report provides a brief discussion of significant items and trends on the attached Statement of Revenues and Expenses through October 31, 2020. The statement has been designed to follow the Agency-wide line item rollup as included in the adopted budget. The columns have been designed to provide easy comparison of year-to-date current actuals to the budget including dollar and percentage variances.

SIGNIFICANCE

Year to Date Revenues: As of October year-to-date actual, the Grand Total Revenue (page 1, line 17) is \$9.5 million higher than the adopted budget. This is primarily driven by CARES ACT Fund (page 1, line 13) and Farebox Revenue (page 1, line 1) which are partially offset by less revenues in Shuttles (page 1, line 3) and JPB Member Agencies (page 1, line 12).

Year to Date Expenses: As of October year-to-date actual, the Grand Total Expense (page 1, line 48) is \$13.8 million lower than the adopted budget. This is primarily driven by Rail Operator Service (page 1, line 23), Insurance (page 1, line 28), Facilities and Equipment Maintenance (page 1, line 30), Professional Services (page 1, line 40) and Other Office Expenses and Services (page 1, line 42).

Other Information: The Agency accounts for revenue and expenditures on a modified cash basis (only material revenues and expenses are accrued) in the monthly financial statements. Due to the impact of Covid-19 pandemic, Caltrain adopted an interim first quarter and second quarter operating budget in FY2021 which identified certain annual expenses occurring in the first quarter and second quarter of FY2021. As such, the variance between the current year actual and the budget show noticeable variances due to the timing of expenditures.

BUDGET IMPACT

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

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

October 2020

		% OF YEAR ELAPSED			33.3%
		YEAR TO DATE	JULY - OCTOBER		
		CURRENT	APPROVED	\$	%
		ACTUAL	BUDGET	VARIANCE	VARIANCE
REVENUE					
OPERATIONS:					
1	Farebox Revenue	11,945,545	10,815,496	1,130,049	10.4%
2	Parking Revenue	134,263	169,043	(34,780)	(20.6%)
3	Shuttles	434,119	552,805	(118,686)	(21.5%)
4	Rental Income	327,601	380,668	(53,067)	(13.9%)
5	Other Income	556,740	495,677	61,063	12.3%
6					
7	TOTAL OPERATING REVENUE	13,398,268	12,413,689	984,579	7.9%
8					
9	CONTRIBUTIONS:				
10	AB434 Peninsula & TA Shuttle Funding	836,300	576,483	259,817	45.1%
11	Operating Grants	1,578,110	1,541,335	36,775	2.4%
12	JPB Member Agencies	12,849,670	13,885,614	(1,035,944)	(7.5%)
13	CARES ACT Fund	23,132,863	13,835,994	9,296,869	67.2%
14					
15	TOTAL CONTRIBUTED REVENUE	38,396,944	29,839,426	8,557,518	28.7%
16					
17	GRAND TOTAL REVENUE	51,795,211	42,253,115	9,542,096	22.6%
18					
19					
20	EXPENSE				
21					
22	OPERATING EXPENSE:				
23	Rail Operator Service	25,722,641	31,985,654	(6,263,013)	(19.6%)
24	Security Services	2,171,306	2,265,636	(94,330)	(4.2%)
25	Shuttle Services	989,080	1,067,694	(78,614)	(7.4%)
26	Fuel and Lubricants	1,840,067	2,125,853	(285,786)	(13.4%)
27	Timetables and Tickets	-	32,222	(32,222)	(100.0%)
28	Insurance	1,803,511	5,134,444	(3,330,933)	(64.9%)
29	Claims, Payments, and Reserves	65,565	318,177	(252,612)	(79.4%)
30	Facilities and Equipment Maintenance	486,397	1,560,290	(1,073,893)	(68.8%)
31	Utilities	568,888	902,309	(333,421)	(37.0%)
32	Maint & Services-Bldg & Other	98,153	555,989	(457,836)	(82.3%)
33					
34	TOTAL OPERATING EXPENSE	33,745,608	45,948,268	(12,202,660)	(26.6%)
35					
36	ADMINISTRATIVE EXPENSE				
37	Wages and Benefits	3,897,292	4,143,943	(246,651)	(6.0%)
38	Managing Agency Admin OH Cost	1,326,697	1,706,236	(379,539)	(22.2%)
39	Board of Directors	4,446	11,025	(6,579)	(59.7%)
40	Professional Services	668,822	1,173,006	(504,184)	(43.0%)
41	Communications and Marketing	30,934	82,111	(51,177)	(62.3%)
42	Other Office Expenses and Services	219,586	784,534	(564,948)	(72.0%)
43					
44	TOTAL ADMINISTRATIVE EXPENSE	6,147,776	7,900,855	(1,753,079)	(22.2%)
45					
46	Long Term Debt Expense	994,475	793,917	200,558	25.3%
47					
48	GRAND TOTAL EXPENSE	40,887,859	54,643,040	(13,755,181)	(25.2%)
49					
50	NET SURPLUS / (DEFICIT)	10,907,352	(12,389,925)	23,297,277	(188.0%)
51					



BOARD OF DIRECTORS 2020

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

JIM HARTNETT
 EXECUTIVE DIRECTOR

PENINSULA CORRIDOR JOINT POWERS BOARD

INVESTMENT PORTFOLIO

AS OF OCTOBER 31, 2020

TYPE OF SECURITY		MATURITY DATE	INTEREST RATE	PURCHASE PRICE	MARKET RATE
Local Agency Investment Fund (Unrestricted)	*	Liquid Cash	0.620%	36,765	36,765
County Pool (Unrestricted)		Liquid Cash	1.275%	553,344	553,344
Other (Unrestricted)		Liquid Cash	0.050%	51,936,602	51,936,602
Other (Restricted)	**	Liquid Cash	0.050%	13,255,667	13,255,667
				\$ 65,782,379	\$ 65,782,379

Interest Earnings for October 2020 \$ 4,223.51
 Cumulative Earnings FY2021 \$ 13,469.65

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

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

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: JPB Finance Committee

THROUGH: Jim Hartnett
Executive Director

FROM: Derek Hansel
Chief Financial Officer

SUBJECT: **COMPREHENSIVE ANNUAL FINANCIAL REPORT FOR THE FISCAL YEAR ENDED
JUNE 30, 2020**

ACTION

Staff proposes the committee recommend the Board accept the Peninsula Corridor Joint Powers Board's (JPB) Fiscal Year (FY) 2020 Comprehensive Annual Financial Report (CAFR).

The FY2020 Comprehensive Annual Financial Report is available online at http://www.caltrain.com/about/statsandreports/Comprehensive_Annual_Financial_Reports.html

SIGNIFICANCE

The CAFR is prepared in accordance with the guidelines set forth by the Government Accounting Standards Board and is organized into three sections – Introductory, Financial, and Statistical Sections.

- The **Introductory** Section includes a Transmittal Letter and provides general information on the District's structure, personnel, economic outlook and finances.
- The **Financial** Section includes audited financial statements which provide detailed financial information as well as comparative financial data. The Management Discussion & Analysis (MD&A) is also found in the Financial Section. Along with the Transmittal Letter, the MD&A is of most interest to those looking for a narrative annual review of the District's finances.
- The **Statistical** Section provides a broad range of data covering key financial trends including revenue and debt capacity, economic and demographic data and operating information.

Together, all sections of the CAFR provide the detail as well as the perspective with which to assess the JPB's financial condition.

BUDGET IMPACT

There is no impact on the Budget.

BACKGROUND

The JPB contracts with an independent auditor, Eide Bailly LLP to conduct yearly audits of the Financial Statements in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in Government Auditing Standards, issued by the Comptroller General of the United States of America. The introductory section and the statistical section presented in the CAFR are not required by California Government Code to be reported as part of the audited financial statements of the JPB. These sections are required when producing a CAFR which the JPB chooses to do in order to provide detailed information about the financial condition of the JPB in a form that is understandable to our customers and constituents.

The CAFR is prepared and presented to the Government Finance Officers Association for their review, evaluation and to apply for the certificate of Achievement for Excellence in Financial Reporting. The JPB has received an award for every year that the report was submitted.

Prepared by: Jennifer Ye, Manager, Financial Reporting & General Ledger 650-622-7890



Peninsula Corridor Joint Powers Board

Comprehensive Annual Financial Report

Finance Committee
November 23, 2020

Presentation Agenda

- Auditor's Communication
- Highlights from the 2019-20 CAFR

Auditor's Communication

- Eide Bailly issued an unmodified “clean” opinion on the financial statements and compliance with federal grants.
- No adjustments were proposed to the financial statements.
- No difficulties were encountered in the performance of the audit.

Highlights from the 2019-20 CAFR

- Operating revenue decreased (*\$28.3 million, -25%*)
- Operating expense decreased (*\$2.3 million, -0.9%*)
- Capital contribution decreased (*\$43.9 million, -10.8%*)

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: JPB Finance Committee

FROM: Jim Harnett
Executive Director

THROUGH: Michelle Bouchard Derek Hansel
 Chief Operating Officer Chief Financial Officer

SUBJECT: **ADOPTION OF THIRD AND FOURTH QUARTERS FISCAL YEAR 2021
OPERATING BUDGET AND AMENDMENT TO DECREASE THE CAPITAL
BUDGET**

ACTION

Staff requests the Board:

1. Adopt a 3rd and 4th Quarters Fiscal Year (FY) 2020-2021 Operating Budget of \$66,426,029 for cumulative full-year budget total of \$144,488,271
2. Adopt an amendment to reduce the FY2021 Capital Budget from \$84,154,772 to \$82,334,772
3. Make findings and declarations necessary for reallocation of State Rail Assistance and State Transit Assistance funds as required to maintain transit service levels and balance the Operating Budget.

SIGNIFICANCE

In FY2021, the Peninsula Corridor Joint Powers Board (JPB) has been faced with unprecedented financial challenges as a result of the COVID-19 pandemic. In recognition of the uncertainties presented by the pandemic, on June 4, 2020 the JPB adopted an Interim 1st Quarter Operating Budget and Capital Budget for FY2021, with the understanding that budgets for a full fiscal year would be presented in September.

At the September Board of Directors (Board) meeting, staff presented a proposed full-year FY2021 Operating Budget and an amended FY2021 Capital Budget. The Board chose not to adopt the proposed budgets because the proposed Operating Budget was not balanced. The Board requested that Staff instead present a balanced 2nd Quarter budget for consideration and approval at the October Board meeting.

At the October Board meeting, Staff presented a balanced 2nd Quarter budget that reflected the proposed application of an estimated \$41.5 million of Federal Coronavirus Aid, Relief and Economic Security Act (CARES Act) funding. Staff also presented a number of potential gap-closing measures which could be used to address an expected FY2021 operating deficit of at least \$18.5 million.

While it is yet to be formally certified, it appears that at the November 3, 2020 election, the JPB's Measure RR 1/8-cent sales tax was approved by the voters. In addition to providing long-term funding for Caltrain, the availability of Measure RR will allow staff to pursue a number of other options to close the budget gap for FY2021 without threatening the financial stability of the organization.

At the December Board meeting, Staff is presenting a 3rd and 4th Quarters FY2021 Operating Budget, to take JPB through the end of FY2021. The proposed Operating Budget is balanced through the implementation of measures discussed at the Board's October meeting as well as a draw on the JPB's existing operating line of credit. As a separate agenda item, staff is also presenting an amendment to the JPB's Financial Reserve Policy to require future budgets to be balanced when presented for Board approval.

Measures proposed for use to balance the FY2021 Operating Budget include:

- Use of State Rail Assistance
Senate Bill 1 created the State Rail Assistance (SRA) Program specifically for intercity rail and commuter rail.
- De-allocation of eligible capital funds to allow funds to be used for preventive maintenance in the Operating Budget.
This requires approval from the Metropolitan Transportation Commission.
- Use of the Line of Credit
The timely passage of Measure RR made the option of drawing further upon the existing line of credit viable. We currently estimate a draw of approximately \$15.3 million.
- Use of Reserves
While a sharp reduction of the reserve balance is unfortunate, it is feasible given the improved credit position associated with the passage of Measure RR. Staff intends to propose rebuilding the reserve to more sustainable levels in future budgets.

FY2021 Operating Budget Overview

The goals and challenges that will be addressed through the proposed 3rd and 4th Quarter FY2021 Operating Budget are:

- To obtain budget appropriation for the 3rd and 4th Quarters of FY2021;

- To add to the JPB's arsenal against COVID-19 an aggressive plan of action to focus on bringing passengers back on the trains by building a higher level of trust with the riding public that Caltrain is ensuring health safety on the trains;
- To continue to recognize that affordable public transportation is vital to equitably supporting economic recovery for the region.

Pursuant to the request of the Board, the 3rd and 4th Quarters FY2021 Operating Budget, outlined below and detailed in Attachment A, is balanced. This budget assumes ridership levels consistent with current ridership. The proposed budget is built around the operation of a 68 train/day weekday schedule with enhanced weekend service for the balance of the fiscal year.

On the revenue side, farebox revenue projections for the rest of the FY2021 assumes a steady 7% ridership recovery and Go Pass non-renewal at 50%. The revenue budget also reflects the planned implementation of budget balancing measures.

On the expenditure side, the cumulative FY2021 Operating Budget reflects savings in the 1st and 2nd Quarters (also referred to as "Q1 and Q2" or "Q1-Q2"), offsetting new costs associated with recently ratified labor contracts of the JPB Rail Operator Contractor.

FY2021 Capital Budget Overview

During the FY2020 Shelter In Place (SIP) period, the 42-train schedule increased right of way access and allowed the JPB to perform some critical work relative to rolling stock "state-of-good-repair".

In the 1st and 2nd Quarters of FY2021, with funding from various agencies in flux, the initial FY2021 Capital Budget focused only on projects that could be supported by redirecting available funds from other projects that have been completed under budget, or from other projects that could be postponed.

In the 3rd and 4th Quarters, several capital projects will be implemented at reduced funding levels as eligible capital funds are de-allocated to be used for preventive maintenance costs in the operating budget. The proposed amendment to the Caltrain Capital Budget reflects the \$2.2 million de-allocated funds to balance the FY2021 operating budget.

BUDGET IMPACT

3rd and 4th Quarter FY2021 Operating Budget Impact

The following narrative describes the 3rd and 4th Quarters FY2021 Operating Budget as compared to Operating Budgets approved for the first two quarters of the year. Each section has a reference to a line item that corresponds to the Financial Statement as shown on attachment A.

Revenue Projections

Total revenues for the 3rd and 4th quarters of FY2021 are projected at \$40.9 million, a decrease of \$40.5 million or 49.7% lower than the FY2021 1st and 2nd quarter adopted budgets.

Revenue from Operations for the 3rd and 4th quarters of FY2021 are projected at \$18.4 million, a decrease of \$0.6 million or 3.4% lower than the FY2021 1st and 2nd quarter adopted budgets.

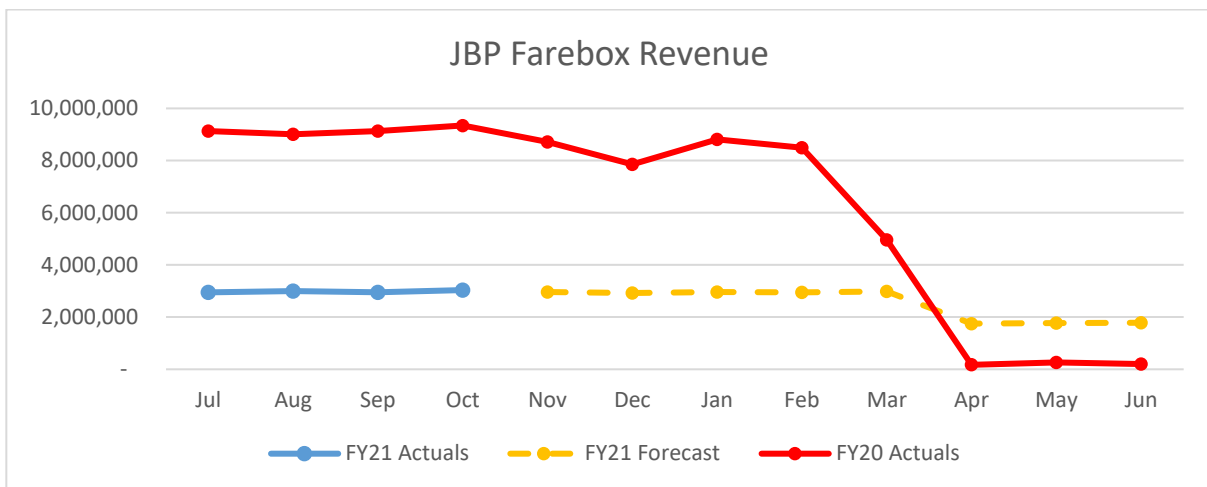
Revenue from Contributions for the 3rd and 4th quarter of FY2021 are projected at \$22.5 million, a decrease of \$39.8 million or 176.8% lower than the FY2021 1st and 2nd quarter adopted budgets.

Operating Revenue

Line 1 **Farebox Revenue:** \$15.6 million, a decrease of \$0.8 million or 4.9% lower than the FY2021 1st and 2nd quarter adopted budgets

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

Based on the actual 1st and 2nd quarter ridership indicators, the proposed FY2021 farebox revenue for the rest of the FY2021 assumes a 7% ridership recovery rate. The projection also assumes 50% non-renewal for Go Pass. This brings projected farebox revenue to \$32.0 million for FY2021.



FY20 Actuals: Go-Pass refund totaling \$7.5M reflected March through June

Line 2 **Parking Revenue:** \$119.2 thousand, a decrease of \$134.4 thousand or 53.0% lower than the FY2021 1st and 2nd quarter adopted budgets

Parking revenue includes fees at parking lots at various passenger stations and from

a parking lot located at the SAP Center adjacent to the San Jose Diridon station. Parking revenue assumptions align with Farebox revenue projections.

Line 3 **Shuttle Revenue:** \$1.1 million, an increase of \$186.4 thousand or 20.2% higher than the FY2021 1st and 2nd quarter adopted budgets

The Shuttle Program funding comes from participating employers, the San Mateo County Transportation Authority (TA), Bay Area Air Quality Management District (BAAQMD) and JPB operating funds. This line item refers only to the revenue generated from participating local area employers who provide rail passengers the last-mile connections between Caltrain stations and work sites. In recent years, the traditional funding sources for the shuttle program have continued to decline, necessitating additional member and agency funding. There is an increase for Shuttle contracted services that will be effective January 1, 2021.

Line 4 **Rental Income:** \$548.4 thousand, a decrease of \$15.1 thousand or 2.7% lower than the FY2021 1st and 2nd quarter adopted budgets

Rental income generated from Caltrain right of way properties. In FY2021, the estimate does not include rental from bike lockers. Staff is also monitoring and working with lessors on a month-to-month basis.

Line 5 **Other Income:** \$951.2 thousand, an increase of \$138.5 thousand or 17.0% higher than the FY2021 1st and 2nd quarter adopted budgets

Other Income consists of interest on invested funds, shared track usage maintenance fees, advertising income, parking citation fees, and permit fees. Advertising income includes income from train wraps, stations, ad cards, and digital displays. The FY2021 advertising income estimate is based on contractual minimum annual guarantees and additional sales albeit lower than the prior years. The income from shared track maintenance is based on an agreement with the Union Pacific Railroad (UPRR) which provides for a fixed annual fee and a variable fee based on track usage.

Operating Contributions

Line 9 **AB434 & TA Shuttle Funding:** \$871.1 thousand, an increase of \$4.2 thousand or 0.5% higher than the FY2021 1st and 2nd quarter adopted budgets

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

Line 10 **Operating Grants:** \$10.3 million, an increase of \$7.9 million or 335.8% higher than the FY2021 1st and 2nd quarter adopted budgets

As discussed above, the JPB is making use of a range of tools to balance the FY2021 budget. One such budget balancing measure is to use \$5.8 million State Rail Assistance Funds available for Caltrain in FY2021. This is based on FY2020 carryover of \$0.5 million and an estimated \$5.3 million FY2021 allocation.

The proposed 3rd and 4th quarter revenues also reflect a funding agreement with the Federal Railroad Administration (FRA) for \$48,500 in Railroad Trespassing Enforcement Grant program funds.

Another budget balancing measure is the de-allocation of Federal Transit Administration (FTA) capital funds eligible for preventive maintenance in the Operating Budget. This action requires approval from the Metropolitan Transportation Commission. Currently, staff has identified \$2.2 million from several projects. These projects are identified in the proposed amendment to the FY2021 Capital Budget.

Line 11 **JPB Member Agencies:** \$11.4 million, a decrease of \$6.2 million or 35.3% lower than the FY2021 1st and 2nd quarter adopted budgets

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

The Q1-Q2 budgets included an annual lump sum insurance costs and a reduction in member agency contributions by \$0.9 million. In FY2020, member agency annual obligations were \$29.9 million.

Line 12 **CARES Act Funding:** a total of \$41.5 million was applied in the first half of FY2021 and is used to cover the projected cumulative deficit of FY2021

The CARES Act Funding is provided by the federal government to transit agencies to recoup some of the losses resulting from lower ridership. A total of \$41.5 million in CARES Act funds was applied in the 2nd Quarter of FY2021.

Expense Projections

Grand Total Expenses for the 3rd and 4th quarter of FY2021 are projected at \$66.4 million, a decrease of \$11.6 million or 14.9% lower than the FY2021 1st and 2nd quarter adopted budgets

Operating Expenses for the 3rd and 4th quarter of FY2021 are projected at \$52.6

million, a decrease of \$12.3 million or 23.4% lower than the FY2021 1st and 2nd quarter adopted budgets

Administrative Expense for the 3rd and 4th quarter of FY2021 are projected at \$12.7 million, an increase of \$661.9 thousand or 5.5% higher than the FY2021 1st and 2nd quarter adopted budgets

Operating Expenses

Line 22 **Rail Operator Service:** \$38.8 million, a 16.3% decrease or \$7.5 million lower than the 1st and 2nd quarter

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.

As the pandemic unfolded in FY2020, JPB and TASI worked collaboratively to mitigate costs by performing the following:

- issuing a hiring freeze,
- shifting staff from traditional operations maintenance to support the State of Good Repair Program and the Capital Improvement Program,
- reducing overtime
- reducing labor overhead

The FY2021 Q1 budget assumed a 92 train/day weekday service schedule. At the time of adoption, the annual projection for TASI was \$99.4 million, of which Q1 was budgeted at \$24.9 million per quarter.

Since then, the assumption for the weekday train service was modified to a 70 train/day weekday service schedule, with a corresponding reduction in the annual projection to \$89.3M. The reduction is primarily due to several factors:

- Reduction in the weekday train service from 92 train/ day weekday schedule to 70 train/per day weekday service schedule.
- Reduction in budgeted overtime due to revised weekday train service schedule.
- Elimination of Special Services for sporting, concert, and other events.
- Reduction of maintenance services corresponding with a reduction of train service.

In addition to the actions implemented above, further Q1 budget underruns with the 70 train/day weekday service schedule and projected savings in Q2 have been incorporated into the budget estimate. Furthermore the budget includes revised costs for the following:

Revised costs due to the ratification of contractual agreements with two TASI bargaining units, namely: The Brotherhood of Railway Carmen Division, Transportation

Communications Union/IAM (International Association of Machinists). The budget also includes a one-time negotiated payment to the UTU-SMART tied to the modification of work rules.

Furthermore, the FY2021 budget for TASI includes \$281,000 to cover the costs related to the closure of the Atherton Station. The Caltrain Board of Directors voted to close its Atherton station at its November meeting. At the same time, the Town of Atherton endorsed the closure of Atherton station subject to an Agreement on a Memorandum of Understanding (MOU) between the two parties.

The budget assumes Caltrain will operate a 68 train/day weekday service schedule, effective December 19th, 2020, together with increasing the weekend service from 24-28 trains per day to 30 trains per day.

Line 23 **Security Services:** \$3.3 million, a decrease of \$25.0 thousand or 0.7% lower than the FY2021 1st and 2nd quarter adopted budgets

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

In Q1-Q2, this budget was revised to exclude security costs related to holding special events such as the SF Giants, SF 49ers, SJ Sharks, among others.

Line 24 **Shuttles:** \$2.2 million, an increase of \$427.1 thousand or 23.5% higher than the FY2021 1st and 2nd quarter adopted budgets

The Shuttle program provides last-mile connections for Caltrain passengers. The FY2021 Q3-Q4 budget assumes a minimum service schedule option. There were four routes eliminated in FY2020; this will continue in FY2021. In FY2021, the cost of the shuttle contract will likely increase as new rates will be effective January 1, 2021.

Line 25 **Fuel and Lubricants:** \$2.9 million, a decrease of \$223.5 thousand or 7.3% lower than the 1st and 2nd quarter adopted budgets

The Q1-Q2 budget was based on a fuel price of \$1.20 per gallon and a fuel usage based on a 92 train per day weekday service schedule. On the other hand, the Q3-Q4 budget assumes a higher \$1.30 per gallon price applied to a lower fuel usage based on a 68 train per day weekday train schedule, resulting in savings.

The proposed budget covers the cost of a diesel fuel for JPB locomotive operations, including the associated taxes. Caltrain has entered into a diesel fuel-hedging program that will help manage the exposure to changes in diesel fuel prices.

Line 26 **Timetables and Tickets:** \$58.3 thousand, an increase of \$6.7 thousand or 12.9% higher than the FY2021 1st and 2nd quarter adopted budgets

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

Line 27 **Insurance:** \$206.7 thousand, a decrease of \$5.0 million or 96.0% lower than the FY2021 1st and 2nd quarter adopted budgets

The Q1-Q2 budget includes the premiums which were required to be paid in July.

The Insurance budget includes premiums, deductibles, adjuster fees, broker fees and other insurance costs. Rates reflect costs for property, casualty, and liability insurance.

The FY2021 budget reflects the cost of the recently negotiated insurance contract adjusted with the impact of changes in ridership.

