Los Angeles County Metropolitan Transportation Authority

Orange County Transportation Authority

Riverside County Transportation Commission

San Bernardino Associated Governments

Ventura County Transportation Commission
# BOARD ROSTER
## SOUTHERN CALIFORNIA REGIONAL RAIL AUTHORITY

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<th>County</th>
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<td><strong>Los Angeles:</strong></td>
<td>Richard Katz <em>(Chair)</em></td>
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<td><strong>San Bernardino:</strong></td>
<td>Patrick Morris <em>(Vice-Chair)</em></td>
<td>Larry McCallon*</td>
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<td>Paul Eaton</td>
<td>Alan D. Wapner*</td>
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<td>Michael Hennessey</td>
<td>Carolyn Cavecche*</td>
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<td>OCTA Appointee</td>
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[CURRENTLY AWAITING APPOINTMENT]
Riverside:  
Ron Roberts  
Council Member  
City of Temecula  
2 votes  
Greg Pettis*  
Council Member  
Cathedral City  
Daryl Busch  
Mayor  
City of Perris  
Karen Spiegel*  
Council Member  
City of Corona  

Ventura:  
Keith Millhouse  
Council Member  
City of Moorpark  
1 vote  
Brian Humphrey  
Commission Member  
VCTC  

EX-OFFICIO MEMBERS  

Southern California Association of Governments:  
Michele Martinez  
Councilwoman  
City of Santa Ana  

San Diego Association of Governments:  
[CURRENTLY AWAITING APPOINTMENT]  
Contact:  
Linda Culp  
Principal Planner – Rail  

State of California:  
Michael Miles  
Director, Caltrans District 7  

Alternate:  
[CURRENTLY AWAITING APPOINTMENT]  

*Alternates represent either member  
Revised 12/12/12
SCERRA BOARD OF DIRECTORS MEETING
FRIDAY, January 11, 2013 – 10:00a.m.
LOS ANGELES COUNTY
METROPOLITAN TRANSPORTATION AUTHORITY (METRO) BOARD ROOM
ONE GATEWAY PLAZA, 3RD FLOOR
LOS ANGELES, CALIFORNIA 90012

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

A person with a disability may contact the Board Secretary’s office at (213) 452-0255 or via email brozowskik@scrra.net at least 72-hours before the scheduled meeting to request receipt of an agenda in an alternative format or to request disability-related accommodations, including auxiliary aids or services, in order to participate in the public meeting. Later requests will be accommodated to the extent feasible.

SUPPORTING DOCUMENTATION
The agenda, staff reports and supporting documentation are available from the Board Secretary, located at One Gateway Plaza, 12th Floor, Los Angeles, CA 90012, and on the Metrolink website at www.metrolinktrains.com under the Board Agenda link.

PUBLIC COMMENTS ON AGENDA ITEMS
Members of the public wishing to address the Board of Directors regarding any item appearing on the agenda may do so by completing a Speaker’s Form and submitting it to the Board Secretary. Speakers will be recognized by the Chairman at the time the agenda item is to be considered. When addressing the Board, please state your name for the record. Please address the Board as a whole through the Chair. Please note comments to individual Board members or staff are not permitted when addressing the Board. A speaker’s comments shall be limited to three (3) minutes.

PUBLIC COMMENTS ON ITEMS NOT ON THE AGENDA
Members of the public wishing to address the Board of Directors regarding any item not on the agenda, but within the subject matter jurisdiction of the Board, will be taken under Item 19 (Public Comment), and will be subject to the same guidelines as noted above.

1. Call to Order
2. Pledge of Allegiance
3. Election of Officers

REGULAR CALENDAR


5. Approval of Minutes – December 14, 2012 Board of Directors Meeting and Annual Workshop

Staff recommends the Board approve the Minutes of the December 14, 2012 Board of Directors Meeting.

6. Board Member and Employee Recognition – Years of Service

The Board will recognize SCRRA employees and Board members who have completed one, five, ten, fifteen and twenty years of service between January 1, 2012 and December 31, 2012. There is no written document. The Board may receive and file this report.


Ultra low sulfur diesel fuel (ULSD) is needed to ensure the continuation of uninterrupted service of the Metrolink Commuter Rail System. At the April 2012 meeting the Board approved the exercise of the one-year option to extend the contract term to December 31, 2013 and increased the contract authority by $27,000,000 for a not-to-exceed contract authority of $67,000,000. This increase in contract authority will permit staff to enter into agreements for the use of Forward Purchase Agreements (FPAs) for the purchase of fuel in outlying months through the end of December 2013.

Staff recommends the Board authorize the Chief Executive Officer to increase contract funding authorization for Contract No. PO379-11 with SC Fuels for ultra low sulfur diesel fuel (ULSD), by $13,000,000 for a not-to-exceed contract authority of $80,000,000. The contract term will remain from January 1, 2011 to December 31, 2013 to keep in line with Metrolink’s hedging strategy. This action has no impact on the FY2012-13 Operating budget, but will be requested and included in the FY2013-14 Operating budget.


To ensure continued dispatching capability, the quarterly licensing fee payment to operate the Digicon system is required.
Staff recommends the Board authorize the Chief Executive Officer to execute Amendment No. 7 to the current License Agreement Contract No. H1602 with Digital Concepts, Inc. (Digicon) in the amount of $87,304 for the quarterly licensing fee to operate the Digicon dispatching system from March 18, 2013 through June 17, 2013. Funding for the quarterly license fee payment is included in the FY2012-13 Operating Budget.


Authority to execute a change order is required for scope, cost, and schedule changes to the Valley and Ventura Subdivisions communication network project. This change order extends the contract duration another six months and compensates Parsons and its sub-contractors for extended overhead costs due to the delays associated with microwave path surveys and resulting necessary design adjustments including relocation and repositioning of communication towers. In the meantime, in order to mitigate any delays to the PTC Program, VVSG Project Staff re-directed the contractor to prioritize installation of those towers directly required for PTC and also developed interim plan to provide backhaul using third party telecommunication network carriers such as AT&T.

Staff recommends the Board authorize the Chief Executive Officer to amend Contract No. C3111-12, Valley, Ventura and San Gabriel Communications Backhaul Project (VVSG), with Parsons Commercial Technology Group, Inc. (Parsons) and authorize execution of a subsequent Change Order with Parsons in the amount of $1,800,000 and extend the contract completion date by 6 months from February 7, 2013 to August 7, 2013. The value of the Change Order is in excess of the $150,000 limit delegated to the Director, Engineering and Construction in SCRRA’s Contract Administration Policies and Procedures (CA&P) Manual (CON-21) and thus must be authorized by the Board. This Change Order combined with previous change orders is within the authorized contract contingency amount of $3,022,677.07 and the total contract funding authorization of $23,173,857.54. Funding for the VVSG communications infrastructure upgrades is provided through a variety of existing federal, state, and local funds and sufficient grant funding is in place to accommodate this requested change order.


At the July 13, 2012 Board Meeting, Staff committed to providing the Board a quarterly update on the overall status of SCRRA’s Positive Train Control (PTC) Program and the status on Change Orders for Contract No. H1636-10 Positive Train Control System with Parsons Transportation Group, Inc. The staff report plus attachments fulfills this requirement. Since the last quarterly update to the Board on October 10, 2012, SCRRA’s PTC program has made a number of important accomplishments and has
also encountered additional delays on aspects of the program. Currently the PTC program remains on track to complete within its $210.9 million budget, but the budget depends on a timely project completion and contract close-outs.

The Board may receive and file this report. There is no immediate budget impact as a result of this status report.

11. Incident Response Plan Adoption

Southern California Regional Rail Authority (SCRRA) requests adoption of the Incident Response Plan. At the December 14, 2012 Board of Directors meeting, staff presented the Board with a presentation and a draft of the Incident Response Plan (IRP) which is designed to determine the level of response by Board members, staff, and other necessary resources to any incident, accident, or major event. The IRP also assigns roles and responsibilities to these individuals according to the level of the event. There was no additional discussion at this meeting and the plan remains unchanged and is included in this report as Attachment A of the staff report.

Staff recommends the Board adopt the Incident Response Plan. There is no immediate budget impact as a result of this adoption.

12. TAP Program Update

Beginning in June 2013, the Los Angeles County Metropolitan Transportation Authority (Metro) will begin the implementation of latching its gates. Under the transfer agreement with Metro, Metrolink will provide its EZ Pass customers transferring to Metro Rail with a TAP enabled limited use ticket (smart ticket) which will allow them to transfer through the TAP activated gates. On November 16, 2012, the Metrolink Board approved plans to move forward with the development and testing of the smart tickets and to report back with its results. Staff has prepared a project update on its efforts to date.

The Board may receive and file this report. The Board has approved $395,000 in the FY2012-13 budget for staff to develop, purchase and test the paper smart ticket stock samples and to provide the Board with a report of the testing results in March 2013. Staff does not anticipate that this budget will be exceeded.

13. Metrolink Holiday Toy Express® 2012 Program Update

The Metrolink Holiday Toy Express® is the Southern California Regional Rail Authority’s (SCRRA’s) popular and extensive community outreach program which brings a festive special train to station cities through the service area. This report recaps the 16th season of the Holiday Toy Express®.
The Board may receive and file this report. Funding for the Metrolink Holiday Toy Express is included in the FY2012-13 Operating budget. Estimated expenses are approximately $286,000 and $40,450 were secured through sponsorships to offset cost. A final cost report will be presented to the board before the end of the third quarter of FY 2012-13.

14. Amtrak Operational Safety Presentation

At the request of Board member, Director Millhouse, Amtrak staff will deliver a presentation outlining their operational safety standards. There is no written document. The Board may receive and file this report.

15. Chief Finance Officer’s Update

16. Chief Executive Officer’s Report
   - Agency Update

17. Chair’s Comments

18. Board Members’ Comments

19. Public Comment

CLOSED SESSION

20. Closed Session
   a. CONFERENCE WITH LEGAL COUNSEL – EXISTING LITIGATION – Pursuant to Subdivision (a) of Government Code Section 54956.9 – Lydon v. Southern California Regional Rail Authority et al. (Civil Case No. BC461198)

   b. CONFERENCE WITH LEGAL COUNSEL – ANTICIPATED LITIGATION – Pursuant to Subdivision (b) of Government Code Section 54956.9 (3 potential cases)

21. ADJOURNMENT
**BOARDS MEMBERS/ALTERNATES IN ATTENDANCE:**

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<td>MICHAEL ANTONOVICH&lt;sup&gt;1&lt;/sup&gt;</td>
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<td>MARK RIDLEY-THOMAS&lt;sup&gt;2&lt;/sup&gt;</td>
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<td><strong>SANBAG:</strong></td>
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<td>PAUL EATON</td>
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<td><strong>RCTC:</strong></td>
<td>DARYL BUSCH</td>
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<td>RON ROBERTS</td>
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<td>Karen Spiegel</td>
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<td><strong>VCTC:</strong></td>
<td>KEITH MILLHOUSE&lt;sup&gt;4&lt;/sup&gt;</td>
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<td>(1 vote)</td>
<td>Brian Humphrey</td>
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**EX-OFFICIO MEMBERS**

- State of California: Michael Miles
- SCAG: --

**STAFF:**

Michael P. DePALLO, Chief Executive Officer
Gray Crary, Chief Strategic Officer
Olga Yero, Chief of Staff
Patricia Bruno, Government and Regulatory Affairs Manager
Don Del Rio, General Counsel / Interim Co-Chief Executive Officer
Geoffrey Forgione, Associate General Counsel
Kari Brozowski, Board Secretary

<sup>1</sup> Director Antonovich arrived during the discussion of Item No. 5 and left during the discussion of Item No. 14
<sup>2</sup> Director Ridley-Thomas arrived during the discussion of Item No. 5. However, his alternate, Director Lackey assumed the vote on all items as Director Ridley-Thomas was no present during the votes.
<sup>3</sup> Vice-Chair Morris arrived during the discussion of Item No. 5.
<sup>4</sup> Director Millhouse left during the discussion of Item No. 5, and Director Humphrey assumed his vote on the remainder of the agenda items.
Meeting minutes are prepared in a format that corresponds with the Board Meeting Agenda, which is incorporated by reference with these minutes. SCRRA Board Agendas are available online at www.metrolinktrains.com under the Board Agenda link or from the Board Secretary at (213) 452-0255.

1. **Call to Order**

   The December 14, 2012 SCRRA Board of Directors Meeting was called to order by Chair Katz who presided over the meeting at 10:02 a.m. at the Metro Board Room, One Gateway Plaza, 3rd Floor, Los Angeles, CA 90012.

2. **Pledge of Allegiance**

   Director Bartlett led the group in the Pledge of Allegiance.

Chair Katz announced that the agenda would be taken out of order. He also announced notification from the Orange County Transportation Authority (OCTA) announcing a change to the OCTA Board member representation, with Director Hennessey appointed as voting member and Director Cavecche appointed as the alternate.

**REGULAR CALENDAR**

3. **Approval of Minutes – November 16, 2012 Special Board of Directors Meeting and Annual Workshop**

   Upon a motion by Director Millhouse and seconded by Director Busch, the Board unanimously approved the Minutes of the November 16, 2012 Special Board of Directors and Annual Workshop.


   Gray Crary, Chief Strategic Officer provided a brief background on this item as detailed in the staff report along with a presentation that outlined the locomotive procurement goals, results of the procurement and responded to questions raised at the November 16, 2012 Board meeting.

   Director Cavecche asked for a review of single engine verses double engine and an explanation as to why the two proposers submitted differently. Gray Crary stated that staff was careful in the Request for Proposal (RFP) not to be too specific and leave it up to the proposers to recommend what they felt was their best product and the result was that Electro-Motive Diesel (EMD) had a high confidence of reliability with their single engine proposal while MotivePower, Inc. (MPI) proposed more horsepower but with two smaller engines. He remarked that both EMD and MPI engines could run “hotel” power (which would operate the HVAC system). Director Cavecche asked what the scenario would be of both a single engine failure and a double engine failure on a train. Gray Crary replied that MPI proposed a “limp home” function described as one engine failed,
and the second engine could arrive at its destination at a much slower speed while also performing “hotel” functions [Hotel functions would providing lighting, heating and air conditioning ventilation (HVAC) to the consist]. Ron Svoboda, Director, Maintenance of Equipment explained that with EMD, although an engine failure would be highly unlikely, if one did occur the train would stop and one of the traction motors would be converted to supply “hotel” power to the train without “limp home” capabilities. Director Cavecche requested clarification that if the EMD proposed engine failed passengers would still receive “hotel” power. Ron Svoboda confirmed that if the inverter portion of the engine failed then one of the four traction motors would be converted to provide “hotel” power to the train.

Director Spiegel stated that she has requested a list of all mechanical issues and noted that her concern is focused on performance of these new engines after being in service for several years. Gray Crary commented that some of the reasons the freight railroad industry moved to the Alternating Current (AC) traction was due to proven lower maintenance costs and greater reliability. Michael DePallo, Chief Executive Officer, reported on year-to-date (YTD) mean miles between failures and noted that the average YTD was 18,759 and month-to-date (MTD) November 2012 was at 16,229 which equated to approximately three (3) locomotive failures per unit per year that result in a train delay. He also commented that on Monday, December 10, 2012, he and Ron Svoboda met with the Bombardier senior staff to discuss reliability issues and efforts to correct these issues. Metrolink’s equipment staff along with Bombardier has assembled a technical team to develop and improve maintenance practices. He further commented that Bombardier is in the process of drafting a Locomotive Reliability Plan which will develop a baseline check for engines and the head-end power (HEP) system and will determine if a change in standard maintenance practices are required as both Metrolink and Bombardier recognize these engine failures as a problem that needs resolution.

Director Cavecche asked if either MPI or EMD were providing Tier 4 locomotives to any other agencies. Gray Crary discussed known examples from both the passenger and freight railroad environment. He also stated that both EMD and MPI products are currently being tested in the freight industry.

Director Busch stated that the dedicated tanker cars that carry compressed natural gas (CNG) and liquefied natural gas (LNG) fuel are built to sustain damage in the event of an incident and expressed his disappointment that the Board was not presented with information regarding this type of fuel as an option. Gray Crary replied that the CNG/LNG product is in the very early stages of testing in the freight industry and currently there are no vendors who are proposing this as a fuel option at this time. Chair Katz remarked that in order to use possible funding sources for purchase of new locomotives by 2015 the CNG/LNG option is not feasible, but assured the Board that staff will continue to explore options pending future choices if and when new technology becomes available.

Director Spiegel noted the Board report mentioned 10-car consists and wondered how realistic is that forecast, especially when most station platforms can only accommodate
five to six cars consists. Gray Crary replied that approximately two years ago at the Board workshop there was discussion on station infrastructure and the consensus at that time was to provide longer trains, and the first planned opportunity to expand the car consists would be for the express trains. He reminded the Board that the new Tier 4 locomotives will not be delivered until after 2015. Vice-Chair Morris asked if the Perris Valley Line (PVL) service extension and other new projects will be built to accommodate that 10-car configuration. Gray Crary responded that he believed the designs for PVL stations called for platforms that can accommodate six to eight car consists. He noted that there are a few stations such as Cal State LA on the San Bernardino line that has a very short platform only able to hold three cars and passengers needing to exit at that station either sit in those three cars or move forward before arrival. He also commented that stations such as San Bernardino and Palmdale would benefit by extending their platforms and a few in Orange County as well.

Director Hennessey stated that passenger concern is to provide more frequent service and although a longer consist can hold more passengers, he felt it is important to consider the passengers’ needs.

Director Hennessey stated that higher horsepower will be great when going uphill, but all lines do not have that need and felt that an analysis for daily fuel consumption would have been helpful. Gray Crary replied that fuel consumption analysis was provided as part of the proposals but only for the Antelope Valley (AV) line.

Director Humphrey expressed his concern about performance on the early testing locomotives and how that could potentially affect the locomotive purchase. Gray Crary replied that the modeling the proposers provided showed that the locomotives performed better than current equipment in the worst of conditions; however, EMD proposed that they would provide three prototypes and after thorough testing would make adjustments for final production. He provided the timeline for this procurement noting that the prototype locomotives would be delivered in the fall of 2015 and would be tested for six to eight months before going into production. The Board discussed cash flow and upfront costs along with related current available funding of Prop 1A and Public Transportation Modernization, Improvement, and Service Enhancement Account Program (PTMISEA) funds.

Director Roberts inquired if the three prototypes provided by the vendor would be slightly different in order to perform an analysis. Gray Crary replied that the prototypes would be the same. Director Roberts also expressed concern with a single engine in the event of engine failure and felt that failures are happening more frequently. He asked for staff’s interim plan to correct these failures, and Gray Crary responded that staff has been in discussions with Bombardier as Michael DePallo reported earlier and also noted that the Board recently awarded a contract with Relco Locomotives, Inc. for parts replacements in an effort to improve better mean miles between failures.

Director Cavecche requested what a timeline for production of Tier 2 locomotives would be. Gray Crary responded that the timeline for minimum replacement of engines to Tier 2 would take approximately 24 months.
Director Lackey asked if other agencies were requesting funding from South Coast Air Quality Management District (SCAQMD). Gray Crary stated that other agencies are in the process of issuing procurements such as the State of California procurement for rail cars, explaining that if the State of California issues their Tier 4 proposal quickly they may also seek these AQMD funds and stressed the importance of Metrolink being proactive and staying in front in trying to secure these funds. Chair Katz also reminded the Board that these funds are coming from the Carl Moyer funding which will only be available for two more years; however, at the request of AQMD, staff has provided support in Sacramento to authorize an extension of these funds.

Director Antonovich asked why staff was not pursuing the option of natural gas. Staff felt that it is not a viable option at this time, and that the current development of this technology is within the freight railroad environment; however, staff is monitoring the development of these types of products. In Gray Crary's opinion he felt that this option might be ready to introduce to the commuter rail industry in approximately four to five years. Director Antonovich commented on his recent trip to China and that the development of natural gas is already taking place and some efforts in the United States are beginning as well. At this time, Director Antonovich introduced an amendment to staff's recommendation (included and shown in italics under the action section below).

