AGENDA

PENINSULA CORRIDOR JOINT POWERS BOARD

Bacciocco Auditorium, 2nd Floor
1250 San Carlos Avenue, San Carlos CA 94070

October 3, 2019 – Thursday 9:00 am

1. Call to Order / Pledge of Allegiance
2. Roll Call
3. Public Comment For Items Not on the Agenda
   Comments by each individual speaker shall be limited to two (2) minutes. Items raised that require a response will be deferred for staff reply.
4. Overview of FASTER Bay Area – A Regional Funding Measure
   INFORMATIONAL
5. Consent Calendar
   Members of the Board may request that an item under the Consent Calendar be considered separately
   a. Approve Meeting Minutes of September 5, 2019
   b. Receive Key Caltrain Performance Statistics for August 2019
   c. Receive State and Federal Legislative Update
   INFORMATIONAL
   Approved by the Finance Committee:
   d. Accept Statement of Revenues and Expenditures for June and August
   e. Award of Contracts for On-Call Financial Consulting Services
   f. Award of Contracts for On-Call Environmental Planning, Permitting and Supporting Services
   g. Award of Contract to Xenconsult, Inc. DBA Xentrans for Broadband Wireless Communications Design and Support Services
   h. Reaffirm the Peninsula Corridor Joint Powers Board Investment Policy and Reauthorize Investment of Monies with the Local Agency Investment Fund
   RESOLUTION

Note: All items appearing on the agenda are subject to action by the Board. Staff recommendations are subject to change by the Board.
Approved by the Work Program – Legislative – Planning Committee:

- Authorize Response to San Mateo County Grand Jury Report on Grade Separation - Bypasses to Greater Safety
- Authorize Response to San Mateo County Grand Jury Report on “Just Missed It! Fixing SamTrans “Caltrain Connection”
- Receive San Jose Diridon Integrated Station Concept Plan Update

6. Report of the Chair


8. Report of the Finance Committee

9. Report of the Citizens Advisory Committee

10. Report of the Executive Director

   a. Peninsula Corridor Electrification Project Monthly Report for August 2019
   b. Monthly Report on Positive Train Control System

11. Adoption of the Caltrain Business Plan Long Range Service Vision

12. Correspondence

13. Board Member Requests

14. General Counsel Report

   a. Closed Session: Conference with Real Property Negotiators (Joan L. Casman, General Counsel, Brian Fitzpatrick and Gary Cardona, JPB Real Estate Staff) pursuant to Government Code Section 54956.8:

   Property Locations and Parties:
   4000 Campbell Avenue, Menlo Park, CA (APN: 055-253-120) (Owners: Julie Del Secco Forrest, Trustee of the 2000 Julie Del Secco Revocable Trust; Jonathon Del Secco; and Clayton R. and Carol Del Secco, Trustees of the Del Secco Revocable Trust, dated December 16, 1987, as amended)

   Under negotiation: Price and terms of contract.

15. Date/Time of Next Regular Meeting: Thursday, November 7, 2019 at 9:00 a.m. San Mateo County Transit District Administrative Building, 2nd Floor, 1250 San Carlos Avenue, San Carlos, CA 94070

16. Adjourn
INFORMATION FOR THE PUBLIC

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

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

Location, Date and Time of Regular Meetings

Regular meetings are held at the San Mateo County Transit District Administrative Building located at 1250 San Carlos Avenue, San Carlos, one block west of the San Carlos Caltrain Station on El Camino Real, accessible by SamTrans bus Routes ECR, FLX, 260, 295 and 398. Additional transit information can be obtained by calling 1.800.660.4287 or 511.

The JPB meets regularly on the first Thursday of the month at 9:00 a.m. The JPB Citizens Advisory Committee meets regularly on the third Wednesday of the month at 5:40 p.m. at the same location. Date, time and place may change as necessary.

Public Comment

If you wish to address the Board, please fill out a speaker’s card located on the agenda table and hand it to the JPB Secretary. If you have anything that you wish distributed to the Board and included for the official record, please hand it to the JPB Secretary, who will distribute the information to the Board members and staff.

Members of the public may address the Board on non-agendized items under the Public Comment item on the agenda. Public testimony by each individual speaker shall be limited to two minutes and items raised that require a response will be deferred for staff reply.

Accessibility for Individuals with Disabilities

Upon request, the JPB will provide for written agenda materials in appropriate alternative formats, or disability-related modification or accommodation, including auxiliary aids or services, to enable individuals with disabilities to participate in public meetings. Please send a written request, including your name, mailing address, phone number and brief description of the requested materials and a preferred alternative format or auxiliary aid or service at least two days before the meeting. Requests should be mailed to the JPB Secretary at Peninsula Corridor Joint Powers Board, 1250 San Carlos Avenue, San Carlos, CA 94070-1306; or e-mailed to board@caltrain.com; or by phone at 650.508.6242, or TDD 650.508.6448.

Availability of Public Records

All public records relating to an open session item on this agenda, which are not exempt from disclosure pursuant to the California Public Records Act, that are distributed to a majority of the legislative body will be available for public inspection at 1250 San Carlos Avenue, San Carlos, CA 94070-1306, at the same time that the public records are distributed or made available to the legislative body.

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

A Seamless Transportation System Based On:

Freedom
Affordability
Speed
Transparency
Equity
Reliability
The Bay Area is home to one of the most dynamic economies in the world.

However, the region's infrastructure is based on pre-1960's models unable to keep pace with population & economic growth.

Commute times are crippling the Bay Area economy and productivity, causing residents to lose 116 hours annually to their commute.
Key Public Opinion Research Findings

- Residents recognize the transportation challenges facing the region
- Voters are seeking a modern, reliable, and accessible transit system that connects the Bay Area
- Conceptual willingness to raise taxes for transportation investments is above two-thirds
- Differences in support between funding mechanisms are slight, and within the margin of error
- A regional measure is viable in the right environment; however, organized and funded opposition will likely result in defeat
FASTER Principles

- Prioritize the development and implementation of a true regional transit system

- Provide freedom of access, mobility, and a true alternative to driving alone

- Solve for existing barriers - including affordability, speed, reliability, and ability to access the system

- Support economic development: transit allows new areas for housing and business development throughout the 9 counties

- Reduce climate emissions and adapt to a changing environment
Leadership Group Vision

- Bay Area residents deserve a world-class, integrated, seamless transit system that connects and extends BART, Caltrain, the Altamont Commuter Express, SF Muni, VTA Light Rail, SMART, Amtrak, the Capitol Corridors, Ferries, Bikes and buses; to provide reliable, safe and efficient service for those who are transit dependent, and compelling enough to lure those of us who are current car commuters out of our automobiles.
Outreach Touch Points

Recurring Meetings
- Operators and County Transportation Agencies
- MTC
- Local Transportation Leaders and Stakeholders
- Business Leaders
- Equity and Transit Coalition
- Labor
- Environmental Groups

Public Outreach
- Outreach forums in fall 2019
- Board presentations
- Survey
Feedback from Outreach to Date

- Focus on transit
- Integrate public transit system into one fast, user-friendly system
- Regional express buses running on fast express lanes
- Discount fares
- Walk and bicycle access
- Use emerging mobilities to provide flexible transportation
- Funding for climate adaptation
Funding Mechanism

Based on our research, the **One Cent Sales Tax** generated substantial funding, has the flexibility to fund operations, is politically viable, and is a funding source that has historically garnered broad support for transportation investments in the Bay Area.

It is expected to generate **$100.6 billion over 40 years**.
Funding Mechanism

Pros

● Use of proceeds are not restricted and straightforward tax that voters understand
● The revenue is sufficient to fund a long-term strategic plan for capital improvements and operating budgets
● Bay Area employers contribute significantly in sales tax, with more than 35 percent of sales tax paid by businesses (roughly $550 million annually from this measure)
● Sales taxes are not paid on three big expenses: housing, health care and groceries

Cons

● Regressive
● Other sales taxes may go to the same ballot, though it is not clear what the impact would be
Process

- Develop FASTER Core Vision & Key Outcomes (Summer 2019)
- Develop Draft Framework for Proposed Funding Categories (September / October 2019)
- Develop Final FASTER Framework (November / December 2019)
- CA Legislature Considers FASTER Proposal (January 2020)
- MTC has Authority to Place Measure on Ballot (Late Spring / Summer 2020)
Next Steps

Exploring rebates, affordable fares, and other options to address regressivity

Defining longer-term vision as well as key projects that are shovel ready

Can you help us? We are looking for support with projects, programmatic ideas, and/or FASTER outreach?

Info@FASTERBayArea.org
Peninsula Corridor Joint Powers Board  
Board of Directors Meeting  
1250 San Carlos Avenue, San Carlos CA 94070  
MINUTES OF SEPTEMBER 5, 2019

MEMBERS PRESENT:  J. Bruins (arrived at 9:28 a.m.), C. Chavez, R. Collins, D. Davis, C. Stone, S. Walton, D. Pine (Vice Chair arrived at 9:07 a.m.), G. Gillett (Chair)

MEMBERS ABSENT:  C. Brinkman


CALL TO ORDER/PLEDGE OF ALLEGIANCE
Chair Gillian Gillett called the meeting to order at 9:03 a.m. Director Ron Collins led the Pledge of Allegiance.

ROLL CALL
District Secretary Dora Seamans called the roll and confirmed all present, with the exception of Director Bruins and Vice Chair Pine who were delayed. Director Cheryl Brinkman was absent.

PROCLAMATION DECLARING SEPTEMBER RAILROAD SAFETY AND SUICIDE PREVENTION MONTH
Tasha Bartholomew, Communications Officer announced the proclamation designating September as “Railroad Safety and Suicide Prevention Month”. Ms. Bartholomew noted that this reaffirms the JPB's commitment to provide safe and efficient train service between San Francisco and Gilroy, and an opportunity to highlight the promotion and advancement of safety on the right of way through enhanced safety measures and increased public awareness.

The Board adopted the Proclamation Declaring September as Railroad Safety and Suicide Prevention Month

Director Dave Pine arrived at 9:07 a.m.

PUBLIC COMMENT FOR ITEMS NOT ON THE AGENDA
No public comment.

CONSENT CALENDAR
a. Approved Meeting Minutes of August 1, 2019
b. Accepted Statements of Revenues and Expenditures for July 2019 and Receive Information on Statement of Revenues and Expenses for the Period Ended June 30, 2019
c. Received Key Caltrain Performance Statistics for July 2019

d. Received State and Federal Legislative Update

e. Received Capital Projects Quarterly Report 4th Quarter FY 2019

f. Resolution 2019-34 Approved Amendment to Rules of Procedure to Change Regular Meeting Start Time to 9:00 a.m.


h. Resolution 2019-30 Awarded Contract to ARINC, Inc. for Maintenance and Support of Train Control System

i. Resolution 2019-31 Authorized of Amendments to Contracts for Provision of On-Call Transportation Planning

j. Resolution 2019-33 Authorized Amendment to the Contract with Turbo Data Systems, Inc. for Fare Evasion Citation Processing Services

Item 5 (g) Adopt Overall Disadvantaged Business Enterprise Goal
The Board requested that staff provide a one year report out to the full Board on the status of the new efforts and changes to the new testing.

Motion/Second: Chavez/Walton
Ayes: Chavez, Collins, Davis, Stone, Walton, Pine, Gillett
Absent: Bruins, Brinkman
Noes: None

Public Comment
Roland Lebrun, San Jose, commented on the statement of revenue and expenditures and the capital project quarterly report.

REPORT OF THE CHAIR
Chair Gillett, provided a report on the Local Policy Making Group (LPMG) that met on August 22, highlights of the report was on the Caltrain electrification, Business Plan, Grade Separation, Union Pacific and the public comments.

REPORT OF THE NOMINATING COMMITTEE FOR THE CITIZENS ADVISORY COMMITTEE REPRESENTING SANTA CLARA COUNTY AND THE CITY AND COUNTY OF SAN FRANCISCO
Chair Gillett announced the appointment of Rosalind Kutler to represent San Francisco County.

Director Cindy Chavez announced that the Santa Clara County is not prepared to nominate a representative this month and requested to defer this item to the next Board meeting agenda.
REPORT OF THE CITIZENS ADVISORY COMMITTEE (CAC)
This item was heard out of order after the Report of the Executive Director at approximately 9:24 a.m. Brian Shaw, Chair of the Citizens Advisory Committee, (arrived at 9:24 a.m. due to an incident in San Francisco). Mr. Shaw reported on details of the recent CAC Committee meeting; highlights included the CAC vacancy, the public requested a better service from Millbrae transfer to BART, the amendment of the CAC bylaws to include alternate and the evaluation of the Go Pass program.

Director Jeannie Bruins arrived at 9:28 a.m.

REPORT OF THE EXECUTIVE DIRECTOR
This item was heard out of order prior to the Report of the Citizens Advisory Committee at approximately 9:16 a.m.

Monthly Report on Positive Train Control (PTC) System
Michelle Bouchard, Chief Operating Officer, Rail, (on behalf of the Executive Director Jim Hartnett who was not present at this Board meeting) provided a report; highlights included the Transit Week Bay Area celebration and the Caltrain Business Plan, which will be returned to the Board for formal adoption during the October Board meeting. Ms. Bouchard also noted that the Transbay Program report is in the reading file and included the Downtown Extension, San Francisco County TA (Transportation Authority) Peer Review update. Highlights of the TJPA report included the following: the July 1 re-opening of the Sales Force Center, on July 13 the San Francisco Municipal Transportation Agency (SFMTA) began running buses on the plaza, and on August 11 the AC Transit and other operators will resume bus service on the bus deck. She reported on upcoming meetings that will occur during the next few months; the Faster Bay Area proponents' presentation to the Board will be planned for the October meeting; discussions on the Business Plan will be a formal adoption of service vision in October; the Governance and Organization discussion will be a workshop to be scheduled possibly in November before Thanksgiving.

Peninsula Corridor Electrification Project (PCEP) Monthly Report for July 2019
John Funghi, CalMod Chief Officer, reported on the monthly progress on the Peninsula Corridor Electrification Project (PCEP), highlights of the report included the continued installation of foundations and poles, tunnel modification components, train testing at the Pueblo, Colorado Facility, and there will be a scheduled workshop (third party scheduler) on preliminary findings of the project.

Chair Gillett announced a PCEP Ad Hoc meeting and noted that Director Brinkman, Director Bruins and Director Collins agreed to be seated at this committee.

Public comment
Roland Lebrun, San Jose, commented on the Pueblo, Colorado Facility, PCEP and PTC.

Adina Levin, Friends of Caltrain, commented on Transit Week 2019 and podcast that would assist with transparency.
REPORT OF THE FINANCE COMMITTEE
Director Davis reported that the committee met and reviewed all the items under consent and recommended the adoption of the Fare Structure; she noted that staff will have a presentation on the Adoption of the Caltrain Fare Structure.

ADOPTION OF THE CALTRAIN FARE STRUCTURE (FORMERLY THE CODIFIED TARIFF), ADOPTION OF FINDINGS FOR A STATUTORY EXEMPTION UNDER CEQA AND APPROVAL OF ASSOCIATED TITLE VI EQUITY ANALYSIS
Derek Hansel, Chief Financial Officer, provided a report on the proposed changes; highlights included the public comment process, Means-Based Fare Pilot Program, the timeline; the final proposed fare changes as listed below:

GoPass
- Price of the GoPass to increase by 20%, effective January 1, 2020.
- 5% increase every two years on January 1, starting in 2022.
- Policy goal-1) Strive for consistency across fare products in the revenue generated per passenger and per passenger mile. 2) Maintain fare products and collection methods that are cost-effective and easy for the agency to administer.

Clipper
- Clipper discounts for one-way fares to be reduced from $0.55 to $0.25 on April 1, 2020, with corresponding changes to monthly passes
- Policy Goal-1) Ensure the agency’s ongoing financial health, including the need for a balanced Operating Budget and support for State of Good Repair and capital programs. 2) Strive for consistency across fare products in the revenue generated per passenger and per passenger mile.

One-Way/Day Pass/Monthly Pass
- Incremental fare increases every two years
- $.50 increase to the base fare scheduled for July of 2020
- $.25 increase to the zone fare scheduled for July of 2022
- $.50 increase to the base fare scheduled for July of 2024
- Policy goal- Provide predictable and incremental fare changes.

Director Shamann Walton questioned the Clipper Card amount usage and the effect on low income rider users; staff to follow up and provide information.

Public Comment
Roland Lebrun, San Jose, commented on means based fare and Go Pass.

Adina Levin, Friends of Caltrain, commented on one way ticket, prices, expansion of Go Pass and Title VI.

Jeff Carter, Millbrae, commented on Go Pass, fare study and Codified Tariff.
The Board requested that staff continue to provide a report to the Board and the Finance Committee on the Fare Study; recommended that the Work-Program-Legislative-Planning committee consider customer experience related to the Fare Study policy.

The Board members had a robust discussion and staff provided further clarification in response to the Board comments and questions. The presentation can be found on the Caltrain website link provided here: [http://www.caltrain.com/Assets/__Agendas+and+Minutes/JPB/2019/2019-09-05+JPB+Presentation+Proposed+Fare.pdf](http://www.caltrain.com/Assets/__Agendas+and+Minutes/JPB/2019/2019-09-05+JPB+Presentation+Proposed+Fare.pdf)

Resolution 2019-32
Motion/Second: Davis/Chavez
Ayes: Bruins, Chavez, Collins, Davis, Stone, Walton, Pine, Gillett
Absent: Brinkman
Noes: None

**AUTHORIZE SUBMISSION OF THE CALTRAIN REGIONAL TRANSPORTATION PLAN (RTP) PROJECT LIST TO THE METROPOLITAN TRANSPORTATION COMMISSION (MTC)**
Melissa Jones, Principal Planner provided a report; highlights of the report included information that MTC is in the process of preparing Plan Bay Area 2050, an update to the San Francisco Bay Area’s nine-county RTP and Sustainable Communities Strategy. Plan Bay Area 2050 would be used to set a roadmap for future transportation investments. She noted that in the request to adopt the authorizing resolution, staff would finalize the submission of the JPB RTP project list to MTC and submission of the list of projects would ensure that JPB continues to be included in MTC’s RTP development process, which is anticipated to be completed by 2021.

Staff provided further clarification in response to the Board comments and questions. The presentation can be found on the Caltrain website link provided here: [http://www.caltrain.com/Assets/__Agendas+and+Minutes/JPB/2019/2019-09-05+JPB+Presentation+MTC.pdf](http://www.caltrain.com/Assets/__Agendas+and+Minutes/JPB/2019/2019-09-05+JPB+Presentation+MTC.pdf)

Motion/Second: Chavez/Davis
Ayes: Bruins, Chavez, Collins, Davis, Stone, Walton, Pine, Gillett
Absent: Brinkman
Noes: None

**Public Comment**
Adina Levin, Friends of Caltrain commented on public transportation, capital funding and revenue resources.

Roland Lebrun, San Jose commented on MTC and the Business Plan.
CONTINUATION FROM AUGUST 1, 2019 (ITEM 9A) BOARD OF DIRECTORS MEETING:
CALTRAIN BUSINESS PLAN UPDATE - DRAFT RECOMMENDED LONG RANGE SERVICE VISION

Sebastian Petty, Director of Policy Development provided a report; highlights of the reports included the recommended Long Range Service Vision that would be refined based on input received from the Board, and through a variety of stakeholder and public outreach activities to be conducted in August and September. He also noted that based on comments received, staff plans to return to the Board in October to present a refined Service Vision for potential adoption.

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

Public comment
Leslie Low, commented on the plans and development, transparency, outreach, policy and funding,

Roland Lebrun, San Jose, commented on the Brown Act, and the funding on the managing agencies.

Jeff Carter, Millbrae, commended staff on the plan, growth scenario and maintaining flexibility for passing tracks.

Adina Levin, Friends of Caltrain commented on the service vision, governance, organizational requirements, attorneys and delivering mega projects.

Vaughn Wollfe, Pleasanton, commented on service vision.

2019 ANNUAL PASSENGER COUNT PRESENTATION
Yu Hanakura, Senior Planner provided a report on the 2019 Annual Passenger Count; highlights included the purpose of the annual count, count methodology, 2019 challenges and count results.

Staff provided further clarification in response to the Board comments and questions. The presentation can be found on the Caltrain website link provided here:

Director Chavez left the meeting at 12:05 p.m.

Public Comment
Jeff Carter, Millbrae, commented that the data is incomplete.
Roland Lebrun, San Jose, commented on the data, conclusion to business plan and page 8 of the slide presentation.

CORRESPONDENCE
Roland Lebrun, San Jose, commented on the voluminous correspondence packet and requested it be organized by the topic in the packet.

BOARD MEMBER REQUESTS
Director Davis requested that staff organize the Correspondence packet based on each item and topic.

Director Shamann Walton requested that staff provide the Board clarity on the process on how to request items to be added on the agenda. Director Walton also requested the request to consider a resolution to undertake procurement of general counsel and legal advisory services be re-agendized on the November Board agenda.

Director Ron Collins suggested considering a form of text message riders can use to alert security on public safety concerns on the Caltrain.

Director Stone requested an agenda item to eliminate SamTrans’ financial contribution on the Gilroy service and also requested to add an item to discuss all three member agencies’ financial condition.

DATE/TIME OF NEXT REGULAR MEETING:  THURSDAY, OCTOBER 3, 2019 AT 9:00 A.M.
SAN MATEO COUNTY TRANSIT DISTRICT ADMINISTRATIVE BUILDING, 2ND FLOOR, 1250 SAN CARLOS AVENUE, SAN CARLOS, CA  94070

Chair Gillett announced that the next meeting would be held on Thursday, October 3, 2019 at 9 a.m.

ADJOURN
The meeting was adjoumed at 12:20 p.m.

An audio/video recording of this meeting is available online at www.caltrain.com. Questions may be referred to the Board Secretary’s office by phone at 650.508.6279 or by email to board@caltrain.com.
TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Michelle Bouchard
Chief Operating Officer, Rail

SUBJECT: KEY CALTRAIN PERFORMANCE STATISTICS – AUGUST 2019

ACTION
Staff Coordinating Council recommends that the Board receive the Performance Statistics Report for August 2019.

SIGNIFICANCE
Staff will provide monthly updates to Key Caltrain Performance Statistics, Caltrain Shuttle Ridership, Caltrain Promotions, Special Event Updates, Digital Metrics, Social Media Analytics and News Report Coverage.

BUDGET IMPACT
There is no budget impact.

MONTHLY UPDATE
In August 2019, Caltrain’s Average Weekday Ridership (AWR) increased by 1.4 percent to 71,557 from calibrated August 2018 AWR of 70,547. The total number of passengers who rode Caltrain in August 2019 decreased by 1.7 percent to 1,703,334 from 1,732,401 calibrated August 2018 ridership.

This month ticket sales increased from August 2018 for:
- One Way tickets: 2.6 percent
- ED One Way tickets: 4.1 percent

This month ticket sales decreased from August 2018 for:
- Day Passes: 7.2 percent
- ED Day Passes: 9.8 percent
- Monthly Passes: 5 percent
- ED Monthly Passes: 3.1 percent

Caltrain Mobile Ticketing (which includes One Way, ED One Way, Day Pass, ED Day Pass, Zone Upgrades and Joint Caltrain + VTA Day Pass purchases) accounted for approximately 2.8 percent (48,522 rides) of August 2019 rides and 7.8 percent ($706,952) of August 2019 Monthly Ticket Sales Revenue. The number of Eligible Go Pass
Employees increased 8.3 percent to 86,807 from 80,172 from August 2018. The number of participating Go Pass Companies increased to 131 from 130 from August 2018. Farebox Revenue decreased by 0.7 percent to $9,004,368 from $9,069,681 in August 2018.

On-time performance (OTP) for August 2019 was 93.8 percent compared to 93 percent OTP for August 2018. In August 2019, there were 719 minutes of delay due to mechanical issues compared to 669 minutes in August 2018.

Looking at customer service statistics, there were 7 complaints per 100,000 passengers in August 2019 which decreased from 9.3 in August 2018.

Shuttle ridership for August 2019 increased 7.7 percent from August 2018. For station shuttles:
- Millbrae-Broadway shuttle: 199 average daily riders
- Weekend Tamien-San Jose shuttle: 28 average daily riders

When the Marguerite shuttle ridership is removed, the impact to ridership was a decrease of 5.4 percent. Due to ongoing service issues with the Shuttle Contractor (MV Transportation) as a result of staffing shortage, there were a total of 841 DNOs (Did Not Operate) trips for Caltrain shuttles in August 2019. Although DNOs have decreased in recent months for Caltrain, there are still service loses beyond previously implemented service reductions and suspensions to match available operator counts. The Menlo Park Midday Shuttle, one of the two Twin Dolphin and one of the two Belle Haven vehicles remain temporarily discontinued. Effective October 1, 2019 the Belmont-Hillsdale Shuttle will return to service.

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<td>Average Weekday Caltrain Shuttle Ridership</td>
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* = Items revised due to calibration to the ridership model
*Go Passes tracked by Monthly Number of Eligible Employees (not by Sales)
Caltrain Promotions - August 2019

Stanford Football - Stanford Football Red Zone is back! The Cardinals hosted their first home game on August 31. This season, Caltrain has scheduled select weekend trains to serve Stanford Stadium Station on game days. Stanford Football service was promoted through paid geo-targeted display ads on premier sports websites & college sports pages, Facebook/Instagram click-to-web ads and Google Search Keyword ads. Communication included social media messaging, Caltrain’s Special Events website listing and a news release. To further encourage game day transit ridership, Stanford will send an e-mail blast to all season ticket holders before each home game and post on their social media channels. Stanford Football printed take-ones and interior ad cards, which were posted onboard trains.

Rolling Stones at Levi’s Stadium - On Sunday, August 18, the Rolling Stones performed at Levi’s Stadium. Special Caltrain service to the event included an additional post-concert northbound train times with connecting VTA service at the Mountain View Station to accommodate the concert crowds. Caltrain service was promoted through social media messaging, the Caltrain Special Events webpage and a news release. Caltrain carried 724 riders to and from the concert.

Caltrain Digital Metrics - AUG 2019

New Followers
+500
Aug 19 - 179,858
Jul 19 - 179,358
Aug 18 - 173,982

Caltrain.com Sessions
Aug 19 - 980,432
Jul 19 - 954,035
Aug 18 - 916,197

Monthly Yelp & FB Rating
(5 Aug reviews: 2.4/5)

Top Tagged Issues
1. Delay (255)
2. Bikes (134)
3. Capacity (36)
4. CalMod (33)
5. Conductor Complaint (23)

Social Engagement
Video Views
214,535 (Jul - 171,445)

Content Impressions
2,991,319 (Jul - 3.0M)

Interactions
29,695 (Jul - 38,744)

@caltrain, @gocaltrain  @gocaltrain  @caltrain
Twitter Impression Spikes
August, 2019

Your Tweets earned 2.7M impressions over this 31 day period

Aug 16
#SB190 Vehicle Strike
449 Incident Delay Mins
174 Onboard Passengers
784 Total Delay Mins

Aug 29
#NB268 Trespasser Strike
3 Incident Delay Mins
212 On Board Passengers
292 Total Delay Mins

Impressions sometimes appear the day after an incident as Twitter users view the post the next day.

Caltrain News Coverage Report – August 2019

Pedestrian strike; Rolling Stones special event service

Transit Police & Project 529 bike registration partnership coverage

Regional 2020 Transit Ballot Measure

San Bruno grade separation mtg.

Pedestrian strike

Vehicle strike

Total # of articles: 123 (compared to 184 in July)

Prepared by:
Patrice Givens, Data Specialist 650.508.6347
James Namba, Marketing Specialist 650.508.7924
Jeremy Lipps, Social Media Officer 650.622.7845
TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Seamus Murphy
Chief Communications Officer

SUBJECT: STATE AND FEDERAL LEGISLATIVE UPDATE

ACTION
Staff Coordinating Council recommends the Board receives the attached memos.
Staff will provide regular updates to the Board in accordance with Legislative Program.

SIGNIFICANCE
The 2019 Legislative Program establishes the principles that will guide the legislative and regulatory advocacy efforts. Based on those principles, staff coordinates closely with our Federal and State advocates on a wide variety of issues that are considered in Congress and the State legislature. The attached reports highlight the recent issues and actions that are relevant to the Board.

Prepared By: Casey Fromson, Government and Community Affairs Director

650-508-6493
September 16, 2019

TO: Peninsula Corridor Joint Powers Board Members

FROM: Mike Robson and Trent Smith, Edelstein Gilbert Robson & Smith, LLC
       Joshua W. Shaw and Matt Robinson, Shaw / Yoder / Antwih, Inc.

RE: STATE LEGISLATIVE UPDATE – September 2019

Overview

The Legislature adjourned on September 13, marking the end of the first half of the two-year session. The Governor now has until October 13 to sign or veto the bills on his desk.

The Legislature will reconvene for the second year of session on January 6, where legislators will introduce new bills and continue to work on the remaining two-year bills. Until then, the legislators will work out of their districts for much of the interim recess.

Legislation

SB 5 (Beall) – Affordable Housing. This bill establishes the Affordable Housing and Community Development Investment Program, which would allow local entities to submit plans for affordable housing and infrastructure projects. The program would grant $200 million for projects in the first year and increase this amount by $200 million each year for five years. For the next four years after this, the program can grant increases of $250 million per year for four more years. In total, the program can fund $2 billion in projects over nine years.

The bill requires that 50% of funding is used for the construction of affordable housing. The funds would be prohibited from subsidizing units sold for market rate. Each plan submitted by local entities must dedicate at least 30 percent of housing units to be affordable, and to remain affordable for a minimum of 55 years.

The bill’s most recent amendments clarify the factors the committee will use to select local plans to approve as well as specify committee actions when an applicant is out of compliance with the program.

The bill passed out of the Senate 31-4 and the Assembly 55-19. It will head to the Governor’s desk after completing the enrollment process.
**AB 752 (Gabriel) – Train Station Lactation Rooms.** This bill requires new or renovated multimodal transit stations to include a lactation room if the construction begins after January 1, 2019. According to the author, the bill addresses a fundamental inequity for women who travel by rail or bus by ensuring that new or renovated transit stations provide a safe and adequate lactation space.

The author’s office has indicated that the bill is intended to only apply to the largest transit stations. Along with the 10 major stations outlined in our previous update, the bill defines “multimodal train stations” as rail stations that meet the all of the following criteria: 1) support the operation of intercity rail service outlined in the Government Code, 2) is or is planned to be served by California’s high-speed rail system, 3) serve as a stop or transfer point between intercity or high-speed rail and local or regional rail or bus service, 4) have a publicly accessible indoor area of no less than 5,000 square feet including public restroom, and 5) have staff onsite during operating hours.

The ACLU, the American College Obstetricians and Gynecologists and the CA Breastfeeding Coalition, among others, are in support. There is no registered opposition.

The bill passed unanimously out of all policy and fiscal committees it was heard in, and the Floors of each house. It is awaiting action by the Governor.

**AB 1486 (Ting) Surplus Lands Act.** AB 1486 expands the existing Surplus Lands Act (SLA) to include a broader swath of local agencies – mainly most all special districts and joint powers authorities. Previously the Act applied to SamTrans, but under this revision it would apply to the Caltrain JPB and the Transportation Authority as well.

The SLA requires a city/county/district, when disposing of surplus property it holds title to, to first offer it to, and negotiate in good faith with, affordable housing developers. The bill would define surplus land as land owned by a local agency, for which the local agency’s governing body takes formal action, in a regular public meeting, declaring that the land is surplus and seeks to dispose of the land.

The land being disposed of must be not necessary for the agency’s use, which the bill defines. The definition of “use” includes land that is being used or is planned to be used for the express purpose of agency work or operations, including utility sites, watershed property, land being used for conservation purposes, land for demonstration, exhibition, or educational purposes related to greenhouse gas emissions, and buffer sites near sensitive governmental uses. Additionally, language was added at the urging of SamTrans to include in the definition of “use” any land that is planned to be used pursuant to a written plan adopted by the local agency’s governing board (e.g. the Caltrain Business Plan). “Use” does not include solely commercial uses, including nongovernmental retail, entertainment, or office development. Property held or disposed of for the sole purpose of investment or generation of revenue shall not be considered necessary for the agency’s use.
While leases were not addressed specifically in AB 1486 this year, we expect lease provisions could be clarified by the author’s office in a future bill as there remains a great deal of ambiguity.

The bill passed out of the Senate 28-12 and the Assembly 60-17. It will now be considered by the Governor.

**Grade Separation Funding**

Below is a list of the funding sources that we are aware of and/or that have been used to fund grade separations in the recent years. The funding sources below are managed across various state agencies and departments, including the Public Utilities Commission (PUC), the California State Transportation Agency (CalSTA), the California Transportation Commission (CTC), and Caltrans.

**PUC Section 190 Grade Separation Program** – The Program is a state funding program to grade separate crossings between roadways and railroad tracks and provides approximately $15 million annually, transferred from Caltrans. Agencies apply to the PUC for project funding.

**State Transportation Improvement Program** – The STIP, managed by Caltrans and programmed by the CTC, is primarily used to fund highway expansion projects throughout the state, but also supports grade separations. The STIP is programmed every two years (currently the 2018 STIP added $2.2 billion in new funding). Local agencies receive a share of STIP funding, as does the State. The STIP is funded with gasoline excise tax revenues.

**Transit and Intercity Rail Capital Program** – The TIRCP is managed by CalSTA and is available to fund rail and transit projects that reduce greenhouse gas emissions. The program receives funding from Cap and Trade and the recently created Transportation Improvement Fee to the tune of approximately $500 million per year. The TIRCP is programmed over 5 years, with the most recent cycle beginning in May 2018. Caltrain received $160 million for the CalMod project.

**Proposition 1A** – This $9.9 billion Bond Act is the primary funding source for the high-speed rail project and has been used to fund a very limited number of grade separation projects in the past, including in the City of San Mateo.
FY 2020 Appropriations

Prior to departing for a five-week recess in August, the Senate and House passed a $2.7 trillion budget agreement to suspend the debt ceiling through 2021 and increase federal spending. The agreed to appropriations cap includes an increase totaling $320 billion over two years. For nondefense programs, the agreement will provide an increase of $78.3 billion in FY 2020 and $70.4 billion in FY 2021, including sustained funding for key Department of Transportation (DOT) programs. The deal would also suspend the nation’s borrowing limit until July 31, 2021. Poison pills or new policy riders are not allowed in appropriations bills unless agreed to on a bipartisan basis with approval from the Administration/White House, the Speaker of the House, and the Senate Majority Leader.

Federal funding runs out on September 30. The House has passed 10 of the 12 spending measures for FY 2020 (including Transportation/HUD), holding back on two remaining appropriations measures – Homeland Security and Legislative Branch – because of contentious issues within the bills.

During the August recess, the Senate Appropriations Committee staff worked on drafting the Senate FY 2020 appropriations bills. On September 12, the Senate Appropriations Committee approved the FY2020 Department of Defense and Energy and Water spending bills. On September 17, the Transportation, Housing and Urban Development, and Related Agencies (THUD) Appropriations Subcommittee passed the FY 2020 Transportation-HUD Appropriations bill. The Senate Appropriations Committee will consider the bill on September 19. Details are below in the next section.

With only nine working days left to pass the remaining FY2020 spending bills, this week, House Democrats plan to pass a CR to provide funding for the federal agencies to avert a government shutdown before federal funding expires on September 30. The draft House CR would provide federal funding through November 21.

