



# LOSSAN RAIL CORRIDOR AGENCY TECHNICAL ADVISORY COMMITTEE

**Thursday, November 5, 2020**  
**12:30 P.M. - 2:30 P.M**

Any person with a disability who requires a modification, accommodation or agenda materials in an alternative format in order to participate in the meeting should contact the Los Angeles – San Diego – San Luis Obispo (LOSSAN) Clerk of the Board, telephone 714-560-5676, no less than two (2) business days prior to this meeting to enable LOSSAN to make reasonable arrangements to assure accessibility to this meeting.

Agenda descriptions are intended to give members of the public a general summary of items of business to be transacted or discussed. The posting of the recommended actions does not indicate what action will be taken. The Committee may take any action which it deems to be appropriate on the agenda item and is not limited in any way by the notice of the recommended action.

All documents relative to the items referenced in this agenda are available for public inspection at [www.lossan.org](http://www.lossan.org).

### **Guidance for Public Access to the TAC Committee Meeting**

On March 12, 2020 and March 18, 2020, Governor Gavin Newsom enacted Executive Orders N-25-20 and N-29-20 authorizing a local legislative body to hold public meetings via teleconferencing and make public meetings accessible telephonically or electronically to all members of the public to promote social distancing due to the state and local State of Emergency resulting from the threat of Novel Coronavirus (COVID-19).

In accordance with Executive Order N-29-20, and in order to ensure the safety of the Orange County Transportation Authority (OCTA) Board of Directors (Board) and staff and for the purposes of limiting the risk of COVID-19, in-person public participation at public meetings of the OCTA will not be allowed during the time period covered by the above-referenced Executive Orders.

Instead, members of the public can listen to AUDIO live streaming of the TAC Committee meetings with TEAMS by clicking the below link:

[TAC Meeting Live Stream](#)

Public comments may be submitted for the upcoming Committee meetings by emailing them to [boardofdirectors@octa.net](mailto:boardofdirectors@octa.net).



## TECHNICAL ADVISORY COMMITTEE AGENDA

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### **Guidance for Public Access to TAC Committee Meeting (Continued)**

If you wish to comment on a specific agenda Item, please identify the Item number in your email. All public comments that are timely received will be part of the public record and distributed to the Committee. Public comments will be made available to the public upon request.

In order to ensure that staff has the ability to provide comments to the TAC Committee Members in a timely manner, please submit your public comments 30 minutes prior to the start time of the Committee meeting date.

# TECHNICAL ADVISORY COMMITTEE AGENDA

## 2020 TECHNICAL ADVISORY COMMITTEE

### Technical Advisory Committee - Membership Roster

	Member Agencies	Appointee	Alternate
North	San Luis Obispo Council of Governments	Anna Devers	Tim Gillham
	Santa Barbara County Association of Governments	Scott Spaulding	Lauren Bianchi Klemann
	Ventura County Transportation Commission	Claire Grasty	Martin Erickson
Central	Los Angeles County Metropolitan Transportation Authority	Jay Fuhrman	Jeanet Owens
South Central	Orange County Transportation Authority	Megan LeMaster	Alexis Murillo Felix
	Riverside County Transportation Commission	Sheldon Peterson	Vacant
South	San Diego Metropolitan Transit System	Brent Boyd	Julia Tuer
	North County Transit District	Damon Blythe	Michael Johnson
	San Diego Association of Governments	Danny Veeh	Linda Culp

## Call to Order

### 1. Public Comments

At this time, members of the public may address the Technical Advisory Committee regarding any items within the subject matter jurisdiction of the Technical Advisory Committee, but no action may be taken on off-agenda items unless authorized by law. Comments shall be limited to three (3) minutes per speaker unless different time limits are set by the Chairman subject to the approval of the Technical Advisory Committee.

## Consent Calendar (Items 2 through 3)

All items on the Consent Calendar are to be approved in one motion unless a Committee Member or a member of the public requests separate action or discussion on a specific item.

### 2. Approval of Minutes

James D. Campbell

#### Overview

Approval of the minutes from the September 3, 2020, LOSSAN Technical Advisory Committee meeting.

#### Recommendation

Receive and file as an information item.

### 3. The Los Angeles San Diego San Luis Obispo Rail Corridor Trends for the Third Quarter of Federal Fiscal Year 2019 20

Roger M. Lopez

#### Overview

A report on ridership, revenue, and on time performance trends for passenger rail services on the Los Angeles San Diego San Luis Obispo rail corridor, including the Pacific Surfliner, Metrolink, and COASTER, covering the third quarter of federal fiscal year 2019-20, is presented for consideration by the Technical Advisory Committee.

#### Recommendation

Receive and file as an information item.



## Regular Calendar

### 4. **Fiscal Year 2021-25 State Rail Assistance**

Russell Henry

#### **Overview**

Senate Bill 1, the Road Repair and Accountability Act of 2017, is expected to provide over 54 billion in funding by 2027 to maintain and improve California's transportation system. An element of Senate Bill 1, the State Rail Assistance program, provides funding for both operational and capital improvements to commuter and intercity passenger rail services. Consistent with the Los Angeles – San Diego – San Luis Obispo Rail Corridor Agency annual business plan and State Rail Assistance program guidelines, staff has developed a proposed five-year program of projects to utilize these funds.

#### **Recommendation**

Recommend the proposed program of projects for Fiscal Year 2020-21 through Fiscal Year 2024-25 State Rail Assistance formula funds to the Board of Directors.

## Discussion Calendar (Items 5 through 11)

### 5. **Proposed 2021 Board of Directors and Committee Meetings Schedule**

James D. Campbell

#### **Overview**

The Los Angeles - San Diego - San Luis Obispo Rail Corridor Agency staff has updated the proposed Board of Directors and Committee meetings schedule for calendar year 2021 to reflect informal direction from the Board of Directors, and is consistent with the development of key deliverables and actions anticipated for calendar year 2021.

### 6. **Draft 2021 Los Angeles - San Diego - San Luis Obispo Rail Corridor Agency Legislative Program**

James D. Campbell

#### **Overview**

Annually, the Los Angeles - San Diego - San Luis Obispo Rail Corridor Agency adopts a Legislative Program of strategic goals to guide its legislative activities for the upcoming session. A draft of the 2021 Los Angeles - San Diego - San Luis Obispo Rail Corridor Agency Legislative Program has been prepared.

**7. Pacific Surfliner On-Time Performance Analysis Second Quarter - Federal Fiscal Year 2019-20**

Roger M. Lopez

**Overview**

Staff will provide a detailed analysis of Pacific Surfliner on-time performance during the second quarter of federal fiscal year 2019-20.

**8. Annual Business Plan and Budget Assumptions for Fiscal Years 2021-22 and 2022-23**

Roger M. Lopez

**Overview**

The Los Angeles - San Diego - San Luis Obispo Rail Corridor Agency is required to submit an annual business plan to the California State Transportation Agency by April 1 of each year that provides the basis for its annual budget request and any proposed changes to the Pacific Surfliner service. A list of key assumptions used in developing the budget and business plan for fiscal year 2021-22 and fiscal year 2022-23 is presented.

**9. Upcoming Agenda Items**

James D. Campbell

**Overview**

Overview of upcoming agenda items for the Los Angeles - San Diego - San Luis Obispo Rail Corridor Agency Board of Directors meeting on November 16, 2020.

**10. Los Angeles – San Diego – San Luis Obispo Rail Corridor Agency Update**

**11. Technical Advisory Committee Members' Report**

### **Adjournment**

The regularly scheduled meeting of this Committee will be held:

Thursday, February 4, 2021

Location: TBD



# Los Angeles – San Diego – San Luis Obispo Rail Corridor Agency **TECHNICAL ADVISORY COMMITTEE**

## **SEPTEMBER 3, 2020 MEETING MINUTES**

The Los Angeles – San Diego – San Luis Obispo (LOSSAN) Rail Corridor Agency (Agency) Technical Advisory Committee (TAC) met on September 3, 2020, at 12:30 p.m. via TEAMS conference call.

### **Committee members in attendance:**

*Via Teleconference:*

Brent Boyd, MTS  
Danny Veeh, SANDAG  
Linda Culp, SANDAG  
Michael Johnson, NCTD  
Sheldon Peterson, RCTC  
Megan LeMaster, OCTA  
Alexis Murillo-Felix, OCTA  
Jay Fuhrman, LA Metro  
Jeanette Owens, LA Metro  
Claire Grasty, VCTC  
Martin Erickson, VCTC  
Jerry Romana, HSR  
Tamara Noel, BNSF  
Victor Stone, UPRR  
Anna Devers, SLOCOG  
Scott Spaulding, SBCAG

### **Welcome and Introductions**

The September 3, 2020, LOSSAN Agency TAC meeting was called to order by Mr. James Campbell, LOSSAN Program Manager, who welcomed the LOSSAN TAC to the TEAMS conference call. Mr. Campbell asked the participants over the teleconference line for introductions.

#### **1. Public Comments**

*There were no Public Comments.*

### **CONSENT CALENDAR**

#### **2. Approval of Minutes**

*The Committee approved the September 2020 meeting minutes.*

## REGULAR CALENDAR

### 3. **Proposed 2021 Board of Directors and Committee Meetings Schedule**

Mr. James Campbell (LOSSAN) provided an overview on the proposed draft 2021 meetings calendar.

*The Committee approved the recommendation to submit the proposed 2021 Board of Directors and Committee meeting schedule to the Board of Directors for review and approval.*

## DISCUSSION ITEMS

### 4. **Fiscal Year 2020 21 Annual Business Plan Update**

Mr. Roger Lopez (LOSSAN) provided an overview on the business plan update. He gave an update on the Chapter 11 administrative/marketing and operations element. CALSTA approved the administrative/marketing component for 5.9 million, down from the original 6.8 million. Regarding the Operating budget, CALSTA has directed all the Intercity passenger rail services in California to operate no more than 60 percent of their originally approved fiscal year 2019-20 train miles and is requesting additional cost savings to reduce the funding needed to operate the services. LOSSAN staff has been working with Amtrak on the federal fiscal year 2020-21 operating budget. Amtrak is refining the operating cost forecast and will be providing an update later this month.

Staff has also been working on additional cost-saving measures, which includes stations, crew labor, and maintenance costs to reduce the operating costs as much as possible. Mr. Lopez confirmed that staff will bring a revised fiscal year 2020-21 operating budget and a revised business plan chapter 11 to the Board in November.

*A brief discussion ensued regarding a revised schedule. Mr. Lopez confirmed that once Amtrak provides the revised estimates, staff will review again and establish a revised budget to be brought to the Board in November. There was no further discussion.*

### 5. **Update on Capital Programs and Projects along the Los Angeles San Diego San Luis Obispo Rail Corridor between Los Angeles and San Luis Obispo**

Mr. Scott McConnell, Ms. Jeanette Owens, Mr. Will Ridder, and Mr. Jay Fuhrman (LA Metro) gave a brief update presentation on their on-going capital projects. The presentation gave an overview on the modernization of Union Station, the Link US Project overview and funding plan, the proposed project of the BNSF Malabar Yard, the concept of the future high-speed rail, the Rail Multiple Unit Pilot Program, and the Metrolink AVL 30-minute service vision.

Mr. Chris Haskell and Mr. Roderick Diaz (Metrolink) also gave a brief update presentation on their on-going capital projects. The presentation gave a brief overview of the SCORE program, which includes signal improvements, and station and speed improvements.

Mr. Victor Stone and Ms. Rhonda Gibson (Union Pacific) gave a Union Pacific-LOSSAN update on the performance and work ongoing along the Santa Barbara subdivision. The presentation included current Amtrak train performance, the status of projects associated with the 2020 agreement to add two roundtrips between Moorpark and Santa Barbara, one continuing to San Luis Obispo, as well as infrastructure renewal, corridor improvements, and operation and maintenance. The presentation also included bridge updates, infrastructure, and safety improvements.

*There was no further discussion.*

**6. Los Angeles – San Diego – San Luis Obispo Rail Corridor Optimization Study Update and Preliminary Recommendations**

Mr. Campbell (LOSSAN) introduced Mr. Hamish Pollock-Fraser from DB Engineering and Consulting. Mr. Fraser gave a brief overview of the optimization study update and preliminary recommendations. The presentation included prioritizing key projects to support service growth and proposed recommendations to help transform passenger rail in Southern California using long-term, mid-term, and near-term planning phases.

*A brief discussion ensued on a few questioned slides from the presentation, including a confirmation that the final workshop is for the operators. There was no further discussion.*

**7. Upcoming Agenda Items**

Mr. Campbell (LOSSAN) provided a brief overview of the agenda items for the September 2020 Board of Directors meeting.

*A brief explanation on the Rail 2 Rail items was requested. No further discussion.*

**8. Los Angeles – San Diego – San Luis Obispo Rail Corridor Agency Update**

Mr. Campbell (LOSSAN) mentioned there is a small and convenient procurement out to prepare and perform an update to the San Diego County Layover and Maintenance facilities study. There is no need for a Board action.

Mr. Roger Lopez (LOSSAN) gave an update on the ridership, which included a 4 ½ percent growth in the last six weeks.

**9. Technical Advisory Committee Members' Report**

*Mr. Jay Fuhrman, LA Metro, mentioned that Metro will be adding back another roundtrip service on the Ventura Line beginning on September 8<sup>th</sup>.*

*Mr. Michael Johnson, NCTD, mentioned they received their first two Charger locomotives.*

*Mr. Danny Veeh, SANDAG, shared their regional vision presentation that was shared with their Board of Directors on August 14<sup>th</sup>.*

*Mr. Jerry Romana (HSR), shared the Authority closed the draft EIR/EIS public review period on Burbank to LA section and for LA to Anaheim section, a revised NOI / NOP was issued on August 25<sup>th</sup> with a scoping period to extend through September 24<sup>th</sup>.*

**10. Adjournment**

The next regularly scheduled meeting of this Committee will be held on:

Thursday, November 5, 2020

Location: TBD

12:30 p.m. – 2:30 p.m.



**November 5, 2020**

**To:** Members of the Technical Advisory Committee

**From:** Donna DeMartino, Managing Director

**Subject:** The Los Angeles – San Diego – San Luis Obispo Rail Corridor  
Trends for the Third Quarter of Federal Fiscal Year 2019-20

### **Overview**

A report on ridership, revenue, and on-time performance trends for passenger rail services on the Los Angeles – San Diego – San Luis Obispo rail corridor, including the Pacific Surfliner, Metrolink, and COASTER, covering the third quarter of federal fiscal year 2019-20, is presented for consideration by the Technical Advisory Committee.

### **Recommendation**

Receive and file as an information item.

### **Background**

The 351-mile Los Angeles – San Diego – San Luis Obispo (LOSSAN) rail corridor travels through a six-county coastal region in Southern California and is the busiest state-supported intercity passenger rail corridor in the United States. The LOSSAN rail corridor includes 41 stations and typically hosts more than 150 daily passenger trains and an annual ridership of more than 2.7 million on Pacific Surfliner intercity passenger rail trains and about 5.4 million on Metrolink and COASTER commuter trains.

