

PENINSULA CORRIDOR JOINT POWERS BOARD



TITLE VI COMPLIANCE PROGRAM

OCTOBER 2016

**PENINSULA CORRIDOR JOINT POWERS BOARD
1250 San Carlos Avenue
San Carlos, CA 94070-1306
650.508.6200**

**PENINSULA CORRIDOR JOINT POWERS BOARD (JPB)
TITLE VI COMPLIANCE PROGRAM**

PREPARED FOR:
FEDERAL TRANSIT ADMINISTRATION
REGION IX

PREPARED BY:
JPB

IN COLLABORATION WITH:

NWC PARTNERS, INC.
CDM SMITH, INC.

OCTOBER 2016

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F. EVIDENCE OF BOARD APPROVAL

Caltrain's Title VI Compliance Program 2016 was considered and adopted by the Board of Directors on November 3, 2016. Included below is the Board meeting agenda, staff report, meeting minutes, PowerPoint presentation, and signed resolution for the adoption of the Caltrain Title VI Compliance Program 2016.



AGENDA

PENINSULA CORRIDOR JOINT POWERS BOARD

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

November 3, 2016 – Thursday

10:00 a.m.

1. Pledge of Allegiance
2. Call to Order/Roll Call
3. Public Comment
Public comment by each individual speaker shall be limited to two minutes
4. Consent Calendar
Members of the public or Board may request that an item under the Consent Calendar be considered separately
 - a) Approval of Minutes of October 6, 2016
 - b) Approval of 2017 Board Meeting Calendar
 - c) Acceptance of Statement of Revenues and Expenditures for Fiscal Year Ending June 2016 (Unaudited)
 - d) Acceptance of Statement of Revenues and Expenses for September 2016
 - e) Award Contract to Scintech Associates, Inc. for Physical Inventory Services at a Total Not-to-Exceed Cost of \$288,870 for a Three-Year Base Term
 - f) Award Contract to Am-Tran for Mail Courier Services at an Estimated Cost of \$117,194 for a Five-Year Term
5. Chairperson's Report
6. Report of the Citizens Advisory Committee
7. Report of the Executive Director
 - a) Peninsula Corridor Electrification Project
8. Key Caltrain Performance Statistics September 2016
9. Amendment to Increase the Fiscal Year 2017 Capital Budget by \$109,736,658 for the Peninsula Corridor Electrification Project and the Grade Crossing State of Good Repair Phase II Project for a Total Capital Budget of \$525,985,568

RESOLUTIONS

INFORMATIONAL

INFORMATIONAL

INFORMATIONAL

INFORMATIONAL

RESOLUTION

- | | |
|--|-------------------|
| 10. Authorize Amendment to Project Management Support Services Contract with URS Corporation Americas in an Amount Not to Exceed \$5.5 Million | RESOLUTION |
| 11. Authorization to Enter into a Funding Agreement with the Federal Railroad Administration to Receive \$1.06 Million for the Grade Crossing State of Good Repair Phase II Project | RESOLUTION |
| 12. Authorization to Enter into a Funding Agreement with the Federal Railroad Administration to Receive \$2.88 Million for the Communications-Based Overlay Signal System/Positive Train Control Project | RESOLUTION |
| 13. Adoption of Caltrain Title VI Program | RESOLUTION |
| 14. Caltrain Planning Initiatives | INFORMATIONAL |
| 15. Legislative Update | INFORMATIONAL |
| 16. Correspondence | |
| 17. Board Member Requests | |
| 18. Date/Time of Next Regular Meeting: Thursday, December 1, 2016, 10 a.m. at San Mateo County Transit District Administrative Building, Bacciocco Auditorium, 2 nd Floor, 1250 San Carlos Avenue, San Carlos, CA 94070 | |
| 19. General Counsel Report | |
| a) Closed Session: Conference with Legal Counsel - Anticipated Litigation Pursuant to Government Code Section 54956.9(d)(2): Two Potential Cases | |
| b) Closed Session: Conference with Real Property Negotiators (Joan L. Cassman, General Counsel, Brian Fitzpatrick and Gary Cardona, JPB Real Estate Staff); pursuant to Government Code Section 54956.8:
Under negotiation: Price and terms of contract | |

Property Location	Owner	APN	JPB Parcel No.
2645 S. El Camino Real San Mateo CA 94403	Mayme Jue Leong, Steven H. Leong, William Jue and Shawan C. Leong, Trustees of the Howard Arthur Leong and Maybe Jun Leong Trust dated August 29, 1980, as to an undivided ½ interest and Howard Leong family partnership, a California Limited partnership as to an undivided 2/3 interest	039-085-280	N/A

20. 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 10 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 emailed 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.

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Michelle Bouchard
Chief Operating Officer, Rail

SUBJECT: **ADOPTION OF THE 2016 TITLE VI PROGRAM**

ACTION

Staff recommends approval of the attached [2016 Title VI Program](#), which demonstrates the JPB's compliance with Title VI of the Civil Rights Act of 1964.

The Staff Coordinating Council (SCC) representatives for San Mateo and Santa Clara Counties support staff's recommendation. The SCC representative for the City and County of San Francisco was not able to review the document, but does not oppose its approval.

SIGNIFICANCE

Under Federal guidelines issued in October 2012, the Federal Transit Administration (FTA) requires the governing board of each Federal funding recipient to adopt a Title VI Program every three years. This will be the JPB's second program under these guidelines and is due to the FTA by December 1, 2016.

The JPB's Title VI Program includes the following documentation of JPB policies, procedures and activities:

- Contents and placement of public notices regarding the public's rights under Title VI of the Civil Rights Act of 1964
- Title VI complaint form and procedures
- List of transit-related Title VI investigations, complaints, and lawsuits pending within the last three years
- Public Participation Plan and summary of public engagement processes undertaken in past three years
- Limited English Proficiency Plan/Language Assistance Plan
- Demographic information on membership of non-elected committees, such as the Citizens Advisory Committee, and discussion of encouragement of minority involvement
- Results of equity analyses for any facilities constructed over the last three years
- Service area description and demographic profile, including ridership survey results
- Adopted Service Standards and Policies from 2013, as well as results of service monitoring under these standards and policies

- Results of equity analyses for fare and service changes made in past three years, based upon the JPB's Major Service Change, Disparate Impact and Disproportionate Burden policies, also adopted in 2013
- Record of Board consideration and adoption of the Title VI Program

Staff recommends the Board adopt the 2016 Title VI Program so that it may be submitted to the FTA for review and acceptance by the FTA before the JPB's 2013 Title VI Program expires. The FTA's guidelines require that agencies submit the Title VI program 60 days before the existing Program's expiration date.

BUDGET IMPACT

There is no impact on the Fiscal Year 2017 budget.

BACKGROUND

Title VI of the Civil Rights Act of 1964 prohibits discrimination on the basis of race, color, or national origin in programs and activities receiving Federal financial assistance. Recognizing that low-income neighborhoods and communities of color disproportionately bear environmental burdens, Executive Order 12898, issued in 1994, mandates a commitment to address Environmental Justice in minority and low-income populations. Executive Order 13166, signed in 2000, requires recipients of Federal financial assistance to provide meaningful access to persons with limited proficiency in English.

Prepared by: Catherine David, Senior Planner
Shayna van Hoften, Legal Counsel

650.508.6471
415.995.5880

AUTHORIZATION TO ENTER INTO A FUNDING AGREEMENT WITH THE FEDERAL RAILROAD ADMINISTRATION TO RECEIVE \$2.88 MILLION FOR THE CBOSS/POSITIVE TRAIN CONTROL PROJECT

Mr. Skinner said this will fund required testing and system certification for the CBOSS/ Positive Train Control Project. There is a 20 percent match requirement in the amount of \$720,000, which is included in the FY2017 Budget.

Director Cohen returned at 10:48 a.m.

Motion/Second: Guilbault/ Tissier

Ayes: Cisneros, Cohen, Guilbault, Peralez, Ramos, Tissier, Yeager, Woodward

Absent: Gee

ADOPTION OF CALTRAIN TITLE VI PROGRAM

Catherine David, Senior Planner, presented:

- Submittal requirements
 - Title VI public notice posted – headquarters, station information boards, Caltrain website
 - Complaint procedures updated and followed – no pending lawsuits or complaints
 - Non-elected committee membership diversity
 - Construction facilities information – in past three years, no facility equity analyses required
- Changes from 2013
 - Limited English proficiency Language Assistance Plan (LAP)
 - Public participation plan
 - Service standards and policies monitoring
 - Demographic profile maps
 - Equity analyses performed
- Limited English proficiency and LAP
 - Outlines how language assistance will be provided to persons with limited English proficiency
 - Identifies clearly what languages predominate in the Caltrain service area
 - Various data sources used to determine these languages based on new data
 - Updated vital and non-vital document list
 - Included new training for frontline employees
 - Languages – Three categories of languages identified
 - Primary language: Spanish predominates in the service area
 - Tier One languages: Spanish and Chinese
 - Tier Two languages: Vietnamese, Tagalog, Korean, Russian, Japanese, Persian, and Hindi
 - Tier Three “Safe Harbor” languages for vital document translation in addition to those listed above: Arabic, Portuguese, French, Mon-Khmer Cambodian, Thai, Italian, Urdu, Gujarati, German, Serbo-Croatian, and Armenian
- Public Participation Plan
 - Refines the strategies used to attain customer and community feedback

- Provides information about outreach methods to engage minority, low-income, and limited English proficient populations
- Includes a summary of outreach efforts made since the last Title VI Program submission
- Includes Community Based Organization survey
- Service standards and policies
 - Standards: vehicle load, vehicle headways, OTP, service availability
 - Policies: vehicle assignment, transit amenities
 - No change to Board adopted policies from April 2013
 - Monitoring analysis and findings reveal service is being delivered with no disparate impact on minority populations and disproportionate burden on low-income populations
- Equity analyses
 - Additional regional Clipper use incentive and change in youth age
 - Completed June 2014
 - Adopted July 2014
 - Effective October 2014 and January 2015
 - Fare changes to the Caltrain Codified Tariff
 - Completed November 2015
 - Adopted December 2015
 - Effective February 2016
- Next steps
 - Approved Title VI Program will be submitted to the FTA by December 1, 2016
 - Staff will continue to monitor Title VI performance compared with the Title VI Program
 - Continue to update and improve Title VI training
 - Title VI Program is a living document and any changes or modifications to any of the policies will be brought before the Board as necessary

Director Cohen asked what the hours of operation are for the number listed on the I-Speak card. Ms. David said weekdays from 7 a.m. to 7 p.m. and weekends and holidays from 8 a.m. to 5 p.m.

Director Cohen said there are no changes to the policies from 2013. She asked what the internal process is to evaluate the policies. She asked if it a reevaluation of the policies is done every five years, 10 years, or on an as-needed basis. Shayna van Hoften, Legal Counsel, said the Federal government does not allow it to be done more often than every three years because they don't want transit providers to game the system by changing the rules. There are policies in place that needed to be lived out for the entire monitoring season. It did not make sense to do it now when changes are soon going to be made to the system. When Caltrain goes through construction there will be service changes made. Standards need to be in place that are meaningful for that time period. The JPB will probably want to adopt some service standards and policies that work for the construction time period and then have new standards in place for the new system.

Public Comment

Roland Lebrun, San Jose, said when the Board starts talking about fare increases and elasticity, that is a Title VI violation, because it has a disproportionate impact on low-income minorities. Caltrain lost 2,100 passengers, but he doesn't know who those passengers are. He guessed they were low-income people who decided to take up carpool lanes on Highway 101. The only way to address it is at a regional level through MTC. Special Clipper cards could be issued to low-income minorities with some kind of discounting to make it an even playing board for everyone. Increasing fares does not affect the high-tech workers.

Adina Levin, Friends of Caltrain, said one of the challenges with Title VI looking at equity is that it looks at whether new actions disadvantage the people who are currently using the system, but it does not look at who is not using the system. Lower income people are already not using the system. There are people who would take Caltrain but don't because of fares. She recommended the Board look at who is not using the system and at the structure of the Go Pass to make fares accessible to the population in the region.

Jay West, San Francisco, said he is a bike locker renter. At the 4th and King location, there has been a rash of bike locker break-ins. Whoever is managing the service is not responding to bike locker renters. The managers should be informing the customers and warning them about suspicious things. Employees at that location say it is not their job. There is some issue about law enforcement and who has jurisdiction. It makes this a dangerous situation. A customer could be attacked while someone is breaking into the bike lockers. The managers are not communicating the dangers to customers. He said he has a strong suspicion there is something going on with the employees because they know what is going on but are not communicating. The thieves are not breaking through the gates, this is happening during business hours. A security guard should be patrolling the area. Chair Woodward asked staff for a written report to the Board to get a full briefing on this situation.

Director Cohen said a contract vendor is in charge of bike security at 4th and King. She asked staff to look at when the vendor's term expires and if there is a clause in the contract that says if x number of bikes are stolen the contract could be revisited. She said penalties should be built into the contract. The purpose of the contract is to protect people's bikes and if that is not happening the vendor should lose the contract or be held accountable. She asked how secure the facilities are. She said she would like to know the profile of the person who is not using Caltrain. She did not vote to approve fare increases largely because she is concerned about providing a service that is accessible to everyone. She said the Board should have discussion about this issue.

Director Ramos said this document and process serves as a baseline to make sure Caltrain is doing the minimum that it should legally do, and it does not represent what the Board should be aspiring to in the end. He hopes the Board will approach this issue sooner than later and have a conversation very soon. The ridership of people with lower incomes is declining. There is no low-income fare program apart from people with disabilities. It would merit the Board talking and doing an inventory of who is not riding the system. He said the JPB should think about how to capture riders where

people work. Low-income people are living farther away from where they work. This analysis just looks at where people live. The cost of living near transit has gone up pushing people of lower incomes away from transit. He is not confident this study captures all the potential riders. BART looks at how far away people can access their stations on transit. Instead of looking at a one-mile area, they are looking at where people live that has 10-minute access on transit. He said he would like to push a conversation sooner than later to start talking about this more in depth. He would like a workshop where there's a place for discussion. If the JPB is going to try to grow ridership and get support at the ballot, the Board needs to demonstrate equity.