**Senate FY 2020 Transportation/HUD Appropriations:** On September 17, the THUD Appropriations Subcommittee unanimously passed its FY2020 appropriations bill, and on September 19, the Senate Appropriations Committee passed the bill. The $74.3 billion spending measure provides appropriations for Department of Transportation, Department of Housing and Urban Development, and related agencies. The bill is $3.2 billion above FY 2019 enacted levels/current funding. The bill provides $86.6 billion for the DOT, which is $167 million above current funding. The bill includes the following language on rail grade crossings:
“In 2017, there were more than 2,100 crashes, resulting in 273 fatalities, at highway-rail grade crossings. While Federal investment in grade crossing safety improvement has noticeably reduced the historical number of deaths and injuries at these crossings, the number of accidents has remained relatively static since 2009. FHWA's Railway-Highway Crossings Program is the primary Federal funding source for states to address safety issues at these crossings. In a recent report, the Government Accountability Office found that it was unclear whether that program remains effective in continuing to reduce the risk of crashes or fatalities at grade crossings. The Committee directs FHWA to conduct an evaluation of this program in order to identify challenges that could allow States to more strategically address problem areas.

This evaluation should include: a comprehensive assessment of nationwide crash trends over multiple years in order to determine why crashes are continuing and what types of projects would be effective in eliminating those crashes; a re-examination of eligibility requirements that limit the flexibility of States to consider other types of projects, including research into and demonstrations of new types of pavement markings at grade crossings to improve driver behavior, as well as technology that would enable crossing infrastructure to communicate wirelessly with vehicles or mobile devices; and recommendations of any needed statutory changes to improve the program's effectiveness in reducing crashes and fatalities. The Committee directs the Department to produce a report summarizing the results of this evaluation within 1 year of enactment of this act.”

Below is a short summary of the funding in the bill. Additional details are attached to the report.

- **BUILD Grants:** $1 billion
- **Highways:** $46.3 billion for the Federal-aid Highways Program, consistent with the FAST Act. The bill also includes $2.7 billion in discretionary appropriations for highway programs (from the Treasury vs. Highway Trust Fund), of which $1.25 billion is for the Surface Transportation Block Grant funds and for the elimination of hazards at railway-highway grade crossings, and $1.25 billion is for bridge repairs in small states with high rates of bridges not in good condition.
- **Rail:** $2.8 billion for the Federal Railroad Administration (FRA) which includes $255 million for the Consolidated Rail Infrastructure and Safety Improvement (CRISI) grants program.
- **Transit:** $13.0 billion for the Federal Transit Administration (FTA) including $10.1 billion for transit formula grants, consistent with the FAST Act. The bill also includes $560 million for transit infrastructure grants (from the Treasury vs. Highway Trust Fund). The bill provides $1.978 billion for Capital Investment Grants (CIG), fully funding all current Full Funding Grant Agreement (FFGA) transit projects, as well as new projects that have met the criteria of the CIG program.
## TRANSPORTATION
### FY 2020 FEDERAL FUNDING PRIORITIES

<table>
<thead>
<tr>
<th>TRANSPORTATION, HUD, AND RELATED AGENCIES</th>
<th>FY 2019 Enacted</th>
<th>FY 2020 President's Request</th>
<th>FY 2020 House</th>
<th>FY 2020 Senate</th>
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<td><strong>BUILD</strong></td>
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<td>• Planning Grants</td>
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<td><strong>Federal-Aid Highways</strong> (FAST Act levels)</td>
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<td>• Highway Infrastructure** (funded from General Fund rather than HTF)</td>
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<td><strong>National Highway Traffic Safety Administration (NHTSA)</strong></td>
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<td>• Highway Traffic Safety Grants</td>
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<td>• Amtrak – Northeast Corridor</td>
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<td>• Amtrak – National Network</td>
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<td>• Magnetic Levitation Technology Deployment (MAGLEV) Program</td>
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<td>• Federal-State Partnership for State of Good Repair</td>
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<td>• Consolidated Rail Infrastructure Safety Grants</td>
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<td>• Transit Formula Grants** (FAST Act levels)</td>
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<td>• Transit Infrastructure (funded from Treasury rather than HTF)</td>
<td>$700 M</td>
<td>$500 M</td>
<td>$752 M</td>
<td>$560 M</td>
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House Hearing on Congestion Pricing: On September 12, the House Transportation and Infrastructure Committee’s Subcommittee on Highways and Transit held a hearing titled “Pricing and Technology Strategies to Address Congestion on and Financing of America’s Roads” to discuss the need for improved infrastructure processes to deal with traffic congestion, and what funding methods are viable to pay for it. The witnesses were:

- **The Honorable Oliver Gilbert III** - Mayor, City of Miami Gardens, Chairman, Miami-Dade Transportation Planning Organization
- **Mr. Travis Brouwer** - Assistant Director for Public Affairs, Oregon Department of Transportation
- **Ms. Tilly Chang** - Executive Director, San Francisco County Transportation Authority, on behalf of the Intelligent Transportation Society of America
- **Mr. Darren D. Hawkins** - President and Chief Executive Officer, YRC Worldwide Inc., on behalf of the American Trucking Association
- **Mr. Timothy J. Lomax, Ph.D.** - Regents Fellow, Texas A&M Transportation Institute
- **Mr. Marc Scribner** - Senior Fellow, Competitive Enterprise Institute

Most members in attendance were critical of congestion pricing. Nearly all members agreed that the rates associated with tolls and other pricing mechanisms need to be adjusted based on the area, especially in states with extremely high toll costs, such as New York, Florida, and D.C. House Transportation and Infrastructure Committee Chairman Peter DeFazio (D-OR) said he was “disturbed by the obsession with tolling and congestion pricing” and was frustrated the discussion did not focus more on raising the gas tax.

Tilly Chang, with the San Francisco County Transportation Authority, explained to the subcommittee that her city has had great success with congestion pricing in the downtown area. She reported that pricing had multiple benefits, such as 12% fewer rush hour trips, 20% faster bus speeds, 16% lower emissions, and $80 million dollars a year generated for the government. Ms. Chang endorsed DOT’s Value Pricing Program as a good start towards helping fix this issue.

Darren Hawkins, with the American Trucking Association, stated that the trucking industry does not oppose toll financing on new lanes, nor the conversion of carpool lanes to HOT lanes. Travis Brouwer, with the Oregon Department of Transportation, testified that their state legislature...
understands “they can’t build their way out of congestion” and has required the state to develop options where tolling might be effective.

**FHWA Apportions $3.972 Billion to States:** The Federal Highway Administration (FHWA) has provided $3.972 billion in highway funding authority to state DOTs for FY 2019, which they must obligate by September 30. The state of California received $330.5 million.
### Bill Number (Author)

<table>
<thead>
<tr>
<th>Bill Number (Author)</th>
<th>Summary</th>
<th>Location</th>
<th>Position</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>AB 5</strong> (Gonzalez D)</td>
<td>Existing law, as established in the case of Dynamex Operations West, Inc. v. Superior Court of Los Angeles (2018) 4 Cal.5th 903 (Dynamex), creates a presumption that a worker who performs services for a hirer is an employee for purposes of claims for wages and benefits arising under wage orders issued by the Industrial Welfare Commission. Existing law requires a 3-part test, commonly known as the “ABC” test, to establish that a worker is an independent contractor for those purposes. This bill would state the intent of the Legislature to codify the decision in the Dynamex case and clarify its application. The bill would provide that for purposes of the provisions of the Labor Code, the Unemployment Insurance Code, and the wage orders of the Industrial Welfare Commission, a person providing labor or services for remuneration shall be considered an employee rather than an independent contractor unless the hiring entity demonstrates that the person is free from the control and direction of the hiring entity in connection with the performance of the work, the person performs work that is outside the usual course of the hiring entity’s business, and the person is customarily engaged in an independently established trade, occupation or business. The bill, notwithstanding this provision, would provide that any statutory exception from employment status or any extension of employer status or liability remains in effect, and that if a court rules that the 3-part test cannot be applied, then the determination of employee or independent contractor status shall be governed by the test adopted in S. G. Borello &amp; Sons, Inc. v. Department of Industrial Relations (1989) 48 Cal.3d 341 (Borello). The bill would exempt specified occupations from the application of Dynamex, and instead provide that these occupations are governed by Borello. These exempt occupations would include, among others, licensed insurance agents, certain licensed health care professionals, registered securities broker-dealers or investment advisers, direct sales salespersons, real estate licensees, commercial fishermen, workers providing licensed barber or cosmetology services, and others performing work under a contract for professional services, with another business entity, or pursuant to a subcontract in the construction industry. This bill contains other related provisions and other existing laws.</td>
<td>Signed by Governor</td>
<td>Watch</td>
</tr>
<tr>
<td><strong>AB 11</strong> (Chiu D)</td>
<td>(1) The California Constitution, with respect to any taxes levied on taxable property in a redevelopment project established under the Community Redevelopment Law, as it then read or may be amended, authorizes the Legislature to provide for the division of those taxes under a redevelopment plan between the taxing agencies and the redevelopment agency, as provided. This bill, the Community Redevelopment Law of 2019, would authorize a city or county, or two or more cities acting jointly, to propose the formation of an affordable housing and infrastructure agency by adoption of a resolution of intention that meets specified requirements, including that the resolution of intention include a passthrough provision and an override passthrough provision, as defined. The bill would require the city or county to submit</td>
<td>2-Year bill</td>
<td>Watch</td>
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**Caltrain**

*State Legislative Matrix 9/23/2019*
that resolution to each affected taxing entity and would authorize an entity that receives that resolution to elect to not receive a passthrough payment, as provided. The bill would require the city or county that adopted that resolution to hold a public hearing on the proposal to consider all written and oral objections to the formation, as well as any recommendations of the affected taxing entities, and would authorize that city or county to adopt a resolution of formation at the conclusion of that hearing. The bill would then require that city or county to submit the resolution of intention to the Strategic Growth Council for a determination as to whether the agency would promote statewide greenhouse gas reduction goals. The bill would require the council to approve formation of the agency if it determines that formation of the agency both (1) would not result in a state fiscal impact, determined as specified by the Controller, that exceeds a specified amount and (2) would promote statewide greenhouse gas reduction goals. The bill would deem an agency to be in existence as of the date of the council’s approval. The bill would require the council to establish a program to provide technical assistance to a city or county desiring to form an agency pursuant to these provisions. This bill contains other related provisions and other existing laws.

Amended: 4/11/2019

**AB 145 (Frazier D)**

High-Speed Rail Authority: Senate confirmation.

Existing law creates the High-Speed Rail Authority with specified powers and duties relative to development and implementation of a high-speed train system. The authority is composed of 11 members, including 5 voting members appointed by the Governor, 4 voting members appointed by the Legislature, and 2 nonvoting legislative members. This bill would provide that the members of the authority appointed by the Governor are subject to appointment with the advice and consent of the Senate.

Introduced: 12/13/2018

**AB 553 (Melendez R)**

High-speed rail bonds: housing.

The California High-Speed Rail Act creates the High-Speed Rail Authority to develop and implement a high-speed rail system in the state. The Safe, Reliable High-Speed Passenger Train Bond Act for the 21st Century, approved by the voters as Proposition 1A at the November 4, 2008, general election, provides for the issuance of $9 billion in general obligation bonds for high-speed rail purposes and $950 million for other related rail purposes. Article XVI of the California Constitution requires measures authorizing general obligation bonds to specify the single object or work to be funded by the bonds and further requires a bond act to be approved by a 2/3 vote of each house of the Legislature and a majority of the voters. This bill would provide that no further bonds shall be sold for high-speed rail purposes pursuant to the Safe, Reliable High-Speed Passenger Train Bond Act for the 21st Century, except as specifically provided with respect to an existing appropriation for high-speed rail purposes for early improvement projects in the Phase I blended system. The bill, subject to the above exception, would require redirection of the unspent proceeds received from outstanding bonds issued and sold for other high-speed rail purposes before the effective date of these provisions, upon appropriation, for use in retiring the debt incurred from the issuance and sale of those outstanding bonds. The bill, subject to the above exception, would also require the net proceeds of other bonds subsequently issued and sold under the high-speed rail portion of the bond act to be made available, upon appropriation, to the Department of Housing and Community Development’s Multifamily Housing Program. The bill would make no changes to the authorization under the bond act for issuance of $950 million for rail purposes other than high-speed rail. These provisions would become effective only upon approval by the voters at the next statewide general election. This bill contains other related provisions.

Amended: 3/13/2019

2-Year bill

Watch Closely

2-Year bill

Watch Closely
<table>
<thead>
<tr>
<th>Bill Number</th>
<th>Sponsor</th>
<th>Bill Title</th>
<th>Text</th>
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<tr>
<td>AB 752</td>
<td>Gabriel D</td>
<td>Public transit: transit stations: lactation rooms.</td>
<td>Existing law requires the airport manager of an airport operated by a city, county, city and county, or airport district that conducts commercial operations and that has more than one million enplanements a year, or upon new terminal construction or the replacement, expansion, or renovation of an existing terminal, to provide a room or other location at each airport terminal behind the airport security screening area for members of the public to express breast milk in private. This bill would require specific multimodal transit stations, and multimodal transit stations that meet certain criteria, that begin construction or a renovation on or after January 1, 2021, to include a lactation room. To the extent the bill imposes additional duties on a local agency, the bill would impose a state-mandated local program. This bill contains other related provisions and other existing laws. Enrolled: 9/13/2019</td>
</tr>
<tr>
<td>AB 1486</td>
<td>Ting D</td>
<td>Surplus land.</td>
<td>(1) Existing law prescribes requirements for the disposal of surplus land by a local agency. Existing law defines “local agency” for these purposes as every city, county, city and county, and district, including school districts of any kind or class, empowered to acquire and hold real property. Existing law defines “surplus land” for these purposes as land owned by any local agency that is determined to be no longer necessary for the agency’s use, except property being held by the agency for the purpose of exchange. Existing law defines “exempt surplus land” to mean land that is less than 5,000 square feet in area, less than the applicable minimum legal residential building lot size, or has no record access and is less than 10,000 square feet in area, and that is not contiguous to land owned by a state or local agency and used for park, recreational, open-space, or affordable housing. This bill would expand the definition of “local agency” to include sewer, water, utility, and local and regional park districts, joint powers authorities, successor agencies to former redevelopment agencies, housing authorities, and other political subdivisions of this state and any instrumentality thereof that is empowered to acquire and hold real property, thereby requiring these entities to comply with these requirements for the disposal of surplus land. The bill would specify that the term “district” includes all districts within the state, and that this change is declaratory of existing law. The bill would revise the definition of “surplus land” to mean land owned in fee simple by any local agency, for which the local agency’s governing body takes formal action, in a regular public meeting, declaring, supported by written findings, that the land is surplus and is not necessary for the agency’s use, as defined. The bill would provide that “surplus land” for these purposes includes land held in the Community Redevelopment Property Trust Fund and land that has been designated in the long-range property management plan, either for sale or for future development, as specified. The bill would also broaden the definition of “exempt surplus land” to include specified types of lands. This bill contains other related provisions and other existing laws. Enrollment: 9/12/2019</td>
</tr>
<tr>
<td>ACA 1</td>
<td>Aguiar-Curry D</td>
<td>Local government financing: affordable housing and public infrastructure: voter approval.</td>
<td>(1) The California Constitution prohibits the ad valorem tax rate on real property from exceeding 1% of the full cash value of the property, subject to certain exceptions. This measure would create an additional exception to the 1% limit that would authorize a city, county, city and county, or special district to levy an ad valorem tax to service bonded indebtedness incurred to fund the construction, reconstruction, rehabilitation, or replacement of public infrastructure, affordable housing, or permanent supportive housing, or the acquisition or lease of real property for those purposes, if the proposition proposing that tax is approved by 55% of the voters of the city, county, or city and county, as applicable, and the proposition includes specified accountability requirements. The measure would specify that these provisions apply to any city, county, city and county, or special district measure imposing an ad valorem tax to pay the interest and redemption charges on bonded indebtedness for these purposes that is submitted at</td>
</tr>
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</table>
### SB 1 (Atkins D)

**California Environmental, Public Health, and Workers Defense Act of 2019.**

(1) The federal Clean Air Act regulates the discharge of air pollutants into the atmosphere. The federal Clean Water Act regulates the discharge of pollutants into water. The federal Safe Drinking Water Act establishes drinking water standards for drinking water systems. The federal Endangered Species Act of 1973 generally prohibits activities affecting threatened and endangered species listed pursuant to that act unless authorized by a permit from the United States Fish and Wildlife Service or the National Marine Fisheries Service, as appropriate. This bill would, until January 20, 2025, require specified agencies to take prescribed actions regarding certain federal requirements and standards pertaining to air, water, and protected species, as specified. By imposing new duties on local agencies, this bill would impose a state-mandated local program. This bill contains other related provisions and other existing laws.

**Passed Senate and Assembly**

**Watch**

**Amended:** 3/18/2019

### SB 4 (McGuire D)

**Housing.**

(1) The Planning and Zoning Law requires a city or county to adopt a general plan for land use development within its boundaries that includes, among other things, a housing element. Existing law requires an attached housing development to be a permitted use, not subject to a conditional use permit, on any parcel zoned for multifamily housing if at least certain percentages of the units are available at affordable housing costs to very low income, lower income, and moderate-income households for at least 30 years and if the project meets specified conditions relating to location and being subject to a discretionary decision other than a conditional use permit. Existing law provides for various incentives intended to facilitate and expedite the construction of affordable housing. This bill would authorize a development proponent of a neighborhood multifamily project or eligible transit-oriented development (TOD) project located on an eligible parcel to submit an application for a streamlined, ministerial approval process that is not subject to a conditional use permit. The bill would define a “neighborhood multifamily project” to mean a project to construct a multifamily unit of up to 2 residential dwelling units in a nonurban community, as defined, or up to 4 residential dwelling units in an urban community, as defined, that meets local height, setback, and lot coverage zoning requirements as they existed on July 1, 2019. The bill would define an “eligible TOD project” as a project located in an urban community, as defined, that meets specified height requirements, is located within 1/2 mile of an existing or planned transit station parcel or entrance, and meets other floor area ratio, density, parking, and zoning requirements. The bill also requires an eligible TOD project development proponent to develop a plan that ensures transit accessibility to the residents of the development in coordination with the applicable local transit agency. The bill would require specified TOD projects to comply with specified affordability, prevailing wage, and skilled and trained workforce requirements. The bill would also define “eligible parcel” to mean a parcel located within a city or county that has unmet regional housing needs and has produced fewer housing units than jobs over a specified period; is zoned to allow residential use and qualifies as an infill site; is not located within a historic district, coastal zone, very high fire hazard severity zone, or a flood plain; the development would not require the demolition of specified types of affordable housing; the parcel is not eligible for development under existing specified transit-oriented development authorizations; and the parcel in question has been fully reassessed on or after January 1, 2021, to reflect its full cash value, following a change in ownership. This bill contains other related provisions and other existing laws.

**Amended:** 4/10/2019

**2-Year Bill**

**Watch**
<table>
<thead>
<tr>
<th>Bill Number</th>
<th>Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>SB 5 (Beall D)</td>
<td>Affordable Housing and Community Development Investment Program.</td>
</tr>
<tr>
<td>SB 43 (Allen D)</td>
<td>Carbon intensity and pricing: retail products.</td>
</tr>
<tr>
<td>SB 50 (Wiener D)</td>
<td>Planning and zoning: housing development: streamlined approval: incentives.</td>
</tr>
<tr>
<td>SB 128 (Beall D)</td>
<td>Public contracts: Best</td>
</tr>
</tbody>
</table>

**SB 5 (Beall D)**

Existing property tax law requires the county auditor, in each fiscal year, to allocate property tax revenue to local jurisdictions in accordance with specified formulas and procedures, subject to certain modifications. Existing law requires an annual reallocation of property tax revenue from local agencies in each county to the Educational Revenue Augmentation Fund (ERAF) in that county for allocation to specified educational entities. This bill would establish in state government the Affordable Housing and Community Development Investment Program, which would be administered by the Affordable Housing and Community Development Investment Committee. The bill would authorize a city, county, city and county, joint powers agency, enhanced infrastructure financing district, affordable housing authority, community revitalization and investment authority, transit village development district, or a combination of those entities, to apply to the Affordable Housing and Community Development Investment Committee to participate in the program and would authorize the committee to approve or deny plans for projects meeting specific criteria. The bill would also authorize certain local agencies to establish an affordable housing and community development investment agency and authorize an agency to apply for funding under the program and issue bonds, as provided, to carry out a project under the program. This bill contains other related provisions and other existing laws.

Enrolled: 9/13/2019

**SB 43 (Allen D)**

The California Global Warming Solutions Act of 2006 designates the State Air Resources Board as the state agency charged with monitoring and regulating sources of emissions of greenhouse gases. The state board is required to approve a statewide greenhouse gas emissions limit equivalent to the statewide greenhouse gas emissions level in 1990 to be achieved by 2020 and to ensure that statewide greenhouse gas emissions are reduced to at least 40% below the 1990 level by 2030. This bill would require the state board, no later than January 1, 2022, to submit a report to the Legislature on the findings from a study, as specified, to determine the feasibility and practicality of assessing the carbon intensity of all retail products subject to the tax imposed pursuant to the Sales and Use Tax Law, so that the total carbon equivalent emissions associated with such retail products can be quantified. This bill contains other existing laws.

Amended: 7/1/2019

**SB 50 (Wiener D)**

(1) Existing law authorizes a development proponent to submit an application for a multifamily housing development that satisfies specified planning objective standards to be subject to a streamlined, ministerial approval process, as provided, and not subject to a conditional use permit. This bill would authorize a development proponent of a neighborhood multifamily project located on an eligible parcel to submit an application for a streamlined, ministerial approval process that is not subject to a conditional use permit. The bill would define a "neighborhood multifamily project" to mean a project to construct a multifamily structure on vacant land, or to convert an existing structure that does not require substantial exterior alteration into a multifamily structure, consisting of up to 4 residential dwelling units and that meets local height, setback, and lot coverage zoning requirements as they existed on July 1, 2019. The bill would also define "eligible parcel" to mean a parcel that meets specified requirements, including requirements relating to the location of the parcel and restricting the demolition of certain housing development that may already exist on the site. This bill contains other related provisions and other existing laws.

Amended: 6/4/2019

**SB 128 (Beall D)**

Existing law establishes a pilot program to allow the Counties of Alameda, Los Angeles, Riverside, San Bernardino, San Diego, San Mateo, Solano, and Yuba to select a bidder on the basis of best value, as defined, for construction projects in excess of $1,000,000. Existing law

Passed Senate and Assembly

Support

2-Year Bill

Watch

2-Year Bill

Watch

Passed Senate and Assembly

Watch
<table>
<thead>
<tr>
<th>Bill Number</th>
<th>Sponsor</th>
<th>Bill Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>SB 146</td>
<td>Beall D</td>
<td>Peninsula Rail Transit District.</td>
</tr>
<tr>
<td>SB 147</td>
<td>Beall D</td>
<td>High-Speed Rail Authority.</td>
</tr>
<tr>
<td>SB 277</td>
<td>Beall D</td>
<td>Road Maintenance and Rehabilitation Program: Local Partnership Program.</td>
</tr>
</tbody>
</table>

Value Construction Contracting for Counties Pilot Program. also authorizes these counties to use a best value construction contracting method to award individual annual contracts, not to exceed $3,000,000, for repair, remodeling, or other repetitive work to be done according to unit prices, as specified. Existing law establishes procedures and criteria for the selection of a best value contractor and requires that bidders verify specified information under oath. Existing law requires the board of supervisors of a participating county to submit a report that contains specified information about the projects awarded using the best value procedures described above to the appropriate policy committees of the Legislature and the Joint Legislative Budget Committee before January 1, 2020. Existing law repeals the pilot program provisions on January 1, 2020. This bill would authorize the County of Santa Clara and the County of Monterey to utilize this pilot program and would extend the operation of those provisions until January 1, 2025. The bill, instead, would require the board of supervisors of a participating county to submit the report described above to the appropriate policy committees of the Legislature and the Joint Legislative Budget Committee before March 1, 2024. By expanding the crime of perjury, this bill would impose a state-mandated local program. This bill contains other related provisions and other existing laws.

Enrollment: 9/6/2019

<table>
<thead>
<tr>
<th>Bill Number</th>
<th>Sponsor</th>
<th>Bill Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>SB 277</td>
<td>Beall D</td>
<td>Road Maintenance and Rehabilitation Program: Local Partnership Program.</td>
</tr>
</tbody>
</table>

Under existing law, the California Transportation Commission allocates various state and federal transportation funds through specified state programs to local and regional transportation agencies to implement projects consistent with the requirements of those programs. Existing law continuously appropriates $200,000,000 annually from the Road Maintenance and Rehabilitation Account for allocation by the commission for a program commonly known as the Local Partnership Program to local or regional transportation agencies that have sought and received voter approval of taxes or that have imposed certain fees, which taxes or fees are dedicated solely for road maintenance and rehabilitation and other transportation improvement projects. Existing law requires the commission, in cooperation with the Department of Transportation, transportation planning agencies, county transportation commissions, and other local agencies, to develop guidelines for the allocation of those moneys. This bill would require the commission to annually deposit 85% of these funds into the Local Partnership Formula Subaccount, which the bill would create, and 15% of these funds into the Small Counties and Uniform Developer Fees Competitive Subaccount, which the bill would create. The bill would require the commission to distribute the funds in the Local Partnership Formula Subaccount pursuant to a specified formula to local or regional transportation agencies that meet certain eligibility requirements. The bill would require the commission to allocate funds in the Small Counties and Uniform Developer Fees Competitive Subaccount pursuant to a specified formula to local or regional transportation agencies that meet certain eligibility requirements.

Passed Senate and Assembly Watch Closely
<table>
<thead>
<tr>
<th>SB 279  (Galgiani D)</th>
<th>The California High-Speed Rail Act creates the High-Speed Rail Authority to develop and implement a high-speed rail system in the state. The Safe, Reliable High-Speed Passenger Train Bond Act for the 21st Century, approved by the voters as Proposition 1A at the November 4, 2008, general election, provides for the issuance of $9 billion in general obligation bonds for high-speed rail purposes and $950 million for other related rail purposes. Existing law requires the authority to prepare, publish, adopt, and submit to the Legislature a business plan containing specified elements, by May 1, 2014, and every 2 years thereafter. This bill would require the authority to develop and adopt a supplemental business plan for the estimated cost of completing the section of the high-speed rail system located between the City of Merced and the northern end of the initial operating segment in the County of Madera on or before February 1, 2020, and submit the supplemental business plan to the Director of Finance, a specified peer review group, and certain legislative committees.</th>
<th>2-Year bill</th>
<th>Watch Closely</th>
</tr>
</thead>
</table>

Enrolled: 9/13/2019 | Fees Competitive Subaccount through a competitive grant program to local or regional transportation agencies that meet other eligibility requirements. The bill would require the commission, in consultation with transportation planning agencies, county transportation commissions, and other local agencies, to develop separate guidelines for the distribution or allocation of the funds in each subaccount that, among other things, establish the types of eligible projects consistent with specified requirements. In order to receive a distribution of funds from the Local Partnership Formula Subaccount from the commission in a funding cycle, the bill would require an eligible entity to submit to the commission a description of a project nominated to be funded with the funds, including the project’s status and the amount of eligible local matching funds the eligible entity is committing to the project. The bill would require the commission to review the accompanying documentation for nominated projects to ensure that each nominated project meets certain requirements, and would require that projects determined to meet those requirements be deemed eligible for funding. | | |

Amended: 3/27/2019 | The California High-Speed Rail Act creates the High-Speed Rail Authority to develop and implement a high-speed rail system in the state. The Safe, Reliable High-Speed Passenger Train Bond Act for the 21st Century, approved by the voters as Proposition 1A at the November 4, 2008, general election, provides for the issuance of $9 billion in general obligation bonds for high-speed rail purposes and $950 million for other related rail purposes. Existing law requires the authority to prepare, publish, adopt, and submit to the Legislature a business plan containing specified elements, by May 1, 2014, and every 2 years thereafter. This bill would require the authority to develop and adopt a supplemental business plan for the estimated cost of completing the section of the high-speed rail system located between the City of Merced and the northern end of the initial operating segment in the County of Madera on or before February 1, 2020, and submit the supplemental business plan to the Director of Finance, a specified peer review group, and certain legislative committees. | 2-Year bill | Watch Closely |

Total Measures: 17

Total Tracking Forms: 17
PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT

TO: Joint Powers Board
THROUGH: Jim Hartnett
Executive Director
FROM: Derek Hansel
Chief Financial Officer
SUBJECT: STATEMENT OF REVENUES AND EXPENSES FOR THE PERIOD ENDING JUNE 30, 2019

ACTION
Staff proposes that the Board of Directors accept and enter into the record the Statement of Revenues and Expenses for the month of June, 2019.

This staff report provides a brief discussion of significant items and trends on the attached Statement of Revenues and Expenses through June 30, 2019. The statement has been designed to follow the Agency-wide line item rollup as included in the adopted budget. The columns have been designed to provide easy comparison of year-to-date prior to current actuals for the current fiscal year including dollar and percentage variances. In addition, the current forecast of Revenues and Expenses is compared to the Adopted Budget for Fiscal Year 2019.

SIGNIFICANCE
Annual Forecast: The annual forecast was updated based on actual revenue and expense trends through March 2019.

Year to Date Revenues: As of June year-to-date actual, the Total Revenue (page 1, line 17) is $12.9 million higher than the prior year-to-date actual. This is primarily driven by higher Farebox Revenue (page 1, line 1), and JPB Member Agencies’ contributions (page 1, line 12).

Year to Date Expenses: As of June year-to-date actual, the Total Expense (page 1, line 48) is $10.8 million higher than the prior year-to-date actual. This is primarily due to Rail Operator Services (page 1, line 23), Insurance Cost (page 1, line 29), Wages and Benefits (page 1, line 37) and Other Office Expenses and Services (page 1, line 42).

BUDGET IMPACT
There are no budget amendments for the month of June 2019.

STRATEGIC INITIATIVE
This item does not achieve a strategic initiative.

Prepared By: Thwe T. Han, Accountant II 650-508-7912
Jennifer Ye, Manager, General Ledger 650-622-7890
# Statement of Revenue and Expense

## Peninsula Corridor Joint Powers Board

**Statement of Revenue and Expense**

**Fiscal Year 2019**

**June 2019**

## Operating Expense:

### Farebox Revenue

- **Prior Year:** $105,439,861
- **Current Year:** $8,389,665
- **Variance:** 8.6%
- **Approved Budget:** $107,795,329
- **Forecast:** $103,500,000
- **Variance:** 4.0%

### Parking Revenue

- **Prior Year:** $5,847,162
- **Current Year:** $243,756
- **Variance:** 4.4%
- **Approved Budget:** $5,845,900
- **Forecast:** $5,500,000
- **Variance:** 1.9%

### Shuttles

- **Prior Year:** $2,066,090
- **Current Year:** $120,471
- **Variance:** 5.5%
- **Approved Budget:** $2,683,400
- **Forecast:** $2,000,000
- **Variance:** 25.5%

### Rental Income

- **Prior Year:** $1,895,763
- **Current Year:** $174,372
- **Variance:** 8.4%
- **Approved Budget:** $1,873,000
- **Forecast:** $2,100,000
- **Variance:** 12.1%

### Other Income

- **Prior Year:** $2,316,847
- **Current Year:** $88,728
- **Variance:** 4.0%
- **Approved Budget:** $1,192,000
- **Forecast:** $2,200,000
- **Variance:** 84.6%

## Contributions:

### AB434 Peninsula & TA Shuttle Funding

- **Prior Year:** $1,728,727
- **Current Year:** $5,474
- **Variance:** 0.3%
- **Approved Budget:** $1,767,700
- **Forecast:** $1,767,700
- **Variance:** 0.0%

### Use of Reserves

- **Prior Year:** $120,471
- **Current Year:** 0
- **Variance:** 0%
- **Approved Budget:** $308,476
- **Forecast:** $308,476
- **Variance:** 25.5%

## Grand Total Revenue

- **Prior Year:** $117,565,723
- **Current Year:** $12,867,723
- **Variance:** 9.5%
- **Approved Budget:** $147,116,716
- **Forecast:** $147,116,716
- **Variance:** 0.0%

## Total Operating Revenue

- **Prior Year:** $148,443,057
- **Current Year:** $107,795,329
- **Variance:** 4.0%
- **Approved Budget:** $147,116,716
- **Forecast:** $147,116,716
- **Variance:** 0.0%

## Total Contributed Revenue

- **Prior Year:** $115,300,000
- **Current Year:** $32,125,192
- **Variance:** 21.2%
- **Approved Budget:** $119,389,629
- **Forecast:** $119,389,629
- **Variance:** 0.0%

## Operating Grants

- **Prior Year:** $25,448,000
- **Current Year:** $0
- **Variance:** 0%
- **Approved Budget:** $25,448,000
- **Forecast:** $25,448,000
- **Variance:** 0.0%

## Other Office Expenses and Services

- **Prior Year:** $2,949,134
- **Current Year:** $2,949,134
- **Variance:** 0%
- **Approved Budget:** $4,558,639
- **Forecast:** $2,625,900
- **Variance:** 42.4%

## Communications and Marketing

- **Prior Year:** $14,600
- **Current Year:** $0
- **Variance:** 0%
- **Approved Budget:** $14,600
- **Forecast:** $14,600
- **Variance:** 0.0%

## Rail Operator Service

- **Prior Year:** $86,230,812
- **Current Year:** $8,389,665
- **Variance:** 8.6%
- **Approved Budget:** $87,795,329
- **Forecast:** $87,795,329
- **Variance:** 0.0%

## Use of Reserves - Rail Operator Service

- **Prior Year:** $106,225
- **Current Year:** 0
- **Variance:** 0%
- **Approved Budget:** $900,395
- **Forecast:** $900,395
- **Variance:** 25.5%

## Managing Agency Admin OH Cost

- **Prior Year:** $6,503,882
- **Current Year:** $1,602,163
- **Variance:** 6.8%
- **Approved Budget:** $6,191,175
- **Forecast:** $6,191,175
- **Variance:** 0.0%

## Professional Services

- **Prior Year:** $3,440,617
- **Current Year:** $1,632,728
- **Variance:** 32.2%
- **Approved Budget:** $3,600,000
- **Forecast:** $3,600,000
- **Variance:** 0.0%

## Total Operating Expense

- **Prior Year:** $120,944,279
- **Current Year:** $120,194,129
- **Variance:** 0.7%
- **Approved Budget:** $120,194,129
- **Forecast:** $120,194,129
- **Variance:** 0.0%

## Net Surplus / (Deficit)

- **Prior Year:** $151,514,821
- **Current Year:** $151,514,821
- **Variance:** 0.0%
- **Approved Budget:** $151,514,821
- **Forecast:** $151,514,821
- **Variance:** 0.0%

## Net Surplus - Adjusted

- **Prior Year:** $0
- **Current Year:** $0
- **Variance:** 0%
- **Approved Budget:** $0
- **Forecast:** $0
- **Variance:** 0.0%

---

* $955,951 SOGR expenses originally funded by the Operating Budget were capitalized as capital assets. Therefore, the expenses were not reported as operating expenses on the line 23 "Rail Operator Service".

---

9/17/19 10:19 AM
## PENINSSULA CORRIDOR JOINT POWERS BOARD

### INVESTMENT PORTFOLIO

**AS OF JUNE 30, 2019**

<table>
<thead>
<tr>
<th>TYPE OF SECURITY</th>
<th>MATURITY</th>
<th>INTEREST RATE</th>
<th>PURCHASE PRICE</th>
<th>MARKET PRICE</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Local Agency Investment Fund (Unrestricted)</strong></td>
<td>Liquid Cash</td>
<td>2.428%</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td><strong>County Pool (Restricted)</strong></td>
<td>Liquid Cash</td>
<td>2.381%</td>
<td>1,000,000</td>
<td>1,000,000</td>
</tr>
<tr>
<td><strong>County Pool (Unrestricted)</strong></td>
<td>Liquid Cash</td>
<td>2.381%</td>
<td>43,450</td>
<td>43,450</td>
</tr>
<tr>
<td><strong>Other (Unrestricted)</strong></td>
<td>Liquid Cash</td>
<td>0.000%</td>
<td>39,512,399</td>
<td>39,512,399</td>
</tr>
<tr>
<td><strong>Other (Restricted)</strong></td>
<td>Liquid Cash</td>
<td>0.850%</td>
<td>27,011,345</td>
<td>27,011,345</td>
</tr>
</tbody>
</table>

$ 67,567,194 $ 67,567,194

Cumulative Earnings FY2019 $ 553,326.80

---

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

** As of June 2019, per San Mateo County Treasurer's Office, the total cost of securities held by the County Pool was $5,526,153 and the fair market value was $5,556,557.