### **Discussion**

This report provides an update on the performance of the passenger rail services operating on the LOSSAN rail corridor by presenting the current trends of the service in three specific areas: usage (ridership and passenger miles), efficiency (revenue and farebox recovery), and quality (on-time performance (OTP) and customer satisfaction). The report includes the Pacific Surfliner intercity passenger rail service, as well as commuter rail service on Metrolink's Ventura County Line (VCL) and Orange County Line (OCL), and the North County Transit District's COASTER system. Amtrak national data is included for comparative purposes. The

reporting period is the third quarter of federal fiscal year (FFY) 2019-20, covering the months of April, May, and June 2020.

### Coronavirus Pandemic

The coronavirus (COVID-19) pandemic has had significant global impacts on transit ridership and operations, including the three rail services operating on the LOSSAN rail corridor. Attributable ridership and revenue declines were observed at the end of February 2020, and drastic declines followed Governor Newsom's safer-at-home order, effective March 15, 2020. Shortly thereafter, the Pacific Surfliner, COASTER, and Metrolink implemented temporary service reductions on their respective intercity and commuter passenger rail services. The Pacific Surfliner and COASTER began service reductions on March 23, 2020, and Metrolink reduced its service on March 26, 2020.

### Usage

For the third quarter of FFY 2019-20, total LOSSAN rail corridor ridership on the three services was 152,488, a 92.7 percent decrease when compared to the same period of the previous year. However, when analyzing ridership performance on a monthly level, ridership increased in May and June following

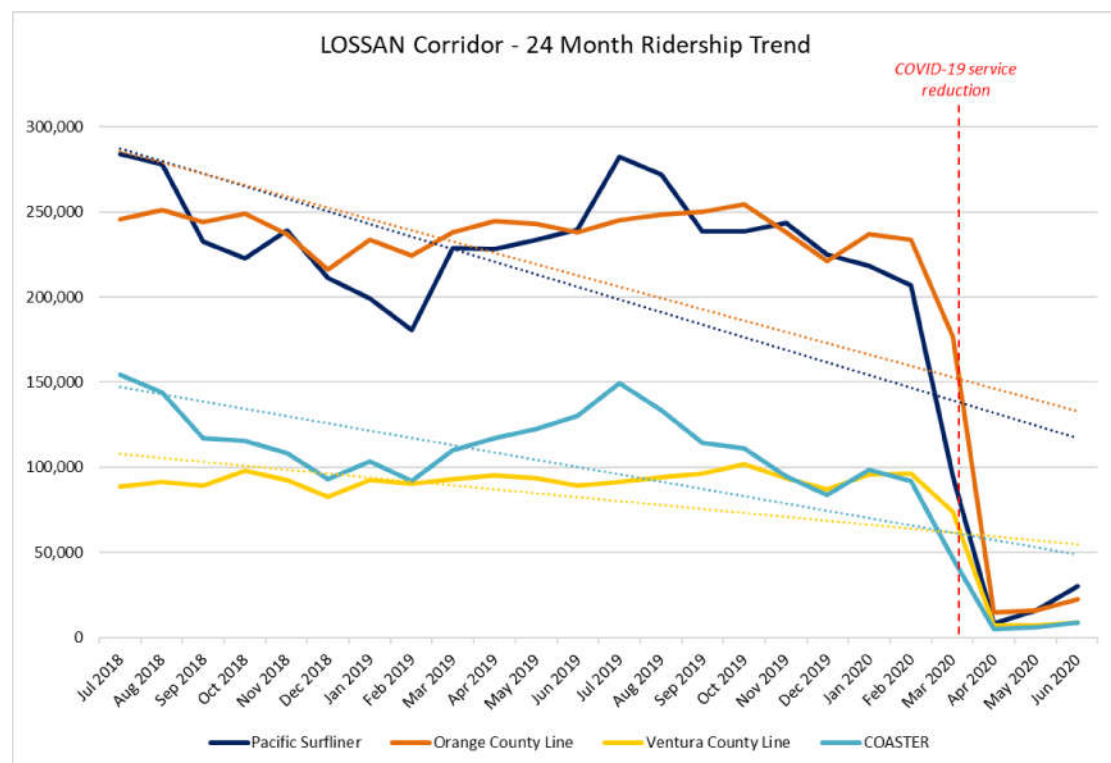


Figure 1.1



a record decline and low ridership in April. A 24-month ridership chart for the LOSSAN rail corridor, with the specific performance of each service, can be found in Figure 1.1.

The 24 months of ridership data included in Figure 1.1 provide a more accurate indicator of the overall change in ridership along the corridor. Due to seasonal variances, a complete ridership trend is difficult to discern from a single 12-month period. Including 24 months of data accounts for the seasonal variation and provides sufficient information to allow for the development of a linear trendline for each service. A summary table of the ridership, revenue, and OTP for the LOSSAN rail corridor can be found in Attachment A. In addition to this overall corridor data, details on the performance of each service are provided below.

### Pacific Surfliner

The overall decrease in LOSSAN rail corridor ridership includes ridership on the Pacific Surfliner (San Luis Obispo to San Diego) intercity passenger rail service, which decreased during the third quarter of FFY 2019-20 by 92.2 percent when compared to the same period last year, as is demonstrated in Figure 1.2. Ridership saw a low point in April, attributable to the reduced service and travel restrictions associated with the COVID-19 pandemic. The reported Pacific Surfliner ridership includes Metrolink and COASTER pass holders utilizing the Rail 2 Rail (R2R) Program, which allows Metrolink monthly pass holders and COASTER passengers to ride Pacific Surfliner trains within the stations identified on their valid fare media, subject to certain restrictions.

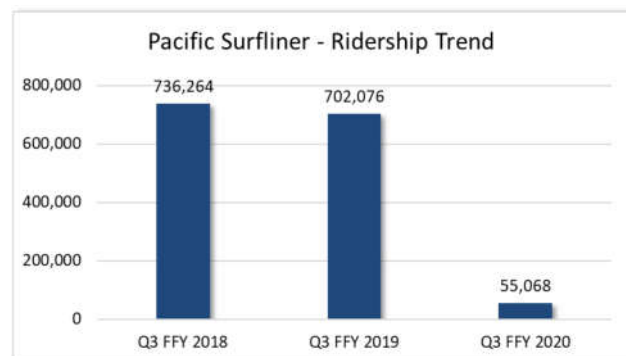


Figure 1.2

### Metrolink

Overall LOSSAN rail corridor ridership was also negatively impacted by the ridership decrease on Metrolink's VCL demonstrated in Figure 1.3. The VCL, which operates between East Ventura and Los Angeles, saw a ridership decrease of 91.6 percent when compared to the third quarter of last year. The OCL, which

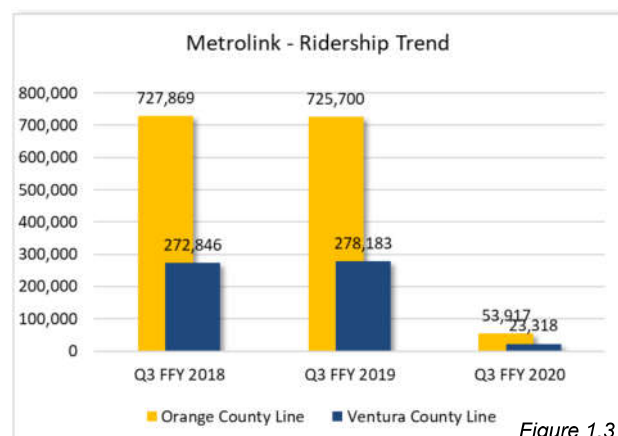


Figure 1.3

operates between Los Angeles and Oceanside, saw a similar 92.6 percent decrease in ridership over the same report period in the prior year.

Metrolink pass holders riding Pacific Surfliner trains, utilizing the R2R Program, averaged 31 per weekday for the third quarter of FFY 2019-20, which is a decrease of 97.2 percent compared to the same period last year.<sup>1</sup>

## COASTER

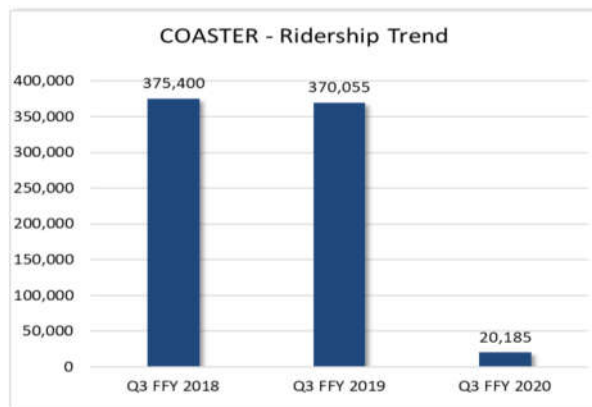


Figure 1.4

COASTER (providing commuter rail service between Oceanside and San Diego) ridership decreased by 94.5 percent during the third quarter of FFY 2019-20 when compared to the same period the prior year, as shown in Figure 1.4. During the third quarter of FFY 2019-20, there were an average of one COASTER pass holder per day on Pacific Surfliner trains, utilizing the R2R program. This was a decrease of 97.5 percent when compared to last year.

## Amtrak System

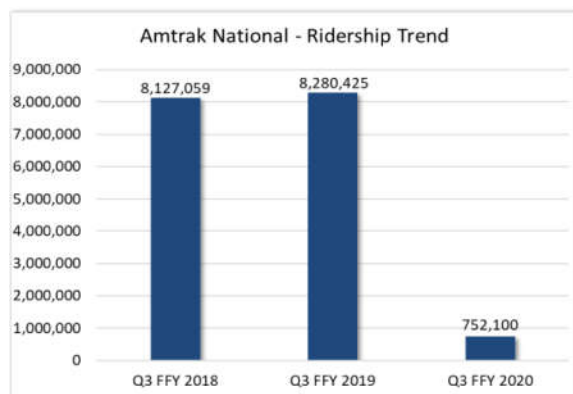


Figure 1.5

Not immune to the significant impacts of the COVID-19 pandemic, Amtrak service nationwide experienced a cumulative ridership decrease of 90.9 percent for the third quarter of FFY 2019-20 compared with the same period the prior year, as illustrated in Figure 1.5.

Amtrak's Coast Starlight (Seattle to Los Angeles) saw ridership decrease by 74.8 percent in the third quarter compared with the same period last

year. The Capitol Corridor (Auburn/Sacramento to Oakland and San Jose) and the San Joaquins Corridor (Sacramento/Oakland to Bakersfield) are the other two California State-supported intercity passenger rail services operated by Amtrak, and although serving significantly different markets, do provide a comparison to the Pacific Surfliner service. Ridership on the Capitol Corridor decreased by

<sup>1</sup> Metrolink R2R values are based on preliminary, unaudited data provided by Amtrak.

92.8 percent and San Joaquins ridership decreased by 85.7 percent in the third quarter compared to the same period last year.

### Passenger Miles

A passenger mile is defined as one passenger traveling one mile. As an example, 10 passengers, each traveling 100 miles, would generate 1,000 passenger miles. This metric depicts the growth in passenger usage and distance traveled.

The Pacific Surfliner generated over 5 million passenger miles during the third quarter of FFY 2019-20, which is a 92.0 percent decrease compared to the same period in the prior year. The decrease in passenger miles aligns with the overall decrease in ridership. Factoring in the average pounds of carbon dioxide emissions per passenger mile in a private automobile versus riding on passenger rail, those 5 million passenger miles resulted in a reduction of over 1,806 tons of greenhouse gases. The pollution avoided is equivalent to burning just over 200,000 gallons of gasoline.

### Efficiency

### Revenue

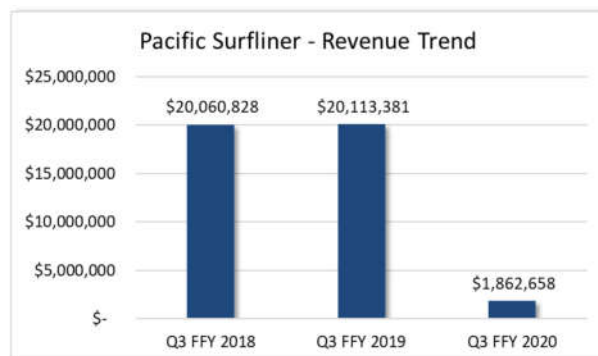


Figure 1.6

In correlation with the ridership decrease due to the COVID-19 pandemic, ticket revenue for the Pacific Surfliner also underperformed. For the third quarter of FFY 2019-20, overall revenue decreased by 90.7 percent when compared with the same period in the prior year, as shown in Figure 1.6.

For the Capitol Corridor, total revenue decreased by 89.9 percent, the San Joaquin rail corridor saw a decrease of 75.4 percent, and the Coast Starlight decreased by 77.4 percent in the third quarter compared to last year.

### Farebox Recovery

The Pacific Surfliner is legislatively required to achieve a minimum of 55 percent farebox recovery. As a performance measure, farebox recovery is normally calculated on an annual basis. Expenses throughout the year are not linear and

can cause significant fluctuations in the farebox recovery ratio from quarter to quarter.

The California Department of Transportation Division of Rail and Mass Transportation usually reports quarterly to the California Transportation Commission (CTC) on all state-supported corridors via the *California Department of Transportation's Intercity Passenger Rail Operations Report*. This report focuses on a rolling 12-month report period instead of the quarter. A report has not been submitted to the CTC since December 4, 2019. As of that report, the 12 months ending June 2019 saw a 72.5 percent farebox recovery ratio.

### Quality

#### OTP

The methodologies for calculating OTP vary significantly between intercity and commuter rail services. Commuter trains are considered late if trains arrive six or more minutes late to the terminal location. Pacific Surfliner trains are considered late if trains arrive 15 or more minutes after scheduled arrival times.

In the third quarter of FFY 2019-20, average endpoint Pacific Surfliner OTP was 92.8 percent, which was an amazing 23.8 percent increase over the prior year. The significant service reduction that occurred in March 2020 lead to reduced train volumes throughout the LOSSAN corridor. As such, an improvement in OTP was anticipated. A monthly OTP trend for the Pacific Surfliner can be seen in Figure 1.7.