A motion was made by Vice-Chair Morris and seconded by Director Antonovich to include the amendment as part of Recommendation No. 2 of the staff report.

Chair Katz called on members of the public who requested to speak on this item.

Spencer Richley with Clean Energy encouraged the Board to consider natural gas as an option. He provided facts on the benefits of LNG noting that greenhouse gas emissions are reduced by 25% and do not require pre or after treatments to meet Tier 4 standards. He further stated that approximately a $1.50/gallon savings could be seen on a diesel gallon equivalent and added that 95% of natural gas comes from North America. He stated that currently West Port and Caterpillar were in co-development of a natural gas fuel system and expects the product to be available in approximately five years. He remarked that a partnership with AQMD, Metrolink, EMD, West Port, and Clean Energy could compete with the demonstration in Canada as mentioned earlier in the presentation.

Chair Katz asked Spencer Richley what his company, Clean Energy, specialized in and he stated that Clean Energy is a natural gas vehicle fueling company based out of Seal Beach and noted that they build stations and provide natural gas. He then thanked the Board for their time and requested to meet with the Chief Executive Officer to discuss further.

David Cook with Energy Conversions requested to clarify a few comments made by Gray Crary during his presentation. He stated that one of the pictures in his presentations was in fact an Energy Conversions and Canadian National product, and added that hardware is operating today and was demonstrated to Burlington.
Northern Santa Fe (BNSF) railroad in the early 1990’s. He also added that the tender car is a double wall thermo insulated tank with a 25 inch headspace gap on each end and is very safe. He provided a handout for the Board members and reviewed some of the information contained therein.

Chair Katz thanked David Cook for his presentation and made one correction to the handout, stating that Tier 4 is in the 80s for both the NOx and the Particulate Matter (PM). Chair Katz added that staff would be happy to set up a meeting in the future to discuss new technologies and assured that staff will continue to keep up to date as advancements with CNG/LNG locomotives.

Director Cavecche requested clarification from the maker of the motion that the contingency portion (options (a) and (b) of recommendation no. 1 of the staff report) be included in the amended recommendation. Vice-Chair confirmed that options (a) and (b) are to be included in the amended recommendation.

Director Cavecche requested staff present a finance cash flow plan for this procurement to the Board.

A copy of the PowerPoint presentation is included as Attachment A to these minutes.

Upon a motion by Vice-Chair Morris and seconded by Director Antonovich, the Board approved Recommendation No. 2 as amended by a majority vote of 8-3. The Board Secretary took roll call and confirmed (8) Aye votes by Chair Katz, Vice-Chair Morris, Directors Antonovich, Lackey, Eaton, Roberts and Busch and (3) No votes by Directors Hennessey, Cavecche and Humphrey.5

**ACTION:** The Board took the following actions as amended with regard to Contract No. EP181-12, Tier 4 Locomotives:

1) The Board authorized the Chief Executive Officer to enter into a contract with EMD for a base order of 10 locomotives, plus $500,000 for non-recurring engineering system support costs with an option to purchase up to 10 additional locomotives and procure spare parts up to $3,000,000; when and if additional funding is available, at the same total not-to-exceed price of $129,400,000, with the understanding that the award is conditional upon (a) action by the South Coast Air Quality Management District (SCAQMD) to approve funding for the procurement, and (b) expiration of a 15-day protest period in compliance with both SCRRA Policy and State law. Additionally, amended to include, contingent upon execution of this procurement, EP181-12, the Board further recommends SCRRA commit to testing and demonstrating alternative fuel sources for future possible use in the commuter rail operating environment. To this end, SCRRA will make the first approximately five locomotives, taken out of service as a result of the procurement, available for demonstration of various alternative fuel technologies expected to be commercially available in the next decade, including but not limited to, liquefied natural gas (LNG), contingency upon an SCRRA-board approved fully-funded research and

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5 Director Ridley-Thomas was not present during the vote on Item No. 5 and his alternate, Director Lackey assumed his vote on this item in his absence.
demonstration program that fits within the agency’s other operating and capital investment priorities working in partnership with SCAQMD; and

2) Authorized the Chief Executive Officer to complete negotiations and enter into a contract with EMD consistent with the terms set forth in this report; and

3) Establish a contingency in the amount of $8,000,000 for this Contract and authorize the Chief Executive Officer, or his designee, to enter into change orders up to the contingency amount; and

4) In accordance with Public Utilities Code Section 130238, find that even though EMD’s proposal does not contain the lowest initial price among all proposers, it offers a technically superior solution, at the bet value to SCRR A measured over the life of the Locomotive.

When procurement is authorized under the Public Utilities Code (PUC) §130238, the Board Members/Alternates are notified that:

“No Board Member/Alternate responsible for awarding a contract that is subject to the competitive negotiation provisions of Section 130238 of the Public Utilities Code shall engage in any ex parte communication with a potential contractor or representative of that potential contractor except in writing and provided that the communication shall be made public.”

4. Adoption of Board and Committee Meeting Dates for Calendar Year 2013

Upon a motion by Chair Katz and seconded by Vice-Chair Morris, the Board unanimously approved the recommendation.6

**ACTION:** The Board approved and adopted the 2013 Board and Committee meeting schedule, as detailed in Attachment 1 of the staff report.


Bryan Payne, Assistant Director, Contracts provided a brief background on this item as detailed in the staff report and requested approval of staff’s recommendation.

Upon a motion by Director Busch and seconded by Director Lackey, the Board unanimously approved the recommendation.7

**ACTION:** The Board authorized the Chief Executive Officer to amend Contract Nos. SP358A-12 with Halo Branded Solutions, Inc., SP358C-12 with TY Custom Design, Inc. and SP358D-12 with J&M Promotions, Inc., to:

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6 Director Ridley-Thomas was not present during the vote on Item No. 4 and his alternate, Director Lackey assumed his vote on this item in his absence.

7 Director Ridley-Thomas was not present during the vote on Item No.6 and his alternate, Director Lackey assumed his vote on this item in his absence.
1) Exercise the first one-year option to extend the period of performance from January 10, 2013 to January 9, 2014, and

2) Increase the contract funding authorization by $100,000 for a new total contract authorization not-to-exceed amount of $195,000 for the bench.


Bryan Payne, Assistant Director, Contracts provided a brief background on this item as detailed in the staff report and requested approval of staff’s recommendation.

Upon a motion by Director Busch and seconded by Director Eaton, the Board unanimously approved the recommendation.

**ACTION:** The Board authorized the Chief Executive Officer to award a bench of contracts to the following firms to provide comprehensive printing services:

1) SP366A-13 – Dual Graphics
2) SP366B-13 – Eclipse Printing
3) SP366C-13 – Image Square, Inc.

The requested contract term will be for one year with four one-year options. The not-to-exceed amount for the four bench contracts is $400,000 annually. Under this bench of contracts, work released to the firms will be authorized to work through Contract Task Orders (CTOs). These firms understand and acknowledge that inclusion in this bench does not entitle them to any guarantee of a certain amount of work or minimum payment from SCRRA now or in the future.


Bryan Payne, Assistant Director, Contracts provided a brief background on this item as detailed in the staff report and requested approval of staff’s recommendation.

Director Busch wondered if Metrolink changes to the TAP card if these services would still be required. Gray Crary replied that it if in the future Metrolink accepts other types of payment, such as on-line, cell phone technology, etc., staff would reassess the needs to continue this contract, however currently these services are required. He further added that this exercise of option was only for a one-year period.

Upon a motion by Director Humphrey and seconded by Vice-Chair Morris, the Board unanimously approved the recommendation.

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8 Director Ridley-Thomas was not present during the vote on Item No. 7 and his alternate, Director Lackey assumed his vote on this item in his absence.

9 Director Ridley-Thomas was not present during the vote on Item No. 8 and his alternate, Director Lackey assumed his vote on this item in his absence.
ACTION: The Board authorized the Chief Executive Officer to exercise the first one-year option in Contract No. MS232-12 to Sectran Security, Inc. to provide cash collection and counting services in the amount of $345,600 for a total not-to-exceed contract value of $698,875.


Bryan Payne, Assistant Director, Contracts provided a brief background on this item as detailed in the staff report and requested approval of staff’s recommendation.

Director Cavecche asked how Metrolink handled these needs without a contract since 2011. Henning Eichler, Manager, Research and Planning noted that these services have been handled in-house, however stated that in October 2012 new guidelines for Title VI have been provided and staff will need assistance to ensure these guidelines are carried out.

Upon a motion by Director Cavecche and seconded by Director Roberts, the Board unanimously approved the recommendation.10

ACTION: The Board approved the proposed evaluation criteria detailed in Attachment 1 of the staff report, specifying a weighting of Eighty percent (80%) for technical qualifications and Twenty percent (20%) for cost, to retain a firm to provide system performance and compliance analysis. The proposed criteria are consistent with the Technical and Cost Criteria Weights Policy adopted by the Board.

10 Director Ridley-Thomas was not present during the vote on Item No. 9 and his alternate, Director Lackey assumed his vote on this item in his absence.

11 Director Ridley-Thomas was not present during the vote on Item No. 10 and his alternate, Director Lackey assumed his vote on this item in his absence.

10

11

10 Director Ridley-Thomas was not present during the vote on Item No. 9 and his alternate, Director Lackey assumed his vote on this item in his absence.

11 Director Ridley-Thomas was not present during the vote on Item No. 10 and his alternate, Director Lackey assumed his vote on this item in his absence.
total not-to-exceed amount of $825,000 to perform repairs to Cab Car 688 to enable its return to service.

11. Cooperative Agreement for State College Anaheim Grade Separation Project

Bryan Payne, Assistant Director, Contracts provided a brief background on this item as detailed in the staff report and requested approval of staff’s recommendation.

Upon a motion by Director Cavecche and seconded by Director Busch, the Board unanimously approved the recommendation.12

ACTION: The Board authorized the Chief Executive Officer to execute a Cooperative Agreement between SCRRA and OCTA that provides support of the State College Boulevard Grade Separation project by SCRRA.

12. Delegate Authority to the Chief Executive Officer for the Purpose of Obtaining Financial Assistance from the California Transportation Commission and the California Department of Transportation

Gray Crary, Chief Strategic Officer provided a brief background on this item as detailed in the staff report and requested approval of staff’s recommendation.

Upon a motion by Vice-Chair Morris and seconded by Director Busch, the Board unanimously approved the recommendation.13

ACTION: The Board approved Resolution 12-68 (Attachment 1 of the staff report) to authorize the Chief Executive Officer, or his designee, to execute on behalf of SCRRA, any actions necessary for the purpose of obtaining financial assistance provided by the California Transportation Commission.

13. Adopt a Support in Concept position on Senate Bill 11 (Pavley and Rubio) and Assembly Bill 8 (Perea and Skinner) to extend Alternative Fuel and Vehicle Technologies Funding Programs

Patricia Bruno, Government and Regulatory Affairs Manager provided a brief background on this item as detailed in the staff report and requested approval of staff’s recommendation.

Chair Katz called on members of the public who requested to speak on this item.

Matt Owen of Campaign for Sustainable Development expressed his support for the SB11 and AB8 bills. He also suggested staff look into the opportunity of employing electric vehicle rentals at each Metrolink station.

12 Director Ridley-Thomas was not present during the vote on Item No. 11 and his alternate, Director Lackey assumed his vote on this item in his absence.
13 Director Ridley-Thomas was not present during the vote on Item No. 12 and his alternate, Director Lackey assumed his vote on this item in his absence.
Upon a motion by Vice-Chair Morris and seconded by Director Busch, the Board unanimously approved the recommendation.\textsuperscript{14}

\textbf{ACTION:} The Board adopted a Support in Concept position on two recently introduced bills, SB 11 (Pavley & Rubio) and AB 8 (Perea & Skinner). These bills would extend the fees and the programs like the Carl Moyer Memorial Air Quality Standards Attainment Program (Carl Moyer Program) that makes grants available for projects that reduce emissions and supports new technologies. The bill would extend the programs to January 2024.

\textbf{14. Incident Response Plan Update}

Fred Jackson, Director, System Safety provided a brief background on this item as detailed in the staff report along with a presentation that outlined the purpose of the Incident Response Plan (IRP), and the response and notification process during varying incident level categories, highlighting that a Level III incident would prompt Board member notification via the Send Word Now system and require Board involvement. Mr. Jackson noted that staff will be returning to the Board in January to adopt the plan.

Vice-Chair Morris remarked the critical importance to perform tabletop and in-field exercises to ensure that the steps outlined in the document work and everyone is aware of their respective responsibilities.

A copy of the Presentation is available upon request from the Board Secretary.

\textbf{ACTION:} The Board received and filed this report.

\textbf{15. Chief Finance Officer's Update}

- External Audit Update – The External Auditing firm of McGladrey & Pullen, LLC are in the final stages of completing the Comprehensive Annual Financial Report (CAFR) and Single Audit report and the firm will submit their report and findings to the Executive Management and Audit Committee in January.

\textbf{16. Chief Executive Officer’s Report}

- Agency Update
  - Fuel update – YTD fuel purchases as of November 30, 2012 totals 6.6M gallons or 92.5\% of the budget. The conservation plan is working staff is happy to report that the Agency has purchased fuel at an average price of $3.62/gallon which equals to $879,120 savings. Staff will continue to work with the vendor to take fixed forward pricing positions on the remaining projected demand as opportunities arise.

\textsuperscript{14}Director Ridley-Thomas was not present during the vote on Item No. 13 and his alternate, Director Lackey assumed his vote on this item in his absence.
Rose Parade / Rose Bowl events – Metrolink in coordination with Metro has issued a joint press release promoting service to both events with Metrolink trains running on a modified holiday schedule which is posted on the Metrolink website. Staff has also promoted this service through social media, other outside websites included the Rose Parade and Rose Bowl websites. Staff has also reached out to the University of Wisconsin and Stanford sites in an effort to inform those visitors of the public transportation services.

17. Chair’s Comments

The Board acknowledged Director Eaton and congratulated him for recently being honored as the 2012 recipient of the prestigious Tahlmer Award. Vice-Chair Morris noted that this award is presented to an individual who has provided remarkable public services for the year. Director Eaton thanked the Board for this recognition.

Chair Katz informed the Board that the November 16, 2012 Board of Directors Workshop summary and survey results would be provided to the Board in the following weeks.

Chair Katz recognized Linda Wright, Branch Director, Caltrans upon her upcoming retirement. Linda Wright was instrumental in managing state funds for projects that included the purchase of Metrolink’s Generation 1 Bombardier rail cars, Positive Train Control (PTC) and standard projects not limited to grade crossing improvements to name a few. Michael Miles, Ex-Officio Board member, and Linda Wright’s boss, also shared some of Ms. Wright’s accomplishments and efforts during her tenure with Caltrans for over 32 years, noting she has processed over 1 billion dollars in grants that have benefited public transportation projects. Juan Guzman, Associate Deputy Director with the California Transportation Commission (CTC) on behalf of Bimla Reinhart, presented her with a resolution from Governor Jerry Brown. Staff also presented Linda Wright with bookends that were made from Rotors from the Generation 1 rail cars.

18. Board Members’ Comments

Director Spiegel remarked that although she is an alternate with Riverside County Transportation Commission (RCTC) her vote on Item 5 - Tier 4 Locomotive Procurement would have been a No, in line with OCTA and Ventura County Transportation Commission (VCTC).

19. Public Comment

At this time Chair Katz inquired if any members of the public wished to address the Board regarding any items not listed on the agenda, within the subject matter jurisdiction of the Board. There being no requests to speak, the Public Comment period was formally closed.
CLOSED SESSION

The Board did not convene into closed session to discuss the item noted below.

20. Closed Session

a. CONFERENCE WITH LEGAL COUNSEL – ANTICIPATED LITIGATION – Pursuant to Subdivision (b) of Government Code Section 54956.9 (1 potential case)

21. ADJOURNMENT

The meeting was adjourned in remembrance of victims of the Sandy Hook Elementary school shooting in Newton, CT earlier this morning – during which 27 people were killed including 20 children. He called for a moment of silence at this time.

There being no further business for consideration by the Board, the meeting was adjourned at 12:14 p.m.

Respectfully Submitted,

Kari Brozowski
Board Secretary

December 14, 2012
Board of Directors Meeting

Locomotive Procurement goals:

• Upgraded safety standards
• More reliable locomotive fleet; better on-time performance
• Cleaner and more energy-efficient fleet
• Addressing community needs and being better neighbors
• Higher horsepower to facilitate growth
• Utilizing potential AQMD grant funding
• Leveraging Member Agency funds
November 16, 2012
Board Workshop questions

• What are lifecycle costs for all options and Tier levels?
• What are the overall costs for all options (rebuild and new) for all Tier levels?
• AC versus DC – what about acceleration?
• Natural Gas locomotives?
• SCAQMD funding?

Fuel cost comparisons

<table>
<thead>
<tr>
<th>AV Line Simulation Study on current and proposed locomotive fleet</th>
<th>Gallons per mile</th>
<th>Avg. cost per gallon</th>
<th>Avg. yearly miles per unit</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>MP-36 (current)</td>
<td>5.03</td>
<td>$3.75</td>
<td>60,000</td>
<td>$1,131,750</td>
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<tr>
<td>F-59 (current) (x2 Locos)</td>
<td>3.09</td>
<td>$3.75</td>
<td>60,000</td>
<td>$1,390,500</td>
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<tr>
<td>MP-54</td>
<td>4.60</td>
<td>$3.75</td>
<td>60,000</td>
<td>$1,035,000</td>
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<tr>
<td>F125 (EMD)</td>
<td>3.80</td>
<td>$3.75</td>
<td>60,000</td>
<td>$855,000</td>
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</table>
### Cycle cost comparisons

Numbers are estimates based on AV Line simulation

<table>
<thead>
<tr>
<th></th>
<th>1 year Maintenance*</th>
<th>1 year Operating (Fuel &amp; UREA)</th>
<th>20 Year Operating (Fuel &amp; UREA)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tier 4 – New</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>$6.295 M - EMD</td>
<td>$202,575</td>
<td>$911,858</td>
<td>$182.371 M</td>
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<tr>
<td>Tier 4 – Rebuild</td>
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<tr>
<td>$5.678 M - MPI</td>
<td>$206,322</td>
<td>$1,084,163</td>
<td>$216.832 M</td>
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</table>

*Based on Contract Maintenance

### AC versus DC performance

**Performance Profile**

<table>
<thead>
<tr>
<th></th>
<th>AC F-125</th>
<th>DC MP-54</th>
<th>DC MP-36</th>
<th>DC F-59</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Horsepower</strong></td>
<td>4,700</td>
<td>5,400</td>
<td>3,600</td>
<td>3,000</td>
</tr>
<tr>
<td><strong>Simulation on AV Line from LAUS to Lancaster</strong></td>
<td>2’ 18”</td>
<td>2’ 11”</td>
<td>2’ 30”</td>
<td>2’ 39”</td>
</tr>
</tbody>
</table>

- AC traction motor is a simpler engine with less maintenance
- Better adhesion, less wheel slip
- AC can pull more with less horsepower
- DC motor performed better in AV Line simulation
Natural Gas technology and railroads

Freight railroads using CNG / LNG to offset their diesel costs use tenders, a dedicated “tank” car placed behind the locomotive for carrying fuel.