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

Line 28 **Claims, Reserves and Payments:** \$481.4 thousand, an increase of \$2.7 thousand or 0.6% higher than the FY2021 1st and 2nd quarter adopted budgets

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

Line 29 **Facilities and Equipment Maintenance:** \$2.4 million, an increase of \$66.3 thousand or 2.8% higher than the FY2021 1st and 2nd quarter adopted budgets

This budget item covers expenses related to Clipper Operator charges, revenue collection services, ticket vending machines, data line services and other contract services.

The FY2021 budget includes additional PTC maintenance cost of \$3.2 million and reflects a \$1.0 million decrease in Clipper usage charges.

Line 30 **Utilities:** \$1.4 million, an increase of \$12.2 thousand or 0.9% higher than the FY2021 1st and 2nd quarter adopted budgets

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

Line 31 **Maintenance & Services – Building and Other:** \$775.5 thousand, a decrease of \$40.0 thousand or 4.8% lower than the FY2021 1st and 2nd quarter adopted budgets

This item covers the cost of building maintenance services, printing and information

services, and repair and maintenance of computers and office equipment.

Administrative Expenses

Line 35 **Wages & Benefits:** \$5.1 million, a decrease of \$756.4 thousand or 12.9% lower than the FY2021 1st and 2nd quarter adopted budgets

The Q1-Q2 budget was higher as it included the lump sum payment for CalPers and retiree medical contributions required to be paid in July.

The FY2021 Q3-Q4 budget includes existing positions, no new full time employee positions (also referred to herein as "FTEs"), an administrative staff hiring freeze, a lower benefits rate, no universal wage increase, and lower agency allocations to the retiree medical and OPEB plans.

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

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

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

Line 36 **Managing Agency Admin OH Cost:** \$2.6 million reflect no change over the FY2021 1st and 2nd quarter adopted budgets

Managing Agency Administrative Overhead (OH) Cost reflects the cost of San Mateo County Transit District (District) personnel dedicated to the Caltrain business (as opposed to Caltrain operations). The Proposed budget assumes an increase of 1.2% over the FY2020 Forecast. This FY2021 estimate will be revised further pending results of the current study of the Internal Cost Allocation Plan (ICAP).

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

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

The ICAP calculates two components:

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

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

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

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

Line 37 **Board of Directors:** \$0, a decrease of \$11,025 or 100% lower than the FY2021 1st and 2nd quarter adopted budgets

The FY2021 budget reflects the annual budget for this expense line. This covers director compensation, seminars and training, and meetings for the Board of Directors. Cost decreases result from diminished conference attendance.

Line 38 **Professional Services:** \$3.2 million, an increase of \$0.9 million or 42.2% higher than the FY2021 1st and 2nd quarter adopted budgets

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 Positive Train Control (PTC) related to rail friction, electronic recording, measuring, and communications systems and communications data security.

Line 39 **Communications and Marketing:** \$40.4 thousand, a decrease of \$55.2 thousand or 57.7% lower than the FY2021 1st and 2nd quarter adopted budgets

The FY2021 Q1-Q2 and Q3-Q4 budget reflects the suspension of special celebrations and promotional advertising for sporting events during the pandemic.

This covers the cost of promotional advertising for fares, schedule changes and the cost of providing the riding public with a mobile app.

Line 40 **Other Office Expense and Services:** \$1.8 million or \$544.0 thousand or 43.8% higher than the FY2021 1st and 2nd quarter adopted budgets

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

With the passage of Measure RR, obtaining a Line of credit (LOC) became a viable budget balancing option. Based on the proposed expenditures and exhausting available fund sources, a line of credit in the amount of \$15.3 million is required to balance the budget. The estimated cost of this LOC includes interest expense and transaction fees.

Line 43 **Long Term Debt Expense:** \$1.2 million reflects no change over FY2021 1st and 2nd quarter adopted budgets

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

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

FY2021 Capital Budget Impact

The initial FY2021 Capital budget approved by the Board in June for a total of \$19.1 million included only those capital projects that had available funding, but required Board-approved budget authority to incur the expenditures.

In October, the Board approved Amendment 1 to the FY2021 capital budget for a total of \$84.2 million and included urgent projects eligible for the anticipated annual FY2021 Federal, State and Member Agency funds.

In December, the Staff seeks approval of Amendment 2 to the FY2021 capital budget, which reflects a decrease of \$2.2 million due to the de-allocation of eligible federal funds to the Operating Budget. This brings the total FY2021 Capital budget to \$82.3 million.

The proposed amendment to the FY2021 Capital Budget also includes an increase of \$400,000 in the San Mateo Grade Crossing Improvement. This project will be presented by the Project Manager for consideration by the Board under a separate item on the December Board meeting agenda.

Furthermore, Staff proposes to exercise some flexibility in reallocating Federal Transit Administration (FTA) funds previously budgeted for FY2021 capital projects as the FTA capital funds are eligible to be used for preventive maintenance in the Operating Budget. Discussions were conducted with the Metropolitan Transportation Commission for guidance to implement this option with Board approval.

The remaining funds of the affected projects will still allow said capital projects (see Attachment B) to continue project work in FY2021. Furthermore, the de-allocated funds are planned to be restored to the impacted projects in FY2022

Staff proposes the following projects for the de-allocation budget balancing option:

RIGHT OF WAY

- #9. San Francisquito Creek Bridge Replacement – De-allocate: \$400,000
In FY2021, this project moves to the construction phase for the replacement of this 118-year-old bridge, with a modern railway bridge with a 100-year design life.
- #11. System-wide Track Rehab SOGR FY2020-FY202024 – De-allocate: \$520,000
Continue the work required to keep the Caltrain railroad in a state of good repair, including rehabilitation of track and other purchased services. Replace track components, wedging, surfacing and selected minor bridge repairs.

SIGNAL AND COMMUNICATION

- #12 Caltrain Communication System SOGR – De-allocate: \$700,000
This is a yearly evaluation and implementation of projects for the overall railroad communications system to keep assets current. Evaluates replacements prior to end of life or vendor support. This includes all voice and data radio systems, microwave systems, leased landlines and the data communications system.
- #13 Rail Network Maintenance – De-allocate: \$100,000
Upgrade internet service and equipment as necessary to support secure vendor Virtual Private Network (VPN) access, remote monitoring of PTC environment, and communications with external clients such as 511.org. Furthermore, this upgrade will be able to handle higher bandwidth and current

equipment including firewalls and routers have reached the end of their technology life cycle.

- #26. Clipper Next Gen Validators Site Prep – De-allocate: \$500,000
Design and install 360 new Next Generation Clipper Validators at stations to prepare for the regional transition to the new Clipper system mandated by MTC.
- #31. As stated above, this Amendment also includes an increase of \$400,000 for the San Mateo Grade Improvement Project, which will be presented separately to the Board as a separate Project request.

Prepared by:

Cynthia Scarella	Manager, Budgets	650.508.6230
Cleo Liao	Senior Budget Analyst	
Melanie Hartanto	Senior Budget Analyst	

**PENINSULA CORRIDOR JOINT POWERS BOARD
FY2021 OPERATING BUDGET**

		FY2021 Adopted Q1 and Q2	FY2021 Q3 and Q4 Amendment	FY2021 Total Budget	\$ Change C = B - A	% Change D = C / A	
		A	B	A + B	C = B - A	D = C / A	
REVENUE							
OPERATIONS:							
1	Farebox Revenue	16,415,496	15,613,653	32,029,149	(801,843)	-4.9%	1
2	Parking Revenue	253,564	119,154	372,718	(134,410)	-53.0%	2
3	Shuttles	922,415	1,108,831	2,031,246	186,416	20.2%	3
4	Rental Income	563,452	548,352	1,111,804	(15,100)	-2.7%	4
5	Other Income	812,757	951,243	1,764,000	138,486	17.0%	5
6	TOTAL OPERATING REVENUE	18,967,684	18,341,233	37,308,917	(626,451)	-3.4%	6
7							7
8	CONTRIBUTIONS:						
9	AB434 & TA Shuttle Funding	866,849	871,101	1,737,950	4,252	0.5%	9
10	Operating Grants	2,353,128	10,255,372	12,608,500	7,902,244	335.8%	10
11	JPB Member Agencies	17,616,569	11,392,865	29,009,434	(6,223,704)	-35.3%	11
12	CARES ACT Funding	41,507,983	-	41,507,983	(41,507,983)	-100.0%	12
13	TOTAL CONTRIBUTED REVENUE	62,344,529	22,519,338	84,863,867	(39,825,191)	-176.8%	13
14							14
15							15
16	GRAND TOTAL REVENUE	81,312,213	40,860,571	122,172,784	(40,451,642)	-49.7%	16
17							17
18							18
19	EXPENSE						
20							20
21	OPERATING EXPENSE:						
22	Rail Operator Service	46,319,462	38,790,480	85,109,942	(7,528,982)	-16.3%	22
23	Security Services	3,385,954	3,360,954	6,746,908	(25,000)	-0.7%	23
24	Shuttle Service	1,815,082	2,242,167	4,057,249	427,085	23.5%	24
25	Fuel and Lubricants	3,077,019	2,853,504	5,930,523	(223,515)	-7.3%	25
26	Timetables and Tickets	51,666	58,334	110,000	6,668	12.9%	26
27	Insurance	5,203,333	206,667	5,410,000	(4,996,666)	-96.0%	27
28	Claims, Reserves, and Payments	478,635	481,365	960,000	2,730	0.6%	28
29	Facilities and Equipment Maint	2,373,608	2,439,955	4,813,563	66,347	2.8%	29
30	Utilities	1,359,579	1,371,806	2,731,385	12,227	0.9%	30
31	Maint & Services-Bldg & Other	814,491	775,509	1,590,000	(38,982)	-4.8%	31
32	TOTAL OPERATING EXPENSE	64,878,829	52,580,741	117,459,570	(12,298,088)	-23.4%	32
33							33
34	ADMINISTRATIVE EXPENSE						
35	Wages and Benefits	5,843,219	5,086,781	10,930,000	(756,438)	-12.9%	35
36	Managing Agency Admin OH Cost	2,569,676	2,569,676	5,139,352	-	0.0%	36
37	Board of Directors	11,025	-	11,025	(11,025)	-100.0%	37
38	Professional Services	2,229,754	3,170,246	5,400,000	940,492	42.2%	38
39	Communications and Marketing	95,583	40,417	136,000	(55,166)	-57.7%	39
40	Other Office Expense and Services	1,243,280	1,787,292	3,030,572	544,012	43.8%	40
41	TOTAL ADMINISTRATIVE EXPENSE	11,992,537	12,654,412	24,646,949	661,875	5.5%	41
42							42
43	Long-term Debt Expense	1,190,876	1,190,876	2,381,752	-	0.0%	43
44							44
45	GRAND TOTAL EXPENSE	78,062,242	66,426,029	144,488,271	(11,636,213)	-14.9%	45
46							46
47							47
48	PROJECTED SURPLUS / (DEFICIT)	3,249,971	(25,565,458)	(22,315,487)			48
49	Use of Reserves	-	-	7,000,000			49
50	Line of Credit	-	-	15,315,487			50
51	NET SURPLUS / (DEFICIT)	3,249,971	(25,565,458)	-			51



FY2020-2021 CAPITAL BUDGET

Item #	PROJECT NAME	Project Sponsor / Manager	PRIOR YEARS APPROVED	FY21 ADOPTED JUNE BOARD	AMENDMENT #1	AMENDMENT #2	PROPOSED FY21 CAPITAL BUDGET	Federal Funds	Federal De-allocate to Operating	State Funds	STA SOGR Funds	Members			Member Funds Total	Other Funds Total	TOTAL PROPOSED FY21 CAPITAL BUDGET
												San Francisco MTA	San Mateo SamTrans	Santa Clara VTA			
i. SOGR																	
Right of Way																	
1	Marin Street and Napoleon Street Bridges ¹	J Sharma	6,704,000	9,696,000	-		9,696,000	4,965,021		-	1,350,915	-	-	-	-	3,380,064	9,696,000
2	Fencing - ROW	R Scarpino	-	915,000	585,000		1,500,000	-		915,000	-	-	250,000	335,000	585,000	-	1,500,000
8	Guadalupe River Bridge Replacement	P Kwan	10,300,000		2,100,000		2,100,000	1,680,000		-	-	227,500	-	192,500	420,000	-	2,100,000
9	San Francisquito Creek Bridge Replacement	A Piano	600,000		2,000,000	(400,000)	1,600,000	1,600,000	(400,000)	-	-	227,500	-	172,500	400,000	-	1,600,000
10	Structures Maintenance SOGR	R Scarpino	800,000		800,000		800,000	640,000		-	-	160,000	-	-	160,000	-	800,000
11	System-wide Track Rehab -SOGR	E Stockmeir	5,500,000		5,720,000	(520,000)	5,200,000	4,576,000	(520,000)	-	-	1,144,000	-	-	1,144,000	-	5,200,000
			10,611,000		11,205,000	(920,000)	20,896,000	13,461,021	(920,000)	915,000	1,350,915	1,759,000	250,000	700,000	2,709,000	3,380,064	20,896,000
Signal & Communication																	
3	Fiber Optic Corrective Repair ²	M Scanlon		1,000,000			1,000,000	-		-	-	-	-	-	-	1,000,000	1,000,000
12	Caltrain Communication System SOGR	M Scanlon	-		2,000,000	(700,000)	1,300,000	1,600,000	(700,000)	-	-	-	400,000	400,000	400,000	-	1,300,000
13	Rail Network SOGR	M Scanlon	-		500,000	(100,000)	400,000	400,000	(100,000)	-	-	-	100,000	100,000	100,000	-	400,000
14	TVM Upgrade Phase 4	R Tam / J Navarro	1,795,000		1,000,000		1,000,000	800,000		-	-	-	-	200,000	200,000	-	1,000,000
15	Clipper CID installation and Relocation Plan and Construction	H. Chan	500,000		1,000,000		1,000,000	800,000		-	-	-	-	200,000	200,000	-	1,000,000
20	BCCF Buildout Assessment	M Scanlon	-		500,000		500,000	-		-	-	500,000	-	-	500,000	-	500,000
			1,000,000		5,000,000	(800,000)	5,200,000	3,600,000	(800,000)	-	-	-	500,000	900,000	1,400,000	1,000,000	5,200,000
Rolling Stock																	
21	Bombardier	J Navarro			1,663,825		1,663,825	-		-	-	1,663,825	-	-	1,663,825	-	1,663,825
22	Upper Level Doors Installation ⁷	J Navarro	-		11,000,000		11,000,000	-		-	-	-	-	-	-	11,000,000	11,000,000
			-		12,663,825	-	12,663,825	-	-	-	-	1,663,825	-	-	1,663,825	11,000,000	12,663,825
Station & Intermodal Access																	
23	Stations SOGR	R Scarpino	500,000		1,000,000		1,000,000	-		-	-	400,000	-	600,000	1,000,000	-	1,000,000
24	CCF Crew Quarters Roof Replacement & Trailer Repairs	R Scarpino	-		1,000,000		1,000,000	-		-	-	-	-	1,000,000	1,000,000	-	1,000,000
25	Menlo Park Facility 4000 Campbell Avenue HVAC	R Scarpino	-		100,000		100,000	-		-	-	-	100,000	-	100,000	-	100,000
			-		2,100,000	-	2,100,000	-	-	-	-	400,000	100,000	1,600,000	2,100,000	-	2,100,000
Total SOGR			11,611,000	30,968,825	(1,720,000)	40,859,825	17,061,021	(1,720,000)	915,000	1,350,915	3,822,825	850,000	3,200,000	7,872,825	15,380,064	40,859,825	
ii. LEGAL MANDATES AND REQUIRED ENHANCEMENTS																	
26	Clipper Next Gen Validators Site Prep	J Navarro / H Chan	-		1,500,000	(500,000)	1,000,000	1,200,000	(500,000)	-	-	-	-	300,000	300,000	-	1,000,000
			-		1,500,000	(500,000)	1,000,000	1,200,000	(500,000)	-	-	-	-	300,000	300,000	-	1,000,000



FY2020-2021 CAPITAL BUDGET

Item #	PROJECT NAME	Project Sponsor / Manager	PRIOR YEARS APPROVED	FY21 ADOPTED JUNE BOARD	AMENDMENT #1	AMENDMENT #2	PROPOSED FY21 CAPITAL BUDGET	Federal Funds	Federal De-allocate to Operating	State Funds	STA SOGR Funds	Members			Member Funds Total	Other Funds Total	TOTAL PROPOSED FY21 CAPITAL BUDGET
												San Francisco MTA	San Mateo SamTrans	Santa Clara VTA			
iii. OPERATIONAL IMPROVEMENTS/ENHANCEMENTS																	
4	Positive Train Control Litigation ³	S Bullock	-	6,600,000			6,600,000	-		-	-	-	-	-	-	6,600,000	6,600,000
5	Wayside Bike Parking Improvements ⁴	D Provence	4,000,000	349,322	1,040,000		1,389,322	-		-	-	-	-	-	-	1,389,322	1,389,322
27	Grade Crossing Hazard Analysis Data Collection	R Tam	-		200,000		200,000	-		-	-	200,000	-	-	200,000	-	200,000
28	FY21 Grade Crossing Safety Improvements Design	R Tam	-		500,000		500,000	-		-	-	500,000	-	-	500,000	-	500,000
29	EAM – Enterprise Asset Management software system	S Chao	-		750,000		750,000	-		-	-	-	750,000	-	750,000	-	750,000
30	Update and Upgrade GIS system	G Fleming	-		500,000		500,000	-		-	-	477,175	22,825	-	500,000	-	500,000
31	San Mateo Grade Crossing Improvements	R Tam	-		1,600,000	400,000	2,000,000	-		2,000,000	-	-	-	-	-	-	2,000,000
32	Broadway Burlingame Grade Separation ⁹	J Sharma	4,550,000		19,838,000		19,838,000	-		-	-	-	-	-	-	19,838,000	19,838,000
				6,949,322	24,428,000	400,000	31,777,322	-	-	2,000,000	-	1,177,175	772,825	-	1,950,000	27,827,322	31,777,322
iv. PLANNING/STUDIES																	
6	22nd St. ADA Feasibility Study ⁵	M Reggiardo	300,000	50,000	-		50,000	-		-	-	-	-	-	-	50,000	50,000
7	Business Plan ⁶	S Petty	5,537,118	509,157	-		509,157	-		-	-	-	-	-	-	509,157	509,157
33	Capital Planning (CIP)	M Reggiardo	750,000		1,250,000		1,250,000	-		-	-	-	500,000	750,000 *	1,250,000	-	1,250,000
34	San Francisco Station and Terminal Planning	M Reggiardo	-		1,000,000		1,000,000	-		-	-	1,000,000	-	-	1,000,000	-	1,000,000
35	Diridon and South Terminal Area	M Reggiardo	-		1,000,000		1,000,000	-		-	-	-	1,000,000 *	-	1,000,000	-	1,000,000
36	Rail Network and Operations Planning	M Reggiardo	-		1,250,000		1,250,000	-		-	-	-	1,250,000	-	1,250,000	-	1,250,000
37	Redwood City Station Planning	M Reggiardo	-		750,000		750,000	-		-	-	-	750,000	-	750,000	-	750,000
38	Caltrain Downtown Rail Extension (DTX)	A Simmons	-		60,000		60,000	-		-	-	-	-	-	-	60,000	60,000
39	System-wide Planning and Policy & Org Design	M Reggiardo	-		1,168,468		1,168,468	-		-	-	-	217,175	750,000 *	967,175	201,293	1,168,468
40	Capital Contingency Funds - Engineering		-		330,000		330,000	-		-	-	-	330,000	-	330,000	-	330,000
41	Capital Contingency Funds - Rail		-		660,000		660,000	-		-	-	-	660,000	-	660,000	-	660,000
42	Capital Program Management		-		335,000		335,000	-		-	-	-	335,000	-	335,000	-	335,000
43	Capital Project Development		-		335,000		335,000	-		-	-	-	335,000	-	335,000	-	335,000
				559,157	8,138,468	-	8,697,625	-	-	-	-	1,000,000	4,377,175	2,500,000	7,877,175	820,450	8,697,625
TOTAL				19,119,479	65,035,293	(1,820,000)	82,334,772	18,261,021	(2,220,000)	2,915,000	1,350,915	6,000,000	6,000,000	6,000,000	18,000,000	44,027,836	82,334,772

¹ Other funds includes project savings from the Los Gatos Bridge Replacement project (\$2,102,558) and from the San Mateo Bridge Replacement project (\$456,881) made up of Federal Section 5337 funds (\$1,421,946), prior years VTA funds (\$901,073) and SM funds (\$236,402) and deobligated Prop K funds (\$180,624)

² Insurance proceeds and/or Operating funds

³ Litigation costs funded by operating funds

⁴ San Carlos Transit Village LLC (\$149,322) and Bay Area Air Quality Management District (BAAQMD \$1,240,000)

⁵ Prior year SF member funds

⁶ Unspent funds from Project 100337 Mega Regional Rail Planning (FY19 \$75k) and from Project 100458 Service & Access Planning (FY20 \$434,157)

⁷ Request only for board authority; funding will begin upon commencement of the electrified service from designated operational savings

⁸ Section 130

⁹ SMCTA and City of Burlingame(\$1.5 million)

* identifies the projects that will be funded by VTA Measure B funds of \$2.5 million

RESOLUTION NO. 2020-

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

*** * ***

ADOPTING THE THIRD AND FOURTH QUARTERS FISCAL YEAR 2021 OPERATING BUDGET FOR A TOTAL FISCAL YEAR OPERATING BUDGET OF \$144,488,271, AMENDING TO DECREASE THE FISCAL YEAR 2021 CAPITAL BUDGET BY \$1,820,000 FOR A NEW CAPITAL BUDGET OF \$82,334,772 AND MAKING REQUIRED DECLARATIONS TO USE STATE RAIL ASSISTANCE AND STATE TRANSIT ASSISTANCE FUNDS FOR OPERATING PURPOSES TO MAINTAIN CALTRAIN SERVICE LEVELS

WHEREAS, the Joint Powers Agreement of the Peninsula Corridor Joint Powers Board (JPB) requires the Board of Directors (Board) to approve an 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 Covid-19 pandemic has caused Caltrain ridership levels to drop from 35,000 riders per day to 5,000 riders per day, which has significantly contributed to a projected deficit of \$22.3 million for the JPB's cumulative FY2021 operating budgets; and

WHEREAS, the State recently approved Assembly Bill 107 to allow transit agencies to redirect State Transit Assistance (STA) funds for State of Good Repair (SOGR) during FY 2020-2021 and FY 2021-2022 from capital to operating needs to maintain transit service levels where; and

WHEREAS, the JPB is an eligible project sponsor and may receive state funding from State Rail Assistance (SRA) now or sometime in the future for transit projects; and

WHEREAS, the California State Transportation Agency has developed guidelines for the purpose of administering and distributing SRA funds to eligible project sponsors, and the JPB desires to use SRA funds to support its operating needs; and

WHEREAS, the Executive Director recommends the Board of Directors take each of the actions listed below to (a) enable the JPB to access STA and SRA funds for operating purposes, (b) adopt a 3rd and 4th Quarter FY2021 Operating Budget, (c) amend to decrease the FY2021 Capital Budget to reflect the shift of funds from capital to operating uses and also to increase funds available for the Broadway Grade Separation Project.

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby adopts the 3rd and 4th Quarter Fiscal Year 2021 Operating Budget, a copy of which is attached hereto and incorporated herein as Attachment A, in the amount of \$66,426,029, for a new cumulative FY2021 Operating Budget of \$144,488,271; and

BE IT FURTHER RESOLVED that the Board amends to decrease the FY2021 Capital Budget by \$1,820,000 for a new total budget of \$82,334,772, attached hereto and incorporated herein as Attachment B; and

BE IT FURTHER RESOLVED that, consistent with Assembly Bill 107 and in light of Caltrain's COVID-19-related ridership loss and resulting financial impacts on the agency's operating revenues, the Board of Directors declares that the JPB will use STA SOGR funds for operating needs in FY 2020-21 and FY 2021-22 to maintain transit service

levels, and finds that expenditure of such STA funds for operating costs is necessary to prevent Caltrain transit service levels from being reduced or eliminated; and

BE IT FURTHER RESOLVED that the Board of Directors hereby authorizes the submittal of allocation requests to CalSTA to allow the JPB to access \$583,637 in Cycle 1 and \$5,300,000 in Cycle 2 SRA_funds to support the Operating Budget as set forth in the attached; and

BE IT FURTHER RESOLVED that the JPB agrees to comply with all conditions and requirements set forth in the applicable statutes, regulations and guidelines for all SRA funded transit projects; and

BE IT FURTHER RESOLVED that the Executive Director, or his designee, is requested to forward a copy of the 3rd and 4th Quarters FY2021 Operating Budget and Amended FY2021 Capital Budget to the JPB member agencies at the earliest practicable date; and

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

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

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: JPB Finance Committee

THROUGH: Jim Hartnett
Executive Director

FROM: Derek Hansel
Chief Financial Officer

SUBJECT: **AMENDING FINANCIAL RESERVE POLICY TO REQUIRE BALANCED BUDGETS**

ACTION

Staff Coordinating Council recommends that the Board of Directors (Board) adopt an amendment to the Peninsula Corridor Joint Powers Board (JPB) Operating Reserve Policy to require balanced operating budgets for a specified operating period. The proposed amendments to the Operating Policy, are shown as tracked changes in Attachment A.

SIGNIFICANCE

In Fiscal Year (FY) 2018, the JPB approved an operating budget reserve policy that would ensure that the agency can withstand major economic disruptions or unanticipated expenditure demands or revenue shortfalls prompted by unexpected events such as natural disasters, significant fuel cost increases or insurance losses.

Over the past year, the JPB has been faced with multiple challenges resulting from the COVID-19 pandemic. During the preliminary discussions about the FY2021 operating budget, JPB Board members requested that staff present a policy that requires a balanced budget. Staff proposes to amend the Financial Reserve Policy to include the requirement of a balanced budget for FY2021 and for the years to come.

Having a balanced budget reflects fiscal responsibility and is a fiscally prudent step in achieving short-term stability consistent with long-term objectives.

BUDGET IMPACT

There is no budget impact associated with amendment of this policy.