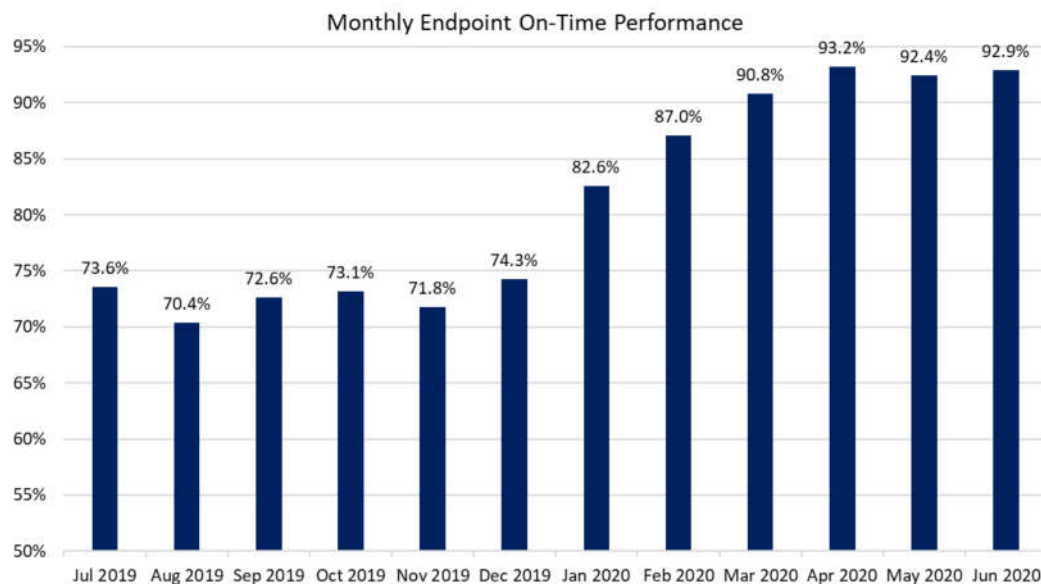


Figure 1.7

The LOSSAN Rail Corridor Agency (Agency) will continue to work collaboratively with the Corridor Improvement Team via quarterly meetings to ensure that OTP performance remains high as service is eventually restored.

#### Customer Satisfaction

Amtrak reports an Electronic Customer Satisfaction Index (eCSI) score monthly for all routes, in which a 'very satisfied' percentage is calculated out of 100 passengers via electronic survey. Unfortunately, for the third quarter, the reduced ridership lead to an insufficient number of respondents to accurately calculate the eCSI score. As ridership increases, this metric will return.

#### Additional Performance Indicators

##### Food and Beverage Sales

The LOSSAN Agency's focus on improving service quality and the customer experience has prompted additional attention to the food and beverage selections offered in the Pacific Surfliner Café car. Continual effort is made to ensure that menu items are meeting the expectations of our passengers. As part of that effort, LOSSAN Agency staff closely monitors food and beverage sales to gauge the success of what is being offered and to highlight items that need to be adjusted.

<i>Sales Category</i>	<i>FFY19 Q3</i>	<i>FFY20 Q3</i>	<i>% Change</i>
Baked Goods	\$ 117,461	\$ 12,502	<b>-89.4%</b>
Beer	\$ 297,299	\$ 28,133	<b>-90.5%</b>
Beverages	\$ 363,260	\$ 37,316	<b>-89.7%</b>
Dairy Products	\$ 10,510	\$ 650	<b>-93.8%</b>
Fresh Prepared Foods	\$ 186,169	\$ 2,113	<b>-98.9%</b>
Liquor	\$ 147,662	\$ 20,468	<b>-86.1%</b>
Miscellaneous Merchandise	\$ 6,723	\$ 2,450	<b>-63.6%</b>
Packaged Snack Foods	\$ 968,727	\$ 269,945	<b>-72.1%</b>
Salads	\$ 24,555	\$ -	<b>-100.0%</b>
Wine	\$ 504,049	\$ 31,339	<b>-93.8%</b>
<b>Total Revenue</b>	<b>\$ 2,626,415</b>	<b>\$ 404,915</b>	<b>-84.6%</b>

*Figure 1.8*

For the third quarter of FFY 2019-20, food and beverage sales decreased by 84.6 percent over the same quarter in the prior year. In addition to the decrease in ridership, Café car sales were impacted by the restrictions associated with indoor dining. The sales of salads and fresh prepared foods was discontinued to prevent losses associated with spoilage as a result of reduced demand. Subsequently, hot prepared food had to be temporarily suspended to ensure the safety and health of all involved by limiting the interactions necessary between the passengers and Café car attendants.

Various safety measures, including the installation of plexiglass barriers, have allowed for the return of microwavable food items. As these items return and ridership increases, we anticipate Café car revenue to follow the same trend. Details on the performance of each specific sales category are included in Figure 1.8.

### **Amtrak Thruway Bus Service**

Pacific Surfliner rail service is supplemented by Amtrak's network of Thruway buses that connect passengers throughout the LOSSAN rail corridor. The bus routes function as part of the Pacific Surfliner service and include:

- Route 4: Los Angeles to Santa Barbara/Goleta. Two daily one-way trips.
- Route 17: Santa Barbara to San Luis Obispo to Oakland (where it connects with Capitol Corridor). Eleven daily one-way trips.
- Route 39: Fullerton to Palm Springs and Coachella Valley. Four daily one-way trips.

For the third quarter of FFY 2019-20, ridership on these three routes totaled 4,968 riders, which was a decrease of 79.5 percent when compared to the same period in the prior year (24,273 riders).

### ***Summary***

This report provides an update of trends for the usage, efficiency, and quality of the passenger rail services on the Los Angeles – San Diego – San Luis Obispo rail corridor, including the Pacific Surfliner, Metrolink and COASTER, for the third quarter of federal fiscal year 2019-20. During the third quarter, total Los Angeles – San Diego – San Luis Obispo rail corridor ridership decreased by 92.7 percent compared to the same period last year. Ridership on the Pacific Surfliner decreased by 92.2 percent, and revenue realized a 90.7 percent decline when compared to the same period last year.

***Attachment***

- A. Los Angeles – San Diego – San Luis Obispo Rail Corridor Performance Summary, Third Quarter Federal Fiscal Year 2019-20

**Prepared by:**

A handwritten signature in black ink, appearing to read 'Roger M. Lopez', with a long horizontal line extending to the right.

Roger M. Lopez  
Manager, Planning and Analysis  
(714) 560-5438

**Los Angeles – San Diego – San Luis Obispo Rail Corridor Performance Summary  
Third Quarter Federal Fiscal Year 2019-20**

<b><u>Service</u></b>	<b><u>Ridership (total)</u></b>	<b><u>Ridership - Growth Over Same Quarter Previous Year</u></b>	<b><u>Revenue (total)</u></b>	<b><u>Revenue - Growth Over Same Quarter Previous Year</u></b>	<b><u>Endpoint OTP (3 mo. avg)</u></b>
Pacific Surfliner	55,068	-92.2%	\$ 1,862,658	-90.7%	86.8%
Metrolink Ventura County Line	53,917	-91.6%	---	---	98.0%
Metrolink Orange County Line	23,318	-92.6%	---	---	94.4%
COASTER	20,185	-94.5%	---	---	96.0%
<b>LOSSAN Total/Average</b>	<b>152,488</b>	<b>-92.7%</b>	<b>---</b>	<b>---</b>	<b>---</b>

Amtrak Nationwide	752,100	-90.9%	\$ 59,889,374	-90.5%	84.4%
Capitol Corridor	33,000	-92.8%	\$ 898,128	-89.9%	86.6%
San Joaquin	47,179	-85.7%	\$ 2,030,464	-75.4%	81.0%
Coast Starlight	26,746	-74.8%	\$ 2,459,572	-77.4%	75.9%





**November 5, 2020**

**To:** Technical Advisory Committee

**From:** Donna DeMartino, Managing Director

**Subject:** Fiscal Year 2020-21 Through Fiscal Year 2024-25 State Rail Assistance

### **Overview**

Senate Bill 1, the Road Repair and Accountability Act of 2017, is expected to provide over \$54 billion in funding by 2027 to maintain and improve California's transportation system. An element of Senate Bill 1, the State Rail Assistance program, provides funding for both operational and capital improvements to commuter and intercity passenger rail services. Consistent with the Los Angeles – San Diego – San Luis Obispo Rail Corridor Agency annual business plan and State Rail Assistance program guidelines, staff has developed a proposed five-year program of projects to utilize these funds.

### **Recommendation**

Recommend the proposed program of projects for Fiscal Year 2020-21 through Fiscal Year 2024-25 State Rail Assistance formula funds to the Board of Directors.

### **Background**

Senate Bill 1 (SB-1), the Road Repair and Accountability Act of 2017, is intended to provide over \$54 billion by 2027 to maintain and improve California's transportation infrastructure. This includes approximately \$454 million directed specifically to commuter and intercity passenger rail services through the State Rail Assistance (SRA) program. The SRA program is intended to fund both operational and capital improvements through a combination of formula and competitive distribution. The Los Angeles – San Diego – San Luis Obispo (LOSSAN) Rail Corridor Agency (Agency) is an eligible recipient of these funds. The SRA program is administered by the California State Transportation Agency (CalSTA), which is responsible for evaluating the eligibility of projects, disbursing funds and tracking progress of delivery through extensive required reporting from recipients.

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***Discussion***

The SRA program guidelines were most recently amended and adopted by CalSTA on December 31, 2019. There is flexibility provided within the guidelines that allows eligible agencies to utilize funds for either or both operations and capital improvements as summarized below.

- Operational Improvements: funds can be used for service development plans, strategic plans, ridership modeling, multi-agency integration efforts, schedule optimization, customer outreach and engagement, and improving customer amenities.
- Capital Improvements: funds can be used for equipment purchases and track and station improvements with the intent of increasing capacity, reducing travel delays, improving accessibility, and enhancing the customer experience.

The guidelines define the requirements for funding including eligibility and disbursement as well as use and reporting requirements. The complete guidelines are included as Attachment A.

CalSTA programs SRA similar to the State Transportation Improvement Program, utilizing a five-year horizon. The current guidelines include a statutorily required revenue forecast and allocations for each eligible agency. For the current five-year period, fiscal year (FY) 2020-21 through 2024-25, the LOSSAN Agency is expected to receive \$29.8 million, including \$5.7 million in FY 2020-21. Future year estimates will be updated annually and can fluctuate with the price and consumption levels of diesel fuel.

Staff has developed a proposed program of projects that utilizes the full five years of estimated funding. Programming the full estimate allows the LOSSAN Agency to maximize funding by demonstrating need and also generating interest on the allocated funds. The proposed program of projects is summarized in the following table:

<b>Project Title</b>	<b>Description</b>	<b>Funding Amount</b>
Equipment Overhaul and Procurement Matching Funds	Staff to work with Caltrans to evaluate options for procuring new rail cars and other equipment to sustain and expand Pacific Surfliner service. These SRA funds may be utilized as matching funds to leverage future federal and/or state funding opportunities.	\$ 22,970,000
Corridor Hardening and Safety Improvements	Improvements include slope / bluff stabilization, security fencing, crossings or pedestrian access, communication upgrades and improvements, and various other safety related projects along the Santa Barbara Subdivision.	\$ 5,880,000

Interregional Connectivity Improvement Project	This will be a coordinated effort to provide seamless interagency transfers between the Pacific Surfliner and other transportation services within California.	\$ 550,000
LOSSAN Strategic Plan Update	Update the long-term plan for the continued improvement of the Pacific Surfliner service. The plan will develop an updated vision for the LOSSAN Agency, using a short-term horizon, a near-term 2025 horizon, and a long-term 2035 horizon.	\$ 400,000
<b>Total (All Projects)</b>		<b>\$ 29,800,000</b>

These projects focus on both operational and capital improvements that will help to improve safety, on-time performance, and interregional connectivity. Both the interregional connectivity improvement project and the Strategic Plan update were previously programmed using SRA funding, but were placed on hold due to higher priority needs for the funding. These projects are consistent with the LOSSAN Agency goals, the Board of Directors (Board) approved the Annual Business Plan and the State Rail Plan.

#### Next Steps

Upon Board approval of the proposed projects, staff will work with CalSTA to submit the necessary documentation to receive the project allocations on a quarterly basis.

#### **Summary**

The State Rail Assistance program, an element of Senate Bill 1, is intended to provide a reliable funding source to commuter and intercity passenger rail services for both operational and capital improvements. The Los Angeles – San Diego – San Luis Obispo Rail Corridor Agency is an eligible recipient of these funds. Staff has developed a proposed program of projects that will maximize the use of these funds and interest earnings and provide the most benefit for passenger rail services on the LOSSAN rail corridor and long-term growth of the Pacific Surfliner service.

***Attachment***

- A. State Rail Assistance, Final Guidelines, December 31, 2019, Applicable for 2020-21 through 2024-25 Funding

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STATE RAIL ASSISTANCE  
FINAL AMENDED GUIDELINES

DECEMBER 31, 2019

APPLICABLE FOR 2020-21 THROUGH 2024-25 FUNDING



# SRA Final Amended Guidelines 2020-21 through 2024-25

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## Executive Summary

This document is the final version of the State Rail Assistance Amended Guidelines, in accordance with the requirements of Senate Bill 1 (SB 1), the Road Repair and Accountability Act of 2017. Section 99312.3(b)(2) of the Public Utilities Code stipulates that “On or before July 1, 2019, the Transportation Agency shall prepare a draft of the proposed guidelines and distribution formula and make them available for public comment. In preparing the proposed guidelines and distribution formula, the agency shall consult with the state’s five commuter rail service providers. The final guidelines and distribution formula shall be adopted on or before January 1, 2020. The guidelines shall include, but need not be limited to, provisions providing authority for loans of these funds by mutual agreement between commuter rail service providers and providing for baseline allocations to each provider.” The required consultation with the state’s five commuter rail service providers was completed on May 3, 2019. The draft version of the SRA Amended Guidelines was released on July 1, 2019 and reviewed at public workshops in northern and southern California in October of 2019.

This document reflects the changes to the guidelines and distribution formula necessary to implement the results of the consultation. This document also includes changes that clarify and streamline processes, and it brings up to date funding and calendar-related information.

After posting, it will be available for public comment for at least thirty days, and two workshops will occur prior to the finalization of the guidelines, no later than January 1, 2020.

SB 1 is a historic transportation measure that will provide over \$54 billion by 2027 to maintain and improve California’s transportation system. Over the first ten years, SB 1 sets-aside approximately \$7.7 billion for rail and transit investments, and within that amount, approximately \$454 million is directed specifically to commuter rail and intercity rail. The scope of these guidelines is limited to the funding directed to commuter rail and intercity rail in section 99312.3 of the Public Utility Code, as added by SB 1. Similar to the State Transit Assistance program, these funds may be used for both operations and capital improvements. For the purpose of these guidelines, these commuter rail and intercity rail funds are referred to as State Rail Assistance (SRA).

SRA benefits the public by providing the state’s commuter and intercity rail agencies with dependable supplemental revenue that is flexible to invest in the most cost-effective manner to improve rail service including, but not limited to the following:

1. Operations funding for expanded service, outreach, increased customer amenities, and discounted tickets, with a purpose of increasing ridership.
2. Capital investments, such as new and cleaner-emissions rolling stock (to increase capacity and reduce emissions), as well as track and station investments (which will reduce travel times, delays, improve accessibility and enhance the customer experience).



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Public Utility Code section 99312.3 continuously appropriates the revenue received from a ½ percent sales tax on diesel fuel to SRA. This revenue is estimated to be approximately \$45 million in 2020-21, and increase to approximately \$50 million in 2024-25, totaling approximately \$237 million over the five-year period. These revenue numbers are provided for planning purposes only, based on estimates developed in May of 2019, and are subject to change.