*** Prepaid Grant funds for Homeland Security, PTMSEA and LCTOP projects, and funds reserved for debt repayment.

The Portfolio and this Investment Report comply with the Investment Policy and the provisions of SB 564 (1995).

The Joint Powers Board has the ability to meet its expenditure requirements for the next six months.

---

* Gillian Gillet, Chair
  Dave Pine, Vice Chair
  Cheryl Brinnman
  Jennie Bruins
  Devora “Dev” Davis
  Ron Collins
  Cindy Chavez
  Charles Stone
  Monique Zmuda

JIM HARTNETT
EXECUTIVE DIRECTOR
AGENDA ITEM #5 (d)

OCTOBER 3, 2019

PENINSULA CORRIDOR JOINT POWERS BOARD

STAFF REPORT

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Derek Hansel
Chief Financial Officer

SUBJECT: STATEMENT OF REVENUES AND EXPENSES FOR THE PERIOD ENDING AUGUST 31, 2019

ACTION

Staff proposes that the Board of Directors accept and enter into the record the Statement of Revenues and Expenses for the month of August 2019.

This staff report provides a brief discussion of significant items and trends on the attached Statement of Revenues and Expenses through August 31, 2019. The statement has been designed to follow the Agency-wide line item rollup as included in the adopted budget. The columns have been designed to provide easy comparison of year-to-date prior to current actuals for the current fiscal year including dollar and percentage variances. In addition, the current forecast of Revenues and Expenses is compared to the Adopted Budget for Fiscal Year 2020.

SIGNIFICANCE

Annual Forecast: The annual forecast is currently the same as the budget and will be updated twice a year and presented at the February and April board meetings.

Year to Date Revenues: As of August year-to-date actual, the Total Revenue (page 1, line 17) is $1,134,311 higher than the prior year. This is primarily driven by Farebox Revenue (page 1, line 1), Other Income (page1, line 5), and JPB Member Agencies Contributions (page 1, line12).

Year to Date Expenses: As of August year-to-date actual, the Total Expense (page 1, line 49) is $1,706,799 higher than the prior year-to-date actual. This is primarily due to increases in Rail Operator Service (page 1, line 23) and in Wages & Benefits (Page 1 line 38). The increases are partially offset by the lower expenses in Shuttle Services (page1, line26), Claims, Payments and Reserves (page 1, line 30), Facilities & Equipment Maintenance (page 1, line 31), Managing Agency Admin OH cost (page 1, line 39), and Professional Services (page 1, line 41).

Other Information: Starting in January 2019, the Agency modified the basis of reporting from accrual basis to modified cash basis (only material revenues and expenses are accrued) in monthly financial statements. The change in the accounting basis is not retroactively reflected in the prior year actual. As such, the monthly variance between the prior year and the current year actual may show noticeable variances for some line items on the financial statements.
**BUDGET IMPACT**
There are no budget amendments for the month of August 2019.

**STRATEGIC INITIATIVE**
This item does not achieve a strategic initiative.

Prepared By:  Thwe T. Han, Accountant II                      650-508-7912
                Jennifer Ye, Manager, General Ledger            650-622-7890
## Statement of Revenue and Expense

### PENINSULA CORRIDOR JOINT POWERS BOARD

**STATEMENT OF REVENUE AND EXPENSE**

**Fiscal Year 2020**  
**August 2019**

<table>
<thead>
<tr>
<th>Year to Date</th>
<th>% of Year Elapsed</th>
<th>Revenue</th>
<th>Expense</th>
<th>Variance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Prior</td>
<td>Current</td>
<td>$</td>
<td>%</td>
<td>Approved</td>
</tr>
</tbody>
</table>

### Revenue Operations:

1. Farebox Revenue  
2. Parking Revenue  
3. Shuttle Services  
4. Rental Income  
5. Other Income  

### Contributions:

10. AB434 Peninsula & TA Shuttle Funding  
11. Operating Grants  
12. JPB Member Agencies  
13. Use of Reserves  

### Total Operating Revenue  

19,760,209 20,047,631 287,422 1.5% 117,652,190 117,652,190 - 0.0%  

### Total Contributed Revenue  

10,435,264 11,282,133 846,889 8.1% 38,052,032 38,052,032 - 0.0%  

### Grand Total Revenue  

30,195,473 31,329,784 1,134,311 3.8% 155,704,222 155,704,222 - 0.0%  

### Expense

#### Operating Expense:

13,184,207 15,679,346 2,495,039 18.9% 90,817,696 90,817,696 - 0.0%  

#### Administrative Expense:

Wages and Benefits  
Managing Agency Admin OH Cost  
Board of Directors  
Professional Services  
Communications and Marketing  
Other Office Expenses and Services  

### Total Operating Expense  

18,531,195 20,119,573 1,588,378 8.6% 128,669,496 128,669,496 - 0.0%  

### Total Administrative Expense  

4,889,985 4,746,469 (143,516) (2.9%) 24,394,953 24,394,953 - 0.0%  

### Grand Total Expense  

23,421,180 25,349,045 1,927,865 7.4% 155,704,222 155,704,222 - 0.0%  

### Net Surplus / (Deficit)  

6,553,264 5,980,777 (572,487) (8.7%) (0) (0) - 0.0%  

9/17/19 10:27 AM
## PENINSULA CORRIDOR JOINT POWERS BOARD

**INVESTMENT PORTFOLIO**

**AS OF AUGUST 31, 2019**

<table>
<thead>
<tr>
<th>TYPE OF SECURITY</th>
<th>MATURITY DATE</th>
<th>INTEREST RATE</th>
<th>PURCHASE PRICE</th>
<th>MARKET PRICE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Local Agency Investment Fund (Unrestricted)</td>
<td>* Liquid Cash</td>
<td>2.379%</td>
<td>39</td>
<td>39</td>
</tr>
<tr>
<td>County Pool (Restricted)</td>
<td>** Liquid Cash</td>
<td>2.241%</td>
<td>919,622</td>
<td>919,622</td>
</tr>
<tr>
<td>Other (Unrestricted)</td>
<td>Liquid Cash</td>
<td>0.000%</td>
<td>27,601,079</td>
<td>27,601,079</td>
</tr>
<tr>
<td>Other (Restricted)</td>
<td>*** Liquid Cash</td>
<td>0.200%</td>
<td>25,540,006</td>
<td>25,540,006</td>
</tr>
</tbody>
</table>

**$ 54,060,746**  **$ 54,060,746**

- Interest Earnings for August 2019 **$ 17,730.50**
- Cumulative Earnings FY2019 **$ 17,730.50**

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

** As of August 2019, the total cost of the County was $5,181,944 and the fair market value per San Mateo County Treasurer's Office was $5,207,526.

*** Prepaid Grant funds for Homeland Security, PTMISEA and LCTOP projects, and funds reserved for debt repayment.

The Portfolio and this Investment Report comply with the Investment Policy and the provisions of SB 564 (1995).

The Joint Powers Board has the ability to meet its expenditure requirements for the next six months.
TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Derek Hansel
Chief Financial Officer

SUBJECT: AWARD OF CONTRACTS FOR ON-CALL FINANCIAL CONSULTING SERVICES

ACTION
Staff Coordinating Council (SCC) recommends the Board:

1. Award on-call contracts to the firms listed below for the provision of various financial consulting services for a five-year term, for an aggregate, not-to-exceed amount of $970,000 to be shared as a pool for authorized tasks.

   - **Financial Advisory Services**
     - Fieldman, Rolapp & Associates, Inc.
     - PFM Financial Advisors LLC
     - Ross Financial
     - Sperry Capital Inc.

   - **Financial Planning & Analysis Services**
     - Fieldman, Rolapp & Associates, Inc.
     - PFM Financial Advisors LLC
     - Ross Financial
     - Sperry Capital Inc.

   - **Financial and Operational Review & Technical Analysis Services**
     - KPMG LLP
     - Macias Gini & O'Connell LLP

   - **Performance Audit Services**
     - KPMG LLP
     - Macias Gini & O'Connell LLP

   - **Budgeting Services**
     - Macias Gini & O'Connell LLP

2. Authorize the Executive Director or his designee to execute contracts with the above firms, in full conformity with the terms and conditions of the solicitation documents and negotiated agreements, and in a form approved by legal counsel.
SIGNIFICANCE
Award of these contracts will provide the Peninsula Corridor Joint Powers Board (JPB) with the expertise of diverse financial services firms that possess in-depth knowledge of the specialized discipline of transportation finance. The JPB’s complex financial services requirements and strategic financial goals will benefit from the support of a broad array of firms, each with a long and successful track record of delivering creative solutions for complex financial transactions.

The JPB will engage the firms through Work Directives on a project-by-project and as-needed basis. Award of these contracts will not obligate the JPB to purchase any specific level of service from any of the firms.

BUDGET IMPACT
Funding for these services will be available under approved and projected operating budgets.

BACKGROUND
The JPB issued a joint Request for Proposals with the San Mateo County Transit District and the San Mateo County Transportation Authority (Authority) (collectively, the Agencies). The solicitation was advertised on the Agencies’ procurement websites. A pre-proposal conference was held and six firms attended. Seven firms submitted proposals, four of which are certified Small Business Enterprises (SBE) and received preference points during proposal evaluation.

Proposers were invited to respond to one or more of the following seven categories of financial consulting services: financial advisory, financial planning and analysis, financial and operational review and technical analysis, performance audit, treasury consulting, budgeting, and treasury managed lanes. With the exception of the treasury managed lanes services, which only the Authority required, all three Agencies required all categories of services advertised. The Agencies did not receive any proposals for treasury consulting services. Due to the small amount of treasury consulting services anticipated, the Agencies plan to issue an independent procurement for such services, if necessary.

A Selection Committee (Committee) comprised of qualified staff from the Agencies’ Treasury, Accounting, and Budget departments reviewed, evaluated and scored the proposals in accordance with the following weighted criteria:

- Approach to Scope of Services 15 points
- Qualifications and Experience of Firm 30 points
- Qualifications and Experience of Management Team and Key Personnel 30 points
- Cost Proposal 25 points
- SBE Preference 5 points
After initial scoring of proposals, six proposers were found to be in the competitive range. The firms are qualified and established consultants with extensive experience working for one or more of the three Agencies. Therefore, the Committee determined oral interviews would not be necessary and completed its final evaluation and consensus ranking.

The firms will collaborate with the JPB in developing processes, procedures and controls that help establish internal financial standards and control in areas such as:

- fare collection;
- wire transfer and banking processes; and
- accounting and financial reporting processes.

In July 2014, the Board approved on-call contracts with the following financial services consultants:

- Public Financial Management, Inc.;
- Ross Financial Consulting;
- Nancy Whelan Consulting, LLC;
- Ernst & Young Infrastructure Advisors, LLC;
- KPMG LLP;
- Williams, Adley & Company-CA, LLP; and
- Macias Consulting Group, Inc.

These contracts are for an aggregate not-to-exceed amount of $3,200,000 and expire in September 2019. The JPB anticipates a decreased need for services, which is reflected in the decreased amount of the replacement contract.

Prepared By: Jillian Ragia, Procurement Administrator III  650.508.7767
Chief Financial Officer: Derek Hansel  650.508.6466
RESOLUTION NO. 2019-

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

* * *

AWARDING CONTRACTS TO FIELDMAN, ROLAPP & ASSOCIATES, INC., PFM FINANCIAL ADVISORS LLC, ROSS FINANCIAL, SPERRY CAPITAL INC., KPMG LLP AND MACIAS GINI & O'CONNELL LLP TO PROVIDE ON-CALL FINANCIAL CONSULTING SERVICES FOR AN AGGREGATE, NOT-TO-EXCEED AMOUNT OF $970,000 FOR A FIVE-YEAR TERM

WHEREAS, the Peninsula Corridor Joint Powers Board (JPB), jointly with the San Mateo County Transit District and the San Mateo County Transportation Authority, solicited competitive proposals to provide on-call financial consulting services; and

WHEREAS, proposers were invited to respond to one or more of the seven financial services functions described in the Request for Proposals (RFP): financial advisory, financial planning and analysis, financial and operational review and technical analysis, performance audit, treasury consulting, budgeting and treasury managed lanes services; and

WHEREAS, in response to the joint RFP, staff received proposals from seven firms, four of which were Small Business Enterprise firms; and

WHEREAS, a Selection Committee (Committee) composed of qualified staff reviewed and ranked proposals for each financial services category according to the weighted criteria set forth in the RFP, and determined six firms to be in the competitive range; and

WHEREAS, the Committee completed its final evaluation and consensus ranking, as summarized below:

Financial Advisory Services
- Fieldman, Rolapp & Associates, Inc., Irvine, California
- PFM Financial Advisors LLC, San Francisco, California
- Ross Financial, San Francisco, California
- Sperry Capital Inc., Sausalito, California
Financial Planning & Analysis Services
- Fieldman, Rolapp & Associates, Inc.
- PFM Financial Advisors LLC
- Ross Financial
- Sperry Capital Inc.

Financial and Operational Review & Technical Analysis Services
- KPMG LLP, San Francisco, California
- Macias Gini & O’Connell LLP, Walnut Creek, California

Performance Audit Services
- KPMG LLP
- Macias Gini & O’Connell LLP

Budgeting Services
- Macias Gini & O’Connell LLP; and

WHEREAS, the Committee determined that these six firms have the requisite depth of knowledge and experience in the five financial services categories to successfully support the JPB’s goals for financial system development, requirements, processes, procedures and controls; and

WHEREAS, staff and legal counsel have reviewed the proposals and determined that they comply with the requirements of the RFP; and

WHEREAS, the Staff Coordinating Council recommends, and the Executive Director concurs, that a five-year contract for on-call financial consulting services be awarded to each firm for an aggregate, not-to-exceed amount of $970,000.

NOW, THEREFORE, BE IT RESOLVED the Board of Directors of the Peninsula Corridor Joint Powers Board hereby awards six on-call contracts, each for a five-year term, for an aggregate, not-to-exceed amount of $970,000, to the following firms for work in the listed categories of services:

1. Fieldman, Rolapp & Associates, Inc.:
   - financial advisory services
   - financial planning and analysis services;
2. PFM Financial Advisors LLC:
   • financial advisory services
   • financial planning and analysis services;

3. Ross Financial:
   • financial advisory services
   • financial planning and analysis services;

4. Sperry Capital Inc.:
   • financial advisory services
   • financial planning and analysis services;

5. KPMG LLP:
   • financial and operational review, and technical analysis services
   • performance audit services;

6. Macias Gini & O’Connell LLP:
   • financial and operational review, and technical analysis services
   • performance audit services
   • budgeting services; and

**BE IT FURTHER RESOLVED** the Board authorizes the Executive Director or his designee to execute contracts on behalf of the JPB with the above named firms in full conformity with all of the terms and conditions of the RFP and negotiated agreements, and in forms approved by legal counsel.

Regularly passed and adopted this 3rd day of October, 2019 by the following vote:

AYES:

NOES:

ABSENT:

________________________________
Chair, Peninsula Corridor Joint Powers Board

ATTEST:

________________________________
JPB Secretary
TO: Joint Powers Board 

THROUGH: Jim Hartnett 
Executive Director 

FROM: Derek Hansel April Chan 
Chief Financial Officer Chief Officer, Planning, Grants, & 
Transportation Authority 

SUBJECT: AWARD OF CONTRACTS FOR ON-CALL ENVIRONMENTAL PLANNING, PERMITTING AND SUPPORT SERVICES 

ACTION 
Staff proposes the Committee recommend the Board: 

1. Award contracts for on-call environmental planning, permitting and support services for an aggregate not-to-exceed total amount of $7 million for a five-year term to: 
   - HDR Engineering, Inc., Walnut Creek, California; 
   - ICF Jones & Stokes, Inc., San Francisco, California; and 

2. Authorize the Executive Director, or his designee, to execute a contract with each of the above firms in full conformity with the terms and conditions of the solicitation documents and negotiated agreements and in a form approved by legal counsel. 

3. Authorize the Executive Director, or his designee, to exercise up to two additional one-year option terms with the above firms for up to $1,750,000 for each option term, to be shared in the aggregate among the three firms, if deemed in the best interest of the Peninsula Corridor Joint Powers Board (JPB). 

SIGNIFICANCE 
Award of these contracts will provide the JPB with a pool of qualified firms to support the required and anticipated volume of services for planning and construction projects. The JPB will engage the firms through Work Directives on a project-by-project and as-needed basis. Award of this contract will not obligate the JPB to purchase any specific level of service from any of the firms.
**BUDGET IMPACT**
Work Directives will be funded with a mix of federal, state, regional, and/or local revenues and grants from approved and future JPB operating and capital budgets.

**BACKGROUND**
The JPB issued a joint Request for Proposals with the San Mateo County Transit District and the San Mateo County Transportation Authority (Agencies). The solicitation was advertised on the JPB’s procurement website. A pre-proposal conference was held and 14 firms (a mix of prime and sub-consultants) attended. Three firms submitted proposals. Each firm included Small Business Enterprises (SBE) or Disadvantaged Business Enterprises as part of their proposed team and received preference points in accordance with their level of SBE utilization.

A Selection Committee (Committee) composed of qualified staff from the Agencies representing the Planning, Project Management, and Facilities Maintenance departments reviewed, evaluated and scored the proposals in accordance with the following weighted criteria:

- Qualifications and Experience of Firm 0-30 Points
- Qualifications and Experience of Key Personnel 0-35 Points
- Understanding of and approach to Service Requirements 0-20 Points
- Cost Proposal (Labor Rates) 0-15 Points
- Small Business Enterprise Preference 0 - 5 Points

After initial scoring of proposals, all three proposers were found to be in the competitive range and were interviewed. After interviews, the Committee reached a consensus ranking based on each firm’s proposal, experience and qualifications. All three firms are incumbents in good standing with the Agencies. The firms submitted updated labor rate information to address the Committee’s questions regarding proposed staff and sub-consultants’ direct hourly rates, overhead rates and fees. Staff evaluated the updated rates, successfully negotiated favorable fees in line with prices currently paid by the JPB for similar services, and determined them to be fair and reasonable.

These firms will provide the JPB with a pool of experienced consultants and sub-consultants who possess the necessary qualifications and requisite depth of experience to perform the services successfully.

HDR Engineering, Inc., ICF Jones & Stokes, Inc., and Louis Berger U.S., Inc., currently provide services to the JPB under contracts awarded in 2013 for an aggregate, not-to-exceed six-year amount of $8.5 million, which includes exercised option terms, a one-year extension, contingency, and a Board-authorized increase in contract authority. The firms’ performance to-date has been acceptable and in conformance with contract requirements and terms. The current contracts expire in November 2019.

Contract Administrator: Linn Latt 650.295.6866
Project Manager: Hilda Lafebre, Manager, Capital Projects and Environmental Planning 650.622.7842
RESOLUTION NO. 2019-

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

*   *   *
AWARDING CONTRACTS TO HDR ENGINEERING, INC., ICF JONES & STOKES, INC., AND
LOUIS BERGER U.S., INC., FOR PROVISION OF ON-CALL ENVIRONMENTAL PLANNING,
PERMITTING AND SUPPORT SERVICES FOR AN AGGREGATE NOT-TO-EXCEED
TOTAL AMOUNT OF $7 MILLION FOR A FIVE-YEAR TERM

WHEREAS, the Peninsula Corridor Joint Powers Board (JPB) issued a Request for Proposals (RFP) for on-call environmental planning, permitting and support services; and

WHEREAS, in response to the RFP, the JPB received three proposals; and

WHEREAS, a Selection Committee (Committee) reviewed, evaluated, scored, and ranked the proposals according to the evaluation criteria set forth in the RFP and determined all three firms were in the competitive range; and

WHEREAS, the Committee completed its evaluation process, including negotiation of costs, and determined that HDR Engineering, Inc. of Walnut Creek, California (HDR), ICF Jones & Stokes, Inc. of San Francisco, California (ICF), and Louis Berger U.S., Inc. of New York, New York (LB) possess the necessary qualifications and requisite experience to successfully perform the scope of services defined in the solicitation documents, and have agreed to perform the specified services at fair and reasonable prices; and

WHEREAS, staff and legal counsel have reviewed the proposals and determined that the proposals comply with the requirements of the solicitation documents; and

WHEREAS, the Executive Director recommends, and the Finance Committee concurs, that the Board of Directors award contracts to HDR, ICF, and LB for on-call environmental planning, permitting and support services for an aggregate not-to-exceed total amount of $7 million for a five-year term and authorize the Executive
Director, or his designee, to exercise up to two additional, one-year option terms with HDR, ICF, and LB, in an aggregate not-to-exceed total amount of $1,750,000 for each option year provided that exercising such options is in the best interest of the JPB.

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the Peninsula Joint Powers Board hereby awards contracts for on-call environmental planning, permitting and support services to HDR Engineering, Inc., ICF Jones & Stokes, Inc., and Louis Berger U.S., Inc. for a five-year term for an aggregate not-to-exceed total amount of $7 million; and

BE IT FURTHER RESOLVED that the Executive Director, or his designee, is authorized to execute contracts with HDR, ICF, and LB, in full conformity with all of the terms and conditions of the RFP and negotiated agreements, and in a form approved by legal counsel; and

BE IT FURTHER RESOLVED that the Executive Director, or his designee, is authorized to exercise up to two additional, one-year option terms with HDR, ICF, and LB, in an aggregate not-to-exceed total amount of $1,750,000 for each option year provided that exercising such options is in the best interest of the JPB.

Regularly passed and adopted this 3rd day of October, 2019 by the following vote:

AYES:

NOES:

ABSENT:

__________________________
Chair, Peninsula Corridor Joint Powers Board

__________________________
JPB Secretary
TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

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

SUBJECT: AWARD OF CONTRACT FOR BROADBAND WIRELESS COMMUNICATIONS DESIGN AND SUPPORT SERVICES

ACTION
Staff Coordinating Council recommends the Board:

1. Award a contract to Xenconsult, Inc. DBA Xentrans of Corte Madera, California (Xentrans) for a total not-to-exceed amount of $404,753 to provide broadband wireless communications design and support services (Services) for a three-year term at the negotiated fixed price and hourly rates specified in the proposal.

2. Authorize the Executive Director, or his designee, to execute a contract with the above firm in full conformity with the terms and conditions of the solicitation documents and in a form approved by legal counsel.

SIGNIFICANCE
Award of this contract will provide the Peninsula Corridor Joint Powers Board (JPB) with a consultant to design a broadband wireless communications system for use onboard moving trains and on the trackwayside. The wireless communications system will be able to be used for remote, real-time train diagnostics and passenger WiFi service on the trains.

BUDGET IMPACT
The budget for the Services was included in the amended Fiscal Year 2019 capital budget. The funding for this contract will come from the Transit and Intercity Rail Capital Program funds.

BACKGROUND
In 2007, the JPB issued a Request for Proposals for Wireless Network Services. Two proposals were received, but were rejected by the Board of Directors as the proposals either contained limitations that would interfere with fully meeting the project goals, including a substantial financial investment by the JPB, or did not provide a level of service that was as robust as desired. In addition, staff was concerned that the proposed solutions would place additional demands on the right of way infrastructure and Rail staff resources at a time when the JPB was undertaking significant and substantial capital projects that were fundamental to the future of the railroad. In addition, the technology was not yet as mature as desired by the JPB. Staff determined...
it would be most appropriate to implement onboard wifi, which is an amenity regularly requested by customers, in coordination with the Caltrain Modernization Program (CalMod) and implementation of Positive Train Control (PTC).

CalMod includes electrifying the railroad and purchasing Electric Multiple Unit (EMU) trains. The PTC project installed a fiber optic network for the JPB along the tracks, connected to the Caltrain Central Control Facility (CCF) and the Backup Central Control Facility to communicate to the wayside equipment for PTC.

The broadband wireless communications system design will leverage these two projects, install equipment on the EMU trains and connect the wireless communication system to the JPB’s fiber network.

The JPB issued a new Request for Proposals (RFP) and advertised it on the procurement website. A pre-proposal conference was held and five potential proposers attended. Two firms submitted proposals as follows:

1. Gannett Fleming, Inc. of San Francisco, California
2. Xenconsult, Inc. DBA Xentrans of Corte Madera, California

In accordance with federal and state law governing the procurement of architecture and engineering services, proposals were evaluated, scored and ranked solely on qualifications, with price being negotiated only with the highest-ranked firm. A Selection Committee (Committee), composed of qualified staff from JPB Capital Program Delivery, Rail Operations, and Engineering Support departments, reviewed and scored the proposals in accordance with the following weighted criteria:

- Qualifications and Experience of Key Personnel  25 points
- Qualifications and Experience of Firm  25 points
- Project Understanding and Management Plan  50 points
- Small Business Enterprise Preference  5 points

After initial scoring of the technical proposals, both firms were found to be in the competitive range and were invited to interviews. Subsequently, the Committee completed its final evaluation and consensus ranking. The Committee determined Xentrans to be the highest-ranked firm. The firm possesses the requisite experience and qualifications required for successful performance of the Services, as further defined in the solicitation documents. Xentrans has experience designing wireless communications system for trains including the BART Trackside Network, Capitol Corridor Intercity Passenger WiFi, and Amtrak Next Generation Networks Program for the Northeast Corridor. Staff successfully negotiated price with Xentrans and determined the prices to be fair, reasonable, and consistent with those paid by other public agencies in the Bay Area for similar services.

Staff assessed Small Business Enterprise (SBE) preference points to Xentrans, which committed to utilizing a certified Disadvantaged Business Enterprise subconsultant for 14.9% of the total contract value. Xentrans received 5 points out of the 5 preference points in accordance with its level of SBE utilization.

This contract will provide the JPB with a system design, estimated construction costs and
a construction schedule. Staff will provide project updates to the Board at future meetings and any contract awarded for construction as the result of a competitive solicitation will be presented for Board approval.

Procurement Administrator II: Patrick Ng 650.622.8018
Project Manager: Robert Tam 650.508.7969
RESOLUTION NO. 2019-
BOARD OF DIRECTORS, PENINSULA CORRIDOR JOINT POWERS BOARD
STATE OF CALIFORNIA

*   *   *
AWARDING A CONTRACT TO XENCONSULT, INC. DBA XENTRANS FOR
BROADBAND WIRELESS COMMUNICATIONS DESIGN AND
SUPPORT SERVICES FOR A TOTAL
NOT-TO-EXCEED AMOUNT OF $404,753 FOR A THREE-YEAR TERM

WHEREAS, the Peninsula Corridor Joint Powers Board (JPB) issued a Request for
Proposals (RFP) for broadband wireless communications design and support services; and

WHEREAS, in response to the RFP, the JPB received two proposals; and

WHEREAS, a Selection Committee (Committee) scored and ranked the proposals
according to the qualifications-based evaluation criteria set forth in the RFP and
determined both firms were in the competitive range; and

WHEREAS, the Committee completed its evaluation process, including interviews,
determined that Xenconsult, Inc. DBA Xentrans of Corte Madera, California
(Xentrans) was the highest-ranked proposer and possesses the necessary qualifications
and requisite experience to successfully perform the scope of services defined in the
solicitation documents; and

WHEREAS, staff has completed cost negotiations with Xentrans, which has
agreed to perform the specified services at fair and reasonable prices; and

WHEREAS, staff and legal counsel have reviewed Xentrans' proposal and have
determined that it complies with the requirements of the solicitation documents; and

WHEREAS, Staff Coordinating Council recommends, and the Executive Director
concurs, that the Board of Directors award a contract to Xentrans for broadband

Page 1 of 2
wireless communications design and support services for a total not-to-exceed amount of $404,753 for a three-year term.

**NOW, THEREFORE, BE IT RESOLVED** that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby awards a contract for broadband wireless communications design and support services to Xenconsult, Inc. DBA Xentrans of Corte Madera, California (Xentrans) for a total not-to-exceed amount of $404,753 for a three-year term; and

**BE IT FURTHER RESOLVED** the Board authorizes the Executive Director, or his designee, to execute a contract with Xentrans in full conformity with all of the terms and conditions of the RFP and in a form approved by legal counsel.

Regularly passed and adopted this 3rd day of October, 2019 by the following vote:

AYES:

NOES:

ABSENT:

________________________________
Chair, Peninsula Corridor Joint Powers Board

ATTEST:

_______________________________
J PB Secretary
Objective

Design a communication system for

1. Remote, real-time train diagnostics and other operational needs.
2. Provide on-board passenger WiFi service.
Background

- Several attempts to deliver WiFi service to passengers on-board Caltrain in the past.
- Technical solutions were either too expensive or did not meet all of JPB’s requirements.
- Leverage off the PTC fiber and EMU vehicles.

Contract Scope of Work

1. Define requirements for the wireless communications system.
2. Develop a design to meet all the requirements.
3. Develop a construction cost and schedule estimate.

Final Deliverable:
Comprehensive technical specifications and design to be included in a Request For Proposal to implement the Broadband Wireless Communication System.
Future Steps

1. Have a design package ready for a Request For Proposal by the end of June 2020.
2. Select a contractor to install the on-board equipment and wayside equipment in 2021.

Questions?
TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Derek Hansel
Chief Financial Officer

SUBJECT: REAFFIRM THE PENINSULA CORRIDOR JOINT POWERS BOARD INVESTMENT POLICY AND REAUTHORIZE INVESTMENT OF MONIES WITH THE LOCAL AGENCY INVESTMENT FUND

ACTION
Staff Coordinating Council recommends the Board reaffirm the Statement of Investment Policy (Investment Policy) and the delegation of authority as stated therein and adopt and updated resolution reauthorizing Peninsula Corridor Joint Powers Board (JPB) monies to be invested in the Local Agency Investment Fund (LAIF).

SIGNIFICANCE
The Executive Director or his designee serves as the JPB’s trustee for purposes of placing investments pursuant to the Investment Policies. The Board of Directors, in accordance with California Government Code Section 53646(a), may review the Investment Policy and also reauthorize the included delegations of authority on an annual basis at a public meeting.

Staff, in conjunction with legal counsel, has reviewed the attached Investment Policy and recommends the reaffirmation of said policy.

BUDGET IMPACT
The reaffirmation of the Investment Policy and reauthorization of investment in LAIF will have no impact on the JPB budgets.

BACKGROUND
The JPB’s investments have always been in accordance with sound treasury management practices and comply with the objectives of safety, liquidity, and yield in that order of priority.

Continued investments through LAIF are consistent with these objectives.

Prepared by: Jayden Treasury Manager 650-508-6405
PENINSULA CORRIDOR JOINT POWERS BOARD
STATEMENT OF INVESTMENT POLICY

I. PURPOSE

This Statement of Investment Policy (Investment Policy) provides guidelines for the prudent investment and cash management of the Peninsula Corridor Joint Powers Board's (JPB) funds. It is the goal of this Investment Policy to establish investment objectives in accordance with the provisions of the California Government Code, Section 53600 et seq. (hereafter "Code"), and investment guidelines to ensure that the funds under its purview are prudently invested to preserve capital, provide necessary liquidity, and achieve a market-average rate of return over an economic cycle consistent with the JPB's goals of preserving principal and minimizing the risk of diminishing the principal.

Investments may only be made as authorized by this Investment Policy, and subsequent revisions. This Statement of Investment Policy may be reviewed annually by the JPB's Board of Directors at a public meeting. (California Government Code Section 53646(a)). Irrespective of these policy provisions, should the provisions of the Code be, or become, more restrictive than those contained herein, then such provisions will be considered immediately incorporated into this Statement of Investment Policy.

II. OBJECTIVE

The JPB’s cash management system is designed to monitor and forecast accurately, expenditures and revenues, thus enabling the JPB to invest funds to the fullest extent possible. Idle funds of the JPB shall be invested in accordance with sound treasury management and in accordance with the provisions of the Code and this Investment Policy.

Investments shall be made with judgment and care, under circumstances then prevailing, which persons of prudence, discretion and intelligence exercise in the management of their own affairs, not for speculation, but for investment, considering the probable safety of their capital, as well as the probable income to be derived. The standard of prudence to be used by investment officials shall be applied in the context of managing an overall portfolio. JPB officials shall act in accordance with written procedures and the Investment Policy, and should report deviations from expectations in a timely fashion and take appropriate action to control adverse developments.
The JPB's primary objective with respect to its invested funds is to safeguard the principal of the funds. The second objective is to meet the liquidity needs of the JPB. The third objective is to achieve a return on its invested funds.

III. POLICY

At all times, the JPB shall invest its funds in accordance with the rules and restrictions established by the law of the State of California (including Government Code Section 53600 et seq.). In addition, the JPB shall conduct its investments under the "prudent investor standard": "When investing, reinvesting, purchasing, acquiring, exchanging, selling or managing public funds, a trustee shall act with care, skill, prudence and diligence under the circumstances then prevailing, including, but not limited to, the general economic conditions and the anticipated needs of the agency, that a prudent person acting in a like capacity and familiarity with those matters would use in the conduct of funds of a like character and with like aims, to safeguard the principal and maintain the liquidity needs of the agency." (California Government Code Section 53600.3).

The Executive Director of the JPB, or his designee, shall serve as the JPB's trustee for purposes of placing investments pursuant to this Investment Policy. The Board of Directors may review and specifically reauthorize this delegation of authority on an annual basis.

1. **Criteria for Selecting Investments.** Criteria for selecting investments and the order of priority are:

   a. **Safety.** The safety and risk associated with an investment refer to the potential loss of principal, interest or a combination of these amounts. The JPB shall invest only in those investments that are considered safe. Investments in instruments and with institutions permitted under Section 2, Diversification; Section 6, Allowable Investment Instruments and Section 7, Local Agency Investment Fund & San Mateo County Investment Fund, are deemed to constitute safe investment within the meaning of this Investment Policy.

   b. **Liquidity.** An adequate percentage of the portfolio, in the approximate amount of six months' operating expenses, should be maintained in liquid short-term investments which can convert to cash if necessary to meet disbursement requirements. For purposes of this Investment Policy, fixed income securities maturing in one year or more are considered investment term, and fixed income securities maturing in less than one year are considered short-term cash equivalents.

   c. **Return on Investment.** The JPB’s investment portfolio shall be designed with the objective of attaining the safety and liquidity objectives first, and then attaining a market rate of return throughout the budgetary and economic cycles, consistent with the portfolio’s benchmark as described in Section IV - Benchmarks. This benchmark takes into account the JPB's
investment risk constraints and the cash flow characteristics of the portfolio.

2. **Diversification.** The JPB will limit its investments to securities as defined by *California Government Code Section 53601(k)*. The portfolio should consist of a mix of various types of securities, issuers, and durations from among the allowable investment instruments described in Sections 5, 6 and 7 so as to minimize the risk of loss and maximize the rate of return when prudent to do so.

3. **Safekeeping and Custody.** All security transactions, including collateral for repurchase agreements will be executed on a Delivery versus Pay Basis (DVP). The assets of the JPB shall be held in safekeeping by the JPB's safekeeping agent, or secured through third party custody and safekeeping procedures. A due bill or other substitution will not be acceptable.

4. **Investment Maturities and Average Life.** The specific security guidelines including maximum maturities and qualified Fixed Income instruments can be found in Section 10 "Summary of Instruments & Limitations" of this Investment Policy.

   The maximum dollar weighted average maturity of the fund is five years. This policy limitation leaves open the flexibility to take advantage of interest rate fluctuations as well as yield curve differences to maximize the return on investment. The imposed maximum dollar weighted five year average maturity limits the market risk to levels appropriate for an intermediate income fund. For the purposes of calculating the "average life" of the fund, callable and asset backed securities will be run to their stated final maturity.