Director Cohen said the reason why the Board is raising this issue is to elevate the conversation to get Caltrain to the collective best interest, which is to get people out of their cars and onto the train. To do that, the JPB needs to understand who is not riding and why, and then solve for those problems. Caltrain needs regular funding sources, and that is done by talking to voters. People who don't ride are voters and are less incentivized to vote for a measure that provides funding.

Ms. David said appendix J lists ridership travel patterns and demographics on who are riding the trains including household incomes. Nine percent of riders make less than \$30,000 a year.

Director Peralez said he is interested in a future conversation incorporating thinking about who is not riding the system. He would like a more in-depth study session on the data in the report. The end goal is to drive up ridership within lower-income demographics. He would like to include a conversation about the incentives and more knowledge of the Go Pass and who is using it. He said many of the riders were introduced to Caltrain through a special event or leisure activity, but he assumes there are not that many lower-income individuals who will be introduced to Caltrain that way.

Motion/Second: Tissier/Cohen

Ayes: Cisneros, Cohen, Guilbault, Peralez, Ramos, Tissier, Yeager, Woodward

Absent: Gee

CALTRAIN PLANNING INITIATIVES

Liz Scanlon, Caltrain Planning Manager, presented:

- Planning initiatives
 - Several key policy and strategic planning studies underway that will
 - Advance and support the Caltrain Strategic Plan
 - Develop policy or operating procedures to best support Caltrain service and riders
- Station management toolbox
 - FTA grant award
 - Scope of study
 - Develop decision-making tools related to stations
 - Evaluate how access facilities and programs serve riders
 - Explore opportunities related to transit-oriented development (TOD)
 - Timeline: 2016-2018



Title VI Compliance Program 2016 Adoption

Board of Directors
November 3, 2016
Agenda Item 13



Presentation Overview

- Title VI Background & Program Deadlines
- FTA Title VI Requirements & Guidelines
- Title VI Compliance Program 2016
- Next Steps
- Questions



FTA Title VI Background

Title VI of the Civil Rights Act of 1964:

"No person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving federal financial assistance."

3



Title VI Background

- FTA regulates and monitors transit agencies that receive federal funding in several areas, including Title VI
- Caltrain is required to submit program and receive FTA approval every 3 years
- FTA issued new requirements and guidelines Title VI Circular (C4702.1B) – Oct. 1, 2012
- Caltrain 2016 Title VI program report due to the FTA on Dec. 1, 2016

4



Title VI Submittal Requirements

GENERAL REQUIREMENTS

- a. Title VI Notice to Public
- b. Title VI Complaint Procedures & Form
- c. List of Investigations, Complaints, or Lawsuits
- d. Public Participation Plan (PPP)
- e. Limited English Proficiency (LEP) Language Assistance Plan (LAP)
- f. Ethnicity of Members of Non-elected Committees
- g. Sub-recipient Monitoring (N/A for Caltrain)
- h. Evidence of Board Approval
- i. Construction Facilities Information

REQUIREMENTS OF TRANSIT PROVIDERS

- a. Service Standards and Policies
- b. Demographic and Service Profile
- c. Demographic Ridership and Travel Patterns
- d. Monitoring Program Results
- e. Public Engagement for Policy Development
- f. Title VI Equity Analyses

5



Title VI Submittal Requirements

- Title VI public notice posted
 - Headquarters (Lobby/Auditorium),
Station Info. Boards, Caltrain Website
- Complaint procedures updated & followed
 - No pending lawsuits or complaints
- Non-elected committee membership diversity (CAC, BAC)
- Construction Facilities Information
 - In past 3 yrs. no Facility Equity Analyses required

6



Title VI Program Changes from 2013

- Limited English Proficiency Language Assistance Plan (update)*
- Public Participation Plan (update)*
- Service Standards and Policies Monitoring
- Demographic Profile Maps (update)*
- Equity Analyses Performed

* Updated to reflect to new data sources

7



Limited English Proficiency & Language Assistance Plan

- Outlines how language assistance will be provided to persons with limited English proficiency
- Identifies clearly what languages predominate in the Caltrain service area
- Various data sources used to determine these languages based on *new data* (census data, Dept. of Education, consultation with frontline staff and Community Based Organizations)
- Updated “Vital” and “Non-Vital” Document List
- Included new training for Frontline Employees

8



Language Assistance

- "I-Speak" card (Distributed: Aug. 2016)



9



LAP Languages

Three categories of languages identified:

- **Primary Language:** Spanish predominates in the service area
- **Tier One Languages:** Spanish and Chinese
- **Tier Two Languages:** Vietnamese, Tagalog, Korean, Russian, Japanese, Persian and Hindi.
- **Tier Three "Safe Harbor"*** Languages for vital document translation in addition to those listed above: Arabic, Portuguese, French, Mon-Khmer Cambodian, Thai, Italian, Urdu, Gujarati, German, Serbo-Croatian and Armenian.

* languages that constitute either 5% or 1,000 persons within service area, whichever is less

10



Public Participation Plan

- Refines the strategies used to attain customer and community feedback
- Provides information about outreach methods to engage minority, low-income and limited English proficient populations
- Includes a summary of outreach efforts made since the last Title VI Program submission
- Includes Community Based Organization (CBO) Survey (new 2016)

11



Title VI Policies

- Major Service Change Policy
- Disparate Impact Policy
- Disproportionate Burden Policy
- Board adopted in April 2013 following extensive public participation process

12



Service Standards and Policies

- System-wide Service Standards:
 - Vehicle Load, Vehicle Headways, On-Time Performance, Service Availability
- System-wide Service Policies:
 - Vehicle Assignment, Transit Amenities
- No change to Board adopted policies from April 2013
- Monitoring analysis and findings reveal service is being delivered with no disparate impact on minority populations and disproportionate burden on low-income populations.

13



Title VI Equity Analyses

- Additional Regional Clipper Use Incentive & Change in Youth Age
 - Completed: June 2014
 - Adopted: July 2014
 - Effective: Oct. 5, 2014 & Jan. 1, 2015
- Fare Changes to the Caltrain Codified Tariff
 - Completed: November 2015
 - Adopted: December 2015
 - Effective: February 2016

14



Next Steps

- Requesting Board approval of the Caltrain Title VI Program
- Approved Title VI Program will be submitted to the FTA by Dec. 1, 2016
- Staff will continue to monitor Title VI performance compared with the Title VI Program
- Continue to update & improve Title VI Training
- Title VI Program is a “Living Document,” and any changes or modifications to any of the policies will be brought before the Board as necessary.

15



Questions?

16

RESOLUTION NO. 2016 – 63

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

* * *

ADOPTING THE PENINSULA CORRIDOR JOINT POWERS BOARD'S 2016 TITLE VI PROGRAM

WHEREAS, Title VI of the Civil Rights Act of 1964 requires recipients of Federal grants and other assistance to operate their programs and services without regard to, or discrimination based on, race, color or national origin; and

WHEREAS, the Federal Transit Administration (FTA) issued Circular FTA C 4702.1B, effective October 1, 2012 (Circular), setting forth requirements and guidelines for Title VI compliance; and

WHEREAS, the Circular details required elements of a Title VI Program, which each recipient of FTA grants and assistance must submit to the FTA every three years to evidence compliance with Title VI; and

WHEREAS, the Peninsula Corridor Joint Power's Board's (JPB) current Title VI Program expires on January 31, 2017, therefore necessitating submittal of an updated program to the FTA by December 1, 2016; and

WHEREAS, the JPB's Title VI Program must include numerous elements, including but not limited to:

1. Information on numerous agency policies, procedures and activities undertaken over the last three years;
2. A public participation plan;
3. Information on public outreach undertaken by the JPB over the past three years
4. A plan for engaging persons with limited English proficiency;

5. Major Service Change, Disparate Impact, and Disproportionate Burden policies, and System-wide service standards and policies, which this Board adopted pursuant to Resolution No. 2013-21;
6. Results of service monitoring analysis; and
7. Results of fare and service change equity analyses conducted over the past three years; and

WHEREAS, staff has developed a proposed Title VI Program (provided to the Board via staff report), including the above-referenced items and evidencing the JPB's compliance with Title VI, for Board consideration and approval.

NOW, THEREFORE, BE IT RESOLVED the Board of Directors of the Peninsula Corridor Joint Powers Board hereby adopts the JPB's 2016 Title VI Program; and

BE IT FURTHER RESOLVED the Board of Directors authorizes the Executive Director, or his designee, to:

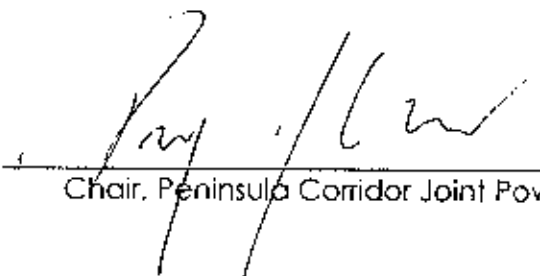
1. Include evidence of the Board's consideration and approval of the final JPB Title VI Program;
2. Submit the final JPB Title VI Program to the FTA; and
3. Take any other steps necessary to give effect to this Resolution, including responding to any follow-up inquiries from the FTA.

Regularly passed and adopted this 3rd day of November, 2016 by the following vote:

AYES: CISNEROS, COHEN, GUILBAULT, PERALEZ, RAMOS, TISSIER,
YEAGER, WOODWARD

NOES: NONE

ABSENT: GEE



Chair, Peninsula Corridor Joint Powers Board

ATTEST:



JPB Secretary

G. CONSTRUCTION FACILITIES INFORMATION

The Caltrain Peninsula Corridor Electrification Project (PCEP) and Communications Based Overlay Signal System (CBOSS) Positive Train Control (PTC) Project details are attached for information only.



> caltrain.com > Projects & Plans > Caltrain Modernization > Modernization > Peninsula Corridor Electrification Project

Peninsula Corridor Electrification Project

Peninsula Corridor Electrification Project

PROJECT DESCRIPTION

The Peninsula Corridor Electrification Project (PCEP) is a key component of the Caltrain Modernization program. The PCEP would electrify the Caltrain Corridor from San Francisco's 4th and King Caltrain Station to approximately the Tamien Caltrain Station, convert diesel-hauled to [Electric Multiple Unit \(EMU\) trains](#), and increase service up to six Caltrain trains per peak hour per direction. Operating speed will be up to 79mph, which is what it is today.

- To download the fact sheet about the PCEP, please click [here](#).
- To download the Frequently Asked Questions, please click [here](#).
- To watch the Caltrain Modernization Video, please click [here](#).

PURPOSE AND NEED FOR THE PROJECT

The primary purpose of the Project is to improve Caltrain system performance, reduce long-term environmental impact by reducing noise, improving regional air quality and reducing greenhouse gas emissions as well as compatibility with separate later use for blended service (future combined use of the corridor by both Caltrain and high speed rail). An electrified Caltrain system would better address Peninsula commuters' vision of increased service and improved travel times in an environmentally friendly and reliable way. This also is expected to help accommodate increase system ridership through improved system operations.

ENVIRONMENTAL CLEARANCE

On January 8, 2015, the Caltrain Board of Directors approved and certified the PCEP Final Environmental Impact Report (FEIR) for the planned electrification of the Caltrain corridor between San Jose and San Francisco, a major milestone in the railroad's efforts to improve its commuter rail service. For more information about the FEIR, click [here](#).

CURRENT PROJECT ACTIVITY

On September 6, 2016, Caltrain awarded contracts to Balfour Beatty to construct the electrification infrastructure and Stadler to manufacture high-performance electric trains. Construction activities could start as soon as 2017. The first electric trains are anticipated to be in service end of 2020 / early 2021.

Information about the real estate-related activities can be found [here](#).

Project Cost:

For more information, click [here](#).

8/14/15 -dc

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Advanced Signal System Project - CBOSS PTC

Advanced Signal System Project - CBOSS PTC

PROJECT OVERVIEW

The Communications Based Overlay Signal System (CBOSS) Positive Train Control (PTC) Project is an Advanced Signal System that will equip the corridor with federally-mandated safety technology and increase system capacity to help accommodate future increases in ridership demand. The Advanced Signal System will be interoperable with all other rail systems that access the Caltrain corridor, including commuter rail, freight rail and, in the future, high-speed rail.

The Advanced Signal System is a key component of the Caltrain Modernization Program that will electrify and upgrade the performance, operating efficiency, capacity, safety and reliability of Caltrain's commuter rail service, providing Peninsula communities with a modernized rail service that will help meet growing ridership demand between San Francisco and San Jose.

GOALS & BENEFITS

Improved Safety

The Advanced Signal System will monitor and, if necessary, control train movement in the event of human error. This will increase safety on the Caltrain corridor, which has over 40 at-grade vehicular and pedestrian crossings by:

- Eliminating the risk of train-to-train collisions.
- Reducing risk of potential derailments by enforcing speed limits.
- Providing additional safety for railroad workers on the tracks.

Increased Reliability and Operating Performance

The Advanced Signal System will also provide more dependable passenger service and operating performance, which will be achieved by:

- Schedule management – there will be better accountability and management of train schedules.
- Enforcement of scheduled station stops – a train will no longer be able to overshoot a station stop or platform.
- Improved grade crossing performance - travelers crossing the tracks will benefit from reduced gate downtime and improved local traffic circulation.

Capacity Benefits

Current Caltrain capacity is constrained by the existing wayside signal system, which enforces a safe separation between trains based on the poorest performing train type. The Advanced Signal System will improve on this system. It will minimize the separation of trains based on the safe braking requirements of specific train types. [Caltrain Electrification](#) will combine the Advanced Signal System project with the operation of high-performance electric multiple unit (EMU trains) and will upgrade the system to provide faster and/or more frequent service to more stations and riders.