Maximizing program funding

- 20 (New) Tier 4 Locos + 42 Cars = $207 M
- 20 (Rebuilt) Tier 4 Locos + 44 Cars = $208 M
- 30 (Rebuilt) Tier 2 Locos + 41 Cars = $182 M
Tier 4 Early Adopters

- EMD: Tier 4 locomotives under production and in freight service
  - Norfolk Southern
  - PHL
- MPI: 11 Tier 4 engines to be delivered to GoTransit in late 2015
  - Prototype to be delivered by fall 2014
- All Aboard Florida: Tier 4 procurement decision imminent
- Caltrans-led national coalition is expected to issue a procurement to include Tier 4 engines in Spring 2013
- History of emissions treatments

Scoring

<table>
<thead>
<tr>
<th>Proposer</th>
<th>Technical Score</th>
<th>Cost Score</th>
<th>Total Score</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>New Locomotives:</strong></td>
<td></td>
<td></td>
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</tr>
<tr>
<td>EMD</td>
<td>63.3</td>
<td>30.0</td>
<td>93.3</td>
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<tr>
<td>MPI</td>
<td>53.3</td>
<td>29.6</td>
<td>82.9</td>
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<tr>
<td><strong>Rebuilt Locomotives:</strong></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>MPI</td>
<td>53.3</td>
<td>25.4</td>
<td>78.7</td>
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<tr>
<td>TTI</td>
<td>40.1</td>
<td>30.0</td>
<td>70.1</td>
</tr>
</tbody>
</table>
Left blank intentionally – slide will be shown at the Board meeting
Staff Recommendation

Authorize the Chief Executive Officer to complete negotiations and enter into a contract with Electro-Motive Diesel (EMD) consistent with the terms set forth in the board report for:

A phased approach for a base order of 10 new Tier 4 locomotives, plus $500,000 for non-recurring engineering system support costs with an option to purchase up to 10 additional new Tier 4 locomotives and procure spare parts up to $3,000,000 when and if additional funding is available, at the total not-to-exceed price of $129,400,000 with the understanding that the award is conditional upon (a) funding action by the SCAQMD, and (b) expiration of a 15-day protest period in compliance with both SCRRRA policy and State law.
The Metrolink Mission Statement
To provide an outstanding passenger experience on every ride with safe, clean, dependable and on-time operations.
TRANSMITTAL DATE: January 4, 2012
MEETING DATE: January 11, 2012
TO: Board of Directors
FROM: Chief Executive Officer

Issue

Ultra low sulfur diesel fuel (ULSD) is needed to ensure the continuation of uninterrupted service of the Metrolink Commuter Rail System.

Recommendation

Staff recommends the Board authorize the Chief Executive Officer to increase contract funding authorization for Contract No. PO379-11 with SC Fuels for ultra low sulfur diesel fuel (ULSD), by $13,000,000 for a not-to-exceed contract authority of $80,000,000. The contract term will remain from January 1, 2011 to December 31, 2013 to keep in line with Metrolink’s hedging strategy.

Alternatives

The Board may:

1) Modify the amount of the contract funding authorization; or
2) Decline to increase the funding authorization and direct staff to issue a new Request for Proposal (RFP).

Background

In December 2010, following a competitive procurement, the Board awarded Contract No. PO379-11 to Southern Counties Oil Company (SC Fuels) for two years with one one-year option in an amount not-to-exceed $40,000,000 for the base period. At the April 2012 meeting the Board approved the exercise of the one-year option to extend the contract term to December 31, 2013 and increased the contract authority by $27,000,000 for a not-to-exceed contract authority of $67,000,000.
This increase in contract authority will permit staff to enter into agreements for the use of Forward Purchase Agreements (FPAs) for the purchase of fuel in outlying months through the end of December 2013. The primary benefit of an FPA to Southern California Regional Rail Authority (SCRRA) is the substantial reduction in price risk and volatility versus the adopted budget. SC Fuels provides a reduction of 0.0275 cents per gallon for fuel delivered to Metrolink’s Central Maintenance Facility (CMF).

SC Fuels has provided satisfactory services. Staff recommends the Board authorize the Chief Executive Officer to increase contract funding authorization by $13,000,000 for a new total not-to-exceed contract authorization of $80,000,000.

**Budget Impact**

This action has no impact on the FY2012-13 Operating budget, but will be requested and included in the FY2013-14 Operating budget.

Prepared by: Joseph M. Henderlong, Director, Materials Management & Warehousing
Dolly Hwong, Contract Compliance Administrator
Lia McNeil-Kakaris, Assistant Director, Contracts & Procurement

MICHAEL P. DePALLO
Chief Executive Officer
To ensure continued dispatching capability, the quarterly licensing fee payment to operate the Digicon system is required.

**Recommendation**

Staff recommends the Board authorize the Chief Executive Officer to execute Amendment No. 7 to the current License Agreement Contract No. H1602 with Digital Concepts, Inc. (Digicon) in the amount of $87,304 for the quarterly licensing fee to operate the Digicon dispatching system from March 18, 2013 through June 17, 2013.

**Alternatives**

The Board may decline to continue dispatching capability with Digicon, however, until the ARINC dispatch system is operable, continuation of these services under the Digicon dispatch system are imperative.

**Background**

In October of 2005 Authority entered into an agreement with Digicon for a “term license” to continue indefinitely as long as SCRRRA continued to pay a quarterly license fee in the amount of Eighty-Seven Thousand Three Hundred Four Dollars ($87,304) on a quarterly basis as invoiced by Digicon.

The original purchase in 1993 of Digicon’s “Traffic Management System” and subsequent license agreements and Premium Services Package (PSP) agreements were required to dispatch trains with the Metrolink systems. Included in these agreements are periodic system upgrades that include software, hardware and operating system upgrades to support the system enhancements as they are developed and implemented. Also included is around-the-clock enhanced technical support services, availability of hardware and software resources at Digicon’s system training classes, on-site visits for inspection of the
systems, and availability of DigiNet services for proposed use as a date exchange medium with other railroads, as well as other options and services.

The cut-over date for replacing the current Digicon CAD with a new ARINC AIM CAD system has been delayed. Staff therefore requests the Board approve execution of Amendment No. 7 to the License Agreement with Digicon for the payment of the quarterly licensing fee to operate Digicon System from March 18, 2013 through June 17, 2013 to enable continuation of dispatching services until such time the ARINC dispatch system becomes operable around early June 2013.

**Budget Impact**

Funding for the quarterly license fee payment is included in the FY2012-13 Operating Budget.

Prepared by:  
Gray Crary, Chief Strategic Officer  
Steve Holman, Senior Contract & Compliance Administrator  
Lia McNeil-Kakaris, Assistant Director, Contracts & Procurement

MICHAEL P. DePALLO  
Chief Executive Officer
TO: Board of Directors

FROM: Chief Executive Officer


Issue

Authority to execute a change order is required for scope, cost, and schedule changes to the Valley and Ventura Subdivisions communication network project.

Recommendation

Staff recommends the Board authorize the Chief Executive Officer to amend Contract No. C3111-12, Valley, Ventura and San Gabriel Communications Backhaul Project (VVSG), with Parsons Commercial Technology Group, Inc. (Parsons) and authorize execution of a subsequent Change Order with Parsons in the amount of $1,800,000 and extend the contract completion date by 6 months from February 7, 2013 to August 7, 2013. The value of the Change Order is in excess of the $150,000 limit delegated to the Director, Engineering and Construction in SCRRA’s Contract Administration Policies and Procedures (CA&P) Manual (CON-21) and thus must be authorized by the Board. This Change Order combined with previous change orders is within the authorized contract contingency amount of $3,022,677.07 and the total contract funding authorization of $23,173,857.54.

Alternative

The Board may request changes to the recommendations, or decline to delegate approval of the recommendations herein.

Background

Following a competitive procurement, Contract No. C3111-12 was awarded by the Board in September 2011 to Parsons in the amount of $20,151,180.47 plus a fifteen percent contingency of $3,022,677.07 for a not-to-exceed amount of $23,173,857.54.

The VVSG is a large communications improvement program developed, designed, advertised for competitive bids and awarded on a highly accelerated basis in order to keep pace with the aggressive schedule set for the PTC Program. The Metrolink service territory
covered by the scope of the VVSG contact includes the Ventura, Valley, River, San
Gabriel and future Perris Valley Subdivisions and is bounded by East Ventura on the west,
High Grove on the east, Lancaster on the north and Redondo Junction, south of Los
Angeles Union Station. The design for the VVSG Backhaul Project began in December
2010. At that time, the PTC program was on schedule to require a reliable
communications network by the end of 2012. Therefore, the design of the VVSG Backhaul
Project was greatly accelerated and completed in July 2011 such that construction of the
VVSG would be completed by Spring 2012 in time for PTC implementation. Due to this
accelerated process, there were some design elements, especially detailed path analysis
that were not fully completed when the VVSG Contract No. C3111-12 contract was
awarded in September 2011. One such area of design that was not fully complete was the
detailed verification of proposed microwave paths. Another element of the project required
extensive and complex design issues be resolved and negotiated with LAMTA in order to
co-locate Metrolink microwave facilities on the top of the MTA Gateway Building and at a
MTA controlled mountaintop site known as Verdugo Peak. A third outstanding element
involved detailed design of a communication tower at Hunter Park, located within the
railroad right-of-way of RCTC’s future Perris Valley Line. Authority staff decided to proceed
with the design, albeit with some risks, in order to complete the VVSG Backhaul Project in
advance of the PTC Project.

Subsequent to Contract No. C3111-12 Notice-To-Proceed, the Contractor immediately
mobilized and began working on discovery, analysis and submittals required by the
Contract including a detailed surveying of all line-of-sight microwave paths to determine if
obstructions, especially trees would impact the designed paths. Upon completion of the
detailed path survey, the Contractor discovered several likely obstructions (mostly trees)
that would reduce the reliability of the Backhaul System. The VVSG design team examined
the Contractor’s results and started a process to adjust locations of mountain top and
wayside microwave tower facilities in order to minimize impacts due to the obstructions
discovered in the Contractor’s survey. Additionally, a series of iterative designs were
required and negotiations conducted with Los Angeles County Metropolitan Transportation
Authority (Metro) and Riverside County Transportation Commission (RCTC) staffs to
resolve outstanding development issues associated with the Metro Gateway, Metro
Verdugo Peak, and RCTC Hunter Park microwave sites.

This change order extends the contract duration another six months and compensates
Parsons and its sub-contractors for extended overhead costs due to the delays associated
with microwave path surveys and resulting necessary design adjustments including
relocation and repositioning of communication towers. In the meantime, in order to mitigate
any delays to the PTC Program, VVSG Project Staff re-directed the contractor to prioritize
installation of those towers directly required for PTC and also developed interim plan to
provide backhaul using third party telecommunication network carriers such as AT&T.
Budget Impact

Funding for the VVSG communications infrastructure upgrades is provided through a variety of existing federal, state, and local funds and sufficient grant funding is in place to accommodate this requested change order.

Prepared by:
Darrell J. Maxey Director, PTC, C&S Systems
Jerone Hurst, Telecommunications System Manager
Lia McNeil-Kakaris, Assistant Director, Contracts & Procurement

MICHAEL P. DePALLO
Chief Executive Officer
TRANSMITTAL DATE: January 4, 2013
MEETING DATE: January 11, 2013
TO: SCRRRA Board of Directors
FROM: Chief Executive Officer
SUBJECT: Positive Train Control Program – Quarterly Update of Project Status and Contract No. H1636-10 Change Orders

Issue

At the July 13, 2012 Board Meeting, Staff committed to providing the Board a quarterly update on the overall status of SCRRRA’s Positive Train Control (PTC) Program and the status on Change Orders for Contract No. H1636-10 Positive Train Control System with Parsons Transportation Group, Inc. The following staff report plus attachments fulfills this requirement.

Recommendation

The Board may receive and file this report.

Background

Federal legislation (the Rail Safety Improvement Act of 2008) requires SCRRRA to implement an interoperable Positive Train Control (PTC) system by December 31, 2015. SCRRRA, along with other freight and commuter railroads in southern California, have committed to an earlier in-service date. PTC is an advanced technology train collision/train derailment avoidance system which uses safety critical predictive enforcement to automatically engage the brakes and stop a train in advance of (1) potential train to train collision, (2) train over-speed, (3) unauthorized entry into a track work zone, or (4) movement through a misaligned switch. Of considerable importance, the Federal regulations require that all PTC systems, including Metrolink’s be completely interoperable with BNSF, UP RR and Amtrak’s West Coast inter-city service as well as North County Transit District’s Coaster service. In October 2010, SCRRRA awarded Parsons Transportation Group (Parsons) Contract No. H1636-10 for the role of PTC “Vendor/Integrator,” the responsibility for designing, providing, installing, testing, and integrating the complex components of the PTC System. Exhibit A is a summary of Contract No. H1636-10 change orders.

Status Update

Since the last quarterly update to the Board on October 10, 2012, SCRRRA’s PTC program has made a number of important accomplishments and has also encountered additional
delays on aspects of the program. The following is a brief overview of the accomplishments and concerns. Further detail of the project status can be found in Exhibit B: “PTC Bi-Monthly Project Status Report”.

The previously reported nine month delay to the project was formalized in Change Order 020, providing an extension of key staff and facilities for delays outside the contractor's control. Since the execution of that change order, the schedule has remained extremely aggressive and has faced additional delays, namely in the V/I contractor's development of the new ARINC AIM Computer-Aided Dispatch (CAD) system. The cut-over date for replacing the current Digicon CAD with a new ARINC AIM CAD system has been delayed to late January. The continual delays to the ARINC CAD system deployment is a serious impact to not only the CAD replacement project but the overall PTC Program. A PTC compatible CAD system is one of the key components that need to be stable then rigorously tested in order to integrate with the Back Office Server (BOS) and Onboard System, and to begin Laboratory Integration End-to-End (LIEE) testing of the overall PTC system. Integrated testing is the major work effort going forward until FRA certification is achieved. Non-Interoperable versions of the BOS and Onboard System have been developed and are currently under test in the PTC Lab (development of an Interoperable BOS is underway). As validation of the work accomplished to date, the V/I contractor is able to successfully transfer messages over the airwaves between the Train Management Computer (TMC) on board the locomotives, the Wayside Interface Units (WIU) at the signal locations and the back office equipment installed in the PTC lab.

Another major risk to the September 2013 Revenue Service milestone is maintaining good progress and quality on SCRRA’s lab and field testing program and timely, comprehensive and accurate PTC document submittals to the FRA. Assuming SCRRA’s testing and submittals are in good order, then the risk shifts to FRA’s support of test witnessing and its review of the Positive Train Control Safety Plan (PTCSP) and other required submittals. The PTC project team is closely coordinating with the FRA in order to ensure its concurrence with the SCRRA PTC project schedule.

An area of success on the project is the equipping the wayside with PTC radios and antennas, which is nearly complete. Meanwhile, progress on the Wabtec Onboard Train Management Computer (TMC) continues to fall behind schedule despite the contractor’s efforts to improve production rates. In fact, SCRRA may face challenges in supplying units at the rate necessary in order to complete installations on all units by fall 2013.

The design/build contractor for the Pomona Train Control Operations Support Facility (TCOSF) is progressing on 60% design and is forecasting project completion in spring 2014. The spectrum acquisition process has made some advances in overcoming legal challenges related to bankruptcy of the seller, but still faces challenges in obtaining an FCC license.

Currently the PTC program remains on track to complete within its $210.9 million budget, but the budget depends on a timely project completion and contract close-outs.
The substantial cost of operating and maintaining the PTC system after startup and transition is not included in the PTC program budget. Exhibit A also includes a list of the forecasted potential contract change orders which are factored into the project budget.

**Budget Impact**

There is no immediate budget impact as a result of this status report.

Prepared by: Darrell Maxey, Director, Positive Train Control and C&S Systems  
Fia AhSue, Project Engineer  
Lia McNeil-Karakis, Assistant Director, Contracts & Procurement

MICHAEL P. DePALLO  
Chief Executive Officer
Exhibit A

Contract Authority, Contingency Budget and Utilization
Parsons Transportation Group – Contract No. H1636-10

Contract Summary

<table>
<thead>
<tr>
<th>Board Approved Contract Authority</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Base Contract + Options + Taxes</td>
<td>$116,627,969</td>
</tr>
<tr>
<td>Change Order 002 Increase to Contract Authority for CIS Signage</td>
<td>$670,277</td>
</tr>
<tr>
<td>Contract Contingency</td>
<td>$7,213,211</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$124,511,457</strong></td>
</tr>
</tbody>
</table>

Contingency Utilization

| Contract Contingency                                                  | $7,213,211                                                      |
| Approved Changes Impacting Contingency                               | $3,253,145                                                      |
| Pending Changes                                                       | $657,000                                                        |
| Remaining Contract Contingency                                        | $3,303,066                                                      |

Contingency Utilization Detail

| Contract Contingency                                                  | $7,213,211                                                      |
| **Approved Contract Changes (Impacting Contingency)**                |                                                                 |
| CO 007                                                                 | $582,965                                                        |
| 2.4.4 Tools to Edit/Create Database Simulation (AL)                   |                                                                 |
| CO 008                                                                 | $77,953                                                        |
| Monitors for Dispatch                                                 |                                                                 |
| CO 009                                                                 | $63,470                                                        |
| 46-in Monitors at MOC Dispatch workstations                           |                                                                 |
| CO 010                                                                 | $56,320                                                        |
| Chain link at Six Locations                                           | $46,692                                                        |
| Partitions at TCOSF-Rancho Dispatch Desks                             | $8,586                                                         |
| Double Doors at LAUS Simulator Room                                  | $1,042                                                         |
| CO 011                                                                 | *(−$23,148)*                                                   |
| Procure & install Stancil Voice Recorder at TCOSF Rancho Training & Dispatch Center. |                                                                 |

**Table does not show internal administrative change orders (1, 3-6, 12) which were used to release deferred option or allowance items.
<table>
<thead>
<tr>
<th>Change Order</th>
<th>Amount</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>CO 013</td>
<td>$15,167</td>
<td>Tower design criteria change for Fontana Base Station</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Stancil MOC Reproducer</td>
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<tr>
<td>CO 014</td>
<td>$16,509</td>
<td>Stancil R-TCOSF Reproducer</td>
</tr>
<tr>
<td>CO 015</td>
<td>$10,400</td>
<td>Wabtrax Software License for Year 2012</td>
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<tr>
<td>CO 016</td>
<td>$159,737</td>
<td>Tri-Modem GPS Antenna</td>
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<tr>
<td>CO 017</td>
<td>$162,269</td>
<td>Boulder Removal at Pasadena Junction</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Network Appliances</td>
</tr>
<tr>
<td>CO 018</td>
<td>$27,270</td>
<td>Safety Ladders</td>
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<tr>
<td>CO 019</td>
<td>$0</td>
<td>Full NTP Release</td>
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<tr>
<td>CO 020</td>
<td>$3,084,671</td>
<td>V/I Extension of Staff, Facilities and Commercial Terms</td>
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<tr>
<td>CO 021</td>
<td>($1,800,000)</td>
<td>Revised Not-to-Exceed Sales Tax Allowance</td>
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<td>CO 022</td>
<td>$10,117</td>
<td>A/C and Cameras in Computer Rm and Lab</td>
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<tr>
<td>CO 023</td>
<td>$160,116</td>
<td>Final Configuration of Rotem Simulator</td>
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<tr>
<td>CO 024</td>
<td>$238,416</td>
<td>Tower Modifications</td>
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<tr>
<td>CO 025</td>
<td>$75,042</td>
<td>500 NMS Openview Nodes</td>
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</tbody>
</table>

**Table does not show internal administrative change orders (1, 3-6, 12) which were used to release deferred option or allowance items.**
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<table>
<thead>
<tr>
<th>Change Order</th>
<th>Cost</th>
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</thead>
<tbody>
<tr>
<td>CO 026</td>
<td>$7,249</td>
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<tr>
<td>15ft Tilt Down Tower @ IS 191/192</td>
<td></td>
</tr>
<tr>
<td>CO 027</td>
<td>$66,017</td>
</tr>
<tr>
<td>Brake Limiting Valves</td>
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</tr>
<tr>
<td>CO 028</td>
<td>$26,291</td>
</tr>
<tr>
<td>Grounding at Select Signal Houses</td>
<td></td>
</tr>
<tr>
<td>CO 029</td>
<td>$7,700</td>
</tr>
<tr>
<td>PTC Videographer (Outside of PTC Program Budget)</td>
<td></td>
</tr>
<tr>
<td>CO 030</td>
<td>$149,000</td>
</tr>
<tr>
<td>RSC Platform Analysis</td>
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<tr>
<td>CO 031</td>
<td>$5,089</td>
</tr>
<tr>
<td>Procure (100) Cisco AnyConnect Licenses</td>
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</tr>
<tr>
<td>CO 032</td>
<td>$82,225</td>
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<tr>
<td>OCG Network MIB</td>
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</tr>
</tbody>
</table>