Public Utility Code section 99312.3 directs 50 percent of SRA to intercity rail agencies, 50 percent to commuter rail agencies, and allows loans among agencies within each category. For commuter rail, statute directed an equal split of the funding from 2018-19 and 2019-20 to the state's five commuter rail providers. These amended guidelines define the distribution formula for 2020-21 and thereafter, which is based on an equal distribution of the first \$17.5 million of commuter rail annual revenues among the five agencies, and the balance of revenue allocated on a statistical formula based on National Transit Database-reported statistics. For intercity rail, statute directs a minimum of 25 percent of funding to each of the state's three intercity rail corridors with regularly scheduled service. CalSTA determines the distribution of the remaining 25 percent through a separate process that is documented prior to each call for projects.

Based on statutory requirements and the current revenue forecast, allocations are expected as follows:

Commuter Rail Agency	Estimated Distribution*				
	2020-21	2021-22	2022-23	2023-24	2024-25
Altamont Corridor Express Authority (ACE)	\$3.9M	\$3.9M	\$4.0M	\$4.0M	\$4.1M
North County Transit Development Board (Coaster)	\$3.7M	\$3.8M	\$3.8M	\$3.8M	\$3.9M
Peninsula Corridor Joint Powers Board (Caltrain)	\$5.3M	\$5.5M	\$5.6M	\$6.0M	\$6.2M
Sonoma-Marín Area Rail Transit District (SMART)	\$3.7M	\$3.7M	\$3.7M	\$3.7M	\$3.8M
Southern California Regional Rail Authority (Metrolink)	\$6.0M	\$6.2M	\$6.4M	\$7.0M	\$7.2M
Intercity Rail Agency	Estimated Distribution				
	2020-21	2021-22	2022-23	2023-24	2024-25
Capitol Corridor Joint Powers Authority	\$5.7M	\$5.8M	\$5.9M	\$6.1M	\$6.3M
LOSSAN Rail Corridor Agency (Pacific Surfliner)	\$5.7M	\$5.8M	\$5.9M	\$6.1M	\$6.3M
San Joaquin Joint Powers Authority	\$5.7M	\$5.8M	\$5.9M	\$6.1M	\$6.3M
Flexible for intercity rail agencies, public agencies authorized to plan and/or manage intercity rail operations for aspiring corridors, and Caltrans	\$5.7M	\$5.8M	\$5.9M	\$6.1M	\$6.3M

## SRA Final Amended Guidelines 2020-21 through 2024-25

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*\* Revenue distribution estimates for commuter rail agencies are based on the most recently available National Transit Database published figures for the statistical portion of the formula (except for SMART, which is based on the first year of operations). The actual amounts will vary based on actual data reported. As services changes are implemented and ridership growth occurs, the distribution among agencies will change.*

Recipient agencies will report on the planned operations and capital improvements funded with these revenues, so that the state can include the benefit of this program in SB 1 reporting. These guidelines describe the processes for project reporting and anticipated timeline for allocation.

## Introduction

### Senate Bill 1 and State Rail Assistance

SB 1 is a historic transportation measure that will provide over \$54 billion by 2027 to maintain and improve California's transportation system. Over the first ten years, SB 1 sets-aside approximately \$454 million specifically to commuter rail and intercity rail. The scope of these guidelines is limited to the funding directed to commuter rail and intercity rail in section 99312.3 of the Public Utility Code, as added by SB 1. Similar to the State Transit Assistance program, these funds may be used for both operations and capital improvements. For the purpose of these guidelines, the commuter rail and intercity rail funds are referred to as State Rail Assistance (SRA).

### Senate Bill 1 and other rail and transit funding programs

In addition to SRA, SB 1 funds other transit and rail programs through multimodal funding programs, and creates other opportunities to fund rail and transit improvements. Other SB 1 rail and transit funding programs include an augmentation for State Transit Assistance (about \$4.3 billion over 10 years) and an augmentation for Transit and Intercity Rail Capital Program (about \$3.0 billion over 10 years). SB 1 multimodal programs that may be used for transit and rail include: the Solutions for Congested Corridors Program (\$2.5 billion over ten years), the Local Partnership Program (\$2 billion over 10 years), and an augmentation to the State Transportation Improvement Program (\$1.1 billion over 10 years). In addition to SB 1 funding, rail also continues to benefit from California Climate Investment Program funds from Cap and Trade auctions, which fund the Transit and Intercity Rail Capital Program and Low Carbon Transit Operations Program. Finally, intercity rail benefits from ongoing state funding for existing operations and rolling stock through the Caltrans Intercity Rail Program budget. Rail agencies are encouraged to consider the range of funding available from local, state, and federal sources, and accordingly decide how they can utilize the SRA program to maximize the quality of the rail service for riders.

### State Rail Plan, California Transportation Plan 2040, and Regional Transportation Plans

The State Rail Plan was adopted in 2018. This plan, with the broader California Transportation Plan 2040 and Regional Transportation Plans that include SB 375 Sustainable Community Strategies, will guide rail investments in ways that integrate the services of multiple rail and transit operators to maximize public benefits. The SRA funds are primarily formulaic, but they present the opportunity for recipient agencies to use these SB 1 funds in collaboration with partners to further the benefits of coordinated service and planning. This will strengthen the future projects in competitive SB 1 funding programs.

# SRA Final Amended Guidelines 2020-21 through 2024-25

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## SRA Funding Process

As added by SB 1, Public Utility Code section 99312.3 continuously appropriates the revenue received from a ½ percent sales and use tax on diesel fuel to SRA. This revenue is estimated to be approximately \$45 million in 2020-21, and rise to approximately \$50 million in 2024-25, totaling approximately \$230.6 million over the five-year period. These revenue numbers are provided for planning purposes only, based on estimates developed in May of 2019, and are subject to change.

Public Utility Code section 99312.3 directs 50 percent of SRA to intercity rail agencies, 50 percent of revenue to commuter agencies, and allows loans among agencies within each category. For commuter rail, these amended guidelines define the distribution formula for 2020-21 and thereafter. The first \$17.5 million of commuter rail annual revenues will be equally distributed among the five agencies, with no inflation applied to this amount. Should the revenues fall short of \$17.5 million, the available revenues will be split equally among the five agencies. All remaining revenue (calculated by fiscal year of receipt) will be allocated on a statistical formula that has one-third weighting given to each component: (1) directional route miles, (2) annual unlinked trips and (3) annual passenger miles. The data source for the calculation will be the last completed reporting year recorded in the transit agency data profiles available from the National Transit Database, specific to the commuter rail mode for each agency. The calculation will change for future distributions when new data becomes available, generally expected to be once every 12 months.

For intercity rail, statute directs a minimum of 25 percent of funding to each of the state's three intercity rail corridors with regularly scheduled service, these guidelines direct the process for allocation of the remaining 25 percent.

Based on statutory requirements and the May 2019 revenue forecast, allocations are estimated as follows. However, these numbers will fluctuate somewhat due to future changes in the price of diesel fuel and consumption.

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Commuter Rail Agency	Estimated Distribution*				
	2020-21	2021-22	2022-23	2023-24	2024-25
Altamont Corridor Express Authority (ACE)	\$3.9M	\$3.9M	\$4.0M	\$4.0M	\$4.1M
North County Transit Development Board (Coaster)	\$3.7M	\$3.8M	\$3.8M	\$3.8M	\$3.9M
Peninsula Corridor Joint Powers Board (Caltrain)	\$5.3M	\$5.5M	\$5.6M	\$6.0M	\$6.2M
Sonoma-Marín Area Rail Transit District (SMART)	\$3.7M	\$3.7M	\$3.7M	\$3.7M	\$3.8M
Southern California Regional Rail Authority (Metrolink)	\$6.0M	\$6.2M	\$6.4M	\$7.0M	\$7.2M
Intercity Rail Agency	Estimated Distribution				
	2020-21	2021-22	2022-23	2023-24	2024-25
Capitol Corridor Joint Powers Authority	\$5.7M	\$5.8M	\$5.9M	\$6.1M	\$6.3M
LOSSAN Rail Corridor Agency (Pacific Surfliner)	\$5.7M	\$5.8M	\$5.9M	\$6.1M	\$6.3M
San Joaquin Joint Powers Authority	\$5.7M	\$5.8M	\$5.9M	\$6.1M	\$6.3M
Flexible for intercity rail agencies, public agencies authorized to plan and/or manage intercity rail operations for aspiring corridors, and Caltrans	\$5.7M	\$5.8M	\$5.9M	\$6.1M	\$6.3M

*\* Revenue distribution estimates for commuter rail agencies are based on the most recently available National Transit Database published figures for the statistical portion of the formula (except for SMART, which is based on the first year of operations). The actual amounts will vary based on actual data reported. As services changes are implemented and ridership growth occurs, the distribution among agencies will change.*

Since funding levels will fluctuate with the price of diesel fuel, and given the continuous appropriation of funds to this program, programming requests that utilize all or most of the five fiscal years of funding indicated in the table above may be permitted, with CalSTA approval, to utilize future year funding should actual revenues fall short of the estimates.

For the intercity rail funds that are flexible for award to existing corridors, aspiring corridors, and Caltrans, CalSTA will award these funds after dialogue with eligible recipients and stakeholders. Prior to award of any flexible funds, CalSTA will provide public notice, invite public comment, and invite eligible recipients to meet with CalSTA to discuss project ideas. Eligible recipients will be invited to submit a project concept letter formally requesting flexible funds and describing their proposed project. CalSTA will favor projects that promote connectivity, integration of intercity rail service, and that have the greatest potential to grow rail ridership.

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CalSTA will consider geographic balance over multiple award cycles, but retains flexibility in any given funding round to select the best project or projects.

## Implementation – Approval of Projects and/or Spending Plans

CalSTA will work with rail agencies and other stakeholders through draft guideline development, to project completion, including guideline adoption and project selection. After SRA guidelines are adopted, CalSTA will invite eligible agencies to submit an Allocation Request for purposes of validating project eligibility, documenting expected benefits of the spending, and especially, for purposes of transparency and accountability for SB 1 expenditures. The guidelines describe the process that each agency must follow to receive their allocation. The agency will receive their allocation of funds once they have submitted an Allocation Request, and CalSTA has determined the project meets all requirements of the program. Disbursements may occur as frequently as each quarter, if requested by the recipient agency.

## Stakeholder Consultation to Maximize Public Benefits

Since the majority of these funds are distributed by formula, the State's role is largely confined to certifying project eligibility and ensuring reporting and accountability of program expenditures. Primary responsibility is assigned to each recipient rail agency and their respective public boards to ensure funds are spent in a cost-effective manner to *maximize* public benefit. Recipient rail agencies are strongly encouraged to engage with stakeholders in crafting SRA expenditure plans. Stakeholders should include, but should not necessarily be limited to the following groups:

- Individuals and groups representing the general public, including those representing disadvantaged and low-income communities
- Elected representatives at the local, state and federal levels, and plans and policies developed at all levels of government
- State, Regional, and Local transportation planning entities and their respective transportation plans
- The California Air Resources Board and regional air boards, who may be provide expertise and be funding partners in clean technology and investment

To ensure public transparency and opportunities for public engagement, recipient rail agencies must adopt their SRA expenditure plan at a public meeting of their boards.

## Updates to the Guidelines

CalSTA reserves the right to reopen and revise these guidelines at any time, at its discretion. New revenue estimates will be provided as available during the time period covered by the guidelines through separate documentation.

## Roles and Responsibilities

### Department of Tax and Fee Administration

The Department of Tax and Fee Administration collects the sales tax on diesel fuel, of which ½ percent of the rate is directed to State Rail Assistance. The Department of Tax and Fee Administration already reports estimated diesel sales tax revenue quarterly, for purposes of State Transit Assistance, and reports this information to the Department of Finance.

### Department of Finance

Upon receipt of quarterly diesel sales tax reports from the Department of Tax and Fee Administration, the Department of Finance will forward this information to CalSTA.

### California State Transportation Agency

CalSTA is responsible for developing and updating the program guidelines, including administrative and reporting requirements and disbursement of funds. CalSTA may delegate certain duties or responsibilities of the program to the Department of Transportation (Caltrans).

### Recipient Rail Agencies

Recipient rail agencies are responsible for adhering to the requirement of statute and guidelines as a condition of receiving SRA funds.

## Eligible Recipients & Loan Authority

Eligible recipients are those that meet the definition in Public Utilities Code 99312.3, which are (1) public agencies, including joint powers agencies, responsible for state-supported intercity rail services, and (2) public agencies, including joint powers agencies, responsible for commuter rail services.



<b>Commuter Rail Agency</b>
Altamont Corridor Express Authority (ACE)
North County Transit Development Board (Coaster)
Peninsula Corridor Joint Powers Board (Caltrain)
Sonoma-Marín Area Rail Transit District (SMART)
Southern California Regional Rail Authority (Metrolink)
<b>Intercity Rail Agency</b>
Capitol Corridor Joint Powers Authority
LOSSAN Rail Corridor Agency (Pacific Surfliner)
San Joaquin Joint Powers Authority
Caltrans & public agencies authorized to plan and/or manage intercity rail operations for aspiring rail corridors

Statute directs that guidelines include provisions providing authority for loans among agencies within each category of Commuter Rail and Intercity Rail. Eligible Recipients are defined below as either a Lead Agency or a Contributing Sponsor to facilitate loans or transfers between agencies.

## Lead Agency

The Lead Agency is an eligible recipient of SRA funds that is responsible for requesting funds and the implementation of the project or expenditure plan. The Lead Agency is also responsible for submitting a complete Allocation Request, and ensuring funds are only applied to approved expenditures, in accordance with these guidelines. Lead Agencies may receive funds from contributing sponsors that support the approved project, where the Lead Agency will also ensure that the appropriate signatures are included with final Allocation Requests from the contributing sponsor. Once an Allocation Request is approved and authorized for funding, CalSTA will send SRA funds directly to that Lead Agency. The Lead Agency is also responsible for:

1. Oversight and/or performance of all work from receipt of funding through completion of the project.
2. Establishing a bank account for SRA funds. If a separate account is not possible, the agency may show documents of a line item or subaccount dedicated to SRA funds.
3. All project documentation including but not limited to: Allocation Request, Corrective Action Plans, Reports, Project Audits, and any additional information needed in the event of an audit. Please review the Reporting section for greater detail.
4. Comply with all applicable California Environmental Quality Act (CEQA), civil rights and environmental justice obligations under state and federal law.



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5. Maintaining copies of project records for three years after the Final Project report or Final Phase report is submitted.

## Contributing Sponsor

The contributing sponsor is an Eligible Recipient that passes some or all of their SRA funds to the Lead Agency to support a project. CalSTA is not responsible for tracking funding agreements (borrowing, loaning, delegating, relinquishing funds, etc.) between Eligible Recipients, including the lead agencies and contributing sponsor. CalSTA will track allocation amounts to ensure funding is accurate per the formula distribution and track contributing sponsors signature of agreement in order to pass their fund to the Lead Agency who will carry out the project requirements.