To learn more, view the

- [Infoographic](#)
- [Fact sheet](#)
- [Frequently Asked Questions](#)

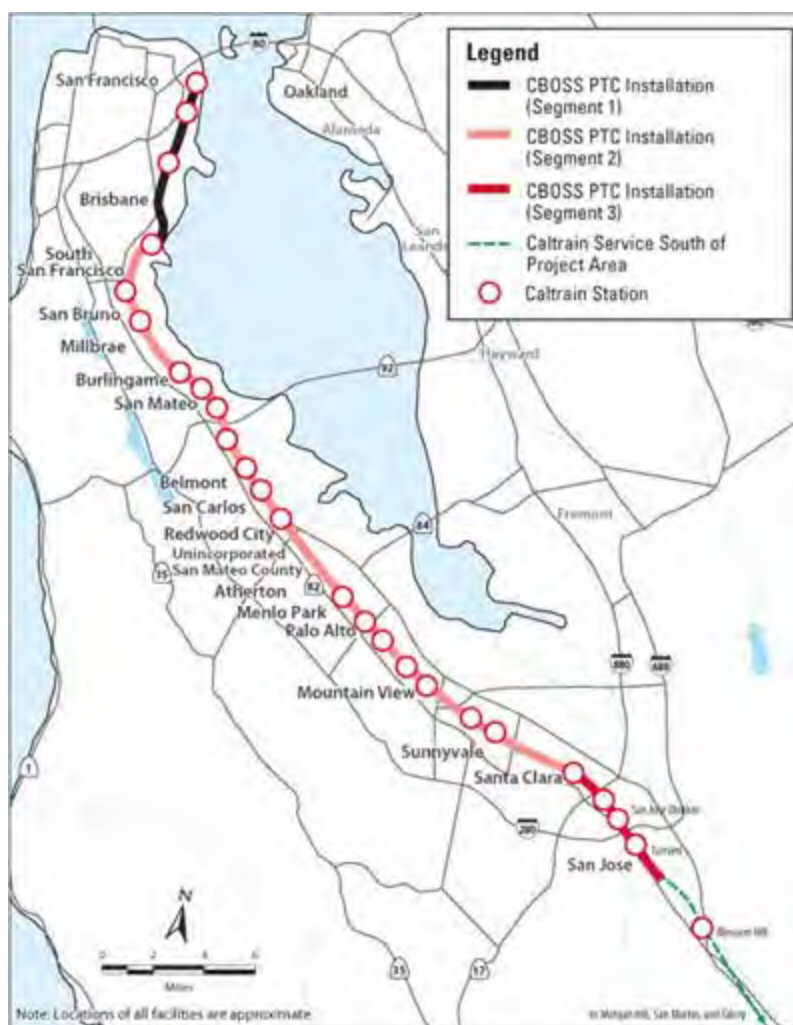
Caltrain's CBOSS and PTC Project Will Upgrade...



CURRENT ACTIVITIES

All construction / installation activities are complete and Caltrain is currently in the testing phase. The project team installed five subsystems; Data Communications System (DCS), Wayside, Backup Central Control Facility (BCCF), Central Control Facility (CCF), and onboard equipment. Each subsystem has a testing schedule and the level of visibility to the public varies by subsystem. For more information about specific noticeable testing efforts, please see the info below.

Click on your city for more information about current installation activities:



PROJECT SCHEDULE

- Installation Activities: Fall 2013 to Winter 2015
- Testing: Fall 2014 - Winter 2016
- Revenue Service Demonstration: 2017

PROJECT FUNDING

The Advanced Signal System project is funded through a combination of local, regional, state, and federal sources. The specific funding sources are:

- \$71 million in local funds from San Francisco, San Mateo, and Santa Clara counties.
- \$113 million in state funds including \$106 million in High Speed Rail Connectivity Funds..
- \$47 million in federal funds.

The budget will be allocated across the below costs:

Project Cost	
PTG Base Contract with Fiber Option	\$138 million
JPB Project Management Oversight and Other Direct Costs (ODCs) including Taxes and Facility Lease	\$48 million
Options and Allowance (Spectrum purchase, additional Warranty, spares, etc)	\$34 million
Contingency	\$11 million

Total

\$231
million**INSTALLATION PICTURES**

View the CBOSS PTC photo gallery [here](#).

**WEEKLY INSTALLATION ACTIVITY UPDATES**

Below are details about anticipated installation impacts as part of the work activity scheduled to occur this week:

San Francisco

On October 15 – 16 and October 18 – 21, Caltrain will be conducting safety tests on the corridor as part of the final phase of implementing the Advanced Signal System Project. To test the Advanced Signal System, including the roadway crossings, a test train will run through the corridor between 9:00 p.m. and 7:00 a.m. Tests are conducted at night to avoid disruption of most of regular train service and properly record the results. Neighbors may experience standard gate crossing noise and horns during this time and we apologize for any inconvenience this may cause.

Brisbane

On October 15 – 16 and October 18 – 21, Caltrain will be conducting safety tests on the corridor as part of the final phase of implementing the Advanced Signal System Project. To test the Advanced Signal System, including the roadway crossings, a test train will run through the corridor between 9:00 p.m. and 7:00 a.m. Tests are conducted at night to avoid disruption of most of regular train service and properly record the results. Neighbors may experience standard gate crossing noise and horns during this time and we apologize for any inconvenience this may cause.

South San Francisco

On October 15 – 16 and October 18 – 21, Caltrain will be conducting safety tests on the corridor as part of the final phase of implementing the Advanced Signal System Project. To test the Advanced Signal System, including the roadway crossings, a test train will run through the corridor between 9:00 p.m. and 7:00 a.m. Tests are conducted at night to avoid disruption of most of regular train service and properly record the results. Neighbors may experience standard gate crossing noise and horns during this time and we apologize for any inconvenience this may cause.

San Bruno

On October 15 – 16 and October 18 – 21, Caltrain will be conducting safety tests on the corridor as part of the final phase of implementing the Advanced Signal System Project. To test the Advanced Signal System, including the roadway crossings, a test train will run through the corridor between 9:00 p.m. and 7:00 a.m. Tests are conducted at night to avoid disruption of most of regular train service and properly record the results. Neighbors may experience standard gate crossing noise and horns during this time and we apologize for any inconvenience this may cause.

Millbrae

On October 15 – 16 and October 18 – 21, Caltrain will be conducting safety tests on the corridor as part of the final phase of implementing the Advanced Signal System Project. To test the Advanced Signal System, including the roadway crossings, a test train will run through the corridor between 9:00 p.m. and 7:00 a.m. Tests are conducted at night to avoid disruption of most of regular train service and properly record the

results. Neighbors may experience standard gate crossing noise and horns during this time and we apologize for any inconvenience this may cause.

Burlingame

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San Mateo

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Belmont

On October 15 – 16 and October 18 – 21, Caltrain will be conducting safety tests on the corridor as part of the final phase of implementing the Advanced Signal System Project. To test the Advanced Signal System, including the roadway crossings, a test train will run through the corridor between 9:00 p.m. and 7:00 a.m. Tests are conducted at night to avoid disruption of most of regular train service and properly record the results. Neighbors may experience standard gate crossing noise and horns during this time and we apologize for any inconvenience this may cause.

San Carlos

On October 15 – 16 and October 18 – 21, Caltrain will be conducting safety tests on the corridor as part of the final phase of implementing the Advanced Signal System Project. To test the Advanced Signal System, including the roadway crossings, a test train will run through the corridor between 9:00 p.m. and 7:00 a.m. Tests are conducted at night to avoid disruption of most of regular train service and properly record the results. Neighbors may experience standard gate crossing noise and horns during this time and we apologize for any inconvenience this may cause.

Redwood City

On October 15 – 16 and October 18 – 21, Caltrain will be conducting safety tests on the corridor as part of the final phase of implementing the Advanced Signal System Project. To test the Advanced Signal System, including the roadway crossings, a test train will run through the corridor between 9:00 p.m. and 7:00 a.m. Tests are conducted at night to avoid disruption of most of regular train service and properly record the results. Neighbors may experience standard gate crossing noise and horns during this time and we apologize for any inconvenience this may cause.

Unincorporated San Mateo County

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Atherton

On October 15 – 16 and October 18 – 21, Caltrain will be conducting safety tests on the corridor as part of the final phase of implementing the Advanced Signal System Project. To test the Advanced Signal System, including the roadway crossings, a test train will run through the corridor between 9:00 p.m. and 7:00 a.m. Tests are conducted at night to avoid disruption of most of regular train service and properly record the results. Neighbors may experience standard gate crossing noise and horns during this time and we apologize for any inconvenience this may cause.

Menlo Park

On October 15 – 16 and October 18 – 21, Caltrain will be conducting safety tests on the corridor as part of the final phase of implementing the Advanced Signal System Project. To test the Advanced Signal System, including the roadway crossings, a test train will run through the corridor between 9:00 p.m. and 7:00 a.m. Tests are conducted at night to avoid disruption of most of regular train service and properly record the results. Neighbors may experience standard gate crossing noise and horns during this time and we apologize for any inconvenience this may cause.

Palo Alto

On October 15 – 16 and October 18 – 21, Caltrain will be conducting safety tests on the corridor as part of the final phase of implementing the Advanced Signal System Project. To test the Advanced Signal System, including the roadway crossings, a test train will run through the corridor between 9:00 p.m. and 7:00 a.m. Tests are conducted at night to avoid disruption of most of regular train service and properly record the results. Neighbors may experience standard gate crossing noise and horns during this time and we apologize for any inconvenience this may cause.

Mountain View

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Sunnyvale

On October 15 – 16 and October 18 – 21, Caltrain will be conducting safety tests on the corridor as part of the final phase of implementing the Advanced Signal System Project. To test the Advanced Signal System, including the roadway crossings, a test train will run through the corridor between 9:00 p.m. and 7:00 a.m. Tests are conducted at night to avoid disruption of most of regular train service and properly record the results. Neighbors may experience standard gate crossing noise and horns during this time and we apologize for any inconvenience this may cause.

Santa Clara

On October 15 – 16 and October 18 – 21, Caltrain will be conducting safety tests on the corridor as part of the final phase of implementing the Advanced Signal System Project. To test the Advanced Signal System, including the roadway crossings, a test train will run through the corridor between 9:00 p.m. and 7:00 a.m. Tests are conducted at night to avoid disruption of most of regular train service and properly record the results. Neighbors may experience standard gate crossing noise and horns during this time and we apologize for any inconvenience this may cause.

San Jose

On October 15 – 16 and October 18 – 21, Caltrain will be conducting safety tests on the corridor as part of the final phase of implementing the Advanced Signal System Project. To test the Advanced Signal System, including the roadway crossings, a test train will run through the corridor between 9:00 p.m. and 7:00 a.m. Tests are conducted at night to avoid disruption of most of regular train service and properly record the results. Neighbors may experience standard gate crossing noise and horns during this time and we apologize for any inconvenience this may cause.

View [Project Corridor Mailer Notifications](#) for past outreach materials.

For More Information/Para Más Información:

Email: caltrainptc@samtrans.com or

Call: (650) 508-6499

To subscribe to page updates, please click [here](#).

Resources

[Fact Sheet](#)

[Installation Fact Sheet](#)

[Noise and Light Fact Sheet](#)

[Infographics](#)

[Frequently Asked Questions](#)

[Caltrain Modernization Video](#) (CBOSS PTC reference)

[Project Corridor Mailer Notifications](#)

[Action Steps Related to the APTA Peer Review](#)

[APTA Peer Review Report](#)

News Releases & Articles

[Caltrain Video Details 'New Advanced Signal System' in Campbell Patch](#)

[PTC for the masses in Railway Age](#)

[Caltrain Releases Video Overview of New Advanced Signal System](#)

[Caltrain to Operate Bus Bridge June 6 & 7](#)

[Caltrain on Track to Install Positive Train Controls](#)

[FRA green-lights CBOSS PTC in Railway Age](#)

[Caltrain Receives FRA Approval to Proceed with New Positive Train Control System](#)

[Caltrain Modernization Program in Transportation & Infrastructure](#)

[Caltrain Modernization Kicks Off Advanced Signal System Work](#)

[Community Leaders Rally Support for Caltrain Modernization's \\$20 Million Grant Application](#)

[Federal Grant Moves Modernization of Caltrain Corridor Forward](#)

Presentations

[JPB CBOSS PTC Presentation 7.7.16](#)

[JPB CBOSS PTC Presentation 2.4.16](#)

[JPB CBOSS PTC Presentation 11.5.15](#)

[JPB CBOSS PTC Presentation 9.3.15](#)

[JPB CBOSS PTC Presentation 8.6.15](#)

[JPB CBOSS PTC Presentation 5.7.15](#)

[LPMG CBOSS PTC Installation Update Presentation 3.27.14](#)

[LPMG CBOSS PTC Installation Update Presentation 9.26.13](#)

[JPB CBOSS PTC Installation Presentation 9.5.13](#)

[LPMG CBOSS PTC Installation Presentation 8.22.13](#)

[LPMG CBOSS PTC Overview Presentation 3.28.13](#)

[JPB CBOSS PTC Presentation](#)

Federal Mandate:

In response to a fatal train collision in September, 2008, Congress passed the Rail Safety Improvement Act (RSIA) of 2008 which updated the Code of Federal Regulations (CFR) to require PTC to be installed along every passenger rail corridor prior to 2016. More information is available [here](#).

6/13/14- CF/rjc

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H. SERVICE STANDARDS AND POLICIES

FTA requirements relative to Title VI of the Civil Rights Act of 1964 (FTA C 4702.1B) were updated in 2012 and require each large public transportation provider's governing board to approve five standards and policies:

- Major Service Change Policy
- Disparate Impact Policy
- Disproportionate Burden Policy
- System-wide Service Standards
- System-wide Service Policies

The first policy defines "major service change" as a threshold for when an agency will conduct a thorough analysis of the potential effects of service changes on protected populations. For the second and third policies, agencies are required to define thresholds for when they will find that a fare change or major service change will result in a "disparate impact" on the minority population or a "disproportionate burden" on the low-income population. The last two policies define service standards and policies to be used when determining whether service and amenities are distributed equitably to minority and non-minority routes and facilities.