**TOTAL Approved Contract Changes (Impacting Contingency)** | $3,253,145
**Remaining Contingency** | $3,960,066

**Pending Contract Changes**

<table>
<thead>
<tr>
<th>Change Order</th>
<th>Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>CO TBD</td>
<td>$500,000</td>
</tr>
<tr>
<td>ARINC and Wabtec Programming Enhancements (WACNs Issued)</td>
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<tr>
<td>CO TBD</td>
<td>$150,000</td>
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<tr>
<td>DIO Cables for Onboard Installations (WACNs Issued)</td>
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<tr>
<td>CO TBD</td>
<td>$7,000</td>
</tr>
<tr>
<td>CIS/CAD Lab Support AT&amp;T Voice Software (WACN issued)</td>
<td></td>
</tr>
</tbody>
</table>

**TOTAL Pending Contract Changes** | $657,000
**Remaining Contingency** | $3,303,066
**Table does not show internal administrative change orders (1, 3-6, 12) which were used to release deferred option or allowance items.**

<table>
<thead>
<tr>
<th>Forecasted Potential Contract Changes</th>
<th>TBD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Retaining Wall at Simi Valley</td>
<td></td>
</tr>
<tr>
<td>Wireless Local Area Network at Facilities Redesign</td>
<td></td>
</tr>
<tr>
<td>Enhancement of Simulator Object Library</td>
<td></td>
</tr>
<tr>
<td>Tunnel Communications Design Change Request</td>
<td></td>
</tr>
<tr>
<td>On Board Equipment Labeling</td>
<td></td>
</tr>
<tr>
<td>PTC Future recurring Maintenance Costs</td>
<td></td>
</tr>
<tr>
<td>PTC Future System Software Upgrades</td>
<td></td>
</tr>
<tr>
<td>V/I labor and travel costs for participation in FRA Meeting January 2013</td>
<td></td>
</tr>
<tr>
<td>Final Adjustments to Wayside COAX Cable Installation</td>
<td></td>
</tr>
<tr>
<td>Relocate CAD, PTC, CIS, and NMS hardware and software from Rancho to TCOSF</td>
<td></td>
</tr>
<tr>
<td>TOTAL Forecasted Potential Contract Changes</td>
<td>TBD</td>
</tr>
</tbody>
</table>
POSITIVE TRAIN CONTROL

Southern California Regional Rail Authority
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EXECUTIVE SUMMARY

Project Overview: SCRRA is implementing an interoperable Positive Train Control (PTC) System on all of its line segments where passenger operations are conducted (as set forth in the Rail Safety Improvement Act of 2008 (RSIA08) and 49 CFR 236 Subpart I). Federal regulations mandate that the PTC System prevent train-to-train collisions, over speed accidents, incursion into work zones, and movements through a misaligned switch. These mandated requirements will be performed by the installation of automatic control systems, which will override the loss of situational awareness by train operators (locomotive engineers). SCRRA’s PTC system will be designed and deployed to comply with the standards and guidelines established by the Interoperable Train Control (ITC) Committee, which is composed of an industry group representing the four largest U.S. Class 1 freight railroads - BNSF, CSX, NS, and UPRR. The PTC System to be deployed by SCRRA and the ITC railroads is the I-ETMS, or Interoperable Electronic Train Management System.

In addition to and concurrently with the implementation of the PTC System, SCRRA is replacing its current computer-aided dispatch (CAD) system with a new PTC compatible CAD system. The new CAD system as well as the PTC and other related railroad command and control systems will include both a primary and secondary or redundant sets of hardware and software operated on a (hot standby) status to provide very high (99.999%), system reliability. The secondary redundant/backup system will also be used for testing of new versions of software and hardware and for training. SCRRA has also included within its PTC Program scope, a new hardened 23,000 square foot, two story building in Pomona to house the SCRRA critical railroad operational command and control systems including PTC, CAD, and communication system. This building, known as the Train Control and Operations Support Facility (TCOSF), will also house the personnel associated with supervising, operating and maintaining the railroad’s command and control systems.

The SCRRA’s PTC program began in late 2008 with a core group of dedicated SCRRA staff and a multi-disciplinary consultant team assembled to oversee and manage the expedited delivery of SCRRA’s PTC program. From spring of 2009 through spring of 2010, sufficient discovery and preliminary engineering on the emerging PTC systems technology were performed to allow contract documents to be developed to a sufficient level of maturity for a competitive solicitation of a major turnkey PTC contractor. The term adopted for this contractor was “Vendor/Integrator” or V/I. The V/I’s scope was to design, develop, procure, install, test and commission an interoperable, FRA certified, Rung 1, I-ETMS PTC System. In October 2010, SCRRA awarded the PTC Vendor/Integrator (V/I) contract (H-1636-10) to Parsons Transportation Group (PTG). PTG’s contract includes several major product suppliers specializing in PTC and CAD systems, most notably Wabtec Railway Electronics and ARINC. The V/I contractor, Parsons together with its suppliers and subcontractors is responsible for delivering approximately 60% of the overall PTC program while SCRRA staff, SCRRA consultants, and other SCRRA contractors, suppliers and vendors are responsible for delivering or managing or overseeing the remaining 40% of the overall program. Since late 2010, most of the project team, including the V/I contractor and SCRRA staff and consultants have been co-located in a project office located in Rancho Cucamonga, about 40 miles east of downtown Los Angeles.

Status Update Summary:

During the October/November period, SCRRA accomplished a significant milestone by successfully completing the first FRA-witnessed testing on the project. In November SCRRA completed the validation of SUBDIV file critical features on the San Gabriel subdivision. The next steps are for the FRA to witness the WIU signal validation
testing on the San Gabriel Sub, followed by brake testing and functional testing. At the same time, a separate SCRRA/FRA team will proceed with this sequence of testing and validation on the other subdivisions, starting with the Valley Subdivision at the end of November. Needless to say, the delivery of this project going forward is highly dependent on SCRRRA’s and the V/I’s capability to perform the required lab and field tests and deliver quality submittals to the FRA and in turn, the support of the FRA in staffing the test witnessing as needed and providing timely review and approval of submittals, especially the PTC Safety Plan (PTCSP). Approval by the FRA of the SCRRA PTCSP will provide the required FRA certification necessary to deploy PTC in revenue service on SCRRA.

The next informal submittal of the PTCSP is targeted for January, leading up to the formal submittal of the document around the end of May 2013 including the complete test results for all testing on the San Gabriel Subdivision. If this aggressive schedule can be met, it would allow five months for the FRA certification process (as required) before the current Revenue Service milestone date of September 30, 2013.

Work is also progressing on the various PTC components being developed by the V/I contractor. Overall, design is approximately 95% complete across all components and installation and testing is underway. As validation of the work accomplished to date, the V/I contractor is able to successfully transfer messages over the airwaves between the Train Management Computer (TMC) on board the locomotives, the Wayside Interface Units (WIU) at the signal locations and the back office equipment installed in the PTC lab. Despite this success, the V/I contractor has also faced setbacks on its CAD system development, threatening the overall program schedule. A stable PTC CAD system, including CAD Phase 1+ and CAD PTC CAD is required to integrate with the Back Office Server (BOS) and other components in the lab, is now driving the critical path of the schedule. Any further delays to the CAD system will impact the start of integrated system testing, which is the major work effort over the remaining duration of the project.

Another work stream that is challenging the September 2013 completion date is the onboard system installations. By comparison, installation work along the wayside – including base stations, antenna towers and PTC radios – is progressing well and remaining off the critical path. In particular, the PTC test track is fully-equipped to support testing. SCRRA is coordinating closely with the Class 1 freight railroads on most aspects of the project including phase 2 radio frequency testing, FRA submittals and the development of interoperable components.

Finally, the design/build contractor for train control building (TCOSF) is proceeding on the 30% design, with construction expected to be complete in spring 2014.

Further detail of the successes and setbacks encountered during the period can be found in the section of this report titled “Status of Program Elements”.

As of November, SCRRA is still targeting the Revenue Service milestone for September 30, 2013, though as stated above, progress on the CAD system and other components is putting that date at risk. Recent V/I contractor schedules have forecasted Revenue Service in December 2013 while pursuing work-arounds to meet the September date. In October, Change Order 020 was fully executed by SCRRA, formally extending the Revenue Service milestone to September 2013 and extending the V/I contractor pay items for key staff and facilities.

While the overall PTC program budget is still aligned with the $210.9 million in available funding, staying within that budget depends on meeting schedule targets. Through November, expenditures to date on the project total
$106.4 million or just over 50% of the program budget. Expenditures for the two month period were approximately $11.4 million, which included approximately $9.3 million in V/I contractor costs.

The overall cash flow plan has been revised in conjunction with the revised budget and schedule forecast. SCERA is actively managing costs to ensure they remain within budget and is working with the V/I contractor to find savings where possible to off-set change order costs.

Full details of the program budget and schedule can be found in the corresponding sections of this report.
PROJECT SCOPE

PTC as envisioned by SCRRA is a locomotive-centric system overlaid on existing methods of control and operation, providing an enhanced level of safety through enforcement of train authority limits, permanent speed restrictions and temporary speed restrictions. The PTC project will design, furnish and install, test and commission a Federal Railroad Administration (FRA) certified positive train control system at the same pace as the BNSF, UPRR and Amtrak Southern California PTC deployments, well in advance of the December 2015 federal deadline. The PTC system will be designed and implemented as an ITC compliant interoperable safety critical system and will be built around the I-ETMS Rung 1 compliant platform. The system will provide a fail-safe response to system vulnerabilities, such as the loss of communication of vital data. The system will be overlaid on the existing wayside signal system and method of operations.

The major hardware/software/firmware components of the PTC system are as follows: PTC Back Office Server System; On-Board System Components; Wayside Signal Systems; Communication Network Components; Network Management Systems; Communications; and Computer-Aided Dispatching System. SCRRA has solicited and awarded a major systems integration contract to a Vendor/Integrator (V/I) Contractor. The V/I will be responsible for designing, providing, installing, testing, and integrating the multiple complex systems and start-up of these components and will warrant the system and provide comprehensive operation and maintenance training to SCRRA staff and O&M contractors.

PTC System Components
To adequately and comprehensively prepare for a production ready PTC system, the project scope includes assessment, validation and modification of SCRRA system assets (track, signals, communication systems and networks, wireless radio spectrum, information technology systems, locomotives and cab cars). This work is necessary to ensure implementation of a system that can be sustained for the long term without degrading overall service, performance, capacity or reliability.

For more detail, the PTC program can be broken down into the following major Project Elements:

**System-wide Engineering & Regulatory Deliverables** – This large component of work includes rail corridor and track mapping, PTC database development, general system assessment and validation, braking algorithm studies, submittals to regulatory agencies and staff training.

The PTC system is dependent upon high precision, highly accurate track database, to allow trains to navigate across track segments and allow the on-board train’s management computer to react to signals, civil speed restrictions, switch locations and clearance points. In order to achieve the precision and accuracy required for PTC System functionality, a system-wide re-engineering of SCRRA’s historical geographic information systems (GIS) was required. This GIS re-engineering included developing new track charts, new “composite” right-of-way maps, interactive “head end” videos and other related tools. These tools served as the foundation for establishment of coordinates for all required PTC critical feature data points within sub-meter accuracy on each subdivision. Critical features, are all integer milepost, signals, crossings, switches, interlocking, permanent speed restrictions, track detection circuits, and clearance points for every switch location installed on the main and siding tracks. The total number of these SCRRA critical features is nearly 8,000. Upon completion of the office and field mapping, the software containing the track database will be developed, tested, validated and verified and then loaded onto the back office server and on-board systems. SCRRA must also validate the system assets including all signal systems, communication messaging loads and passenger/commuter train braking algorithms. In conjunction with remapping the railroad, a new System Timetable (Timetable No. 8) and revised CAD database was developed to incorporate changes and the improved accuracy of from the mapping effort plus a general reassessment and revision of the wayside signal system.

Prior to PTC operation, it is essential that SCRRA Engineering, Operations and Maintenance personnel be familiar with how the PTC systems are intended to operate and how to address issues when component parts are not functioning properly. Additionally, rigorous Configuration and Change Management policies and processes must be established with clear well defined lines of responsibility and accountability. A training program will be developed by the V/I contractor to transfer knowledge of all PTC components, systems and system interfaces to the over 600 SCRRA staff and contractors who will need various levels of system training in conjunction with the implementation of PTC.

**Vendor/Integrator Contract** – SCRRA has entered into an agreement with a specialized V/I contractor to design, procure, install, and test and start-up the PTC system. The V/I contractor is responsible for implementing the following PTC core functions:

- The **Back Office Server** (BOS) is the repository for track geometry, wayside signaling configuration and speed restriction data bases. The BOS which features both common ITC railroad software and SCRRA specific software will be linked to the CAD through SCRRA unique CAD-BOS codec. The BOS will normalize or translate CAD messages to a common language that that can be understood by the on-board systems.
of different railroads. It is the mechanism that provides interoperability among different railroad operators.

- The **On-Board PTC System** is a compilation of software and hardware that provides train operations information (such as current position, calculating braking distances, managing restrictions) and enforces safety critical restrictions in the event of train engineer failure to correctly respond to the train operations information.

- The **Communications Network Component** (CNC) ties PTC system components such as the Locomotive/cab-car, Wayside Interface Unit (WIU), Back Office Server and Base Stations, together using a reliable, hardened redundant wired and wireless communication network.

- A **PTC compatible Wayside Signal System** includes installing wayside interface units (WIUs) and the necessary hardware and software to interface with the CNC. SCRRRA is procuring and installing the WIUs in its service territory. In some cases, existing signal system locations were upgraded and reconfigured to allow for compatibility with the PTC system. The V/I contractor will be responsible for the communication of the WIU to the communication network.

SCRRRA’s current **Computer-Aided Dispatching (CAD) System** is no longer commercially supported, from both a software and hardware standpoint, and a new PTC compatible dispatching system is part of the V/I contract scope. The new CAD system will be capable of dispatching the railroad consistent with current operations as a Centralized Traffic Control System and with the accuracy and precision required for PTC functionality. This system will be the dispatcher’s interface to the PTC Back Office System for issuing and removing authorities. Hardware and software for both primary and secondary hot standby CAD, BOS, and path diversity for the CNC systems is included in the V/I scope and will serve the purposes of disaster recovery (DR) and redundant backup and training and testing purposes. The DR CAD site and equipment will also be used for testing software and hardware updates, troubleshooting and training. Employees in Charge (EICs) will be provided remote portable units connected to the CAD system, allowing EICs the capability of managing Work Authorities by electronically requesting, receiving and releasing authorities.

Parsons Transportation Group (PTG) was awarded the V/I contract and issued a Limited Notice to Proceed (LNTP) on October 15, 2010. A limited portion of the contract was deferred until a full NTP was issued in order to coordinate with pending funding requirements. In addition to the deferred aspects of the contract, the V/I contract also contained a number of options, including the “NCTD Option” to have the V/I contractor install PTC on the North Country Transportation District (NCTD) territory, a “Customer Information System” (CIS) to provide dispatch and arrival information to passengers, and a “Hardware and Technology Refresh.” In January 2011, SCRRRA provided formal notification to the V/I Contractor that it would not exercise the NCTD option.

**Railroad & Inter-Agency Coordination** - The PTC system must be fully and mutually compatible with host and tenant railroads: SCRRRA is host to BNSF, UPRR and Amtrak; and a tenant on BNSF, UPRR and NCTD railroads. Interoperability will enable safe operation of mixed freight and passenger services to allow seamless uninterrupted movement among different host railroads. Interoperability shall be based on the Interoperable Train Control Committee (ITC) standard and guidelines, and member governance currently in development by the UP, BNSF, CSX, and NS. Host and tenant railroads may also execute Interoperability Agreements, which are envisioned as being similar to Shared Use Agreements.
Communication Modifications/Radio Spectrum – The PTC system relies on communications. If the communications systems supporting rail operations (PTC, CTC, voice radio) is not unreliable, train delays will rise to an unacceptable level. The communication network is divided into two main categories. The first category is PTC “local” data messages from train to signals and trains and signals to base stations. These PTC data messages will be transported mainly over a special designated PTC radio network using specialized PTC radios located on trains, at wayside signals and control points and at base stations. A working group, which includes representatives of SCRRA, the PTC consultant team, the V/I, and PTC 220 LLC (representing the interests of the Class 1 railroads), has been established to coordinate the design and implementation of the 220 MHZ radio system in the LA Basin area. PTC 220 LLC, through its consultant TTCI, will be managing the frequency assignments for PTC use. The second communication network category is the backhaul or long haul network, which is used to transport PTC and other critical railroad operational data and voice messages in-between the central operations centers and the base stations and other key communication nodes. The backhaul transport technology includes combinations of both private and commercial (MPLS) and wired copper and fiber optic lines and wireless digital microwave, data radio (ATCS) and Ethernet radios.

To address the projected long term (20 year +) PTC messaging demand, SCRRA is attempting to procure on the secondary commercial market, one MHz of bandwidth, (40 separate 25KHz broadband channels) in the 220 MHz band to support PTC data communication over SCRRA owned trackage, providing the required communication links between the On-Board system, the EIC units, WIUs and a network management system (NMS). The ITC freight railroads/PTC -220 LLC have acquired and licensed 18 broadband 25 KHz channels in the 220 to 222 MHz frequency range. The greatest spectrum demand will be in urban areas such as Los Angeles and Chicago which feature high train densities and large complex track and signal systems in a congested environment. The SCRRA license application is to acquire the upper AMTS bands 217.5 to 218.0 and 219.5 to 220.0 MHz from the secondary commercial spectrum market. The AMTS spectrum acquisition is bogged down in a multi-year protracted process. The seller of the upper AMTS band is MCLM, who is currently in bankruptcy, and resolution of this bankruptcy and granting of the license will likely take many more months.

In order to provide a robust, reliable and diverse communication network to support the local wireless PTC train to base station and wayside signal to train messages, SCRRA has been expanding its communication network in a multi-year program by building a private fiber optic, microwave, Ethernet radio (back-haul) transport combined with commercial telecommunication circuit leases. The combined private and commercial system will provide the communication capacity, reliability and diversity to support the network link between the Operations Center, PTC Back Office Server and wayside and Base Stations. This “communication backhaul” concurrent work is being performed separately and generally not included within the V/I contractor’s scope although there is a small amount of overlap. The Communication System Improvements for PTC is funded in part by the FRA High Speed Intercity Passenger Rail grant and Prop 1A funding, as shown in the Communication System Improvements for PTC table in the Funding section. Because PTC is a communication intensive system, it is highly dependent on an underlying robust, reliable, communications network.

WIU’s & Track Modifications –SCRRA is procuring and installing wayside interface units prior to the V/I contractor’s efforts of connecting the WIUs to the communication network. The WIUs will provide status information relating to signals, and switches. The existing signal system, aspects strings, signal circuit plans have been thoroughly assessed for deficiencies that will cause the signal system or PTC system to function at any level less than the required high reliability and availability. Outside of the PTC program, SCRRA will also evaluate the
system for unused turnouts to be removed or unprotected turnouts for which derails will be installed to protect against potential runaway cars fouling the main track, this will also allow for eventual higher speed operations.

**Signal Relocation and Reconfiguration**—As part of the PTC program, select work is being done to relocate and/or reconfigure signals and enhance system safety. In the fall of 2010 the signal at CP Roxford was modified to enhance visibility and provide a greater preview. More recently, SCRRRA has determined that the signal system at CP’s Mission and Terminal near LAUS and CP’s Burbank Jct. Olive and Brighton on the Valley subdivisions would require equipment rehabilitation including conversion of relays to microprocessors and installations of LED lamps and configuration changes to allow compatibility with the PTC System. Most of this upgrade work at these five CP’s is funded outside of the PTC program, through the use of annual signal system rehabilitation grant funding. In addition to the signal relocation and reconfigurations previously described, SCRRRA is reviewing, validating and reconfiguring existing signal aspect strings, communications and signal drawings to ensure a consistency of operations, and modify signal application program logic as needed. Consistent behavior of the signaling system leads to consistent expectations of conditions in advance of the train, and makes the human more likely to notice changing conditions. The signal reconfiguration effort promotes situational awareness by providing a consistent pattern of stimulus and response of the wayside signal system to track conditions in advance of the train. SCRRRA also continues to monitor signal preview for train operations to determine if additional signal relocations are warranted.