BACKGROUND

The Financial Reserve Policy was adopted by the board on September 1, 2017.

Prepared by: Ladi Millard-Olmeda, Director, Budgets

650.508.7755

Balanced Budget and Financial Reserve Policy

The Peninsula Corridor Joint Powers Board (JPB) shall adopt balanced operating budgets and ensure the following:

- Each operating budget will include revenues that are equal to or greater than expenditures for a specified operating period;
- Each operating budget will include revenue options and planned expenditure levels that are consistent with the JPB's mission to provide the best viable possible transportation services along the Caltrain rail corridor; and
- Operating budgets may include a variety of fund sources as needed to maintain the short-term stability of the JPB while also serving the agency's long-term objectives.

The ~~Peninsula Corridor Joint Powers Board (JPB)~~ shall maintain an Operating Reserve of at least 10 percent of the annual operating budget, and ~~that~~ the JPB shall strive to reserve up to 15 percent of the annual operating budget when possible.

Operating Reserve ~~These~~ funds are to remain unappropriated for any operating or capital use except to meet emergency needs that cannot be funded from any other source. The purpose of this reserve is to ensure that sufficient funds are always available in the event of either unavoidable expenditure needs or unanticipated revenue shortfalls that occur after approval of the budget. Operating Reserve funds also may be used to augment revenues to facilitate balanced operating budgets in cases of local, statewide or nationwide emergencies.

Surplus funds generated at the end of a fiscal year will automatically be included in the Operating Reserve.

Adopted: September 1, 2017

Proposed to be Amended: December 3, 2020

RESOLUTION NO. 2020 –

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

*** * ***

AMENDING THE FINANCIAL RESERVE POLICY TO REQUIRE BALANCED BUDGETS

WHEREAS, on July 6, 2017, pursuant to Resolution No. 2017-30, the Peninsula Corridor Joint Powers Board (JPB) adopted a Financial Reserve Policy that requires the agency to maintain a prudent level of operating reserves to ensure that sufficient funds are always available in the event of either unavoidable expenditure needs or unanticipated revenue shortfalls; and

WHEREAS, these funds are to remain unappropriated for any operating or capital use except to meet emergency needs that cannot be funded from any other source; and

WHEREAS, the JPB now desires to amend the Financial Reserve Policy to require the agency to adopt balanced operating budgets; and

WHEREAS, a "balanced budget" is defined as a budget where revenues are greater than or equal to the planned expenditures for a specified operating period; and

WHEREAS, under the amended policy, the JPB will be required to adopt balanced budgets that maintain short-term stability while also serving the JPB's long-term objectives by prioritizing expenditures consistent with the JPB's mission to provide transportation service to the riding public along the Caltrain service corridor; and

WHEREAS, the Executive Director recommends, and Staff Coordinating Council concurs, that the Board of Directors amend the JPB's Financial Reserve Policy

to require adoption of balanced operating budgets, as shown in Attachment A.

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby amends the JPB's Financial Reserve Policy to include a balanced operating budget requirement, as shown in Attachment A.

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

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: JPB Finance Committee

THROUGH: Jim Hartnett
Executive Director

FROM: Derek Hansel Michelle Bouchard
Chief Financial Officer Chief Operating Officer, Rail

SUBJECT: **AWARD OF CONTRACT FOR GRADE CROSSING IMPROVEMENTS PROJECT**

ACTION

Staff Coordinating Council recommends the Board:

1. Award a contract to the lowest, responsive and responsible bidder, Sposeto Engineering, Inc., of Livermore, California (Sposeto), for a total amount of \$336,050 for the Grade Crossing Improvements Project (Project).
2. Authorize the Executive Director, or his designee, to execute a contract with Sposeto, in full conformity with the terms and conditions set forth in the solicitation documents, and in a form approved by legal counsel.

SIGNIFICANCE

The Project's scope of work consists of furnishing all labor, equipment, and materials required to install safety improvements to five grade crossings along the Caltrain corridor as follows:

- 1st Ave., San Mateo
- 2nd Ave., San Mateo
- 3rd Ave., San Mateo
- Glenwood Ave., Menlo Park
- Oak Grove, Menlo Park

These grade crossings were in the top six (6) of the priority list from the Caltrain Grade Crossing Hazard Analysis Report. Glenwood Avenue was added instead of Oak Grove Avenue in Burlingame because of construction efficiency and cost savings in mobilization. In the previous Caltrain grade crossing improvements project in 2018, safety improvements were completed at five (5) grade crossings in Santa Clara County, four (4) in San Mateo County and one (1) grade crossing in San Francisco County.

The improvements include more clearly-marked pedestrian crossings with new paint striping and lettering, and pavement markers. The Project also calls for installation of a

fixed concrete median with flexible bollards to prevent motorists from driving around lowered crossing gates.

The Project is anticipated to be completed by the end of 2021.

BUDGET IMPACT

The Capital Budget approved by the Board of Directors in June 2020 included \$1.0 million for the Project, which covers this construction cost, and construction management and project administration costs. This Project will be completed with State Transit Assistance funds.

BACKGROUND

An Invitation for Bids (IFB) was advertised in a newspaper of general circulation and on the Peninsula Corridor Joint Powers Board's (JPB) procurement website. A 20% Small Business Enterprise (SBE) goal was assigned to this Project. Prior to releasing the IFB, extensive outreach for SBEs was conducted. Two potential bidders attended the pre-bid meeting and six bids were received as follows:

Company	Bid Amount	5% SBE Preference	Bid Amount with 5% SBE Preference applied
<i>Engineer's Estimate</i>	<i>\$700,491</i>	<i>N/A</i>	<i>N/A</i>
1. Sposeto Engineering, Inc., Livermore	\$336,050	\$16,802.50	\$319,247.50
2. Granite Rock Company, San Jose	\$360,300	\$16,802.50	\$343,497.50
3. Golden Bay Construction, Inc. Hayward	\$421,901	\$16,802.50	\$405,098.50
4. Chrisp Company, Fremont	\$495,100	N/A	\$495,100.00
5. RK Engineering, Inc., San Francisco	\$573,700	\$16,802.50	\$556,897.50
6. NBC Construction & Engineering, Inc., San Francisco	\$721,311	\$16,802.50	\$704,508.50

Sposeto submitted all required bid documentation. Staff has determined, and legal counsel concurred, that the bid submitted by Sposeto is responsive.

The bid from Sposeto was approximately 52 percent lower than the engineer's estimate. Staff believes the pricing difference is attributed to a competitive market for this type of work.

All bidders, except Chrisp Company, met the 20% SBE goal and were given a 5 percent SBE preference based on the lowest bid amount. Sposeto was the lowest bidder both before and after the SBE preference was applied.

Sposeto is an established regional contractor with more than 40 years of construction experience. Staff contacted Sposeto's references and confirmed its experience and competency. Sposeto has successfully completed projects for the City of San Bruno, the City of Redwood City, and the JPB. Based upon these findings, staff concludes that Sposeto is appropriately qualified and capable of meeting the requirements of the contract and is, therefore, the lowest, responsive, and responsible bidder.

Procurement Administrator II: Zaid Abdulmajeed
Project Manager: Robert Tam

650.622.7820
650.508.7969

RESOLUTION NO. 2020 –

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

* * *

**AWARDING A CONTRACT TO SPOSETO ENGINEERING, INC. FOR THE
GRADE CROSSING IMPROVEMENTS PROJECT FOR A TOTAL AMOUNT OF \$336,050**

WHEREAS, the Peninsula Corridor Joint Powers Board (JPB) issued an Invitation for Bids (IFB) for the Grade Crossing Improvements Project; and

WHEREAS, in response to the IFB, the JPB received six bids; and

WHEREAS, staff and legal counsel reviewed the bids and determined that Sposeto Engineering, Inc. of Livermore, California (Sposeto) is the lowest, responsive and responsible bidder; and

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

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby awards a contract to Sposeto Engineering, Inc. for the Grade Crossing Improvements Project for a total amount of \$336,050; and

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

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

AYES:

NOES:

ABSENT:

ATTEST:

Chair, Peninsula Corridor Joint Powers Board

JPB Secretary

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: JPB Finance Committee

THROUGH: Jim Hartnett
Executive Director

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

Derek Hansel
Chief Financial Officer

SUBJECT: **AUTHORIZATION TO ENTER INTO FUNDING AGREEMENTS WITH THE CALIFORNIA DEPARTMENT OF TRANSPORTATION FOR THE SAN MATEO GRADE CROSSING IMPROVEMENTS PROJECT AND AMEND THE FISCAL YEAR 2021 CAPITAL BUDGET FROM \$84,154,772 TO \$84,554,772**

ACTION

Staff Coordinating Council recommends the Board:

1. Authorize the Executive Director, or his designee, to enter into funding agreements with the California Department of Transportation (Caltrans) to receive up to \$2.0 million in Section 130 Rail Safety Infrastructure Improvements funds for grade crossing improvements at Fourth Avenue and Fifth Avenue in the City of San Mateo; and
2. Amend the Fiscal Year (FY) 2021 Capital Budget from \$84,154,772 to \$84,554,772 to increase board authority for the San Mateo Grade Crossing Improvements Project (Project) by another \$0.4 million for a total of \$2 million; and
3. Authorize the Executive Director, or his designee, to file any other required documentation and to take any other actions necessary to give effect to the resolution.

SIGNIFICANCE

The Peninsula Corridor Joint Powers Board (JPB) and the City of San Mateo (City) have been working cooperatively with the California Public Utilities Commission (PUC) and Caltrans to implement quad crossing gates at the Fourth and Fifth Avenue grade crossings to help prevent motorists from driving around down gate arms and across the tracks when a train is approaching. These needed safety improvements were initially

requested by the City and have been jointly agreed upon during a field diagnostic meeting between JPB, the City, PUC and Caltrans.

The design phase of the Project, currently estimated at \$2.0 million, is fully funded by the Section 130 program, and no matching funds are required. Once design is completed, the JPB and City will work with Caltrans and the PUC to fund the construction phase of the Project.

BUDGET IMPACT

The Fiscal Year 2021 Capital Budget previously included \$1.6 million in Section 130 funds for the Project based on preliminary estimates of funding availability from Caltrans. However, Caltrans recently approved an additional \$400,000 in grant funding for the Project; hence, staff is requesting a \$0.4 million budget increase for a total of \$2.0 million for the Project. This amendment would increase the FY2021 Capital Budget from \$84,154,772 to \$84,554,772 as presented in Amendment 2.

BACKGROUND

The PUC 130 Program provides funding for the elimination of hazards at existing at-grade railroad crossings. The goal of the program is to reduce the number and severity of accidents between trains and motorists, bicyclists, and pedestrians at crossings. Projects can be nominated by railroads or local jurisdictions and eligible projects are placed on a priority list based on accident history and the ability to improve safety. Annual funding allocations are determined and provided by Caltrans. Details of grants received through this program over the past ten years is provided in the table below.

County	Crossing	Year	Funding
Santa Clara	Castro and Rengstorff	2011	\$3,146,000
San Mateo	Brewster and 3rd Ave	2013	\$602,000
San Mateo	Broadway, Main and Whipple	2015	\$1,660,000
Santa Clara	Mary Avenue	2017	\$3,125,000
Santa Clara	Churchill Avenue	2019	\$2,250,000
San Mateo	4th and 5th Avenues	2020	\$2,000,000

Prepared by: Peter Skinner, Director, Grants and Fund Management 650.622.7818
 Robert Tam, Program Manager 650.508.7969

RESOLUTION NO. 2020-

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

* * *

**AUTHORIZING THE EXECUTION OF FUNDING AGREEMENTS WITH THE CALIFORNIA
DEPARTMENT OF TRANSPORTATION TO RECEIVE \$2,000,000 FOR THE SAN MATEO GRADE
CROSSING IMPROVEMENTS PROJECT AND AMEND THE FISCAL YEAR 2021 CAPITAL
BUDGET FROM \$84,154,772 TO \$84,554,772**

WHEREAS, the California Department of Transportation (Caltrans) awards grant funding, including through the Section 130 Rail Safety Infrastructure Improvements program (Section 130), to increase safety at railroad crossings, train stations, and tracks across the state; and

WHEREAS, the Peninsula Corridor Joint Powers Board (JPB) and the City of San Mateo (City) together with Caltrans and the California Public Utilities Commission (PUC) are working cooperatively to design and construct the San Mateo Grade Crossing Improvements Project (Project) which will make safety improvements at the Fourth Avenue and Fifth Avenue grade crossings in San Mateo; and

WHEREAS, Caltrans has awarded \$2,000,000 in Section 130 grants to the JPB to fund the design phase of the Project; and

WHEREAS, the Staff Coordinating Council (SCC) recommends the Board:

1. Authorize the Executive Director, or his designee, to execute agreements with Caltrans to receive \$2,000,000 in grant funds for the Project; and
2. Amend the FY2021 Capital Budget from \$84,154,772 to \$84,554,772 to increase board authority for the San Mateo Grade Crossing Improvements Project by another \$0.4 million for a total of \$2 million for the Project; and

3. Authorize the Executive Director, or his designee, to file any other required documentation and to take any other actions necessary to give effect to this resolution.

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

1. Authorize the Executive Director, or his designee, to execute agreements with Caltrans to receive \$2,000,000 in grant funds for the Project; and
2. Amend the FY2021 Capital Budget from \$84,154,772 to \$84,554,772 to increase board authority for the San Mateo Grade Crossing Improvements Project by another \$0.4 million for a total of \$2 million for the Project; and
3. Authorize the Executive Director, or his designee, to file any other required documentation and to take any other actions necessary to give effect to this resolution.

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

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTESTS:

Secretary

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: JPB Finance Committee

THROUGH: Jim Hartnett
Executive Director

FROM: Michelle Bouchard
Chief Operating Officer, Rail

SUBJECT: **CAPITAL PROJECTS QUARTERLY STATUS REPORT –
1st QUARTER FISCAL YEAR 2021**

ACTION

Staff Coordinating Council recommends the Board receive the Capital Projects Quarterly Status Report link to report: [Capital Projects Report](#)

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

650.622.8019



Quarterly Capital Program Status Report and DBE Status Report

Prepared for the December 03, 2020 Caltrain Board Meeting

1st Quarter FY2021: July 01, 2020 – September 30, 2020

Peninsula Corridor Joint Powers Board



TABLE OF CONTENTS

Capital Program - Budget Status Summary	1
Traffic Light Report	3
25th Avenue Grade Separation Project	4
Automatic Passenger Counters 4 th & King	6
BayShore Station Overpass Pedestrian Bridge Rehab Project	8
Broadband Communication	10
Burlingame Broadway Grade Separation Project <i>(Preliminary Design/Environmental Clearance)</i>	12
CCF and BCCF Virtualization Project	14
Churchill Avenue Grade Crossing	16
Energy Efficient Lighting at Caltrain Stations	18
F-40 Locomotive Mid-Life Overhaul Project	20
Grade Crossing Improvement FY 2019 & 2020	22
Guadalupe River Bridges Replacement and Extension Project <i>(Preliminary Design/Environmental Clearance)</i>	24
Marin and Napoleon Bridge Replacement Project	26
Mary Avenue Traffic Signal Project	28
MP-36 Locomotive Mid-Life Overhaul Project	30
Next Generation Visual Message Signs (VMS) & Pads	32
Railroad Communications System Project - FY2017	34
Railroad Communications System Project - FY2018	36
Railroad Communications System Project - FY2019	38
Rengstorff Avenue Grade Separation	40
Right of Way Fencing Project	42
South San Francisco Station Improvement Project	44
Station Enhancement and Renovation Project	46
Systemwide Signal System Rehabilitation Project - FY2019	48
Systemwide Track Rehabilitation Project – FY2019	50
Ticket Vending Machine Rehab Program Project	52
Wayside Bike Parking Improvement Project	54
DBE Status Report	57
Definition of Terms	58
Performance Status (Traffic Light) Criteria / Schedule Legend	59

Caltrain - Capital Program - Budget Summary

1st Quarter FY2021 - July 01, 2020 to September 30, 2020

All Costs in \$1,000's

Programs						
	FY2016	FY2017	FY2018	FY2019	FY2020	FY2021
1. Station and Intermodal Access	\$39,756	\$1,450	\$745	\$6,600	\$4,870	\$2,100
2. Right of Way / Signal & Communications	\$40,350	\$180,232	\$22,438	\$20,072	\$20,877	\$27,816
3. Rolling Stock	\$4,000	\$6,997	\$12,826	\$17,034	\$5,063	\$12,664
4. Operational Improvements/Enhancements	\$2,844	\$4,723	\$31,054	\$2,050	\$3,800	\$31,377
5. Planning and Studies	\$4,220	\$2,756	\$3,040	\$6,425	\$12,290	\$8,698
7. Legal Mandates & Required Enhancements	\$3,337	\$14,721	\$1,220	\$1,327	\$500	\$1,500
Total Board Approved Budget by FY	\$94,507	\$210,879	\$71,323	\$53,508	\$47,400	\$84,155

The FY2021 budget includes the Capital Budget approved at the October 2020 Board meeting.

The Caltrain Modernization Program is reported separately and not included in this quarterly report.

Some of the major projects in progress or completed include, but are not limited to the following:

Currently in Progress

- 25th Avenue Grade Separation Project
- Burlingame Broadway Grade Separation Project
- Caltrain Right of Way Fencing Project
- Churchill Avenue Grade Crossing
- Energy Efficient Lighting Retrofit
- Guadalupe River Bridge Replacement and Extension Project
- Marin and Napoleon Bridge Replacement Project
- Mary Avenue Traffic Signal Project
- MP-36 Locomotive Mid-Life Overhaul
- Rengstorff Avenue Grade Separation
- South San Francisco Station Improvements Project
- Station Enhancements and Renovation Project Systemwide
- Communication Rehabilitation Project Systemwide Signal Rehabilitation Project
- Systemwide Station Rehabilitation Project
- Systemwide Track Rehabilitation Project
- Systemwide Grade Crossing Improvement Project

Completed Projects

- F-40 Locomotive Mid-Life Overhaul Project
- Inward Facing Cameras on trains
- Los Gatos Bridge Replacement Project
- Sunnyvale Station Rehabilitation Project
- Upgrade CCF Equipment Room Cooling

Note: The "Total Board Approved Budget by FY" reflects the annual fiscal year capital budget approved by the Caltrain Board. This authorizes the amount that can be spent on projects. Unspent budget in a fiscal year may be carried forward to subsequent budget years.

TRAFFIC LIGHT REPORT

The following projects represent a sub-set of the total Capital Program and have been selected for inclusion into the Quarterly Report due to project value, operational significance, and/or impact on customers.

	SCOPE		SCHEDULE		BUDGET / COST		SAFETY		
	Q4FY20	Q1FY21	Q4FY20	Q1FY21	Q4FY20	Q1FY21	Q4FY20	Q1FY21	
25th Ave. Grade Separation Project									4
Automatic Passenger Counters 4th & King									6
BayShore Station Overpass Pedestrian Bridge Rehab Project									8
Broadband Communication									10
Burlingame Broadway Grade Separation Project (Preliminary Design/Environmental Clearance)									12
CCF and BCCF Virtualization Project									14
Churchill Avenue Grade Crossing									16
Energy Efficient Lighting at Caltrain Stations									18
F-40 Locomotive Mid-Life Overhaul Project									20
Grade Crossing Improvement FY 2019 & 2020									22
Guadalupe River Bridges Replacement and Extension Project (Preliminary Design/Environmental Clearance)									24
Marin and Napoleon Bridge Replacement Project									26
Mary Avenue Traffic Signal Project									28
MP-36 Locomotive Mid-Life Overhaul Project									30
Next Generation Visual Message Signs (VMS) & Pads									32
Railroad Communications System Project - FY2017									34
Railroad Communications System Project - FY2018									36
Railroad Communications System Project - FY2019									38
Rengstorff Avenue Grade Separation									40
Right Of Way Fencing Project									42
South San Francisco Station Improvement Project									44
Station Enhancement and Renovation Project									46
Systemwide Signal System Rehabilitation Project - FY2019									48
Systemwide Track Rehabilitation Project - FY2019									50
Ticket Vending Machine Rehab Program Project									52
Wayside Bike Parking Improvement Project									54

= Project On-Hold = No Issues = Notable Issues = Significant Issues

25th AVENUE GRADE SEPARATION PROJECT



SCOPE:



This project will raise the vertical alignment and provide grade separations between Hillsdale Boulevard and SR-92 in the City of San Mateo, including:

- Grade separating the 25th Avenue at-grade crossing.
- Construction of two new grade separated crossings at 28th and 31st Avenues.
- Perform relocation of the existing Hillsdale Caltrain station. The new station will be an elevated, center-board platform, located south of 28th Avenue.

Scope includes final design/environmental (CEQA and NEPA) clearance work and construction to replace the existing 25th Avenue at-grade crossing with a two-track elevated grade separation. The elevated rail alignment will require the relocation of the existing Hillsdale Caltrain Station northward to a location between 28th and 31st Avenues and will allow for new street connections between El Camino Real and Delaware Street at 28th and 31st Avenues in San Mateo, California.

Issues: None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2014	2015	2016	2017	2018	2019	2020	2021
				Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
002088 - 25th Avenue Grade Separation		16-Jul-14 A	30-Sep-21								
• Preliminary Engineering		16-Jul-14 A	31-Oct-15 A								
• Environmental Clearance		25-Sep-14 A	28-Oct-16 A								
• Final Design		02-Nov-15 A	09-Dec-16 A								
• Bid & Award		15-Nov-16 A	09-Aug-17 A								
• Construction		10-Aug-17 A	30-Jun-21								
• Project Close Out		01-Jul-21	30-Sep-21								

Progress:

Jul - Sep 2020

- (1) Completed construction of ramps and stairs.
- (2) MT1 completed and operational
- (3) Worked on 31st Ave soldier pile walls on west side of tracks
- (4) Coordinating with Clean Water CSM team for 30" sewer line work within JPB ROW
- (5) Continued lowering of 28th east side - Roadway/Structure Excavation
- (6) Continued working on removal of old tracks and ballast at MT-1 and MT-2
- (7) Continued excavation for parking lot.
- (8) Coordination with City for 25th Ave. stage construction work.
- (9) Ongoing work at Station House for amenities, platform fixtures.
- (10) Ongoing work at Borel Creek.

Future

Activities:

Oct - Dec 2020


- (1) Work to be completed on RWs 6B and 7B at 28th Ave.
- (2) Complete roadway excavation on 31st Ave.
- (3) Coordination with PG&E and Utilities for work related to new signals, PTC house, Intermediate Signals and Station House.
- (4) Discussion/NTP for potential sewer line work at 31st Ave.
- (5) Subgrade preparation for parking lots.

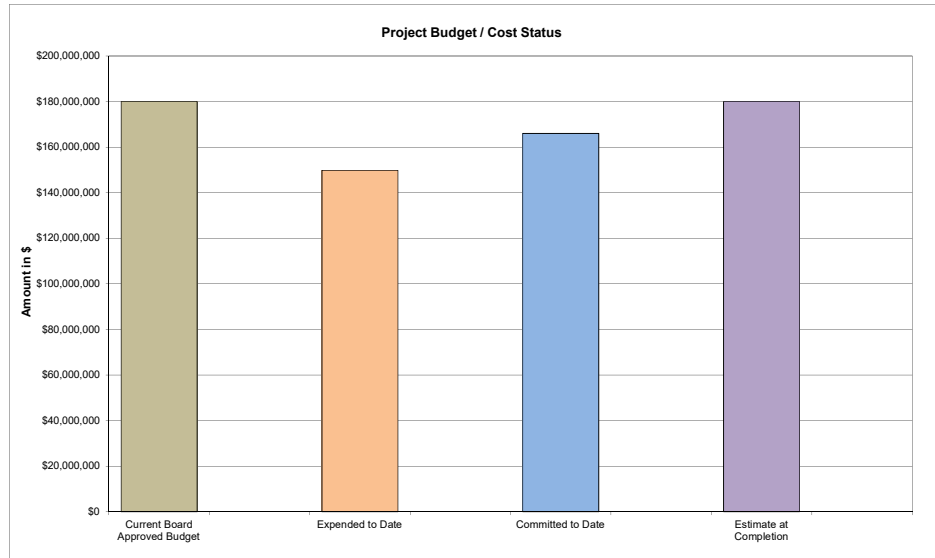
Issues:

- (1) Project Budgets need to be reviewed.
- (2) Approximately \$2M needs to be reimbursed from PCEP for OCS work performed on the project.
- (3) Calwater Agreement for work on 28th and 25th Ave - needs to be executed (can cause potential schedule impacts to project).
- (4) Coordination with PG&E for power to new station house.
- (5) Coordination with City of San Mateo for 25th Ave Stage Construction Work.

25th AVENUE GRADE SEPARATION PROJECT

BUDGET:

	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
 Total Project	\$180,000,000	\$149,818,836	\$166,041,040	\$180,000,000	\$0



Issues: None.

SAFETY: (1) One incident occurred – employee was dizzy, stood up and fell back hurting his head.



Automatic Passenger Counters at 4th & King



SCOPE: This project will be for the design and installation of Automatic Passenger Counters (APC) at the platform doors at the Caltrain 4th & King station. Included will be the design of the hardware installation of the APC at 4th & King and the software implementation to retrieve the APC data and analyze it remotely. A contractor will be selected through an IFB process to install the APC equipment at 4th & King.

Issues: None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2020				2021					
				Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
100445	Automatic Passenger Counters at 4th & King	01-Dec-19 A	30-Sep-21										
	Bid & Award	01-Dec-19 A	31-Dec-20										
	Construction	31-Dec-19 A	30-Jun-21										
	Project Close Out	01-Jul-21	30-Sep-21										

Progress:

- Jul - Sep 2020
- (1) Worked on the agreement and finalized the contract with designer.
 - (2) Subcontractor reviewed the work.
 - (3) Received approval from management to proceed with the contract with Centum Adetel for the procurement of the APC system.
 - (4) Contracts & Procurement sent Centum Adetel the agreement for their review.

Future

Activities:

- Oct - Dec 2020
- (1) Award the Contract to Centum Adetel .
 - (2) Submit TASI WDPR, ICE and Scope to Contract & Procurement.