5. **Deposit of Funds.** As far as possible, all money belonging to or in the custody of the JPB including money paid to the JPB to pay the principal, interest or penalties of bonds, shall be deposited for safekeeping in state or national banks, savings associations or federal associations, credit unions or federally insured industrial loan companies in California (as defined by *California Government Code Section 53630*). Pursuant to *California Government Code Sections 53635, 53637 and 53638*, the money shall be deposited in any authorized depository with the objective of realizing maximum return, consistent with prudent financial management.

6. **Allowable Investment Instruments.** The JPB also may invest in any investment instrument as authorized by the *California Government Code*, as it may be amended from time to time, and subject to any conditions set forth in the *California Government Code*. These investment instruments include but are not limited to:

   a. United States Treasury notes, bonds, bills, or certificates of indebtedness, or those for which the faith and credit of the United States are pledged for the payment of principal and interest.
b. Federal agency or United States government-sponsored enterprise obligations, participations, or other instruments, including those issued by or fully guaranteed as to principal and interest by federal agencies or United States government sponsored enterprises.

c. Bankers' acceptances otherwise known as bills of exchange or time drafts that are drawn on and accepted by a commercial bank. Purchases of bankers' acceptances shall not exceed 180 days' maturity or 40 percent of the agency's moneys that may be invested pursuant to this section. However, no more than 30 percent of the agency's moneys may be invested in the bankers' acceptances of any one commercial bank pursuant to this section. This subdivision does not preclude a municipal utility district from investing moneys in its treasury in a manner authorized by the Municipal Utility District Act (California Public Utilities Code Section 11501, et seq.).

d. Commercial paper of "prime" quality of the highest ranking or of the highest letter and number rating as provided for by a nationally recognized statistical rating organization (NRSRO).

e. Negotiable certificates of deposit issued by a nationally or state-chartered bank, a savings association or a federal association (as defined by California Financial Code Section 5102), a state or federal credit union, or by a federally licensed or state-licensed branch of a foreign bank. Purchases of negotiable certificates of deposit shall not exceed 30 percent of the agency's moneys that may be invested pursuant to California Government Code Section 53601.

f. Investments in repurchase agreements or reverse repurchase agreements or securities lending agreements as defined in California Government Code Section 53601(j).

g. Medium-term notes, defined as all corporate and depository institution debt securities with a maximum remaining maturity of five years or less, issued by corporations organized and operating within the United States or by depository institutions licensed by the United States or any state and operating within the United States. Notes eligible for investment under this subdivision shall be rated "A" or better by an NRSRO. Purchases of medium-term notes shall not include other instruments authorized by this section and may not exceed 30 percent of the agency's moneys that may be invested pursuant to California Government Code Section 53601(k).

h. Shares of beneficial interest issued by diversified management companies that invest in the securities and obligations as authorized by California Government Code Section 53601(l).
i. A mortgage pass-through security, collateralized mortgage obligation, mortgage-backed or other pay-through bond, equipment lease-backed certificate, consumer receivable pass-through certificate, or consumer receivable-backed bond of a maximum of five years' maturity. Securities eligible for investment under this subdivision shall be issued by an issuer having an "A" or higher rating for the issuer's debt as provided by an NRSRO and rated in a rating category of "AA" or its equivalent or better by an NRSRO. Purchase of securities authorized by this subdivision may not exceed 20 percent of the agency's surplus moneys that may be invested pursuant to this California Government Code Section 53600.

j. Bonds, notes, warrants, or other evidences of indebtedness of any local agency within this state, including bonds payable solely out of the revenues from a revenue-producing property owned, controlled, or operated by the local agency, or by a department, board, agency, or authority of the local agency.

k. Collateral is defined in this Investment Policy to mean property (as securities) pledged by a borrower to protect the interest of the lender. For purposes of this Investment Policy, the following investments are considered to have collateral backing: Certificates of Deposit protected by either the FDIC or pledged securities in conformance with California Codes and this Investment Policy; or Bankers' Acceptances (protected by an irrevocable time draft or bill of exchange) whereby the accepting bank incurs an irrevocable primary obligation thus guaranteeing payment on the draft or bill. A secondary obligation rests with the issuing company; Commercial Paper (protected by an unsecured promissory note from the issuer who must be rated A1/P1/F1 or better) thereby guaranteeing that the earning power and/or liquidity had been established to fulfill the obligation to pay; and, asset backed securities which are rated AAA by both Moody's and Standard & Poors.

7. **Local Agency Investment Fund & San Mateo County Investment Fund.** The Board of Directors also authorizes the JPB to invest in the Local Agency Investment Fund (LAIF) pursuant to California Government Code Section 16429.1 and in the San Mateo County Investment Fund (SMCIF).

8. **Prohibited Investments.** The JPB shall not invest any funds in inverse floaters, range notes or mortgage derived interest-only strips. The JPB shall not invest any funds in any security that could result in zero interest accrual if held to maturity; however, the JPB may hold this prohibited instrument until its maturity date. The limitation does not apply to investments in shares of beneficial interest issued by diversified management companies as set forth in California Government Code Section 53601.6.
9. **Portfolio Transactions.** The JPB is expected to seek best execution for all portfolio transactions. Best execution relates to the expected realized price net of commissions and is not necessarily synonymous with the lowest commission rate. The JPB is to obtain three independent bids from SEC licensed brokerage institutions, licensed by the state as a broker-dealer, as defined in *California Government Code Section 53601.5*, or from a brokerage firm designated as a primary government dealer by the Federal Reserve Bank, prior to the execution of each portfolio transaction. The JPB will choose which broker dealers or brokerage firms from which to solicit bids and final selection is to be made based on the best interests of the JPB. Realized capital losses may be incurred in order to minimize the decrease in real purchasing power of the assets over an indefinite period of time.

10. **Summary of Instruments & Limitations.** Subject to the limitations set forth in *California Government Code Sections 53600 et seq.* which may be amended from time to time, the Executive Director or his designee may invest in the following instruments, subject to the limits of flexibility described above:

<table>
<thead>
<tr>
<th>Instrument</th>
<th>Rating</th>
<th>% of Fund</th>
<th>% of Fund Per Issuer</th>
<th>Maturity</th>
</tr>
</thead>
<tbody>
<tr>
<td>(a) U.S. Treasury Obligations</td>
<td></td>
<td>100</td>
<td>100</td>
<td>15 years</td>
</tr>
<tr>
<td>(b) Obligations of U.S. Agencies or Government Sponsored Enterprises</td>
<td></td>
<td>100</td>
<td>100</td>
<td>15 years</td>
</tr>
<tr>
<td>(c) Bankers Acceptances</td>
<td>A1/P1/F1</td>
<td>15</td>
<td>5</td>
<td>180 days</td>
</tr>
<tr>
<td>Domestic ($500 million minimum assets)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Foreign ($500 million minimum assets)</td>
<td></td>
<td>15</td>
<td>5</td>
<td>180 days</td>
</tr>
<tr>
<td>(d) Commercial Paper</td>
<td>A1/P1/F1</td>
<td>15</td>
<td>10</td>
<td>270 days</td>
</tr>
<tr>
<td>($500 million minimum assets)</td>
<td>Additional</td>
<td>10</td>
<td>10</td>
<td>31 days*</td>
</tr>
<tr>
<td>*Additional 10% (for a total of 25%) if the dollar weighted average maturity of the entire amount does not exceed 31 days</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(e) Negotiable Certificates of Deposit</td>
<td></td>
<td>10</td>
<td>5</td>
<td>5 years</td>
</tr>
<tr>
<td>(f) Repurchase Agreements Secured by U.S. Treasury or Agency Obligation</td>
<td></td>
<td>100</td>
<td>50</td>
<td>1 year</td>
</tr>
<tr>
<td>Max 5 yr. maturity (102% collateral)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Reverse Repurchase Agreements &amp; Security Lending</td>
<td></td>
<td>20</td>
<td>20</td>
<td>92 days</td>
</tr>
<tr>
<td>(g) Medium Term Notes</td>
<td>A</td>
<td>30</td>
<td>10</td>
<td>5 years</td>
</tr>
<tr>
<td>Instrument</td>
<td>Limitations</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>------------</td>
<td>-------------</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(h) Shares of beneficial interest issued by diversified management companies</td>
<td>Rating</td>
<td>% of Fund</td>
<td>% of Fund Per Issuer</td>
<td>Maturity</td>
</tr>
<tr>
<td></td>
<td></td>
<td>10</td>
<td>5</td>
<td>30 days</td>
</tr>
<tr>
<td>(i) A mortgage pass through security No Inverse Floaters No Range Notes No Interest Only Strips Derived from a Pool of Mortgages</td>
<td>AA</td>
<td>20</td>
<td>5</td>
<td>5 years</td>
</tr>
<tr>
<td>(j) Bonds, notes, warrants, or other evidences of indebtedness of any local agency within California</td>
<td></td>
<td>50</td>
<td>50</td>
<td>10 years</td>
</tr>
</tbody>
</table>

Local Agency Investment Fund (LAIF) Up to the current limit
San Mateo County Investment Fund Up to the current limit

11. **Oversight**

a. On a quarterly basis the JPB staff shall submit an investment report which provides a market review, the outlook for the market and strategy for investing JPB funds. The report will also compare the portfolio against the benchmark established by the investment Policy in terms of duration and yield.

b. Quarterly, the Executive Director shall submit an investment report to the Board of Directors within 30 days of the end of the quarter. The report shall include the following information:

1. type of investment, issuer, date of maturity, par and dollar amount invested in all securities, investments and money held by the JPB;

2. description of any of the JPB’s funds, investments or programs that are under the management of contracted parties, including lending programs;

3. for all securities held by the JPB or under management by any outside party that is not a local agency or the State of California LAIF, a current market value as of the date of the report and the source of this valuation;
4. statement that the portfolio complies with the Investment Policy or the manner in which the portfolio is not in compliance; and

5. statement that the JPB has the ability to meet its pool's expenditure requirements (cash flow) for the next six months or provide an explanation as to why sufficient money shall or may not be available.

c. Annually, the Executive Director shall perform, or cause to be performed, an independent audit of the JPB's assets as reported for the investment program's activities. It is to be conducted in such a way as to determine compliance with the JPB's Investment Policy and State Codes. Such independent auditors will express an opinion whether the statement of assets is presented fairly and in accordance with generally accepted accounting principles.

d. If the JPB places all of its investments in the LAIF, FDIC-insured accounts in a bank or savings and loan association, or the SMCIF (or any combination of these three), the Executive Director can simply submit, on at least a quarterly basis, the most recent statements from these institutions to meet the requirements of items 1-3 above, with a supplemental report addressing items 4 and 5 above. (California Government Code Section 53646(b)-(e)).

IV. BENCHMARKS

Investment performance will be compared to the performance benchmark selected by the JPB annually, which approximates the JPB's portfolio and the specific restrictions on the JPB's portfolio in accordance with applicable current legislation by the State of California.
RESOLUTION NO. 2019 -

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

***

REAFFIRMING THE STATEMENT OF INVESTMENT POLICY
FOR THE PENINSULA CORRIDOR JOINT POWERS BOARD

WHEREAS, as encouraged by applicable State law and in accordance with best practices, the Peninsula Corridor Joint Powers Board (JPB) adopted a Statement of Investment Policy in August 1999; and

WHEREAS, the JPB may annually render a statement of said Investment Policy to the Board of Directors for review and approval pursuant to Section 53646 of the State of California Government Code; and

WHEREAS, the JPB has amended its Statement of Investment Policy over the years, most recently in August 2016, to align with descriptions of investments contained in the California state codes and to more clearly reflect the JPB’s strategy for the investment of its funds; and

WHEREAS, in presenting the Statement of Investment Policy to the Board of Directors for this year, staff recommends reaffirmation as presented; and

WHEREAS, staff further recommends reappointment of the Executive Director, or his designee, as trustee for purposes of placing investments pursuant to the aforementioned policy.
NOW, THEREFORE BE IT RESOLVED the Board of Directors of the Peninsula Corridor Joint Powers Board (1) Reaffirms the Statement of Investment Policy attached hereto as Exhibit A; and (2) Reappoints its Executive Director, or his designee, as the trustee for purposes of placing investments pursuant to said policy.

Regularly passed and adopted this 3rd day of October, 2019 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary
RESOLUTION NO. 2019 -
BOARD OF DIRECTORS, PENINSULA CORRIDOR JOINT POWERS BOARD
STATE OF CALIFORNIA

***

REAUTHORIZING INVESTMENT OF PENINSULA CORRIDOR JOINT POWERS BOARD MONIES IN
LOCAL AGENCY INVESTMENT FUND

WHEREAS, pursuant to Government Code Section 16429.1, a Local Agency
Investment Fund (LAIF) was created in the State Treasury for the deposit of local agency
monies for purposes of investment by the State Treasurer; and

WHEREAS, staff recommends that the deposit and withdrawal of money in the
LAIF in accordance with the provisions of Government Code Section 16429.1 is in the
best interests of the Peninsula Corridor Joint Powers Board (JPB).

NOW THEREFORE, BE IT RESOLVED the Board of Directors of the Peninsula Corridor
Joint Powers Board does hereby authorize the deposit and withdrawal of JPB monies in
Local Agency Investment Fund in the State Treasury in accordance with the provisions
of Government Code Section 16429.1, for the purpose of investment; and

BE IT FURTHER RESOLVED the Executive Director, or his designee, shall be
authorized to order the deposit or withdrawal of JPB monies in the LAIF.

Regularly passed and adopted this 3rd day of October, 2019 by the following
vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary
TO: Joint Powers Board
THROUGH: Jim Hartnett
Executive Director
FROM: Michelle Bouchard
Chief Operating Officer
Joan Cassman
Legal Counsel
Seamus Murphy
Chief Communications Officer

SUBJECT: RESPONSE TO GRAND JURY REPORT "GRADE SEPARATIONS - BYPASSES TO GREATER SAFETY"

ACTION
Staff Coordinating Council recommends the Board authorize the Executive Director, or his designee, to submit the attached response to the San Mateo County Civil Grand Jury's report entitled "Grade Separations - Bypasses to Greater Safety."

SIGNIFICANCE
On July 18, 2019, the San Mateo County Civil Grand Jury issued a report to respond to the following question:

Should the Peninsula Corridor Joint Powers Board ([J PB]) take on an enhanced role in coordinating and facilitating the completion of the grade separation projects along the Caltrain Peninsula train corridor?

The Grand Jury conducted an extensive analysis, making twelve enumerated findings and four recommendations. In summary, the report recommended that the JPB: (1) create a Grade Separation Master Plan prioritizing all at-grade crossings on the corridor; (2) study other train corridors' implementation of similar master plans and approaches to funding grade separation projects; (3) seek support of such a master plan from the cities on the corridor; and (4) offer funding and design support to cities along the corridor for grade separation projects as prioritized in the master plan.

The JPB is required to respond to the report's findings and recommendations by October 16, 2019.

BUDGET IMPACT
There is no budget impact associated with this action.
BACKGROUND
The JPB currently is completing the Caltrain Business Plan, which includes an evaluation of the importance of grade separations, and consideration of the JPB's role in planning and implementing grade separations, within the broader context of corridor-wide infrastructure improvements. The approved Fiscal Year 2020 Capital Budget includes $5 million for a corridor-wide grade separation study.

Each county's Civil Grand Jury is authorized by California Penal Code section 925a to investigate any joint powers authority operating within that county. The San Mateo County Grand Jury typically issues approximately 10 reports per year on cities, county agencies, special districts and joint powers agencies.

Prepared By: Michelle Bouchard, Chief Operating Officer 650.508.6240
October 3, 2019

Honorable Donald J. Ayoob
Judge of the Superior Court
c/o Charlene Kresevich
Hall of Justice
400 County Center, 2nd Floor
Redwood City, CA 94063-1655

Dear Judge Ayoob:

I am writing on behalf of the Board of Directors of the Peninsula Corridor Joint Powers Board (JPB). This letter will serve as the JPB’s formal response to the San Mateo County Civil Grand Jury’s July 18, 2019 report entitled "Grade Separations – Bypasses to Greater Security." The JPB’s Board of Directors reviewed and approved (on October 3, 2019) this response to the Grand Jury report’s 12 findings (numbered F1-F12) and four recommendations (R1-R4).

As the report notes, the environment in which Caltrain operates is complex in terms of the number of jurisdictions through which it operates, the number of other transit agencies it interacts with and the additional involvement of other regional and state agencies. This is further complicated by the logistical and funding challenges involved in planning for and implementing the grade separation program in an active operating environment. Prioritizing which projects proceed first requires a regional approach to this multi-billion dollar program across three counties and 19 cities.

Findings

The JPB agrees with all of the findings set forth in the report.

Recommendations

The JPB values the Grand Jury’s recommendations, all of which concern the need to develop a corridor-wide approach to grade separation. As the four recommendations are interconnected, we offer the following response to all of them. We also provide some specific comments to particular recommendations.

The JPB currently is completing a Caltrain Business Plan, which includes an evaluation of the importance of grade separations, an assessment of the financial magnitude of the challenge, and an initial consideration of the JPB’s role in planning and implementing these projects within the context of corridor-wide
infrastructure improvements. In public materials and presentations associated with the Business Plan, Caltrain staff has highlighted the complexity of this issue and has indicated that there is a need for additional, in-depth study of grade separations at a corridor-wide level.

To that end, the approved Fiscal Year 2020 Caltrain Capital Budget includes $5 million for a corridor-wide grade separation study. This corridor-wide grade separation study is yet-to-be scoped, but is envisioned as a multi-phased, comprehensive study that will address grade separation construction; prioritization and phasing; funding strategies; and other topics related to the potential and planned grade separation of the Caltrain corridor.

The success of a corridor-wide study related to this extraordinarily sensitive topic depends on the appropriate participation and buy-in of both regional and state partner agencies as well as local jurisdictions. Developing an agreed-to approach regarding the structure and oversight of the study will be a foundational step in developing the overall scope.

The JPB considers the planned corridor-wide study to be equivalent to the "Grade Separation Master Plan" referenced in R1-R4. With this assumption, Caltrain agrees with the assertions of R1-R3 that 1) any grade separation strategy must account for a prioritization that takes into account the special circumstances of each crossing while also considering their respective functions as one in a system of crossings; 2) peer corridor work and best practices must be elements of the study; and 3) all of the cities along the Caltrain right of way must be engaged in this process.

While the JPB generally agrees with recommendations R1-R3, the JPB disagrees with the timeframe set forth for completion of the corridor-wide grade separation study. The dates in recommendations R1-R3 appear to be arbitrary and unrealistic given: 1) that the grade separation study should be completed after the broader Caltrain Business Plan in early 2020; 2) the level of complexity in scoping and performing the study; 3) the time required to acquire and dedicate experienced resources to conduct a difficult and highly unique study; and 4) the time required to gain the support and engagement of the appropriate stakeholders. A realistic study schedule will be identified as part of the detailed scoping of the Caltrain grade separation study.

The JPB does not agree with recommendation R4. This recommendation presupposes an outcome to the study that may or may not be the correct approach for the corridor. The priority or manner in which grade separations are funded and constructed must be an outcome of a comprehensive study. While the JPB appreciates that R4 recommends one option for approaching the issue, funding and construction strategies will play a large role in determining how grade separation projects should proceed.
In sum, the JPB finds great value in the Grand Jury findings and recommendations, and is confident that the future corridor-wide grade separation study planned in the coming years will yield the outcomes sought by the Grand Jury.

Thank you for the opportunity to respond to your report; I trust you will find our comments helpful.

Sincerely,

Jim Hartnett
Executive Director, Peninsula Corridor Joint Powers Board.

cc: Board of Directors
    via email to: grandjury@sanmateocourt.org
GRADE SEPARATIONS – BYPASSES TO GREATER SAFETY

ISSUE

Should the Peninsula Corridor Joint Powers Board (PCJPB) take on an enhanced role in coordinating and facilitating the completion of the grade separation projects along the Caltrain® Peninsula train corridor?

SUMMARY

There are 113 places where the Caltrain Peninsula train corridor intersects roads. Of these intersections, 42 are at-grade railroad crossings where roads and railroad tracks intersect at the same plane, necessitating the use of drop-down safety gates when trains pass in order to prevent accidents. Thirty of these “at-grade” crossings are in San Mateo County.¹ Caltrain describes at-grade crossings as a “particularly pressing and difficult issue within the corridor.”²

At-grade crossings raise safety concerns, contribute to traffic congestion, delay emergency vehicles and cause added pollution due to interruptions in the traffic flow when drop-down gates lower to allow a train to pass.³ Part of the solution for increasing safety and easing the congestion caused by lowered drop-down gates is to separate the railroad tracks from roads by building grade separations.⁴

Caltrain’s Corridor Vision Plan states “We need a unified corridor-wide strategy that ensures the most critical crossings are addressed and funded first. The current practice is that municipalities initiate and fund grade-separation efforts. Consequently, grade separations take place where funding is available, not necessarily where they are most needed. With a corridor-wide strategy, design, engineering and construction best practices can be shared; construction timing can be

coordinated together with railroad projects; and grade crossings can be coordinated with station-area development.”

Grade separations are expensive. Caltrain estimates that the cost to separate all 42 at-grade crossings could range from $8.5 billion to $11.1 billion (representing a range per separation of between $202M-$254M) in 2018 dollars.

A new, corridor-wide approach that balances Caltrain’s needs with those of the three counties in the Caltrain Peninsula train corridor is needed. The Grand Jury recommends:

1. The PCJPB create a Caltrain Peninsula train corridor Grade Separation Master Plan, including all at-grade crossings in the corridor, based on a prioritization that takes into account the needs and special circumstances of the cities and counties through which the corridor passes, with special attention to adjacent at-grade crossings so as not to limit future design alternatives.

2. In support of developing the Grade Separation Master Plan, the PCJPB should study other train corridors worldwide to learn how they implemented similar master plans, including methods developed for securing funding.

3. The PCJPB should engage with all cities on the Caltrain Peninsula train corridor to gain support for the Grade Separation Master Plan.

4. After completing the Grade Separation Master Plan, the PCJPB should offer to support funding and design efforts to the cities in the order determined by the prioritization in the master plan. If a city rejects such support for an at-grade crossing, the PCJPB should then proceed to support the next highest priority at-grade crossing in the plan.

GLOSSARY

- **At-Grade Crossings** – Locations where roads and railroad tracks intersect at the same plane, necessitating the use of drop down gates when trains cross in order to prevent accidents.

- **Caltrain** – The name under which the Peninsula Corridor Joint Powers Board operates passenger train service from San Francisco to Gilroy.

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• **California Public Utilities Commission (CPUC)** - The commission that has jurisdiction over the safety of highway-rail crossings, including grade separations.

• **Grade Separation** - A method of constructing a junction of two or more surface transport systems at different heights (grades) so that they will not interrupt the traffic flow on other transit routes when they cross.

• **Peninsula Corridor Joint Powers Board (PCJPB)** - Created in 1996, the PCJPB owns (San Francisco to San Jose) and operates (San Francisco to Gilroy) Caltrain’s rail service. The PCJPB is the result of an agreement among San Francisco, San Mateo and Santa Clara Counties; it is made up of nine representatives, three from each county. It was established, in part, to “transfer assets from the State of California to local control.”

• **Riverside County Transportation Commission (RCTC)** - The steward of Measure A sales tax dollars, which funds transportation improvements that Riverside County voters have approved.

• **San Mateo County Transit District (SamTrans)** – The administrative body for the public transit and transportation programs in SMC. By contract it manages the operation of Caltrain and the SMC Transportation Authority.

• **SMC Transportation Authority (TA)** – The steward of Measure A (2004) sales tax dollars, the TA was formed in 1988 with the passage of the voter-approved half-cent sales tax for countywide transportation projects and programs, known as Measure A. In 2004, Measure A was extended through 2033.

• **Section 190 Funding** - The Grade Separation Program that provides state funds to local agencies to separate at-grade crossings.

**BACKGROUND**

Since 1996, the PCJPB has owned and/or operated Caltrain, which runs 77 miles from San Francisco to Gilroy. Caltrain’s total service area has over 3 million residents.

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Caltrain owns the railroad tracks between San Francisco and San Jose (and operates the tracks from San Jose to Gilroy). As Caltrain has planned for capital improvements, it has had to collaborate and coordinate these projects with the cities in the corridor.

**Impact of Increased Ridership on Caltrain**

Ridership has increased in recent years, with the weekday average at 62,400 trips in 2015, up from 24,600 in 1997. With increased demand, many trains have more passengers than seats. “Growth in jobs, uncoordinated land uses, and underinvestment in transit systems are now straining the Corridor’s transportation network.” In response to the growth in ridership, Caltrain is planning to increase daily service to 114 trains per weekday in 2022 from the 92 weekday trains in service today.

Increasing the number of trains will have a negative impact on traffic congestion at at-grade crossings. “… higher train frequencies could impact local street circulation by requiring crossing gates to be down more often or for longer periods.” Caltrain has projected that the increase in gate down time will range between 28-39 minutes per day.

**Administrative Complexity**

The complexity of the Caltrain Peninsula train corridor’s administration challenges efforts to complete grade separations. The Caltrain Peninsula train corridor runs through 17 cities, involves 10 public transit operators, C/CAG, and regional and state agencies.

**DISCUSSION**

**Current Situation**

There are 42 at-grade crossings in the Caltrain Peninsula train corridor. The at-grade crossings delay motorists, emergency vehicles, pedestrians and cyclists who have to wait until a train has passed. This situation is projected to get worse as Caltrain’s Short Range Transit Plan increases daily corridor train traffic to 114 trains per weekday by 2022, up from 92 trains per weekday.

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Each grade separation in SMC presents unique challenges including traffic management during construction, disruption of businesses, and the need to purchase land. As a result, grade separation costs vary significantly. Caltrain estimates that the cost to separate all 42 at-grade crossings could range from $8.5 billion to $11.1 billion (representing an average range per separation of $202M-$254M) in 2018 dollars.17

CPUC Prioritization

The California Streets and Highway Code (S&H Code Section 245218) requires the CPUC to furnish the grade separation funding priority list to the CTC and Caltrans by July 1 of every year. The CPUC uses a two-year process to establish the priority list for two consecutive fiscal years (e.g., fiscal years 2012-2013 and 2013-2014). Nominations are accepted in October before the first fiscal year (e.g., around October 2011), projects are ranked, and the initial priority list is issued before the start of the first fiscal year (e.g., around June 2012). For the second fiscal year, projects receiving an allocation during the first fiscal year are removed from the list, and the revised list is issued as the final priority list before the start of the second fiscal year (e.g., around June 2013). Cities have to wait approximately two years to nominate a project (for the next two year cycle) if it misses the nomination process.19

S&H Code section 2452 requires the CPUC to establish criteria and develop formulas for determining the priority of projects nominated for separation. The CPUC first developed the formulas in 1975; since then, they have been modified.20

To create a prioritization of at-grade crossings, other California corridors have customized the CPUC equations to better meet their needs. For example, Riverside County (CA) used the CPUC equation as a starting point for prioritizing grade separations. They added other factors to their equation including residential noise, adjacent grade separations, local priority, and isolation of the location, among others, to develop a customized equation.21

Several SMC city managers said that a customized equation for SMC should include:

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17 Caltrain, “Caltrain Business Plan May 2019,”
19 Grand Jury correspondence
20 Ibid.
21 Riverside County Transportation Commission, “Grade Separation Priority Update Study for Alameda Corridor East (Riverside County),” March 2012, page 8.
This is an advanced copy of a Grand Jury report that will be publicly released on July 18, 2019. Penal Code section 933.05 (f) prohibits any officer, agency, department, or governing body of a public agency from disclosing any contents of the report prior to the public release of this report.

- the at-grade crossings’ proximity to hospitals (so that emergency vehicles are not delayed) and,
- the number of fatalities at that crossing.\(^{22,23}\)

Cities interested in having an at-grade crossing prioritized for grade separation by the CPUC on a statewide list must follow the published CPUC process by providing information about the crossing.\(^{24}\) However, submitting information about an at-grade crossing to the CPUC is not mandatory. During the last submission cycle, five of the seven SMC cities with at-grade crossings applied to get a prioritization.\(^{25}\)

Cities with at-grade crossings high on the CPUC’s priority list use that information to encourage favorable consideration by the SMC Transportation Authority (TA) and other potential funding sources for funding.\(^{26}\)

**The Grade Separation Project Process**

A Public Works Director in SMC said, “There is no consistent policy or process for grade separations in SMC.” The “typical” grade separation process is shown in Appendix B.

Today, cities must initiate the grade separation process.\(^{27}\) Once information is supplied to the CPUC, and an at-grade crossing is listed on the CPUC prioritization list, the city prepares required reports in order to obtain a letter of agreement from Caltrain and initial funding from the TA. Once the design is complete, the city must seek additional funding from other sources. In SMC, it typically takes from 7-10 years from the start of planning process until construction begins.\(^{28}\)

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\(^{22}\) Grand Jury interviews.

\(^{23}\) Caltrain, “Caltrain Business Plan May 2019,”


http://www.cpuc.ca.gov/uploadedFiles/CPUC_Public_Website/Content/Safety/Rail/Rail_Crossings/190GradeSepOverview-v201708.pdf

\(^{25}\) Grand Jury interview.

\(^{26}\) Grand Jury interviews.


\(^{28}\) Grand Jury interviews. However, in one extreme example, studies of a grade separation for Ravenswood Avenue in Menlo Park began in 1950’s and a design has not yet been finalized.
The Importance of Grade Separations to The Public

The California Department of Transportation’s “2018 California State Rail Plan” includes the results of a survey made available through the Caltrain website. The survey received a total of 2,189 responses between January and March 2016. When asked, “What do you think Caltrans’ highest priority should be for investments to enhance rail safety?” 72 percent of respondents said, “Improve crossings with grade separations.”

Despite the importance the public puts on completing grade separations, a range of responses among cities were aired during grand jury interviews. For example:

- San Mateo (City) obtained funding and is completing a grade separation.
- Menlo Park has analyzed design alternatives for decades.
- Atherton does not currently have plans to undertake grade separations. However, “Atherton supports grade separations at its two at-grade crossings, and it does not have a source of funding to complete grade separations. If grade separations at those at-grade crossings were proposed and funded by other agencies, the Town would support them.”

A “Piecemeal” Approach Rather Than A Corridor-wide Plan

A member of the San Mateo Board of Supervisors stated, “There is no current plan to prioritize grade separations. Prior to the commencement of Caltrain’s recent business plan process, corridor-wide grade separations have not been focused on.” The Caltrain Peninsula train corridor “has a multi-billion dollar problem and we have handled it in a piecemeal way.”

A San Mateo Daily Journal article stated “In August [2019], board members will decide if Caltrain should grow to 12 trains per hour or as many as 16 trains per hour in the coming decades and, if those scenarios are selected, then the cost of improving the 42 at-grade crossings could be as high as $11.1 billion, according to the report.”

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30 Ibid.


32 City of Menlo Park, “Project history – Below is the timeline for the Ravenswood Avenue Railroad Grade Separation Project,” accessed on April 5, 2018. https://www.menlopark.org/1077/Project-history

33 Grand jury interview.

34 Grand Jury correspondence.

35 Grand Jury interview.

With the current city-by-city approach, grade separation projects emerge where there is local interest, political will, grade separation project expertise and funding, and not necessarily where there is the most potential positive impact. Further, the current approach does not take into account the impact that a grade separation’s design in one city will have on the available design alternatives in a nearby city. For example, if Menlo Park constructed an elevated grade separation at Ravenswood Avenue, then Atherton would be limited in the design alternatives it could consider.

As the 2018 California State Rail Plan stated “… the CPUC put out an annual list of prioritized grade separation projects, an additional study or criteria is needed to consider grade separations not as stand-alone safety or traffic relief projects, but rather as rail corridor based projects. When organized and pursued strategically as part of an identified corridor, grade-separation projects can dramatically improve rail capacity and passenger service.”

Caltrain also supports the need for a corridor-wide view. Caltrain’s Corridor Vision Plan states, “We need a unified corridor-wide strategy that ensures the most critical crossings are addressed and funded first. The current practice is that municipalities initiate and fund grade-separation efforts. Consequently, grade separations take place where funding is available, not necessarily where they are most needed. With a corridor-wide strategy, design, engineering and construction best practices can be shared; construction timing can be coordinated together with railroad projects; and grade crossings can be coordinated with station-area development.”

When asked if there is a corridor-wide plan for future grade separation projects, a Caltrain official confirmed that one is in the works. The Caltrain official said, “We’re right now contemplating what the scope [of the plan] would be. We can do [grade separation projects] in a manner that is far more efficient than we do today. You have 42 [remaining grade separation projects] between San Francisco and San Jose so what is the best way to do that? … It needs to be phased...”

**Options for A Corridor-Wide Plan**

Other California train corridors have created corridor-wide entities that employ expertise in acquiring funding, designing, and constructing grade separations.

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39 Grand Jury correspondence.
The Riverside County Transportation Commission (RCTC) was formed to create a regional grade separation master plan. In 2006, the RCTC developed a funding strategy for completing grade separations. In 2012, the RCTC applied a Multicriteria Analysis40 “using nine criteria as inputs for prioritization.”41 The result was a master plan that prioritized grade separations in that corridor.42

Kern County established the Greater Bakersfield Separation of Grade District (GBSGD). The duties of the district are “To separate at-grade crossing of streets with railroads by means of underpasses or overpasses, thereby facilitating the flow of traffic and improving public safety.”43

The GBSGD has completed the “Prioritization of Crossings”, which focuses on allowing the county to allocate financial resources to projects that would provide the greatest benefit to traffic flow improvements, freight movement, passenger movement, and safety.”44 The GBSGD hired one person to focus on obtaining funding for grade separations and one person to work with the PUC to design grade separations.45,46

The Recommended Approach

The PCJPB should take on an enhanced role in the completion of grade separations along the Peninsula Corridor train corridor. The PCJPB is the “governing body for the Caltrain Peninsula commuter rail transit service between San Francisco, San Jose and Gilroy.”47 The PCJPB has the necessary, corridor-wide perspective because its board is comprised of three representatives from each of the three counties in the corridor. The three-county perspective is essential, as grade separations should be seen “not as stand-alone safety or traffic relief projects, but rather as rail...
corridor based projects.”

The PCJPB’s enhanced role should include the creation of a Caltrain Peninsula train corridor grade separation master plan that ensures the most critical at-grade crossings are addressed and funded first. Secondly, the PCJPB could support cities with the most critical at-grade crossings in obtaining funding, designing and project managing grade separation efforts.

An enhanced role for the PCJPB would have several advantages:

1. The PCJPB would develop a grade separation master plan, including prioritization that would incorporate (a) intercity spillover effects ignored in the current CPUC approach, and (b) factors such as nearby emergency vehicle traffic and track fatalities.

2. The PCJPB would bring expertise in acquiring funding for high priority projects and avoid the possibility of Caltrain Peninsula train corridor grade separation projects competing against one another for the same Measure A funds. Further, PCJPB is prepared to compete against other California train corridors that are vying for State funding.

3. The PCJPB would bring technical and regulatory expertise to grade separation projects. Since it has already participated in the design of grade separations along the corridor, and has already worked with the CPUC on these projects, it understands the process of getting state approvals.

4. The PCJPB understands that the requirement for grade separation set by the current regulatory framework may be out of pace with the ongoing plans and desires of many communities on the corridor. Further, the PCJPB employs project managers who have completed grade separations projects.

5. The PCJPB has experience working with cities on grade separation projects. Their staff is aware of the perspectives that cities bring to these projects.