The JPB's Service Standards and Policies were adopted by the Board on April 4, 2013. See attachments.

RESOLUTION NO. 2013 – 21

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

* * *

**ADOPTION OF SYSTEM-WIDE SERVICE STANDARDS AND POLICIES, DEFINITION OF "MAJOR SERVICE CHANGE," AND DISPARATE IMPACT AND DISPROPORTIONATE BURDEN POLICIES
REQUIRED FOR COMPLIANCE WITH TITLE VI OF THE CIVIL RIGHTS ACT OF 1964**

WHEREAS, Title VI of the Civil Rights Act of 1964 requires recipients of Federal grants and other assistance to operate their programs and services without regard to, or discrimination based on, race, color or national origin; and

WHEREAS, the Federal Transit Administration (FTA) issued Circular FTA C 4702.1B, effective October 1, 2012, setting forth requirements and guidelines for Title VI compliance; and

WHEREAS, as set forth in the above-referenced Circular, the Board of Directors is required to adopt System-Wide Service Standards and Policies to guide the equitable distribution of Caltrain programs and services; and

WHEREAS, the JPB is also required to adopt policies to define when a service change is sufficiently broad or large to necessitate a review of its potential impacts on minority and low-income populations, and to define when a fare change or major service change will have a disparate impact on minority populations or impose a disproportionate burden on low-income populations, all of which policies and definitions are required to be subject to public input; and

WHEREAS, over the past two months, JPB staff has presented draft policies to this Board and the public in Board meetings and other public meetings, undertaken extensive public outreach and accepted public comment on the policies; and

WHEREAS, the Staff Coordinating Council recommends the Board approve the attached System-Wide Service Standards and Policies, definition of "Major Service Change," and Disparate Impact and Disproportionate Burden Policies, which comply with FTA requirements and which will guide future decisions regarding and monitoring of Caltrain programs and services to ensure that they are provided equitably, without discrimination based on race, color or national origin.

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby approves the attached System-Wide Service Standards and Policies, definition of "Major Service Change," and Disparate Impact and Disproportionate Burden Policies.

Regularly passed and adopted this 4th day of April, 2013 by the following vote:

AYES: CISNEROS, COHEN, DEAL, KALRA, LLOYD, NOLAN,
TISSIER, YEAGER

NOES: NONE

ABSENT: WOODWARD



Chair, Peninsula Corridor Joint Powers Board

ATTEST:



JPB Secretary

MAJOR SERVICE CHANGE POLICY

SERVICE CHANGES

All major increases or decreases in transit service are subject to a Title VI Equity Analysis prior to Board approval of the service change. A Title VI Equity Analysis completed for a major service change must be presented to the Caltrain Board for its consideration and included in the Caltrain Title VI Program with a record of the action taken by the Board.

Caltrain defines a major service change as any service change meeting at least one or both of the following criteria:

- A. An adjustment of service that equates to a reduction of or addition of 25 percent or more in total revenue train miles per day for the service day of the week (weekday, Saturday or Sunday) for which the change is made.
- B. A greater than 50 percent reduction or increase in the number of stops at a station per day for the service day of the week (weekday, Saturday or Sunday) for which the change is made.

Note: Any change that is a temporary or interim change due to construction or maintenance projects is exempted from the definition and is not considered a "major service change."

DISPARATE IMPACT POLICY

This policy establishes a threshold for determining whether a given action has a disparate impact on minority populations versus non-minority populations. Per FTA Circular 4702.1B:

Disparate impact refers to a facially neutral policy or practice that disproportionately affects members of a group identified by race, color, or national origin, where the recipient's policy or practice lacks a substantial legitimate justification and where there exists one or more alternatives that would serve the same legitimate objectives but with less disproportionate effect on the basis of race, color, or national origin....

The policy shall establish a threshold for determining when adverse effects of [fare/]service changes are borne disproportionately by minority populations. The disparate impact threshold defines statistically significant disparity and may be presented as a statistical percentage of impacts borne by minority populations compared to impacts borne by non-minority populations. The disparate impact threshold must be applied uniformly ...and cannot be altered until the next Title VI Program submission.

In the course of performing a Title VI Equity Analysis, Caltrain must analyze how the proposed action would impact minority as compared to non-minority populations. In the event the proposed action has a negative impact that affects minorities more than non-minorities with a disparity that exceeds the adopted Disparate Impact Threshold or that benefits non-minorities more than minorities with a disparity that exceeds the adopted Disparate Impact Threshold, Caltrain must evaluate whether there is an alternative that has a more equitable impact. Otherwise, Caltrain must take measures to mitigate the impact of the proposed action on the affected minority population and demonstrate that a legitimate business purpose cannot otherwise be accomplished and that the proposed change is the least discriminatory alternative.

The Caltrain Disparate Impact Threshold to determine if the adverse impacts of a major service change (as defined in the first part of this document) or a fare adjustment is established at 10 percent based on the cumulative impact of the proposed service and/or fare changes. This threshold applies to the difference of the impacts borne by minority populations compared to the same impacts borne by non-minority populations.

DISPROPORTIONATE BURDEN POLICY

This policy establishes a threshold for determining whether a given action has a disproportionate burden on low-income populations versus non-low-income populations. The Disproportionate Burden Policy applies only to low-income populations that are not also minority populations. Per FTA Circular 4702.1B:

The policy shall establish a threshold for determining when adverse effects of [fare/]service changes are borne disproportionately by low-income populations. The disproportionate burden threshold defines statistically significant disparity and may be presented as a statistical percentage of impacts borne by low-income populations as compared to impacts borne by non-low-income populations.... The disproportionate burden threshold must be applied uniformly...and cannot be altered until the next [Title VI] program submission.

At the conclusion of the analysis, if the transit provider finds that low-income populations will bear a disproportionate burden of the proposed [fare/]service change, the transit provider should take steps to avoid, minimize or mitigate impacts where practicable. The provider should describe alternatives available to low-income populations affected by the [fare/]service changes.

The Caltrain Disproportionate Burden Threshold to determine if the adverse impacts of a major service change (as defined in the first part of this document) or a fare adjustment is established at 10 percent based on the cumulative impact of the proposed service and/or fare changes. This threshold applies to the difference of the impacts borne by low-income populations compared to the same impacts borne by non-low-income populations.

SYSTEMWIDE SERVICE STANDARDS

Pursuant to requirements set forth in Federal Transit Administration (FTA) Circular 4702.1B Caltrain must establish and monitor its performance under quantifiable Service Standards and qualitative Service Policies. The Service Standards contained herein are used to develop and maintain efficient and effective commuter rail service. In some cases, these standards differ from standards used by Caltrain for other purposes.

The FTA requires all fixed route transit providers of public transportation to develop quantitative standards for the following indicators. Individual public transportation providers set these standards; therefore, these standards will apply to each individual agency rather than across the entire transit industry:

- A. Vehicle Load
- B. Vehicle Headways
- C. On-time Performance
- D. Service Availability

STATION HIERARCHY

For purposes of determining service and facility levels at stations, a hierarchy has been established that classifies each station into one of five types. The hierarchy is related to the level of ridership at the station. The following chart shows the station type names and general service description:

Station Type	Service Description
Major	Baby Bullet, limited and local
Intermediate	Limited and local
Minor	Local
Gilroy	Peak direction service only
Special	Limited use station

A. VEHICLE LOAD

Vehicle load factor is described by the October 2012 FTA Circular 4702.1B:

Vehicle load can be expressed as the ratio of passengers to the total number of seats on a vehicle. For example, on a 40-seat bus, a vehicle load of 1.3 means all seats are filled and there are approximately 12 standees. A vehicle load standard is generally expressed in terms of peak and off-peak times. Transit providers that operate multiple modes of transit must describe the specific vehicle load standards for peak and off-peak times for each mode of fixed route transit service (i.e., bus, express bus, bus rapid transit, light rail, heavy rail, commuter rail, passenger ferry, etc., as applicable), as the standard may differ by mode.

Providing sufficient seating capacity to meet demand is a priority for Caltrain. However, during the peak of the peak because of high passenger loads and limited capacity, it is not always possible to provide a seat for each passenger. During non-peak hours, the Caltrain standard is not to exceed one passenger per seat, but in the peak the standard is not to exceed one standee per five seats.

Staff monitors vehicle loads from train crew reports, passenger comments, passenger counts of special event trains and from an annual passenger count performed on every train. Whenever feasible, resources will be reallocated to meet passenger demand.

Service Standards

<u>Service Type</u>	<u>Peak Load Factor</u>	<u>Off-Peak Load Factor</u>
All	1.2	1.0

B. VEHICLE HEADWAY

Vehicle headway is described by the October 2012 FTA Circular 4702.1B:

Vehicle headway is the amount of time between two vehicles traveling in the same direction on a given line or combination of lines. A shorter headway corresponds to more frequent service. Vehicle headways are measured in minutes (e.g., every 15 minutes); service frequency is measured in vehicles per hour (e.g., 4 buses per hour). Headways and frequency of service are general indications of the level of service provided along a route. Vehicle headway is one component of the amount of travel time expended by a passenger to reach his/her destination. A vehicle headway standard is generally expressed for peak and off-peak service as an increment of time (e.g., peak: every 15 minutes; and off peak: every 30 minutes). Transit providers may set different vehicle headway standards for different modes of transit service. A vehicle headway standard might establish a minimum frequency of service by area based on population density. For example, service at 15-minute peak headways and 30-minute off-peak headways might be the standard for routes serving the most densely populated portions of the service area, whereas 30-minute peak headways and 45-minute off-peak headways might be the standard in less densely populated areas. Headway standards are also typically related to vehicle load. For example, a service standard might state that vehicle headways will be improved first on routes that exceed the load factor standard or on routes that have the highest load factors.

During peak and surrounding (shoulder) times, Caltrain serves stations largely based on demand. Midday, evenings and weekends are largely hourly service. Supplemental service is often provided for special events based on estimated ridership demand.

Service Standards Minimum Average Headways (in minutes)

<u>Station Type</u>	<u>Peak</u>	<u>Reverse-Peak</u>	<u>Midday</u>	<u>Evenings & Weekends</u>
Major	20	20	60	60
Intermediate	30	30	60	60
Minor	60	60	60	60
Gilroy	3 trips per peak period			
Special	-----Provided as needed-----			

C. ON-TIME PERFORMANCE

On-time performance is described by the October 2012 FTA Circular 4702.1B:

On-time performance is a measure of runs completed as scheduled. This criterion first must define what is considered to be "on time." For example, a transit provider may consider it acceptable if a vehicle completes a scheduled run between zero and five minutes late in comparison to the established schedule. On-time performance can be measured against route origins and destinations only, or against origins and destinations as well as specified time points along the route. Some transit providers set an on-time performance standard that prohibits vehicles from running early (i.e., ahead of schedule) while others allow vehicles to run early within a specified window of time (e.g., up to five minutes ahead of schedule). An acceptable level of performance must be defined (expressed as a percentage). The percentage of runs completed system-wide or on a particular route or line within the standard must be calculated and measured against the level of performance for the system. For example, a transit provider might define on-time performance as 95 percent of all runs system-wide or on a particular route or line completed within the allowed "on-time" window.

On-time Performance Service Standard

A train is determined to be on-time if it reaches its final destination within five minutes of the published schedule time. Caltrain does not permit its trains to depart early. It is Caltrain's goal to have 95 percent of trains meet this on-time criteria. Monthly on-time performance is tracked and published as part of a monthly performance report to the Caltrain Board.

D. SERVICE AVAILABILITY

Service availability is described by the October 2012 FTA Circular 4702.1B:

Service availability is a general measure of the distribution of routes within a transit provider's service area...A standard might also indicate the maximum distance between stops or stations...Commuter rail service or passenger ferry service availability standards might include a threshold of residents within a certain driving distance as well as within walking distance of the stations or access to the terminal.

Caltrain station spacing is mostly based on locations inherited from a previous owner (the Southern Pacific Railroad) before the Peninsula Joint Powers Board took over the system in 1992. The 48-mile railroad from San Francisco to Tamien has 23 regular stations (not counting Special station types) for an average station spacing of 2.1 miles. The distance between stations one must travel to access service is based on average distance (miles) between adjacent stations (both directions) for types of service stopping at the station.

Service Availability Standards

<u>Station Type</u>	<u>Station Spacing</u>
Major	5 miles
Intermediate	3 miles
Minor	2 miles
Gilroy	6 miles
Special	1 mile

SYSTEMWIDE SERVICE POLICIES

FTA requires fixed-route transit providers to develop a policy for each of the following service indicators. Transit providers also may opt to set policies for additional indicators as appropriate. The following system-wide policies differ from service standards in that they are not necessary based on meeting quantitative thresholds; but rather qualitative evaluation results:

- A. Vehicle Assignment
- B. Transit Amenities

A. VEHICLE ASSIGNMENT

According to the October 2012 FTA Circular 4702.1B:

Vehicle assignment refers to the process by which transit vehicles are placed into service in depots and on routes throughout the transit provider's system. Policies for vehicle assignment may be based on the age of the vehicle, where age would be a proxy for condition. For example, a transit provider could set a policy to assign vehicles to depots so that the age of the vehicles at each depot does not exceed the system-wide average. The policy could also be based on the type of vehicle. For example, a transit provider may set a policy to assign vehicles with more capacity to routes with higher ridership and/or during peak periods. The policy could also be based on the type of service offered. For example, a transit provider may set a policy to assign specific types of vehicles to express or commuter service. Transit providers deploying vehicles equipped with technology designed to reduce emissions could choose to set a policy for how these vehicles will be deployed throughout the service area.