## Project Eligibility

SRA was created to provide operating and capital assistance for commuter and intercity rail agencies. Public Utilities Code 99312.3 does not provide any additional direction beyond subdivision (c) of that section that specifies: *The funds made available by this section may be used for operations and capital improvements.* These guidelines permit projects that cover a full range of transportation planning and mass transportation purposes, with the direction that rail agencies spend these funds in a cost-effective manner to provide operations and capital improvements for the benefit of the public. Transportation planning efforts includes, but is not limited to, service development plans, environmental reporting, feasibility studies, alternative analysis, strategic plans, ridership modeling, multi-agency integration efforts, schedule optimization, and long-and short-range transit planning. The Allocation Request section of these guidelines, requires reporting of expenditures for SB 1 reporting and accountability. The State role is to confirm operations and capital improvement are likely to be achieved with the proposed projects or expenditure plans submitted, and that proposed expenditures are consistent with the broad definition of mass transportation purposes.

A companion measure to SB 1 is Assembly Constitutional Amendment 5 (ACA 5) which amended Article XIXA of the California Constitution to restrict expenditure of these funds to only transportation planning and mass transportation purposes. Given that mass transportation service is the core service provided by all of the agencies eligible to receive these funds, the adoption of ACA 5 is not expected to impact the projects approved for SRA. However, agencies spending SRA funding will be expected to comply with all statutory and constitutional requirements whether specifically addressed in the SRA guidelines or not.

## Allocation Request and Award Requirements

This section will highlight how an agency should request their allocation and the requirements for the awarded projects that the Lead Agency and Contributing Sponsor must comply with and or submit. All forms referenced below in this section are found in a spreadsheet found on the project website titled “Allocation Request Form.” The project website is at <https://calsta.ca.gov/state-rail-assistance-program/>.

### Allocation Request Form

The Lead Agency must submit to CalSTA a description of the proposed rail expenditure or expenditures it intends to fund with the SRA allocation. A guide for this form is available as Attachment A. The SRA Allocation Request form is the basis for CalSTA’s verification that the project is consistent with SRA requirements and is provided as Attachment B. This attachment requests project information, sponsors, authorized signatures, a detailed description of major benefits, and schedule. Please note that a complete Allocation Request must be submitted in order to receive an agency’s apportionment. This will allow the state to release funds quarterly to the Lead Agency’s bank account where funds could potentially accrue interest.

Any Contributing Sponsor(s) must also sign the Allocation Request form indicating the dollar amounts to be contributed, or provide a signed letter detailing this information. If there are multiple contributing sponsors, each sponsor must sign the Allocation Request indicating their respective portion of funds being contributed or submit a signed letter with the required information as described above.

### Authorized Agent Form

The executive authority of an eligible recipient of SRA funds must submit to CalSTA a signed and dated Authorized Agent form that is Board approved, identifying the agent(s) who is (are) given authority to act for the executive authority to submit the Allocation Request Form and all reporting documents. If there is a change in the Authorized Agent(s), the eligible recipient must submit a new form. This form is required even when the Authorized Agent is the executive authority. The form is provided as Attachment C.

### Certifications and Assurances Form

Before submitting an Allocation Request, the eligible recipient must submit a self-certification that their agency will meet all requirements of the SRA Guidelines, including all reporting deadlines. Only Allocation Requests from agencies with a signed Certifications and Assurances document on file will be accepted. Agencies who do not have this form on file must submit a signed Certification and Assurances with their Allocation Request. This form must be Board approved and is provided as Attachment D.

# SRA Final Amended Guidelines 2020-21 through 2024-25

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## Total Project Cost and Funding Plan

Attachment E provides an itemized list of all fund sources for full project costs. This will detail a break-out of each fiscal year of SRA contributions. The Lead Agency must provide a Total Project Cost and Funding Plan for the project that shows all fund sources (not just the SRA portion) needed to complete the project. If future year SRA funding is to be dedicated to the project, include those funds on the Total Project Cost and Funding Plan sheet and list the estimated amount in the appropriate fiscal year. The Authorized Agent must sign the statement on the Funding Plan to assume all fiscal responsibilities.

## Board Resolutions

The Authorized Agent, Certifications and Assurances Board Resolution, and Project Board Resolution may be combined into one Board Resolution. A sample is provided as Attachment F and G.

The Project Resolution must include a description of the project, the amount of SRA funds requested. This resolution is crucial and demonstrates the project was publicly reviewed. It is recommended that agencies utilize the sample project board resolution for use when submitting the Allocation Request to ensure all language is captured. A Lead Agency may combine multiple SRA Projects on one resolution, but each project must be listed separately or bulleted.

## Bank Account

Once an Allocation Request is approved, CalSTA will release the allocation amount to the Lead Agency. The Lead Agency must deposit funds into a dedicated bank account that will hold only SRA funds. If a separate account is not possible, the agency may show documents of a line item or subaccount dedicated to SRA funds. When the agency submits their Semi-Annual reports, they are required to submit a copy of their most recent bank statement.

## Fund Roll-Over

If the agency is not prepared to initiate a project in the current fiscal year, they may roll funds over into a subsequent fiscal year, accruing a maximum of 4 years of SRA funds for a more substantial project. All funds must be applied to the project within four years. Approved projects must also be completed and funds expended within the subsequent 4 years.

If the Lead Agency intends to roll over funds or hold funds for a more substantial project, a full Allocation Request must be submitted each year. For the period covered by these guidelines (2020-21 through 2024-25), a Lead Agency may submit all years up front or submit annual requests each year. Unrequested funds will be held by the state. Future guidelines may include provision for loans or reallocation of any funds that do not have an allocation request. After the project has been fully reviewed and approved, CalSTA will release the requested funds to the

# SRA Final Amended Guidelines 2020-21 through 2024-25

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Lead Agency as often as quarterly as funds are received to be deposited in the dedicated SRA bank account. Funding received in the first year will remain in the account while the subsequent year(s) funds are accrued and added to the account. Upon receipt of the final year's funding, whether it's for four years or less, the agency will have six months to begin the project.

## Reassigning Funds to a New or Existing Eligible SRA Project

Lead Agencies may find that they have surplus funds at the completion of an approved SRA project or they may determine the funded SRA project is no longer a high priority or feasible. As a result, the Lead Agency may apply to reassign funds to a different approved SRA project. If the project is complete and there are surplus funds, an agency should include the proposed use for the surplus funds as part of the required Final Report. If use of surplus funds has not yet been determined, CalSTA staff shall treat the project as on-going (incomplete) until the agency identifies an eligible SRA project to receive the surplus funds. If the agency elects to reprioritize eligible projects and redirect approved SRA funds to an alternate project, a Corrective Action Plan (CAP) for the original project must be submitted. The alternate project must be approved by CalSTA. If the alternate project is not a previously approved SRA project, the project lead must submit a completed Allocation Request and comply with all requirements of the application process.

### Reassigning Funds to a new eligible SRA Project:

- The Allocation Request for the reassigned funds should be treated the same as an Allocation Request submitted for new funding, and all required documents must be submitted in the same manner.
- The new project must expend the funds within the time limits of the original allocation of funds.
- CalSTA will review and approve or deny the reassignment within 30 days. The new Allocation Request must have all the authorized signatures of the same agencies as the original project, indicating all contributing sponsors are aware of the new use of their contributed funds.
- The Lead Agency may not expend surplus funds from the new project before receiving written approval from CalSTA authorizing the Lead Agency to do so.

### Reassigning Funds to an existing SRA Project:

- The Lead Agency must submit a CAP for the project that will no longer be using SRA funds. The justification should list the project that will receive the reassigned funds.
- An additional CAP is to be submitted for the existing approved SRA project receiving the reassigned funds. This CAP should list the original fund amounts and the revised amounts based on the transfer of funds following the steps listed above.

## SRA Final Amended Guidelines 2020-21 through 2024-25

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- The reassigned funds must be expended within the time limits of the original allocation of funds.
- If there are any contributing sponsors to the reassigned funds, the Lead Agency must have sign-off from the contributing sponsor for the change in use of their funds. This may be documented by adding signature lines to the CAP or including a signed letter from the contributors indicating agreement of the use of their funds.
- If CalSTA determines an agency has a pattern/history of reassigning the same funds multiple times, the agency may be placed on the list of high-risk project leads and could be subject to a spot audit (see section on spot audits).

Agencies who fail to submit revisions made to the CAP as requested by CalSTA and/or are delinquent in other required reports and submittals, may have additional allocations of SRA funds suspended until all delinquent items have been submitted and approved, as determined by CalSTA.

### Interest Earned

Interest on SRA funds must be used in the same manner as the principal. Interest earned must only be used for approved SRA projects. If the project costs exceed the amount on the approved Allocation Request, any interest earned may be applied to the project. The Lead Agency must first submit a CAP and receive CalSTA approval of that CAP before any interest earned may be applied to the project. Interest remaining after a project closeout must be applied to another approved SRA project. Any unused interest not applied to a current project should be applied to the next Allocation Request submitted and used prior to or along with, the allocation of additional funds. CalSTA will inquire about the status of unused interest every six months until said interest earned is exhausted.

# SRA Final Amended Guidelines 2020-21 through 2024-25

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## SRA 2019-20 Calendar

<b>Allocation Request Schedule:</b>	
CalSTA posts Final SRA Guidelines	Before Jan 1, 2020
CalSTA provides updated notification of expected funding levels	February 2020
Transit agencies submit first allocation requests to CalSTA	July 15, 2020
CalSTA approves project lists	August 31, 2020
CalSTA commences quarterly allocations	October 2020
<b>Reporting Schedule:</b>	Ongoing
Semi-Annual Report due to CalSTA (on data January 1 – June 30)	August 15 <sup>th</sup>
Semi-Annual Report due to CalSTA (on data July 1 - December 31)	February 15 <sup>th</sup>

## SRA Allocation Request Submittal

The following required documents must be submitted electronically to CalSTA:

- Signed original Allocation Request
- Authorized Agent form
- Certifications and Assurances
- Funding Plan
- Board Resolutions

Required documents should be e-mailed to [SRA@CalSTA.ca.gov](mailto:SRA@CalSTA.ca.gov). All documents shall be submitted in a format compliant with the Americans with Disability Act accessibility requirements.

## Reporting Obligations

SRA requires reporting so the State can itself report on the use of the funds and status of projects, and in order to reflect project progress in other funding, planning and approval processes of the state. This section will highlight all of the reporting requirements that rail agencies must complete.

### Project Profile

The following project information is required from each Project Lead and is provided in the Allocation Request:

1. ID Number (file number assigned by CalSTA after all allocations are received)
2. Project Type (i.e., expand transit service, enhancement projects)
3. Project Description
4. Location (address, county, Lat/Long, etc.)
5. Total amount of SRA dollars to be allocated
6. Total Project Cost and leveraged funds
7. Project Schedule
8. Estimated Co-benefits (i.e., connectivity and integration with other rail operators, benefits to disadvantaged or low-income communities, benefits for station-area development, or other benefits Project Leads may wish to cite)

### Semi-Annual Progress Report

The project's Lead Agency is required to report semi-annually to CalSTA on the activities and progress of each approved and allocated project to ensure activities are performed timely, within approved scope and cost, and are achieving the intended purpose for which they are to be utilized. The Lead Agency must notify CalSTA when allocated SRA funds have been liquidated and must provide completed and signed progress reports every six months until an approved project is completed, and the final project report has been filed.

Reports will cover information accrued from July 1<sup>st</sup> to December 31<sup>st</sup> and January 1<sup>st</sup> to June 30<sup>th</sup>. The reports will be due by February 15<sup>th</sup> and August 15<sup>th</sup>, respectively.

The report consists of two sections, the "Semi-Annual Report" and the "Semi-Annual Itemized Expenditure Table". This report must contain accurate and up-to-date information on the progress of each project. Reports will only be accepted by CalSTA staff when determined to be complete and accurate. Bank statements for June 30<sup>th</sup> or December 31<sup>st</sup> must be attached to the expenditure table.

All projects are expected to begin work within six months of becoming fully funded. Should a project experience any delays, the cause of such delay must be reported as an amendment, under "Justification for Change". This amendment section should only be used for minor changes to the project and to discuss delays in the start date. Should there be a major change, a full



## SRA Final Amended Guidelines 2020-21 through 2024-25

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Corrective Action Plan (CAP) is required. Any justification deemed inadequate by CalSTA will be questioned and the agency will be asked to provide further information. If projects have not begun within six months of the project becoming fully funded, the report must include a clear description of the circumstances delaying the project which leaves no question that the circumstances were unforeseen, uncommon, and beyond the control of the agency. The description must include information indicating specific steps the agency plans to take to keep the project on task. Agencies with a project that is repeatedly delayed will be encouraged to reassign the funds and complete a CAP.

If the agency is accruing SRA funds over a period of two years or more, a full Semi-Annual report will not be required until the project is fully funded and ready to go. However, a bank statement will still be required to verify the receipt of each year of SRA funds and the establishment of the dedicated bank account. A copy of the bank statement will continue to be required, due concurrently with Semi-Annual report requirements, until the project has started, at which time the Semi-Annual reports will begin. Funding received in the first year may remain in the account until the second, third and/or fourth year funds are accrued and added to the account. At that time, assuming the project is fully funded, the agency will have six months to begin the project.

All reports must reflect accurate and complete project information. Any incomplete or inaccurate reports will not be accepted and will be considered delinquent until submitted with corrections and/or additional information as requested by CalSTA. Agencies found to have submitted inaccurate information will be placed on the list of high-risk project leads and could be subject to additional spot audits.

Upon receiving a written request that includes a justification for reduced reporting, CalSTA may allow reporting on an annual basis for projects receiving SRA funding and will indicate its approval in writing. However, should supplemental reporting be needed in order to support state decision-making, Lead Agencies will be expected to be responsive in a timely fashion in providing up-to-date project reporting.

Agencies, with delinquent reports will not receive further SRA allocations until reports have been received by CalSTA.

### Corrective Action Plan

To change an approved Allocation Request, including any changes to the originally approved scope, schedule, or cost, the Lead Agency must first obtain approval from CalSTA by submitting a Corrective Action Plan (CAP). This must be done before funds can be applied to any use other than the current project's approved scope of work. Funds may not be used on an alternate project until the CAP has been submitted and approved. If the funds are being applied to an alternate project, it must have an approved SRA Allocation Request on file. The CAP must indicate any potential changes in the scope, approved funding amounts, and schedule. If the scope of work



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changes the type or level of benefits, the changes must also be reflected in the benefit description, with revised estimates of benefits listed.

If the project schedule is being revised to reflect any delays or obstacles, an adequate justification must be given in the CAP. All CAPs must have the justification for change completed. If a justification is not deemed adequate by CalSTA, the agency will be asked to provide a revised justification before the CAP is approved. The project change may not move forward until CalSTA has approved the CAP.