As one Caltrain official said, “In general, I believe that Caltrain either already has, or can readily procure, the required core technical skills to support the kinds of grade separation projects we do today. On a technical level we are the only entity in the corridor with any real experience constructing and building these kinds of projects and the only organization with the detailed

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49 Grand Jury interviews.
51 Ibid.
52 Grand Jury interview.
knowledge of how they have to work and integrate with the railroad’s increasingly complicated systems (positive train control and signaling systems and, soon, the electrified infrastructure).”

Adopting a corridor-wide grade separation master plan will have challenges. It is clear from grand jury interviews with SMC city managers that some cities would resist a regional approach if it meant receiving a lower priority status for their city’s grade separation project(s). However, as shown in Riverside and Kern Counties, adopting a corridor-wide approach that provides expertise in funding, design, and project management would bring efficiencies that would speed the process of completing grade separations.

FINDINGS

F1. In SMC, grade separation projects are initiated by cities.

F2. Cities with grade separation project expertise have an advantage in gaining funding over cities without that expertise.

F3. A Caltrain Peninsula train corridor grade separation master plan does not exist.

F4. The CPUC’s annual list of prioritized grade separation projects does not include all at-grade crossings in the Caltrain Peninsula train corridor.

F5. Other California train corridors have customized the CPUC’s prioritization equation.

F6. Caltrain plans on increasing train traffic (114 weekday trains by 2022, up from today’s 92 weekday trains), which will be increase “gate down” time at at-grade crossings.

F7. As of 2018, the cost of building a grade separation in the corridor could range from $202M -$264M, according to the “Caltrain Business Plan, April 2019.”

F8. In SMC, it typically takes from 7-10 years from the start of the grade separation planning process until construction begins.

F9. The design of a grade separation in one city can limit the design alternatives in an adjacent city.

F10. Other California counties have developed corridor-wide approaches to address the challenges of completing grade separations.

F11. The PCJPB is the governing body of the Caltrain Peninsula train corridor.

F12. The PCJPB has experience in obtaining funding, designing and project managing grade separation projects. It also understands the regulatory environment.
RECOMMENDATIONS

R1. By March 31, 2020, the PCJPB should create a Caltrain Peninsula train corridor Grade Separation Master Plan, including all at-grade crossings in the corridor, based on a prioritization that takes into account the needs and special circumstances of the cities and counties through which the corridor passes, with special attention to adjacent at-grade crossings so as not to limit future design alternatives.

R2. By September 30, 2019, in support of developing the Grade Separation Master Plan, the PCJPB should study other train corridors worldwide to learn how they implemented similar master plans, including methods developed for securing funding.

R3. By September 30, 2019, the PCJPB should engage with all cities on the Caltrain Peninsula train corridor to gain support for the Grade Separation Master Plan.

R4. By May 31, 2020, shortly after completing the Grade Separation Master Plan, the PCJPB should offer to support funding and design efforts to the cities in the order determined by the prioritization in the master plan. If a city rejects such support for an at-grade crossing, the PCJPB should then proceed to support the at-grade crossing with the next highest priority in the plan.

REQUEST FOR RESPONSES

Pursuant to Penal Code Section 933.05, the Grand Jury requests responses as follows:
From the following governing body:
  - The Peninsula Corridor Joint Powers Board

The governing body indicated above should be aware that the comment or response of the governing Commission must be conducted subject to the notice, agenda, and open meeting requirements of the Brown Act.

METHODOLOGY

The Grand Jury reviewed documents and websites, and conducted interviews as listed below.
BIBLIOGRAPHY


- City of Menlo Park, “Project history – Below is the timeline for the Ravenswood Avenue Railroad Grade Separation Project,” accessed on April 5, 2018. https://www.menlopark.org/1077/Project-history


content/uploads/2010/03/KernCounty_GradeSepStudy_DRAFT.pdf


- Riverside County Transportation Commission, “Grade Separation Priority Update Study for Alameda Corridor East (Riverside County),” March 2012, page 8.


- “San Mateo County Measure A Grade Separation Programs”, San Mateo County Transportation Authority, August 4, 2016.

**Interviews**

- SMC City Public Works Directors
- Representatives of:
  o South San Francisco
  o Burlingame
  o City of San Mateo
  o Redwood City
  o Atherton
- Officials with Caltrain
- Officials with the San Mateo County Transportation Authority
- Officials from the California Public Utilities Commission
- A supervisor on the SMC Board of Supervisors
- A senior member of the San Mateo County management team
- An official from the Riverside County Transportation Commission
This is an advanced copy of a Grand Jury report that will be publicly released on July 18, 2019. Penal Code section 933.05 (f) prohibits any officer, agency, department, or governing body of a public agency from disclosing any contents of the report prior to the public release of this report.

- An official from the Kern County Separation of Grade Special District
- An official from SMC LAFCo

Websites


APPENDIX A – CALTRANS/CPUC GRADE SEPARATION PRIORITIZATION EQUATION

The Caltrans Section 190 Grade Separation Program authorizes funds for grade separation projects. “Funding decisions are based on a priority list of grade separation projects with the use of two formulas. The first formula [shown below] is used for the crossings nominated for separation or elimination.”53 The second formula is used to evaluate existing grade separations that are in need of alteration or renovation.

The CPUC grade separation equation:

\[
P = V \times (T + 0.1LRT) \times (AH + 1) / C + SCF
\]

- \( P \)= priority index number
- \( V \)= Average Daily Vehicle Traffic
- \( T \)= Average Daily Freight or Commuter Train Traffic
- \( LRT \)= Light Rail Traffic
- \( C \)= Cost Share to be allocated from the Grade Separation Fund
- \( AH \)= Accident history
- \( SCF \)= Special Conditions Factor

The CPUC grade separation equation for existing grade separations in need of alteration or renovation is:

\[
P = V \times (T + 0.1LRT) / C + SCF
\]

- \( P \)= priority index number
- \( V \)= Average Daily Vehicle Traffic
- \( T \)= Average Daily Freight or Commuter Train Traffic
- \( LRT \)= Light Rail Traffic
- \( C \)= Cost Share to be allocated from the Grade Separation Fund
- \( SCF \)= Special Conditions Factor

53 “MCA is the most common approach cited in literature for making assessment and prioritization decisions about grade separations.” See “Prioritization Procedure for Proposed Road Rail Grade Separation Projects Along Specific Rail Corridors (2019)”, Page 8.
APPENDIX B – TYPICAL GRADE SEPARATION PROCESS

The following is a “typical example” of the process followed by recent projects. It is not intended to be a prescriptive or rigidly defined process. Some of the steps below were different for projects that have been completed over the last two decades and could change in the future.54

1. A city and Caltrain gather information about an at-grade crossing. The information is sent to the CPUC in order to be put on the statewide prioritization list. As a Public Works Director said, “The city is the initial driver. Cities are always the driver of the project.”55

2. The city begins two-way communications (typically forums) with the public. A Project Study Report is funded and completed by the city and/or Caltrain. Funding for the report can come from several sources (typically, the TA and/or the city). (San Mateo provided $12 million for a grade separation project study report. Burlingame provided $500,000 for reports on the Broadway project.)56

3. The National Environmental Policy Act57 and the California Environmental Quality Act58 requirements are met. (An EIR may or may not be required under NEPA; under CEQA grade separations are exempt from EIRs.)

4. The completed reports are sent to the funding sources, including the TA and/or CPUC. They are required to obtain funding for a project’s final design phase.

5. Cities need a letter of agreement from Caltrain in order for the TA to proceed with the funding request. The TA evaluates the jurisdiction’s request and decides whether to apply Measure A59 funds to the project.60

6. With TA approval (or other funding) and after the Project Study Report is complete, 15-35% of design work is completed. After acquisition of funding for final design, Caltrain usually manages the development of the grade separation’s design. However, designs can be driven by the city. Caltrain and a review panel, which includes the CPUC, must approve designs.

7. Once the design is completed, the city seeks additional funding from several sources, including the CPUC, the TA, California state government, and the federal government,

54 Grand jury interview.
55 Grand Jury interview.
56 “CalMod and High-High Speed Rail Joint Local Policy Maker Group,” High Speed Rail, August 24, 2017.
59 Measure A, which went into effect in 2009, includes funds for more local community shuttle service, railroad/street grade separations, ferry service to South San Francisco and Redwood City, and a major infusion of tax dollars for pedestrian and bicycle projects.
60 Grand Jury interview.
among others.

8. Once the design is finalized, the right-of-way acquisition process begins and utility relocation efforts are initiated.

9. The city and Caltrain update the public on the project throughout the project development process. Once construction funding is secured and the project can proceed to construction, the public is notified of the impending work.

10. Construction begins subject to coordination with the railroad’s overall program of capital improvements.
TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Michelle Bouchard
Chief Operating Officer

Joan Cassman
Legal Counsel

Seamus Murphy
Chief Communications Officer

SUBJECT: RESPONSE TO GRAND JURY REPORT "JUST MISSED IT! FIXING SAMTRANS' 'CALTRAIN CONNECTION''

ACTION
Staff Coordinating Council recommends the Board authorize the Executive Director, or his designee, to submit the attached response to the San Mateo County Civil Grand Jury's report entitled "Just Missed It! Fixing SamTrans' 'Caltrain Connection.'"

SIGNIFICANCE
On July 11, 2019, the San Mateo County Civil Grand Jury issued a report to respond to the following question:

Should SamTrans' "Caltrain Connection" bus schedules be coordinated with Caltrain schedules to minimize wait times for riders transferring to and from trains during peak commute hours?

The Grand Jury made nine findings and four recommendations, and requested that the Peninsula Corridor Joint Powers Board (JPB) respond to all nine findings and two of the recommendations, which are for the JPB to: (1) survey Caltrain riders to determine the extent to which they are interested in better coordination of Caltrain and SamTrans schedules; and (2) convene a joint meeting of the JPB and San Mateo County Transit District (District) Boards of Directors to discuss use of SamTrans' "Caltrain Connection" buses as a feeder system for Caltrain.

The JPB's response is due by October 9, 2019.

BUDGET IMPACT
There is no budget impact associated with this action.

BACKGROUND
The JPB is currently completing the Caltrain Business Plan and the District has recently
launched a Comprehensive Operational Analysis (COA) known as "Reimagine SamTrans." The Caltrain Business Plan includes a major service planning effort that will guide the development of Caltrain services over the next 20 years. The COA will evaluate each SamTrans route, including routes connecting to Caltrain stations, and how those routes meet current and potential future riders' needs.

Each county's Civil Grand Jury is authorized by California Penal Code section 925a to investigate any joint powers authority operating within that county. The San Mateo County Grand Jury typically issues approximately 10 reports per year on cities, county agencies, special districts, and joint powers agencies.

Prepared By: Michelle Bouchard, Chief Operating Officer 650.508.6240
Honorable Donald J. Ayoob  
Judge of the Superior Court  
c/o Charlene Kresevich  
Hall of Justice  
400 County Center, 2nd Floor  
Redwood City, CA 94063-1655  

Dear Judge Ayoob:

I am writing on behalf of the Board of Directors of the Peninsula Corridor Joint Powers Board (JPB). This letter will serve as the JPB's formal response to the San Mateo County Civil Grand Jury's July 11, 2019 report entitled "Just Missed It! Fixing SamTrans' 'Caltrain Connections.'" The JPB's Board of Directors reviewed and approved (on October 3, 2019) this response to the Grand Jury report's nine findings (numbered F1-F9) and two of the Grand Jury's four recommendations (R3 and R4).

For context, it is important to note that the JPB, a three-county joint powers authority, operates Caltrain in San Francisco, San Mateo and Santa Clara Counties along a rail corridor passing through 19 cities. Caltrain connects not only with SamTrans buses operated by the San Mateo County Transit District (District), but also with services of the San Francisco Municipal Transportation Agency and Santa Clara Valley Transportation Authority, as well as the Bay Area Rapid Transit District, Capitol Corridor and other means of public transportation, including shuttle programs operated by a range of public, private and non-profit entities.

Findings

The JPB generally agrees with findings F1, F2 and F5. The JPB agrees with finding F6 to the extent that the finding concerns the JPB (as opposed to the District). The JPB is not in a position to agree or disagree with findings F3, F4, F7, F8 or F9.

Recommendations

The Grand Jury requested that the JPB respond to the following two recommendations:
R3: Caltrain should survey existing riders of Caltrain trains in San Mateo County, including those who use SamTrans, to determine their interest in coordinating "Caltrain Connection" bus schedule arrival times at Caltrain stations with existing Caltrain schedules. The Caltrain Board of Directors should consider the results of that study at a public hearing by June 30, 2020.

The JPB surveys its customers fairly frequently. The JPB conducts standard customer surveys every three years in accordance with federal requirements and to inform its decision-making. The JPB also conducts surveys regarding specific areas of interest, when appropriate, e.g., a May 2018 Customer Satisfaction Survey. Most triennial and special-purpose surveys include questions on passengers’ travel patterns, including origins and destinations, as well as their modes of travel getting to the train and their final destinations. Answers to these questions are used when the agency contemplates capital and operational improvements to address the first- and last-mile needs of riders throughout the Caltrain service area.

The last triennial customer survey was conducted in October 2016; the next such survey is planned for later this fall. It would not be efficient or add any particularly helpful information for the JPB to conduct a separate study just on bus services in one of the three counties where it operates.

It should be noted that the District also surveys SamTrans passengers, and we understand that the District will be evaluating service characteristics and proposing service changes as part of the SamTrans Comprehensive Operational Analysis ("COA" or "Reimagine SamTrans") that recently commenced. The COA will provide both the District and the JPB an opportunity to consider opportunities to improve their connecting services.

R4: The Boards of Directors of SamTrans and Caltrain should discuss together the value and feasibility of using "Caltrain Connection" buses as a feeder system to Caltrain to reduce traffic congestion. This should be undertaken by December 31, 2019.

The JPB and District are both engaged in major planning efforts at this time: the Caltrain Business Plan for the JPB, and Reimagine SamTrans for the District. Among the many issues being explored in the Caltrain Business Plan is the structure and predictability of Caltrain schedules, including how this structure improves coordination with the many means passengers have for accessing the train. The District is a stakeholder in the Caltrain Business Plan, and the JPB is a stakeholder in Reimagine SamTrans. Staff and the Boards of Directors of each agency will have opportunities to be informed of analysis being conducted for both plans, and to provide input, including as related to Caltrain-SamTrans connections. We do not anticipate that the Boards of Directors will hold a joint meeting to discuss connections between Caltrain and SamTrans, which is just one of the many providers of transportation services providing connections to
Caltrain’s passengers; rather, the Boards will provide direction for staff concerning Board priorities, including easing riders’ use of public transit.

Thank you for the opportunity to respond to your report; I trust you will find our comments helpful.

Sincerely,

Jim Hartnett
Executive Director, Peninsula Corridor Joint Powers Board.

cc: Board of Directors
    via email to: grandjury@sanmateocourt.org
JUST MISSED IT! FIXING SAMTRANS’ “CALTRAIN CONNECTION”

ISSUE

Should SamTrans “Caltrain Connection” bus schedules be coordinated with Caltrain schedules to minimize wait times for riders transferring to and from trains during peak commute hours?

SUMMARY

Approximately 8,000 commuters travel north or south each workday from seven Caltrain train stations in San Mateo County plus Palo Alto. Of these, approximately ten percent travel between their homes and Caltrain train stations on SamTrans buses. Approximately three times as many Caltrain riders commute to Caltrain stations by car. These commuters increase vehicle traffic on local roads, which has become significantly worse over the past ten years.

SamTrans operates 16 bus lines (labeled “Caltrain Connection” on the SamTrans schedules) to and from these Caltrain stations during commute hours. The ECR (El Camino Real) bus line also transports commuters to Caltrain stations. Despite the “Caltrain Connection” designation expressed in the logo shown in SamTrans schedules, SamTrans makes no effort to coordinate these buses’ Caltrain station arrival and departure times with the Caltrain train schedules.

A Grand Jury comparison of bus-train schedules during commute hours shows suboptimal wait times, defined as longer than 15 minutes or shorter than 5 minutes. For instance, in the morning commute, only 35 percent of SamTrans’ “Caltrain Connection” buses are scheduled to arrive within 5 to 15 minutes of a Caltrain departure. Nineteen percent arrive with less than 5 minutes to make the transfer which, given normal delays in bus schedules, may not allow riders enough time to make the train. Twenty-six percent of buses are scheduled to arrive between 16 and 30 minutes before a Caltrain departure, and scheduled arrival times for 20 percent require riders to wait more than 30 minutes.

Better coordination of “Caltrain Connection” bus schedules with Caltrain during commute hours could make using SamTrans, rather than cars, for the trip between home and Caltrain stations more appealing to commuters. This, in turn, could increase ridership on SamTrans and decrease car traffic. Decreased wait times could also incentivize commuters living on these routes and who currently commute to work by car to try commuting on Caltrain instead.

While it should be possible to more closely align the “Caltrain Connection” schedules with the Caltrain schedule and in doing so potentially improve this commuter option, SamTrans officials
state that SamTrans service is not meant to act as a feeder system to Caltrain. SamTrans coordinates bus schedules only to facilitate transfers between bus lines, not between buses and trains. Better coordination could help fulfill SamTrans’ policy expressed in 2018’s Measure W sales tax increase that was passed in order to relieve traffic congestion. Point 10 of the “Core Principles of the Final Investment Plan” in Measure W is to “Incentivize transit, bicycle, pedestrian, carpooling and other shared-ride options over driving alone.”

The Grand Jury recommends that SamTrans investigate whether it is feasible to coordinate its “Caltrain Connection” bus schedules with Caltrain train schedules. Further, together with Caltrain, SamTrans should survey existing and potential Caltrain riders to determine the level of commuter interest in improved bus service between homes and Caltrain stations that aligns bus and train schedules.

BACKGROUND

In many large urban areas such as Los Angeles, San Francisco and New York, transportation management, including bus systems, rail systems, tax fund administration, and congestion management, is concentrated under the authority of a single board of directors and the administration of a single chief executive.¹

However, in San Mateo County, due to their creation at different times and through different methods (ballot measures, intercounty agreements, assignment by regional authority), bus, rail, tax fund administration, and congestion management agencies all report to separate boards of directors. The San Mateo County Transit District Board (SamTrans) is responsible for fixed-route bus service, the Peninsula Corridor Joint Powers Board (JPB) is responsible for Caltrain rail service, and the San Mateo County Transportation Authority Board (TA) is responsible for administering transportation funds collected from Measure A (2004) sales tax revenue. For efficiency, these agencies decided to consolidate daily operations under a single Chief Executive Officer who is responsible for executing the policies set by the Boards of Directors.²

Historically, SamTrans, the JPB, and the TA have had no mandate to reduce traffic congestion. The Metropolitan Transit Commission (MTC) which is responsible for local Congestion Management Agencies (CMAs) assigned this responsibility to the City/County Association of Governments of San Mateo County (C/CAG), which then assigned implementation of congestion management to Commute.org. Commute.org is “a public agency whose mission is to reduce the number of drive-alone vehicles traveling to, from or through San Mateo County” by “helping residents and commuters find alternatives to driving alone that are less stressful, less costly and better for the environment.”³

³ Commute.org website (https://commute.org/aboutus)
In 2018, voters in San Mateo County approved Measure W, a ½ cent sales tax increase projected to generate $80 million per year to be invested in projects designed to relieve traffic congestion in San Mateo County. This measure was authored by SamTrans who will receive 50 percent of the proceeds to support operations and capital needs of SamTrans bus and paratransit service, Caltrain rail service, and other mobility services administered by SamTrans. (The other 50 percent will be received by the TA to support countywide highway congestion improvements, local safety, pothole and congestion relief improvements, bicycle and pedestrian improvements, and regional transit connections.)

The Congestion Relief Plan included in the text of and funded by Measure W reflects priorities identified through a nine-month “Get Us Moving” process. This was a collaborative program spearheaded by SamTrans and the San Mateo County Board of Supervisors to increase community awareness of current transportation conditions, programs, services, and solutions; help identify and prioritize transportation funding needs in the county; develop an understanding of community opinions about transportation priorities; and inform future transportation revenue opportunities and expenditures. It was a joint effort with local cities, partner agencies, and other stakeholders including regional leaders, transportation experts, employers of all sizes, non-profit groups and volunteer community members.

Point 10 of the Core Principles of the Final Investment Plan of the “Get Us Moving” process, which is included in Measure W Section 1 (c), states one of the purposes of the program is to “[i]ncentivize transit, bicycle, pedestrian, carpooling and other shared-ride options over driving alone.” Further, Section 6 (e) states that, “[i]nvestments will be designed to increase ridership, improve efficiency, and reduce congestion within the County by facilitating the creation of new services that incentivize more riders to choose public transit.”

Prior to adoption of Measure W, SamTrans also issued a Business Plan, dated July 2018 (adopted September 5, 2018), which lists as one of the guiding principles/priorities, “[p]romote programs that relieve traffic congestion.”

**DISCUSSION**

Commuters in San Mateo County have several alternatives to get to work. On average 71 percent of them commute by car alone, and another 14 percent drive with another person. Ten percent

6 Supra, Note 4
use some form of public transportation, of which 3 percent use SamTrans and the other 7 percent use some other form of public transport (BART, Caltrain, etc.).

SamTrans Fixed-Route Service operates 16 bus routes that are labeled “Caltrain Connection” connecting to one of eight Caltrain stations. Most of these routes operate between 6 a.m. and 10 p.m., Monday through Friday, but some also provide night and weekend service. This report only addresses operation of these routes during commute periods. The ECR (El Camino Real) Route also connects to Caltrain and BART stations along the El Camino Real corridor. The eight stations are: Burlingame, San Mateo, Hillsdale, Belmont, San Carlos, Redwood City, Menlo Park, and Palo Alto. Palo Alto is not in San Mateo County but is included in this discussion because it is the destination for four SamTrans “Caltrain Connection” routes and the ECR. (See Figure 1.)

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8 SamTrans Market Segmentation Study (Spring 2018), Page 15

9 For these eight Caltrain stations, the commute period runs from approximately 6:00 a.m. to 10:00 a.m. in the morning and from 4:00 p.m. to 8:00 p.m. in the evening, on weekdays.
This is an advanced copy of a Grand Jury report that will be publicly released on July 11, 2019. Penal Code section 933.05 (f) prohibits any officer, agency, department, or governing body of a public agency from disclosing any contents of the report prior to the public release of this report.

Figure 1 – SamTrans Fixed-Route Service Routes

Commuter Service Between Homes and Caltrain Stations

In San Mateo County, the primary public transportation option for the commute between home and Caltrain stations is SamTrans “Caltrain Connection” and ECR bus service. At present, these routes carry approximately 10 percent of the 8,000 commuters who use one of the eight Caltrain stations served by SamTrans. Also, of those 8,000 commuters, approximately 45 percent currently walk and 17 percent ride a bicycle to a Caltrain station and so do not need a public transportation option. The remaining 28 percent either drive and park at the Caltrain station, or are driven to the station and dropped off there, and therefore might choose to ride SamTrans if the wait times were more convenient. (See Appendix A for further details.)

The Nonalignment Between SamTrans’ “Caltrain Connection” Bus Schedules and Caltrain Schedules

The Grand Jury analyzed the schedule alignment of all “Caltrain Connection” and ECR bus routes with Caltrain schedules during commute hours. This analysis shows that 26 percent of the morning commute bus-to-train connections require a wait time to the next train after arrival of the buses at the stations of 16 to 30 minutes and 20 percent require a wait time in excess of 30 minutes. In addition, in 19 percent of cases, buses are scheduled to arrive at train stations less than 5 minutes before then next train, making the connection to that train uncertain, especially if the bus is running late. (SamTrans sets a goal of 85 percent on time performance which is defined as between zero minutes early and five minutes late ±30 seconds.) Only 35 percent of buses are scheduled to arrive at Caltrain stations between 5 and 15 minutes before the next train is scheduled to depart. (See Appendix B for discussion of methodology and Table B-1 for how percentages are calculated.)

Similarly, in the evening commute hours the wait time for buses after arrival of the trains is 16 to 30 minutes in 21 percent of the cases and in excess of 30 minutes 13 percent of the cases (if there is any bus scheduled at all). Also, buses are scheduled to leave less than five minutes after a train arrives in 23 percent of the cases. Thus, only 43 percent of buses are scheduled to depart Caltrain stations between 5 and 15 minutes after the previous train is scheduled to arrive. (See Appendix B, Table B-2.)

11 Caltrain Annual Passenger Count (January 2018), Attachment 6, Page 6

12 The amount of wait time that is acceptable to transition from a bus to a train on a morning commute (or the reverse in the evening) is subjective. For the purposes of this discussion, the Grand Jury looked to the example of the wait times experienced by the approximately 20,000 commuters in San Mateo County who use BART to get to San Francisco each workday. According to published BART schedules (see https://www.bart.gov/schedules/bylinerresults?route=7&date=05/01/2019 ), during commute hours, BART trains are scheduled to leave the Millbrae Station every 15 minutes. (At other stations in San Mateo County the time between BART trains is as little as 3 minutes.) Because of this, commuters who use SamTrans to get to BART stations never wait more than 15 minutes when BART is running to schedule. Therefore, for this report a target wait time of no more than 15 minutes has been used.

13 SamTrans Short Range Transit Plan – FY2017-FY2026, Page 42
Combining morning (bus-to-train) and evening (train-to-bus) schedules as described above, in about one quarter of those instances where a longer than 15 minute wait is scheduled, the previous bus-to-train or train-to-bus scheduled connection is missed by less than five minutes, which can result in commuters seeing a train pull away just as their bus arrives in the morning or a bus pull away just as their train arrives in the evening. (Just missed it!) (See Appendix B, Tables B-1 and B-2.)

According to SamTrans officials, it should be possible to better align the “Caltrain Connection” bus schedules with the Caltrain schedule. However, notwithstanding the designation “Caltrain Connection,” those officials state that SamTrans buses are not meant to act as a feeder system to Caltrain. The designation “Caltrain Connection” refers to the fact that these routes provide connection to Caltrain stations, not that the buses connect to Caltrain trains. This is particularly interesting since SamTrans, along with Caltrain and various city governments, does contract with Commute.org to manage 20 shuttle routes that travel between various BART/Caltrain stations and certain work locations in San Mateo County, the schedules of which are oriented toward picking up from specific trains in the morning and meeting specific trains in the evening. Also, in concert with Caltrain, the San Francisco Municipal Transportation Agency (MUNI) operates the 81X, 82X, and 83X bus lines, whose schedules are also arranged to meet trains in the morning and the evening.

An Example of How SamTrans-Caltrain Schedule Coordination Could be Achieved

In order to test the possibility of modifying “Caltrain Connection” bus schedules to meet trains more often, the Grand Jury examined as an example the schedule of one selected “Caltrain Connection” bus Route, the 275 in Redwood City. This analysis focused on the scheduled wait time between buses and trains in the morning and between trains and buses in the evening. For each morning train, the bus arrival times at the Redwood City Train Station were reviewed to find the bus that has the shortest wait time to the train departure time. Conversely, for each evening train, the bus departure times from the Redwood City Train Station were reviewed to find the bus that has the shortest wait time from the train arrival time.

Table 1 shows the current schedule for bus Route 275, mapped against the corresponding Caltrain schedule. It shows that only one of the 18 bus-train connections that occur each day for northbound (toward San Francisco) morning commuters at the Redwood City Transit Center at Sequoia Station (the “Redwood City Station”) and for southbound (toward the Redwood City Station) evening commuters is aligned with the Caltrain schedule (i.e., for the northbound morning commute to work, the bus arrives between 5 and 15 minutes before the train departs and for the southbound evening return commute to home, the bus departs from the Redwood City

14 Grand Jury interviews.
15 Ibid.
16 Grand Jury interview.
17 Commute.org Shuttle Schedules, https://commute.org/shuttles
Station between 5 and 15 minutes after the train arrives). Importantly, Table 1 shows that the current Route 275 schedule does not align with two of the three “Baby Bullet”19 northbound express trains to San Francisco in the morning or any of the three southbound Baby Bullet express trains returning to Redwood City Station in the evening.

For commuters leaving from Redwood City Station to go southbound (toward San Jose) in the morning and returning on northbound evening trains, the situation is somewhat better in that two of the three southbound morning commute Baby Bullet express train connections can be made within the 5 to 15-minute window and three of the five returning northbound (to Redwood City Station) Baby Bullet express train connections in the evening fit this parameter. But overall, of the 22 bus-train connections that occur each day for southbound morning commuters and returning northbound evening commuters, only seven can be made within this specified window.

Table 2 (below) reflects an alternative schedule for Route 275 developed by the Grand Jury based on trying to get commuters to the trains within the 5 to 15-minute window by changing the bus arrival times by only a few minutes and increasing the utilization of idle buses (see Appendix C). The results of this exercise show that if the alternate schedule were to be used for the northbound (San Francisco) morning commute and returning southbound (Redwood City Station) evening commute, 14 of 18 connections could be made with appropriate leeway, including all of the express trains. For the southbound (San Jose) morning commute and returning northbound (Redwood City Station) evening commute, 16 of 22 connections could be made with appropriate leeway, including eight of the nine express train connections. This alternate schedule (Table 2) does not require any additional buses or operators.

This exercise demonstrates that better SamTrans/Caltrain schedule coordination is possible. Whether this leads to an increase in bus ridership and a reduction in congestion is unknown. The next section discusses the possible impacts and limitations of such changes.

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19 Caltrain operates three types of train schedules; a) Local trains that stop at every station, b) Express trains that only stop at selected stations, and c) “Baby Bullet” trains that stop at only four to six stations between San Jose and San Francisco and have the ability to pass other trains using special bypass tracks at certain locations.
This is an advanced copy of a Grand Jury report that will be publicly released on July 11, 2019. Penal Code section 933.05 (f) prohibits any officer, agency, department, or governing body of a public agency from disclosing any contents of the report prior to the public release of this report.

### Route 275 - Caltrain Connection (Current Schedule)

**Northbound Morning Trains**

<table>
<thead>
<tr>
<th>Time</th>
<th>Scheduled Wait Time - Bus to Train</th>
<th>Scheduled Wait Time - Train to Bus</th>
</tr>
</thead>
<tbody>
<tr>
<td>6:32 AM</td>
<td>16 min</td>
<td></td>
</tr>
<tr>
<td>6:47 AM</td>
<td>5 min</td>
<td></td>
</tr>
<tr>
<td>7:00 AM</td>
<td>10 min</td>
<td></td>
</tr>
<tr>
<td>7:23 AM</td>
<td>22 min</td>
<td></td>
</tr>
<tr>
<td>7:31 AM</td>
<td>30 min</td>
<td></td>
</tr>
<tr>
<td>8:06 AM</td>
<td>1 min</td>
<td></td>
</tr>
<tr>
<td>8:11 AM</td>
<td>6 min</td>
<td></td>
</tr>
<tr>
<td>8:23 AM</td>
<td>18 min</td>
<td></td>
</tr>
<tr>
<td>8:31 AM</td>
<td>26 min</td>
<td></td>
</tr>
<tr>
<td>9:06 AM</td>
<td>34 min</td>
<td></td>
</tr>
</tbody>
</table>

**Southbound Morning Trains**

<table>
<thead>
<tr>
<th>Time</th>
<th>Scheduled Wait Time - Bus to Train</th>
<th>Scheduled Wait Time - Train to Bus</th>
</tr>
</thead>
<tbody>
<tr>
<td>6:44 AM</td>
<td>16 min</td>
<td></td>
</tr>
<tr>
<td>7:06 AM</td>
<td>5 min</td>
<td></td>
</tr>
<tr>
<td>7:11 AM</td>
<td>10 min</td>
<td></td>
</tr>
<tr>
<td>7:31 AM</td>
<td>22 min</td>
<td></td>
</tr>
<tr>
<td>8:06 AM</td>
<td>30 min</td>
<td></td>
</tr>
<tr>
<td>8:11 AM</td>
<td>1 min</td>
<td></td>
</tr>
<tr>
<td>8:23 AM</td>
<td>6 min</td>
<td></td>
</tr>
<tr>
<td>8:31 AM</td>
<td>18 min</td>
<td></td>
</tr>
<tr>
<td>9:06 AM</td>
<td>26 min</td>
<td></td>
</tr>
<tr>
<td>9:11 AM</td>
<td>34 min</td>
<td></td>
</tr>
</tbody>
</table>

**Southbound Evening Trains**

<table>
<thead>
<tr>
<th>Time</th>
<th>Scheduled Wait Time - Train to Bus</th>
</tr>
</thead>
<tbody>
<tr>
<td>5:08 PM</td>
<td>10 min</td>
</tr>
<tr>
<td>5:28 PM</td>
<td>1 (19) min*</td>
</tr>
<tr>
<td>5:33 PM</td>
<td>20 min</td>
</tr>
<tr>
<td>5:40 PM</td>
<td>1 min</td>
</tr>
<tr>
<td>5:49 PM</td>
<td>8 min</td>
</tr>
</tbody>
</table>

**Northbound Evening Trains**

<table>
<thead>
<tr>
<th>Time</th>
<th>Scheduled Wait Time - Train to Bus</th>
</tr>
</thead>
<tbody>
<tr>
<td>4:40 PM</td>
<td>10 min</td>
</tr>
<tr>
<td>4:53 PM</td>
<td>(29) min*</td>
</tr>
<tr>
<td>5:29 PM</td>
<td>7 min</td>
</tr>
<tr>
<td>5:36 PM</td>
<td>1 (29) min*</td>
</tr>
<tr>
<td>5:49 PM</td>
<td>6 min</td>
</tr>
<tr>
<td>6:11 PM</td>
<td>1 (19) min*</td>
</tr>
<tr>
<td>6:29 PM</td>
<td>8 min</td>
</tr>
</tbody>
</table>

Note: Connections with wait times of 5 to 15 minutes to catch train/bus shown in **Green**

Note: Connections with wait times <5 minutes or >15 minutes to catch train/bus shown in **Red**

* Negative wait times denote number of minutes by which next morning bus misses train or previous evening bus misses train

**Table 1 - Current Schedule**
Route 275 - Caltrain Connection (Alternate Schedule)

<table>
<thead>
<tr>
<th>Northbound Morning Trains</th>
<th>Southbound Morning Trains</th>
</tr>
</thead>
<tbody>
<tr>
<td>Train Departure Times</td>
<td>Train Departure Times</td>
</tr>
<tr>
<td>Bullet Express Local</td>
<td>Express Bullet Local</td>
</tr>
<tr>
<td>6:32 AM 6:47 AM 6:59 AM</td>
<td>6:44 AM 7:06 AM 7:11 AM</td>
</tr>
<tr>
<td>7:32 AM 7:47 AM 8:00 AM</td>
<td>7:23 AM 7:31 AM 8:06 AM</td>
</tr>
<tr>
<td>8:34 AM 8:51 AM 8:57 AM</td>
<td>8:11 AM 8:23 AM 8:31 AM</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Bus Arrives RWC Station</th>
<th>Scheduled Wait Time - Bus to Train</th>
</tr>
</thead>
<tbody>
<tr>
<td>6:19 AM</td>
<td>13 min 16 min 21 min 5 min 13 min</td>
</tr>
<tr>
<td>6:31 AM</td>
<td>2 min  (22) min* 5 min 3 min</td>
</tr>
<tr>
<td>6:50 AM</td>
<td>7 min 7 min 22 min 8 min 19 min</td>
</tr>
<tr>
<td>7:33 AM</td>
<td>(19) min* 7 min 13 min 8 min 13 min</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Southbound Evening Trains</th>
<th>Northbound Evening Trains</th>
</tr>
</thead>
<tbody>
<tr>
<td>Train Departure Times</td>
<td>Train Departure Times</td>
</tr>
<tr>
<td>Bullet Express Local</td>
<td>Express Bullet Local</td>
</tr>
<tr>
<td>5:08 PM 5:28 PM 5:33 PM</td>
<td>4:40 PM 4:53 PM 5:11 PM</td>
</tr>
<tr>
<td>6:08 PM 6:28 PM 6:33 PM</td>
<td>5:29 PM 5:36 PM 5:49 PM</td>
</tr>
<tr>
<td>7:08 PM 7:28 PM 7:33 PM</td>
<td>6:29 PM 6:36 PM 6:49 PM</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Bus Leaves RWC Station</th>
<th>Scheduled Wait Time - Train to Bus</th>
</tr>
</thead>
<tbody>
<tr>
<td>5:08 PM</td>
<td>8 min 13 min 10 min 13 min</td>
</tr>
<tr>
<td>5:33 PM</td>
<td>(11) min* 7 min 13 min 8 min 13 min</td>
</tr>
<tr>
<td>6:08 PM</td>
<td>(24) min* 10 min 8 min 19 min</td>
</tr>
<tr>
<td>6:33 PM</td>
<td>(10) min* 7 min 13 min 8 min 13 min</td>
</tr>
<tr>
<td>7:08 PM</td>
<td>(1) min* 7 min 13 min 8 min 13 min</td>
</tr>
</tbody>
</table>

Note: Connections with wait times of 5 to 15 minutes to catch train/bus shown in Green
Note: Connections with wait times <5 minutes or >15 minutes to catch train/bus shown in Red
* Negative wait times denote number of minutes by which next morning bus arrives after the train or previous evening bus leaves before the train

Table 2 – Alternate Schedule
Potential Obstacles to Coordinating Caltrain and SamTrans Buses

In developing Fixed-Route Bus schedules, SamTrans reviews the needs and goals of each route. In the case of certain transit centers, such as the Redwood City Transit Center located at Sequoia Station, bus schedules are timed to make transfer from bus-to-bus easier. This is accomplished by setting the times that all buses leave the station to a consistent time each hour known as a “pulse time”. Bus-to-train transfer is not currently a key parameter, as SamTrans assumes there is always a train coming. However, the Grand Jury finds that changing bus schedules to align with train schedules should not affect the bus transfers at a pulse point of this type, because the pulse point could be shifted to the train arrival/departure time for all of the bus routes. The pulse times would simply not necessarily be on the hour, quarter hour, or half hour.

