

Memorandum

To: Chair and Commissioners

Date: November 8, 2004

From: Diane C. Eidam

**File No:
Reference Number 2.1e(1)
Action**

Ref: Project Approval Amendment to the Peninsula Corridor Joint Powers Board to Amend PA-93-54; PA-95-08; PA-96-32; PA-96-33; PA-96-37; and PA-02-07

Issue:

Should the Commission approve the Peninsula Corridor Joint Powers Board's amended application to reduce the Proposition 116 funds (PUC Section 99636 [a], [b], and [c]) on Various Capital Improvements to the CalTrain Commuter Rail Service, CalTrain Maintenance Facility, and CalTrain Station Rehabilitation projects totaling \$345,257.75?

The Peninsula Corridor Joint Powers Board has completed several of the components of the CalTrain Capital Improvements project, as well as completion of the Caltrain Maintenance Facility and CalTrain Station Rehabilitation projects. These components and projects were completed with a cost savings totaling \$345,257.75. PCJPB is requesting that the funds be deprogrammed and a portion of the funds to be reprogrammed to another project. The new project is the subject of another Commission item.

Recommendation:

Commission staff has reviewed the Proposition 116 amended application, as well as subsequent clarifications and recommends that the Commission approve the attached resolution, which would grant approval to replace Commission Resolutions PA-93-54; PA-95-08; PA-96-32; PA-96-33; PA-96-37; and PA-02-07 of the Peninsula Corridor Joint Powers Board and to reduce the Proposition 116 funds (PUC Section 99636) for the Various Capital Improvements to the CalTrain Commuter Rail Service, CalTrain Maintenance Facility, and CalTrain Station Rehabilitation projects totaling \$345,257.75.

Background:

Proposition 116 (PUC Section 99636 [a], [b], [c], and [d]) authorizes \$173,000,000 to Peninsula Corridor Joint Powers Board (JPB) for CalTrain capital improvements and acquisition of rights-of-way.

In March 1995 ((PA-95-08), November 1996 (PA-96-32, formerly PA-95-08), and April 2002 (PA-02-07, formerly PA-96-32) the Commission approved the Peninsula Corridor JPB Proposition 116 various applications requesting \$21,831,975 in Proposition 116 funds (PUC Sections 99636[a] = \$7,110,659; 99636[b] = \$8,495,075; and 99636[c] = \$6,226,241) for various capital improvements to the CalTrain commuter rail service including:

1. Radio Communications (\$66,908) – add radio service to trains and other equipment while operating inside tunnels, and upgrade existing radios in locomotives.
2. Locomotive Rebuild (\$4,153,398) – replace power assemblies, turbo chargers, traction motors, radiators and generators, and upgrade equipment to improve fuel consumption and reduce emissions.
3. Passenger Car Rehabilitation (\$4,686,772) – replacement of mechanical and electrical components and systems and refurbishment of car interiors.

4. New Locomotives (\$862,500) – purchase three additional state-of-the-art diesel electric locomotives to expand existing service in near term.
5. Ticket Vending Machines (\$1,115,962) – acquisition of 55 additional machines to be installed at 27 stations as part of Phase II of conversion to self-service fare collection system.
6. San Francisco Specific Improvements (\$1,200,000) – track rehabilitation, tunnel work and bridge replacement for specific locations within San Francisco City/County.
7. Non-key Station Access Improvements (\$477,600) – improvements such as tactile strips, platform improvements, facilities upgrades, parking and access alterations, to provide improved access for elderly and disabled at non-key stations including Belmont, San Carlos, Burlingame, Millbrae, and Menlo Park.
8. Station Improvement Program (\$2,268,835) – improvements such as lighting, signage, and minor ADA retrofit of facilities for Hillsdale, San Carlos, and Mountain View stations.
9. System Upgrades (\$7,000,000) – improvements to system to promote safety, operational efficiency, and expansion of CalTrain including double crossovers, interlocked switches, third track at selected locations, centralized traffic control, intermodal facility upgrades, and pedestrian walkways and barriers.

In November 1996 (PA-96-32), the Commission approved the Peninsula Corridor Joint Powers Board amended application deleting tunnel work from the previously approved San Francisco Specific Improvements (Item 6 above) component of the CalTrain Capital Improvements Project and added \$1,294,111 in federal funds to the overall project financial plan, with no net change to the previously approved Proposition 116 funds.

Also in November 1996, the Commission approved the Peninsula Corridor Joint Powers Board project application amendment for the CalTrain station rehabilitation program PA-96-33 (formerly PA-93-54, and a separate project from Item 8 above) for \$2,250,000 in Proposition 116 funds (PUC Sections 99636[a] = \$750,000; 99636[b] = \$750,000; 99636[c] = \$750,000).

Then in December 1996 (PA-96-37), the Commission approved the Peninsula Corridor Joint Powers Board project application for the CalTrain Maintenance Facility Site Assessment and Environmental Review project for \$455,000.