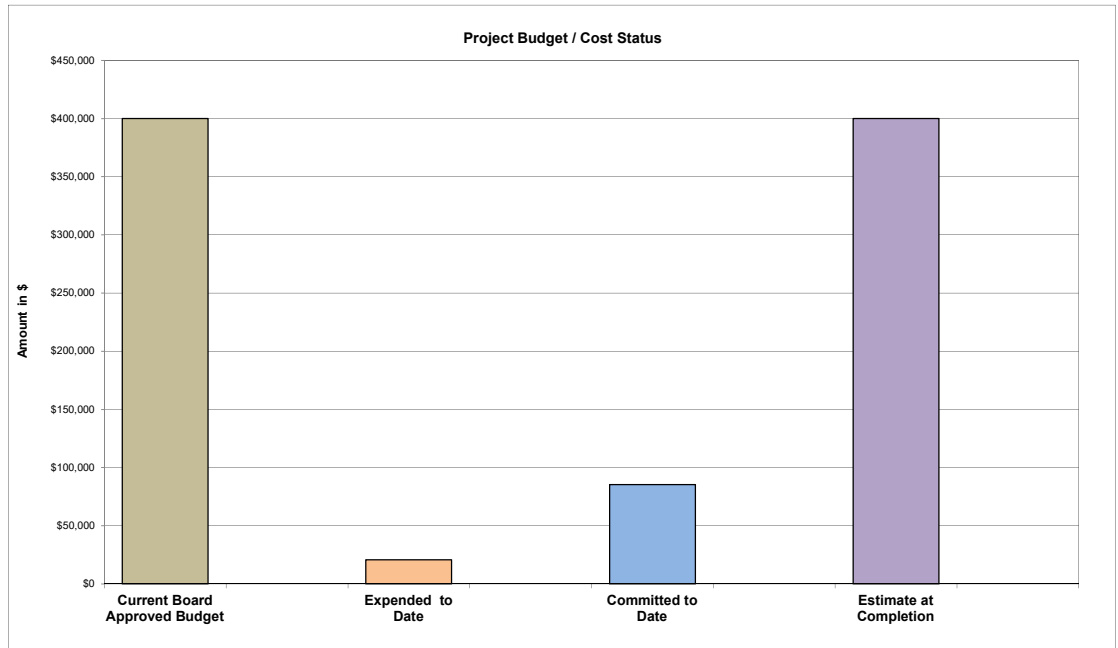
Issues: None.

Automatic Passenger Counters at 4th & King

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$400,000	\$20,798	\$85,302	\$400,000	\$0



Issues: None.

SAFETY:



No incidents reported this quarter.

BAYSHORE STATION OVERPASS PEDESTRIAN BRIDGE REHAB PROJECT

SCOPE	SCHEDULE	BUDGET/COST	SAFETY
			

SCOPE:



The Project scope consists of the removal and replacement of existing paint coatings on the steel surfaces of the pedestrian bridge and stairs at the Caltrain Bayshore Station in San Francisco.

Issues:

(1) Funding may not be enough - considering the latest revised construction estimate and previous bids of 2015.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2020				2021			
				Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
100439 - Bayshore Overpass Rehabilitation		01-Feb-20 A	28-Feb-22								
Constructability		01-Feb-20 A	31-Jul-20 A								
Bid & Award		01-Aug-20 A	31-Mar-21								
Construction		01-Apr-21	31-Dec-21								
Project Close Out		01-Jan-22	28-Feb-22								

Progress:

Jul - Sep 2020

- (1) Constructability review team on board.
- (2) Working with design consultant to edit the scope of work, cost estimate and construction schedule.
- (3) Had meeting with City of Brisbane and SFCTA regarding this upcoming project and schedule.
- (4) Working with Operations team for revising specifications related to work hours, track access, on track safety envelope requirements as per new guidelines.

Future

Activities:

Oct - Dec 2020

- (1) Finish specifications changes and constructability review.
- (2) Work with C&P team for IFB and Advertisement of Contract.

Issues:

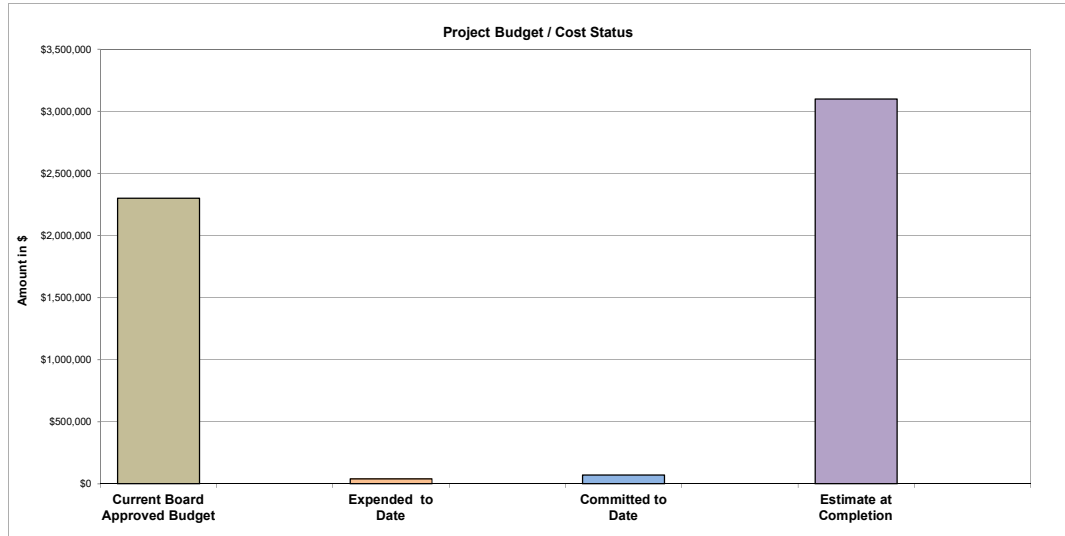
Project schedule slipped by two months as per Project Manager's latest analysis.

BAYSHORE STATION OVERPASS PEDESTRIAN BRIDGE REHAB PROJECT

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$2,300,000	\$40,363	\$70,530	\$3,100,000	(\$800,000)



Issues: None.

SAFETY: No incidents reported this quarter.



Broadband Communication



SCOPE: The project will design a broadband wireless communications system along the Caltrain corridor for the wayside train maintenance diagnostics and passenger WiFi service. The project will investigate leveraging the existing infrastructure such as the Overhead Contact System (OCS) poles and JPB fiber network to communicate with passing trains. Wayside antennas may be mounted on the OCS poles at a constant interval to communicate with moving trains that will be equipped with radios and antennas.

The current project scope is for the design only.

Issues: None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2020				2021				
				Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	
100403	Broadband Communication	11-Nov-19 A	30-Jun-21									
	▣ Bid & Award	11-Nov-19 A	31-Oct-20									
	▣ Construction	01-Nov-20	31-Mar-21									
	▣ Project Close Out	01-Apr-21	30-Jun-21									

Progress:

- Jul - Sep 2020
- (1) Resumed the design by providing the consultant the results of the project objectives and alternative analysis.
 - (2) Started to set up the RF simulation for the RF study.
 - (3) Surveyed the EMU in Salt Lake City.
 - (4) Presented the RF study and cost estimate to the stakeholders.
 - (5) Submitted the report for the EMU site visit in Salt Lake City that included a conceptual design for the onboard equipment.
 - (6) Worked on the amendment to the design work directive to go from conceptual to final design.

Future

Activities:

- Oct - Dec 2020
- (1) Amend the work directive to go from conceptual design to final design.
 - (2) Coordinate the EMU onboard work for the Broadband project with Stadler.
 - (3) Start the discussion with Capital Corridor to use their Master WiFi Agreement for the onboard train installation.

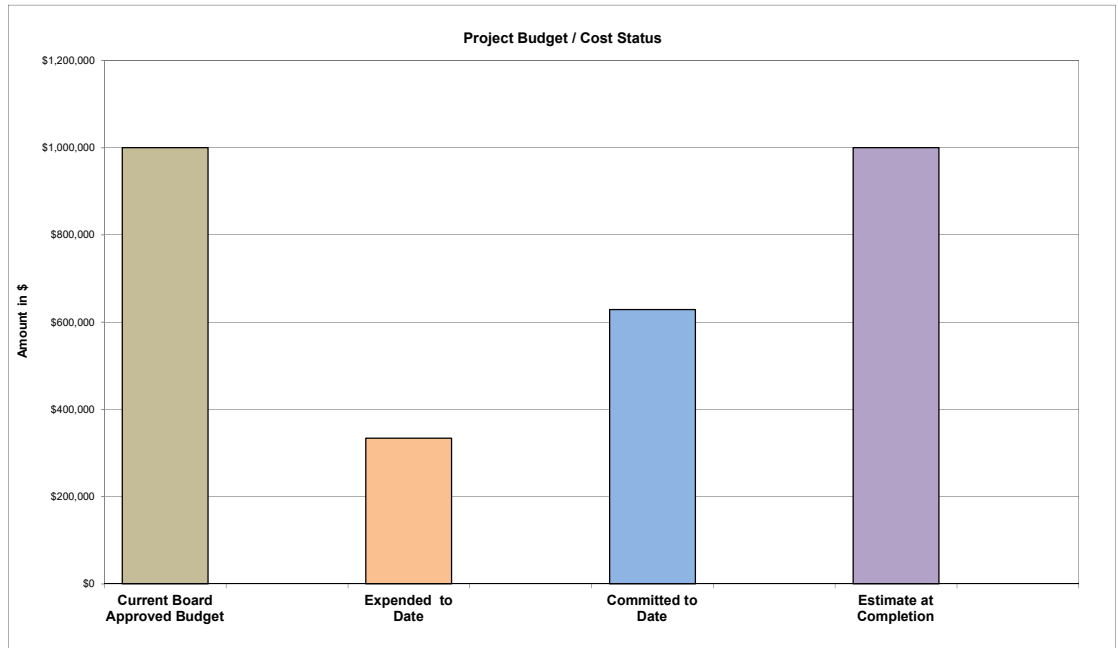
Issues: None.

Broadband Communication

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$1,000,000	\$334,248	\$628,844	\$1,000,000	\$0



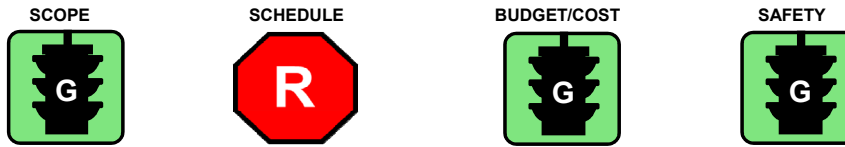
Issues: None.

SAFETY:



No incidents reported this quarter.

**BURLINGAME BROADWAY GRADE SEPARATION PROJECT
(Preliminary Design/Environmental Clearance)**



SCOPE:

This project will grade separate the Broadway railroad crossing in the City of Burlingame by partially elevating the rail and partially depressing the roadway. The elevated rail alignment will require the reconstruction of the Broadway Caltrain Station. Reconstruction of the Broadway Caltrain Station will remove the operational requirement of the hold-out rule.

The current scope for this project specifically is to complete the 35% preliminary design and obtain CEQA and NEPA environmental clearance needed to grade separate the Broadway at-grade crossing as described above.

Issues: None.

SCHEDULE:

Activity ID	Activity Name	Start	Finish	2017											
				2018				2019				2020			
				Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2
100244 - Burlingame Broadway Grade		18-Dec-17 A	15-Oct-20												
+	Preliminary Engineering 35%	18-Dec-17 A	30-Oct-19 A												
+	Environmental Clearance	01-Dec-19 A	15-Oct-20												

Progress:

Jul - Sep 2020

- (1) Continued meeting with stakeholders.
- (2) Negotiations completed with highest-ranking consultant team and in coordination with C&P.
- (3) Working with Environmental Team for FTA NEPA clearance process.
- (4) Working on the process to go for November 2020 board meeting for Final Design phase.

Future

Activities:

Oct - Dec 2020

- (1) Continue meeting with stakeholders.
- (2) Finalize the negotiation for "final design phase", work with C&P for staff report and resolution.
- (3) Complete Environmental Clearance.
- (4) Work with SMCTA for finalizing the MOU of final design phase - MOU execution contingent on environmental clearance.
- (5) Target to go for November 2020 board meeting for Final Design phase.

Issues:

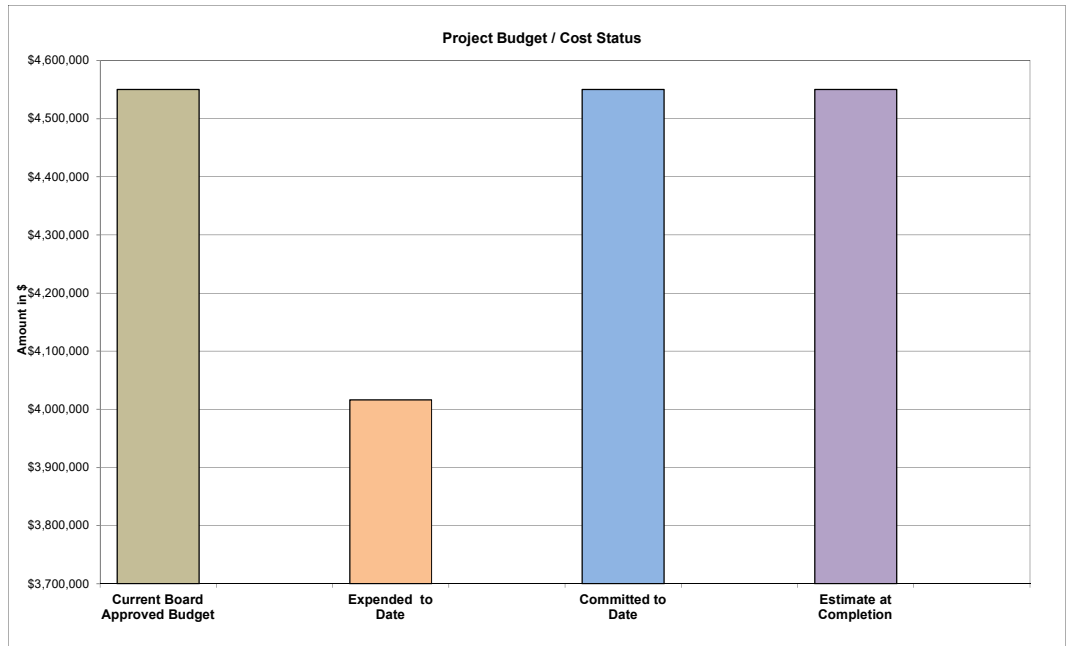
Schedule delay is due to the coordination of an additional environmental clearance community outreach meeting with the City of Burlingame. It is anticipated that Final Design will be added to the scope of this project and is contingent on the Board approving the additional funding.

**BURLINGAME BROADWAY GRADE SEPARATION PROJECT
(Preliminary Design/Environmental Clearance)**

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$4,550,000	\$4,016,154	\$4,550,000	\$4,550,000	\$0



Issues: None.

SAFETY: No incidents reported this quarter.



CCF AND BCCF VIRTUALIZATION PROJECT



SCOPE:



The Scope of the CalTrain Virtualization Project is to migrate the datacenters supporting rail operations to a single virtual platform. This effort will include the primary and secondary data centers.

Issues: None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2020				
				Q1	Q2	Q3	Q4	Q1
100430 - CCF and BCCF Virtualization		10-Feb-20 A	12-Feb-21					
+	Planning	10-Feb-20 A	06-Mar-20 A	█				
+	Execution	09-Mar-20 A	22-Jan-21		█	█		
+	Migration	10-Aug-20 A	22-Jan-21				█	█
+	Project Close Out	25-Jan-21	12-Feb-21					█

Progress:

Jul - Sep 2020

- (1) Met with CDWG (consultant firm) to review Phase 1 Scope of Work(SOW) and Caltrain's team reviewed and provided comments on the Phase 1 SOW.
- (2) Discovery phase has started.
- (3) Reviewed the tools for this phase.
- (4) Reviewed and provided detailed documentation to CDWG for the Arinc and Wabtec environment.
- (5) SOW is finalized.
- (6) Greenlight to begin the work.

Future

Activities:

Oct - Dec 2020

- (1) Install the Discovery tools in both Data Centers.
- (2) Begin to poll the devices (Physical and Virtual).
- (3) Conduct working session to build a road map for successful virtualization and re-architecting the network to support that effort.

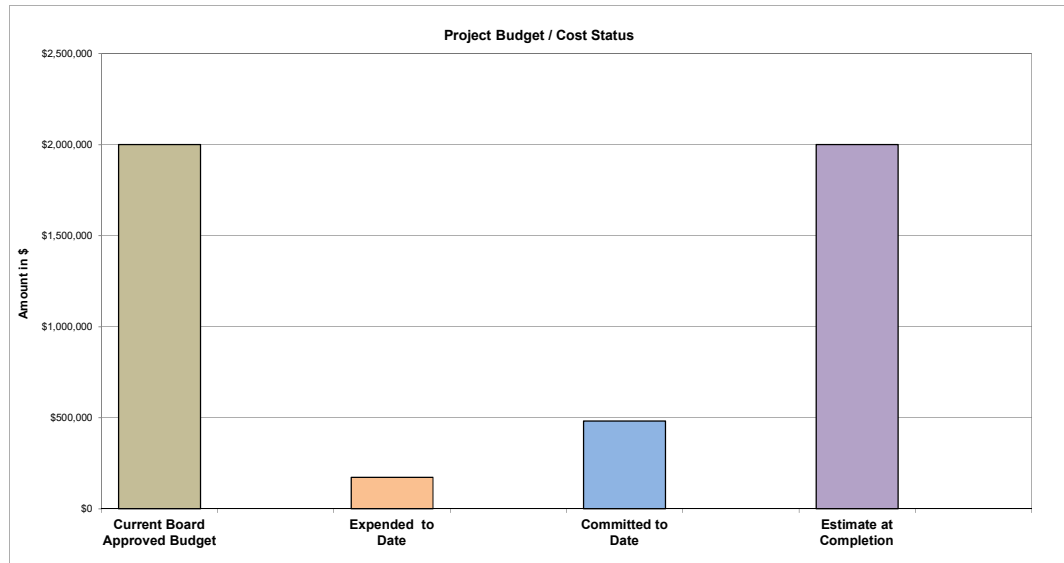
Issues: Project Schedule might be delayed due to the COVID-19.

CCF AND BCCF VIRTUALIZATION PROJECT

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$2,000,000	\$173,205	\$482,279	\$2,000,000	\$0

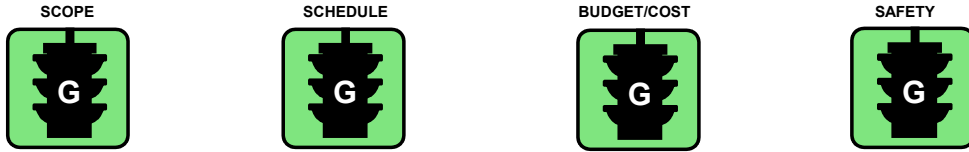


Issues: None.

SAFETY: No incidents reported this quarter.



CHURCHILL AVENUE GRADE CROSSING



SCOPE:



The scope includes the widening of the sidewalk to accommodate heavy bike and pedestrian traffic from local schools; relocate the pedestrian crossing gates due to the widened sidewalk; install new pavement marking and markers for vehicular traffic at the Churchill avenue grade crossing in Palo Alto.

Issues: None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	Timeline													
				2019			2020				2021				2022		
				Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3
100426 - Churchill Avenue Grade Cross		01-Sep-19 A	30-Jul-22														
▣ Preliminary Engineering		01-Sep-19 A	30-Nov-20														
▣ Procurement		01-Dec-20	31-May-21														
▣ Construction		01-Jun-21	01-Mar-22														
▣ Project Close Out		02-Mar-22	30-Jul-22														

Progress:

Jul - Sep 2020 (1) The City of Palo Alto hired a design consultant for their portion of the grade crossing improvements.

Future

Activities:

Oct - Dec 2020 (1) Conduct the kick off meeting with the city of Palo Alto to establish the scope of work and coordinate the designs.

Issues:

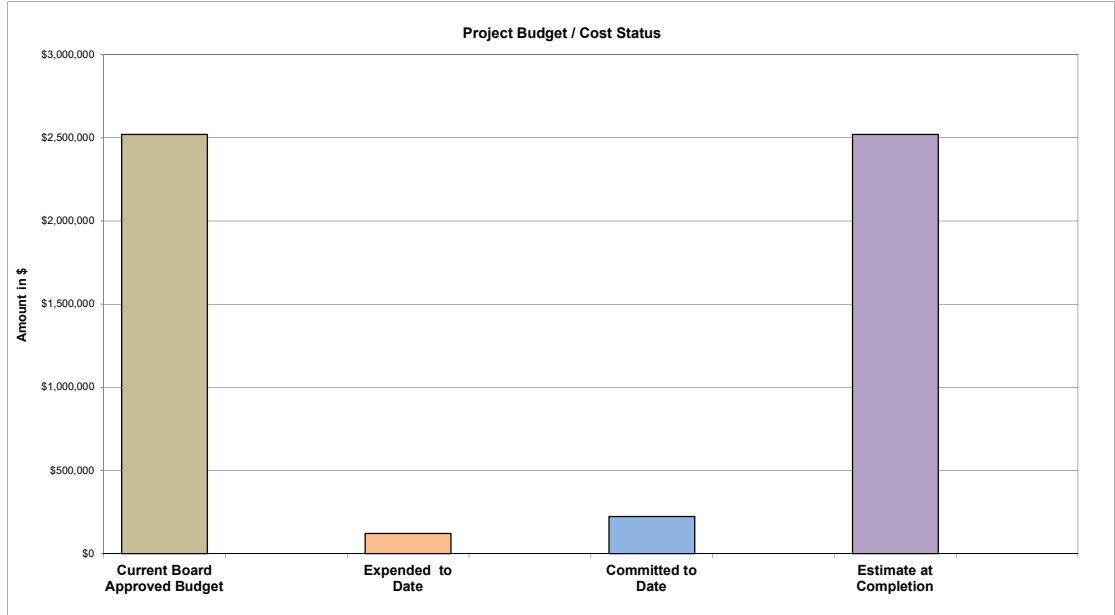
- (1) The City of Palo Alto is behind schedule for hiring a design consultant and starting their design which our design needs to be coordinated with. Project schedule will be updated next quarter.
- (2) We are waiting to hold a kick off meeting with our designer to coordinate the designs. Our 35% design is on hold until then.

CHURCHILL AVENUE GRADE CROSSING

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$2,520,000	\$121,227	\$222,860	\$2,520,000	\$0



Issues: None.

SAFETY: No incidents reported this quarter.



ENERGY EFFICIENT LIGHTING AT CALTRAIN STATIONS



SCOPE: The project will retrofit lights located on platforms, passenger shelters, pedestrian underpasses, parking lots and other buildings at 20 Caltrain stations. The efficient light-emitting diode (LED) lights are expected to reduce electricity costs and will reduce maintenance costs due to longer expected product lifetimes.

Issues: None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2019				2020			
				Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
100443	Energy Efficient Lighting at Caltrain Stations	01-Jan-19 A	01-Dec-20								
	Bid & Award	01-Jan-19 A	13-Jun-19 A								
	Construction	14-Jun-19 A	31-Dec-19 A								
	Project Close Out	01-Jan-20 A	01-Dec-20								

Progress:

Jul - Sep 2020 (1) Project has been completed.

Future

Activities:

Oct - Dec 2020 **Note: This will be the last report for the project.**

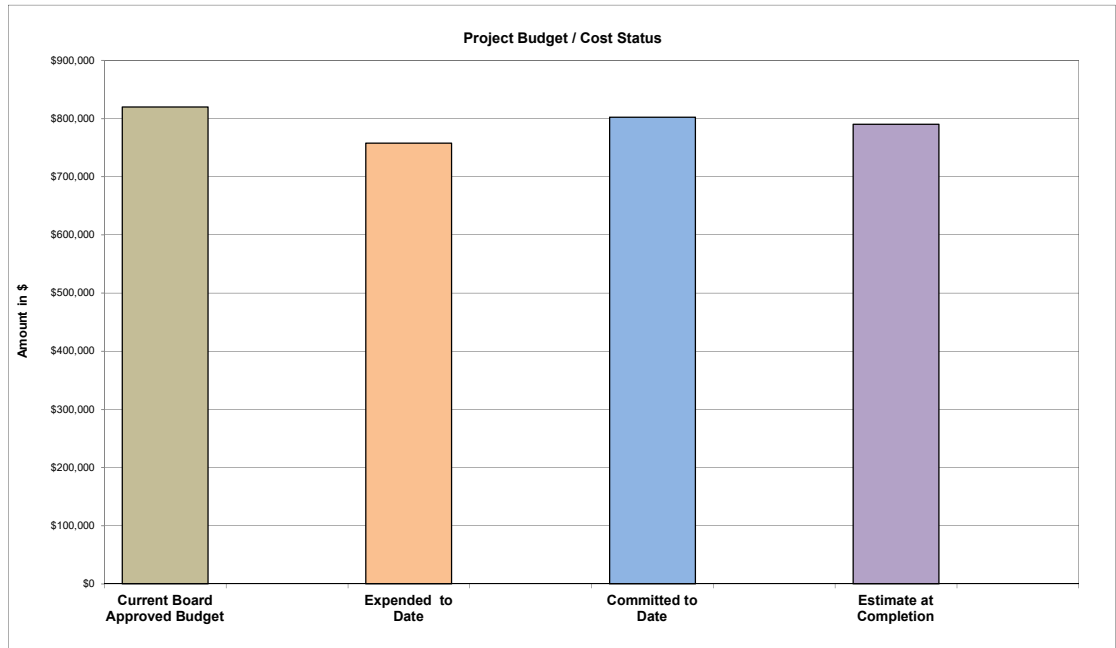
Issues: None.

ENERGY EFFICIENT LIGHTING AT CALTRAIN STATIONS

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$820,000	\$757,596	\$802,500	\$790,000	\$30,000



Issues: None.