The Caltrain revenue fleet consists of 118 passenger cars (25 Bombardier and 93 Nippon Sharyo/Gallery cars) and 29 diesel locomotives. All trains are comprised of one locomotive and five passenger cars. All Gallery car trains include at least one Americans with Disabilities Act (ADA) accessible rail car, one car with a luggage rack and two cars that together accommodate up to 80 bikes. All Bombardier cars are ADA accessible and Bombardier trains all have two bike cars that accommodate up to 48 bikes.

Caltrain consists (i.e., locomotives, cab cars and passenger cars) are rotated on a daily basis to serve different scheduled trains. Several trains a day are specified to be equipped with Gallery consists to utilize the higher bike capacity of 80 (versus 48 for a Bombardier equipped train) for trains that have very high bike demand. Another group of trains are specified to be equipped with Bombardier consists in order to take advantage of its additional 10 seats and four doors per car for trains that have very high passenger loads. The use of Gallery versus Bombardier equipment is not matched to any particular service type or station, except Gilroy service that is always provided utilizing Gallery consists.

B. TRANSIT AMENITIES

According to the October 2012 FTA Circular 4702.1B:

Transit amenities refer to items of comfort, convenience, and safety that are available to the general riding public. Fixed route transit providers must set a policy to ensure equitable distribution of transit amenities across the system. Transit providers may have different policies for the different modes of service that they provide. Policies in this area address how these amenities are distributed within a transit system, and the manner of their distribution determines whether transit users have equal access to these amenities. This subparagraph is not intended to impact funding decisions for transit amenities. Rather, this subparagraph applies after a transit provider has decided to fund an amenity.

Caltrain provides a variety of amenities at stations to attract and retain customers. Station amenities are distributed based on ridership activity of stations and conditions that were adopted by the JPB when it took over the railroad. Stations are divided into three groups (Level 1- 3). These levels correspond roughly with the station hierarchy designations listed in the introduction to the system-wide service standards.

The “Core” set of amenities exist at most stations and include bike lockers, bike racks, shelters/canopies, benches, trash cans, pay phones, smart card fare validation equipment and ticket vending machines (TVMs). It is standard for each station to have a posted system map, schedule, other customer information, variable message signs and public announcement systems (PA). The standard amenities are included in the definition of core amenities.

Only a few stations with unique access situations have elevators or escalators. The placement of elevators is often at the choice and cost of others when a station is constructed or reconstructed.

Amenities Policy

<u>Station Type</u>	<u>Level</u>	<u>Amenities</u>
Major	Level 1	Core amenities
Intermediate	Level 1	Core amenities
Minor	Level 1	Core amenities
Gilroy	Level 2	Core amenities without bike racks. PA & VMS
Special	Level 3	TVMs only. at stations with scheduled stops

I. DEMOGRAPHIC AND SERVICE PROFILE MAPS

This section provides general demographics and service profiles as well as information on minority and low-income populations located within the Caltrain service area. Caltrain's fixed transit rail line, which is located in San Francisco, San Mateo and Santa Clara Counties spans 77.3 miles and serves 32 stations.

Demographic and service profile maps and overlays are based on the US Census and 2010-2014 American Community Survey (ACS) Data. The following maps are included:

System Map

- Caltrain System Map

Base Maps

- Caltrain Base Maps – Containing major streets, highways, fixed transit facilities (Caltrain and Water Emergency Transportation Authority - WETA) and JPB facilities. Major activity centers such as schools, hospitals, etc. are also included.
- Total Population Base Maps – Total population by Block Group for San Francisco, San Mateo, and Santa Clara Counties.

Race and Ethnicity Demographic Maps

- American Indian Population by Block Group
- Asian Population by Block Group
- African American/Black Population by Block Group
- Hispanic Population by Block Group
- Pacific Islander Population by Block Group
- Caucasian/White Population by Block Group
- "Other Races" Population by Block Group (excludes American Indians, Asians, African Americans/Blacks, Hispanics, Pacific Islanders, and Caucasians/Whites)

Combined Minority Demographic Maps

- Minority population broken out by Block Group using US Census 2010-2014 ACS Data
- Minority Block Groups are defined as those in which the minority population exceeds the system-wide minority average of 58%.

Low-Income Population Demographic Maps

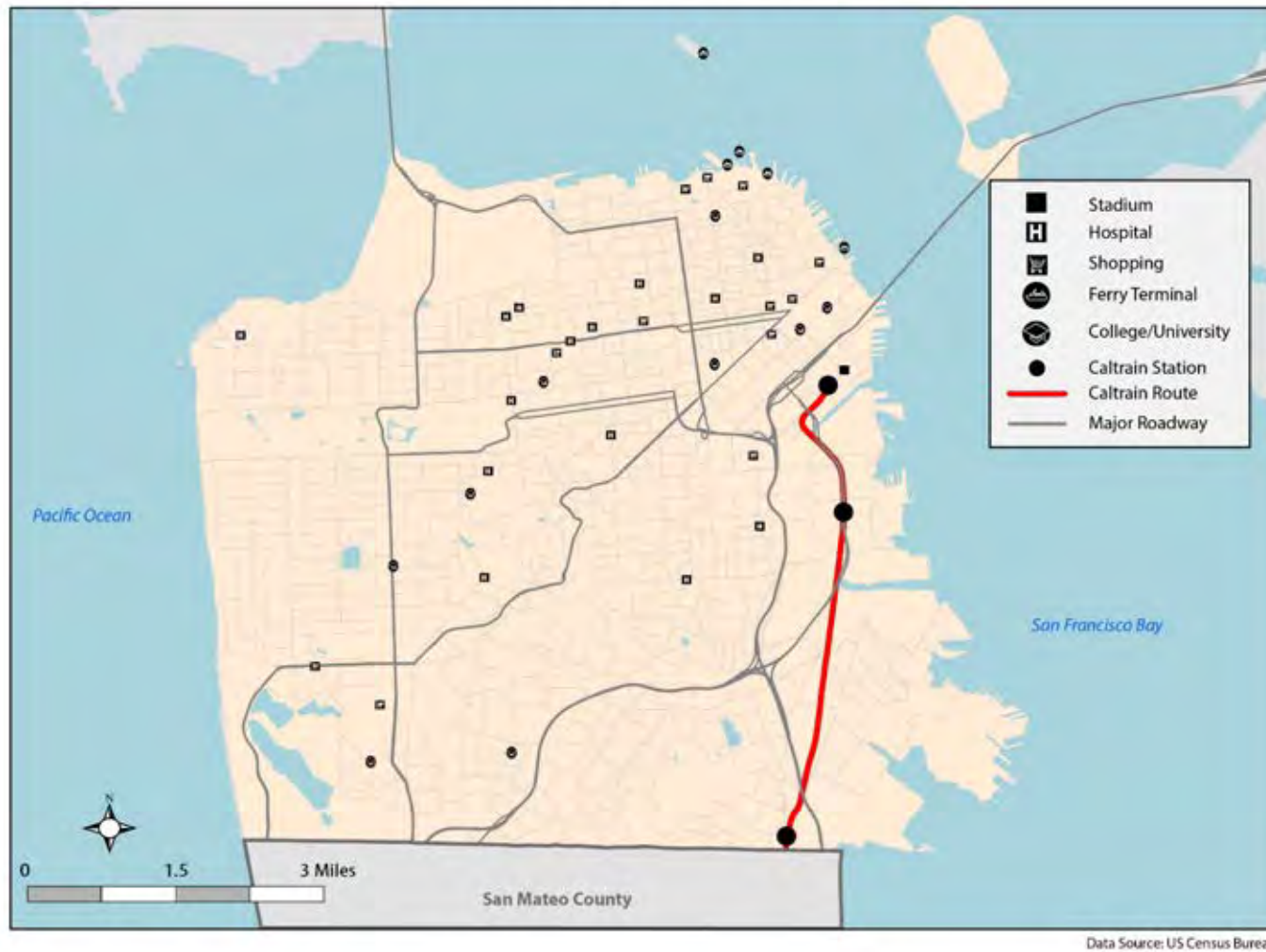
- Low-income population broken out by Block Group using the US Census 2010-2014 ACS Data
- Low-income Block Groups are defined as those in which more than 13.9% of the households in the block group that have an income that is 200% of the federal poverty threshold (Under \$25,000 a year).

Map 1: Caltrain System Map



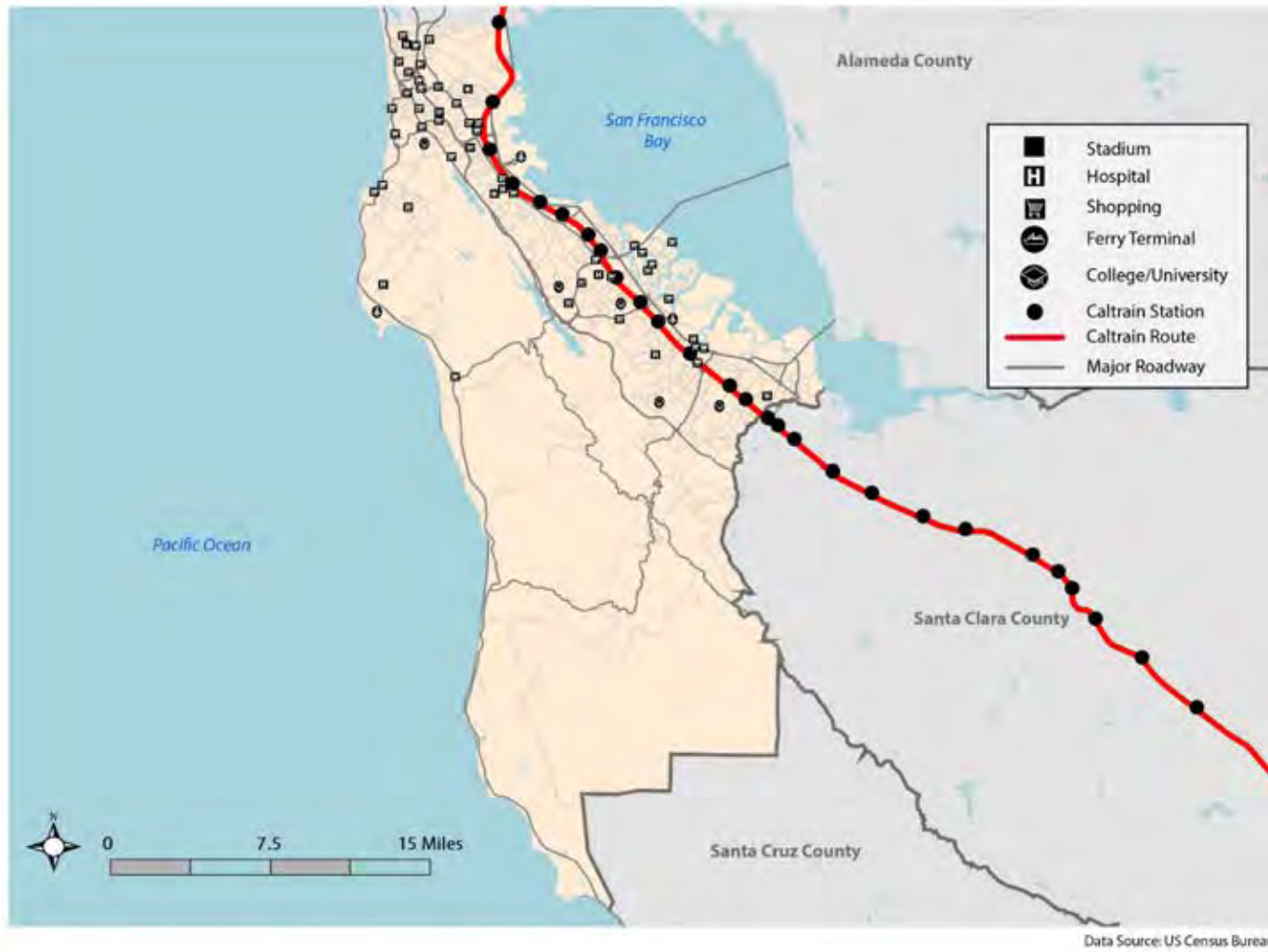
Map 2a: Caltrain Base Map – San Francisco County