In October 2004, the Commission received an amended Proposition 116 application requesting to amend the following:

1. Locomotive Rebuild (Item 2 above) – reduce by \$24,958 to \$4,128,440;
2. New Locomotives (Item 4 above) – reduce by \$35,051 to \$827,449
3. System Upgrades (Item 9 above) – reduce by \$266,193 to \$6,733,807
4. CalTrain Maintenance Facility (PA-96-37) – reduce by \$9,351 to \$445,649
5. CalTrain Stations Rehabilitation (PA-96-33) – reduce by \$9,702 to \$2,240,298.

Approval of the attached Resolution would replace PA-93-54; PA-95-08; PA-96-32; PA-96-33; PA-96-37; and PA-02-07.

CALIFORNIA TRANSPORTATION COMMISSION

Commission Project Application Approval Amendment
Of the Peninsula Corridor Joint Powers Board
Proposition 116 Application for the CalTrain
Capital Improvements Project, Maintenance Facility Project, and Stations Rehabilitation Project

Resolution #PA-04-

Replacing Resolutions PA-93-54; PA-95-08; PA-96-32; PA-96-33; PA-96-37; and PA-02-07

- 1.1 WHEREAS, in June 1990 the voters approved Proposition 116, the Clean Air and Transportation Improvement Act, for \$1.99 billion for rail and mass transportation purposes; and
- 1.2 WHEREAS, the California Transportation Commission is designated in Proposition 116 to oversee the five grant programs over the 20-year term of the Proposition; and
- 1.3 WHEREAS, Proposition 116 calls for the Commission to establish an application process and to develop and adopt guidelines to implement those programs; and
- 1.4 WHEREAS, Proposition 116 establishes as a purpose of the application process that it "facilitate implementation of improved cost-effective transit service to the maximum number of Californians and to prevent the funds provided for by this part from being spent on needlessly costly features"; and
- 1.5 WHEREAS, Proposition 116 requires applications to specify full and complete capital plans, financial plans, and operating plans, including schedules and funding sources; and
- 1.6 WHEREAS, in December 1990 the Commission adopted policy and application guidelines (#G-90-23) for the Proposition 116 rail program; and
- 1.7 WHEREAS, pursuant to Proposition 116, PUC Section 99636, and contingent upon approval by the Commission of an application for funding, \$173,000,000 shall be allocated to the Peninsula Corridor Joint Powers Board (JPB) for CalTrain capital improvements and acquisition of rights-of-way as follows:
 - (a) City and County of San Francisco -- \$13,000,000
 - (b) San Mateo County -- \$19,000,000
 - (c) Santa Clara County -- \$21,000,000
 - (d) Acquisition of rights-of-way -- \$120,000,000; and
- 1.8 WHEREAS, the Commission has established a "Hazardous Waste Identification and Cleanup Policy" (#G-91-2) which requires the applicant agency to have performed full due diligence in identifying the hazardous waste in the right-of-way and easements and properties and cleanup required, and that the State has been indemnified from cleanup liability or damages, both present and future; and

- 1.9 WHEREAS, the Commission has established a “Rail Right-of-Way Review Policy” (#G-95-09) which requires an evaluation of the applicant agency’s report on the appraisal cost and easement price of the rail right-of-way to be acquired; and
- 1.10 WHEREAS, in March 1995 (PA-95-08), November 1996 (PA-96-32, formerly PA-95-08), and April 2002 (PA-02-07, formerly PA-96-32) the Commission approved the Peninsula Corridor JPB Proposition 116 various applications requesting \$21,831,975 in Proposition 116 funds (PUC Sections 99636[a] = \$7,110,659; 99636[b] = \$8,495,075; and 99636[c] = \$6,226,241) for various capital improvements to the CalTrain commuter rail service including:
1. Radio Communications (\$66,908) – add radio service to trains and other equipment while operating inside tunnels, and upgrade existing radios in locomotives.
 2. Locomotive Rebuild (\$4,153,398) – replace power assemblies, turbo chargers, traction motors, radiators and generators, and upgrade equipment to improve fuel consumption and reduce emissions.
 3. Passenger Car Rehabilitation (\$4,686,772) – replacement of mechanical and electrical components and systems and refurbishment of car interiors.
 4. New Locomotives (\$862,500) – purchase three additional state-of-the-art diesel electric locomotives to expand existing service in near term.
 5. Ticket Vending Machines (\$1,115,962) – acquisition of 55 additional machines to be installed at 27 stations as part of Phase II of conversion to self-service fare collection system.
 6. San Francisco Specific Improvements (\$1,200,000) – track rehabilitation, tunnel work and bridge replacement for specific locations within San Francisco City/County.
 7. Non-key Station Access Improvements (\$477,600) – improvements such as tactile strips, platform improvements, facilities upgrades, parking and access alterations, to provide improved access for elderly and disabled at non-key stations including Belmont, San Carlos, Burlingame, Millbrae, and Menlo Park.
 8. Station Improvement Program (\$2,268,835) – improvements such as lighting, signage, and minor ADA retrofit of facilities for Hillsdale, San Carlos, and Mountain View stations.
 9. System Upgrades (\$7,000,000) – improvements to system to promote safety, operational efficiency, and expansion of CalTrain including double crossovers, interlocked switches, third track at selected locations, centralized traffic control, intermodal facility upgrades, and pedestrian walkways and barriers.
- 1.11 WHEREAS, in November 1996 (PA-96-32), the Commission approved the Peninsula Corridor Joint Powers Board amended application deleting tunnel work from the previously approved San Francisco Specific Improvements (Item 6 above) component of the CalTrain Capital Improvements Project and added \$1,294,111 in federal funds to the overall project financial plan, with no net change to the previously approved Proposition 116 funds; and
- 1.12 WHEREAS, in November 1996, the Commission approved the Peninsula Corridor Joint Powers Board project application amendment for the CalTrain station rehabilitation program PA-96-33 (formerly PA-93-54, and a separate project from Item 8 above) for \$2,250,000 in Proposition 116 funds (PUC Sections 99636[a] = \$750,000; 99636[b] = \$750,000; 99636[c] = \$750,000); and
- 1.13 WHEREAS, in December 1996 (PA-96-37), the Commission approved the Peninsula Corridor Joint Powers Board project application for the CalTrain Maintenance Facility Site Assessment and Environmental Review project for \$455,000; and