SamTrans advised the Grand Jury that it is not supposed to compete with or replace school bus service. However, school bell times are a parameter in developing these schedules for only one commuter bus run in the morning and one in the afternoon.  

Can this Improve Local Traffic Congestion?

According to the City/County Association of Governments (C/CAG) of San Mateo County, with the increasing population in San Mateo County the number of drive-alone vehicles has increased traffic congestion not only on major freeways but on local roads such as El Camino Real (State Hwy 82), Woodside Road (State Hwy 84), Willow Road (State Hwy 114), and University Avenue in East Palo Alto (State Hwy 109). The level of service (LOS) during commute hours for all of these local road segments and intersections is now rated “LOS E.” This means “unstable traffic flow and rapidly fluctuating speeds and flow rates, low maneuverability and low driver comfort, significant delays, and poor service.”

As shown in Appendix A, approximately 28 percent of commuters who travel by Caltrain either drive and park, are dropped off, or use a taxi service to get to the train station. Each of these contributes to traffic congestion on local roads. With the electrification of Caltrain by 2022, which is planned to increase capacity by over 30 percent, this contribution to local traffic congestion will only get worse.

Would the Improvement in Schedule Alignment Increase SamTrans Ridership?

In the 1970’s Switzerland instituted a pulse system known as Taktfahrplan in which public transit vehicles “arrive at a station at about the same time, passengers transfer between vehicles and the vehicles leave.” “Since 1970, the annual number of [public transit] passenger-kilometers

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20 Grand Jury interviews.
22 The Caltrain Corridor Vision Plan, SPUR Report, February 2017, Page 20
traveled has increased by 113 percent, compared to only 30 percent in the European Union as a whole.”

In deciding what method to use, commuters evaluate the various alternatives as to reliability, cost, and time to commute. The SamTrans Market Segmentation Study from Spring 2018 shows that non-Riders and former riders were most concerned with the time SamTrans would take to reach their destination, with two-thirds agreeing with the statement, “SamTrans would take too long to reach my destination.” These statements may apply to combined SamTrans-Caltrain commuting. However, it is not possible to say for sure, since such questions have not been included in SamTrans surveys.

FINDINGS

F1. Under SamTrans’ current “Caltrain Connection” bus schedules for the morning weekday commute, only 35 percent of buses are scheduled to arrive at Caltrain stations between 5 and 15 minutes before the next train is scheduled to depart.

F2. Under SamTrans’ current “Caltrain Connection” bus schedules for the evening weekday commute, only 43 percent of buses are scheduled to depart Caltrain stations between 5 and 15 minutes after the previous train is scheduled to arrive.

F3. SamTrans could set its “Caltrain Connection” bus schedule arrival times at Caltrain stations to increase the numbers of buses that arrive at train stations between 5 and 15 minutes before the next train departs.

F4. SamTrans has not studied the feasibility or desirability of setting “Caltrain Connection” bus schedule times to facilitate transfers between these buses and Caltrain trains, nor the extent of commuter demand for better coordinating these bus and train schedules.

F5. Caltrain has not studied the extent of train commuter demand for better coordinating “Caltrain Connection” bus schedules with train schedules so as to facilitate their using SamTrans for commuting between home and the Caltrain station.

F6. While coordinating SamTrans fixed-route bus schedules with Caltrain train schedules for service between home and Caltrain stations could attract current Caltrain riders who now travel from home by car and park at Caltrain stations, no data has been collected by SamTrans or Caltrain to support this hypothesis.

F7. Before 2018, SamTrans did not identify reduction of traffic congestion as one of its objectives.

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23 Ibid.
24 SamTrans, Market Segmentation Study – Summary Report, Spring 2018
F8. Within the text of the recently passed Measure W, which was authored by SamTrans and will be carried out by SamTrans and the TA, the included Congestion Relief Plan states that SamTrans will “[i]ncentivize transit, bicycle, pedestrian, carpooling and other shared-ride options over driving alone” and that “[i]nvestments will be designed to increase ridership, improve efficiency, and reduce congestion within the County by facilitating the creation of new services that incentivize more riders to choose public transit.”

F9. SamTrans officials state that “Caltrain Connection” routes are not a feeder service to Caltrain. The designation “Caltrain Connection” refers to the fact that these routes provide connection to Caltrain stations, not that the buses connect to Caltrain trains.

RECOMMENDATIONS

R1. SamTrans should study the feasibility of coordinating “Caltrain Connection” bus schedules with existing Caltrain train schedules to facilitate bus/train transfers and minimize wait times. The SamTrans Board of Directors should consider the results of that study at a public hearing by June 30, 2020.

R2. SamTrans should perform marketing research on existing and potential riders of “Caltrain Connection” buses, including those who use Caltrain, to determine their interest in coordinating “Caltrain Connection” bus schedules with existing Caltrain schedules. The SamTrans Board of Directors should consider the results of that survey at a public hearing by June 30, 2020.

R3. Caltrain should survey existing riders of Caltrain trains in San Mateo County, including those who use SamTrans, to determine their interest in coordinating “Caltrain Connection” bus schedule arrival times at Caltrain stations with existing Caltrain schedules. The Caltrain Board of Directors should consider the results of that study at a public hearing by June 30, 2020.

R4. The Boards of Directors of SamTrans and Caltrain should discuss together the value and feasibility of using “Caltrain Connection” buses as a feeder system to Caltrain to reduce traffic congestion. This should be undertaken by December 31, 2019.

REQUEST FOR RESPONSES

Pursuant to Penal Code Section 933.05, the Grand Jury requests responses as follows:

From the following governing bodies:

- San Mateo County Transit District (SamTrans) to respond to the foregoing Findings and Recommendations (R1, R2 and R4), referring in each instance to the number thereof.

- Peninsula Corridor Joint Powers Board (Caltrain) to respond to the foregoing Findings and Recommendations (R3 and R4), referring in each instance to the number thereof.
The governing bodies indicated above should be aware that the comment or response of the governing body must be conducted subject to the notice, agenda, and open meeting requirements of the Brown Act.

**METHODOLOGY**

**Documents**

- In investigating coordination of SamTrans “Caltrain Connection” Service and Caltrain schedules the Grand Jury reviewed publicly available documents, reports, schedules, and websites from SamTrans, Caltrain, C/CAG, BART, and the US Census. The bibliography contains a full list of these documents.

**Interviews**

- The Grand Jury interviewed six persons within SamTrans, Caltrain, and Commute.org.

**BIBLIOGRAPHY**

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- C/CAG, San Mateo County Congestion Management Program 2017, January 2018
- SamTrans Business Plan July 2018, approved September 5, 2018
- SamTrans, Short-Range Transit Plan Fiscal Years 2017–2026, May 2017
- SamTrans, Market Segmentation Study – Summary Report, Spring 2018
- SamTrans, Get Us Moving San Mateo County Presentation, July 2018
- SamTrans, Resolution 2018-29, Text of Measure W, August 7, 2018
This is an advanced copy of a Grand Jury report that will be publicly released on July 11, 2019. Penal Code section 933.05 (f) prohibits any officer, agency, department, or governing body of a public agency from disclosing any contents of the report prior to the public release of this report.


- SPUR, The Caltrain Corridor Vision Plan, February 2017
  Accessed May 2, 2019
APPENDIX A

SamTrans Drop Off to/Pick Up from Caltrain Data

There is no survey data available on the number of Caltrain commuters who use SamTrans to get to/from Caltrain stations. In 2014, as part of a report to the Metropolitan Transit District (MTC), Caltrain performed an on-board survey that included information on how all of their riders get to and from individual Caltrain stations. Table A1 shows the percentage data from that survey for the eight Caltrain stations included in this analysis in the third through ninth columns.

<table>
<thead>
<tr>
<th>Station</th>
<th>Total (People)</th>
<th>Park &amp; Ride (%)</th>
<th>Drop Off (%)</th>
<th>Taxi (%)</th>
<th>Bike (%)</th>
<th>Transit (%)</th>
<th>Walk (%)</th>
<th>Other (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Burlingame</td>
<td>493</td>
<td>2.0</td>
<td>13.0</td>
<td>1.0</td>
<td>17.0</td>
<td>7.0</td>
<td>60.0</td>
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<tr>
<td>San Mateo</td>
<td>937</td>
<td>7.0</td>
<td>15.0</td>
<td>2.0</td>
<td>17.0</td>
<td>4.0</td>
<td>54.0</td>
<td>1.0</td>
</tr>
<tr>
<td>Hillsdale</td>
<td>1,507</td>
<td>18.0</td>
<td>15.0</td>
<td>2.0</td>
<td>15.0</td>
<td>8.0</td>
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<td>1.0</td>
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<tr>
<td>Belmont</td>
<td>247</td>
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<td>15.0</td>
<td>7.0</td>
<td>49.0</td>
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<tr>
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<td>596</td>
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<td>15.0</td>
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<td>Redwood City</td>
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<td>18.0</td>
<td>10.0</td>
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<td>15.0</td>
<td>2.0</td>
<td>20.0</td>
<td>23.0</td>
<td>36.0</td>
<td>0.0</td>
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<tr>
<td>Total/Wt Avg</td>
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<td>9.4</td>
<td>16.4</td>
<td>2.0</td>
<td>17.2</td>
<td>10.2</td>
<td>44.5</td>
<td>0.5</td>
</tr>
</tbody>
</table>

Table A1 – How Caltrain Riders Get To and From Caltrain Stations (2014)

Caltrain also performs an annual survey of how many people embark and disembark trains at each station during peak commute hours. Using the values for each station from the 2014 Annual Count during morning weekday peak period (second column of Table A1), the weighted averages from the percentage values in Table A1 indicate that approximately 45 percent of Caltrain riders walk to these stations, approximately 17 percent ride bikes, and approximately 28 percent either drive and park, are dropped off, or use a taxi service.

Table A1 shows that approximately 10 percent of Caltrain commuters get on or off at these stations using “Transit” for their connection to home. That establishes (as of 2014) the maximum possible percentage of Caltrain commuters who connect to Caltrain using SamTrans. SamTrans data from 2018, summarized in Table A2, is consistent with this 10 percent, showing that the total numbers of bus passengers getting on or off SamTrans buses at the 8 Caltrain stations during peak commute hours equaled approximately 9 percent of the total numbers of Caltrain commuters getting on or off trains at these same stops.

26 Peak trains are those trains departing the San Francisco or San Jose Diridon stations between 4:30 a.m. and 9:00 a.m. and between 2:59 p.m. and 7:00 p.m.
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### SamTrans Passenger AM Drop Off to and PM Pick Up from Caltrain

**Daily Averages during Work Day Peak Periods***

(SamTrans Data is Average Daily Figures from July, August & September 2018)

<table>
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<th>Bus Route</th>
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<th>San Carlos</th>
<th>Belmont</th>
<th>Hilldale</th>
<th>San Mateo</th>
<th>Burlingame</th>
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<td>45.6</td>
<td>47.1  51.3</td>
<td>153.2  193.2</td>
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<td>62.9 60.4</td>
<td>221.9 259.2</td>
<td>52.7 45.6</td>
<td>47.1 51.3</td>
<td>153.2 193.2</td>
<td>34.5 33.0</td>
<td>8.8 7.0</td>
<td>74.8 75.4</td>
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<td>557.0 538.0</td>
<td>1709.0 1563.0</td>
<td>660.0 647.0</td>
<td>312.0 279.0</td>
<td>1906.0 1893.0</td>
<td>1350.0 1321.0</td>
<td>708.0 680.0</td>
<td>841.0 822.0</td>
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<tr>
<td>Bus/Train All Routes</td>
<td>14% 8%</td>
<td>11% 11%</td>
<td>13% 17%</td>
<td>8% 7%</td>
<td>15% 18%</td>
<td>8% 10%</td>
<td>3% 2%</td>
<td>1% 1%</td>
<td>9% 9%</td>
</tr>
</tbody>
</table>

* Figures taken from Caltrain 2018 Annual Passenger Counts from January 2018

** Palo Alto/Bus/Train results estimate low because some of these passengers come via VTA bus routes and Marguerite Shuttle

*** In the case of morning arrivals, the bus disembarkment data from approximately 15 minutes before the first train and 15 minutes after the last train during the peak Caltrain period were included. In the case of evening departures, the bus embarkment data from approximately 15 minutes before the first train and 15 minutes after the last train during the peak Caltrain period were used to take into account daily deviations in train and bus arrival and departure times.

Table A2
APPENDIX B

Current Bus/Train Wait Times

The Grand Jury correlated the schedules of 16 SamTrans bus routes that are labelled “Caltrain Connection” plus the El Camino Real (ECR) bus route with the scheduled arrival or departure time of all Caltrain trains at the 8 Caltrain Stations where these bus routes drop off and pick up passengers. This review identified 714 bus/train connections in the peak morning commute period and 759 train/bus connections in the peak evening commute period. (Connections where there is currently no bus scheduled early enough in the morning or late enough in the evening to meet a scheduled train are not included in these counts.)

For each of these connections, the Grand Jury determined the minimum scheduled time that a commuter would wait for a train in the morning or wait for a bus in the evening. These statistics are summarized in Tables B1 and B2 for morning and evening respectively. Combining the results from both tables shows that in approximately 24 percent of the connections between Caltrain and SamTrans buses during commute times, scheduled wait times to board the connecting train or bus is 16 to 30 minutes and in another 16 percent of these connections, scheduled wait times exceed 30 minutes. Also, in about a quarter of those instances when scheduled wait time exceeds 15 minutes, the previous bus or train is scheduled to depart less than 5 minutes before the commuter’s arrival. And in the case of approximately 21 percent of the connections, fewer than 5 minutes are available to make the connection, putting commuters at risk of missing their connection if the train or bus delivering them to their connection is running just a few minutes behind schedule.
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### Morning Commute Time

#### Bus/Train Connection Scheduled Performance

<table>
<thead>
<tr>
<th>Station</th>
<th>Total Connections</th>
<th>&lt; 5 Min Wait</th>
<th>5 to 15 Min Wait</th>
<th>16 to 30 Min Wait</th>
<th>&gt;30 Min Wait</th>
<th>Prev Bus &lt; 5 Min*</th>
</tr>
</thead>
<tbody>
<tr>
<td>Palo Alto</td>
<td>53</td>
<td>9</td>
<td>20</td>
<td>10</td>
<td>14</td>
<td>6</td>
</tr>
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<td>13</td>
<td>9</td>
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<td>16</td>
<td>25</td>
<td>19</td>
<td>15</td>
<td>8</td>
</tr>
<tr>
<td>San Carlos</td>
<td>30</td>
<td>4</td>
<td>15</td>
<td>7</td>
<td>4</td>
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</tr>
<tr>
<td>Belmont</td>
<td>15</td>
<td>5</td>
<td>4</td>
<td>2</td>
<td>4</td>
<td>4</td>
</tr>
<tr>
<td>Hillsdale</td>
<td>100</td>
<td>19</td>
<td>36</td>
<td>23</td>
<td>22</td>
<td>7</td>
</tr>
<tr>
<td>San Mateo</td>
<td>29</td>
<td>5</td>
<td>7</td>
<td>13</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>Burlingame</td>
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<td>0</td>
<td>5</td>
<td>4</td>
<td>1</td>
<td>0</td>
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<tr>
<td><strong>TOTAL</strong></td>
<td><strong>340</strong></td>
<td><strong>64</strong></td>
<td><strong>125</strong></td>
<td><strong>87</strong></td>
<td><strong>64</strong></td>
<td><strong>39</strong></td>
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</tbody>
</table>

Percentage of Total: 19%

Percentage of >15 minutes: 35%

#### Note:
Connections do not include bus/train interactions where there is currently no bus scheduled early enough to meet the train.

* Connections where a bus is scheduled to arrive less than 5 minutes before a train departs resulting in a wait > 15 minutes.

### Evening Commute Time

#### Train/Bus Connection Scheduled Performance

<table>
<thead>
<tr>
<th>Station</th>
<th>Total Connections</th>
<th>&lt; 5 Min Wait</th>
<th>5 to 15 Min Wait</th>
<th>16 to 30 Min Wait</th>
<th>&gt;30 Min Wait</th>
<th>Prev Bus &lt; 5 Min*</th>
</tr>
</thead>
<tbody>
<tr>
<td>Palo Alto</td>
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<td>12</td>
<td>23</td>
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<td>10</td>
<td>8</td>
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<td>17</td>
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<td>0</td>
<td>2</td>
</tr>
<tr>
<td>RWC</td>
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<td>27</td>
<td>18</td>
<td>3</td>
<td>11</td>
</tr>
<tr>
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<td>23</td>
<td>6</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td>Belmont</td>
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<td>6</td>
<td>2</td>
<td>4</td>
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<td>3</td>
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<td>6</td>
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<td>6</td>
<td>11</td>
<td>12</td>
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<tr>
<td>Burlingame</td>
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<td>2</td>
<td>4</td>
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<tr>
<td><strong>TOTAL</strong></td>
<td><strong>360</strong></td>
<td><strong>82</strong></td>
<td><strong>148</strong></td>
<td><strong>82</strong></td>
<td><strong>48</strong></td>
<td><strong>36</strong></td>
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</tbody>
</table>

Percentage of Total: 23%

Percentage of >15 minutes: 43%

#### Note:
Connections do not include bus/train interactions where there is currently no bus scheduled late enough to meet the train.

* Connections where a bus is scheduled to leave less than 5 minutes before a train arrives resulting in a wait > 15 minutes.

### Table B1 – Summary of Peak Morning Commute Wait Times

### Table B2 – Summary of Peak Evening Commute Wait Times
APPENDIX C

Route 275 Current and Alternate Bus Schedules

The current schedule for SamTrans Bus Route 275\(^{27}\) is shown on the left side of Table C-1, including extra columns for the bus wait time at the Redwood City Train Station and the far point of the route at Woodside Road and Alameda de las Pulgas Ave. Note that the departure times for leaving the Redwood City Train Station are arbitrarily set at half hour increments on the half hour. As part of the Grand Jury’s analysis, an alternate schedule was developed by adjusting the bus wait times and removing the requirement that departure time from the Redwood City Train Station be on the half hour. The Grand Jury finds that this example demonstrates the practicability of an alternate schedule in this case that does not require additional buses or personnel. The alternate schedule simply increases the frequency at which buses traverse the route during commute hours.

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**Route 275 - Caltrain Connection**

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<th>Current Schedule</th>
<th>Alternate Schedule</th>
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<td>Leave RWC Train Station</td>
</tr>
<tr>
<td>Arrive Woodside/Alameda</td>
<td>Arrive Woodside/Alameda</td>
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<tr>
<td>Wait Woodside/Alameda</td>
<td>Wait Woodside/Alameda</td>
</tr>
<tr>
<td>Leave RWC Train Station</td>
<td>Leave RWC Train Station</td>
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<tr>
<td>Arrive Woodside/Alameda</td>
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Note: Route requires two buses. One has times shown on blue lines and the other has times shown on white lines.

Table C1 – Route 275 Bus Schedule
TO: Joint Powers Board
THROUGH: Jim Hartnett
Executive Director
FROM: Michelle Bouchard
Chief Operating Officer, Rail
SUBJECT: UPDATE ON THE SAN JOSE DIRIDON INTEGRATED STATION CONCEPT PLAN

ACTION
Staff Coordinating Council recommends the Board receive the attached memo regarding the current status of the Diridon Integrated Station Concept Plan (Plan).

SIGNIFICANCE
Since September 2018 Caltrain staff have been engaged in co-creating the Plan, which is developing a vision for the future of San Jose Diridon Station in partnership with the Santa Clara Valley Transportation Authority (VTA), the California High Speed Rail Authority (CAHSR) and the City of San Jose (City) (together, the "Partners").

The Plan is being developed with the assistance Arcadis/Benthem Crouwel (ABC), a consultant team solicited and managed by the Partners. ABC was tasked with developing three spatial layouts for a future Diridon Station. Spatial layouts are made up of "big moves" including the vertical configuration of the tracks, the location of the station platforms and concourse in addition to the rail alignment to the north and south of the station.

The three spatial layouts and big moves are as follows:

- **San Fernando Street** - At-grade station on San Fernando Street, which is most similar to today's station layout. It utilizes the existing northern and southern track alignment.
- **Santa Clara Street** - Elevated station on Santa Clara Street, which locates the station closer to BART, introduces an optimized northern track alignment and presents the opportunity to relocate the Caltrain Central Equipment and Maintenance Facility (CEMOF). This layout also provides an option to operate some rail service over a new southern rail alignment on a viaduct over Interstate 280/State Route 87.
- **Stover Street** - Elevated station on Stover Street (between San Fernando Street and Santa Clara Street), which locates the station closer to BART, introduces an
optimized northern track alignment and presents the opportunity to relocate CEMOF.

Aside from big moves, the spatial layouts are also made up from a “kit of parts” as they include a variety of station facilities and elements that facilitate access to and from the station and integration with the surrounding community and private development. Such elements include pedestrian, bike, local bus, intercity bus, light rail, taxi/transit network company, private vehicle and parking access.

ABC and the Partners took a “transit first” or “design from the tracks out” approach where rail infrastructure needs were established first to ensure sufficient space was set aside to accommodate future rail service as rail infrastructure is a less flexible, long-lasting and significant investment. ABC actively coordinated with the Business Plan team to ensure the spatial layouts were reflective of the service visions under consideration.

Over the summer, ABC and the Partners weighed tradeoffs and benefits of the three spatial layouts and developed a fourth layout with a combination of favored elements. The layout is as follows:

- **Elevated Dual Concourse** - Elevated station with platforms south of San Carlos Street and concourses located at Santa Clara Street (to connect with BART) and San Fernando Street. The layout utilizes the existing rail alignment to the north and could likely utilize either the existing alignment or Interstate 280/State Route 87 alignment to the south, which is currently under investigation. The relocation of CEMOF would be necessary.

This fourth layout is reflective of community feedback and additional community outreach is scheduled for late September to seek feedback on the big moves and related impacts of rail corridor expansion. The Partners continue to coordinate with other related plans, including the Google Mixed Use framework and Diridon Station Area Plan update.

The Plan is expected to be completed in two main phases. Phase 1 of the Plan will conclude with the Partners selecting a spatial layout in which to move forward around winter 2019. The selected layout is intended to be endorsed by the governing body of each partner agency. Assuming consensus is reached, Phase II of the Concept Plan effort would begin shortly after completion of Phase 1 and include further development of the selected spatial layout to arrive at a fully detailed Concept Plan.

**BUDGET IMPACT**
There is no impact on the budget.

**BACKGROUND**
San Jose Diridon Station is a major transit hub located within downtown San Jose, the nation’s 10th largest city. It is a historic train depot with not only Caltrain service, but also
train service provided by Amtrak, Capitol Corridor Joint Powers Authority (CCJPA), and Altamont Commuter Express (ACE), as well as VTA light rail and bus service. The JPB owns the historic station depot, the Caltrain parking lots, the bus loop area, and the tracks and platforms. As the landowner, the JPB has a vested stake in the planning process not just for potential shaping of the Station itself, but also as it relates to development in the surrounding area.

With the planned addition of Bay Area Rapid Transit (BART) and California High Speed Rail service at the Station, as well as expanded Caltrain, ACE, Capitol Corridor and Amtrak service, the Station is expected to become one of the busiest intermodal stations in North America. To effectively accommodate such planned activity and future capacity needs, the Station must be reconfigured in an integrated fashion that connects all transit services with each other and with the surrounding urban environment.

Private development of the surrounding area in conjunction with the City of San Jose is accelerating, providing opportunities to fully integrate development with the Station itself. In recent months, Google has publically revealed concepts for development near the Station.

By the Partners working together to prepare the Plan, they hope to maximize funding to implement the Plan and deliver a world-class destination and transportation hub that provides seamless customer experience for movement between transit modes within the Station and into the surrounding neighborhoods and Downtown.

The cost of Phase I is $5.5 million. Currently, the Partners' contributions plus additional grant funds will adequately fund Phase I. The Partners have agreed to jointly pursue funding for Phase II.

Prepared by: Melissa Reggiardo, Principal Planner 650.508.6283
MINUTES OF SEPTEMBER 18, 2019

MEMBERS PRESENT: A. Brandt, A. Dagum, M. Romo, P. Leung, R. Kutler, B. Shaw (Chair)

MEMBERS ABSENT: L. Klein, R. Valenciana (Vice Chair)


Chair Brian Shaw called the meeting to order at 5:41 p.m. and led the Pledge of Allegiance.

INTRODUCTION OF NEW CAC MEMBER
Chair Brian Shaw introduced newly appointed San Francisco County committee member, Rosalind Kutler.

APPROVAL OF MINUTES OF AUGUST 21, 2019

Motion/Second: Brandt / Romo
Ayes: Dagum, Leung, Shaw
Abstain: Kutler
Absent: Klein, Valenciana

PUBLIC COMMENT
Roland stated that in the last Board Meeting the ridership numbers were presented. He stated that the data reflected that both the Bullet trains and the Limited trains are way over capacity, however that ridership is dropping on both of those trains and that the ridership on local trains is increasing. He stated that the reason for the change in ridership is because those passengers are switching to local trains. Roland proposes to increase the length of the trains that are over 130% capacity to seven cars. He said that the Caltrain can use the Stadler cars that will be sitting around due to the delay with the EMUs. He suggested to push these cars with Diesel and to deploy them on the Gilroy service.

Jeff Carter, Millbrae, stated that his comments are in regards to the annual passenger counts and that his full comments can be found in the reading packet. He stated that
the ridership report is incomplete as it does not include, Mondays, Fridays or weekends. He stated that staff cannot recalibrate without that information. He also stated that the Ridership Report from Chicago Metra, similar to Caltrain, includes whether gas prices work in downtown Chicago and suggests having Caltrain put out a report similar to theirs.

CHAIRPERSON’S REPORT

None

COMMITTEE COMMENTS

None

AMENDING THE BY-LAWS TO INCLUDE ALTERNATE CAC MEMBERS
Chair Brian Shaw reported that this item was added due to a suggestion from the public to add alternate members in case one of the committee members was unable to attend to form a quorum. A quorum is made up of at least five members present. This amendment, to the bylaws, is to ensure there is a quorum at every CAC meeting. Chair Shaw welcomed Legal Counsel, Shayna VanHoften to help answer any questions.

The Committee discussed several options and it was decided, with the help of Shayna VanHoften, to include one alternate per county and to have them abide by the same attendance guidelines as the CAC members do. In addition, the alternates would receive the same information as the current CAC members would. The committee also suggested that the alternate would serve when terms have expired and that solicitation for both the alternate and the vacant committee seat would happen simultaneously. Shayna notified the committee that she would amend the bylaws to include all of the revisions suggested and would return next month to present the amendments for the committee’s approval to be presented to the Board.

Public comment:
Roland stated that he did not hear an incentive for alternate members and wanted to suggest a substitute motion. He stated that there should be two alternates. He said that there should be notice well in advance and that the alternates would have a choice on who would attend the meeting. He then stated that the alternate’s attendance should be tracked and that the alternate with the highest attendance would serve on the committee. He said that it would incentivize the alternates to attend the meetings.

Jeff Carter, Millbrae, agrees with Adrian that alternates should attend the meetings and be present with the intent to serve at a moment’s notice. He also stated that he agrees with one alternate per county and that the attendance guidelines should align with the member’s attendance guidelines so that they are up to date and able to serve.
Drew stated that these alternates would serve as a fourth representative for each county and inevitably in almost every meeting they will serve as not all members are always present. He stated that if the alternate assumes the vacant chair on the committee then the efforts would only focus on obtaining an alternate. He also suggested amending the order of the business in the bylaws since they are being amended already.

**OPERATING & CAPITAL BUDGETS**

Cynthia Scarella, Manager, Budgets, presented Operating & Capital Budgets to the committee.

The full PowerPoint presentation can be found on caltrain.com

**Public Comment:**

Roland stated that this presentation is stale information as the preliminary was presented to the Board in May and the final was presented to the Board in June. He stated that this information should have been presented to the CAC in May to have made recommendations for the final presentation made in June. He requested staff not to allow this to happen again for next year. Roland also stated that Caltrain needs to eliminate the need for operating subsidies from the three counties.

Jeff Carter, Millbrae, agrees that the budget should come to the CAC before it goes to the Board to include CAC input. He stated that it is great that budget is balanced this year. He stated that the problem is that because ridership has gone up so drastically over the years along with revenue, the partner agencies have been able to decrease their contributions historically to Caltrain. He stated that transit is underfunded and should be funded as highways and airports are. He is concerned that Caltrain will need to rely on fares. He hopes that Caltrain can find more sources of funding.

**Committee Comments:**

Member Adrian Brandt agreed with the public comment and would like to see these presentations presented to the CAC before they become five months old. This will give the committee the opportunity to pass along their thoughts to the Board. He stated that he wanted to ask about the TASI labor contracts and operating baseline expenditures. He said that to his knowledge that when there are additional cars added to the train, that onboard staff also needs to be increased. He asked what it would take to go to a one man operation when to become more efficient. He also asked whether in the Capital cost, staff is looking at lengthening the station platforms to accommodate longer trains. Ms. Cynthia responded that the Electrification program includes station modifications.

Chair Brian Shaw asked why the presentation was presented to the CAC late. Mr. Joe Navarro responded that although it was not provided, he also did push for it to be presented prior to it being presented to the Board and will work to request this
information ahead of time. Mr. Brian Shaw requested that this be added to the standing work plan for May 2020.

Member Rosalind asked whether shade for the platforms is being contemplated as part of the budget due to the climate change becoming more of an issue. Ms. Cynthia stated that she would review further and report back.

**RAIL SAFETY EDUCATION / SUICIDE PREVENTION**

Tasha Bartholomew, Communication Manager, presented the Rail Safety Education / Suicide Prevention Efforts to the committee. Presenters from San Mateo County, Islam Hassanenin and Sylvia Tang presented on the San Mateo Suicide Prevention committee (SPC).

The full PowerPoint presentation can be found on caltrain.com

**Public Comment:**

Roland stated that there were many teen suicides in Palo Alto and that putting fencing and guards at the grade crossing along with counseling at the schools, helped prevent further suicides. However now there are problems with the new Hillsdale station as it will be an island platform in the middle of a High Speed Rail Line that will be running at 110 mph. He stated that staff has the opportunity to do two things; staff can redesign the station to ensure that the bullets and the high speed rail do not go near the tracks and then to change the Caltrain engineering standards. He stated that Bayshore and Lawrence have four tracks, but only have one fence. With a four track station, two fences are needed. Lastly, Roland stated that level boarding will never happen at Hillsdale because freight will hit the platforms.

**Committee Comments:**

The committee members each thanked Tasha and the presenters for their presentation on the very important issue.

Member Anna Dagum asked whether there will be a 3-digit suicide hotline as with 9-1-1. Ms. Islam responded that there are efforts to create a National Suicide Prevention Life Line and that they are finding ways to connect all crisis centers to it and that the National Suicide Prevention Line oversees that.

Member Adrian Brandt said that he is pleased to see that suicide is being talked about and that since no one talked about suicide, every death was considered an accident and not a suicide. He stated that there needs to be an understanding of what is happening, in order to solve the problem and to ensure that there are no further misdirected efforts towards safety. He stated that the only places that have resolved this problem are where platform screen doors have been installed. Member Brandt asked Tasha how long it typically takes to determine cause of death for reporting purposes. Tasha responded that it depends on the backlog of the coroner’s office and that there have been instances that it took over a year. On slide twelve, Member
Brandt suggested there be an extra column to determine unknown cause of death because not all suicides are deterministic.

Member Martin Romo requested to include location of where the incidents occurred and whether it was grade separated to possibly identify a trend. Tasha responded that these incidents have occurred all along the corridor and that she can provide the data for the past few years.

Chair Brian Shaw stated that it may be helpful to provide context and compare to like railroads. This could potentially identify whether there is a specific issue with Caltrain or determine that other railroads have the same issue. Ms. Tasha asked Mr. Joe Navarro what his experience has been working at other railroads and Mr. Navarro stated that the numbers are about the same if not more at other railroads in his experience. Chair Shaw then asked why he did not see San Francisco listed as a Community Partner on slide fourteen. Ms. Tasha responded that she and her team have not been able to obtain a representative from that county. Ms. Islam from San Mateo County also stated that San Francisco does not have the equivalent of a committee as San Mateo and Santa Clara counties do. Chair Shaw also requested staff to provide drilled down data as it may be helpful in terms of prevention and identify possible patterns. Ms. Tasha stated that she would be able to provide that data with next year’s presentation.

**STAFF REPORT UPDATE**

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

Mr. Navarro started by saying that fencing the entire railroad is a priority and that staff’s fencing efforts have been recognized by the several Federal Railroad Agency members, (FRA).

**On-time Performance (OTP)**

- **August**: The August 2019 OTP was 93.9% compared to 93% for August 2018.
  
  - **Vehicle on Tracks** - There were three days August 13, 16 and 21, with a vehicle on the tracks that caused train delays. Mr. Navarro stated that the FRA agreed to help staff partner with the CPUC to obtain waivers in order to implement efforts to prevent vehicles on the tracks.
  
  - **Mechanical Delays** - *Correction made to the report online - In August 2019 there were 669* minutes of delay due to mechanical issues compared to 905 minutes in August 2018.  
  
    *corrected from staff report located online
  
    - **Trespasser Strikes** - There were two trespasser strikes on August 10 and 29, resulting in fatalities.
• **July:** The July 2019 OTP was 93.8% compared to 90.5% for July 2018.
  
  o **Trespasser Strikes** - There was one trespasser strike on July 12 and two trespasser strikes on July 22, all resulting in fatalities.

  o **Caltrain Fall 2019 Timetable Update** - Caltrain, in collaboration with the communities of Gilroy, Morgan Hill, and San Jose as well as representatives from VTA and Santa Clara County have been working on plans to improve service on the Caltrain corridor between San Jose and Gilroy. In the near term, Caltrain will adjust Gilroy Service this Fall.