**Train Control Operations Support Facility and Metrolink Operations Center**—Preliminary investigations of Metrolink’s Operations Center (MOC) uncovered vulnerabilities (seismic, fire and power) and space and layout deficiencies that are inconsistent with the high degree of reliability and utilization imposed by the PTC system requirements. As a result, the PTC Program will include design and construction of a new Train Control Operations Support Facility (TCOSF) to provide a "secure and hardened" building for SCRRRA’s centralized command and control systems including; dispatching, PTC back office servers, centralized communication network control of fiber, wireless and leased communication networks and information technology (IT) systems. TCOSF will be located in Pomona on a 3.5 acre vacant parcel previously acquired, adjacent to SCRRRA’s San Gabriel and Pasadena Subdivisions and near the existing MOC. The MOC will become the initial interim site for installation of the new CAD system, PTC and network management system and then upon completion of TCOSF early in 2014, MOC may undergo a modest “hardening” program and become the disaster recovery (DR) site operated on a “hot-standby” basis as a secondary centralized command and control system as well as a site to perform hardware and software testing and version updates and training. Other alternatives to the MOC as a DR site are being considered including relocating some if not all of the back office PTC/CAD computers and servers to a high availability commercial data center easily accessible to SCRRRA’s fiber backbone. One potential data center site is near the Los Angeles MTA Gateway center building. Prior to the selection of TCOSF, other alternative sites were studied including an alternative to co-locate the SCRRRA dispatching function to the BNSF Division offices and dispatch center in San Bernardino.
STATUS OF PROGRAM ELEMENTS

System-wide Engineering & Regulatory Deliverables– In the October/November period SCRRRA completed the first step in a long sequence of FRA-witnessed tests that will take place continuously over the next nine months until FRA certification is achieved. After overcoming the FRA Test Waiver application process last period, the FRA participated in the SUBDIV file critical features validation on the San Gabriel subdivision this period. A sequence of FRA-witnessed testing is required on each of SCRRRA’s six subdivisions that includes nearly 8,000 SUBDIV file critical features validation, WIU/signal validation, brake tests and functional tests. Going forward, the schedule calls for working through the tests simultaneously on multiple subdivisions, starting with WIU signal validation on the San Gabriel Subdivision and SUBDIV file validation on the Valley Subdivision. All testing on the San Gabriel Subdivision must be complete by the end of May in order to submit the formal PTC Safety Plan to the FRA, allowing five months for the FRA approval process and achieve certification by the fall 2013. SCRRRA is coordinating with the FRA on its ability to support this testing schedule and is submitting informal versions of the PTCSP for FRA review. The next PTC SP submittal is planned for January incorporating common language from the freight railroads’ (UP/NS/CSX) Joint Rail Safety committee. Future submittals of the PTCSP will be updated to include test results as they become available for each subdivision.

After successfully validated critical features in the SUBDIV files, strict adherence to the Change and Configuration Management program becomes particularly important. Efforts are ongoing to fully indoctrinate change and configuration management policies throughout all aspects of the agency.

SCRRRA is working hard to monitor and support the installation of onboard equipment on trains by coordinating with departments to ensure sufficient numbers of locomotives and cab cars are provided to meet increasing production rates. SCRRRA is also ensuring that equipped test trains meet all quality and functionality requirements and are available in sufficient numbers to participate in ETMS VII Revenue Demonstration with BNSF, planned to take place in January on the San Bernardino line.

During the period, SCRRRA began its initial training on the PTC simulator which was installed at Los Angeles Union Station last period. Meanwhile the team works to closeout remaining items that were raised during acceptance testing on the system.

Mapping and database efforts are on-going, with plans for SCRRRA’s consultant to issue a new timetable, set of track charts and composite maps in early 2013, incorporating all changes to date.

Finally, SCRRRA is continuing to pursue license and maintenance agreements and prepare its plans and resources for start-up, transition, and taking over operations of PTC as the V/I contractor fulfills its warranty period.

V/I Contractor– With overall design of the PTC system estimated to be 95% complete, the hard work of testing and integrating the various PTC components is now the focus of the program. Major challenges in the development of the BOS, which was a primary cause of delay to the overall program, were largely overcome during the period with the release of a Metrolink-specific “ML” version of the BOS. This version contains 95% of the functionality of the “core” BOS being developed for the class 1 freight railroads. This version will be utilized for testing of the SCRRRA PTC system and later upgraded to re-align with the “core” BOS to achieve interoperability when that version is available. A process for making system upgrades and version control will become
standardized as there will be a number of pre-defined software releases between now and 2015. During the period, BOS Critical Design Review and preliminary Factory Acceptance Testing (FAT) were conducted.

Criticality of the CAD system is now on the forefront due to ongoing delays and software issues that are resulting in impacts to the overall program. The V/I contractor has been unable to finalize a stable Phase I CAD system to test with a test train. Currently, go-live date for the CAD Phase I system is forecasted for late January. Considerable resources from all parties are being devoted to the rigorous testing activities which include verifying field indications through monitor mode, testing routes and verifying corrections made in the software releases. This delay impacts the V/I contractor’s critical activities to integrate CAD with the BOS and onboard systems so that integrated system testing can begin.

Installation of the onboard system continued to lag behind schedule; despite the V/I contractor team added a third crew to improve production rates. Additionally, there has been deficiencies in the quality, completeness, and required functionality of the onboard installations. Although approximately 20 of the 109 units have been spotted at Keller Yard and received partial installs of PTC equipment, all of the units that have left Keller Yard will need to come back for second, third, or fourth rounds of equipment installations, testing and other updates. SCRRRA is currently forecasting that completion of the onboard system installations will be fall 2013.

Installation of the wayside is progressing well with the majority of PTC radios, Wayside Message Servers (WMS), antennas and other wayside equipment installed. Construction of the base stations at Montalvo (E. Ventura) and Moorpark were completed during the period and the remaining locations are scheduled for completion. An important validation of the system was achieved during the period as messages are now able to successfully transfer over the airwaves between the onboard system and the back office in the lab.

A change order was fully executed during the period which provides an extension of V/I contractor staff and facilities to account for all external delays to the program that arose through August 2012.

The following is a list of approved engineering submittals that were made by the V/I contractor during the period:

- BOS - BOS Critical Design Review
- BOS - BOS Training Program & Manual
- CNC - Radio Interference/Inter-Mod Test Report
- CNC - BASE STATION TEST PROCEDURES
- CNC - BURBANK Structural Design Calcs & Dwg
- CNC - Hauser Mt. Installation Dwg
- CNC - INTERFACE INTEGRATED FIELD TEST PROCEDURES
- CNC - INTEROPERABILITY TEST PROCEDURES
- CNC - INTEROPERABILITY TEST REPORT
- CNC - Lang Base Install Dwg
- CNC - LANG Structural Design Calcs & Dwg
- CNC - Mission Installation Drawings
- CNC - Mission Structural Design Calcs
- CNC - MONTALVO Installation Drawings
- CNC - MOORPARK Installation Drawings
- CNC - NEWHALL Installation Drawings
- CNC - RADIO TEST PROCEDURES
- CNC - San Bernardino Install Dwg
- DSPTCH - Delivery of Software Release
- DSPTCH - Dispatch CDR
- DSPTCH - FIST TP 510
- GEN - Baseline/Updated Monthly Schedule
- GEN - INFO REPOSITORY Critical Design Submittal Rvw
- GEN - PROGRESS REVIEW MEETING MINUTES
- GEN - Work Plans (ARINC) - CAD
- GEN - Work Plans (Mass Electric) - RADIO INSTALLS
- GEN - Work Plans (Parcomm) - TOWER INSTALLS
- GEN - Work Plans (Parsons) - NETWORK ACTIVITIES
- GEN - Work Plans (PRE) - WMS/WIU UPGRADES
- GEN - Work Plans (Wabtec) - HY-RAIL VALIDATION
- INSPI - BOS FAT TEST PROCEDURES
- INSPI - OB TO BOSS LINN TEST PROCURES
- INSPI – Operational Sequence Docs LINN & LILEE Testing
- INSPI – Valley Sub Critical Features Validation Test Procedure
- NMS - Training Program & Manuals
Safety— The V/I contractor has established a Local Safety Committee which includes its Safety Manager and representatives from SCRRRA to participate in weekly Safety Committee meetings. A Safety Plan has been submitted and accepted for the project and is updated on an on-going basis. SCRRRA is also coordinating with the V/I contractor on Site Specific Work Plans to allow V/I crews safe access to the ROW and conducting efficiency testing. To date, there have been no lost time accidents on the project.

Quality Assurance— A Project Quality Assurance Plan has been submitted and approved by SCRRRA, with contractual responsibilities identified. SCRRRA is performing audits and best practices.

Railroad & Inter-Agency Coordination— SCRRRA is engaged in on-going coordination with representatives from the FRA, freight railroads, and PTC 220 LLC through regular monthly and quarterly meetings. In late November, SCRRRA hosted the quarterly LA Region PTC Coordination meeting at the Rancho Cucamonga project office. Key coordination items include monitoring the development of interoperable BOS and onboard system components, up-coming testing activities, coordinating FRA submittals, the overall communication network for the basin, shared radio spectrum, and overall PTC implementation, testing and acceptance. SCRRRA is also coordinating with other transit and regulatory agencies, including APTA, NTSB, and the California PUC to provide knowledge transfer when possible. SCRRRA representatives travelled to St. Louis during the period to make presentations to the AAR and to exchange for information with interested stakeholders.

The joint Field Testing of the radio frequency (RF) network with BNSF and UPRR which verified the communication path between PTC Onboard equipment and the back offices across a network comprised of foreign railroads was the first testing of this kind in the US.

Signal Relocation and Reconfiguration— Work was well underway through the period on critical signal replacements at CP Mission and CP Terminal. The work being performed is necessary in order to make the signals compatible for PTC. Through the period, designs were completed, material ordered and construction started at both locations. The new signals at CP Mission will be placed into service in December, meanwhile material for the signal bridge at CP Terminal is expected to be delivered in January, installed and tested in February. A portion of this work is being performed under the 450020 PTC project number. Similar progress is being made on other signal relocations that are not funded by the PTC program, yet which need to be completed prior to PTC system implementation since the obsolete equipment will not communicate with PTC radios. This work includes replacing relays with microprocessors on the San Gabriel Subdivision and additional microprocessor installations at wayside locations such as: Woodman, Brighton, Olive, Burbank, and Dayton. Relocation of the CP Roxford signal was completed in the fall of 2010. The work at Woodman and Dayton was completed in late summer of 2012.
The remaining funding under the 450010 PTC project number is being utilized for the relocation of the signal at Doran Street and for signal reconfiguration efforts related to the installation of WIUs. This reconfiguration work includes validating existing signal aspect strings and modifying signal application program logic as needed. Construction of the Doran signal relocation is being coordinated with a larger project in the vicinity to obtain efficiencies, leverage other concurrent signal work, and reduce costs and is planned to be in construction next period.

**WIUs, Track & Signal Modifications** – The installation of WIU modules and antennas is now complete for all but a few locations across all subdivisions.

**Communication System and 220 MHz Radio Spectrum** – SCRRA continued its efforts on the lengthy and challenging process of acquiring 220 MHz band spectrum. During the period, the bankruptcy of MCLM was finalized and a successor named to acquire its assets. SCRRA is working with that entity to resolve matters, including FCC licensure. The timeline for completing the purchase and obtaining FCC approval remains unclear. In order to avoid any impacts to PTC implementation, SCRRA has executed a five-year spectrum lease agreement with PTC 220 LLC, an entity established by the ITC railroads to manage its radio spectrum. Once SCRRA acquires its own spectrum, SCRRA will amend its lease agreement with PTC 220 LLC to account for its contribution to the shared pool of spectrum.

The PTC project team continues to closely coordinate with the related Communications Backhaul Project for Valley, Ventura and East San Gabriel (VVSG), particularly on the construction of base station towers. While that project has encountered a number of design and construction challenges, including RF signal obstruction by trees, workarounds have been developed so that there will be sufficient communications backhaul to support PTC without any impacts to the V/I contractor’s work. Work on the VVSG project is forecasted to be complete in late summer 2013. In November, work was completed on the communications backhaul project in Orange County. A separate Project Status Report is available for more information on these projects.

**Pomona Train Control Operations Support Facility (TCOSF) & Metrolink Operations Center (MOC)** – During the October/November period, the Design/Build contractor for TCOSF proceeded on 30% design documents after being issued Notice to Proceed and mobilizing in September. In December, SCRRA will complete its review of the 30% design and the contractor, USS Cal Builders, Inc. will respond to comments and progress designs to 65%. Overall construction of the facility is forecasted to be completed in the spring 2014. Since the facility will not be available prior to the PTC Revenue Service milestone, a workaround was developed last year to temporarily install the Dispatch and Back Office Systems at the Rancho Cucamonga project office. Installing the CAD equipment in Rancho Cucamonga allows the CAD to be tested and used for training, as well as integrating with the PTC equipment such as BOS and the Network Management System (NMS). Additionally, the Rancho site will serve as a temporary disaster recovery site for approximately two years in the event that an incident occurs at the Pomona MOC. A plan will be developed later to relocate the Rancho temporary backup dispatch center equipment to the TCOSF, which will then become the primary dispatch center.

**Customer Information System (CIS)** – The V/I contractor continued to work through challenges as it pursues full deployment of the Phase I CIS system. The CIS project is six to nine months behind schedule, mainly due to software interface issues. On-going activities include the testing of software releases, outfitting of a CIS test lab at Rancho Cucamonga and deployment of MPLS “multicast” service. The Phase I system will deliver train schedule
information and ad hoc messages, such as service interruptions, on changeable message signs at stations. The MPLS “multicast” service will enable important functionality which will be available in future releases, such as simultaneous audio updates to be easily sent out across the system. Planning and design of the Phase II and Phase III system is also underway. CIS development and deployment was an exercised option of the V/I contract, but is funded outside of the PTC program budget.
Above: PTC antennas at CP Capitol (left) and CP Chavez (right)
Below: PTC Wayside Equipment installed at CP Aliso

Right: PTC Wayside Equipment at CP Pasadena Junction
Below: Renderings of new Train Control Operations Support Facility (TCOSF) under design
# MANAGEMENT ISSUES

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<tr>
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<th>Custom Radio hardware and software development impact to V/I Contract Implementation</th>
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<tr>
<td>1.</td>
<td><strong>DESCRIPTION:</strong> The required radio necessary as a component for the operation of the PTC system will be a first generation, custom designed product exclusively developed by Meteorcomm, a firm owned by Class 1 freights. The national standards &amp; specifications for these radios have not yet been finalized. Legal contracts could potentially delay the release of radios in time for the testing phase. Production radios are needed by summer 2012.</td>
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<td><strong>HANDLING APPROACH:</strong></td>
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<td>Issue Closed – PTC Production radios have been ordered and shipments will be received in August.</td>
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<th>Acquisition of necessary FCC spectrum and the subsequent licenses required for the PTC 220 MHz communication network.</th>
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<td>2.</td>
<td><strong>DESCRIPTION:</strong> This purchase is delayed or may not be successfully executed due to legal action taken by a 3rd party to block the purchase which may then result in impacts to the V/I system testing, acceptance and implementation of the PTC system. If sufficient and reliable bandwidth is not exclusively assigned for Metrolink and its Tenants use, the PTC system capability will be severely degraded. Timely coordination between the Class 1 freight railroads is required in order for the V/I Contractor to receive necessary input/validation for system development, implementation and testing.</td>
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<td><strong>HANDLING APPROACH:</strong></td>
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<td>Issue mitigated. SCRRA has entered into a five-year lease agreement with PTC 220 LLC to lease the necessary spectrum for testing and start-up. As long term spectrum needs are likely to increase and exceed the bandwidth currently available through PTC 220 LLC, SCRRA and outside Counsel are continuing to pursue legal remedies to the spectrum purchase and subsequent FCC approval of waivers needed to license the acquired frequencies.</td>
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<th>CAD/BOS Software development and implementation for the addition of PTC</th>
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<td>3.</td>
<td><strong>DESCRIPTION:</strong> The inability of the V/I Contractor to effectively develop the BOS and CAD software and its integration is impacting the implementation schedule and system certification and this delay is now critical. Contributing to this delay is a) the learning curve and adequacy of staff resources for both the V/I contractor and SCRRA and b) the ARINC delays with the software development of the CAD.</td>
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<td><strong>HANDLING APPROACH:</strong> The delay in the development in CAD/BOS software is on the critical path, resulting in overall project schedule delays. To mitigate additional impacts due to delays in the BOS development for Class 1 freight railroads, a decision has been made by SCRRA and the V/I contractor to implement BOS Version “3.2.M” for Metrolink, which is built off of the “core” BOS and independent additional administrative functions being developed for the freight railroads.</td>
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<th>Development of new Software for system components and development of the Configuration Management System.</th>
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<td>4.</td>
<td><strong>DESCRIPTION:</strong> Development of new software code carries inherent risks which, in spite of the best configuration management practices by the developer, will typically be released with some discrepancies or flaws (“bugs”). If these flaws are anything other than minor, the functionality of the system may be compromised and re-work or re-testing of system components may be necessary. This could delay the system integration and acceptance testing. SCRRA may need to revise PTC data as a result of corrections relating to quality, completeness, equipment or system input(s), changes to SCRRA operations or new infrastructure occurring prior to the system completion.</td>
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|   | **HANDLING APPROACH:** A defined set of practices and requirements that comply with SCRRRA (and IEEE) standards are included in the V/I contract. These specific requirements apply to the entire IT life cycle with a set of consistent scripts to test with expected input/outputs including definition and mapping of their interfaces and a documented track record for delivery of these requirements. The V/I contractor selected software vendors must be rated at least Software Engineering Institute (SEI) Capability Maturity Model Integration (CMMI) Level 2 with...
established QA processes that will be audited by SCRRRA IT thereby reducing the potential for re-work. SCRRRA will furnish complete IT network information and system information necessary for the V/I contractor design development. The V/I contract has clearly defined version control and document control requirements that identify the necessity for revising PTC data both during the development phase and once the system is operational. These contract provisions will minimize disagreements over any impact resulting from SCRRRA provided updates to system information throughout the PTC system lifecycle. SCRRRA staff is prepared to immediately advise the V/I contractor of any potential changes to either the physical plant or to the operating environment (such as operating rules, working conditions, site access issues, etc.) so that if changes to the PTC system are needed they can be incorporated without causing project delay. If necessary, SCRRRA management may need to make a determination on the timing for release of PTC data changes in order to prevent or minimize impacts to the V/I contractor’s schedule. An internal SCRRRA lead has been assigned to spearhead the change and configuration management implementation.

**DESCRIPTION:** If sufficient numbers of SCRRRA and Service Contractor staff (supervisors, signal and equipment maintainers) cannot be trained in the troubleshooting and maintenance of the PTC sub-systems on rolling stock, wayside and the MOC (WIUs, OBCs, BOS and EICs) then the PTC system cannot be placed into service.

**HANDLING APPROACH:** In order to assure that there will be a sufficient number of trained maintenance personnel, SCRRRA is evaluating maintenance resource requirements and will develop a training plan consistent with PTC implementation. This will necessitate SCRRRA to identify where additional personnel can be drawn from to cover service when normally scheduled individuals are taking instruction. Practical hands-on training may occur during the installation and testing phases of the project when Maintenance staff is assigned to assist the V/I Contractor forces.
Through November, the schedule progress is estimated to be approximately 60% (physical percent) complete for the V/I contractor scope and the PTC program overall. In October, a change order was fully executed, revising the Revenue Service milestone by nine months to September 30, 2013. Despite re-setting the schedule, progress continues to slip and the ability to meet the revised plan may slip out of reach. Currently, the primary concern driving schedule delays are related to the CAD system development and testing, followed by the FRA certification process. Although workarounds have been developed to overcome delays in the past, the ability to compress the remaining work into the remaining schedule duration is increasingly limited.