SAFETY:



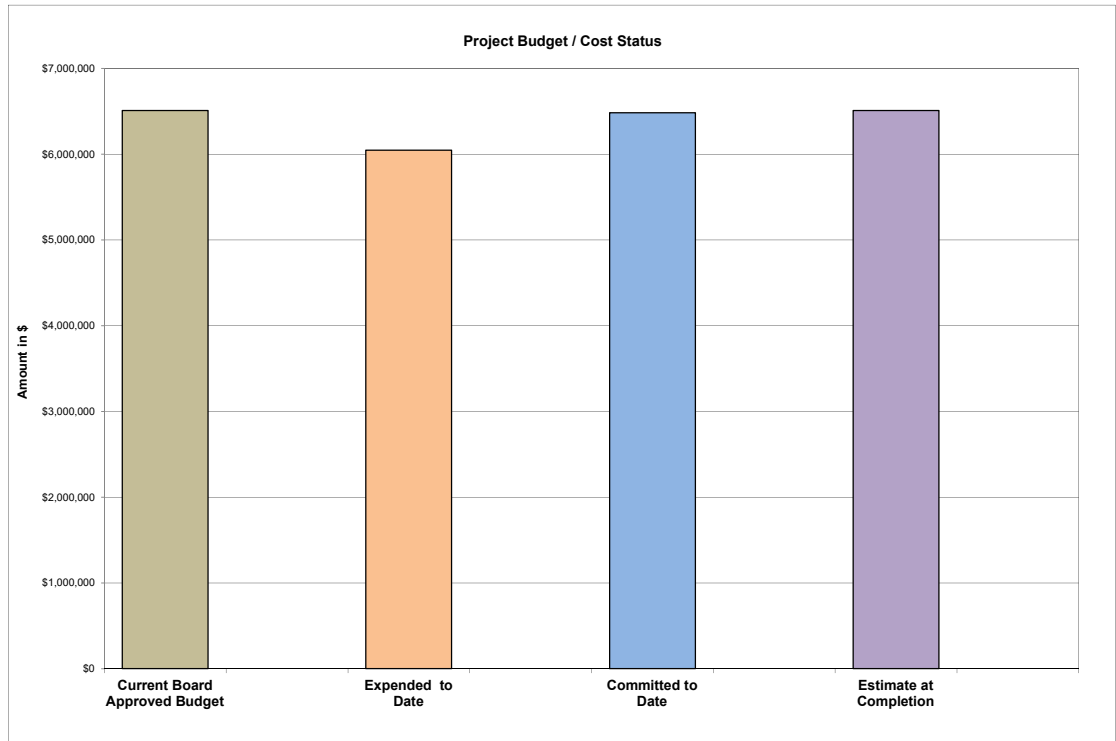
No incidents reported this quarter.

F-40 LOCOMOTIVE MID-LIFE OVERHAUL PROJECT

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$6,510,000	\$6,045,820	\$6,482,418	\$6,510,000	\$0



Issues: None.

SAFETY:



No incidents reported this quarter.

FY19 & 20 GRADE CROSSING IMPROVEMENTS PROJECT



SCOPE:



This project is the continuation of the Caltrain Grade Crossing Improvement Program. The project will include the design, bid & award process, installation of medians, pavement markers and markings to deter motorists from driving around a down gate or stopping on top of the tracks and turning onto the tracks.

The FY2019 and FY2020 funding will be used to improve the safety at the following five grade crossings:

San Mateo

- > 1st Avenue
- > 2nd Avenue
- > 3rd Avenue

Menlo Park

- > Glenwood
- > Oak Grove in Menlo Park.

Issues: None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2019 2020 2021																			
				Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4								
100333 - FY19 & 20 Grade Crossing Imp		01-Apr-19 A	30-Nov-21																				
+ Final Design		01-Apr-19 A	30-Jun-20 A																				
+ Bid & Award		01-Jul-20	31-Dec-20																				
+ Construction		01-Jan-21	31-Jul-21																				
+ Project Close Out		01-Aug-21	30-Nov-21																				

Progress:

Jul - Sep 2020

- (1) Worked with Contracts & Procurement on the development of the IFB for advertisement.
- (2) Contracts & Procurement advertised the IFB.
- (3) Conducted the Pre-bid conference where two bidders attended. No questions were submitted for the IFB from the bidders.

Future

Activities:

Oct - Dec 2020

- (1) Receive bids.
- (2) Complete Bid & Award phase.

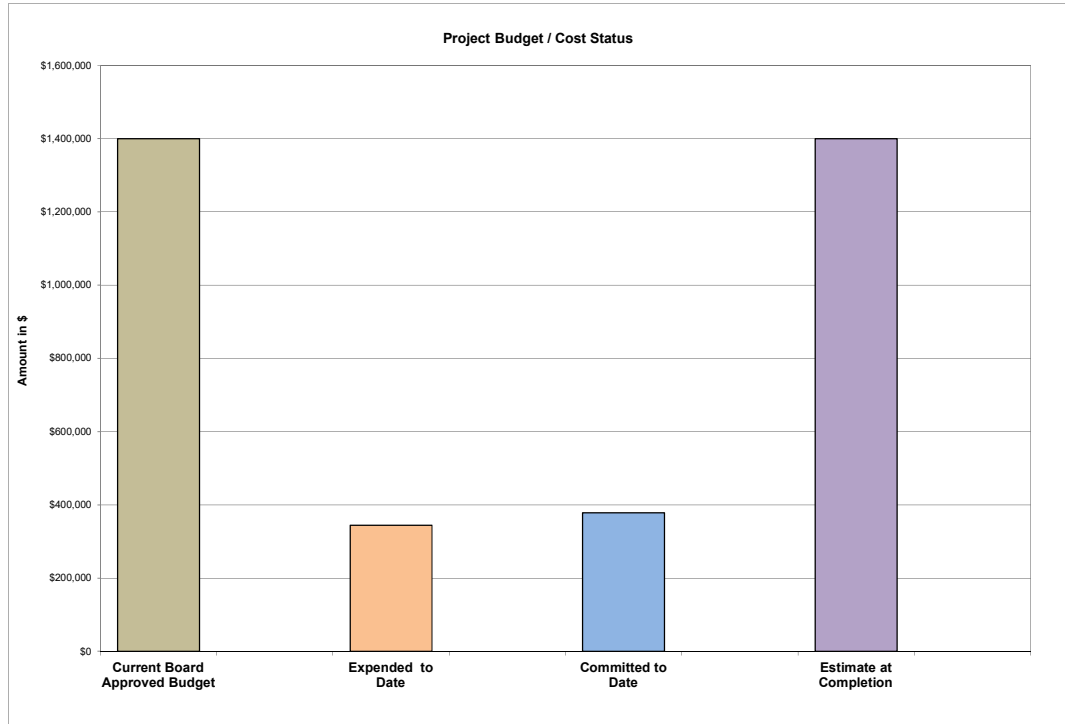
Issues: None.

FY19 & 20 GRADE CROSSING IMPROVEMENTS PROJECT

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$1,400,000	\$344,461	\$378,585	\$1,400,000	\$0



Issues: None.

SAFETY: No incidents reported this quarter.



**GUADALUPE RIVER BRIDGES REPLACEMENT AND EXTENSION PROJECT
(Preliminary Design/Environmental Clearance)**



SCOPE:

The purpose of the project is to address the geomorphic instability of the Guadalupe River channel in the vicinity of the two rail bridges, MT1 and MT2, over Guadalupe River in San Jose; and address the structural deficiencies of MT-1 Bridge to provide for long-term public safety and service reliability.

To stabilize the river channel and the structural conditions of the trestle, the project proposes to widen the channel to reduce scour and risk to bridge structures, replace MT1 with new longer bridge and extend MT2 at the south end.

The project is currently in preliminary design (65%) and in preparation of environmental studies for CEAQ and NEPA clearance.

The current scope, budget an estimate at completion is through final design only.

Issues: None.

SCHEDULE:

Activity ID	Activity Name	Start	Finish	Timeline															
				2017	2018				2019				2020				2021		
				Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	
002113 - Guadalupe Bridge Replacement		21-Aug-17 A	31-Dec-21																
Preliminary Engineering 35%		21-Aug-17 A	30-Apr-20 A																
Preliminary Engineering 65%		11-May-20 A	30-Nov-20																
Environmental Clearance		07-Aug-18 A	31-Mar-21																
Final Design/ROW Clearance		01-Dec-20	31-Dec-21																

Progress:

Jul - Sep 2020

- (1) Presented results of the hydraulics analysis and project status update to RWQCB and obtained RWQCB's concurrence on the project approach.
- (2) Completed alternative fiber optic relocation concept per UPRR's request.
- (3) Began review of title reports, and resolve boundaries for Temporary Construction Easements needed from Santa Clara Valley Water District.
- (4) Finalized risk registry
- (5) Reviewed OCS staging needs with PCEP. Discussed with internal stakeholders on the OCS staging plans, and the associated System and Rail operations requirements.
- (6) Completed technical studies for environmental review, including construction staging and sequencing, utility impact, right-of-way impact, stormwater treatment and dewatering strategies.
- (7) Began CEQA outreach planning.
- (8) Continued to advance project to 65% design.
- (9) Continued to coordinate with project stakeholders including SCVWD, UPRR, Utility Owners and FTA on project needs.
- (10) Continued to coordinate with PCEP project for potential conflicts and project needs.
- (11) Continued the preparation of Initial Study/Mitigated Negative Declaration (IS/MND).

Future

Activities:

Oct - Dec 2020

- (1) Select fiber optics relocation option with Union Pacific.
- (2) Begin preparation of wetland report, and Section 7 Consultation.
- (3) Finalize stage construction plans and schedules for one vs. two years of construction.
- (4) Select one or two seasons in-channel construction seasons for permit applications.
- (5) Obtain JPB approval on design variances.
- (6) Continue to coordinate with project stakeholders.

Issues:

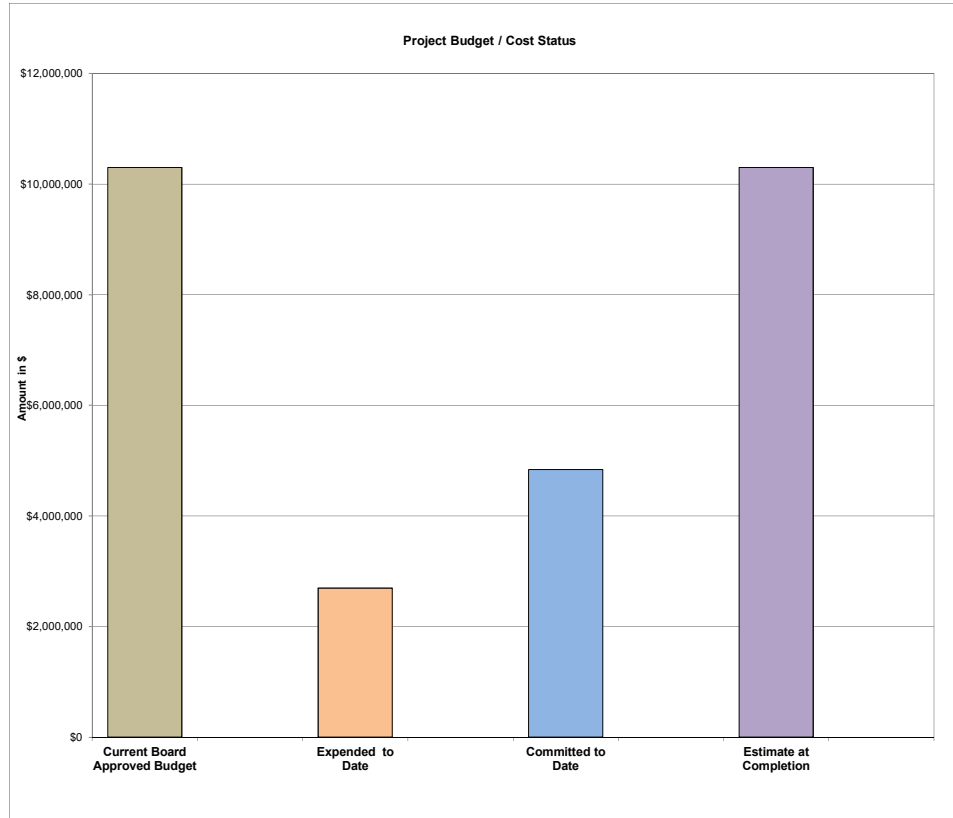
- (1) Potential design contract amendment and extension is needed for work to be completed beyond the current design contract expiration date.
- (2) Design and relocation of the conflicting OCS poles will add cost and time to the project schedule.

**GUADALUPE RIVER BRIDGES REPLACEMENT AND EXTENSION PROJECT
(Preliminary Design/Environmental Clearance)**

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$10,300,000	\$2,695,805	\$4,838,684	\$10,300,000	\$0



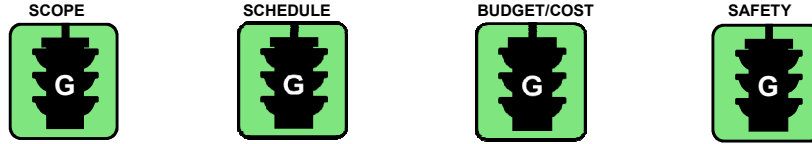
Issues: None.

SAFETY:



No incidents reported this quarter.

MARIN AND NAPOLEON BRIDGE REPLACEMENT PROJECT



SCOPE:



Marin Street and Napoleon Avenue bridges are located at MP 2.35 and MP 2.45 respectively in the City and County of San Francisco.

Project Scope is for:

- (1) Marin Street Bridge - Improve safety and security, maintain the bridge at a state of good repair, and improve worker safety.
- (2) Napoleon Street Bridge - improve safety and security, minimize future maintenance repairs, and replace deficient bridge components by removing the 4 short bridge spans not located over box culvert and replace with earth berm, replacing the main center steel bridge with precast concrete girders and adding new wing walls.
- (3) Additional trackwork to replace the rail on MT1 and MT2 from approximate MP 2.10 to MP 2.63.

Issues:

None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	Timeline (2015-2022)																									
				2015 Q1	2015 Q2	2015 Q3	2015 Q4	2016 Q1	2016 Q2	2016 Q3	2016 Q4	2017 Q1	2017 Q2	2017 Q3	2017 Q4	2018 Q1	2018 Q2	2018 Q3	2018 Q4	2019 Q1	2019 Q2	2019 Q3	2019 Q4	2020 Q1	2020 Q2	2020 Q3	2020 Q4	2021 Q1	2021 Q2
002080 - Marin Street & Napoleon Bridge Closure		01-Dec-14 A	31-Dec-21	[Timeline bar from Dec 2014 to Dec 2021]																									
Preliminary Engineering		01-Dec-14 A	30-Apr-16 A	[Timeline bar from Dec 2014 to Apr 2016]																									
Engineering Design		01-May-16 A	31-Aug-19 A	[Timeline bar from May 2016 to Aug 2019]																									
Revised Final Design		06-Jan-20 A	15-Feb-20 A	[Timeline bar from Jan 2020 to Feb 2020]																									
Bid & Award		16-Feb-20 A	09-Jul-20 A	[Timeline bar from Feb 2020 to Jul 2020]																									
Construction		01-Aug-20 A	31-Aug-21	[Timeline bar from Aug 2020 to Aug 2021]																									
Project Close Out		01-Sep-21	31-Dec-21	[Timeline bar from Sep 2021 to Dec 2021]																									

Progress:

Jul - Sep 2020

- (1) Obtained City of SF Major Encroachment Permit and SFPUC Consent letter for work at Napoleon Street.
- (2) Contract awarded to Proven Management at July 9, 2020 board meeting.
- (3) LNTP was issued on Aug 10, 2020 and Pre-Construction meeting was held on Aug 21, 2020.
- (4) Reviewing submittals/shop drawings and RF'Is from the contractor.
- (5) Ongoing coordination with DPW and PUC for permits.

Future

Activities:

Oct - Dec 2020

- (1) Coordinate with City and Department of Homeless for Evacuation and Clean up of sites.
- (2) Continue coordination with DPW and PUC for permits.
- (3) Continue construction activities.

Issues:

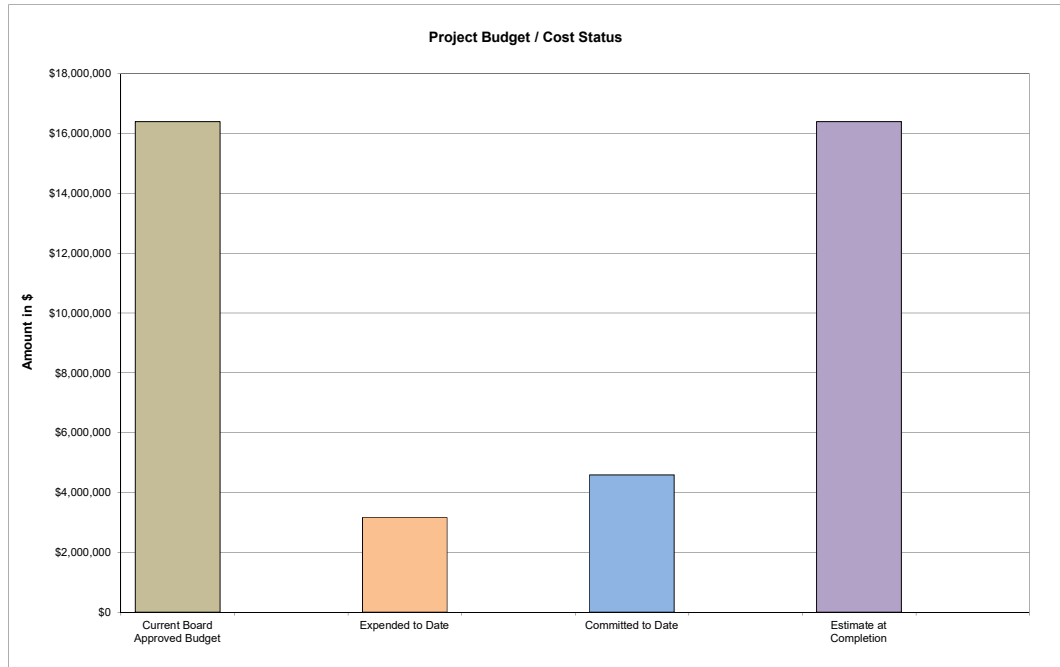
Received an approved baseline from the contractor. Project schedule was rebaselined this quarter.

MARIN AND NAPOLEON BRIDGE REPLACEMENT PROJECT

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$16,400,000	\$3,161,951	\$4,586,373	\$16,400,000	\$0



Issues: None.

SAFETY:



No incidents reported this quarter.

MARY AVENUE TRAFFIC SIGNAL PREEMPTION PROJECT



SCOPE:

Caltrain will install an advance signal preemption system at the Mary Avenue grade crossing to provide additional time for the City's traffic signals at Mary Avenue and Evelyn Avenue to respond to allow Caltrain to pass through.



Issues:

None.

SCHEDULE:



Activity D	Activity Name	Start	Finish	2018				2019				2020				2021			
				Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
100278	Mary Avenue Traffic Signal	01-Feb-18 A	31-Oct-21																
	Final Design	01-Feb-18 A	06-May-20 A																
	Bid & Award	07-May-20 A	20-Jul-20 A																
	Construction	21-Jul-20 A	30-Jun-21																
	Project Close Out	01-Jul-21	31-Oct-21																

Note: The schedule has been rebaselined based on TASI's approved work plan.

Progress:

- Jul - Sep 2020
- (1) Issued the NTP to TASI for the construction.
 - (2) TASI placed the order for the materials.
 - (3) Material will not be ready until February 2021 due to a long lead time to receive certain components.
 - (4) TASI worked on the work plan for the installation.
 - (5) Received TASI's work plan for the underground work.
 - (6) TASI started the underground work for the track wires.

Future

Activities:

- Oct - Dec 2020
- (1) Continue to do the underground work for the track wires.

Issues:

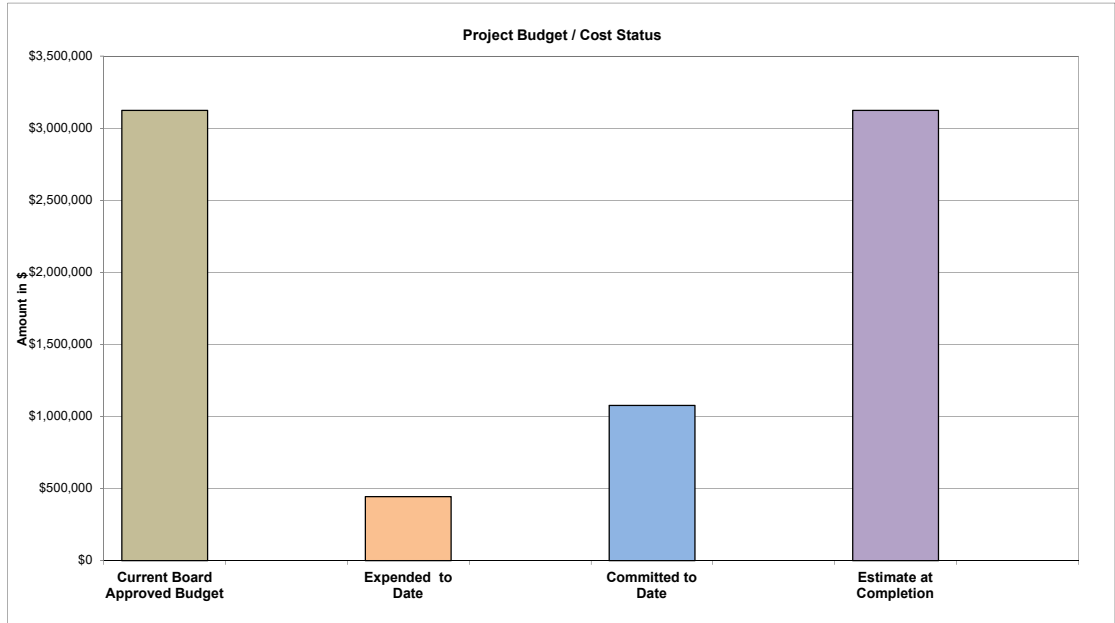
None.

MARY AVENUE TRAFFIC SIGNAL PREEMPTION PROJECT

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$3,125,000	\$443,492	\$1,077,476	\$3,125,000	\$0



Issues: None.

SAFETY:



No incidents reported this quarter.

MP-36 LOCOMOTIVE MID-LIFE OVERHAUL PROJECT



This project will perform mid-life overhaul of six MP-36-3C Locomotives. The mid-life overhaul of the locomotives shall include complete disassembly of the main diesel engine, overhauling by reconditioning re-usable main frame components and re-assembly with new engine components and the replacement of the Separate Head-End Power (SEP-HEP) unit and all electrical components of the SEP-HEP compartment. All areas of the locomotive carbody, trucks, wheels and electrical components shall be reconditioned to like-new condition or replaced with new material. The project work shall be completed off-site at the contractor's facility location. Project also includes onsite inspection and contract management by JPB's vehicle consultant. Final acceptance of the completed locomotive overhaul will be conducted at the JPB's CEMOF facility in San Jose. The six locomotives are:

1. Locomotive # 923
2. Locomotive # 924
3. Locomotive # 925
4. Locomotive # 926
5. Locomotive # 927
6. Locomotive # 928

Issues:

The scope of Project 100218 has been limited to the specifications only. The overhaul contract will be completed under Project 100233 which will be included in the next quarterly report.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2017	2018	2019	2020	2021	2022	2023
100218 - MP-36 Locomotive Mid-Life Overhaul		01-Apr-17 A	30-Jun-23	■	■	■	■	■	■	■
Technical Specs		01-Apr-17 A	28-Feb-18 A	■						
Bid & Award		01-Jul-19 A	30-Apr-20 A		■					
Construction		16-Jun-20 A	31-Mar-23				■	■	■	■
Project Close Out		01-Apr-23	30-Jun-23							■

- Note:**
1. Schedule has been rebaselined with the contractor schedule.
 2. The schedule includes Project 100233 scope.

Progress:

Jul - Sep 2020

- (1) Performed the in-bound test of locomotive #927.
- (2) Locomotive #927 has been completely disassembled and the main-engine has been sent out for re-build.
- (3) Locomotive #927 is completely disassembled and ready to start sandblasting the body panels.

Future

Activities:

Oct - Dec 2020

- (1) This is the last quarterly report for project 100218. The vendor's overhaul progress will be included next quarter in Project 100233.

Issues:

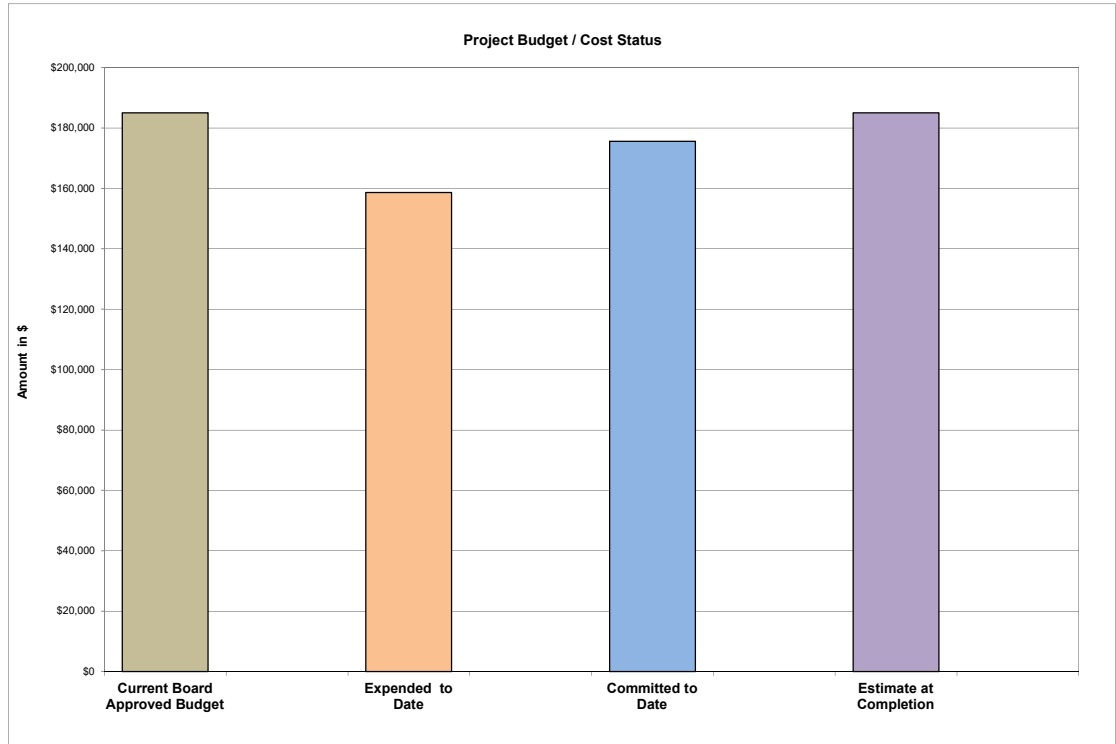
None.