1.14 WHEREAS, in October 2004, the Commission received an amended Proposition 116 application requesting to amend the following:

1. Locomotive Rebuild (Item 2 above) – reduce by \$24,958 to \$4,128,440;
2. New Locomotives (Item 4 above) – reduce by \$35,051 to \$827,449
3. System Upgrades (Item 9 above) – reduce by \$266,193 to \$6,733,807
4. CalTrain Maintenance Facility (PA-96-37) – reduce by \$9,351 to \$445,649
5. CalTrain Stations Rehabilitation (PA-96-33) – reduce by \$9,702 to \$2,240,298

1.15 WHEREAS, Commission staff has reviewed the October 2004 amended application, including all supplemental information and it appears to meet all the basic requirements as specified in Proposition 116 and the Commission’s policies and guidelines.

2.1 BE IT THEREFORE RESOLVED, that the Commission hereby grants approval of the amended Proposition 116 application and replaces PA-93-54; PA-95-08; PA-96-32; PA-96-33; PA-96-37; and PA-02-07 with this Resolution to indicate the following projects from those prior Project Approvals, and their project components to be as follows:

Various Capital Improvements to the CalTrain Commuter Rail Service (formerly PA-95-08; PA-96-32; and PA-02-07)

1. Radio Communications (\$66,908) – add radio service to trains and other equipment while operating inside tunnels, and upgrade existing radios in locomotives.
2. Locomotive Rebuild (\$4,128,440) – replace power assemblies, turbo chargers, traction motors, radiators and generators, and upgrade equipment to improve fuel consumption and reduce emissions.
3. Passenger Car Rehabilitation (\$4,686,772) – replacement of mechanical and electrical components and systems and refurbishment of car interiors.
4. New Locomotives (\$827,449) – purchase three additional state-of-the-art diesel electric locomotives to expand existing service in near term.
5. Ticket Vending Machines (\$1,115,962) – acquisition of 55 additional machines to be installed at 27 stations as part of Phase II of conversion to self-service fare collection system.
6. San Francisco Specific Improvements (\$1,200,000) – track rehabilitation and bridge replacement for specific locations within San Francisco City/County.
7. Non-key Station Access Improvements (\$477,600) – improvements such as tactile strips, platform improvements, facilities upgrades, parking and access alterations, to provide improved access for elderly and disabled at non-key stations including Belmont, San Carlos, Burlingame, Millbrae, and Menlo Park.
8. Station Improvement Program (\$2,268,835) – improvements such as lighting, signage, and minor ADA retrofit of facilities for Hillsdale and Mountain View stations.
9. System Upgrades (\$6,733,807) – improvements to system to promote safety, operational efficiency, and expansion of CalTrain including double crossovers, interlocked switches, third track at selected locations, centralized traffic control, intermodal facility upgrades, and pedestrian walkways and barriers.

CalTrain Maintenance Facility (formerly PA-96-37) – reduce by \$9,351 to \$445,649

CalTrain Stations Rehabilitation (formerly PA-93-34, and PA-96-33) – reduce by \$9,702 to \$2,240,298

2.2 BE IT FURTHER RESOLVED, that a Proposition 116 project approval by the Commission reserves the State funding within the Program, and allows project development work to be undertaken by the applicant agency, which will be subject to state reimbursement pursuant to the Commission’s “Financial Guidelines for Local Agency Reimbursement” and subsequent fund transfer agreement.