If it is discovered that an agency has begun spending funds on a task or project outside the approved scope of work prior to submitting a CAP or prior to CalSTA approval of the CAP, the agency will be placed on the list of high-risk Lead Agency. The State is entitled to recover any and all funds that are spent on ineligible expenses.

Upon receipt of the CAP, CalSTA has 30 days to review and approve/not approve the document. Agency may not proceed without CalSTAs' approval of the CAP.

### Final Project Report

Once a project has been completed, the Lead Agency must notify CalSTA by email or letter and submit a final project report within six months of completion. Please note, once an agency has received all SRA funding for a particular project, the project must be fully expended within four years. The final project report includes:

1. Final Project Report Form: Includes the comparison of actual project performance of the final project to project performance when the allocation was requested. It will also include summarized information regarding co-benefits for the project.
2. Final Project Itemized Expenditure Table: Complete this table and attach the latest bank statement from the SRA dedicated bank account.
3. Verification: Project completion as scoped must be verified. The Lead Agency will provide evidence of project completion, including photograph(s) of the completed project. Evidence of project completion can be satisfied by submitting the required photographs and one or more of the following: A copy of the final invoicing; and a copy of the punch list from the facility's final walk through; and a copy of the Title, if the project is to procure a vehicle. This list includes a samples of what can be used to show evidence regarding completion of a project. Please contact SRA staff to discuss alternatives that may exist for your circumstances. In the case of a planning project, the completed plan shall be submitted to satisfy verification requirements.
4. Savings: If the project has been completed with a savings, the report should indicate the amount of savings and how those funds will be applied towards an approved SRA project. Any project cost savings not reassigned to current project should be applied to the next Allocation Request submitted, and used prior to, or along with, the allocation of

## SRA Final Amended Guidelines 2020-21 through 2024-25

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additional funds. CalSTA, will inquire about the status of any outstanding cost savings every six months until said savings are exhausted.

Please ensure that expended interest and all other information in the final report are properly reported. Incomplete or incorrect reports will not be accepted and will be considered delinquent until corrections are provided. Agencies with delinquent reports will not receive further SRA allocations until completed and/or corrected reports have been received by CalSTA.

### Project Audit

Annual audit of public transportation operators required under the Transportation Development Act (TDA), per PUC 99245, must include verification of receipt and appropriate expenditure of funds. Project leads receiving SRA funds in a fiscal year for which a TDA audit is conducted must submit a copy of the audit to Caltrans by December 31<sup>st</sup>, six months after the close of the fiscal year (closes June 30<sup>th</sup>). Audits will be made available to the Legislature and the SCO. Lead agencies may request a 90-day extension from the December 31<sup>st</sup> deadline to March 31<sup>st</sup>. They must notify Caltrans in writing via e-mail or a formal letter. Project leads who fail to submit an expanded TDA audit documenting all SRA funding allocated to date will not receive future SRA allocations until the required document(s) have been submitted to Caltrans.

### Spot Audit and On-site Monitoring

Spot audits and on-site monitoring can take place at any time at the discretion of CalSTA without prior warning given to the agency. Either a spot audit or monitoring may be conducted concerning specific issue or function. Any evidence or information that supports the need for compliance audit action or monitoring will be pursued by Caltrans at the direction of CalSTA. High-risk lead agencies are likely to become the subject of a spot audit or on-site monitoring. Agencies or projects will be placed on the high-risk list for the following:

1. Delinquent with reporting requirements and or not providing documentation as stipulated in the SRA guidelines
2. Agencies with frequent errors or that have not conformed to the requirements of previous awards
3. Agencies engaged in multiple reassignments of funds
4. Projects with 0% progress one year after allocation

CalSTA may select agencies and perform a review of SRA-related information from the agency. If selected, an agency will be notified and will be asked to provide additional documents, for review and examination by CalSTA or its assigned representative, pertinent to the SRA program and projects that have been funded with SRA. If inconsistencies are found, agencies will be provided an opportunity to correct those errors. If discrepancies are not corrected, the agency will not be eligible to receive future funding.

**STATE RAIL ASSISTANCE PROGRAM**  
**Fiscal Year 2020-21 through Fiscal Year 2024-25 Funding**  
**RECOMMENDED PROJECT LIST**

Project Title	Description	Funding Amount
<b>State Rail Assistance Program Funds</b>		
Equipment Overhaul and Procurement Matching Funds	Staff to work with Caltrans to evaluate options for procuring new rail cars and other equipment to grow Pacific Surfliner service. These SRA funds may be utilized as matching funds to leverage future federal and/or state funding opportunities.	\$ 22,970,000
Corridor Hardening and Safety Improvements	Improvements include slope / bluff stabilization, security fencing, crossings or pedestrian access, communication upgrades and improvements, and various other safety related projects along the Santa Barbara Subdivision.	\$ 5,880,000
Interregional Connectivity Improvement Project	These funds will be utilized to work towards the goal of achieving seamless interagency transfers between the Pacific Surfliner and other transportation services within California.	\$ 550,000
LOSSAN Strategic Plan Update	Update the long term plan for the continued improvement of the Pacific Surfliner service. The plan will develop an updated vision for the LOSSAN Agency, using a short-term horizon, a near-term 2025 horizon and a long-term 2035 horizon.	\$ 400,000
<b>Total (All Projects)</b>		<b>\$ 29,800,000</b>



# LOSSAN BOARD OF DIRECTORS CALENDAR

## 2021 Board and Committee Meetings and Holidays

JANUARY						
SUN	MON	TUE	WED	THU	FRI	SAT
					1	2
3	4	5	6	7	8	9
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31						

FEBRUARY						
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28						

MARCH						
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APRIL						
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MAY						
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JUNE						
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JULY						
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AUGUST						
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SEPTEMBER						
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OCTOBER						
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NOVEMBER						
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DECEMBER						
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**LOSSAN Board of Directors regular meeting**

11:15 a.m. - 12:45 p.m.  
Meetings will take place at the OCTA headquarters unless otherwise noted

**Executive Committee**

9:00 a.m. - 10:30 a.m.

**Technical Advisory Committee**

12:30 p.m. - 2:30 p.m.

**LOSSAN Agency Observed Holidays**



**November 5, 2020**

**To:** Technical Advisory Committee  
  
**From:** Donna DeMartino, Managing Director  
**Subject:** Draft 2021 Los Angeles – San Diego – San Luis Obispo Rail Corridor Agency Legislative Program

### **Overview**

Annually, the Los Angeles – San Diego – San Luis Obispo Rail Corridor Agency adopts a Legislative Program of strategic goals to guide its legislative activities for the upcoming session. A draft of the 2021 Los Angeles – San Diego – San Luis Obispo Rail Corridor Agency Legislative Program has been prepared for consideration by the Board of Directors.

### **Recommendation**

Receive and file.

### **Discussion**

The Los Angeles – San Diego – San Luis Obispo (LOSSAN) Rail Corridor Agency's (Agency) Board of Directors (Board) annually adopts a Legislative Program (Program) that outlines broad policy positions to guide staff when engaging in legislative activities. Official LOSSAN Agency positions not addressed by the Program are brought to the Board for separate action during the legislative sessions of the United States Congress and the California State Legislature. The Board last updated the Program on November 18, 2019.

The 2021 Program outlines principles aligned with the LOSSAN Agency's role while also advancing the goals outlined in the LOSSAN Agency's annual business plan. The Program is organized into four major categories, which are discussed in greater detail below but can be outlined as follows:

1. Sustainable Funding
2. Implementation of Transportation Policies
3. Connectivity and Integration
4. Infrastructure, Service, and Safety Improvements

The 2021 Program is included as a strikethrough version in Attachment A, with a clean copy included as Attachment B. The 2021 Program retains key provisions from the 2020 Program, while also updating the language to reflect the significant shift resulting from the coronavirus (COVID-19) pandemic. Staff recommends the following changes:

- Staff recommends adding language to section I, entitled “Sustainable Funding,” to recognize the need for LOSSAN Agency staff to pursue funding and policy flexibilities to respond to the COVID-19 pandemic, and restore ridership post-pandemic. With the unprecedented COVID-19 pandemic likely altering the transportation landscape for the foreseeable future, staff also recommends that this language be added to the “Top Priorities” section, positioning the LOSSAN Agency to take the necessary steps to continue providing passenger rail service during these difficult times.
- Staff recommends reorganizing the document by creating section II, entitled “Implementation of Transportation Policies,” focused on policies that relate to the development of overarching transportation goals and objectives. Section II is made up of two subsections from section I and a new provision on equity. Changes to previously adopted language are detailed as follows:
  - Staff recommends minor changes to subsection (a) regarding the implementation of federal surface transportation programs. These changes are to focus the language on seeking long-term surface transportation reauthorization, rather than on implementation. Similarly, staff recommends deleting what was subsection (h) of section I since this new, more comprehensive section on authorization legislation removes the need for a provision specific to the federal rail title.
  - Staff is recommending a new provision, subsection (b), to ensure that LOSSAN Agency staff can engage in the increasingly important equity discussions taking place amongst policymakers, supporting efforts to facilitate such policies in LOSSAN Agency services, programs and projects.

To ensure the maximum applicability of the 2021 Program, the Board may review and amend the Program as legislation or legislative issues arise when deemed appropriate. In addition, to most effectively advocate for the Program’s goals and principles, LOSSAN Agency staff will continue to explore and identify opportunities where the legislative resources and expertise of LOSSAN Agency’s member agencies can be leveraged to advance the positions and goals outlined in the Program.

***Summary***

The draft 2021 Los Angeles – San Diego – San Luis Obispo Rail Corridor Agency Legislative Program is presented for consideration before being presented to the Board of Directors for review and approval.

***Attachment***

- A. 2021 Los Angeles – San Diego – San Luis Obispo Rail Corridor Agency Legislative Program (Strikethrough Version)
- B. 2021 Los Angeles – San Diego – San Luis Obispo Rail Corridor Agency Legislative Program (Clean Version)

**Prepared by:**



Dustin J. Sifford  
Senior Government Relations Representative  
(714) 560-5389



**20210 Los Angeles – San Diego – San Luis Obispo Rail Corridor Agency  
Legislative Program**

**TOP PRIORITIES FOR 20210:**

- Maximize the share of long-term, sustainable funding sources to support passenger rail operations and capital projects in the Los Angeles – San Diego – San Luis Obispo (LOSSAN) rail corridor, including funds made available by the federal rail title and ensuring the continued eligibility for the LOSSAN Rail Corridor Agency (Agency) to compete for state funding, such as funding provided by SB 1 (Chapter 5, Statutes of 2017) and the cap-and-trade program.
- *Support funding and policy flexibilities that facilitate the LOSSAN Agency's ability to provide intercity rail service during the coronavirus (COVID-19) pandemic and encourage ridership post-pandemic.*
- Support efforts to further enhance connectivity of regional and intercity rail and local transit services within LOSSAN rail corridor.
- Continue to study and advance infrastructure and service improvement projects and programs.

**I. SUSTAINABLE FUNDING**



- a) Support efforts to pursue and maximize the LOSSAN Agency's share of stable, recurring sources of operating and capital funding to support intercity rail operations, equipment and safety needs, and LOSSAN Agency Priority Projects.
- b) *Support funding and policy flexibilities that facilitate the LOSSAN Agency's ability to provide intercity rail service during the COVID-19 pandemic and encourage ridership post-pandemic.*
- c) Support member agency grant funding requests consistent with the LOSSAN Agency's Legislative Program and annual Business Plan and permit the LOSSAN Chairman or the Managing Director to sign letters of support.
- d) Support the protection of existing revenues and the generation of new revenue sources; maximize flexibility in use of federal and state funds, including emerging funding programs. Advocate for intercity rail as an eligible recipient of any new revenue sources.
- e) Support efforts to lower the current two-thirds voter requirement for special purpose taxes that provide for transportation and quality of life improvements.
- f) Support efforts to apply for the use of SB 1 and cap-and-trade funding for LOSSAN Agency priority projects, advocating for intercity rail as an eligible recipient, flexibility in revenue use and a streamlined allocation process.
- g) Secure emergency preparedness funds through any grant program that funds safety and security activities in order to complete more rail system and passenger protection projects.
- ~~g) Support efforts to finalize implementation of the Fixing America's Surface Transportation Act and participate in reauthorization discussions to advocate for appropriate funding levels, transit and rail investments, and expedited federal actions. (moved to Section II)~~
- ~~h) Support the implementation of the federal rail title and seek opportunities for funding to enhance the safety and operation of passenger rail services along the LOSSAN rail corridor.~~
- h) Support the development of future federal rail capital investment programs.
- i) Support efforts to apply for federal rail capital matching program funds, including Passenger Rail Investment and Improvement Act annual appropriations, and Infrastructure For Rebuilding America grants for LOSSAN Agency priority projects.
- j) Support mechanisms and funding providing for the implementation of the LOSSAN rail corridor wide Strategic Implementation Plan, California State Rail Plan, and other rail improvement plans.
- k) Oppose efforts to minimize or reduce the funding commitments that support passenger rail services along the LOSSAN rail corridor.
- ~~m) Monitor implementation of Executive Order N-19-19, and any related legislative or regulatory efforts, to ensure LOSSAN Agency remains competitive within existing funding programs and transportation funds are used for their intended purposes. (moved to Section II)~~

## 20210 Los Angeles – San Diego – San Luis Obispo Rail Corridor Agency Legislative Program

### **II. IMPLEMENTATION OF TRANSPORTATION POLICIES (all subsections moved from Section I)**

- a) *Support surface transportation legislation that facilitates adequate funding levels, transit and rail investments, and expedited federal actions. (moved from Section I)*
- b) *Support equitable policies in the delivery of passenger rail services, projects, and programs within the LOSSAN rail corridor.*
- c) *Monitor implementation of Executive Order N-19-19, and any related legislative or regulatory efforts, to ensure LOSSAN Agency remains competitive within existing funding programs and transportation funds are used for their intended purposes. (moved from Section I)*

### **III. CONNECTIVITY AND INTEGRATION**

- a) Continue working with California Intercity Rail Program partners on the planning, advocacy, and promotion of existing and future passenger rail service at the federal, state, and local level.
- b) Seek opportunities to support and advocate for the LOSSAN rail corridor, as well as emerging rail corridors, services, and high-speed rail.
- c) Support efforts to streamline and enhance transit services that provide for first-and-last mile connections to intercity, commuter, and high-speed rail passenger rail services and stations.
- d) Support state, federal, and local policies and programs that facilitate intermodal connectivity between passenger rail services on the LOSSAN rail corridor and other public transportation systems, including train to plane connections at local airports.
- e) Support efforts that would allow for the future extension of service to connect to areas outside of the existing LOSSAN rail corridor, including a financially sustainable access rate.