MP-36 LOCOMOTIVE MID-LIFE OVERHAUL PROJECT

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$185,000	\$158,689	\$175,660	\$185,000	\$0



Issues: The Project budget and estimate at completion has been adjusted to reflect the project specification scope only.

SAFETY: No incidents reported this quarter.



Next Generation Visual Message Signs (VMS) & Pads



SCOPE: This project will determine the new visual message signs (VMS) and passenger information system for the Caltrain stations. The current VMS signs are no longer supported by the manufacturer and the predictive arrival and departure system (PADS) is becoming obsolete. Research will be done to determine whether it's best to replace the signs that will work with the current predictive arrival and departure system (PADS) or replace signs for the next generation passenger information system.

Issues: None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2020			2021		
				Q2	Q3	Q4	Q1	Q2	Q3
100449	Next Generation Visual Message Signs (VMS)	01-May-20 A	31-Jul-21						
	Design	01-May-20 A	30-Apr-21						
	Project Close Out	01-May-21	31-Jul-21						

Progress:

Jul - Sep 2020 (1) Updated requirements list for both a new passenger information system and a new visual message sign.

Future

Activities:

Oct - Dec 2020 (1) A vendor will showcase their passenger information system to us. Will decide if our team will sole source this or have this project be competitively bid.

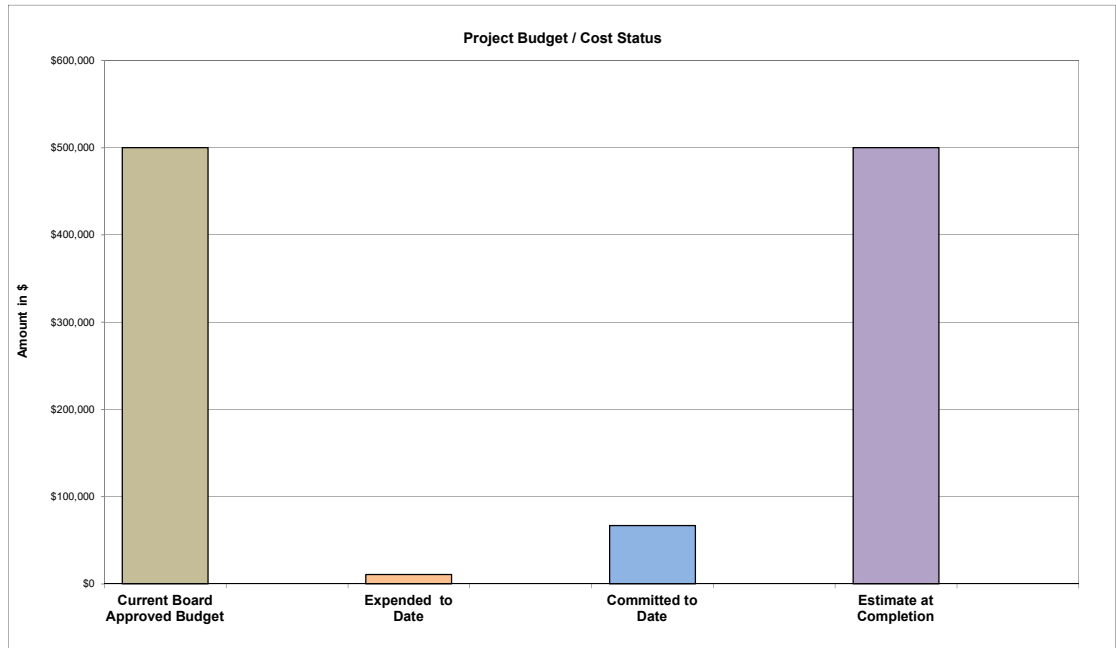
Issues: None.

Next Generation Visual Message Signs (VMS) & Pads

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$500,000	\$10,779	\$66,885	\$500,000	\$0



Issues: None.

SAFETY:



No incidents reported this quarter.

RAILROAD COMMUNICATION SYSTEM PROJECT - FY2017



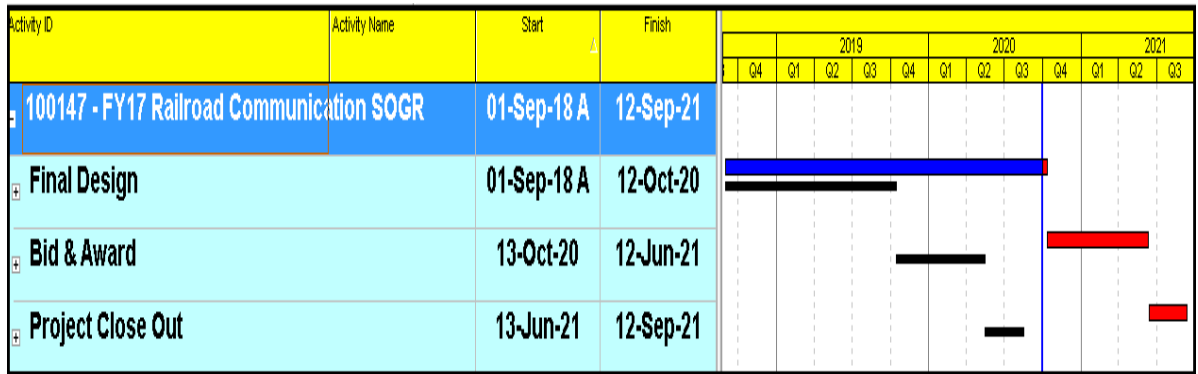
SCOPE: The State of Good Repair (SOGR) project consists the following tasks for maintenance of the Caltrain's Communication (COM) Systems.

- Task 1: Improve radio coverage between Train Engineers and Maintenance of Way (MoW) Personnel.
- Task 2: Provide support to manage configuration of communication software.

Current scope is for design and bid and award phases only.

Issues: None.

SCHEDULE:



Progress:
Jul - Sep 2020 (1) Received design plans & specification.

Future Activities:
Oct - Dec 2020 (1) Complete design plans & specifications.
(2) Initiate bid and award.

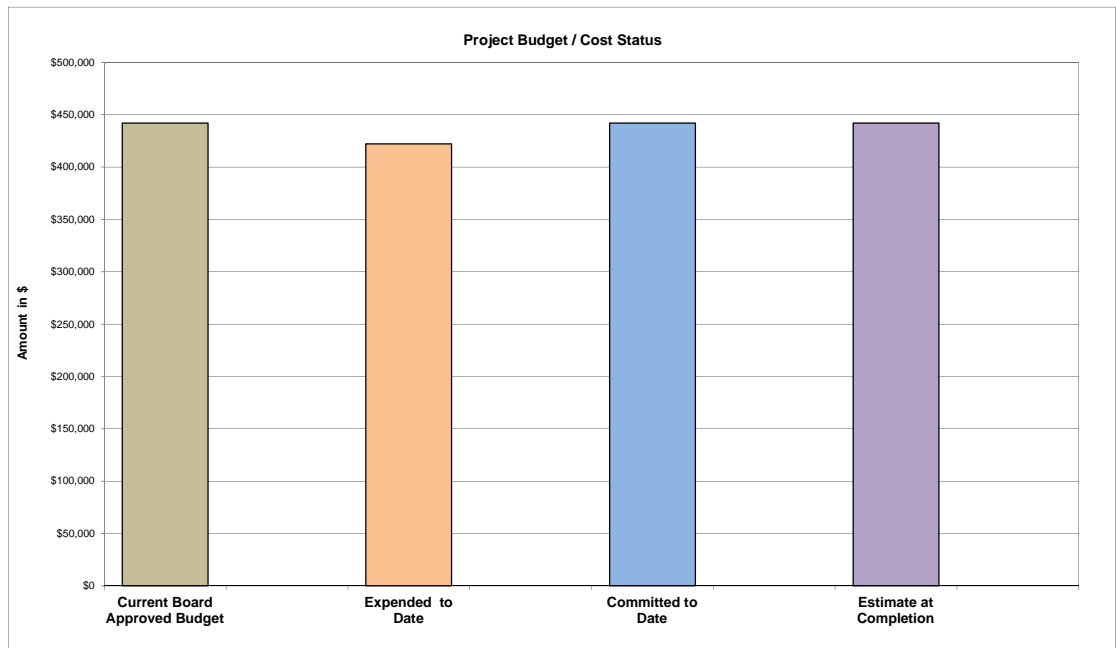
Issues: The project schedule has been delayed due to the continuing mitigation of the unforeseen incompatibility issues with the digital signal of radios being considered by Caltrain and the digital signals of radios being used or being considered by the tenants on the right of way.

RAILROAD COMMUNICATION SYSTEM PROJECT - FY2017

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$442,000	\$422,211	\$442,000	\$442,000	\$0



Issues: Current funding is limited to design and bid and award phases only. Construction work will be performed under a separate project due to funding.

SAFETY:



No incidents reported this quarter.

RAILROAD COMMUNICATION SYSTEM PROJECT - FY2018



SCOPE:



This project is the annual state of good repair (SOGR) program for Caltrain’s communication system. It includes a combination of design and construction of various tasks to maintain Caltrain’s communication systems in good repair.

Project will consist of the following tasks:

1. Construction of voice Radio Microwave between Sign Hill and San Bruno Mountain.
2. Purchase five new radios to replace non-supported Motorola radios.

Issues:

None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2019			2020				2021			
				Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	
100228 - FY19 RR Comm System SOGR		09-May-19 A	30-Sep-21											
± Procurement		09-May-19 A	30-Sep-19 A	█	█									
± Final Design		12-Jul-19 A	30-Apr-20 A		█	█	█							
± Bid & Award		01-May-20 A	31-Dec-20					█	█	█				
± Construction		01-Jan-21	30-Jun-21										█	█
± Project Close Out		01-Jul-21	30-Sep-21											█

Progress:

Jul - Sep 2020

- (1) Continued Bid & Award.
- (2) Legal completed their review.
- (3) Advertised contract.
- (4) Conducted Pre-Bid Zoom Call & Site Visits.

Future

Activities:

Oct - Dec 2020

- (1) Continue with Bid & Award.
- (2) Receive Issued for Bids (IFB) bids.
- (3) Evaluate IFB bids.
- (4) Award contract.

Issues:

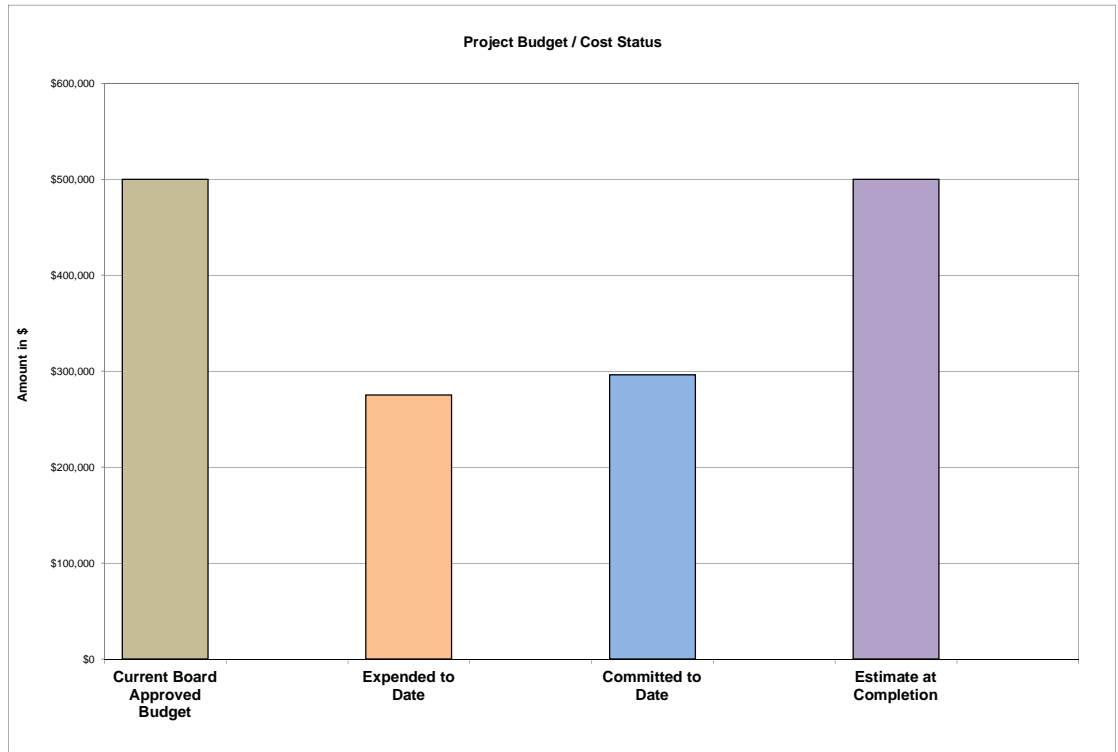
The current schedule delay was due to the late award of the design contract.

RAILROAD COMMUNICATION SYSTEM PROJECT - FY2018

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$500,000	\$275,103	\$296,206	\$500,000	\$0



Issues: None.

SAFETY:



No incidents reported this quarter.

RAILROAD COMMUNICATION SYSTEM PROJECT - FY2019



SCOPE: This Communication State of Good Repair (SOGR) project will ensure that the Caltrain network and radio systems are in a SOGR for efficient and safe operation. This will be accomplished by testing, inspection, and performing necessary minor and urgent repairs identified. The project will conduct the following tasks:

- Network Security Intrusion Assessment (NSIA).
- Radio Frequency (RF) Load Test for Microwave, VHF, and ATCS systems.

Issues: None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2019			2020					
				Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	
100406 - FY19 RR Communication System (SOGR)		20-May-19 A	31-Mar-21									
Bid & Award		20-May-19 A	20-Nov-19 A	[Blue bar]								
Project Close Out		01-Jan-21	31-Mar-21									[Red bar]
Testing		21-Nov-19 A	31-Dec-20				[Blue bar]	[Red bar]				

Progress:
 Jul - Sep 2020 (1) Continued Network Security Intrusion Assessment.
 (2) Continued with RF load assessment.

Future Activities:
 Oct - Dec 2020 (1) Complete Network Security Intrusion Assessment.
 (2) Complete with RF load assessment.

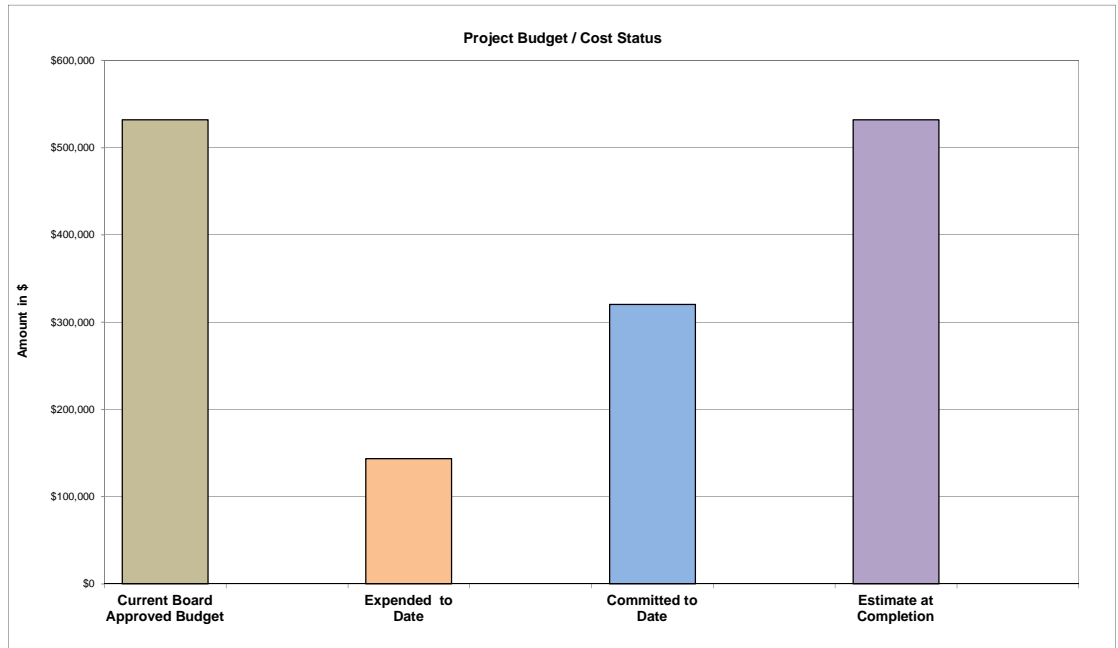
Issues: Schedule delay is due to COVID-19 shelter in place order causing the contractor to restrict travel of its personnel.

RAILROAD COMMUNICATION SYSTEM PROJECT - FY2019

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$532,000	\$143,456	\$320,283	\$532,000	\$0



Issues: None.

SAFETY:



No incidents reported this quarter.

RENGSTORFF AVENUE GRADE SEPARATION



SCOPE:



The project proposes to replace the existing at-grade train crossing at Renstorff Avenue with a grade separated crossing in the City of Mountain View. In 2014, the City of Mountain View completed a Renstorff Avenue Grade Separation Design Concepts – Final Report. Of the three design concepts that were presented in the Final Report, the City was in favor of the Complete Street Concept which includes a Renstorff Avenue Underpass and the construction of a new elevated pedestrian walkway parallel to the Caltrain tracks connecting Crisanto Avenue to the commercial area east of Rengstorff Avenue. The grade separation will require the lowering Rengstorff Avenue and its connecting roadways, including Central Expressway.

The current scope of work includes the evaluation of the design concepts that are presented by the City of Mountain View and preparation of preliminary design at 35% for a design validation and constructability review, and preparation of environmental studies for CEQA and NEPA clearance. The goal of the current preliminary design phase is to reach consensus with the project stakeholders in the project definition and approach to advance the project to final design.

Issues: None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2019										
				2019		2020								
				Q3	Q4	Q1	Q2	Q3	Q4	Q1				
100482 - Rengstorff Avenue Grade Cros		05-Aug-19 A	28-Feb-21											
Preliminary Engineering		05-Aug-19 A	31-Oct-20											
Environmental Clearance		27-Mar-20 A	28-Feb-21											

Progress:

Jul - Sep 2020

- (1) Held comment resolution meeting with the City on proposed pedestrian and bicycle facilities.
- (2) Conducted Community Outreach Planning session and began preparation of the public outreach materials with the City of Mountain View.
- (3) Completed temporary and permanent construction impact assessment.
- (4) Completed draft construction staging and detour plans.
- (5) Finalized rail alignment and structure types to proceed with 35% design.
- (6) Finalized preliminary design concept and preliminary stage construction concepts to advance to 35% design.
- (7) Prepared additional scope of work for geotechnical analysis to address high water table.
- (8) Addressed additional design review comments provided by the City.
- (9) Continued data collection for proceeding with environmental clearance.

Future

Activities:

Oct - Dec 2020

- (1) Prepare community meeting notices and presentation materials with the City.
- (2) Completed data collection for environmental clearance.
- (3) Perform additional supplemental traffic analysis and geotechnical analysis.

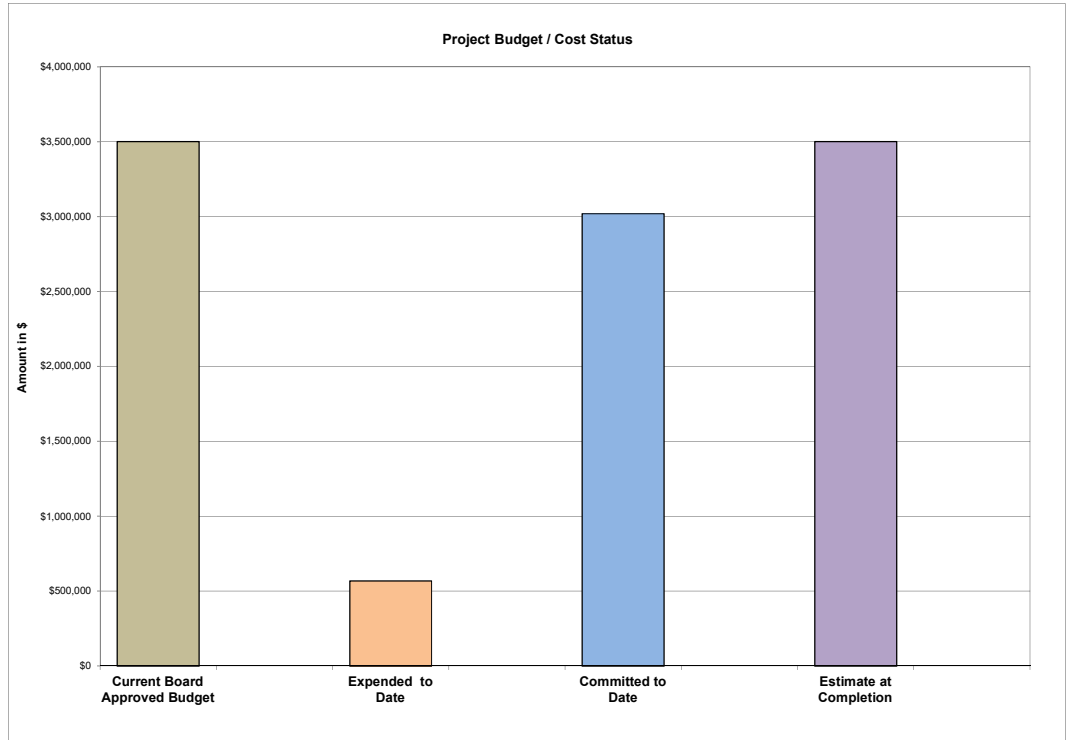
Issues: Delay in conducting traffic analysis may impact the design schedule.

RENGSTORFF AVENUE GRADE SEPARATION

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$3,500,000	\$567,831	\$3,019,059	\$3,500,000	\$0



Note: The current phase of the project is fully funded by the City of Mountain View.

SAFETY: No incidents reported this quarter.



RIGHT OF WAY FENCING PROJECT

SCOPE	SCHEDULE	BUDGET/COST	SAFETY

SCOPE: This project is a part of the ongoing program to keep Caltrain's fencing in a State of Good Repair (SOGR). The goal of this project is to reduce trespassing on the Caltrain right of way by installing fence on at least one side of the property between San Francisco MP 0.2 to Lick MP 52.



Caltrain will install vandal resistant fencing at key locations along the main line rail corridor to deter trespassing. This work will include a base contract and three optional contracts which may be exercised with the General Manager's approval. These contracts includes site clearing, fence demolition, fence installation and vegetation removal.

Currently the construction contract has authority to perform work through option 2.

Issues: None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	Timeline																					
				2016	2017				2018				2019				2020								
				Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4				
100053 - Right of Way Fencing Project		02-Jun-16 A	28-Feb-21	[Gantt chart showing project duration from mid-2016 to early 2021]																					
+ Construction (Base)		02-Jun-16 A	31-Mar-18 A	[Gantt bar from mid-2016 to early 2018]																					
+ Construction (Option 1)		16-Apr-18 A	31-Aug-19 A	[Gantt bar from mid-2018 to late 2019]																					
+ Construction (Option 2)		01-Dec-19 A	30-Nov-20	[Gantt bar from late 2019 to late 2020]																					
+ Close Out		01-Dec-20	28-Feb-21	[Gantt bar from late 2020 to early 2021]																					

Progress:
Jul - Sep 2020 (1) Continued option 2 work.

Future Activities:
Oct - Dec 2020 (1) Continue option 2 work.

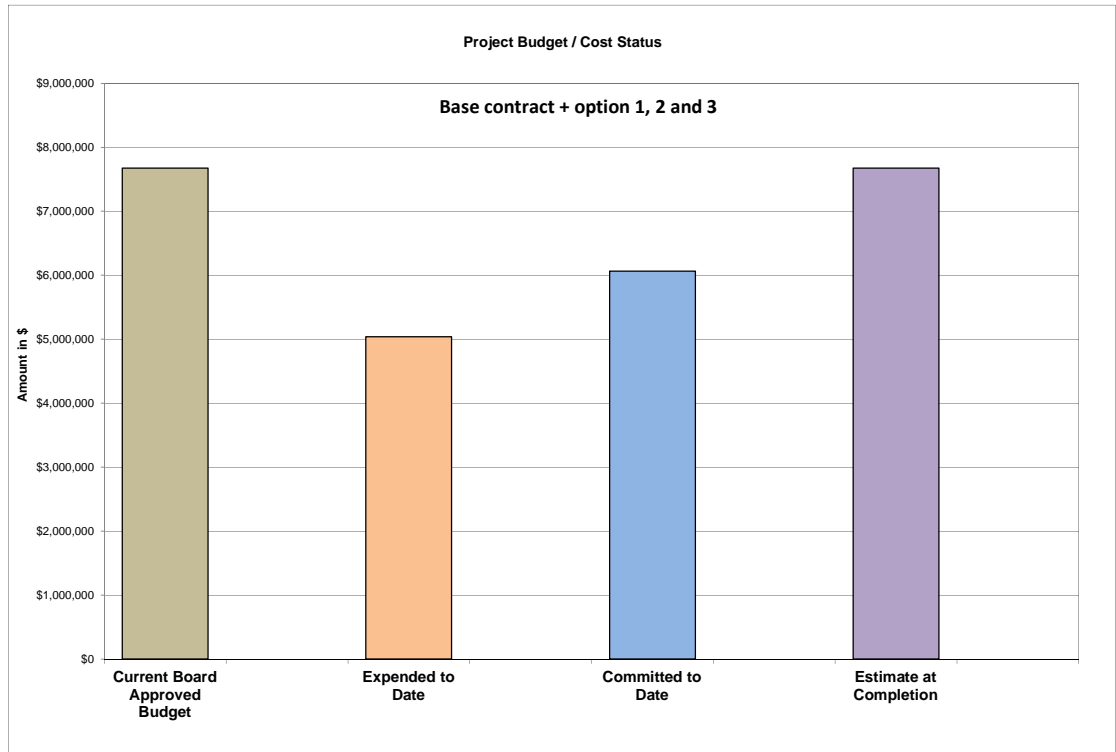
Issues: (1) Schedule dates are for the base contract, option 1 and 2 only. Schedule delay is due to Covid-19 impact on manpower availability to the contractor.