San Francisco County By Block Group



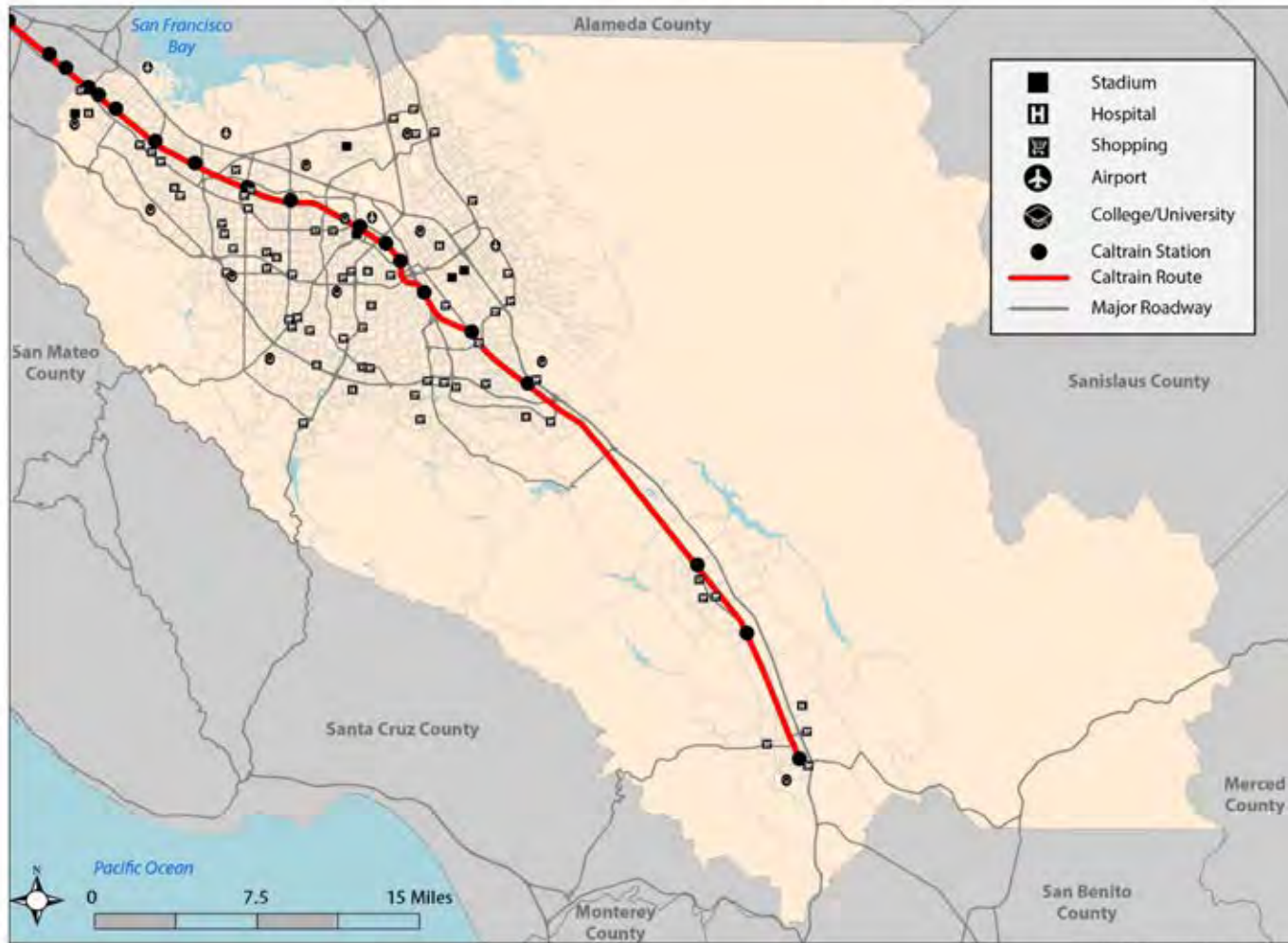
Map 2b: Caltrain Base Map – San Mateo County

San Mateo County By Block Group



Map 2c: Caltrain Base Map – Santa Clara County

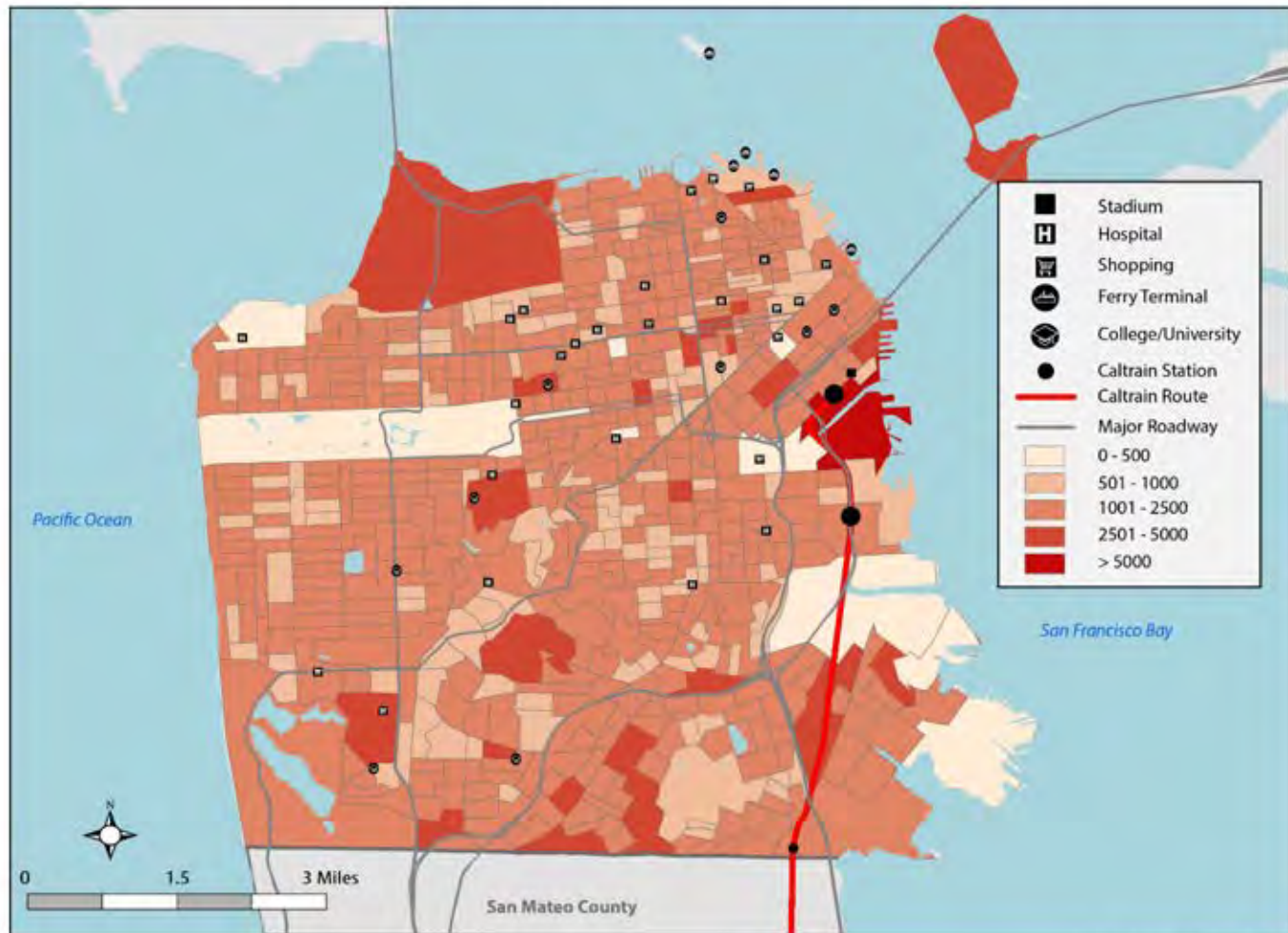
Santa Clara County By Block Group



Data Source: US Census Bureau

Map 3a: Total Population by Block Group – San Francisco County

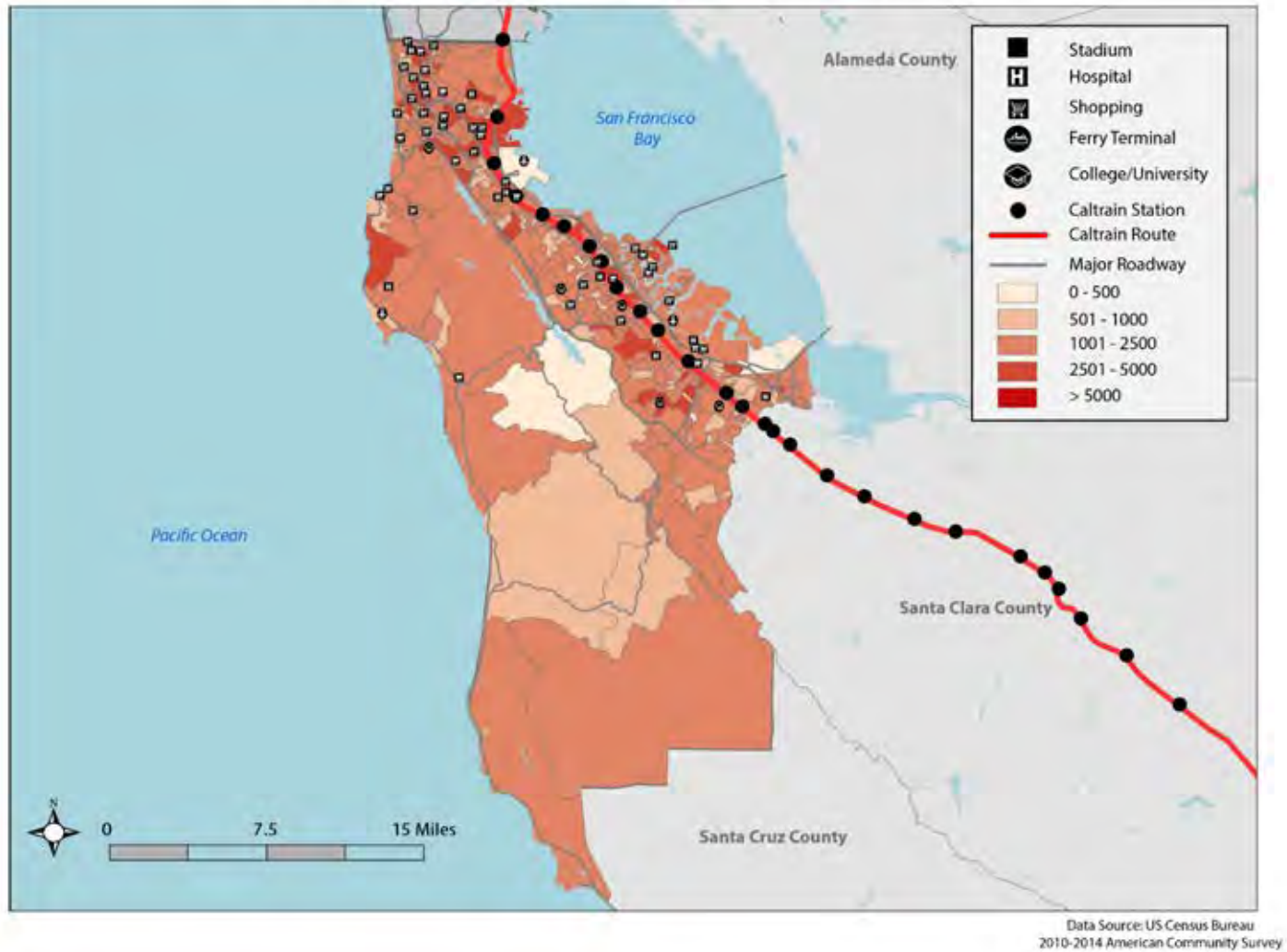
San Francisco County: Total Population By Block Group



Data Source: US Census Bureau
2010-2014 American Community Survey

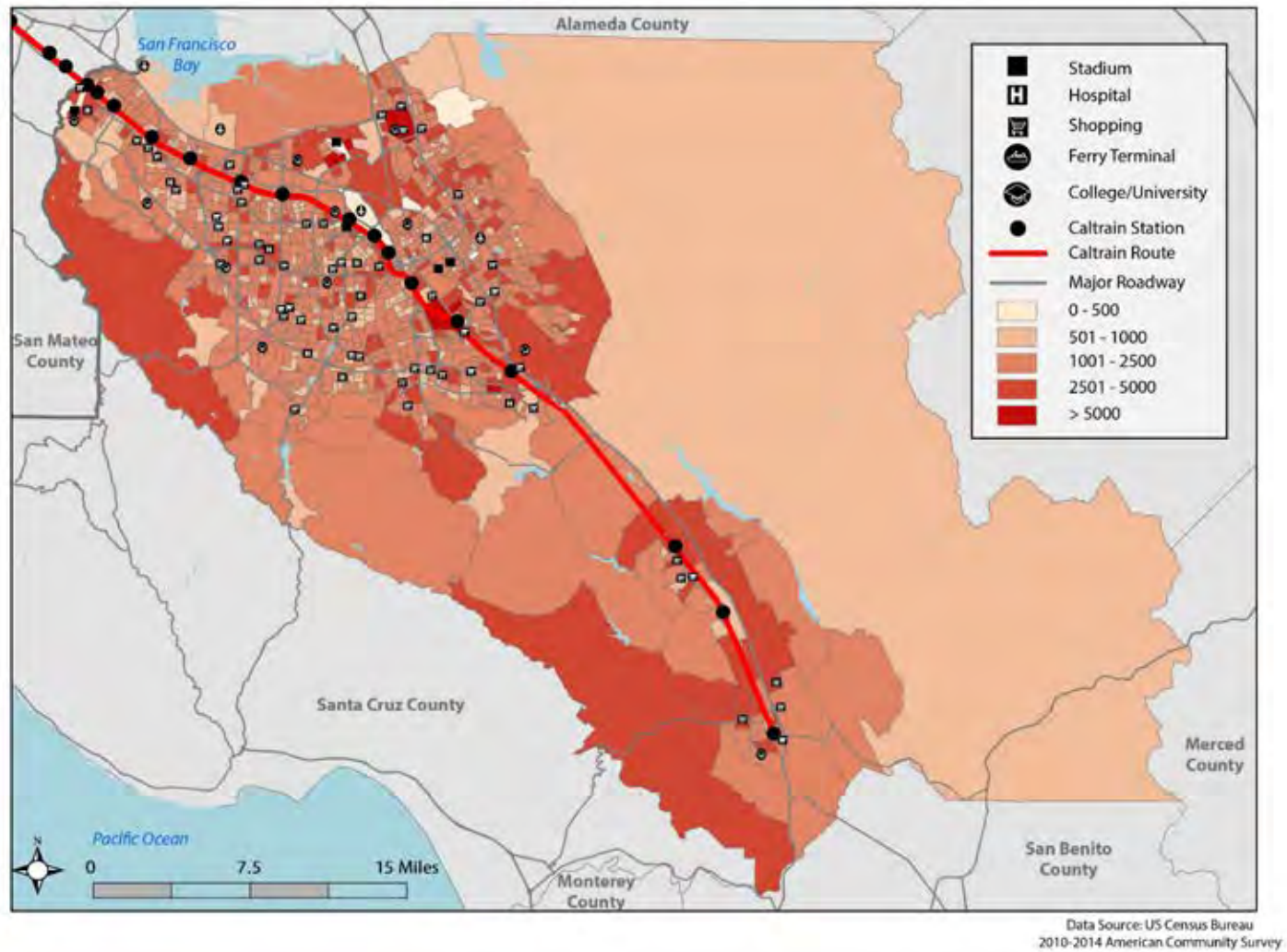
Map 3b: Total Population by Block Group – San Mateo County