    Effective Monday, Oct. 7, 2019, Caltrain will adjust its southbound Gilroy service based on feedback provided by South Santa Clara County riders in a survey conducted on April 23, 2019 that indicated their preference to have an earlier train between the first two trains.

    - Train 262 will provide service to all stations from Tamien Station to Gilroy Station. Train 262 will also stop at Lawrence Station.
    - Train 274 will no longer serve stations south of Tamien Station and will terminate at Tamien station.
    - The last train to stations south of Tamien station will be Train 268.
    - Northbound service from Gilroy will remain unchanged.


**Public comment:**

Roland asked why the fencing efforts mentioned in the staff report was not included in the Rail Safety Education / Suicide Prevention Efforts presentation. Roland agreed with the committee that the incident data needs to include the location of the fatalities. Lastly regarding the Gilroy service change, he requested staff to have the train that picks up at 8:18 to travel all the way to Tamien.

**Committee comment:**

Member Adrian stated that he is encouraged with the possibility of regulatory relief with helping keep the vehicles off of the tracks. Adrian suggested a crossing gate that stays down until the train approaches. There would be a reflective barrier in the way to help prevent a vehicle on the tracks. Mr. Brandt then asked whether the passenger counter on the EMUs will be weight-based. Mr. Navarro stated that they will not and that passengers and bikes will be counted. He also stated that he is working on obtaining people counters at the 4th and King station. Member Brandt also asked about the delay with electrification due waming time solution, dual speed system or dual speed measurement approach and he requested staff to present on this topic. Chair Shaw requested this item be added to the Items to be Scheduled section of the Work Plan. Lastly, he requested staff to add filler necks to the water fountains. Mr. Navarro stated that SFK will have the bathrooms renovated and would look into adding those. Chair Shaw also requested that item to be added to the Work Plan.
JPB CAC Work Plan

October 16, 2019
- Camera System / Grade Crossing Improvements
- 529 Update
- TVM Upgrade update

November 20, 2019

December 18, 2019
- MTC Means-Based Discount Fare program update

Items to be scheduled
- Schedule Audit – requested on 3/6/18 by Member Lauren Fernandez
- Presentation on a plan to clean-up right of way – requested by Chair, Brian Shaw on 8/15/18
- Go Pass cost per ride factors – requested by Chair, Brian Shaw on 6/19/19
- Distance Based Fares – requested by Chair, Brian Shaw on 6/19/19

DATE, TIME AND LOCATION OF NEXT REGULAR MEETING:
October 16, 2019 at 5:40 p.m., San Mateo County Transit District Administrative Building, 2nd Floor Bacciocco Auditorium, 1250 San Carlos Avenue, San Carlos, CA.

Adjourned at 8:08 pm
Date: September 24, 2019

To: Board of Directors

From: Jim Hartnett, Executive Director

Subject: October 3, 2019 JPB Board Meeting Executive Director's Report

- **On-time Performance** –
  - **Through September 23:** The preliminary September 2019 OTP was 93.3 percent compared to 92.6 percent for September 2018.
    - **Trespasser Strike** – There was one trespasser strike on September 5, resulting in a fatality.
  - **August:** The August 2019 OTP was 93.9 percent compared to 93 percent for August 2018.
    - **Trespasser Strikes** – There were two trespasser strikes on August 10 and 29, resulting in fatalities.

- **Caltrain Fall 2019 Timetable Update** – Caltrain, in collaboration with the communities of Gilroy, Morgan Hill, and San Jose as well as representatives from VTA and Santa Clara County have been working on plans to improve service on the Caltrain corridor between San Jose and Gilroy. In the near term, Caltrain will adjust Gilroy Service this Fall.

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Train 274 will no longer serve stations south of Tamien Station and will terminate at Tamien station.

The last train to stations south of Tamien station will be Train 268.

Northbound service from Gilroy will remain unchanged.


- **Chase Center Grand Opening** – Caltrain is proud to serve the new Chase Center, the new home of the Golden State Warriors and San Francisco’s newest event and concert venue. On Friday, September 6 and Sunday, September 8, Metallica and the San Francisco Symphony kicked off the Chase Center’s grand opening concerts celebrating the 20-year anniversary of their historic joint performance of the band’s 1999 S&M album.

Over the past year Caltrain has participated in various coordination meetings with the Chase Center, the City of San Francisco and other Bay Area transit agencies serving the Chase Center to help coordinate and promote public transit to get to the Chase Center as parking at the arena and in the Mission Bay is extremely limited. Caltrain will be providing regular service to and from most events, including Warriors home games, and is working closely with the Chase Center to identify and address service gaps for special events. As a pilot, Caltrain provided one post-event train for two Sunday evening concerts on September 8 (Metallica & SF Symphony) and September 15 (Elton John). To inform future service planning decisions, Caltrain has been tracking and monitoring Chase Center post-event ridership counts at San Francisco station.

For more information about Caltrain service to Chase Center, visit: www.caltrain.com/chasecenter

- **Customer Service Week** – This is the time of year when Caltrain celebrates Customer Service Week and recognizes the work of our front line employees and the customer service/experience team.

This year Customer Service Week will be celebrated during the week of October 7th and the theme is **The Magic of Service**. Magical service can turn an unhappy customer into a satisfied customer and an occasional rider into a committed long-term rider.

- “My commute level of stress has totally gone way down. Thanks Caltrain.” (Train 313)

- “I love how easy it is to get to work using Caltrain! I never have to worry about Bay Area traffic.” (Train 288)
“Been riding my entire life, but only recently have started taking it to work because my work moved further away. I love taking it to work now.” (Train 385)

As displayed on the poster board in the back of the JPB Board meeting room, each member of the Customer Experience Department magically transforms our customers by providing exceptional service every single day.

Caltrain wants to acknowledge our Customer Experience team who works directly with our customers and the many other front line employees who bring magic into the work they do each day.

This week Caltrain is recognizing the great work by all employees on the front line.

- **CAC Meeting** – The Citizens Advisory Committee met on Wednesday, September 18, in San Carlos. Cynthia Scarella, Manager, Budgets provided a presentation on Proposed Operating & Capital Budgets. Tasha Bartholomew, Communications Officer provided a presentation on Rail Safety Education / Suicide Prevention Efforts. Joe Navarro, Deputy Chief – Rail Operations, provided the Staff Report. The next CAC meeting is scheduled for Wednesday, October 16, in San Carlos.

- **BAC Meeting** – The Bicycle Advisory Committee met on Thursday, September 19, in San Carlos. Sebastian Petty, Senior Policy Advisor, provided a presentation on the Caltrain Business Plan. Dan Provence, Principal Planner – CalMod Planning, provided an update on Bike Improvements at the Stations. Lori Low, Public Affairs Officer, provided the Staff Report. The next BAC meeting is scheduled for Thursday, November 21, in San Carlos.

- **Special Event Train Service**

  **Services Provided:**

  - **Giants Baseball** – The Giants hosted 14 regular season home games in August. Total additional ridership alighting and boarding at San Francisco station, was 62,263. Year-to-date pre and regular season ridership, alighting and boarding at San Francisco station, was 256,861, a 36 percent decrease compared to the same number of games in 2018.

  The Giants hosted 14 regular season home games in September. Event ridership will be provided in November.
SF 49ers Pre-Season Games at Levi’s Stadium – The SF 49ers hosted the Dallas Cowboys on Saturday, August 10, at 6:00 p.m. Caltrain provided one extra pre-game train and one post-game train. The SF 49ers also hosted the Los Angeles Chargers on Thursday August 29, at 7:00 p.m. Caltrain operated one extra post-game local train from Mountain View to San Francisco. For preseason home games in August, the total year to date ridership alighting and boarding at Mountain View station was 1,300, a 50 percent decrease compared to the same number of games in 2018.

Rolling Stones at Levi’s Stadium – On Sunday, August 18 at 7:30 p.m. the Rolling Stones performed their 2019 No Filter North Tour concert at Levi’s Stadium. To accommodate the crowds Caltrain operated one extra post-event train departing Mountain View station after the concert end in coordination with VTA connecting service. Total riders alighting and boarding at Mountain View station was 724.

Stanford Football – The Stanford Cardinal hosted their first 2019 home football game of the season on Saturday, August 31 at 1:00 p.m. vs. Northwestern. Total riders alighting and boarding in August at Stanford station was 958, an increase of 12 percent, compared with 2018 average ridership per game.

Stanford also hosted Oregon on Saturday, September 21 at 4:00 p.m. Event ridership will be provided in November.

Labor Day – On Monday, September 2, Caltrain operated Holiday/Sunday Service in observation of the Labor Day Holiday. The Tamien-San Jose Shuttle also operated that day.

Metallica & SF Symphony Concert at Chase Center – On Sunday, September 8, Metallica & the SF Symphony concert was held at the new Chase Center. In coordination with Chase Center in order to accommodate the crowds, Caltrain operated one extra post-event local train that will depart from San Francisco station at 12:05 a.m. Event ridership will be provided in November.

Elton John Concert at Chase Center – On Sunday, September 15, Elton John performed his Farewell Tour concert at the new Chase Center. In coordination with Chase Center in order to accommodate the crowds, Caltrain operated one extra post-event local train that will depart from San Francisco station at 12:05 a.m. Event ridership will be provided in November.
o **SF 49ers Regular Season** – The 49ers hosted the Pittsburg Steelers for their season opener on Sunday, September 22 at 1:25 p.m. at Levi’s Stadium. Caltrain operated one extra pre-game train with limited stops and one extra post-game local train from Mountain View to San Francisco. Event ridership will be provided in November.

o **San Jose Sharks** – There was three pre-season SJ Sharks home games at SAP Center in September. Event ridership will be provided in November.

o **Opera in the Ballpark** – On Saturday, September 21 the San Francisco Opera and San Francisco Giants joined forces for Opera at the Ballpark, a free simulcast of Gounod’s Romeo and Juliet in high definition live from the stage of the War Memorial Opera House to the new 71-foot high x 153-feet wide Vision Board in Oracle Park. In coordination with Oracle Park, Caltrain operated Giants-game like service (two pre-event and two post-event special trains). Event ridership will be provided in November.

**Services Scheduled:**

o **SF 49ers Regular Season** – The SF 49ers will host the Cleveland Browns on Monday, October 7, at 5:15 p.m. and the Carolina Panthers on Sunday, October 27, at 1:05 p.m. For weekend 49er home games, Caltrain will operate one additional pre-game southbound train with limited stops from San Francisco to Mountain View for passengers to connect to the VTA light rail. The extra train will then express to San Jose Diridon station, the last station stop. After all 49er home games, Caltrain will operate one extra post-game local train from Mountain View to San Francisco that will depart approximately 75 minutes after the game ends, or when full.

o **Stanford Football** – The Stanford Cardinal will host Washington State on Saturday, October 5, at 7:30 p.m., UCLA on Thursday, October 17 at 6:00 p.m. and Arizona State on Saturday, October 26, start time TBD. For weekend home games, Caltrain will serve the Stanford Stadium station with both northbound and southbound trains before and after all weekend home games. Fans can also tag on and tag off using their clipper cards at the Stanford Stadium station for all weekend home games. During weekday home games since Caltrain does not stop at the Stanford Stadium Station, fans are directed to use the Palo Alto Station. From there fans can take the Marguerite Shuttle or walk to the Stanford Stadium.

o **San Jose Sharks Regular Season** – The Sharks will host four games in October. Caltrain will track post-game ridership at SJ Diridon station for all home games. No extra special trains are planned. For weeknight and Saturday night games, the last northbound train departs SJ Diridon station.
at 10:30 p.m. or 15 minutes after the game ends but departs no later than 10:45 p.m.

o **Warriors Pre-Season & Regular Season** – The Golden State Warriors will host their 1st pre-season home game vs. the Lakers on Friday, October 5 at 5:00 p.m. and their 1st regular season home game vs. the Clippers at the new Chase Center in San Francisco. In coordination with Chase Center, Caltrain will run regular service for all home games; no extra special trains are planned. Caltrain will track post-game service ridership at SF Station for all home games.

o **San Francisco Fleet Week** – On Saturday, October 12 and Sunday, October 13, Caltrain will provide one extra pre-event train with limited stops from San Jose to San Francisco and one extra post-event local train on both days for the Fleet Week airshows from 12:00 p.m. to 4:00 p.m. in anticipation of large crowds.

- **Capital Projects** –

The Capital Projects information is current as of September 13, 2019 and is subject to change between September 13 and October 3, 2019 (Board Meeting).

- **San Mateo 25th Avenue Grade Separation Project**: Raise the elevation of the alignment from Hillsdale Boulevard to south of the Highway 92 Overcrossing in the city of San Mateo. The project creates a grade separation at 25th Avenue, relocates the Hillsdale Station to the north, and creates two new east-west street grade-separated connections at 28th and 31st Avenues in San Mateo. Construction of the elevated rail alignment and the new Hillsdale Station will be phased to limit impact to the operating railroad.

In September, the precast girders for the 28th Avenue Bridge were placed. The center bent for the 31st Avenue Bridges has been poured and falsework and formwork for the bent cap is in progress. Post-tensioning of the 25th Avenue Bridge girders is scheduled to occur by month’s end.

Construction also continued on the Mechanically Stabilized Earthen (MSE) Wall B, between 25th and 28th Avenues, for which the final panels and lightweight cellular concrete are expected to be complete by month’s end. Construction continued on MSE Wall C (between 28th Avenue and the new Pedestrian Underpass), MSE Wall D (between the Pedestrian Underpass and 31st Avenue), and MSE Wall E (between 28th Avenue and 31st Avenue) are in progress. The coping, moment slab, OCS pole foundations and handrails for the MSE Wall A between Borel and 25th Avenue were also in progress and nearing completion.
Mass excavation on the west side of the tracks at 31st Avenue and 28th Avenue future roadway underpasses was completed. Retaining walls on the west side of 31st Avenue was also in progress. Construction of the east sides of 28th and 31st Avenues cannot proceed until the track shift associated with the temporary Hillsdale station closure is in place. PG&E completed all of their relocations within the project limits.

The temporary closure of the Hillsdale Station, to allow completion of the project, is now forecast to occur in the Winter of 2019 until Summer of 2020. During the temporary closure, enhanced bus and shuttle service to the Belmont Station will be provided to minimize the temporary passenger inconvenience.

The original Bay Meadows Set-Out track was removed to support the construction of the grade separation. In response to community input, the project is evaluating alternative locations for its replacement.

- **South San Francisco Station Improvements:** Replace the existing side platforms with a new centerboard platform, construction of a new connecting pedestrian underpass to the two new plazas in downtown South San Francisco to the west and the shuttle area to east. Upon completion, the hold-out rule at this station will be removed that currently impacts the overall system operational efficiency.

In September, PG&E utility relocations for gas and electric were completed, thus, all third-party utility relocations are now complete. Realignment of the JPB Positive Train Control (PTC) fiber optic line is in progress. The station construction contractor is remobilizing from the partial suspension of work to recommence construction of the station.

Critical third-party utility relocations that were originally scheduled to begin in November 2017; however, relocation was delayed until August 2018 due to delays in obtaining Caltrans permits. Due to physical conflicts between third-party utility relocations and civil construction for critical path activities such as the pedestrian underpass, a partial suspension was issued for construction to minimize delays and inefficiencies that would be caused by the stacking of the utilities and construction work. The partial suspension was lifted in September. Critical path station related construction that was planned to resume in April 2019 was delayed until September/October 2019 due to delays in the relocation of existing PG&E gas and electric utilities. This project is likely to require additional contract authority and funding. Staff will be bringing this action to the board once a funding plan has been identified.
o **Marin and Napoleon Bridge Rehabilitation Project:** This state of good repair project will perform repairs at the Marin St. Bridge and replace the Napoleon St. Bridge. Both bridges are in the City of San Francisco located south of the 22nd Street Station. The repairs at Marin Street are primarily for concrete spalling and cracks, and deficient walkways and handrails. The Napoleon St. bridge concrete spans will be removed and replaced with elevated soil berm structures and the main steel span will be replaced with a new concrete span. The span replacement at Napoleon Street will require a partial weekend service outage in which a bus bridge will be provided to shuttle patrons between Bayshore and 4th & King Stations during the outage. The project will install security fencing to deter encampments, and, also include track improvements in the vicinity of the bridges.

Currently, the project is completing the design phase and the project is currently performing preconstruction surveys for existing site conditions such as utilities and potentially hazardous materials, and, addressing constructability issues such as coordination with other JPB capital projects and construction staging. Staff is also performing preconstruction coordination with other local agencies such as the City of San Francisco and Caltrans. The advertisement of the construction contract is planned for late 2019 and construction to occur from the Spring of 2020 to Winter of 2021.

o **Ticket Vending Machine (TVM) Rehabilitation:** Upgrade the existing TVM Server and retrofit and refurbish two existing TVM machines to become prototypes for new TVM’s so that the machines are capable of performing the functions planned for the current Clipper program. The new machines will be able to dispense new Clipper cards (excluding discount Clipper cards that require verification of eligibility) and have the ability of increasing the cash values of existing Clipper cards.

The mockup prototype, for the original scope of work, was assembled at JPB’s San Carlos office for preliminary testing of the touchscreen. JPB has recently issued contract additions for upgrades to the credit card reader and the database that will extend the completion of the 2 prototype machines from October 2019 until April 2020. The option for retrofitting 12 additional TVM’s, if executed, would follow the acceptance of the 2 prototypes. Funding for the option is not yet secured. There is also an option to retrofit 12 additional TVM’s. There is an additional phase for the rehabilitation of the remaining 28 TVM’s that was partially funded in the FY20 Capital Budget.

o **Mary and Evelyn Avenue Traffic Signal Preemption Project:** Perform upgrades to train approach warning systems at the Mary Avenue and
Evelyn Avenue crossings in Sunnyvale. The project will improve vehicle safety at the at-grade crossings by increasing the traffic signal advance warning times for approaching trains in order to clear vehicles at the crossings. This project will mimic the previously completed traffic signal preemption project that was completed in 2014 in Redwood City, Palo Alto and Mountain View. This project is being funded through the State of California Public Utilities Commission Section 130 program to eliminate hazards at existing grade crossings.

The design for this project began in late January 2019; however, the design was placed on hold until late August 2019 due to design coordination with the Electrification project to assure that the work is coordinated, and, waiting for signal preemption timing requirements from the City of Sunnyvale in order to proceed with design. The 65% design of the crossings from the Electrification project was received in late August. JPB provided signal preemption timing criteria to the City of Sunnyvale. Preliminary design has been restarted in September. Coordination with the City for timing continues. The current schedule is for design to complete by the Spring of 2020, award the construction contract in the Fall of 2020, and conduct construction from late 2020 until mid-2021.

**FY19/FY20 Grade Crossing Improvements:** This project is a continuation of the ongoing grade crossing program to improve the safety at grade crossings in accordance with Grade Crossing Hazards Analysis for the entire corridor. This analysis prioritized the crossings and we have proceeded with the work in phases based on funding availability. 10 crossings were improved in 2018 under the FY16 budget authorization. Due to budget constraints, the FY19/FY20 scope is limited to five (5) crossings to be improved. The five crossings selected to be improved in this phase are 1st, 2nd, and 3rd Avenues in San Mateo, and, Glenwood in Atherton, and Oak Grove Avenues in Menlo Park. Work items that are usually included are the installation of signals, fences, gates, curbs, lighting and signs.

The preliminary (35%) design phase began in May that will define the specific improvements at each grade crossing. Coordination with the cities of San Mateo, Atherton and Menlo Park are ongoing and their comments are being addressed in the preliminary design. Advertisement of the construction contract is planned for the Summer of 2020 with construction beginning in late 2020 and lasting until late 2021.

**Broadband Wireless Communications for Railroad Operations:** This project is to provide wireless communications system to provide enhanced capabilities for the monitoring of the railroad operations and maintenance,
and, provide Wi-Fi capability for passengers. This project is funded through a grant from the Transit and Intercity Rail Capital Program (TIRCP). Currently, the project is currently only approved for the design phase. A Request for Proposal for providing design services was advertised for proposals on July 9 and proposals were received on August 7. Staff review of the proposals and negotiations with the selected contractor has been completed. Award of the design contract is agendized for the October 2019 Board meeting. The current schedule calls for the design to complete by the summer of 2020.

- **F-40 Locomotive Mid-Life Overhaul Project:** Perform mid-life overhaul of three F40PH2C locomotives. The mid-life overhaul of the locomotives includes the compete disassembly of the main diesel engine, overhauling by reconditioning re-usable main frame components and re-assembly with new engine components and replacement of the Separate Head-End Power (SEP-HEP) unit and all electrical components of the SEP-HEP compartment. All areas of the locomotive car body, trucks, wheels and electrical components shall be reconditioned to like-new condition or replaced with new material. The work will be completed off-site at contractor’s (Motive Power) facility location at Boise, Idaho. The three locomotives are Locomotive #’s 920, 921 and 922.

  Locomotives #’s 920 and 921 were shipped to the vendor’s facility in Idaho in February and March of 2018, and, #922 was shipped in April 2019. Locomotive 920 was returned to CEMOF for commissioning tests in March 2019 and deficiencies that were uncovered are being corrected by the vendor and followed by the JPB’s installation of PTC onboard equipment and inward facing cameras prior to being returned for revenue service. Locomotive #921 has been returned to JPB’s CEMOF facility for final inspection prior to commissioning tests. Locomotive #922 is undergoing refurbishment at the vendor’s facility.

  Delays to the return of the first 2 vehicles are related to: 1) locomotive component condition that was poorer than was originally anticipated; and 2) critical personnel shortages at Motive Power, the locomotive overhaul contractor.

- **MP-36 Locomotive Mid-Life Overhaul Project:** Perform mid-life overhaul of six MP-36-3C Locomotives. The mid-life overhaul of the locomotives shall include complete disassembly of the main diesel engine, overhauling by reconditioning re-usable main frame components and re-assembly with new engine components and the replacement of the Separate Head-End Power (SEP-HEP) unit and all electrical components of the SEP-HEP compartment. All areas of the locomotive car body, trucks, wheels and
electrical components shall be reconditioned to like-new condition or replaced with new material. The project work shall be completed off-site at the contractor’s facility location. The 6 locomotives are Locomotive #’s 923, 924, 925, 926, 927 & 928.

Request for Proposal (RFP) documents are being finalized and advertisement of the RFP is expected in October and award of the contract in the Spring of 2020.
AGENDA ITEM #10 (a)
OCTOBER 3, 2019

PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT

TO: Joint Powers Board
THROUGH: Jim Hartnett
Executive Director

FROM: John Funghi
Chief Officer, Caltrain Modernization Program

SUBJECT: PENINSULA CORRIDOR ELECTRIFICATION PROJECT MONTHLY PROGRESS REPORT

ACTION
Staff Coordinating Council recommends the Board receive the Peninsula Corridor Electrification Project (PCEP) Monthly Progress Report (MPR) Update. The MPR are available online under “Reports and Presentations” at this webpage:

http://www.caltrain.com/projectsplans/CaltrainModernization/CalMod_Document_Library.html

No action required.

SIGNIFICANCE
Staff prepares and submits a report covering the PCEP on a monthly basis.

BUDGET IMPACT
There is no impact on the budget.

BACKGROUND
The MPR Update are intended to provide funding partners, stakeholders, and the public a PCEP overview and an overall update on project progress. These documents provide information on the scope, cost, funding, schedule, and project implementation.

Prepared by: Josh Averill, Program Management Administrator 650.508.6453
TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Michelle Bouchard
Chief Operating Officer, Rail

SUBJECT: CALTRAIN POSITIVE TRAIN CONTROL PROJECT UPDATE - SEPTEMBER 2019

ACTION
Staff Coordinating Council recommends that the Board receive the Positive Train Control (PTC) report for September 2019.

SIGNIFICANCE
Staff will provide monthly updates covering PTC related activities during the previous month and provide a preview of activities anticipated to take place during the current month.

BUDGET IMPACT
There is no budget impact.

MONTHLY UPDATE

1. Project Schedule - Major Milestones for Caltrain PTC Implementation:

<table>
<thead>
<tr>
<th>Key Project Activity</th>
<th>Expected Completion</th>
<th>Progress as of 8/21/19</th>
<th>Progress On Track?</th>
<th>Mitigation Required or Approvals Needed</th>
</tr>
</thead>
<tbody>
<tr>
<td>Approval of Designated Revenue Service Demonstration (RSD) Test Request</td>
<td>May 31\textsuperscript{st}</td>
<td>Completed</td>
<td>Completed</td>
<td>Formal conditional approval received on September 10. Team incorporating FRA conditions in test plan to ensure compliance to approval.</td>
</tr>
<tr>
<td>Approval of revised project PTC Implementation Plan (PTCIP) and Request for Amendment (RFA)</td>
<td>May 31\textsuperscript{st}</td>
<td>Completed</td>
<td>Completed</td>
<td>Formal approval received on May 16, 2019 for PTCIP and RFA Rev. 10.</td>
</tr>
<tr>
<td>Pilot Installations (4) Completed</td>
<td>June 20\textsuperscript{th}</td>
<td>Completed</td>
<td>Completed</td>
<td>All pilots completed</td>
</tr>
<tr>
<td>Submit Designated RSD Application</td>
<td>Oct 15\textsuperscript{th}</td>
<td>Completed</td>
<td>Completed</td>
<td>RSD Application submitted and in review by FRA.</td>
</tr>
<tr>
<td>Submit Full Track RSD Application</td>
<td>June 7th</td>
<td>Completed</td>
<td>Completed</td>
<td>Formal RSD request for full track was submitted to the FRA on June 14, 2019</td>
</tr>
<tr>
<td>Complete Critical Feature Verification &amp; Validation (V&amp;V) for Designated Track RSD</td>
<td>Oct 30\textsuperscript{th}</td>
<td>Completed</td>
<td>Completed</td>
<td></td>
</tr>
<tr>
<td>Complete Designated RSD Training</td>
<td>Nov 14\textsuperscript{th}</td>
<td>Completed</td>
<td>Completed</td>
<td>Training for designated RSD personnel completed</td>
</tr>
<tr>
<td>Complete Required Vehicle Installations</td>
<td>Dec 3\textsuperscript{rd}</td>
<td>Completed</td>
<td>Completed</td>
<td>(44) Installs required for RSD completed, punch list items being addressed by Wabtec.</td>
</tr>
<tr>
<td>Meet FRA Statutory Requirements and Substitute Criteria</td>
<td>Dec 31</td>
<td>Completed</td>
<td>Completed</td>
<td>Met FRA December 31, 2018 deadline</td>
</tr>
<tr>
<td>Obtain Alternative Schedule approval from FRA</td>
<td>Mar 15\textsuperscript{th}</td>
<td>Completed</td>
<td>Completed</td>
<td>Received FRA’s approval on February 6, 2019.</td>
</tr>
<tr>
<td>Completion of Remaining Vehicle Installation (all 67 units)</td>
<td>April 30, 2019</td>
<td>Completed (63 Units)</td>
<td>Completed (63 Units)</td>
<td>Except three F40PH 3Cs Rehab vehicles that are out of property and one wrecked vehicle.</td>
</tr>
<tr>
<td>Full RSD - Complete Remaining Critical Feature V&amp;V</td>
<td>Jan 2019</td>
<td>Completed</td>
<td>Completed</td>
<td></td>
</tr>
<tr>
<td>Full RSD - Complete Wayside Interface Unit (WIU) V&amp;V</td>
<td>March 15, 2019</td>
<td>Completed</td>
<td>Completed</td>
<td>Completed on March 15, 2019</td>
</tr>
<tr>
<td>Key Project Activity</td>
<td>Expected Completion</td>
<td>Progress as of 8/21/19</td>
<td>Progress On Track?</td>
<td>Mitigation Required or Approvals Needed</td>
</tr>
<tr>
<td>----------------------</td>
<td>---------------------</td>
<td>------------------------</td>
<td>--------------------</td>
<td>-----------------------------------------</td>
</tr>
<tr>
<td>Full RSD - Complete Lab Integrated End to End Testing (LIEE)</td>
<td>June 30, 2019</td>
<td>Completed</td>
<td>Completed</td>
<td>LIEE Cycle 3 was completed ahead of schedule on June 12, 2019</td>
</tr>
<tr>
<td>Full RSD - Complete Field Integrated Testing (FIT)</td>
<td>August 2019</td>
<td>Completed</td>
<td>Completed</td>
<td>Full track FIT has completed on June 30, 2019</td>
</tr>
<tr>
<td>Full RSD - Complete Field Qualification Testing (FQT)</td>
<td>September 2019</td>
<td>Completed</td>
<td>Completed</td>
<td>Full track FQT has completed on July 14, 2019</td>
</tr>
<tr>
<td>*Commence Full RSD - Caltrain ROW</td>
<td>October 2019</td>
<td>Completed</td>
<td>Completed</td>
<td>Caltrain has successfully entered RSD on September 07, 2019</td>
</tr>
<tr>
<td>Complete Lab Integrated End Testing for Interoperability with UPRR (LIEE-I)</td>
<td>October 2019</td>
<td>Plan</td>
<td>Ahead of Schedule</td>
<td>LIEE-I has commenced on August 12, 2019 and cycle 1 test has been concluded. Cycle 2 will start the end of September.</td>
</tr>
<tr>
<td>*Complete Interoperability Testing with UPRR South of CP Lick</td>
<td>December 2019</td>
<td>Plan</td>
<td>Yes</td>
<td>Coordination effort with UPPR is ongoing.</td>
</tr>
<tr>
<td>*Complete Interoperability Testing with Tenant Railroads</td>
<td>April 30 2020</td>
<td>Plan</td>
<td>Yes</td>
<td>Coordination effort with AMTRAK and ACE is ongoing.</td>
</tr>
<tr>
<td>Submit Caltrain PTC Safety Plan to the FRA</td>
<td>June 01, 2020</td>
<td>Plan</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>Complete Caltrain PTC Implementation</td>
<td>December 2020</td>
<td>Plan</td>
<td>Yes</td>
<td></td>
</tr>
</tbody>
</table>

*Key project milestones for 2019/2020 have incentive payments as part of a contract negotiation concluded on May 7, 2020.

1. **Major Wabtec activities for September 2019:**
   - Wabtec has achieved the first performance incentive - full track RSD readiness upon receiving FRA test monitor concurrence of RSD readiness and completion of all RSD required documentation. Caltrain has entered RSD on September 7, 2019.
   - Supported RSD runs and addressed issue tracker items with support from WABTEC PTC helpdesk.
   - Completed post RSD critical feature validation (CFV) and verification after FRA approval of the CFV plan.
   - Completed Lab Regression Test for post RSD new software release to support Interoperability.
   - Finalized Field Regression Test Plan for all new software for FRA Approval.
   - Finalized Field Interoperability with UPRR and submitted for FRA approval.
   - Completed Interoperability End-to-End Testing (LIEE-I) Cycle one Testing with UPRR; BCCF Lab is being used for LIEE-I.
   - ITCM Test Federation and Production Federation effort with UP, BNSF, HTIX (ACE) and KCS were achieved. Team is continuing the same ITCM effort with the remaining railroads for PTC Interoperability testing and implementation.
   - Completed PTC training course for 101, 201 and 221 for operators, conductors and vehicle maintainers; submitted all training material and records for Caltrain’s approval.
   - Continued to complete remaining training courses for Caltrain/TASI
   - Continued implementation of Key Exchange Server (KES) with hosted solution from ARINC; continued KES implementation technical coordination with UPRR; completed KES Lab testing with UPRR.
   - Continued BCCF/CCF Cutover planning effort.
   - Continued Interoperability coordination effort and finalized detailed interoperability schedule.
2. **Vehicle Installation:**
Wabtec completed installation of (44) I-ETMS modules on the Caltrain locomotives and cab cars as required in Caltrain’s Implementation Plan and statutory criteria requirements in early November of 2018. Wabtec has completed installations on the remaining Caltrain fleet (23 additional locomotives and cab cars) on April 8, 2019. This excludes three locomotives that are off property for overhaul and one damaged cab car. Table below provides the overall status of 67-vehicle installation as of April 17, 2019. No additional update this month.

<table>
<thead>
<tr>
<th>Equipment</th>
<th>Completed</th>
<th>In Progress</th>
<th>Pending</th>
</tr>
</thead>
<tbody>
<tr>
<td>F40</td>
<td>20</td>
<td>0</td>
<td>3</td>
</tr>
<tr>
<td>MP36</td>
<td>6</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Bombardier Cab</td>
<td>9</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>NS Gallery Cab</td>
<td>26</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td>MP1500</td>
<td>2</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>63</strong></td>
<td><strong>0</strong></td>
<td><strong>4</strong></td>
</tr>
<tr>
<td><strong>%</strong></td>
<td><strong>94%</strong></td>
<td><strong>0%</strong></td>
<td><strong>6%</strong></td>
</tr>
</tbody>
</table>

3. **Other Key Activities for September of 2019:**
This section reports on PTC project general progress and issues being performed and tracked in addition to the Wabtec contract during the current reporting month.

- Caltrain commenced Revenue Service Demonstration (RSD) on September 7th, 2019.
- RSD roll out will incrementally continue for the next few months. The goal is to have all trains running with PTC active by the end of 2019.
- Herzog Technology Incorporated (HTI) team of PTC experts completed PTC go-live effort. TASI and the PTC project team had a smooth transition of PTC to operations and maintenance. HTI Data collection team and PTC project team have developed the process for PTC daily, weekly and monthly reporting to the FRA.
- PTC helpdesk is up and running since commencement of RSD with support from Tier 1 and Tier 2 support staff for PTC Operations. Post RSD weekly meetings are held with TASI and Operations to continue monitoring PTC system roll out and address any critical anomalies as needed.
- Received JPB Board approval of ARINC long-term maintenance and support service agreement for Rail Operations Control System (ROCS), Passenger Predictive Train Arrival/Departure System (PADS) and Voice Radio Dispatching System (RDS) three major systems residing in the CCF and BCCF that support Rail Operations.
- Caltrain Operations including all dispatchers completed ROCS hands-on training on site in support of RSD rollout.
- The PTC project continues its coordination efforts with the Electrification and EMU programs via regularly scheduled status meetings. Ad hoc meetings to discuss topics requiring in-depth or immediate decisions are held as needed. Data sharing of fiber audit results and testing schedules (sharing of track and time) is ongoing to ensure both teams coordinate needs.
- Caltrain Configuration Management (CM) process has been in place. All configuration changes are going through the CM process. Project and system impact analyses are performed before any approvals are issued from the Configuration Control Board.
4. **Change Order Log:**
The additional scope items negotiated with Wabtec totaling $1.42 M are needed to support the new milestone schedule approved by FRA in December. They relate to interoperability and the communications system. The funds for this scope will be taken from the board approved $4.5M contingency. This is the only change order for this contract. This change order was reviewed and approved by the Change Management Board in May. The contract amendment one (1) that reflects this change order is executed. There are no new change orders in September 2019.

5. **Risk Management**
Caltrain and Wabtec have agreed to share the management of an identified list of risk items that were identified during the contract negotiations. The total cost allocated to these risks is $1.9M to be shared amongst both parties. Unrealized risks will result in cost savings to Caltrain.

To date no risks have been identified requiring use of the risk funds. Caltrain and Wabtec jointly review the shared risk register as the project progresses.