RIGHT OF WAY FENCING PROJECT

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$7,672,958	\$5,037,440	\$6,062,776	\$7,672,958	\$0



Note: Current Board approved budget, expended, committed and estimate at completion reflect the base contract and option 1, 2 and 3.

Issues: A portion of the funds is due to expire in March 2021.

SAFETY:



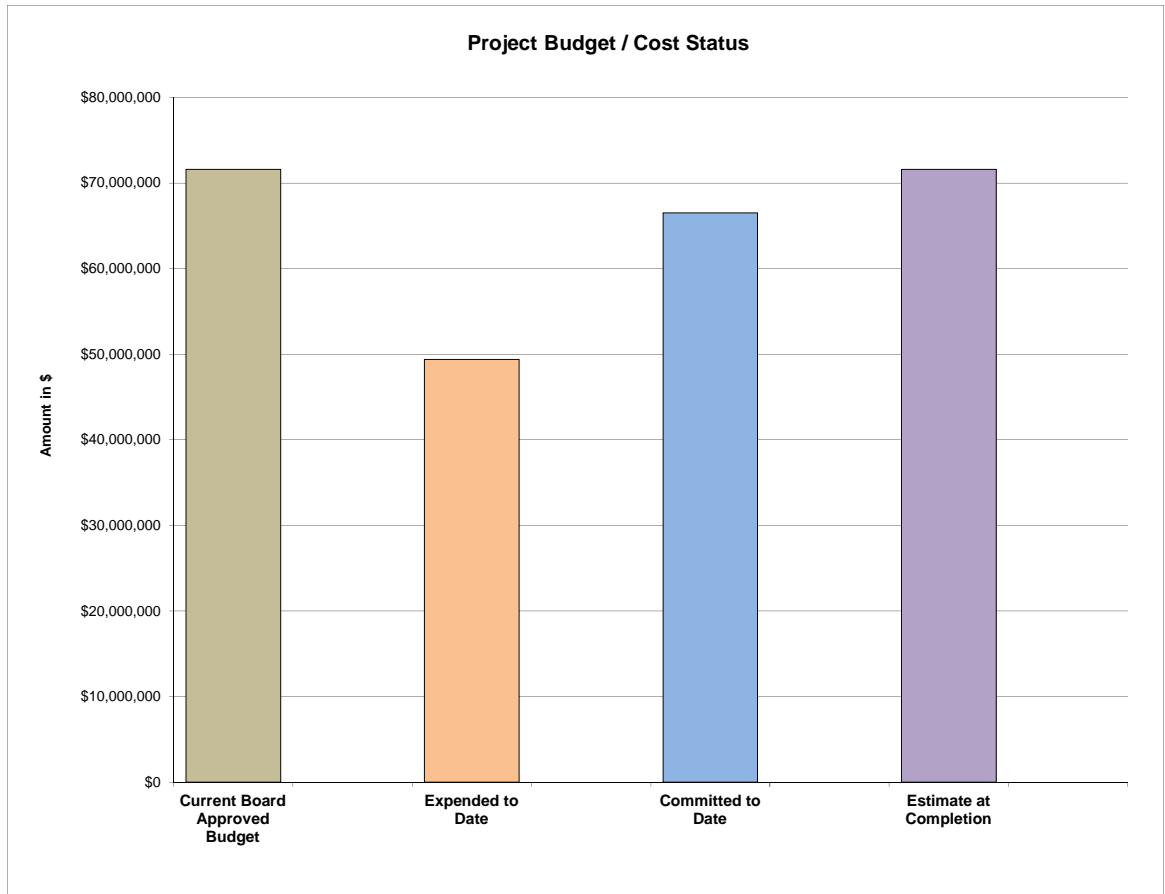
No incidents reported this quarter.

SOUTH SAN FRANCISCO STATION IMPROVEMENT PROJECT

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Project Total	\$71,600,000	\$49,403,918	\$66,497,144	\$71,600,000	\$0



Note: Estimate at Completion (EAC) is under review.

Issues: None.

SAFETY:



In July 2020, A minor injury occurred - worker hurt his finger placing rebar. No incidents reported in August and September 2020.

STATION ENHANCEMENT AND RENOVATION



SCOPE: This project will include the following work:



San Francisco Station Restroom Renovation: The San Francisco (4th & King) Station restrooms have been subject to many years of abuse and vandalism. The project would include a full restoration of the restrooms with modern vandal resistant fixtures and finishes.

Issues: None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	Timeline											
				2018			2019				2020				
				Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1
100149 - Station Enhancement and Renovation		01-Mar-18 A	31-Mar-21												
Final Design		01-Mar-18 A	30-Apr-19 A												
Bid & Award		01-May-19 A	15-Jun-20 A												
Construction		16-Jun-20 A	31-Dec-20												
Project Close Out		01-Jan-21	31-Mar-21												

Progress:

Jul - Sep 2020

- (1) Began construction work.
- (2) Completed demolition and framing the new walls.
- (3) Reviewed submittals and responded to RFIs.

Future

Activities:

Oct - Dec 2020

- (1) Complete construction.
- (2) Complete to review submittals and respond to RFIs.

Issues:

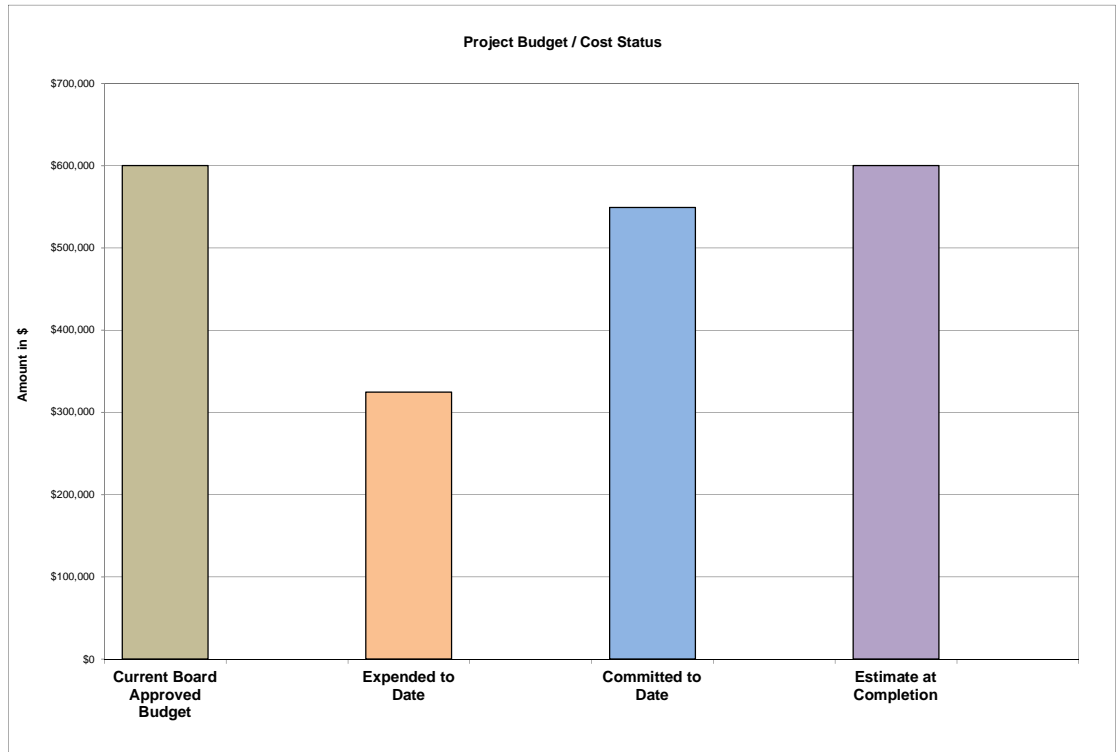
Schedule has been re-baselined this quarter based on the approved construction schedule.

STATION ENHANCEMENT AND RENOVATION

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$600,000	\$324,458	\$549,059	\$600,000	\$0



Issues: None.

SAFETY:



No incidents reported this quarter.

SYSTEMWIDE SIGNAL SYSTEM REHABILITATION PROJECT - FY2019



SCOPE:



This project is a part of an annual program to maintain the Caltrain railroad signal system in a State of Good Repair (SOGR). The project will procure new equipment and replace old signal equipment that is starting to fail and is beyond its useful life, to maintain Caltrain's railroad signal systems in good repair.

FY2019 Signal Rehab Project will replace an existing assortment of solid state controller units that are beyond their useful life with updated controller units. Specifically, the project will:

- Develop a priority list and conduct a survey to collect age of existing controllers to be replaced with Siemens solid state SSCC IIIA controller units.
- Based upon age and importance of unit to Operations, develop a priority list for replacements.
- Procure and replace the oldest 10 SSCC IIIA units controller units.

Issues: None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2019			2020					
				Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	
100405 - FY19 Systemwide Signal System Rehab		20-May-19 A	31-Mar-21									
Bid & Award		20-May-19 A	08-Jul-19 A	█								
Construction		09-Jul-19 A	31-Dec-20		█	█	█	█	█	█	█	█
Project Close Out		01-Jan-21	31-Mar-21								█	█

Progress:

Jul - Sep 2020 (1) Awaiting availability of TASI personnel to replace controllers.

Future

Activities:

Oct - Dec 2020 (1) Re-initiate replacement of controllers.
 (2) Complete replacement of controllers.

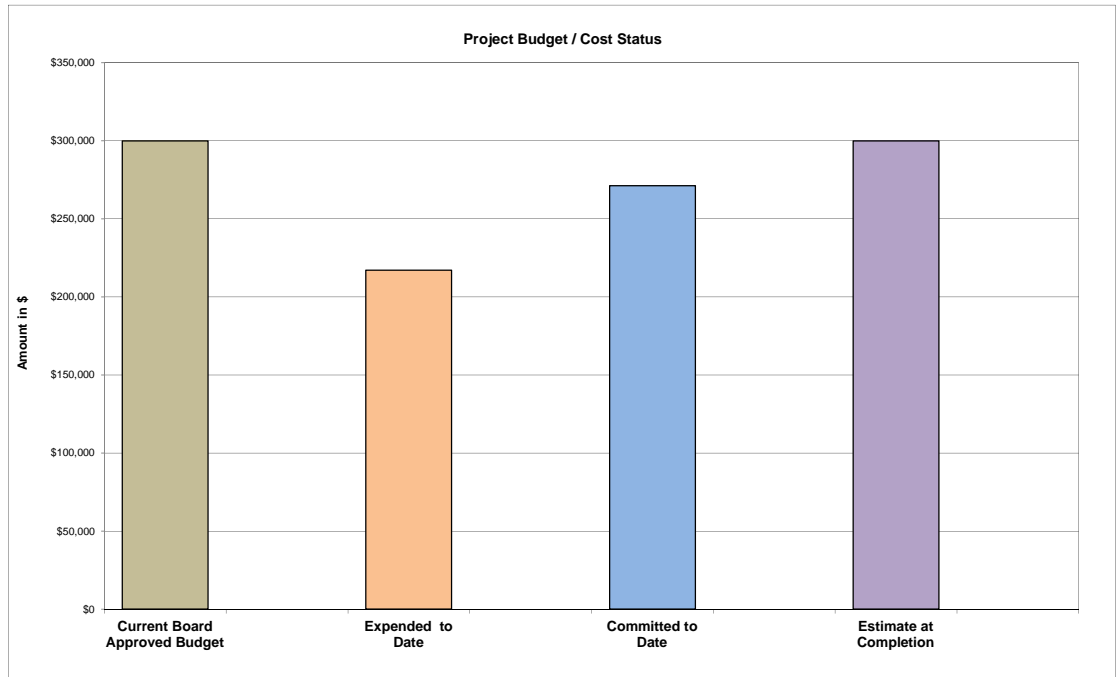
Issues: Schedule delay is due to TASI resource availability issues.

SYSTEMWIDE SIGNAL SYSTEM REHABILITATION PROJECT - FY2019

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$300,000	\$217,199	\$271,346	\$300,000	\$0



Issues: None.

SAFETY:



No incidents reported this quarter.

SYSTEMWIDE TRACK REHABILITATION PROJECT - FY2019



SCOPE:



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 upon the condition of the railroad as reflected in Caltrain's State of Good Repair database. This database is updated regularly with input from track inspections and tests that are performed throughout the year. Each fiscal year, a new project is set up to cover the track work performed that year. The scope proposed for FY2019 system wide track rehabilitation includes the following:

1. Replace stock rail points and frogs on turnouts per identified needs in the SOGR database and on as-needed basis due to unexpected failures of such components.
2. Perform welds to perform the removal of bonded insulated joints, replaced stock rails, points and frogs.
3. Replacement of standard ties on mainline tracks.
4. Replacement of switch ties on main tracks and yard tracks.
5. Surfacing of curve and tangent track, turn outs, at various locations determined by geometry car inspections and field track inspections.
6. Upgrade and maintain rail lubricators.
7. Purchase of small tools and equipment required for track maintenance activities.
8. Work in South San Francisco yard - install ties, replace rail, install ballast and surface, maintain a SOGR and in accordance with JPB, CPUC and FRA standards for class of track - billable to UPRR.
9. Repair track and station platforms at College Park Station.
10. Minor repairs to bridges, culverts and structures – per annual inspection needs.
11. Lease facilities, purchase and equipment rental.
12. Purchased services – rail detector, geometry inspections, weed abatement etc.
13. Fence repairs and graffiti removal.

Issues: None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	Timeline							
				2019		2020				20	
				Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2
100230	FY19 Systemwide Track Rehabilitation Project	01-Jul-19 A	31-Mar-21								
	ROW Maintenance	01-Jul-19 A	31-Dec-20								
	Close Out	02-Jan-21	31-Mar-21								

Progress:

Jul - Sep 2020

- | | |
|---|---|
| <ul style="list-style-type: none"> (1) Surfaced 2.44 miles of main line track. (2) Stabilized 2.44 miles of track. (3) Performed 11 thermite welds. (4) 57 pandrols installed. (5) Built up 15 frog inserts. (6) Ground 71 switches. (7) Placed 100 Tons of Ballast . (8) Changed out two feet of rail (due to wear). | <ul style="list-style-type: none"> (9) Installed 248 cross ties. (10) Installed 40 switch ties. (11) Installed 11 UP cross ties. (12) Installed five UP switch ties. (13) Performed UT weld testing. (14) Performed tree trimming. (15) Performed fencing. |
|---|---|

Future Activities:

Oct - Dec 2020

- (1) Continue ongoing maintenance work.

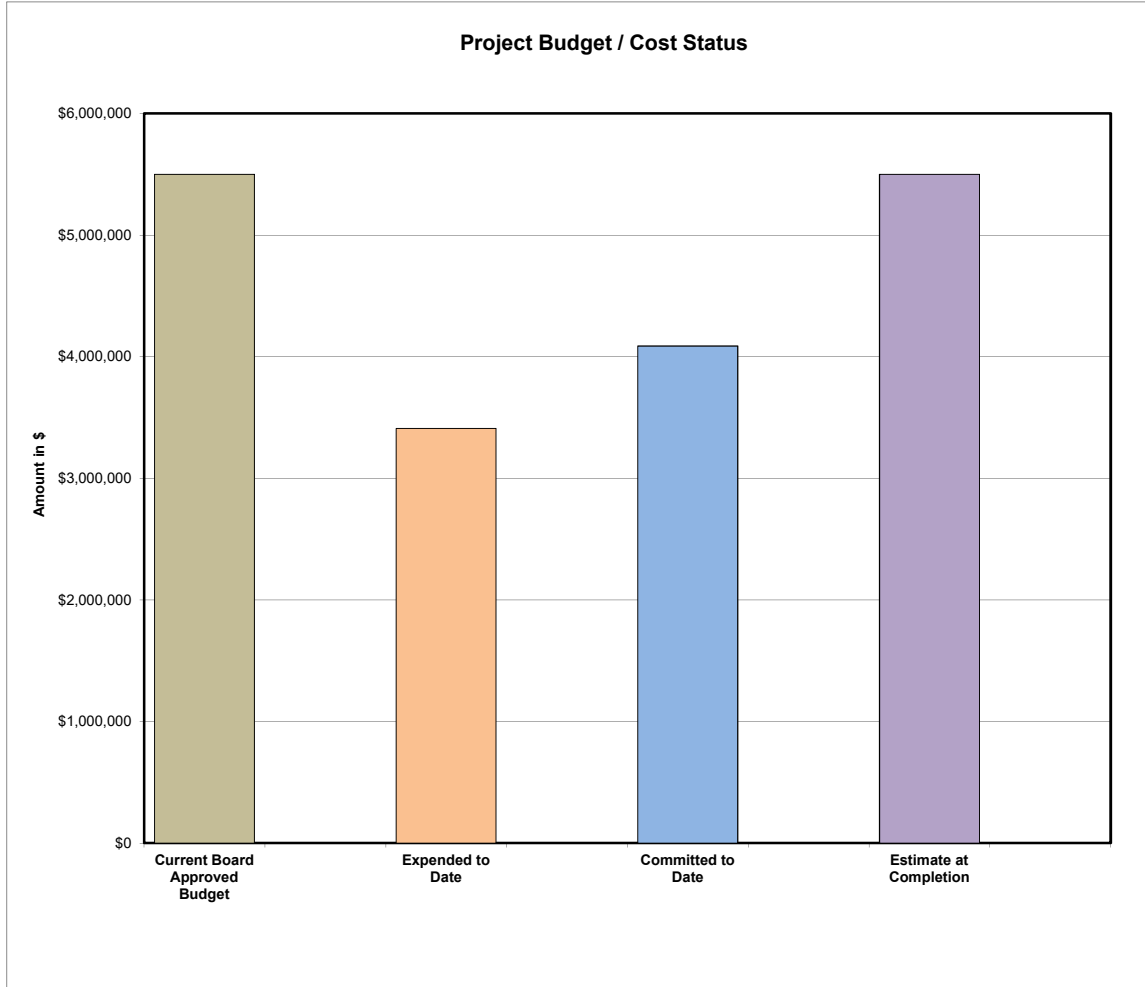
Issues: None.

SYSTEMWIDE TRACK REHABILITATION PROJECT - FY2019

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Project Total	\$5,500,000	\$3,408,791	\$4,087,163	\$5,500,000	\$0



Issues: None.

SAFETY:



No incidents reported this quarter.

TICKET VENDING MACHINE REHAB PROGRAM PROJECT



SCOPE:



The project will develop the central back office software necessary to upgrade the TVMs to have Clipper functionality and upgrade components which are obsolete. Additional scope to replace the credit card readers in all existing TVMs has been added to a separate construction contract and is being funded by the IT Department.

The current scope of this project is through the Phase 3 Option only:

Phase 1 - Two prototype TVM's will be refurbished with Clipper functionality and upgraded components. The prototypes will be installed at Central for testing and development work.

Phase 2 - Based on the final upgraded prototype, 12 existing TVM's will be upgraded at the stations.

Phase 3 - will upgrade an additional 22 TVMs and will provide an option to upgrade up to another 55 TVMs when funding becomes available.

Issues:

None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2018				2019				2020				2021			
				Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
100240	Ticket Vending Machine Rehab Program	01-Jan-18 A	30-Sep-21																
	Final Design	01-Jan-18 A	01-Nov-18 A																
	Bid & Award	01-Mar-18 A	30-Apr-19 A																
	Construction	01-May-19 A	30-Jun-21																
	Project Close Out	01-Jul-21	30-Sep-21																

Progress:

- Jul - Sep 2020
- (1) Finished the software development for the TVM software.
 - (2) Conducted the MTC Test Procedure and successfully passed the test.
 - (3) Completed the new VCC software and created the new Oracle database.
 - (4) Upgraded the Crystal Reports to version 2016.(5) Installed and tested the contactless payment reader.
 - (5) Conducted the Final Acceptance Test for the prototype TVM. The prototype TVM passed the test.
 - (6) Prepared for the cutover to the new VCC as production.

Future

Activities:

- Oct - Dec 2020
- (1) Resolve the issues with the new VCC and Crystal Reports.
 - (2) Conduct the cutover to the new VCC as production.

Issues:

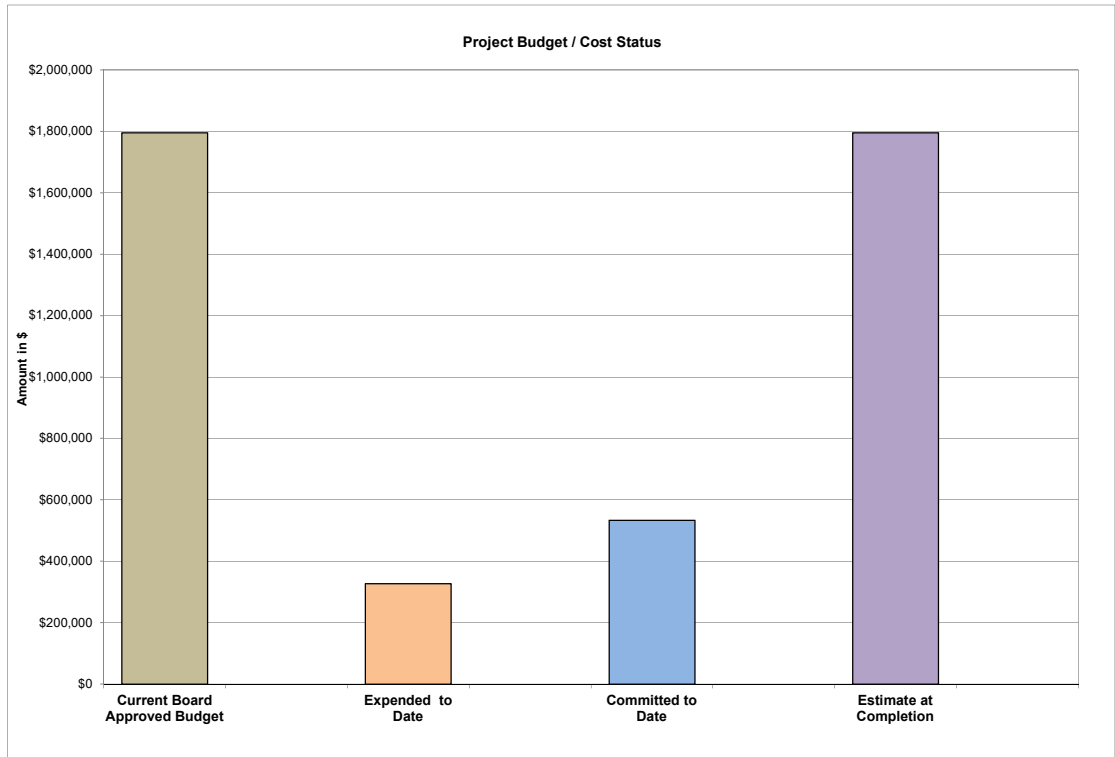
None.

TICKET VENDING MACHINE REHAB PROGRAM PROJECT

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$1,795,000	\$327,280	\$532,878	\$1,795,000	\$0



Issues: None.

SAFETY:



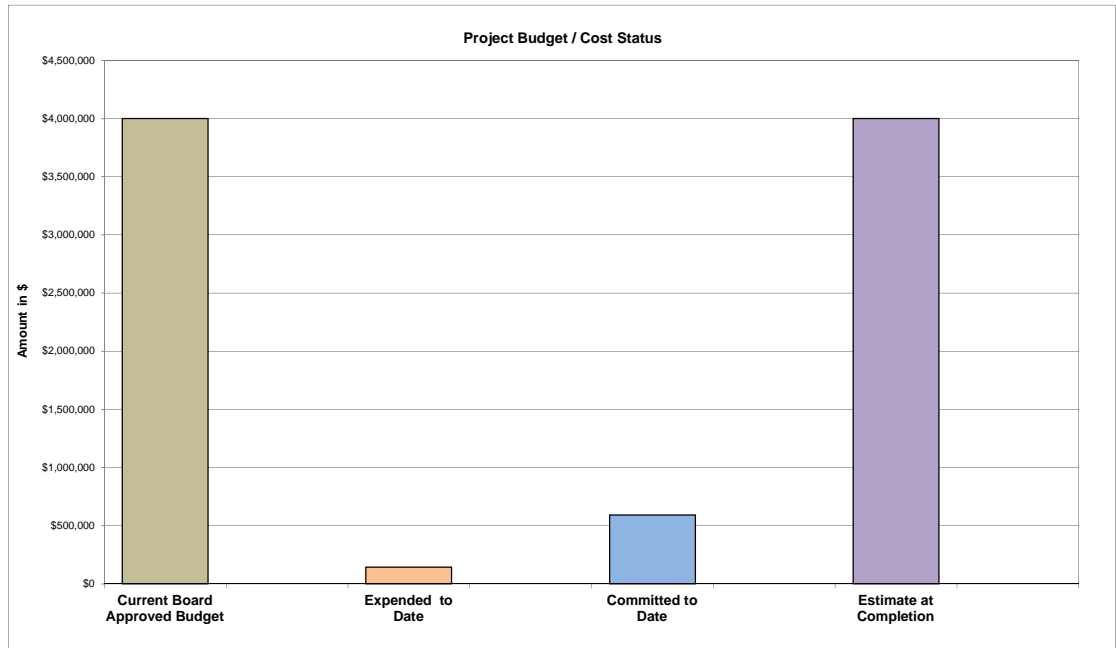
No incidents reported this quarter.