### **IV. INFRASTRUCTURE, SERVICE, AND SAFETY IMPROVEMENTS**

- a) Support legislation that encourages smart growth and transit-oriented development, mixed-use development, and joint development opportunities, including improved connectivity to and from rail stations.
- b) Support goods movement initiatives that provide infrastructure and throughput improvements for passenger rail systems.
- c) Support legislation promoting rail safety and rail security, including efforts to fund and responsibly implement and operate Positive Train Control (PTC), and request federal assistance in considering the fiscal, technological, and logistical challenges faced by entities implementing and operating PTC safety technology.
- d) Monitor any administrative reform efforts that may impact rail safety regulatory agencies such as the California Public Utilities Commission.
- e) Monitor the development of federal notices of proposed rulemakings (NPRM) and identify any impacts such proposals may have on passenger rail services. Seek opportunities to engage with, and submit comments to, NPRM-sponsoring agencies to communicate LOSSAN Agency concerns or support related to NPRMs.



## 2021 Los Angeles – San Diego – San Luis Obispo Rail Corridor Agency Legislative Program

### TOP PRIORITIES FOR 2021:

- Maximize the share of long-term, sustainable funding sources to support passenger rail operations and capital projects in the Los Angeles – San Diego – San Luis Obispo (LOSSAN) rail corridor, including funds made available by the federal rail title and ensuring the continued eligibility for the LOSSAN Rail Corridor Agency (Agency) to compete for state funding, such as funding provided by SB 1 (Chapter 5, Statutes of 2017) and the cap-and-trade program.
- Support funding and policy flexibilities that facilitate the LOSSAN Agency's ability to provide intercity rail service during the coronavirus (COVID-19) pandemic and also encourage ridership post-pandemic.
- Support efforts to further enhance connectivity of regional and intercity rail and local transit services within LOSSAN rail corridor.
- Continue to study and advance infrastructure and service improvement projects and programs.

### I. SECURE SUSTAINABLE FUNDING

- a) Support efforts to pursue and maximize the LOSSAN Agency's share of stable, recurring sources of operating and capital funding to support intercity rail operations, equipment and safety needs, and LOSSAN Agency Priority Projects.
- b) Support funding and policy flexibilities that facilitate the LOSSAN Agency's ability to provide intercity rail service during the COVID-19 pandemic and also encourage ridership post-pandemic.
- c) Support member agency grant funding requests consistent with the LOSSAN Agency's Legislative Program and annual Business Plan and permit the LOSSAN Chairman or the Managing Director to sign letters of support.
- d) Support the protection of existing revenues and the generation of new revenue sources; maximize flexibility in use of federal and state funds, including emerging funding programs. Advocate for intercity rail as an eligible recipient of any new revenue sources.
- e) Support efforts to lower the current two-thirds voter requirement for special purpose taxes that provide for transportation and quality of life improvements.
- f) Support efforts to apply for the use of SB 1 and cap-and-trade funding for LOSSAN Agency priority projects, advocating for intercity rail as an eligible recipient, flexibility in revenue use and a streamlined allocation process.
- g) Secure emergency preparedness funds through any grant program that funds safety and security activities in order to complete more rail system and passenger protection projects.
- h) Support the development of future federal rail capital investment programs.
- i) Support efforts to apply for federal rail capital matching program funds, including Passenger Rail Investment and Improvement Act annual appropriations, and Infrastructure For Rebuilding America grants for LOSSAN Agency priority projects.
- j) Oppose efforts to minimize or reduce the funding commitments that support passenger rail services along the LOSSAN rail corridor.
- k) Support mechanisms and funding providing for the implementation of the LOSSAN rail corridor wide Strategic Implementation Plan, California State Rail Plan, and other rail improvement plans.



## 2021 Los Angeles – San Diego – San Luis Obispo Rail Corridor Agency Legislative Program

### II. IMPLEMENTATION OF TRANSPORTATION POLICIES

- a) Support surface transportation legislation that facilitates adequate funding levels, transit and rail investments, and expedited federal actions.
- b) Support equitable policies in the delivery of passenger rail services, projects, and programs within the LOSSAN rail corridor.
- c) Monitor implementation of Executive Order N-19-19, and any related legislative or regulatory efforts, to ensure LOSSAN Agency remains competitive within existing funding programs and transportation funds are used for their intended purposes.

### III. CONNECTIVITY AND INTEGRATION

- a) Continue working with California Intercity Rail Program partners on the planning, advocacy, and promotion of existing and future passenger rail service at the federal, state, and local level.
- b) Seek opportunities to support and advocate for the LOSSAN rail corridor, as well as emerging rail corridors, services, and high-speed rail.
- c) Support efforts to streamline and enhance transit services that provide for first-and-last mile connections to intercity, commuter, and high-speed rail passenger rail services and stations.
- d) Support state, federal, and local policies and programs that facilitate intermodal connectivity between passenger rail services on the LOSSAN rail corridor and other public transportation systems, including train to plane connections at local airports.
- e) Support efforts that would allow for the future extension of service to connect to areas outside of the existing LOSSAN rail corridor, including a financially sustainable access rate.

### IV. INFRASTRUCTURE, SERVICE, AND SAFETY IMPROVEMENTS

- a) Support legislation that encourages smart growth and transit-oriented development, mixed-use development, and joint development opportunities, including improved connectivity to and from rail stations.
- b) Support goods movement initiatives that provide infrastructure and throughput improvements for passenger rail systems.
- c) Support legislation promoting rail safety and rail security, including efforts to fund and responsibly implement and operate Positive Train Control (PTC), and request federal assistance in considering the fiscal, technological, and logistical challenges faced by entities implementing and operating PTC safety technology.
- d) Monitor any administrative reform efforts that may impact rail safety regulatory agencies such as the California Public Utilities Commission.
- e) Monitor the development of federal notices of proposed rulemakings (NPRM) and identify any impacts such proposals may have on passenger rail services. Seek opportunities to engage with, and submit comments to, NPRM-sponsoring agencies to communicate LOSSAN Agency concerns or support related to NPRMs.





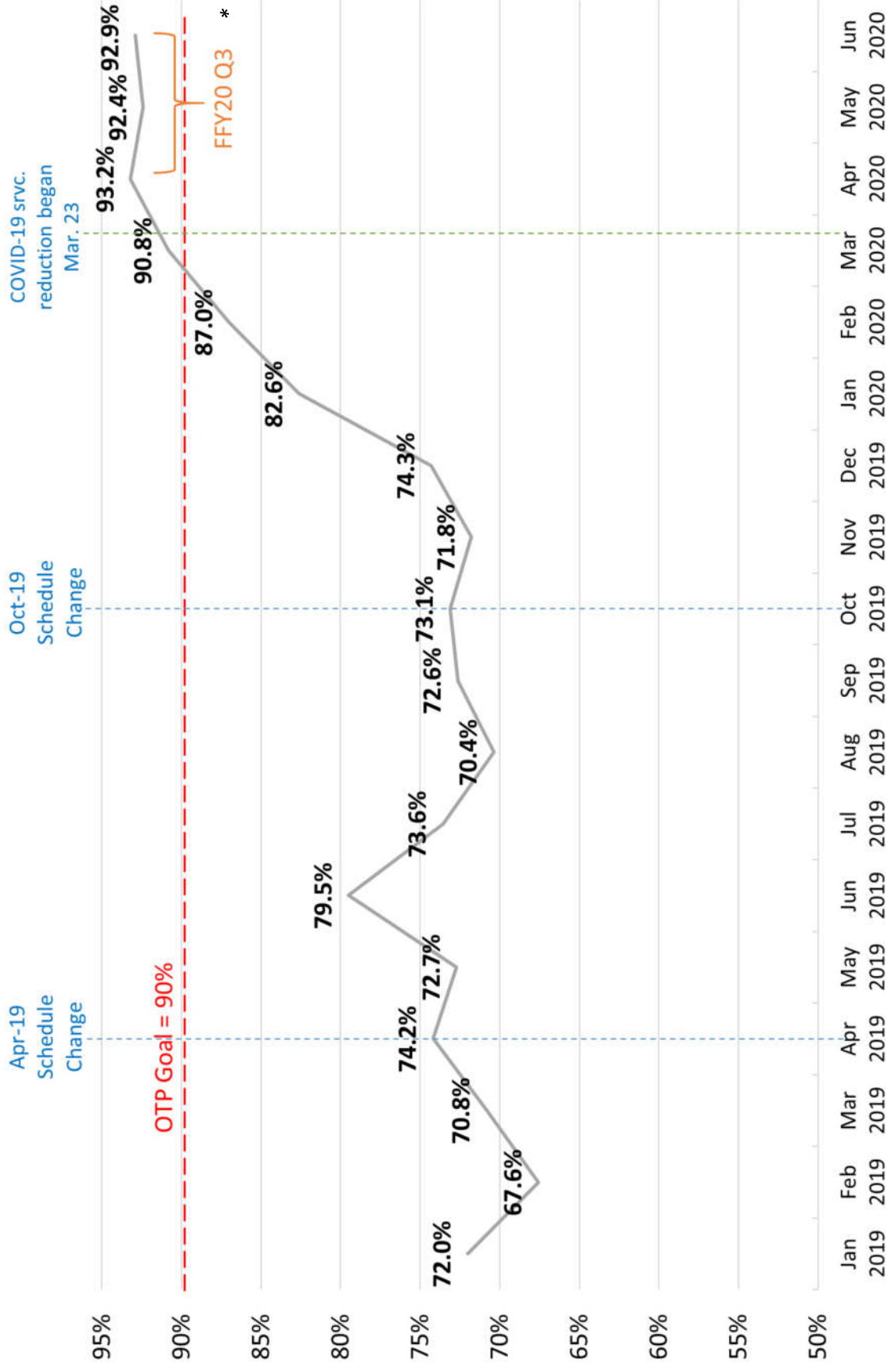
# Pacific Surfliner

## On-Time Performance Analysis

### Third Quarter – Federal Fiscal Year 2019-20

Technical Advisory Committee Meeting  
November 5, 2020

# Monthly Average Endpoint On-Time Performance (OTP) - Systemwide



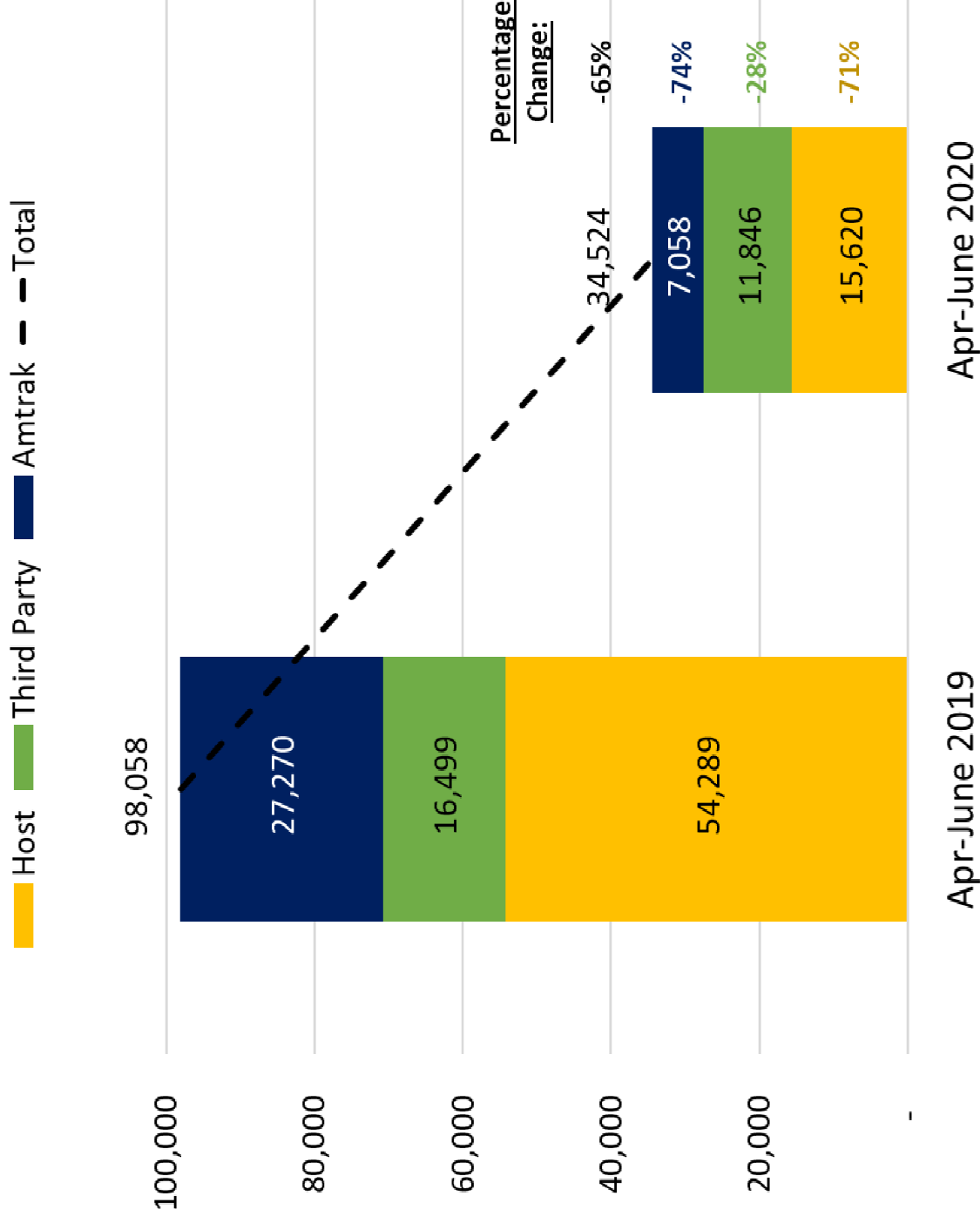
- May/June 2020 based on preliminary unaudited data
- COVID-19 service reduction – 13 roundtrips to 6 roundtrips
- Percentage (%)

# Federal Fiscal Year (FFY) 2020 Third Quarter (Q3) Average Endpoint OTP by Train

Train	Apr-20	May-20	Jun-20	3 Month Avg.
1768	100.0%		100.0%	100.0%
1777			100.0%	100.0%
1785			100.0%	100.0%
1796	100.0%		100.0%	100.0%
1763	100.0%			100.0%
767	95.5%	100.0%	100.0%	98.5%
796	100.0%	93.5%	90.0%	94.5%
579	93.3%	96.8%	93.3%	94.5%
564	81.8%	100.0%	100.0%	93.9%
580	93.3%	90.3%	96.7%	93.4%
768	90.0%	93.5%	96.7%	93.4%
593	83.3%	96.8%	100.0%	93.4%
1584	100.0%	90.9%	87.5%	92.8%
1767	100.0%	90.9%	87.5%	92.8%
763	93.3%	93.5%	86.7%	91.2%
774	96.7%	96.8%	80.0%	91.2%
777	93.3%	87.1%	90.0%	90.1%
785	93.3%	93.3%	80.0%	88.9%
584	77.3%	90.0%	90.9%	86.1%
1564	87.5%	72.7%	87.5%	82.6%
<b>System Average</b>	<b>93.2%</b>	<b>92.4%</b>	<b>92.9%</b>	<b>93.9%</b>