There are also risks to be monitored outside the Wabtec specific contract that the project team monitors and mitigates as necessary. The following table captures the top risks both external (outside the Wabtec contract) and internal (specific to the Wabtec contract):

<table>
<thead>
<tr>
<th>Risk Item</th>
<th>Type</th>
<th>Mitigation Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>FRA process changes</td>
<td>External</td>
<td>Maintain close and open relationship with key FRA contacts to ensure all submittals are done correctly and within required time frame to achieve approvals required to achieve full system certification.</td>
</tr>
<tr>
<td>Interoperability delays</td>
<td>External</td>
<td>Caltrain is working with UPRR and tenants to ensure agreed to interoperability schedule dates are maintained.</td>
</tr>
<tr>
<td>Track access delays</td>
<td>Internal</td>
<td>Ensure field test schedule is maintained by coordinating all fieldwork in combination with other capital project’s needs, particularly the PCEP project.</td>
</tr>
<tr>
<td>Back Office Server (BOS) documentation scope creep</td>
<td>Internal</td>
<td>Ensure standard documentation supplied by Wabtec meets requirements of Caltrain specification criteria</td>
</tr>
<tr>
<td>Key Exchange Server Solution</td>
<td>Internal</td>
<td>Implementation of Caltrain Key Exchange Server timely to support Interoperability Testing with UPRR.</td>
</tr>
<tr>
<td>Maintenance of existing Assets Data Communications, Wayside Infrastructure and on-board equipment</td>
<td>Internal</td>
<td>Coordinate with Operations and TASI to ensure all assets transfer is done timely including all documentation to be handed off to Operations/TASI, so assets are maintained properly and be reliable for PTC Revenue Service Operations.</td>
</tr>
</tbody>
</table>

6. **FRA Coordination Status:**
- Continued weekly calls with FRA review team
- FRA Test Monitor observed RSD runs on site visit with the positive feedback
- Received FRA approval of CFV and Regression Test Plan
- Submitted Interoperability Test Request to the FRA
- Submitted Final Interoperability Test Plan with UPRR for FRA Approval
7. **Caltrain Roadmap to Full RSD and Interoperability:**
   - Caltrain has achieved Full Track commencement of Revenue Service Demonstration (RSD). Completing interoperability is the next big milestone in order to achieve overall system certification.
   1. Alternative Schedule was approved on February 6, 2019.
   2. Caltrain completed all field validation by the 1st quarter of 2019.
   4. Caltrain submitted the full track RSD application in June 2019 and received conditional approval of RSD in July 2019.
   5. Caltrain completed Field Integrated Testing (FIT) and Field Qualification Testing (FQT) for full track and has commenced RSD on September 7, 2019.
   6. Caltrain completed training TASI personnel to support full track RSD and PTC operations.
   7. Caltrain continues to roll out PTC trains until all 92 trains are under PTC before the end of 2019.
   8. Caltrain commenced Interoperability Laboratory Testing with UPRR on August 12, 2019 and plan to commence Interoperability Field Testing with UPRR in late October upon receiving Interoperability test request approval from the FRA. The goal is to achieve Interoperability with UPRR by December of 2019.
   9. Caltrain will commence Interoperability Testing with all other tenants on Caltrain property to achieve interoperability requirements and commence PTC governed operation by May 2020.
   10. Caltrain will complete submission of the final PTC Safety Plan by June 2020 and receive full system certification by December 2020.

8. **Cost - Spend vs Budget with Actuals and Accruals through August 2019:**

<table>
<thead>
<tr>
<th>Project Cost Analysis</th>
<th>(A) Original Budget (US$MM)</th>
<th>(B) Approved Changes (Contractor) (US$MM)</th>
<th>(C) Project Current Budget (US$MM)</th>
<th>(D) Expended and Accruals To-Date (US$MM)</th>
<th>(E) Estimated at Completion (EAC) (US$MM)</th>
<th>(F) = (C - E)</th>
<th>(G) = (D / E)</th>
<th>% Expended of EAC</th>
</tr>
</thead>
<tbody>
<tr>
<td>CBOSS PTC Project (Jan 2008 - Feb 2018)</td>
<td>$ 231.00</td>
<td>$ 239.88</td>
<td>$ 202.26</td>
<td>$ 202.26</td>
<td></td>
<td></td>
<td></td>
<td>55.97%</td>
</tr>
<tr>
<td>Caltrain PTC Project (March 1, 2018 - June 30, 2020):</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Integrator WABTEC Contract</td>
<td>$ 43.01</td>
<td>$ 1.42</td>
<td>$ 44.44</td>
<td>$ 24.87</td>
<td>$ 44.44</td>
<td>$ -</td>
<td>55.97%</td>
<td></td>
</tr>
<tr>
<td>Other Contractors</td>
<td>$ 6.00</td>
<td>-</td>
<td>$ 6.00</td>
<td>$ 1.76</td>
<td>$ 6.00</td>
<td>$ -</td>
<td>29.63%</td>
<td></td>
</tr>
<tr>
<td>Potential Changes</td>
<td>$ 2.00</td>
<td>$ (1.42)</td>
<td>$ 0.58</td>
<td>$ 0.58</td>
<td>$ 0.58</td>
<td>$ -</td>
<td>25.00%</td>
<td></td>
</tr>
<tr>
<td>Potential Incentive - WABTEC</td>
<td>$ 2.00</td>
<td>-</td>
<td>$ 2.00</td>
<td>$ 0.50</td>
<td>$ 2.00</td>
<td>$ -</td>
<td>25.00%</td>
<td></td>
</tr>
<tr>
<td>Other Program Costs</td>
<td>$ 30.34</td>
<td>-</td>
<td>$ 30.34</td>
<td>$ 11.93</td>
<td>$ 30.62</td>
<td>(0.27)</td>
<td>38.97%</td>
<td></td>
</tr>
<tr>
<td>Project Contingency</td>
<td>$ 6.06</td>
<td>-</td>
<td>$ 6.06</td>
<td>$ 5.78</td>
<td>$ 0.27</td>
<td>$ -</td>
<td>29.63%</td>
<td></td>
</tr>
<tr>
<td>Total PTC Project</td>
<td>$ 89.41</td>
<td>-</td>
<td>$ 89.41</td>
<td>$ 39.08</td>
<td>$ 89.41</td>
<td>(0.00)</td>
<td>43.71%</td>
<td></td>
</tr>
</tbody>
</table>

Note:
1. Expended and Accruals To-Date is through August 31, 2019;
2. Integrator Wabtec Contract Value includes Shared Risk with Not to Exceed Total of $1.91MM;
3. Other Contractors amount includes ROCS Modification and potential fiber fixes;
4. Potential Changes amount is set for future project change orders as result of WABTEC assessment and survey for the communications and office subsystems;
5. Potential incentive amount reflects what is in the WABTEC conforming agreement;
6. Other Program Costs includes JPB project oversight costs, TASI support and Other Direct Cost for PTC project delivery;
7. Project Contingency includes a) contingencies for WABTEC contract per Board Staff Report; b) JPB project team cost contingency;
8. CBOSS PTC project budget and actual cost are highlighted to reflect prior March 1st, 2018 CBOSS project financial data.
9. Negotiated additional scope items are included in WABTEC’s contract amendment 1. There is no budget impact since project has budgeted adequate potential change for the amount of $2MM (note no. 4 above) for added scope items. Current Project budget for WABTEC contract is updated to reflect added scope items.
9. **Upcoming Key Activities in October 2019:**
   - Complete Field Regression Testing
   - Complete installation of post RSD software in BCCF and BCCF Lab for testing
   - Complete Interoperability LIEE Testing with UPRR using Caltrain newly built BCCF lab
   - Continue BCCF readiness activities and BCCF/CCF cutover effort
   - Continue ITCM Test and production Federation with remaining railroads
   - Close out all punch list items on onboard installs
   - Continue PTC RSD Roll out with Operations and TASI
   - Continue Data Collection and PTC log analysis for PTC RSD daily and weekly reports to the FRA following RSD conditional approval requirements
   - Continue to work closely with the FRA regional and national representatives to ensure all aspects of documentation and testing requirements are maintained and approvals (by FRA) granted
   - Establish tool and process for Tier 2 PTC System Engineering support for tracking anomalies and defects
   - Continue Interoperability coordination with UPRR, Amtrak and other tenants
   - Receive approval of Field Interoperability Test Plan from the FRA
   - Commence Field Interoperability Test with UPPR
   - Continue MP1500 locomotive Brake Testing effort that will conclude Brake Testing
   - Continue Physical Separation of Cell Network, PTC Virtualization and ATCS work

Prepared By: Matt Scanlon, Deputy Director, Systems 650.622.7819
AGENDA ITEM #11
OCTOBER 3, 2019

PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT

TO: Joint Powers Board

THROUGH: Jim Hartnett
   Executive Director

FROM: Michelle Bouchard
   Chief Operating Officer, Caltrain

SUBJECT: CALTRAIN BUSINESS PLAN – ADOPTION OF LONG RANGE SERVICE VISION

ACTION
Staff Coordinating Council recommends the Board of Directors (Board) adopt the Long Range Service Vision language developed by staff through the Caltrain Business Plan.

SIGNIFICANCE
Peninsula Corridor Joint Powers Board (JPB) staff has prepared a revised Long Range Service Vision policy statement as incorporated into the attached resolution. The Long Range Service Vision language has been revised from the draft recommendation presented to the Board in August based on comments received from the Board at both the August and September meetings as well as through substantial stakeholder, rider and public outreach conducted during the months of August and September as described in the included presentation.

The designation of a Long Range Service Vision is a key, interim step that will allow staff to complete the Caltrain Business Plan and advance implementation work focused on further planning projects, policy development and organizational analysis.

BUDGET IMPACT
There is no budget impact associated with the adoption of the Long Range Service Vision.

BACKGROUND
In 2017, the JPB secured full funding for the Peninsula Corridor Electrification Project and issued notices to proceed to its contractors for corridor electrification and purchase of Electric Multiple Unit railcars. Now that construction on this long-awaited project is underway, the agency has the opportunity to articulate a long-term business strategy for the future of the system.

The initial concept for a Caltrain “Business Plan” was brought to the Board in April of 2017. The Board reviewed a draft scope of work for the Business Plan in December of
2017 and adopted a final Business Strategy and Scope of Work in February of 2018. Technical work on the Plan commenced in the summer of 2018. The Business Plan has been scoped to include long-range demand modeling, and service and infrastructure planning, as well as organizational analysis and an assessment of Caltrain’s interface with the communities it traverses. It is an extensive planning effort that includes outreach in multiple venues. The plan will be completed in early 2020.

Prepared by: Sebastian Petty, Director of Policy Development 650.622.7831
THE CALTRAIN 2040 LONG RANGE SERVICE VISION

The following "Caltrain 2040 Long Range Service Vision" has been adopted by the Peninsula Corridor Joint Powers Board to guide the long-range development of the Caltrain rail service and supporting plans, policies and projects. This Long Range Service Vision has been based on detailed technical analysis undertaken by Caltrain and its partner agencies as part of the "Caltrain Business Plan" process during 2018 and 2019. This Long Range Service Vision will be periodically reaffirmed and updated by the Board as described in section 4.

1) Caltrain’s Long Range Service Vision directs the railroad to plan for substantially expanded rail service that, by 2040, will address the local and regional mobility needs of the corridor while supporting local economic development activities. When fully realized, this service will provide;

A. A mixture of express and local Caltrain services operated in an evenly spaced, bi-directional pattern

B. Minimum peak hour frequencies of:
   • 8 trains per hour per direction on the JPB-owned corridor between Tamien Station in San Jose and San Francisco, extended to Salesforce Transit Center at such time as the Downtown Extension is completed
   • 4 trains per hour per direction between Blossom Hill and Tamien Stations, subject to the securing of necessary operating rights
   • 2 trains per hour per direction between and Gilroy and Blossom Hill Stations, subject to the securing of necessary operating rights

C. Off-peak and weekend frequencies of between 2 and 6 trains per hour per direction north of Blossom Hill and hourly between Gilroy and Blossom Hill, with future refinements to be based on realized demand

D. Accommodation of California High Speed Rail, Capitol Corridor, Altamont Corridor Express and freight services in accordance with the terms of existing agreements

E. Delivery of these services will occur through the incremental development of corridor projects and infrastructure to be further defined through individual planning process, feasibility studies and community engagement. At this time, such infrastructure is conceptually understood to include:
   i. Investments in rail systems including a new, high performance signal system
ii. Station modifications including platform lengthening, level boarding, and investments in station access facilities and amenities to support growing ridership and improve customer experience

iii. New and modified maintenance and storage facilities in the vicinity of both terminals as well as the expansion of the electrified Caltrain fleet

iv. A series of short, 4-track stations and overtakes at various points throughout the corridor

v. Completion of key regional and state partner projects including:
   1. The Downtown Extension to the Salesforce Transit Center
   2. The reconstruction of Diridon Station and surrounding rail infrastructure
   3. The reconstruction and electrification of the rail corridor south of Control Point Lick to the Gilroy Station
   4. Additional improvements to allow for the operation of High Speed Rail service between Gilroy and San Francisco
   5. The substantial grade separation of the corridor as well as safety upgrades to any remaining at-grade crossings, undertaken in a coordinated strategic manner driven by the desires of individual local jurisdictions as well as legal requirements associated with any proposed 4-track segments.

2) Caltrain’s Long Range Service Vision further directs the railroad to continue its planning for a potential “higher” growth level of service as well as potential new regional and mega-regional connections. Specifically, the Long Range Service Vision directs the railroad to:

   A. Work with regional and state partners to collectively plan for and study the feasibility of higher levels of service as well as expanded regional and mega-regional rail connections. This work includes planning related to the Dumbarton Rail Corridor, a potential second Transbay Crossing, the potential for expanded Altamont Corridor Express and Capitol Corridor services, a potential extension of rail service to Monterey County, and ongoing planning related to the California High Speed Rail system.

   B. To take certain specific actions to anticipate and, where feasible and financially practicable, facilitate, such higher levels of service and connections as they specifically relate to:
      i. The planning of rail terminals and related facilities
      ii. The sale or permanent encumbrance of JPB land
      iii. The design of grade separations in areas where 4-track segments may be required
      iv. The sizing of future maintenance facilities and storage yards
C. To return to the Board with a recommendation regarding any formal expansion of the Long Range Service Vision at such a time as clear regional and state policy commitments are in place, the financial, operational and physical feasibility of such an option on the corridor has been confirmed, and community impacts have been assessed and affected communities have been consulted.

3) Caltrain’s Long Range Service Vision directs the railroad to prepare for the implementation of the Vision by:

   A. Completing the Caltrain Business Plan including additional analyses of issues related to funding, connectivity and access, and equity as well as the identification of a detailed implementation program of next steps and follow on work

   B. Evolving the organization in a manner that best prepares the railroad to deliver the service vision by deliberately and transparently addressing the issues of service delivery, internal organization and governance

   C. Seeking the new and dedicated sources of funding that will be needed to sustain the railroad’s operation and to incrementally implement the long range service vision

4) Finally, Caltrain’s Long Range Service Vision directs the railroad to periodically reaffirm the Vision to ensure that it continues to provide relevant and useful guidance to the railroad. Such reaffirmations should occur:

   A. At a regular intervals of no less than 5 years

   B. In response to significant changes to JPB or partner projects that materially influence the substance of the Long Range Service Vision
RESOLUTION NO. 2019 -
BOARD OF DIRECTORS, PENINSULA CORRIDOR JOINT POWERS BOARD
STATE OF CALIFORNIA

***

ADOPTING THE CALTRAIN 2040 LONG RANGE SERVICE VISION TO FOCUS AND GUIDE COMPLETION OF THE CALTRAIN BUSINESS PLAN

WHEREAS, the Peninsula Corridor Joint Powers Board (hereinafter referred to as the "JPB") is a joint exercise of powers authority duly formed pursuant to Chapter 5 (commencing with Section 6500) of Division 7 of Title 1 of the Government Code of the State of California and the joint powers agreement by and between the City and County of San Francisco, the San Mateo County Transit District, and the Santa Clara Valley Transportation Authority (collectively the three parties are referred to as "Member Agencies"), which was restated and amended as of October 3, 1996; and

WHEREAS, the JPB is a testament to successful local partnership over the period of 28 years since the Member Agencies acquired the Caltrain right of way from Southern Pacific Transportation Company in 1991 and assumed full responsibility for the ownership, management, operation, maintenance, and improvement of the corridor between San Francisco California and San Jose, California, and of the Caltrain passenger rail service operating between San Francisco, California and Gilroy, California currently serving 32 stations along the 77-mile corridor, operating approximately 92 weekday trains, which include express, limited, and local trains ("Caltrain rail service"); and

WHEREAS, the Caltrain rail service provides mobility to approximately 65,000 riders a day along the spine of the Bay Area Peninsula and helps to fuel the dynamic economy in the area known as the Silicon Valley; and
WHEREAS, over the 28 years since the Member Agencies have stepped up to own and control the Caltrain rail service, the JPB has found ways, within its limited resources but with generous assistance from the state and federal governments, to reinvent and expand the service--first with the introduction of the Baby Bullet express rail service in 2004 and more recently with the electrification of the Caltrain right of way from San Francisco to San Jose, now underway; and

WHEREAS, to prepare for the further modernization and expansion of the Caltrain rail service once electrified, the JPB, working closely with stakeholders in both the public and private sectors, launched a significant undertaking in 2017 to develop a Caltrain Business Plan to articulate a long term vision and business strategy for the system to the year 2040 pursuant to which the Caltrain rail service could carry three or more times the current ridership with greatly expanded frequency and capacity and improved travel times; and

WHEREAS, since the initiation of the Caltrain Business Plan project, the Board has received periodic reports to obtain informational updates and provide input on the development of the plan; and

WHEREAS, at its meeting on August 1, 2019, the Caltrain Business Plan project team presented the JPB Board of Directors with three long range scenarios for growth of the Caltrain rail service through 2040, to wit: The Baseline Growth Scenario, the Moderate Growth Scenario, and the High Growth Scenario, together with a comprehensive Organizational Assessment report addressing in detail service delivery options, internal organization considerations, and governance options for the Caltrain system; and

WHEREAS, each of the three growth scenarios has been developed to describe an achievable "end state" for the Caltrain rail corridor in 2040 in terms of (1) frequencies,
amount and patterns of train service; (2) infrastructure needs for fleet, systems, and support facilities; (3) estimated costs of operating, maintenance and capital projects; and (4) outcomes relative to ridership, mobility benefits and revenues; and

WHEREAS, the adoption of a single Service Vision is a critical policy action in the development of the Caltrain Business Plan as it establishes a long range specific goal for the system to achieve, and with that, narrows the focus to enable the project team to advance key planning, organizational and implementation work to complete a thorough and effective business plan and to conduct other long range planning activities; and

WHEREAS, at the August 2019 JPB Board meeting, staff presented a recommendation for a single Long Range Service Vision based in high level policy language that synthesizes the findings from the Business Plan analysis and recommends an approach regarding how the railroad should plan and strive to evolve and grow its services; and

WHEREAS, the adoption of a Service Vision at this time also acknowledges the ongoing work of the JPB and its Member Agencies to prepare for its implementation by evolving the organization in a manner to enable delivery of the Service Vision and by seeking the new and dedicated funding sources needed to sustain and support the Service Vision; and

WHEREAS, the project team has engaged in an extensive outreach effort since August with our public stakeholders throughout the region to provide information on the proposed Service Vision and to seek feedback regarding the proposal; and

WHEREAS, upon consideration of all of the comments received from this Board, the Member Agencies, the cities along the Caltrain right of way, and all other public
and private stakeholders that have provided input on the proposed Service Vision, the Caltrain Business Plan project team synthesized the detailed technical work included in these scenarios and is recommending that the Board of Directors adopt a revised policy based Long Range Service Vision as set forth in the attachment to this Resolution.

NOW, THEREFORE BE IT RESOLVED that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby adopts The Caltrain 2040 Long Range Service Vision as set forth in the attachment to this Resolution and directs the staff, with the assistance of our public and private partners, to complete the Caltrain Business Plan in full accordance with this Service Vision and to further use this Vision to guide other long range planning activities of the railroad as applicable.

Regularly passed and adopted this 3rd day of October, 2019 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary
Choosing a Long Range Vision

OCTOBER 3, 2019

JPB Board meeting
Agenda Item#11

Agenda for Today

- Overview & Process
- Outreach Update
- Comments on the Draft Service Vision
- Revised Long Range Service Vision
- Completing the Business Plan
Overview & Process

Timeline

July 2018 – July 2019
Development and Evaluation of Growth Scenarios

August 2019
Staff Recommendation for Long Range Service Vision

October 2019
Refinement and Proposed Adoption of Long Range Service Vision

November 2019
Organizational Assessment Workshop

Early 2020
Completion of Business Plan
Choosing a Long Range Service Vision is a key step in developing the Business Plan

The 2040 Long Range Service Vision sets a target for the future that we and our partners can grow towards incrementally

A successful Long Range Service Vision:
• Is rooted in thorough and credible analysis
• Respects, integrates, and supports the existing plans and commitments that Caltrain and its partners have made
• Is detailed enough to provide actionable guidance to the agency as it develops its own plans and engages with local, regional, and state partners
• Is sufficiently flexible to remain relevant even as the details, timing, and costs of individual projects change or evolve

Why Adopt A Long Range Service Vision?

Adopting a 2040 Long Range Service Vision is not the “end” of the Business Plan process. It is a critical policy action that sets a specific goal for the railroad to plan and work towards.

Board adoption of the Vision helps Caltrain narrow its focus so that key planning, organizational and implementation work can advance

Adopting a Long Range Service Vision is a critical Step in advancing Caltrain’s own work in the region

An adopted Long Range Service Vision is needed to:
• Provide key inputs needed for terminal planning in San Francisco and San Jose to advance
• Allow Caltrain to present a consistent long range vision to the region and state and identify funding needs
• Help Caltrain pursue more detailed analysis on the Business Plan related to funding, access and connecting service and equity
• Frame and focus the discussion of organizational needs and governance
Organizational Workshop

At the August 1 JPB Meeting, the Board asked staff to identify a time for a special meeting to conduct a “deep dive” into the organizational Assessment Work and report developed during the Business Plan process.

This meeting will provide an opportunity to discuss how the Caltrain organization should evolve to support implementation of the Service Vision adopted by the Board.

Content and Purpose

- Provide Board with a dedicated opportunity to ask Howard questions and discuss OA report
- Provide Caltrain staff with an opportunity to respond to OA report recommendations and outline potential next steps
- Achieve Board consensus on what work and processes should be pursued going forward

Timing & Format

- Confirmed for November 21st from 9am to 1pm
- Formatted as off-site workshop (location TBD)
- Participation by Howard Permut
- Open to public

Sustaining the Railroad

Adopting a Service Vision sets a long range policy goal for the railroad to work towards. It does not commit the JPB or its member agencies to funding the Vision.

Finding the money to fund the Service Vision will be a challenge. In addition to the significant level of capital investment required, new revenues and significant ongoing funding will be required to operate and maintain Caltrain service. This investment is needed on an ongoing basis and potential new sources of funding will be a major focus of analysis and discussion in the remainder of the Business Plan.

Annual Operating Costs

- **2018**
  - Total Annual Operating Costs: $135 Million
  - $97M Covered Directly by Fares
  - $38M Other Revenue & Subsidy
- **2040**
  - Total Annual Operating Costs: $370 Million
  - $266M Projected Covered by Fares
  - $104M Other Need

In 2018, JPB Member Contributions Covered $21 million of Caltrain’s non-fare Operating income (with the balance made up by non-fare revenues and grant sources)

All costs shown in 2018 dollars
### Outreach Update

#### Draft Service Vision Outreach

**July 22, 2019 - September 30, 2019**

<table>
<thead>
<tr>
<th>Public Meetings</th>
<th>25</th>
</tr>
</thead>
<tbody>
<tr>
<td>Virtual Townhall Views</td>
<td>1,600+</td>
</tr>
<tr>
<td>Factsheets Distributed</td>
<td>1,000+</td>
</tr>
<tr>
<td>Surveys Completed</td>
<td>1,200+</td>
</tr>
<tr>
<td>Station Pop-Ups</td>
<td>Rider Engagement</td>
</tr>
<tr>
<td>Train Ride Q&amp;A</td>
<td>Social Media</td>
</tr>
<tr>
<td>Station Message Signs</td>
<td>1,600+</td>
</tr>
</tbody>
</table>
Service Vision Factsheet
September 2019 (1,000+ Factsheets Distributed)

Survey Results
September 2019 (1,200+ Responses)

### Service Benefits

<table>
<thead>
<tr>
<th>Service Benefit</th>
<th>Very Excited</th>
<th>Somewhat Excited</th>
<th>Not Excited</th>
</tr>
</thead>
<tbody>
<tr>
<td>Faster Travel</td>
<td>73%</td>
<td>22%</td>
<td>4%</td>
</tr>
<tr>
<td>Show up and Go Scheduling</td>
<td>73%</td>
<td>23%</td>
<td>3%</td>
</tr>
<tr>
<td>More Flexibility</td>
<td>69%</td>
<td>25%</td>
<td>5%</td>
</tr>
<tr>
<td>More Commute Service</td>
<td>66%</td>
<td>27%</td>
<td>5%</td>
</tr>
<tr>
<td>More Frequent Service</td>
<td>66%</td>
<td>26%</td>
<td>6%</td>
</tr>
<tr>
<td>Capacity for 3x Riders</td>
<td>60%</td>
<td>32%</td>
<td>8%</td>
</tr>
<tr>
<td>More Options</td>
<td>54%</td>
<td>34%</td>
<td>8%</td>
</tr>
<tr>
<td>77 miles of all-day service</td>
<td>45%</td>
<td>34%</td>
<td>17%</td>
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### Regional Benefits

<table>
<thead>
<tr>
<th>Benefit</th>
<th>Very Excited</th>
<th>Somewhat Excited</th>
<th>Not Excited</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reducing greenhouse gas emissions</td>
<td>78%</td>
<td>17%</td>
<td>3%</td>
</tr>
<tr>
<td>Reducing driving</td>
<td>78%</td>
<td>18%</td>
<td>3%</td>
</tr>
<tr>
<td>Trains vs lanes</td>
<td>71%</td>
<td>22%</td>
<td>4%</td>
</tr>
<tr>
<td>Carrying more people</td>
<td>63%</td>
<td>32%</td>
<td>4%</td>
</tr>
<tr>
<td>Adding jobs</td>
<td>44%</td>
<td>41%</td>
<td>13%</td>
</tr>
<tr>
<td>Increasing economic activity</td>
<td>42%</td>
<td>41%</td>
<td>14%</td>
</tr>
</tbody>
</table>

87% survey responses from people that ride Caltrain
916 comments (in open-ended sections)
Data Visualization Challenge
550+ Downloads

Winner: Jonathon Yu, SF Bay Area resident

Platform
Tableau Data Visualization package

Purpose
Built multiple tabs representing origin to destination travel patterns, station passengers at various times of day, a series of string charts, and more

Functionality
Each scenario is included in the dataset which allows for the user to easily switch variables and factors
### Outreach Activities to Date

**July 2018 – September 2019**

<table>
<thead>
<tr>
<th></th>
<th>2018</th>
<th>2019</th>
</tr>
</thead>
<tbody>
<tr>
<td>Local Policy Maker Group</td>
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<td>●</td>
</tr>
<tr>
<td>City/County Staff Coordinating Group</td>
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<tr>
<td>Project Partner Committee</td>
<td>●</td>
<td>●</td>
</tr>
<tr>
<td>Stakeholder Advisory Group</td>
<td>●</td>
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<tr>
<td>Partner General Manager</td>
<td>●</td>
<td>●</td>
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<tr>
<td>Targeted Online Engagement</td>
<td>●</td>
<td>●</td>
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<tr>
<td>Community Meetings</td>
<td>●</td>
<td>●</td>
</tr>
<tr>
<td>Sister Agency Presentations</td>
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**Outreach Activities to Date**

**July 2018 – September 2019**

<table>
<thead>
<tr>
<th>Stakeholders Engaged</th>
<th>21</th>
<th>26</th>
<th>93</th>
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<tr>
<td>Jurisdictions</td>
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<td>Public Agencies</td>
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<tr>
<td>Organizations in the Stakeholder Advisory Group</td>
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<tr>
<td>Stakeholder meetings</td>
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<tr>
<th>Public Outreach</th>
<th>76</th>
<th>1,600+</th>
<th>33,400+</th>
<th>2,200+</th>
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<tbody>
<tr>
<td>Public meetings and presentations</td>
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<td>Virtual Townhall views</td>
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<td>Website views</td>
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<td>Survey results</td>
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Comments on the Draft Service Vision

Key Themes from Stakeholder Meetings and Outreach 07/22/2019-09/30/2019

Caltrain Service

Broad Support for the Service Vision
Wide degree of general support for Business Plan process and for staff recommendation

Planning for Higher Growth
Consistent comments asking that Caltrain take a more affirmative, proactive approach to planning for a possible “High Growth” type future

Emphasizing Refinement and Optimization
• Specific concerns expressed by some jurisdictions about illustrative service levels shown at individual stations
• Emphasis on need for further service planning over time
Key Themes from Stakeholder Meetings and Outreach 07/22/2019-09/30/2019

Connection and Integration

- Connectivity and Seamless Integration with other Systems
  Comments about the need for seamless integration with other transit systems (schedule coordination, fares, stations/hubs)

- Regional and Megaregional Rail
  Requests to include more explicit references to planned and contemplated service expansions of regional and megaregional rail services (ACE, CCJPA, Dumbarton Rail and service to Monterey County)

- Blending with High Speed Rail
  Comments and questions about relationship and timing of Caltrain service growth relative to High Speed Rail services

Key Themes from Stakeholder Meetings and Outreach 07/22/2019-09/30/2019

Making the Vision Work for Everyone

- Making Caltrain Affordable and Equitable
  - Comments about need to understand equity implications of Vision
  - Requests to focus on making Caltrain accessible and affordable to all

- Integrating the Corridor and Communities
  - Questions and comments about grade separations (including meaning of ‘not-to-preclude’ 4 tracks)
  - Comments about general need to mitigate impacts of increased rail service

- Station Area Connections and Development
  - Questions about first- and last-mile strategy
  - Comments about land uses planned in station vicinity
Making it Happen

Next Steps
- Questions about how service improvements can be phased and incremented
- Questions about timing of follow on work and additional studies

Evolving the Organization
Comments that organizational evolution is foundational and necessary to deliver the Vision

Funding the Vision
- Comments that new funding sources are a prerequisite to achieve the Vision
- Comments and questions about funding and cost details

Addressing Comments
The “Service Vision” is a high-level policy statement supported by technical analysis.

Some comments and questions received have been addressed through direct modification of the proposed “Vision” language, while others will be incorporated into the remaining analysis and work required to complete the Business Plan.

For many comments and questions to be fully addressed, subsequent detailed planning and policy efforts will need to be undertaken. The Business Plan will identify this program of work.
Caltrain Long Range Service Vision
Revised Staff Recommendation

(1) Caltrain's Long Range Service Vision directs the railroad to plan for a substantially expanded rail service that, by 2040, will address the local and regional mobility needs of the corridor while supporting local economic development activities. When fully realized, this service will provide:

A. A mixture of express and local Caltrain services operated in an evenly spaced, bi-directional pattern.

B. Minimum peak hour frequencies of:
   i. 8 trains per hour per direction on the JPB-owned corridor between Tamien Station in San Jose and San Francisco, extended to Salesforce Transit Center at such time as the Downtown Extension is completed
   ii. 4 trains per hour per direction between Blossom Hill and Tamien Stations, subject to the securing of necessary operating rights
   iii. 2 trains per hour per direction between Gilroy and Blossom Hill Stations, subject to the securing of necessary operating rights

C. Off-peak and weekend frequencies of between 2 and 6 trains per hour per direction north of Blossom Hill and hourly between Gilroy and Blossom Hill, with future refinements to be based on realized demand

D. Accommodation of California High Speed Rail trains, in accordance with the terms of existing and future blended system agreements between the JPB and the California High-Speed Rail Authority.

E. Delivery of these services will occur through the incremental development of corridor projects and infrastructure to be further defined through individual planning process, feasibility studies, and community engagement. At this time, such infrastructure is conceptually understood to include:
   i. Investments in rail systems including a new, high performance signal system
   ii. Station modifications including platform lengthening, level boarding, and investments in station access facilities and amenities to support growing ridership and improve customer experience
   iii. New and modified maintenance and storage facilities in the vicinity of both terminals as well as the expansion of the electrified Caltrain fleet.

(1) continued
E. Delivery of these services will occur through the incremental development of corridor projects and infrastructure to be further defined through individual planning process, feasibility studies, and community engagement. At this time, such infrastructure is conceptually understood to include;

iv. A series of short, 4-track stations and overtakes at various points throughout the corridor
v. Completion of key regional and state partner projects including
   1. The Downtown Extension to the Salesforce Transit Center
   2. The reconstruction of Diridon Station and surrounding rail infrastructure
   3. The reconstruction and electrification of the rail corridor south of Control Point Lick to the Gilroy Station
   4. Additional improvements to allow for the operation of High Speed Rail service between Gilroy and San Francisco
   5. The substantial grade separation of the corridor as well as safety upgrades to any remaining at-grade crossings, undertaken in a coordinated strategic manner driven by the desires of individual local jurisdictions as well as legal requirements associated with any proposed 4-track segments.

(2) Caltrain’s Long Range Service Vision further directs the railroad to continue its planning for consideration of a potential “higher” growth level of service as well as potential new regional and mega-regional connections, in the context of major regional and state rail planning. Specifically, the Long Range Service Vision directs the railroad to;

A. Work with regional and state partners to collectively plan for and study and evaluate both the feasibility and desirability of higher levels of service in the context of major regional and state rail initiatives, as well as expanded regional and megaregional rail connections. This work includes planning related to the Dumbarton Rail Corridor, a potential second Transbay Crossing, the potential for expanded Altamont Corridor Express and Capitol Corridor services, a potential extension of rail service to Monterey County, and ongoing planning related to the California High Speed Rail system.
(2) continued

B. To take certain specific actions to anticipate consider and, where feasible and financially practicable, not preclude facilitate such higher levels of service and connections as they specifically relate to:
   i. The planning of rail terminals and related facilities
   ii. The sale or permanent encumbrance of JPB land
   iii. The design of grade separations in areas where 4-track segments may be required
   iv. The sizing of future maintenance facilities and storage yards

C. To return to the Board with a recommendation regarding any formal expansion of the Long Range Service Vision at such a time as clear regional and state policy and funding commitments are in place, and the financial, operational, and physical feasibility of such an option on the corridor has been confirmed, and community impacts have been assessed and affected communities have been consulted.

(3) Caltrain’s Long Range Service Vision directs the railroad to prepare for the implementation of the Vision by:

A. Completing the Caltrain Business Plan including additional analyses of issues related to funding, connectivity and access, and equity as well as the identification of a detailed implementation program of next steps and follow on work

B. Evolving the organization in a manner that best prepares the railroad to deliver the service vision by deliberately and transparently addressing the issues of service delivery, internal organization and governance

C. Seeking the new and dedicated sources of funding that will be needed to sustain the railroad’s operation and to incrementally implement the long range service vision
(3) (4) Finally, Caltrain’s Long Range Service Vision directs the railroad to periodically reaffirm the Vision to ensure that it continues to provide relevant and useful guidance to the railroad. Such reaffirmations should occur:

A. At a regular intervals of no less than 5 years

B. In response to significant changes to JPB or partner projects that materially influence the substance of the Long Range Service Vision

Completing the Business Plan
With a 2040 Service Vision adopted, how can Caltrain “Round Out” its vision for the future? During the fall of 2019, additional technical and policy analysis will be undertaken to focus on areas that were highlighted as important through stakeholder outreach and help complete the picture of the railroad Caltrain hopes to become.

- Analysis of connections to other systems & station access options
- Equity analysis & focus on growing ridership by making Caltrain accessible to all
- Review of funding options and revenue generation opportunities to support the Vision
Remaining Technical Analysis
Making it Happen

With a 2040 Service Vision adopted, what will the next 10 years look like for Caltrain? What are the key actions and steps we need to focus on next?

During the fall of 2019, additional technical and policy analysis will be undertaken to focus on what Caltrain can achieve over the next decade and the key near term steps and work that will be needed to make it happen.

Building towards the Vision with service concepts for initial electrification and options for growth and investment through the 2020s

Accompanying 10-year financial projections and funding plan

Identification of a program of key planning, policy and organizational next steps

FOR MORE INFORMATION
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