San Mateo County: Total Population By Block Group



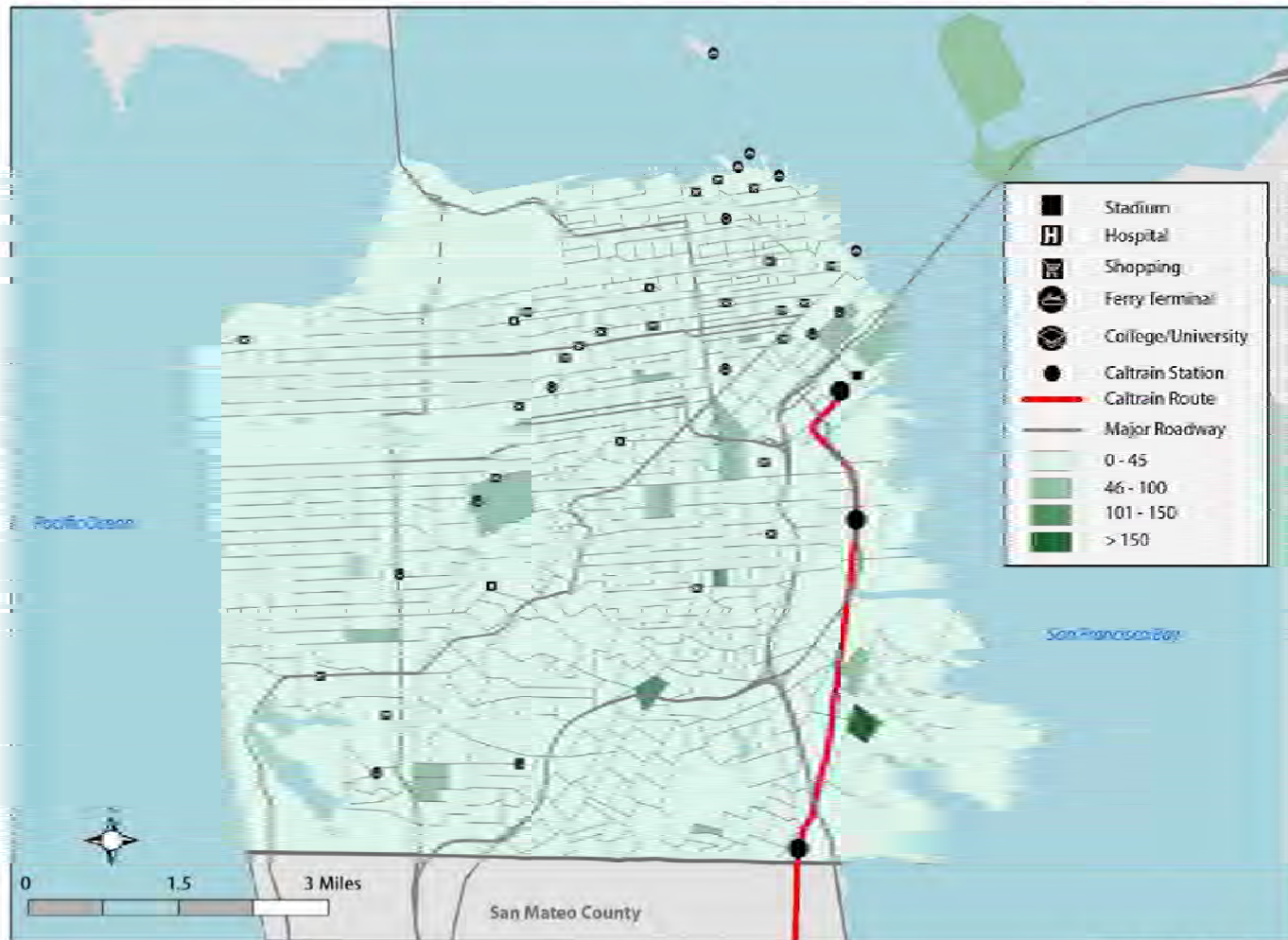
Map 3c: Total Population by Block Group – Santa Clara County

Santa Clara County: Total Population By Block Group



Map 4a: American Indian Population by Block Group – San Francisco County

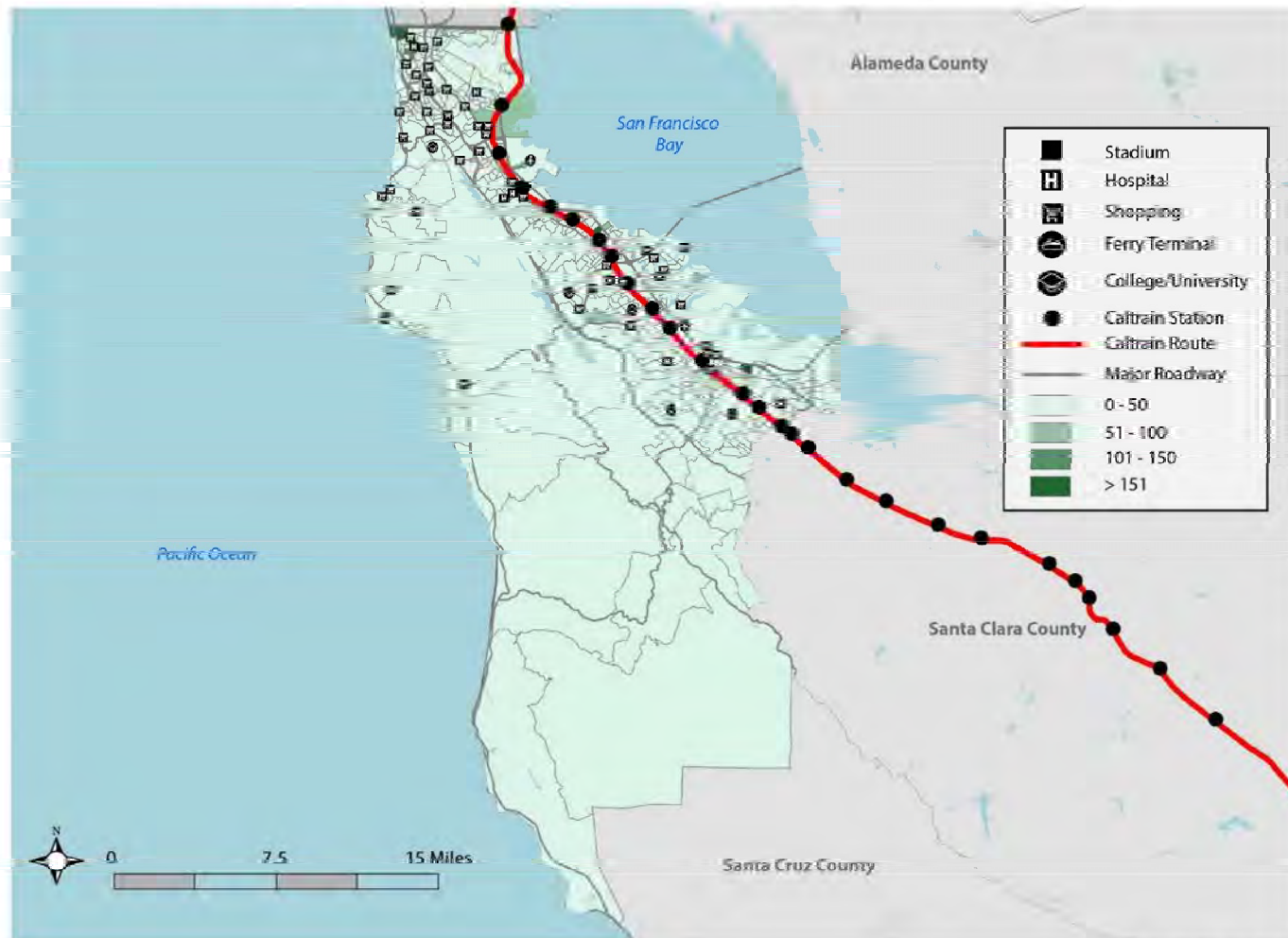
San Francisco County: American Indian Population By Block Group



Data Source: US Census Bureau
2010-2014 American Community Survey
Table B02001

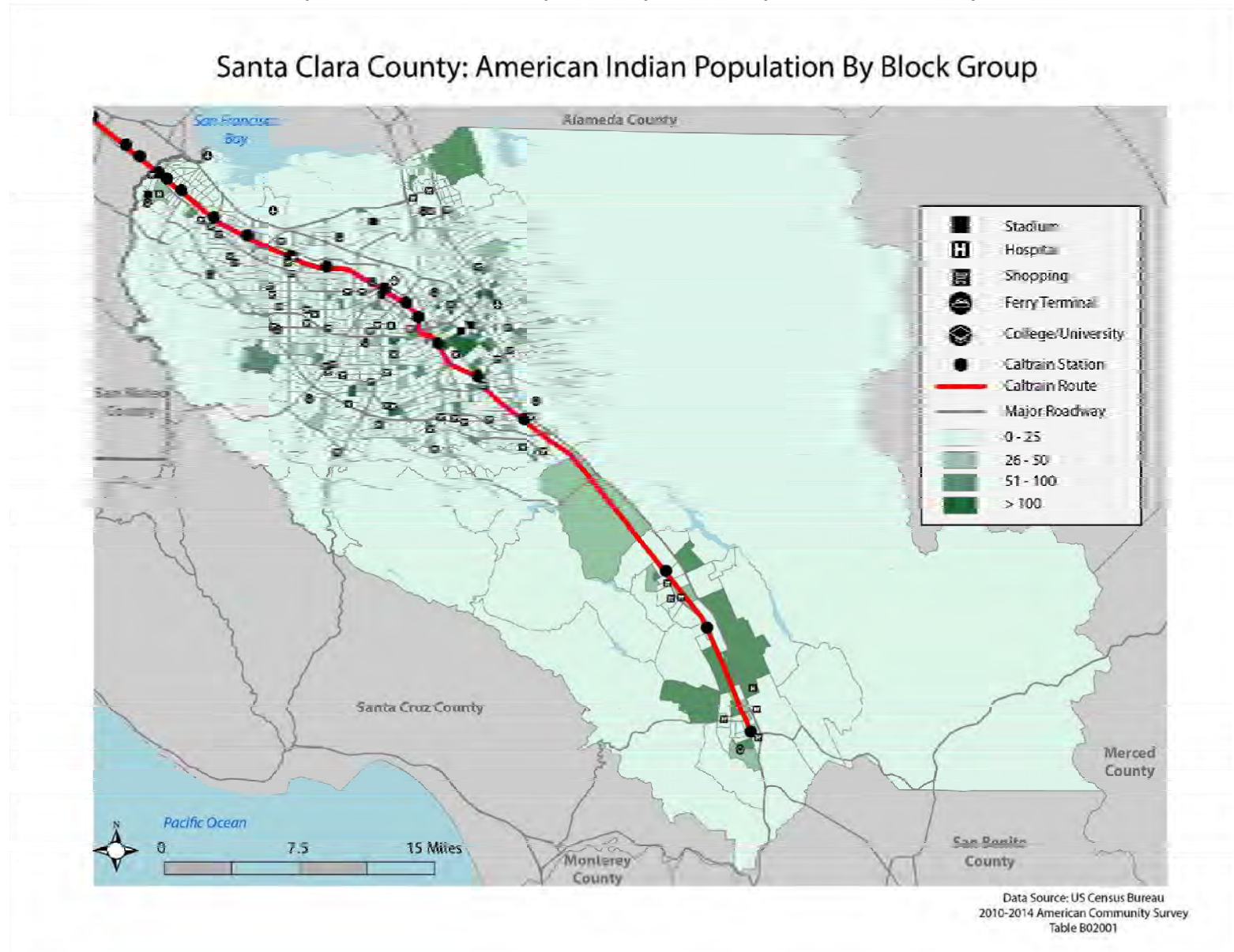
Map 4b: American Indian Population by Block Group – San Mateo County

San Mateo County: American Indian Population By Block Group



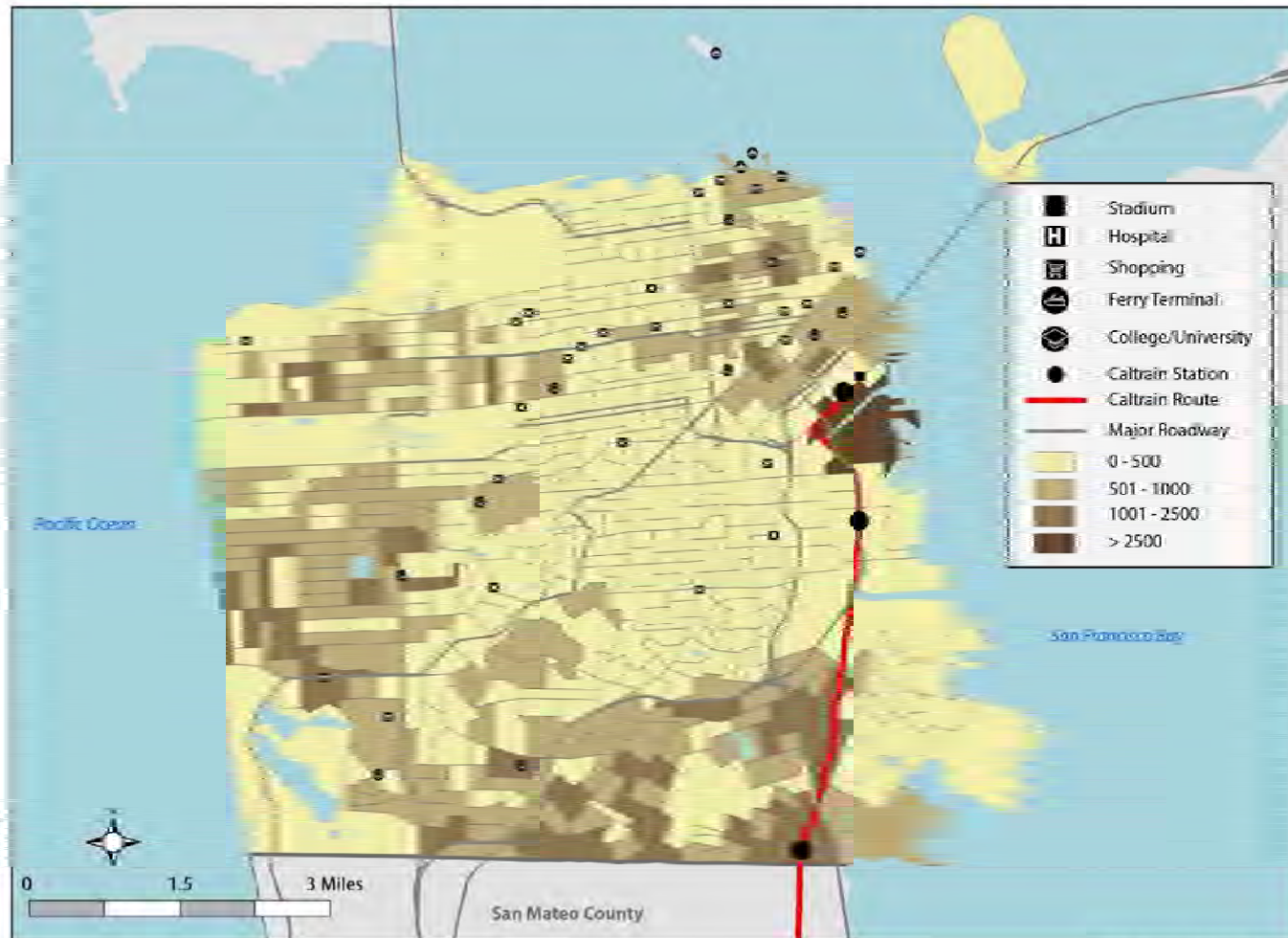
Data Source: US Census Bureau
2010-2014 American Community Survey
Table B02001