While SCRRA is leading the industry and remains well ahead of the 2015 federal deadline for PTC implementation, SCRRA’s PTC program budget depends on the timely project completion and contract close-outs.

Critical Path Overview

Despite the schedule slip, the schedule remains extremely aggressive with a number of work streams on the critical or near critical path. Major elements on the critical path of the V/I contractor schedule include:

1. CAD Phase I Live and PTC CAD
2. Production network
3. NMS Phase II
4. Integrated Testing
5. Core BOS development
6. FRA certification
7. Onboard System installations

Currently the most critical path depends on the development of a stable PTC CAD to integrate with the Metrolink BOS and Onboard systems. The integration of these components represents the milestone known as PTC 1.0 after which integrated testing can begin. Delays to any component impacts PTC 1.0 and would result in compressing the nine month duration for integrated testing and FRA certification.

Below is a “Chronology of Events” which highlights the top-level milestones achieved on the project to date, as well as a Gantt chart summary schedule.
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<th>Chronology of Events</th>
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<td><strong>September 2008</strong></td>
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## Summary Schedule

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<th>ACTIVITY</th>
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<th>2011</th>
<th>2012</th>
<th>2013</th>
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<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>Q3</td>
<td>Q4</td>
<td>Q1</td>
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<tr>
<td>On-Board Production Installs</td>
<td>2/8/12</td>
<td>9/30/13</td>
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<tr>
<td>Wayside Radio Installation</td>
<td>7/31/12</td>
<td>12/31/12</td>
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<tr>
<td>Base Station Build-out</td>
<td>7/1/12</td>
<td>3/31/13</td>
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<tr>
<td>Metrolink BOS (3.2 M2) and On-Board Integration</td>
<td>4/4/12</td>
<td>9/21/12</td>
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<tr>
<td>CAD-Live - Ph I Non-PTC CAD</td>
<td>1/26/13</td>
<td>1/26/13</td>
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<tr>
<td>CAD-Live - PTC CAD</td>
<td>1/29/13</td>
<td>1/29/13</td>
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<tr>
<td>PTC 1.0 (Non-Interoperable)</td>
<td>12/31/12</td>
<td>12/31/12</td>
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<tr>
<td>Early System Testing - Test Track</td>
<td>9/27/12</td>
<td>1/31/13</td>
<td></td>
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</tr>
<tr>
<td>Integrated System Testing</td>
<td>12/27/12</td>
<td>6/24/13</td>
<td></td>
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<tr>
<td>Interoperable Testing</td>
<td>3/4/13</td>
<td>7/9/13</td>
<td></td>
<td></td>
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<tr>
<td>Safety Plan - FRA Review &amp; Certification</td>
<td>7/17/12</td>
<td>9/19/13</td>
<td></td>
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<tr>
<td>PTC Operational on San Gabriel Sub</td>
<td>5/6/13</td>
<td>5/6/13</td>
<td></td>
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<tr>
<td>Revenue Service – All Subdivisions</td>
<td>9/30/13</td>
<td>9/30/13</td>
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<td></td>
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<tr>
<td>Reliability Demonstration Period</td>
<td>9/30/13</td>
<td>1/24/14</td>
<td></td>
<td></td>
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<tr>
<td>TCOSF Construction</td>
<td>2/1/13</td>
<td>4/30/14</td>
<td></td>
<td></td>
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</tr>
</tbody>
</table>
COST STATUS

Through November, the PTC program continues to forecast completion within the $210.9 million program budget. As stated above, this budget depends on a timely project completion and closeout of contractor and consultant expenditures and a transition of SCRRRA Staff and operations and maintenance (O&M) contractors from capital grant funded PTC development and training activities to PTC operating and maintenance support activities funded under the annual operating and maintenance budget. This shift from capital to O&M will in large part occur with the fiscal year 2013/2014 budget.

Expenditures

Through November, expenditures to date on the project total $106.4 million or 50.5% of the total program budget. Expenditures for the two month period were $11.4 million, primarily comprised of $9.3 million V/I contractor costs, approximately $1.2 million in SCRRRA PM/CM and engineering consultants and $380,807 in SCRRRA labor. Overall, expenditures are in line with the revised plan for expending the current $210.9 million estimate at completion, nevertheless, SCRRRA is closely monitoring the budget and the impact of schedule delays and potential change orders on the project budget.

Commitments

Through November, cumulative commitments on the project totaled $184 million, an increase of $17.2 million for the two month period. Period commitments were primarily related to the award of the $10.2 million TCOSF design/build contract and the execution of change orders on the V/I contract including the staff extension change order 020. Other period commitments were made for SCRRRA agency labor and consultant CTOs. To date, 86% of the project budget has been formally committed, with the remainder of the budget detailed out with planned commitments. The next major commitment outlays include: the extension of PM/CM contracts and the purchase of 220 MHz radio spectrum. SCRRRA is managing project costs in accordance with approved project control procedures. This includes evaluation and preparation of cost trends (forecasts) that provide the information necessary to control contingency and budget impacts.

Cash Flow

At present, PTC program expenditures are in line with the revised plan for the $210.9 million budget extending out to early 2014. The PTC project management team is closely monitoring and controlling expenditures and commitments to ensure they are consistent with the available funding constraints.

The current budget, expenditures and commitments are provided in the Cost Detail Table below, broken out by elements of the project. Note that work on the Customer Information System (CIS) is being performed outside of the PTC program, therefore the totals shown for the V/I contractor in the PTC Program Budget below, are less than the Board approved contract authority.
## Cost Detail

<table>
<thead>
<tr>
<th>Project Element / Task</th>
<th>Budget</th>
<th>Committed</th>
<th>Period Expended</th>
<th>Expended To Date</th>
<th>Est. at Comp</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Project Devel/Engineering/PM/CM</strong></td>
<td>59,740,798</td>
<td>49,657,191</td>
<td>1,704,962</td>
<td>39,361,575</td>
<td>59,175,412</td>
</tr>
<tr>
<td>PM/CM</td>
<td>25,269,858</td>
<td>21,931,657</td>
<td>871,162</td>
<td>16,994,236</td>
<td>25,299,434</td>
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<tr>
<td>SCRRA Staff Labor</td>
<td>8,285,430</td>
<td>5,606,014</td>
<td>380,807</td>
<td>5,606,014</td>
<td>9,031,286</td>
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<tr>
<td>Legal Support</td>
<td>1,649,820</td>
<td>1,042,280</td>
<td>15,267</td>
<td>1,039,111</td>
<td>1,420,524</td>
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<tr>
<td>Other- Materials, Fees, Prof. Services</td>
<td>239,462</td>
<td>219,449</td>
<td>7,730</td>
<td>96,297</td>
<td>250,805</td>
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<tr>
<td>Non-V/I Contingency</td>
<td>2,374,095</td>
<td>-</td>
<td></td>
<td></td>
<td>2,036,062</td>
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<tr>
<td><strong>Project Development/Design</strong></td>
<td>6,111,371</td>
<td>6,111,372</td>
<td>159,050</td>
<td>3,939,001</td>
<td>6,182,555</td>
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<tr>
<td>Map &amp; Validate Track Assets</td>
<td>6,520,954</td>
<td>6,725,991</td>
<td>104,391</td>
<td>5,907,927</td>
<td>6,357,239</td>
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<tr>
<td>Map &amp; Validate Signal Assets</td>
<td>4,113,954</td>
<td>4,113,879</td>
<td>-</td>
<td>4,113,586</td>
<td>4,113,954</td>
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<tr>
<td>Flagging</td>
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<td>541,940</td>
<td>82,231</td>
<td>718,112</td>
<td>498,086</td>
</tr>
<tr>
<td>Training/Test Train</td>
<td>1,870,607</td>
<td>1,577,346</td>
<td>50,941</td>
<td>50,941</td>
<td>1,940,595</td>
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<tr>
<td>Relocate/Reconfigure Signals</td>
<td>1,181,740</td>
<td>806,327</td>
<td>13,904</td>
<td>428,092</td>
<td>1,232,321</td>
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<tr>
<td><strong>SCRRA Staff Labor</strong></td>
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<td>851</td>
<td>1</td>
<td>851</td>
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<td>Interoperability Agreements</td>
<td>100,000</td>
<td>-</td>
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<td>100,000</td>
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<tr>
<td><strong>Pomona TCOSF/MOC</strong></td>
<td>14,761,795</td>
<td>11,777,341</td>
<td>300,263</td>
<td>1,361,281</td>
<td>14,730,609</td>
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<tr>
<td>Design and Design Support</td>
<td>1,368,236</td>
<td>1,368,237</td>
<td>15,551</td>
<td>870,611</td>
<td>1,368,236</td>
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<td>Materials</td>
<td>35,984</td>
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<td></td>
<td>4,798</td>
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<tr>
<td>Construction</td>
<td>12,425,478</td>
<td>10,233,048</td>
<td>278,500</td>
<td>315,848</td>
<td>12,425,478</td>
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<tr>
<td>Maintenance</td>
<td>41,355</td>
<td>1,355</td>
<td>-</td>
<td>41,355</td>
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</tr>
<tr>
<td>Prof. Services (CM, PM, Other)</td>
<td>92,136</td>
<td>64,386</td>
<td>-</td>
<td>64,505</td>
<td>92,136</td>
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<tr>
<td>SCRRA Staff Labor</td>
<td>369,172</td>
<td>110,316</td>
<td>6,212</td>
<td>110,316</td>
<td>369,172</td>
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<td><strong>Project Reserve</strong></td>
<td>429,434</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>429,434</td>
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<td><strong>Vendor/Integrator</strong></td>
<td>119,789,415</td>
<td>111,464,164</td>
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<td>61,790,476</td>
<td>119,789,415</td>
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<td>On Board Component</td>
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<td>21,118,467</td>
<td>3,286,460</td>
<td>12,503,703</td>
<td>21,118,467</td>
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<tr>
<td>Communications Component</td>
<td>12,117,839</td>
<td>12,117,839</td>
<td>748,907</td>
<td>4,397,820</td>
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<td>Wayside Communications Component</td>
<td>22,819,233</td>
<td>22,819,233</td>
<td>1,609,799</td>
<td>15,426,036</td>
<td>22,819,233</td>
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<tr>
<td>Back Office Component</td>
<td>10,007,319</td>
<td>5,866,910</td>
<td>1,089,345</td>
<td>3,332,174</td>
<td>10,007,319</td>
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<tr>
<td>Dispatch System</td>
<td>6,739,116</td>
<td>6,076,394</td>
<td>291,506</td>
<td>4,098,362</td>
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<td>Integrated System</td>
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<td>9,396,994</td>
<td>87,143</td>
<td>87,143</td>
<td>9,396,994</td>
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<td>Contract Documentation</td>
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<td>5,502,301</td>
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<td>Hi-Rail Test Vehicles</td>
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<td>462,336</td>
<td>-</td>
<td>462,336</td>
<td>462,336</td>
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<td>Project Eng., PM, Suppt Facilities</td>
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<td>24,680,444</td>
<td>1,425,592</td>
<td>16,885,712</td>
<td>28,081,153</td>
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<td>Commercial Terms (Bonds, Insurance)</td>
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<td>2,350,500</td>
<td>77,360</td>
<td>2,911,616</td>
<td>3,434,462</td>
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<tr>
<td>V/I Contract Options *(Loco. Simulator)</td>
<td>62,551</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>62,551</td>
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<tr>
<td>Signal</td>
<td>110,195</td>
<td>110,195</td>
<td>96,972</td>
<td>110,195</td>
<td>110,195</td>
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<tr>
<td><strong>V/I Margins &amp; Adjustments</strong></td>
<td>3,766,622</td>
<td>7,261,709</td>
<td>654,680</td>
<td>892,032</td>
<td>2,877,675</td>
</tr>
<tr>
<td>V/I Sales and Use Tax</td>
<td>2,000,000</td>
<td>2,300,000</td>
<td>654,680</td>
<td>892,032</td>
<td>2,000,000</td>
</tr>
<tr>
<td>V/I Contingency</td>
<td>1,766,622</td>
<td>4,961,709</td>
<td>-</td>
<td>-</td>
<td>877,675</td>
</tr>
<tr>
<td><strong>Project Totals</strong></td>
<td>212,419,611</td>
<td>185,093,079</td>
<td>11,429,622</td>
<td>106,421,458</td>
<td>210,984,764</td>
</tr>
</tbody>
</table>

*The totals shown for the V/I contractor are less than the Board approved contract authority as they do not include the CIS portion of the contract.*
V/I CONTRACT CHANGES

Below is a list of all pending and executed contract changes to date against the V/I contract H1636-10. The list includes traditional change orders and “Internal Administrative Change Orders” (IACOs) which are used to formally document the release of contract options, allowances and items that were deferred by the Limited Notice to Proceed. IACO items and those with a project number other than 450090 do not impact the contract contingency within the PTC program budget. The list of contract changes is also reported to the SCRRRA Board through quarterly updates.

<table>
<thead>
<tr>
<th>Approved Contract Changes (Impacting Contingency)**</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>CO 007</strong> 2.4.4 Tools to Edit/Create Database Simulation (AL)</td>
<td>$582,965</td>
</tr>
<tr>
<td><strong>CO 008</strong> Monitors for Dispatch</td>
<td>$77,953</td>
</tr>
<tr>
<td><strong>CO 009</strong> 46-in Monitors at MOC Dispatch workstations</td>
<td>$63,470</td>
</tr>
<tr>
<td><strong>CO 010</strong> Chain link at Six Locations</td>
<td>$46,692</td>
</tr>
<tr>
<td></td>
<td>Partitions at TCOSF-Rancho Dispatch Desks</td>
</tr>
<tr>
<td></td>
<td>Double Doors at LAUS Simulator Room</td>
</tr>
<tr>
<td><strong>CO 011</strong> Procure &amp; install Stancil Voice Recorder at TCOSF Rancho Training &amp; Dispatch Center.</td>
<td>($23,148)</td>
</tr>
<tr>
<td><strong>CO 013</strong> Tower design criteria change for Fontana Base Station</td>
<td>$15,167</td>
</tr>
<tr>
<td></td>
<td>Stancil MOC Reproducer</td>
</tr>
<tr>
<td><strong>CO 014</strong> Stancil R-TCOSF Reproducer</td>
<td>$16,509</td>
</tr>
<tr>
<td><strong>CO 015</strong> Wabtrax Software License for Year 2012</td>
<td>$10,400</td>
</tr>
<tr>
<td><strong>CO 016</strong> Tri-Modem GPS Antenna</td>
<td>$159,737</td>
</tr>
<tr>
<td><strong>CO 017</strong> Boulder Removal at Pasadena Junction</td>
<td>$6,258</td>
</tr>
<tr>
<td>Description</td>
<td>Amount</td>
</tr>
<tr>
<td>-----------------------------------------------------------------------------</td>
<td>---------</td>
</tr>
<tr>
<td>Network Appliances</td>
<td>$156,011</td>
</tr>
<tr>
<td>Safety Ladders</td>
<td>$27,270</td>
</tr>
<tr>
<td>Full NTP Release</td>
<td>$0</td>
</tr>
<tr>
<td>V/I Extension of Staff, Facilities and Commercial Terms</td>
<td>$3,084,671</td>
</tr>
<tr>
<td>Revised Not-to-Exceed Sales Tax Allowance</td>
<td>($1,800,000)</td>
</tr>
<tr>
<td>A/C and Cameras in Computer Rm and Lab</td>
<td>$10,117</td>
</tr>
<tr>
<td>Final Configuration of Rotem Simulator</td>
<td>$160,116</td>
</tr>
<tr>
<td>Tower Modifications</td>
<td>$238,416</td>
</tr>
<tr>
<td>500 NMS Openview Nodes</td>
<td>$75,042</td>
</tr>
<tr>
<td>15ft Tilt Down Tower @ IS 191/192</td>
<td>$7,249</td>
</tr>
<tr>
<td>Brake Limiting Valves</td>
<td>$66,017</td>
</tr>
<tr>
<td>Grounding at Select Signal Houses</td>
<td>$26,291</td>
</tr>
<tr>
<td>PTC Videographer (Outside of PTC Program Budget)</td>
<td>$7,700</td>
</tr>
<tr>
<td>RSC Platform Analysis</td>
<td>$149,000</td>
</tr>
<tr>
<td>Procure (100) Cisco AnyConnect Licenses</td>
<td>$5,089</td>
</tr>
<tr>
<td>Description</td>
<td>Amount</td>
</tr>
<tr>
<td>----------------------------------------------------------------------------</td>
<td>---------</td>
</tr>
<tr>
<td>OCG Network MIB</td>
<td>$82,225</td>
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<tr>
<td>Total Approved Contract Changes (Impacting Contingency)</td>
<td>$3,253,145</td>
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<tr>
<td>Pending Contract Changes</td>
<td></td>
</tr>
<tr>
<td>CO TBD ARINC and Wabtec Programming Enhancements (WACNs Issued)</td>
<td>$500,000</td>
</tr>
<tr>
<td>*WACN - Work Authorization Change Notice which has a $25,000 cap.</td>
<td></td>
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<tr>
<td>CO TBD DIO Cables for Onboard Installations (WACNs Issued)</td>
<td>$150,000</td>
</tr>
<tr>
<td>CO TBD CIS/CAD Lab Support AT&amp;T Voice Software (WACN Issued)</td>
<td>$7,000</td>
</tr>
<tr>
<td>Total Pending Contract Changes</td>
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<tr>
<td>Forecasted Potential Contract Changes</td>
<td></td>
</tr>
<tr>
<td>Retaining Wall at Simi Valley</td>
<td>TBD</td>
</tr>
<tr>
<td>Wireless Local Area Network at Facilities Redesign</td>
<td>TBD</td>
</tr>
<tr>
<td>Enhancement of Simulator Object Library</td>
<td>TBD</td>
</tr>
<tr>
<td>Tunnel Communications Design Change Request</td>
<td>TBD</td>
</tr>
<tr>
<td>On Board Equipment Labeling</td>
<td>TBD</td>
</tr>
<tr>
<td>PTC Future recurring Maintenance Costs</td>
<td>TBD</td>
</tr>
<tr>
<td>PTC Future System Software Upgrades</td>
<td>TBD</td>
</tr>
<tr>
<td>V/I labor and travel costs for participation in FRA Meeting January 2013</td>
<td>TBD</td>
</tr>
<tr>
<td>Final Adjustments to Wayside COAX Cable Installation</td>
<td>TBD</td>
</tr>
<tr>
<td>Total Forecasted Potential Contract Changes</td>
<td>TBD</td>
</tr>
</tbody>
</table>
FUNDING

SCRRA’s overall PTC Program funding remains unchanged through the period at $210.9 million. Extensive effort has been put into securing and managing the long list of grants and SCRRA remains one of the only commuter rail agencies in the nation with a fully funded PTC program.

Grants-related efforts during the period include oversight of grant restrictions, participation in audits, reviews and on-going billing and reporting duties. Similar management and oversight is also being performed on the $20.2 million in FRA High Speed Intercity Passenger Rail and Prop 1A SCRRA funding, which is being utilized on the related Communications Backhaul System Improvements for PTC project. Other on-going duties include the review of grant requirements and timing restrictions, as well as the project budget and contingencies to ensure there are no gaps in the funding coverage.

The overall PTC cash flow, including the availability of funds to commit against and availability of funds to invoice against are illustrated on the chart that follows titled PTC Funding over Time. As the chart reflects, current cash flow projections for the PTC program are sufficient to cover both near-term and long-term expenditures.

Metro’s funding contribution to the project includes $20M in Measure R funds to match the $20M in Prop 1B SLPP funds. Funding details are provided in the table and text below.