# Delays by Responsible Party

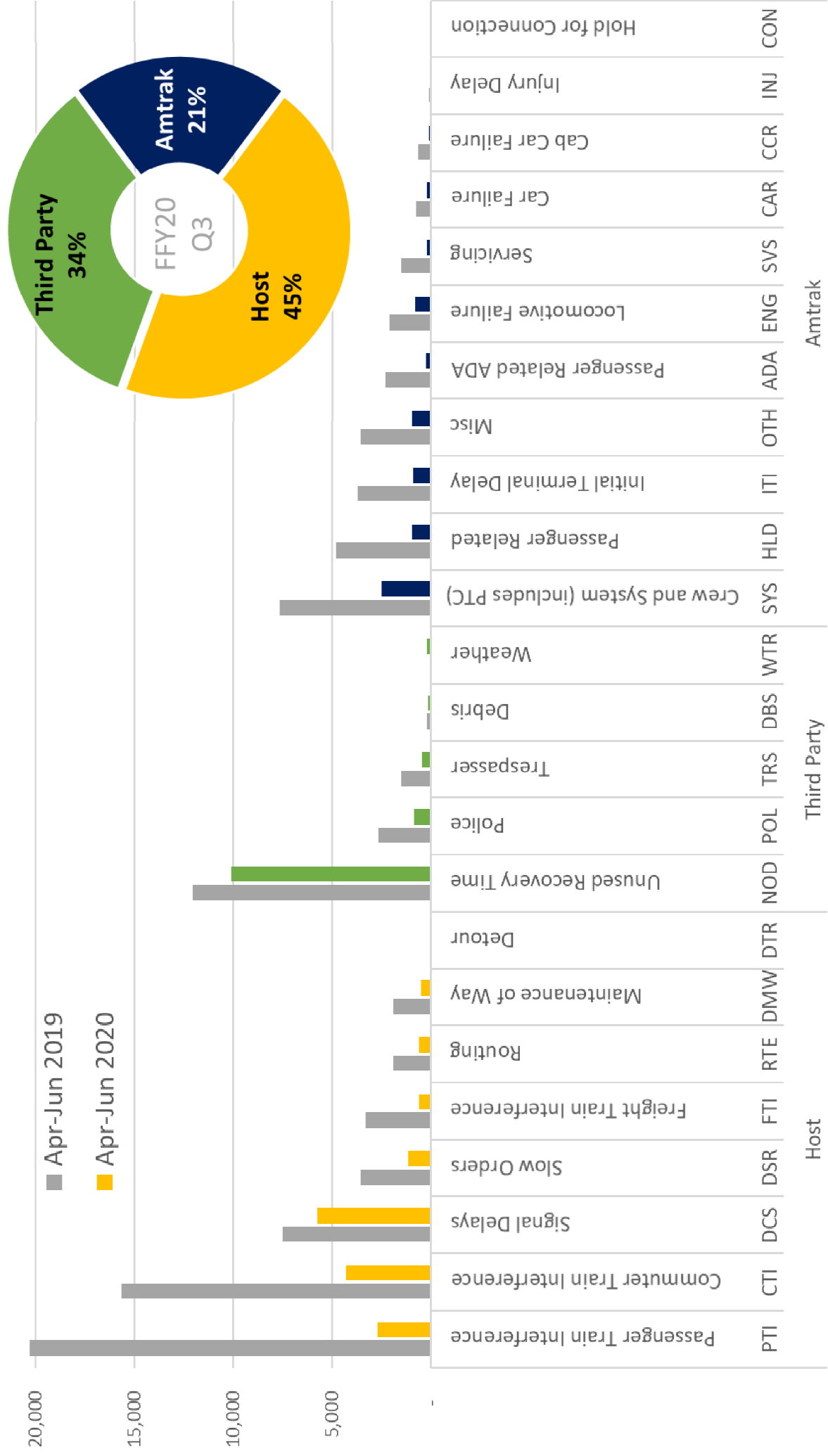
## FFY19 Q3 v. FFY20 Q3



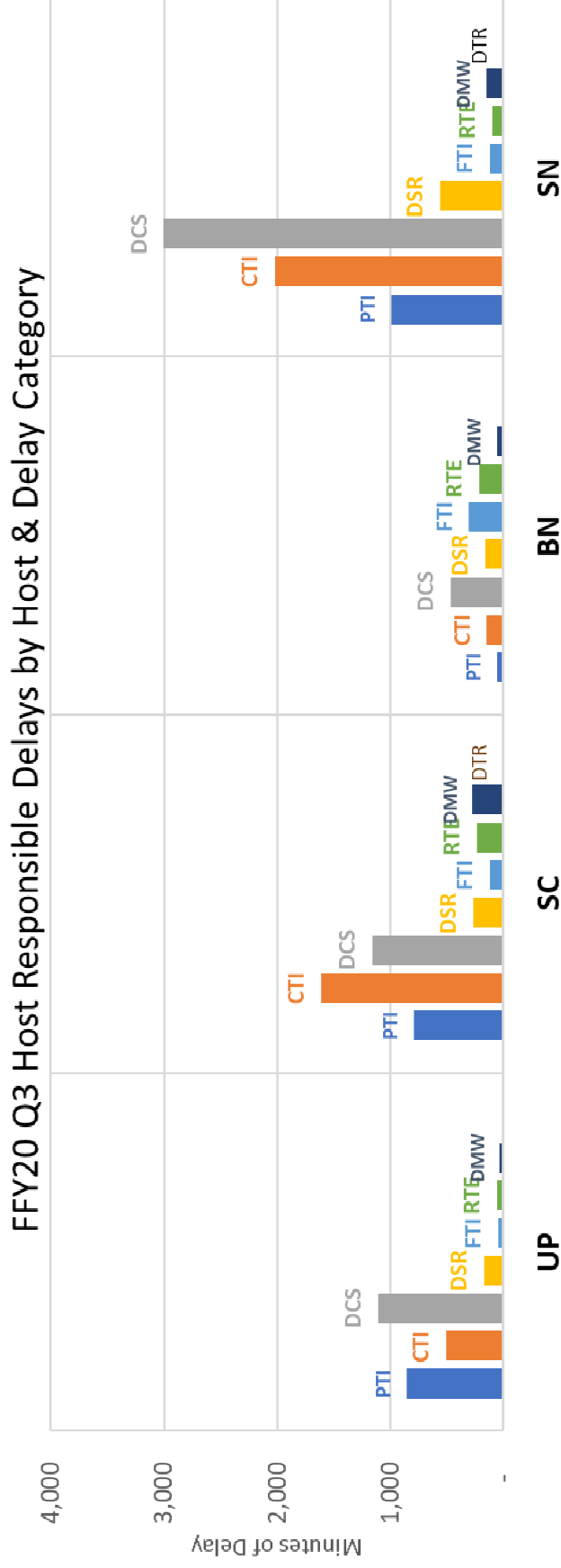
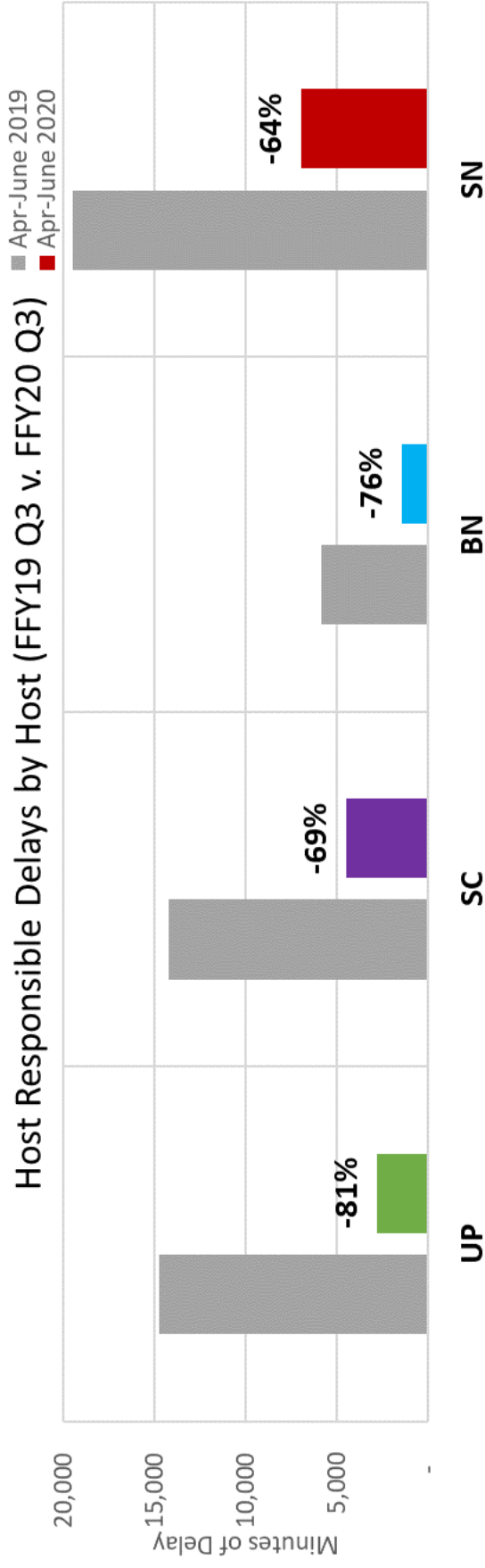


# Delays by Category & Responsible Party

## FFY19 Q3 v. FFY20 Q3

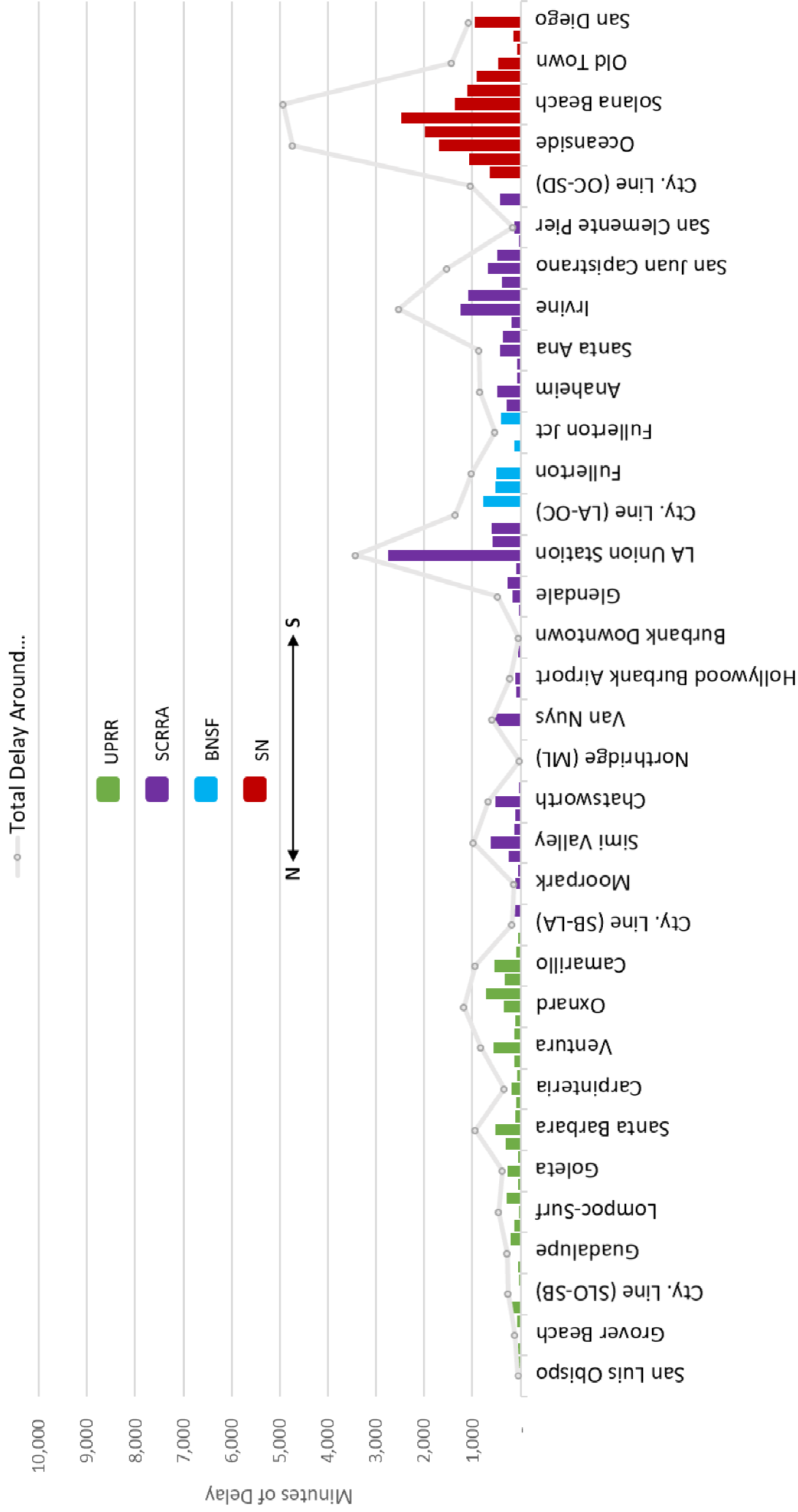


# Host Responsible Delays



# Total Delay Distribution – By Location

FFY20 Q3 (Apr-June 2020) Total Delay Distribution by Location



# Conclusions – FFY20 Q3

- OTP improved significantly in FFYQ3 during COVID-19 reduced service schedule, with systemwide OTP performing above 90% OTP goal.
- Amtrak, host, and third-party delays decreased by 74%, 71%, and 28%, respectively, in FFY20 Q3 vs. FFY19 Q3.
- Overall, total minutes of delay decreased by 65% in FFY20 Q3 vs. FFY19 Q3.

# Questions



**LOSSAN RAIL CORRIDOR AGENCY**

# **Upcoming Agenda Items**

**Supplemental Information**



**Los Angeles – San Diego – San Luis Obispo  
Rail Corridor Agency**

**DRAFT  
Upcoming Agenda Items  
Board of Directors Meeting  
November 16, 2020**

- Conflict of Interest Code and 2020 Annual Statement of Economic Interests Filing
- Annual Business Plan and Budget Assumptions for Fiscal Years 2021-22 and 2022-23
- Fiscal Year 2020-21 Budget Amendment
- LOSSAN Rail Corridor Trends for the Third Quarter of Federal Fiscal Year 2019-20
- Proposed 2021 Board of Directors and Committee Meetings Schedule
- Fiscal Year 2019-20 Fourth Quarter Budget Status Report
- Draft 2021 Los Angeles – San Diego – San Luis Obispo Rail Corridor Agency Legislative Program
- Approval to Release Request for Proposals for Program Management Consultant Services
- Fiscal Year 2020-21 Through Fiscal Year 2024-25 State Rail Assistance
- Presentation on results and recommendations from LOSSAN Optimization Study
- Pacific Surfliner On-Time Performance Analysis Second Quarter - Federal Fiscal Year 2019-20
- Status Report of State Legislation Enacted in 2020