WAYSIDE BIKE PARKING IMPROVEMENT PROJECT

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$4,000,000	\$142,932	\$593,224	\$4,000,000	\$0



Issues: None.

SAFETY:



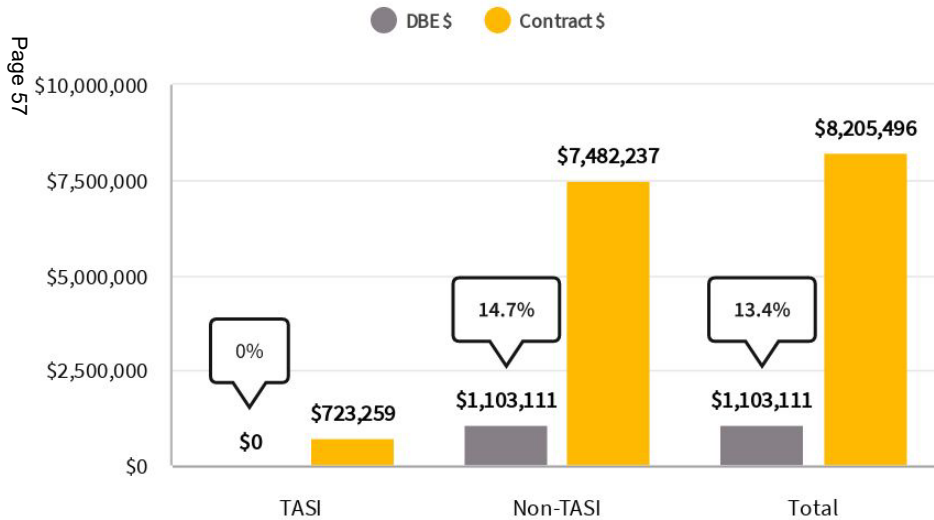
No incidents reported this quarter.

Caltrain : Disadvantaged Business Enterprise (DBE)

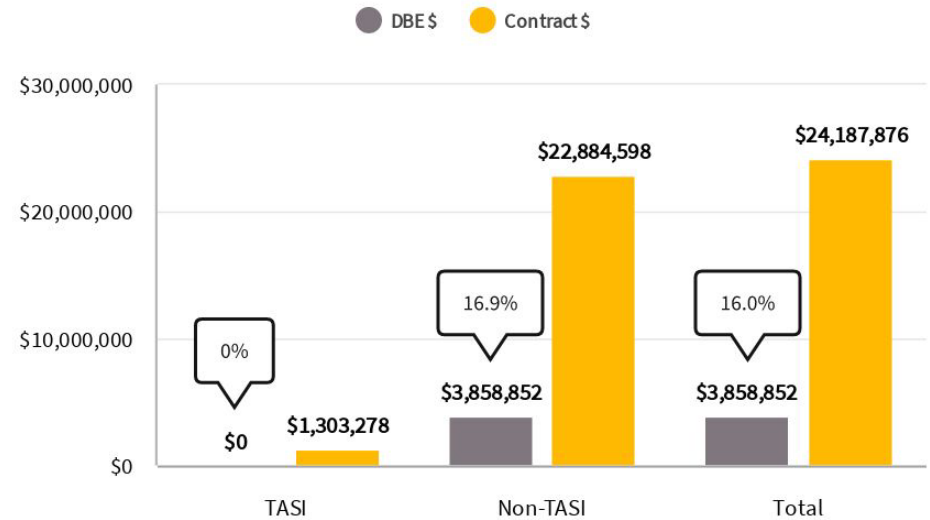
Quarterly Status Report:

- The Caltrain overall DBE goal is 13.5%.
- TASI had zero percent (0%) DBE utilization for the year.
- Q4 DBE participation fell below the goal, however, Caltrain achieved 16.0% DBE participation for the year.

FFY20 Q4: July 01, 2020 to September 30, 2020



2020 Federal Fiscal Year to Date:



Definition of Terms

Committed to Date – The encumbered amount of work directives, contracts, and purchase orders plus any non PO related expenditures.

Current Board Approved Budget – The original budget plus approved budget changes.

Estimate at Completion (EAC) – The estimated final cost of the project.

Expended to Date – The project costs that have been recorded in the financial system plus the accrual cost of work performed through the current period.

Variance at Completion – The difference between the Current Board Approved Budget and the EAC. A positive value reflects a potential underrun whereas a negative amount indicates a possible overrun.

Performance Status (Traffic Light) Criteria

SECTIONS	On Target (GREEN)	Moderate Risk (YELLOW)	High Risk (RED)
1. SCOPE	(a) Scope is consistent with Budget or Funding. (b) Scope is consistent with other projects. (c) Scope change has been mitigated.	(a) Scope is NOT consistent with Budget or Funding. (b) Scope appears to be in conflict with another project. (c) Scope changes have been proposed.	(a) Significant scope changes / significant deviations from the original plan.
2. BUDGET	(a) Estimate at Completion is within plus /minus 5% of the Current Board Approved Budget.	(a) Estimate at Completion exceeds the Current Board Approved Budget by 5% to 10%.	(a) Estimate at Completion exceeds the Current Board Approved Budget by more than 10%.
3. SCHEDULE	(a) Project milestones / critical path are within plus/minus two months of the current baseline schedule. (b) Physical progress during the report period is consistent with incurred expenditures. (c) Schedule has been defined.	(a) Project milestones / critical path show slippage. Project is more than two to six months behind the current baseline schedule. (b) No physical progress during the report period, but expenditures have been incurred. (c) Detailed baseline schedule NOT finalized.	(a) Project milestones / critical path show slippage more than two consecutive months. (b) Forecast project completion is later than the current baseline scheduled completion by more than six months. (c) Schedule NOT defined for two consecutive months.
4. SAFETY	(a) No reported safety related incidents on the project.	(a) One Near Miss or incident requiring written report based on contract requirements.	(a) Injury (worker or passenger) requiring reporting to the Federal Railroad Administration. (b) Two or more Miss or incident requiring written report based on contract requirements.

Schedule Legend

	Completed
	Critical path
	Baseline/target schedule

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: JPB Finance Committee

THROUGH: Jim Hartnett
Executive Director

FROM: Michelle Bouchard
Chief Operating Officer, Rail

SUBJECT: **CLIPPER START QUARTERLY UPDATE**

ACTION

This report is for information only. No Board action is required at this time.

SIGNIFICANCE

An effort led by staff from the Metropolitan Transportation Commission (MTC) and regional transit operators, Clipper START is the Bay Area's means-based fare pilot program, and it provides a discount for eligible, low-income transit riders at participating transit agencies. The four transit operators currently participating in Clipper START include Caltrain; the Bay Area Rapid Transit District (BART); Golden Gate Bridge, Highway and Transportation District (GGBHTD) for both its bus and ferry services; and San Francisco Municipal Transportation Agency (SFMTA). Individuals enrolled in the pilot program receive a 50 percent discount off of adult one-way Clipper card fares on Caltrain, GGBHTD, and SFMTA, and a 20 percent discount off of adult one-way Clipper card fares on BART.

The 18-month pilot program launched on July 15, 2020, and this staff report provides the Caltrain Board of Directors with the first quarterly report of key pilot program statistics, corresponding to the first quarter of the current fiscal year (or Q1 of FY21, for dates inclusive of July 15, 2020 – September 30, 2020).

BUDGET IMPACT

There is no budget impact associated with receiving this report. Caltrain's revenue statistics associated with the pilot program are presented below.

CALTRAIN QUARTERLY REPORT ON CLIPPER START

Key statistics provided below include Clipper START information related to applicants and enrollees, Caltrain ridership and trip information, and revenue impact for Caltrain. This information is for the first quarter of the pilot program, from July 15, 2020 through September 30, 2020.

1. How many people were enrolled in Clipper START as of Q1 of FY21?

Bay Area residents who are interested in enrolling in Clipper START must submit an application and be approved to receive their Clipper START card. Applications may be submitted by mail or online at www.clipperstartcard.com (which has both desktop and smart phone functionality).

The information provided in Table 1 shows the total number of applications submitted and approved through the end of September 2020. The vast majority of applicants submitted completed their applications online during Q1, and approximately 22 percent of applicants reported currently riding Caltrain.

Table 1: Applications for Clipper START for Q1 of FY21

<i>Applications</i>	<i>07/15/20 – 07/31/20</i>	<i>08/01/20 – 08/31/20</i>	<i>09/01/20 – 09/30/20</i>	<i>Q1 Total</i>
Total Submitted	444	356	722	1,522
Total Approved	407	314	648	1,369

Source: MTC, 2020.

2. Where do applicants live in the region?

Table 2 shows the county of residents of applicants to the Clipper START pilot program in Q1 of FY21. Across the region, residents who applied for Clipper START during Q1 of FY21 primarily lived in San Francisco (69 percent of applicants) and Alameda (12 percent) counties. Santa Clara and San Mateo counties had 4 percent and 3 percent of applicants, respectively.

Table 2: County of Residence for Clipper START Applicants from Q1 of FY21

<i>County</i>	<i>Percentage of Total</i>
San Francisco	69%
Alameda	12%
Contra Costa	6%
Santa Clara	4%
San Mateo	3%
Marin	2%
Solano	2%
Sonoma	1%
Napa	0%
Total	100%

Source: MTC, 2020.

3. How many trips were taken using Clipper START in Q1 of FY21?

Table 3 presents the total number of trips being taken on Clipper START for each month of Q1 for each agency, as well as the total for the region. For comparison, the bottom of the table also shows the total number of Caltrain riders for the same time periods. Similar to other transit agencies in the region, Caltrain's ridership has been severely impacted by the coronavirus pandemic.

Table 3: Clipper START Trips in Q1 of FY21

Total Clipper START Trips ¹	07/15/20 – 07/31/20	08/01/20 – 08/31/20	09/01/20 – 09/30/20	Q1 Total	Percent of Q1 Total
Caltrain	3	71	183	257	4.3%
BART	92	1,234	2,681	4,007	66.6%
SFMTA	9	513	981	1,509	25.0%
GGBHTD (Bus and Ferry)	12	75	160	247	4.1%
Clipper START Total Trips	116	1,893	4,006	6,020	100.0%
Caltrain Total Ridership for Month ²	91,850	90,737	93,484	276,071	N/A

Sources:
 1. MTC, 2020; Cubic Crystal Reports, 2020.
 2. The Key Caltrain Performance Statistics reports in the monthly Board packet provided the monthly ridership totals for Caltrain.

4. How many people used their Clipper START cards in Q1 of FY21?

Each individual enrolled in the pilot program receives their own unique Clipper START card, so data on the number of unique cards used in the region shows how many of the enrolled individuals are actually traveling using their Clipper START cards. Table 4 presents the number of unique Clipper START cards in use on each agency, as well as for the overall Clipper system across the region. Similar to overall trips, the number of unique cards in use is growing as the pilot progresses. As of September 2020, about 25 percent of the Clipper START cards that had been issued were in use across the region. Of the Clipper START cards in use across the region in September 2020, about eight percent of the cards were used on Caltrain.

Table 4: Unique Clipper START Cards in Use by Month for Q1 of FY21

Total Number of Unique Clipper START Cards in Use	07/15/20 – 07/31/20	08/01/20 – 08/31/20	09/01/20 – 09/30/20
Caltrain	1	12	28
BART	25	127	245
SFMTA	6	61	124
GGBHTD (Bus and Ferry)	2	10	19
Overall Clipper System	31	127	343

Source: MTC, 2020.

5. Where did Clipper START riders take trips on Caltrain in Q1 of FY21?

Across Q1 of FY21, Clipper data provided by MTC staff shows that the most frequently used Caltrain stations for Clipper START riders are San Francisco Fourth & King, South San Francisco, and San Jose Diridon stations.

The number of Clipper START trips involving transfers between transit systems is a small percentage of the overall trips taken. Across Q1, a total of 25 Clipper START rides on Caltrain, or about 9 percent of the total Clipper START trips taken on Caltrain, involved a transfer to another transit system. Regionally, a grand total of 354 trips made using a Clipper START card during Q1 involved a transfer to another transit system, or about 5 percent of the total trips made using Clipper START in the region.

6. When did Clipper START riders take trips on Caltrain in Q1 of FY21?

Table 5 shows which day of the week Clipper START card users rode Caltrain during Q1. About 90 percent of Clipper START card trips on Caltrain were made during the weekdays (231 trips), compared to about 10 percent of trips made on a weekend (27 trips), across Q1. This finding is consistent across the other participating transit agencies, with the vast majority of Clipper START card trips made during the weekdays in Q1 across the region.

Table 5: Day of Week for Clipper START Trips on Caltrain in Q1 of FY21

Month	Sun	Mon	Tue	Wed	Thu	Fri	Sat	Total
July	0	0	0	0	1	2	0	3
August	6	17	6	14	8	14	6	71
September	8	26	21	41	34	32	21	183
Total	14	43	27	55	43	48	27	257
Percent of Total	5%	17%	11%	21%	17%	19%	11%	100%

Source: Cubic Crystal Reports, 2020.

Table 6 shows the ridership distribution for each hour during the day, for each month of Q1. About 70 percent of Clipper START trips on Caltrain were made in the peak periods.

Table 6: Time of Day for Clipper START Trips on Caltrain in Q1 of FY21

Month	AM Peak (6am-9am)	Midday (10am-3pm)	PM Peak (3pm-7pm)	Off-Peak (7pm-12am)	Total
July	0	0	1	2	3
August	13	17	28	13	71
September	62	21	73	27	183
Total	75	38	102	42	257
Percent of Total	29%	15%	40%	16%	100%

Source: Cubic Crystal Reports, 2020.

7. How did Clipper START affect Caltrain's revenue in Q1 of FY21?

Caltrain provides participants in Clipper START with a 50 percent discount off of adult one-way Clipper Card fares. To help offset the revenue loss, MTC provides a subsidy that is valued at 10 percent of the full fare value for each trip.

Table 7 shows the revenue impact for Caltrain for the initial quarter of this pilot program. It shows the initial fare revenue collected by Caltrain for Clipper START trips (50 percent of the adult one-way Clipper Card fare) in Q1, which totaled approximately \$871. It also shows the total discount provided by Caltrain for Clipper START trips, or the amount of foregone revenue for these trips (50 percent of the adult one-way Clipper Card fare), which totaled approximately \$873. Additionally, the table shows the subsidy that is provided by MTC to help offset Caltrain's revenue loss on Clipper START trips (10 percent of the full fare value for adult one-way Clipper Card fares), which totaled approximately \$174. Lastly, the table shows the amount of net revenue for Caltrain for Clipper START trips in Q1, approximately \$1,046.

Table 7: Clipper START Revenue Impact for Caltrain for Q1 for FY21

Month	Total Trips	Initial Fare Revenue Collected by Caltrain (50% of full value Adult Clipper Card fare)	Total Discount Provided by Caltrain (50% off of full value Adult Clipper Card fare)	Subsidy for Revenue Loss Provided by MTC (10% of full value Adult Clipper Card fare)	Total Net Revenue for Caltrain (Initial Fare Revenue + Subsidy)
July	3	\$9.25	\$9.35	\$1.86	\$11.11
Aug	71	\$236.45	\$238.25	\$47.47	\$283.92
Sep	183	\$626.05	\$625.55	\$125.16	\$751.21
Total	257	\$871.75	\$873.15	\$174.49	\$1,046.24

Notes:

1. The slight discrepancy between total fare revenue collected and the discount provided is due to rounding rules for the fares with Clipper.
2. Source: Caltrain, 2020.

8. How is Clipper START being promoted?

There is a regional marketing campaign for Clipper START that is being led by MTC in coordination with the participating operators. The regional promotion effort included a news release, e-newsletter, extensive outreach to Community Based Organizations (CBOs) and social service agencies, and paid digital ads.

In addition to this regional campaign, Caltrain staff has been actively engaged in promoting Clipper START using a variety of methods. Staff boosted organic social media messaging across all platforms and hosted a live social media event with MTC and Caltrain staff on 9/30/20. Staff also updated the Caltrain website's fare media

related pages and posted a large center button on the Caltrain homepage. Additional marketing support included brochures in multiple languages & ad cards onboard the trains and select stations, as well as digital display banners at the San Francisco Station. An additional paid communications campaign was also launched to target Chinese and Spanish markets. Caltrain staff are also reaching out to CBOs along the Caltrain corridor to help spread the word about Clipper START.

Caltrain staff have also partnered with VTA staff to actively promote Clipper START at VTA's transit centers, on passenger information messaging signs, at digital kiosks, offering "take ones" flyers for passengers, and in VTA's stations and vehicles.

NEXT STEPS

The Clipper START pilot program is in the process of being expanded to include additional operators. The terms of the pilot program have not changed as a result of adding in these additional operators, and MTC will be subsidizing their revenue losses incurred during the pilot program using \$5 million provided to the region by the federal CARES Act in spring 2020. While MTC is currently working with the additional operators to finalize participation details, it is anticipated that a second group of operators will launch participation in the program on November 23, 2020, and an additional third group of operators will launch in January 2021.

Caltrain staff will return with another pilot program quarterly update for the Board in winter 2020 for Q2 of FY21 (October 1, 2020 – December 31, 2020).

Prepared by: Melissa Jones, Principal Planner, Caltrain Planning

650.295.6852



Clipper START Quarterly Update Q1 of FY21 (July – September 2020)

November 23, 2020

Means-Based Fare Pilot Program

- Growing need for discounted transit fares for low-income adults
- 2015 MTC study determined desirability and viability of a means-based pilot
- Commitment to develop a discounted fare program making Bay Area public transit more accessible to low-income adults
- **Launched July 15, 2020 as Clipper START.**

CLIPPER.
START ▶▶▶



Clipper START Overview

PARTICIPATING AGENCIES AND DISCOUNT OFFERED*

- BART (20% discount)
- Caltrain (50% discount)
- Golden Gate Transit (50% discount)
- SFMTA (50% discount)
- *Discount applies to single-ride Clipper fares for adults

ELIGIBILITY

- Adults earning < 200% Federal Poverty Level (~\$50k Annual income for household of 4)

IMPLEMENTATION

- Offered through Clipper and applied to Clipper Card single-ride fares only
- Pilot duration: 18 Months
- Centrally administered for the region

How Do Individuals Apply?



DESKTOP

OR



MOBILE

OR



BROCHURE

Requirements



**PROOF OF
IDENTITY**



**PROOF OF
INCOME**



**BAY AREA
MAILING
ADDRESS**



**ANSWER SURVEY
QUESTIONS**

Once Enrolled...



RECEIVE CLIPPER START CARD

Each enrolled individual will receive their own Clipper START Card in the mail.



ADD CASH VALUE

Once they receive their Clipper START Card, individuals must add cash value to their card.



RIDE!

Individuals should use Clipper START like any other Clipper Card on BART, Caltrain, Golden Gate Bus/Ferry, and SFMTA.

On Caltrain, individuals must tag on and tag off with their Clipper START Card to receive the single-ride discount off of the regular adult Clipper fare.

Centralized Customer Service



Contact Clipper START Customer Service!

Forthcoming ways to contact customer service:
www.clipperstartcard.com, phone number,
email address, etc. *(anticipated to be available
in coming weeks)*

Comprehensive Outreach Approach



Quarterly Updates on Clipper START

- Caltrain staff will be providing an update to the Board each quarter for the 18-month pilot program.
- Updates will include Clipper START information related to applicants and enrollees, Caltrain ridership and trip information, and revenue impact for Caltrain.
 - Data sources: MTC (application and Clipper data) and Caltrain (Clipper and revenue data).
- Today's first update is for:
 - Q1 of FY21: July 15, 2020 – September 30, 2020

How many people were enrolled in Clipper START?

- As of September 2020, 1,369 applications have been approved.

Table 1: Applications for Clipper START for Q1 of FY21

<i>Applications</i>	<i>07/15/20 – 07/31/20</i>	<i>08/01/20 – 08/31/20</i>	<i>09/01/20 – 09/30/20</i>	<i>Q1 Total</i>
Total Submitted	444	356	722	1,522
Total Approved	407	314	648	1,369
Source: MTC, 2020.				

Where do applicants live in the region?

Table 2: County of Residence for Clipper START Applicants from Q1 of FY21

<i>County</i>	<i>Percentage of Total Applicants</i>
San Francisco	69%
Alameda	12%
Contra Costa	6%
Santa Clara	4%
San Mateo	3%
Marin	2%
Solano	2%
Sonoma	1%
Napa	0%
Total	100%
Source: MTC, 2020.	

How many trips were taken using Clipper START?

Table 3: Clipper START Trips in Q1 of FY21

<i>Total Clipper START Trips¹</i>	<i>07/15/20 – 07/31/20</i>	<i>08/01/20 – 08/31/20</i>	<i>09/01/20 – 09/30/20</i>	<i>Q1 Total</i>	<i>Percent of Q1 Total</i>
Caltrain	3	71	183	257	4.3%
BART	92	1,234	2,681	4,007	66.6%
SFMTA	9	513	981	1,509	25.0%
GGBHTD (Bus and Ferry)	12	75	160	247	4.1%
Clipper START Total Trips	116	1,893	4,006	6,021	100.0%
Caltrain Total Ridership for Month ²	91,850	90,737	93,484	276,071	N/A

Sources:

1. MTC, 2020; Cubic Crystal Reports, 2020.

2. The Key Caltrain Performance Statistics reports in the monthly Board packet provided the monthly ridership totals for Caltrain.



How many people used their Clipper START cards?

- As of September 2020, about 25% of the Clipper START cards that had been issued were in use across the region.
 - Of the cards in use, about 8% of the Clipper START cards were used on Caltrain

Table 4: Unique Clipper START Cards in Use by Month for Q1 of FY21

<i>Total Number of Unique Clipper START Cards in Use</i>	<i>07/15/20 – 07/31/20</i>	<i>08/01/20 – 08/31/20</i>	<i>09/01/20 – 09/30/20</i>
Caltrain	1	12	28
BART	25	127	245
SFMTA	6	61	124
GGBHTD (Bus and Ferry)	2	10	19
Overall Clipper System	31	127	343
Source: MTC, 2020.			

Where did Clipper START riders take trips on Caltrain?

- Top Clipper START rider stations for Q1 of FY21: San Francisco Fourth & King, South San Francisco, and San Jose Diridon
- Transfers in Q1 of FY21:
 - About 9% of Clipper START trips on Caltrain involved a transfer to another transit system.
 - Across the region, about 5% of Clipper START trips involved a transfer to another transit system.

When did Clipper START riders take trips on Caltrain?

- During Q1 of FY21, about 90% of Caltrain's Clipper START trips were made on a weekday.
 - This is consistent across all four participating agencies.

Table 5: Day of Week for Clipper START Trips on Caltrain in Q1 of FY21

<i>Month</i>	<i>Sun</i>	<i>Mon</i>	<i>Tue</i>	<i>Wed</i>	<i>Thu</i>	<i>Fri</i>	<i>Sat</i>	<i>Total</i>
July	0	0	0	0	1	2	0	3
August	6	17	6	14	8	14	6	71
September	8	26	21	41	34	32	21	183
Total	14	43	27	55	43	48	27	257
Percent of Total	5%	17%	11%	21%	17%	19%	11%	100%

Source: Cubic Crystal Reports, 2020.

When did Clipper START riders take trips on Caltrain?

- During Q1 of FY21, about 70% of Caltrain's Clipper START trips were made during the peak periods.

Table 6: Time of Day for Clipper START Trips on Caltrain in Q1 of FY21

<i>Month</i>	<i>AM Peak (6am-9am)</i>	<i>Midday (10am-3pm)</i>	<i>PM Peak (3pm-7pm)</i>	<i>Off-Peak (7pm-12am)</i>	<i>Total</i>
July	0	0	1	2	3
August	13	17	28	13	71
September	62	21	73	27	183
Total	75	38	102	42	257
Percent of Total	29%	15%	40%	16%	100%

Source: Cubic Crystal Reports, 2020.

How did Clipper START affect Caltrain's revenue?

Table 7: Clipper START Revenue Impact for Caltrain for Q1 for FY21

<i>Month</i>	<i>Total Trips</i>	<i>Initial Fare Revenue Collected by Caltrain (50% of full value Adult Clipper Card fare)</i>	<i>Total Discount Provided by Caltrain (50% off of full value Adult Clipper Card fare)</i>	<i>Subsidy for Revenue Loss Provided by MTC (10% of full value Adult Clipper Card fare)</i>	<i>Total Net Revenue for Caltrain (Initial Fare Revenue + Subsidy)</i>
July	3	\$9.25	\$9.35	\$1.86	\$11.11
Aug	71	\$236.45	\$238.25	\$47.47	\$283.92
Sep	183	\$626.05	\$625.55	\$125.16	\$751.21
Total	257	\$871.75	\$873.15	\$174.49	\$1,046.24

Notes:

1. The slight discrepancy between total fare revenue collected and the discount provided is due to rounding rules for the fares with Clipper.
2. Source: Caltrain, 2020.

How is Clipper START being promoted?

- Regional marketing effort includes:
 - News release, e-newsletter, extensive outreach to Community Based Organizations (CBOs) and social service agencies, and paid digital ads
- Caltrain staff are actively promoting the program as well:
 - Social media (all platforms)
 - Caltrain website (including a large center button on the Caltrain homepage)
 - Brochures in multiple languages & ad cards on board the trains and stations
 - Digital display banners at the San Francisco Station
 - Additional paid communications campaign to target Spanish and Chinese language speakers
 - Contacting CBOs along Caltrain corridor to promote the program
 - Partnering with VTA to help spread the word (for VTA stations, vehicles, etc.)

Next Steps

- Regional expansion of program anticipated in winter 2020-2021 to include additional operators (subsidies to be provided by funding from CARES Act).
 - Second group launching on November 23, 2020
 - Third group launching in January 2021
- Caltrain will continue to promote Clipper START with our partners.
- Caltrain staff will provide an update on Q2 of FY21 in winter 2020 to the JPB.

Thank you!