### Secured and Programmed Funds

<table>
<thead>
<tr>
<th>SCRRA PTC</th>
<th>Amount</th>
<th>Expiration</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Secured Funding</strong></td>
<td>210,934,182</td>
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<td></td>
</tr>
<tr>
<td>Local (MTA funds)</td>
<td>3,310,587</td>
<td>6/30/2011</td>
<td>$1.2M for mapping, balance for dispatch.</td>
</tr>
<tr>
<td>Federal formula Funds/Local Match</td>
<td>789,120</td>
<td>NA</td>
<td>FTA funds for RTC, OCTA and SANBAG.</td>
</tr>
<tr>
<td>State STIP</td>
<td>125,293</td>
<td>9/25/2011</td>
<td>VCTC State funds.</td>
</tr>
<tr>
<td>ARRA Formula</td>
<td>17,825,530</td>
<td>9/30/2015</td>
<td>$2.48M for engineering, balance for construction.</td>
</tr>
<tr>
<td>Prop 1B TSGP (Safety/Security) (SCRRA)</td>
<td>7,065,024</td>
<td>12/31/13</td>
<td>$982,070 for signal relocation.</td>
</tr>
<tr>
<td>Prop 1B PTMISEA (SCRRA)</td>
<td>199,668</td>
<td>3/31/2012</td>
<td>For signal relocation.</td>
</tr>
<tr>
<td>OCTA Prop 116 allocated at 5/10 CTC mtg</td>
<td>17,500,000</td>
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<td>Allocated 5/19/10.</td>
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<td>21,366</td>
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<td>Prop 1B PTMISEA pending SANBAG MOU</td>
<td>3,309,525</td>
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<td>SANBAG received funds 6/17/10. MOU approved 10/7.</td>
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<td>OCTA Sec 5307</td>
<td>4,147,427</td>
<td>NA</td>
<td>Approved by the OCTA Board 7/12/10 and approved in the federal TIP 5/28/10.</td>
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<td>Prop 1A SCRRRA</td>
<td>10,088,937</td>
<td>10/15/13</td>
<td>Program adopted 5/19. Grant total of $22.8M. Match: $13.5M in FRA HSIPR. Doesn’t include a contribution from OCTA. Portion of $13.5M grant.</td>
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<td>FRA High Speed Intercity Passenger Rail via Caltrans</td>
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**PTC-related Communications Network Funding**  
20,177,873

**Funding Next Steps**

SCRRA staff will continue to monitor grant expirations to ensure funding is fully utilized or amendments are sought as needed.

**Funding Acronyms**

The following acronyms may be found in the tables above.

<table>
<thead>
<tr>
<th>Acronym – Definition</th>
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<tbody>
<tr>
<td><strong>ARRA</strong> – American Recovery and Reinvestment Act</td>
</tr>
<tr>
<td><strong>CTC</strong> – California Transportation Commission</td>
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<tr>
<td><strong>DOR</strong> – Division of Rail</td>
</tr>
<tr>
<td><strong>FRA</strong> – Federal Railroad Administration</td>
</tr>
<tr>
<td><strong>FY</strong> – Fiscal Year</td>
</tr>
<tr>
<td><strong>MOU</strong> – Memorandum of Understanding</td>
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</tbody>
</table>
Support for this project comes from SCRRA’s member agencies.

**Member Agencies**

Support for this project comes from SCRRA’s member agencies.

**Member Agencies**

- **Metro** – Los Angeles County Metropolitan Transit Authority (MTA)
- **OCTA** – Orange County Transportation Authority
- **RCTC** – Riverside County Transportation Commission
- **SANBAG** – San Bernardino Association of Governments
- **VCTC** – Ventura County Transportation Commission
Issue

Southern California Regional Rail Authority (SCRRA) requests adoption of the Incident Response Plan.

Recommendation

Staff recommends the Board adopt the Incident Response Plan.

Background

At the December 14, 2012 Board of Directors meeting, staff presented the Board with a presentation and a draft of the Incident Response Plan (IRP) which is designed to determine the level of response by Board members, staff, and other necessary resources to any incident, accident, or major event. The IRP also assigns roles and responsibilities to these individuals according to the level of the event. There was no additional discussion at this meeting and the plan remains unchanged and is included in this report as Attachment A.

At the October 26, 2012 Safety and Operations Committee meeting, staff provided a presentation outlining the key drivers of various incident levels and related responsibilities. During the meeting, the Committee raised several concerns regarding the process, responsible parties, notifications to elected officials and back-up support as needed. Staff addressed the Committee’s concerns and made changes to the draft Incident Response Plan. Staff will also work with each Member Agency for an appointment of Board spokesperson should an incident occur in their county jurisdiction.

Budget Impact

There is no immediate budget impact as a result of this adoption.

Prepared by: Fred Jackson, Director, System Safety

MICHAEL P. DePALLO
Chief Executive Officer
[Abridged] Incident Response Plan - IRP

December 14, 2012
### Revision History

<table>
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<th>Revision Date</th>
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<th>Section</th>
<th>Contributors</th>
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<td>May 29, 2012</td>
<td>Initial draft for review</td>
<td>All</td>
<td>F. Jackson, Dennis Marzec</td>
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<td>June 28, 2012</td>
<td>Review by senior team</td>
<td>All</td>
<td>Senior Team</td>
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<td>July 16, 2012</td>
<td>Meeting with senior team edits</td>
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<td>July 24, 2012</td>
<td>Edits made from senior team</td>
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<td>Edits made by MOC</td>
<td>V Roles MOC</td>
<td>Director Dispatch</td>
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<td>Edits made by Gov’t Affairs</td>
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<td>August 15, 2012</td>
<td>Edits by Team</td>
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<td>Edits by Nancy Weiford</td>
<td>C-5</td>
<td>Finance CFO</td>
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<td>Edits by Claudia Ziebell</td>
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<td>Edits by Laura Lamarque</td>
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<td>Edits by Tracy Berge</td>
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<td>Fred Jackson</td>
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<td>November 1, 2012</td>
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<td>Edits by Patricia Bruno</td>
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<td>December 5, 2012</td>
<td>Edits by Larry Day</td>
<td>Conference Line Host</td>
<td>CEO</td>
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<td>December 6, 2012</td>
<td>Edits by Larry Day</td>
<td>CEO info</td>
<td>Olga Yero &amp; Kari Brozowski</td>
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METROLINK INCIDENT RESPONSE PLAN

I. OBJECTIVE
The objective of the Incident Response Plan (IRP) is to ensure that resources are coordinated for Metrolink stakeholders in the event of a crisis. We all must remember that in order to be able to perform at your highest level, you must first prepare at home and always keep your personal safety at the forefront.

II. SCOPE
The IRP is designed to:

a. Assign roles and responsibilities for planning, logistics, operations, communications, and other necessary departments in the coordination of train operations
b. Define the levels (types) of incidents
c. Coordinate and determine the level of field response
d. Coordinate communication between stakeholders

III. DEFINITIONS
The following terms used within the IRP document:

Metrolink Operation Center (MOC): the central command and dispatch center for Metrolink. The MOC notifies the appropriate Metrolink personnel and its contractors, and federal, state and local agencies in response to injuries, incidents, derailments, hazardous materials and other emergencies.

MOC Incident Management Group: is the team in charge of the MOC Incident Command Center during a specific incident.

ROC: the “Rail Operations Center” is the central rail operations location operated by the L.A. County Sheriffs in South Los Angeles.

PageGate: an SMS messaging server application that sends SMS and text messages to mobile phones, cell phones and other wireless devices. The tool is a high capacity application with built in redundancy and failover capabilities ensuring that urgent text messages are sent in a timely manner. It is a 3rd party application and relies on a modem connection and the recipients wireless provider to actually display the message in a timely manner.

Send Word Now: is a web-based emergency notification and incident management service that sends both text and voice messages. The Chief Dispatcher sends the initial emergency/incident notification and subsequent updates, including announcement of time and call-in number for conference calls to work through the incident, and requests to attend the bucket line.

Bucket Line: an established teleconference line for internal communications. Stakeholders may access the bucket line by dialing 1-951-262-9000, then entering the designated pass code.
**Bucket Line Call-in Time:** the call-in time issued by the MOC during initial notification of an incident through the SendWordNow paging system.

**Secured Conference Line Call-in Time:** the call-in time issued by Chief Operating Officers to board members and senior staff only.

**Fixed Facility:** are facilities where SCRRA and its contractors operate, maintain or manage Metrolink train service. Incidents and emergencies may occur at fixed facilities other than on board trains, tracks or at stations.

**Go Team:** the Go Team consists of Senior Level Metrolink personnel assigned to respond to the scene of an incident.

**Key Responders:** are responders other than the Go Team, who respond to an incident. These responders may be Metrolink or contract employees whose expertise is of value in the proper handling of the incident. For example, in the event of a signal failure/violation, someone from the Communication & Signals contractor can provide expertise to restore service.

**Railroad Incident Commander:** is the individual responsible for the overall train management of the on-site emergency response operations.

**On-Scene Command Post:** is the specific location at the incident where the Railroad Incident Commander oversees the on-site train incident operations.

**One Gateway Plaza:** is the executive office located in downtown Los Angeles, Ca. where Metrolink senior leadership and administrative staff supports the IRP process.

**IV. INCIDENT LEVELS** are defined as the degree of severity assigned to a specific incident

**A. Level 1 Incident**

A Level 1 incident is an incident or train delay that does not severely affect operations:

a. Passenger train delays less than 30 minutes – trains not stopped

b. Minor injuries to customer, employee or contractors not requiring emergency medical attention or assistance

c. Minor yard derailments

d. Minor hazardous materials spills

e. Unattended bag report with no stoppage of service
B. **Level 2 Incident**

Level 2 incidents are those that cause cascading delays or cancellations that may require alternate transportation, or other on-site incident management. Some examples include:

a. Passenger train stopped greater than 30 minutes due to freight derailment, mechanical breakdown or other delays

b. Severe injury to a customer, employee or contractor injury that requires emergency medical assistance

c. Pedestrian, Trespasser or Grade crossing incident

d. Passenger Train Evacuation

e. Investigation of suspicious package, bomb or terrorist threat that stops passenger train traffic

f. Hazardous materials spill that requires response and/or containment

C. **Level 3 Incident**

A Level 3 incident is a major incident resulting in onsite incident management and Metrolink Board Members involvement. Some examples include:

a. Passenger Train derailments

b. Major Freight Train derailments

c. Train Collisions

d. Multiple severe injuries or fatalities to customers, employees or contractors

e. Severe geological events (earthquake) or acts of nature

f. Fire or civil disturbances threatening right-of-way or equipment

g. Confirmed Bomb or Terrorist Activities

h. Other Disasters that require cancelation of train service

V. **ROLES & RESPONSIBILITIES**

A. **Board of Directors**

a. Serve as a spokesperson to their local media during a Level 3 incident.

b. Chair and Vice Chair may report to the scene of the incident to act as the “face” of Metrolink.

c. Participate in an incident response briefing via conference call or at Gateway administrative command center to get updates on incident and talking points.

d. Serve as an advocate on behalf of Metrolink for response resources or assistance from other agencies.
B. Executive

1. Chief Executive Officer (CEO)

CEO responsibilities include, but are not limited to:

a. Providing initial contact to the Chairman of the Board
b. Being the “face” of the Agency at the scene
c. Primary decision making
d. Overarching messaging
e. Determining and/or approving the strategic approach for handling the crisis
f. Reviewing and approving all communications materials as necessary.

2. Chief of Staff

The Office of the Chief of Staff is responsible for, but not limited to:

a. Supporting departments as necessary
b. Activating Level 3 secured conference line working with COO
c. Working closely with Communications to notify Board Members
d. Along with the PIO, coordinating communications with Member Agencies and board members
e. Ensuring adequate staff planning to manage staff fatigue
f. Managing and tracking all inquiries from the Board of Directors, CEOs and TAC Members
g. Arranging for meals and supplies to be delivered to MOC, Gateway, scene and other employees providing assistance

3. Chief Operating Officer (COO)

Under the direction of the COO, the following Operating Departments shall:

A. MOC Incident Command Center - Dispatching Operations

The MOC Incident Management role is to establish incident level, assess incident priorities, support incident action plan, manage incident resources, coordinate and communicate with internal and external agencies.

a. Initial notification (i.e., Page Gate, Send Word Now, Bucket Line)
b. Dispatch Emergency Response Unit
c. Staff bucket line to enhance and coordinate communication/Level 3 incident host staff secure conference line.
d. Review and approve all operations communications materials as necessary.
e. Provide incident updates
f. Work with responding authorities (NTSB, FRA, PUC, Police, Fire)
g. Work as railroad liaisons under incident command structure (ICS)
h. Coordinate resources and maintain communication to field managers and key responders, i.e. Compliance Officer, Customer Engagement Representatives (CERs), Sheriffs, crew resources, etc.
i. Coordinate re-route efforts, when applicable
j. Document key incident information
k. Federal and state liaison
l. Ensure adequate staff planning to manage staff fatigue

B. Key Responders – Various departments and contractors

Key Responders work as a team under the direction of the railroad incident commander. Each department is responsible for onsite safety when dispatched to the incident site. Assign a representative to be responsible to coordinate the procurement of resources as necessary to avoid delays in the investigation, recovery and remediation of the incident. Ensure adequate staff planning to manage staff fatigue. Compile all necessary reports for regulatory requirements.

a. Transportation Responsibilities
   i. Instruct all staff to sign in with incident command post
   ii. Ensure onsite safety and personal protective equipment (PPE) guidelines are obeyed
   iii. Secure necessary department crews and equipment
   iv. Drug testing of employees, if necessary
   v. Secure pertinent information or paperwork regarding the incident
   vi. Each department representative will be responsible to coordinate the procurement of resources as necessary to avoid delays in the investigation, recovery and remediation of the incident.
   vii. Ensure adequate staff planning to manage staff fatigue
   viii. Provide incident drawing design and sketches and record point of derailment

b. Signal Responsibilities
   i. Instruct all staff to sign in with incident command post
   ii. Ensure onsite safety and personal protective equipment (PPE) are followed
iii. Secure needed department crews and equipment.
iv. Drug testing of employees, if necessary
v. Assess damage to equipment, signals, facilities and properties
vi. Secure pertinent information or paperwork regarding the incident.
vii. Each department representative will be responsible to coordinate the procurement of resources as necessary to avoid delays in the investigation, recovery and remediation of the incident.
viii. Ensure adequate staff planning to manage staff fatigue
ix. Sign off on and track all approved vendors on site dispatched by Metrolink
x. Assess damage to systems and provide emergency repairs
xi. Remove debris
xii. Secure pertinent information or paperwork regarding the incident.

c. Track Responsibilities
   i. Instruct all staff to sign in with incident command post
   ii. Ensure onsite safety and personal protective equipment (PPE) guidelines are obeyed
   iii. Secure necessary department crews and equipment
   iv. Drug testing of employees, if necessary
   v. Secure pertinent information or paperwork regarding the incident
   vi. Provide emergency power and lighting
   vii. Assess damage to equipment, track, facilities and properties
   viii. Remove debris
   ix. Assess damage to systems and provide emergency repairs
   x. Sign off on and track all approved vendors on site dispatched by Metrolink

d. Mechanical Responsibilities
   i. Instruct all staff to sign in with incident command post
   ii. Ensure onsite safety and personal protective equipment (PPE) are followed
   iii. Identify environmental hazards during an event
   iv. Drug testing of employees, if necessary
   v. Assess damage to equipment, facilities and properties
   vi. Assess damage to systems and provide emergency repairs

Approved by Board:
vii. Secure pertinent information or paperwork regarding the incident.
viii. Sign off on and track all approved vendors on site dispatched by Metrolink
ix. Equipment dispatch Hulcher Services, Inc. for re-railing of equipment
x. Develop, implement, and manage alternative operations and planning/scheduling
xi. Restore service, signals, track, equipment and facilities
xii. Remove debris
xiii. Provide incident drawing design and sketches and record point of derailment

e. Metrolink Compliance Officer and Operating Contractor Responsibilities

The Railroad Incident Command (RRIC) is established by the first railroad employee or contractor on scene, and relieved by the SCRRRA Compliance Officer.

i. Establishing and communicating from the on-site command post
ii. Ensuring safety is given highest priority during emergency response
iii. Interviewing and disposition of train crew(s)
iv. Coordinating with on-scene law enforcement
v. Securing and reviewing all event recorder downloads
vi. Securing and reviewing all inward and outward facing camera video
vii. Working closely with Coroner
viii. Securing train documents, rule books, authorities, track bulletins
ix. Securing crews and equipment for work train service
x. Coordinating drug tests of train crew, if necessary
xi. Establishing and maintaining on scene organization that is capable of providing management direction and support at-the- response scene
xii. Establishing strategic objectives and response priorities, and ensuring response personnel are carrying out emergency response operations consistent with objectives and priorities
xiii. Coordinating with contractor to complete and file proper Metrolink incident reports
xiv. Providing direction, control, and management of agency resources, continuity of management, and the collection and reporting of situational information

f. System Safety Department Responsibilities

The SCRRRA Director, System Safety and the safety team are responsible for, but not limited to:

i. Deliver emergency response vehicle to the incident site
ii. Conducting safety briefings on-site, ensuring onsite PPE compliance
iii. Securing environmental control and contaminated soil removal contractors
iv. Establishing sign in sheet for all SCRRA and contract responders
v. Monitoring weather, wind and heat on scene and report back to MOC
vi. Managing Emergency Credit Card for on-site miscellaneous needs
vii. Supporting the ICS structure and provide assistance to IC
viii. Conducting duties of scribe under ICS
ix. Providing advice and assistance, both internally and externally, as needed in all matters relating to emergency management activities
x. Communicating with federal, state, and local agencies regarding reports and data
xi. Ensuring that all internal and external reports are completed and filed in a timely manner
xii. Using adequate staff planning to manage staff fatigue

g. Security L. A. County Sheriffs and Local Law Enforcement

The Security department shall be responsible, but not limited to:
   a. Conduct assessment and establish or support single or unified command
   b. Assist with evacuation efforts
   c. Coordinate with external law enforcement agencies to ensure and maintain public safety
   d. Control vehicle and pedestrian traffic
   e. Work with Coroner and railroad investigation
   f. Crowd control
   g. Control and limit access to the scene of the incident
   h. Maintain law and order
   i. Provide security at facilities or structures involved in the incident
   j. Use adequate staff planning to manage staff fatigue

C. Administration – Chief Administrative Officer

While not primary members of the Emergency Public Information Team, additional members of the Customer Engagement and Marketing Department may be asked to play critical roles in responding to crises and in reinforcing the Agency’s mission and values as it recovers post-crisis including hosting the Level 3 staff conference line. Under the direction of the CAO, the following departments shall:
1. **Customer Engagement Responsibilities**
   i. Establish Gateway Administration Communication Center at the Gateway Building (Vanderbilt Room)
   ii. Activate and monitor bucket line
   iii. Participate in secured conference line for key senior staff
   iv. Participate on the bucket line with the MOC
   v. Activate phone tree
   vi. Manage alternate revenue collection
   vii. Coordinate service recovery station and customer support with field representatives
   viii. Assist HR with personnel for passenger/family/community outreach
   ix. Provide staffing for documentation control (document the incident and recovery from Communication Desk, etc.)
   x. Assess marketing/advertising/research materials and projects in development (e.g., surveys, newsletters, promotions, special events, etc.) and determine the need to delay timing, modify content or cancel activity in order to prevent or minimize communications that could conflict with or exacerbate the crisis.
   xi. Assess pre-programmed messages/materials on website, onboard trains and on social media platforms.
   xii. Develop and place incident-specific ads, if required
   xiii. Recommend new messaging/outreach opportunities as the situation evolves and the agency is in the reputation recovery phase to protect/restore brand value and customer confidence
   xiv. Provide assistance at affected stations
   xv. Activate Gateway Administration Communication Center. Maintain close communication with Alta to ensure consistency.
   xvi. Coordinate communications with Corporate Pass Program partners
   xvii. Develop appropriate messages for customers to restore confidence in the system and provide information on the resumption of service

2. **Customer Communications Responsibilities**
   i. Manage MOC communications desk for service recovery
   ii. Provide for bus bridges and alternate transportation as necessary
   iii. Provide and update Metrolink social media
   iv. Provide and update messaging for customer / station signage (PACMS)
v. Provide and update messaging for Metrolink public website
vi. Provide messaging using PageGate to communicate one time or ongoing updates on incidents, delays (10 minute delays or more), or any other problems to internal staff.
3. Public Affairs Department Responsibilities

The Public Affairs department shall be responsible for, but not limited to, the following:

i. Execute the crisis communications plan, outlined in a separate document

ii. Provide on-scene media relations and communications

iii. Provide messaging to CEO and board of directors

iv. Provide talking points to CEO, Chairman of the Board, and board members

v. Provide communication plans regarding strategy and tactics to CEO and board of directors

vi. Coordinate public information with other local, State, and Federal information officers such as the NTSB, FRA, CPUC

vii. Coordinate messaging with other transportation PIOs involved in incident

viii. Manage media relations

ix. Issue press releases

x. Work with HR to ensure consistent messaging to internal and stakeholders

xi. Use adequate staff planning to manage staff fatigue

xii. Coordinate messaging with other departments to ensure continuity

xiii. Follow-up with media to ensure correct messaging

xiv. Determine spokesperson roles for CEO, board leadership, PIO, and other staff

xv. Determine optimal geographic locations for PIO and other media spokespersons so key sites are staffed

xvi. Serve as primary liaison between the Crisis Communications Team and other operational teams, the Board of Directors, and member agencies in conjunction with the CEO

xvii. Determine from senior management and legal counsel if there is information that should not be released to the media or public

xviii. Advise the Crisis Communications Team on timing, frequency, and content of all announcements, statements, or responses to be made about the crisis

xix. Draft talking points and messaging

xx. Make final decisions and provide overall leadership for all matters for which the Crisis Communications Team is responsible

xxi. Coordinate media support functions (website postings, Social Media updates, passenger seat drops/newsletter) or delegate this responsibility

xxii. Provide relevant updates to other members of the Customer Service, Communications and Marketing Department
xxiii. Conduct shift change briefings in detail (for Crisis Communications Team alternates) ensuring that in-progress activities are identified and follow-up requirements are known.

xxiv. Disseminate daily media coverage reports to key stakeholders.

xxv. Develop and disseminate employee communications.

xxvi. Public Relations staff (or designee) to develop content related to incident.

xxvii. Human Resources to develop content related to employee impact/policies (e.g., releasing staff from work in the event of an emergency).

xxviii. Ensure the Emergency Public Information Plan is kept current and that responders are properly trained.

4. Information Technology Responsibilities

i. Develop and maintain a Disaster Recovery Plan, including recovery point objectives for critical and priority systems, recovery processes, recovery capabilities and established recovery timelines.

ii. Develop and maintain a business continuity plan that is aligned with the IT Disaster Recovery plan. Support the development of IT implementation of business continuity plans across the agency.

iii. Develop and maintain systems and data backup capabilities and processes to support data recovery needs as defined by SCRRRA IT Data Backup and Recovery policies.

iv. Develop and maintain network, systems and data security policies and processes, assure adherence to policies defined, protect SCRRRA systems and data from external tampering, modifications or other threats.

v. Develop and maintain systems and controls for physical access to SCRRRA facilities and protect SCRRRA facilities from unauthorized access.

vi. Provide emergency and/or temporary communication capabilities, satellite phones, phone lines, conference lines and voice communication capabilities to the emergency response location.

vii. Provide emergency and/or temporary computers, Internet and network connectivity, and needed peripherals to support emergency response location or command center.

viii. Assess damage/impact to communications, technology equipment, systems and/or data based on defined service level criteria and system criticality, declare a disaster as appropriate and based on defined criteria, and initiate Disaster Recovery Plan.
ix. Restore communications, technology equipment, systems and/or data according to defined recovery point objectives and service levels.

x. Ensure data integrity and application security for all employees

xi. Use adequate staff planning to manage staff fatigue

5. Finance Department Responsibilities

i. Establish three (3) emergency credit cards for field use (Field Operations, Gateway and Safety)

ii. Establish accounting process for handling donations

iii. Provide emergency accounting processes (e.g., dedicated account codes, etc.)

iv. Maintain financial records management

v. Maintain and release emergency funds, including cash, as required

vi. Establish preset emergency vendor partnerships to provide charging ability with paperwork to follow

vii. Gather data and review losses associated with the incident

viii. Create and maintain process with Risk Management for potential recovery of spending

ix. Develop and maintain a business continuity plan

x. Use adequate staff planning to manage staff fatigue

6. ALTA Resources (call center) Responsibilities

i. “After ALTA is notified by MOC their responsibilities shall include, but not be limited to:”

ii. Join the bucket line once it has established

iii. Activate the emergency 800 number procedures

iv. Activate recorded message provided to ALTA by Metrolink Communications

v. Contact all available Metrolink agents, as well as volunteers from other programs as needed, to assist in supporting high volumes

vi. Place announcement on the (IVR) to redirect general information, potential long wait times and redirect callers to website.

vii. Provide ALTA call center agents with Metrolink-approved script for general inquiries regarding the event.
D. Strategy

Under the direction of the Chief Strategic Officer (CSO), the following departments shall:

1. Risk Management Department Responsibilities

   Assess risk and hazard potential of incidents/events
   i. Request additional resources from departments as necessary
   ii. Work with law enforcement and other departments concerning safety and security related issues
   iii. Conduct thorough accident/incident investigations according to industry standards
   iv. Provide risk management support and including security risks within overall liability management considerations
   v. Analyze facts and reports of events
   vi. Communicate incident investigation and organization
   vii. Investigate, interview and assemble data regarding the incident in preparation of future litigation
   viii. Interview injured employee or public
   ix. Secure external legal counsel, if needed
   x. Secure external “experts” needed for litigation
   xi. Provide input on communications on as as-needed basis
   xii. Use adequate staff planning to manage staff fatigue

2. Purchasing/Contracts Department Responsibilities

   i. Maintain a list of suppliers and vendors that can provide resources that are anticipated to be needed during an emergency or disaster situation
   ii. Assist with immediate purchases
   iii. Conduct vendor investigation to avoid conflict of interest and other issues which may be security sensitive
   iv. Use adequate staff planning to manage staff fatigue

3. Legal Department Responsibilities

   The Office of the General Counsel shall be responsible for, but not limited to, the following:
   i. Provide necessary legal support, counseling, and advice, as needed
   ii. Manage system-wide liability identification
   iii. Analyze emergency situations from a legal perspective
iv. Provide management with contract interpretation and guidance in order to limit and/or prevent violation(s) of contractual agreements

v. Determine access to documents and records and their ultimate disposition from a legal standpoint

vi. Ensure consistency of legal decisions, positions and actions of the Crisis Communications Team

vii. Approve statements, news releases, fact sheets, talking points, etc. prior to distribution

4. Human Resources Responsibilities

The Human Resources department shall be responsible for the following:

i. Manage assistance to injured passengers, their families and to community at established shelters

ii. Coordinate hospital visit program

iii. Coordinate family support to employees who worked incident

iv. Maintain documentation of services provided from the above tasks

v. Establish follow-up employee assistance needs and referrals

vi. Record names of passengers housed in shelters, provide lists to the MOC or Incident Command Post

vii. Coordinate follow up to passengers post incident

viii. Use adequate staff planning to manage staff fatigue

ix. Work in conjunction with the Chief Administrative Officer to develop and disseminate employee communications

x. Public Relations (or designee) to develop content related to incident

xi. Human Resources to develop content related to employee impact/policies (e.g., releasing staff from work in the event of an emergency)

1. Schedule/oversee all-employee meetings to provide relevant updates or post-crisis Q&A sessions

2. Work with the PIO and the Director of Customer Services to train and activate designated employee volunteers for crisis assignments in support of the agency’s Emergency Operating and Emergency Public Information Plans

3. Monitor and correct internal rumors by providing factual information based on confirmed data
5. **Government Affairs Responsibilities**

The Government Affairs department shall be responsible for the following:

i. Make notification to all elected, government and regulatory officials regarding level III incidents

ii. Assess the need to make proactive contact with key government leaders and staff

iii. Coordinate closely with Legal, Public Affairs, CEO and Board of Directors on elected official communication.

iv. Coordinate the intergovernmental communication to the affected jurisdiction including local elected officials.

v. Notify member agency Government Relations counterparts and keep updated as needed

vi. Assist with messaging and strategy for Government Officials

vii. Manage communications with elected offices, local, state and federal stakeholders and update as needed

viii. Identify third party advocates

ix. Supervise the work of lobbyists and apprise them of the situation, as needed

x. Work with the team leader to identify escorts for government officials who would like to view the incident site

xi. Assist other departments as required

xii. Provide recommendations and implement decisions on government and regulatory affairs issues

xiii. Support grants manager to identify new opportunities or approaches to secure funding as the situation evolves and the agency is in a reputation recovery phase

xiv. Use adequate staff planning to manage staff fatigue

E. **Crisis Communications Team**

The duties of the Crisis Communication Team include:

1. Ensure all appropriate internal and external resources are mobilized and dedicated to emergency public information

2. Serve as primary liaison with the media and the public regarding the crisis

3. Serve as liaison to other PIOs involved in responding to the crisis and obtain information relevant to the response
4. Develop a schedule and coordinate news briefings, news conferences, and news releases

5. Interact with other departments to provide and obtain information relative to the news releases or briefings

6. Prepare press statements, messages and other background information for approval by the team

7. Arrange for tours, briefings, or interviews, as needed

8. Establish a media center for joint information (depending on the scope of crisis and state, federal, and county/city involvement) designated for responding to media requirements during the crisis, whether on-site at the scene of the incident or at Metrolink headquarters

9. Review and approve all communications materials

10. Respond to media inquiries (in conjunction with the public relations lead)

11. Oversee development and distribution of passenger announcements

12. Work with the Administrative Coordinator to establish a media inquiry tracking and documentation system

13. Participate in annual training exercises as multifunctional, multidisciplinary team

14. Ensuring that all aspects of crisis communications response are carried out in accordance with Metrolink policies and applicable regulatory agency policies (e.g., NTSB communications protocol)

15. Verifying which emergency response measures have been taken by on-scene resources to ensure the safety and welfare of passengers, employees and the general public

16. Ensuring that facts are gathered as quickly as possible and information is carefully verified so that appropriate decision can be made

17. Taking no action that might exacerbate the crisis situation. Agency actions and policies MUST lead communications

18. Establishing and maintaining the timely flow of accurate information – internally and externally

19. Determining appropriate roles for senior management and Board leadership

20. Maintaining and reaffirming Metrolink’s core values and mission

21. Allocating all appropriate resources to ensure effective response to the situation at hand – and to help ensure that regular business responsibilities are adequately managed

22. Evaluating crises after they are resolved and incorporating lessons learned into the proactive management of future incidents
Identified Crisis Communications Team members will lead communications to all designated target audiences during a crisis. This Team will convene immediately upon notification of a Level 3 crisis or significant business continuity issue, lead the crisis communications response, coordinate with Board leadership, coordinate with member agency Public Information Officers (PIOs) as needed, coordinate with local, county, state and federal agencies and assess the need to bring in additional team members with technical expertise.

The Team’s overall responsibilities are listed previously.

Primary Crisis Communications Team members and their alternates include:

- Lead Public Information Officer
  - Scott Johnson (alt. Delana Gbenekama)
- Senior Management
  - Michael DePallo, CEO
- Customer representatives
  - Bob Turnaukcas (alt. Mark Nitti)
- Board representatives
  - Olga Yero (alt. Kari Brozowski)
- Government Affairs
  - Patricia Bruno (alt. Jennifer Cohen)
- Information Gathering/Writer
  - Delana Gbenekama (alt. MBI Media)
- Information Distribution/Phones
  - Claudia Ziebell (alt. Mark Waier)
- Administrative Coordinator
  - Mary Saccoccio (alt. Katie Sims)
- Employee Communications
  - Janelle Strohmeyer (alt. Irene Shapiro)
- Employee Volunteer Coordinator
  - Cyndee Whitney (alt. Roxanne Randolph)
- Legal Counsel
  - Don Del Rio (alt. Geoff Forgione)
- Information Technology
  - Bruce Hartwell (alt. Brooks Vogt)
- Risk Management
  - Bill Garret (alt. Don Del Rio)
- Passenger Services
  - Sherry Kelley (alt. Rachel Chaires)
- Safety
  - Fred Jackson (alt. Tracy Berge)
- Transportation
  - Gary Let tengarver (alt. Gail Davis)
- Security
  - Kevin Scroggins (alt. Larry Day)

Participation of primary Crisis Communications Team members in meetings, conference calls, etc. will depend on the nature and duration of the crisis. Primary Team members are expected to be on call 24-hours a day. If a primary team member knows they will not be reachable for any reason, or is going on

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1 Host for Level 3 secured conference line
2 Customer Engagement has established its own emergency response plan, protocols and specific roles and responsibilities for staff, consultants and contractors.
3 Safety, Security and Operations have established their own emergency response plans, protocols and specific roles and responsibilities for staff, consultants and contractors. As such, individual roles and responsibilities for Crisis Communications Team members representing these departments are not outlined in this plan.
4 Host for Level 3 staff secured conference line
vacation, it is incumbent upon them to designate an alternate, brief them on their responsibilities and inform fellow team members.

Others who may be called upon to assist in a crisis include:

- Chief Information Officer
- Other members of the Customer Engagement Department
- External crisis communications counsel
- Third-party experts

F. MEASUREMENT SYSTEM / LESSONS LEARNED

Metrolink will review incidents to provide lessons learned for areas of improvement.

- CFR 49 part 239 requires a debriefing for specific incidents
- Periodically, Metrolink will enlist the assistance of various external resources to assistance in improving the IRP process.

G. TRAINING

Provide security and management training in incident response

- INITIAL TRAINING
  IRP training is available for personnel involved in incident response.
- PERIODIC TRAINING
  Periodic table top and field drills are a part of IRP periodic training.
Issue

Beginning in June 2013, the Los Angeles County Metropolitan Transportation Authority (Metro) will begin the implementation of latching its gates. Under the transfer agreement with Metro, Metrolink will provide its EZ Pass customers transferring to Metro Rail with a TAP enabled limited use ticket (smart ticket) which will allow them to transfer through the TAP activated gates.

On November 16, 2012, the Metrolink Board approved plans to move forward with the development and testing of the smart tickets and to report back with its results. Staff has prepared a project update on its efforts to date.

Recommendation

The Board may receive and file this report.

Background

At the November 16, 2012 Board meeting, staff presented a TAP solution option to provide Metrolink customers a seamless transfer when Metro begins latching its gates. The Board approved and authorized the Chief Executive Officer to develop, test and implement a viable smart ticket that is TAP compatible with Metro gates and distributed through the Metrolink ticket vending machine (TVM) system.

In order to be TAP compliant by June 2013, staff has begun the development of laminated paper smart tickets that will support the current requirement for each of the four ticket types (one-way/round trip, 7-Day, Weekend & Monthly) on a limited use basis.

Two production runs of the smart tickets are scheduled. The first production run will test the compatibility of the smart tickets with the TVMs to determine the need to adjust the 6-slot multi-feeder along the print head within each of the TVMs. The first production run of smart tickets will not be encoded with the fare media on them. This run of tickets has been received.
The second production run of smart tickets will be encoded with the four types of fare media to evaluate and test their performance while being printed, dispensed and functionality with Metro’s TAP gate readers. These smart tickets will be lab tested as well as field tested for a period of 30 days. The delivery of this production run of tickets is scheduled for the middle of January 2013.

In conjunction with the development of the smart tickets test runs, staff will assemble a Demonstration Test Group who will participate in a pilot program to test the encoded tickets in a live environment. The results will be monitored, analyzed, and documented to determine whether or not the samples will perform in its intended environment.

A secondary function supporting the paper smart tickets will be the continual tracking, monitoring and reconciliation of the inventory to ensure its safe keeping. This process will be handled by the two vendors whose responsibility it is to maintain the TVM and service it when the revenue collection devices become full. This will ensure that Metrolink has full knowledge where their paper smart tickets are at every phase of their life cycle from production to use at the TAP gates.

Metrolink and Metro are working closely to coordinate a Communication Plan in order to provide a consistent, single focused message when relaying information to its transit customers, partner transportation agencies, and other targeted audiences. Metrolink will use this messaging to develop its Internal Communication Plan for its employee training, call center training and website updates and then focus on preparing an External Communication Plan in February 2013 in order to relay key information to its riders.

To date all tasks are on schedule as forecasted.

**Budget Impact**

The Board has approved $395,000 in the FY2012-13 budget for staff to develop, purchase and test the paper smart ticket stock samples and to provide the Board with a report of the testing results in March 2013.

Prepared by: Robert Turnaukas, Chief Administrative Officer
Issue

The Metrolink Holiday Toy Express® is the Southern California Regional Rail Authority’s (SCRRA’s) popular and extensive community outreach program which brings a festive special train to station cities through the service area. This report recaps the 16th season of the Holiday Toy Express®.

Recommendation

The Board may receive and file this report.

Background

For the past sixteen years the Metrolink Holiday Toy Express® has been an SCRRA tradition that has provided a showcase in the communities and is the agency’s most extensive community outreach program and receives significant media coverage. The ABC7 and Southland Firefighters “Spark of Love Toy Drive” collected toys at the stations throughout the five counties.

The program for the Metrolink Holiday Toy Express this year was as follows:

• The Holiday Toy Express® theme this year was The Joy of Giving and the show focused on celebrating teamwork. The program’s grand finale included an exciting twist where the “hip” elf and polar bear pick up the beat and teach Santa and the crowd to have a little bit of fun with upbeat Holiday tunes. Confetti cannons and snow (bubble snow) close each stop performance.

• The Metrolink toy train, decorated with festive lights and updated décor as in past years, stopped at a total of 42 stations (including Camp Pendleton and Los Angeles Union Station) over twelve nights. The weather cooperated this year and the show was performed at all stations.

• Preview and staff appreciation night was held on November 16 at Los Angeles Union Station and Chatsworth Station. Chairman on the Board, Richard Katz,
Metrolink’s Chief Executive Officer, Michael DePallo and Metro’s Executive Officer for Regional Rail, Don Sepulveda were in attendance and addressed the crowds and volunteers.

- Opening night was held at the San Bernardino Station. This station was chosen as their show was cancelled last year due to inclement weather.
- Station cities hosted a community event in correlation with the Holiday Toy Express.
- Santa and Mrs. Claus were included in the 8-member cast on the Metrolink Holiday Toy Express. In addition, staff members Katie Sims and Yena Jeon, dressed as elves enhanced the cast by performing the main dance in several stations during the tour.
- Metrolink and the station cities coordinated with ABC7/Spark of Love Toy Drive which encouraged the communities to bring a toy or stuffed animal for collection by local firefighters as part of the station festivities.
- Attendance numbers greatly exceeded last year’s in many of the station stops. The largest exceeding 1,000 attendees were Camp Pendleton, Rancho Cucamonga, San Clemente and Simi Valley among others. Camp Pendleton reported this crowd being the largest since the Metrolink Holiday Toy Express started visiting the Marines base in 2006.
- The crowds were addressed by Members of the Board, local elected officials, and representatives of the local fire departments and a Metrolink representative.

This year’s theme was very well received and many compliments were sent to Metrolink via social media and our website customer service form.

Media coverage was extensive and included TV News, print, radio and social media. See Attachment 1 ( postings as of 11/30/2012)

Photos of the events at each station can be found on our Metrolink Facebook page at Facebook.com/Metrolink.

**Budget Impact**

Funding for the Metrolink Holiday Toy Express is included in the FY2012-13 Operating budget. Estimated expenses are approximately $286,000 and $40,450 were secured through sponsorships to offset cost A final cost report will be presented to the board before the end of the third quarter of FY 2012-13.

Prepared by: Claudia Ziebell, Communications Manager
Mark Nitti, Director, Customer Engagement

MICHAEL P. DePALLO
Chief Executive Officer
ATTACHMENT 1

17. http://www.signalscv.com/section/36/article/81797/
18. http://www.youtube.com/watch?v=RgEiZoOQ7SE