Map 4c: American Indian Population by Block Group – Santa Clara County



Map 5a: Asian Population by Block Group – San Francisco County

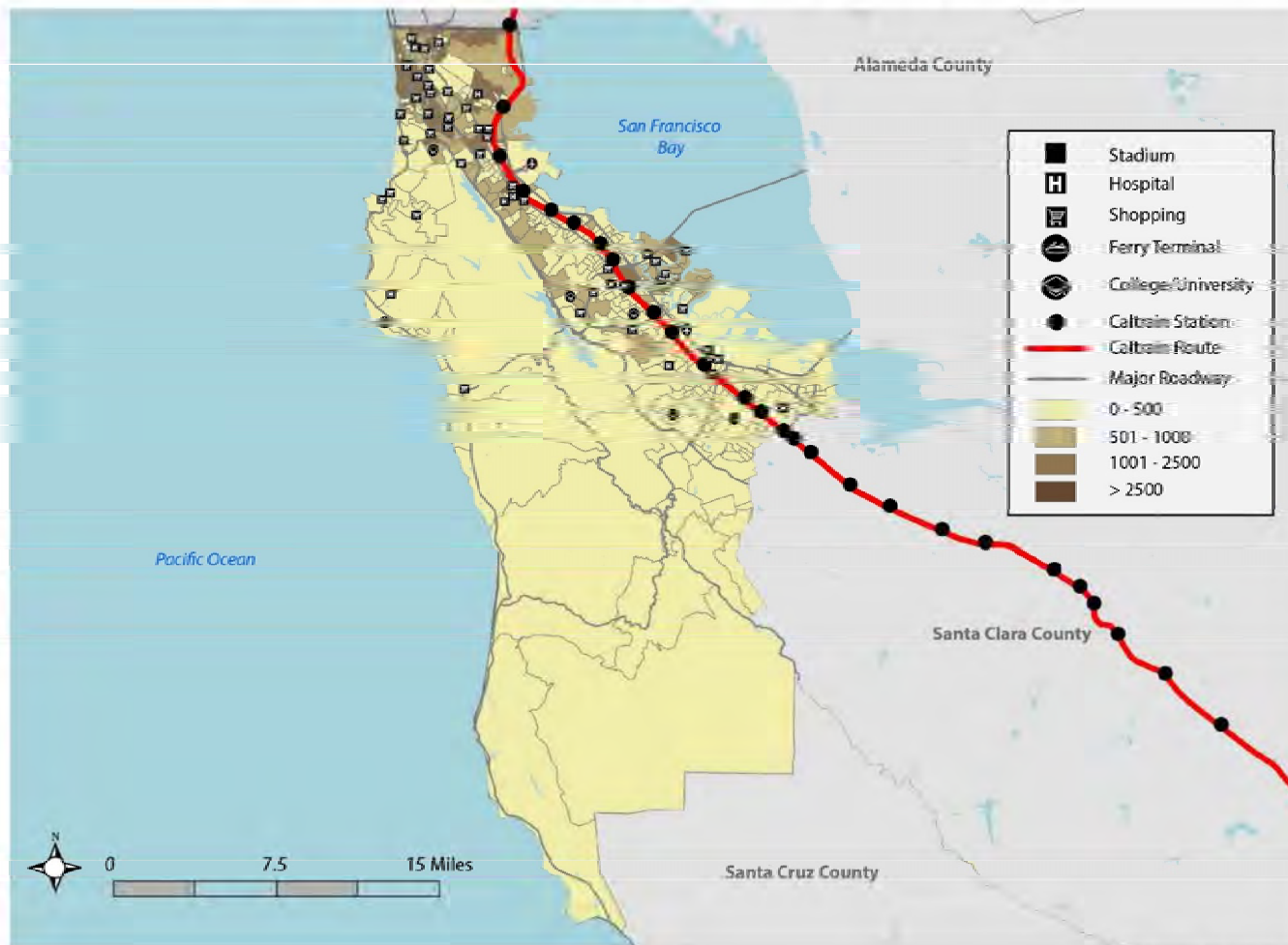
San Francisco County: Asian Population By Block Group



Data Source: US Census Bureau
2010-2014 American Community Survey
Table B02001

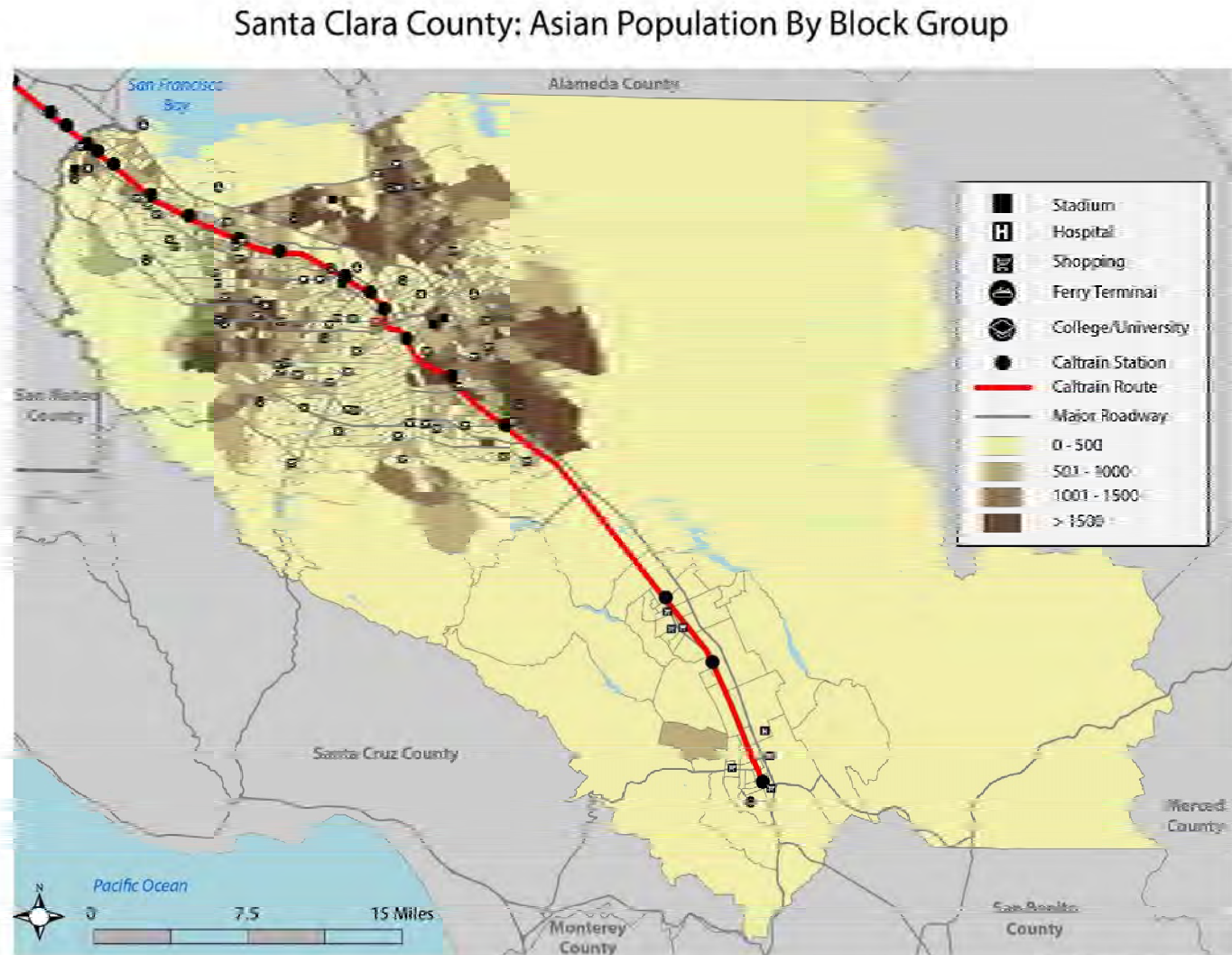
Map 5b: Asian Population by Census Tract – San Mateo County

San Mateo County: Asian Population By Block Group



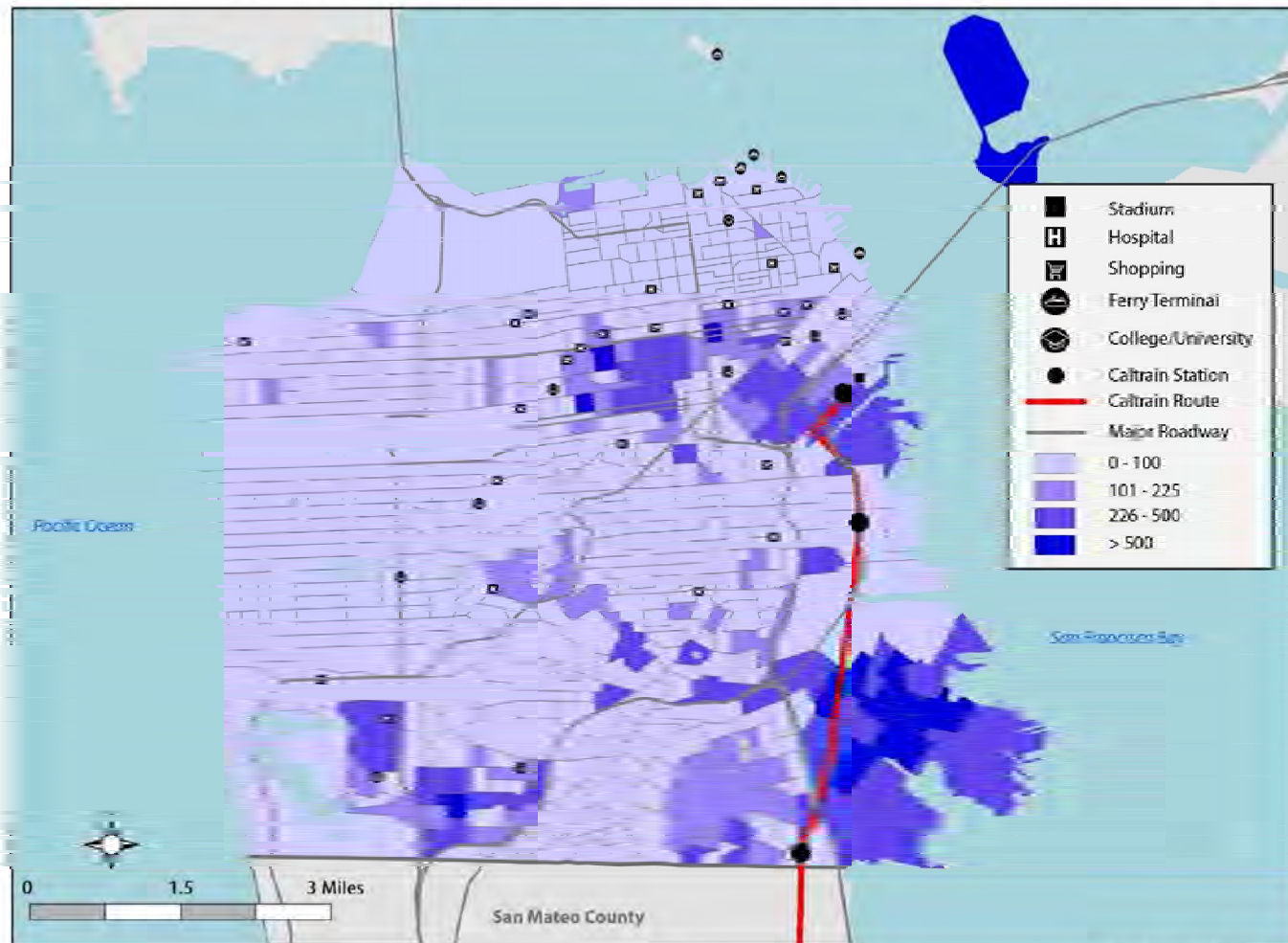
Data Source: US Census Bureau
2010-2014 American Community Survey
Table B02001

Map 5c: Asian Population by Block Group – Santa Clara County



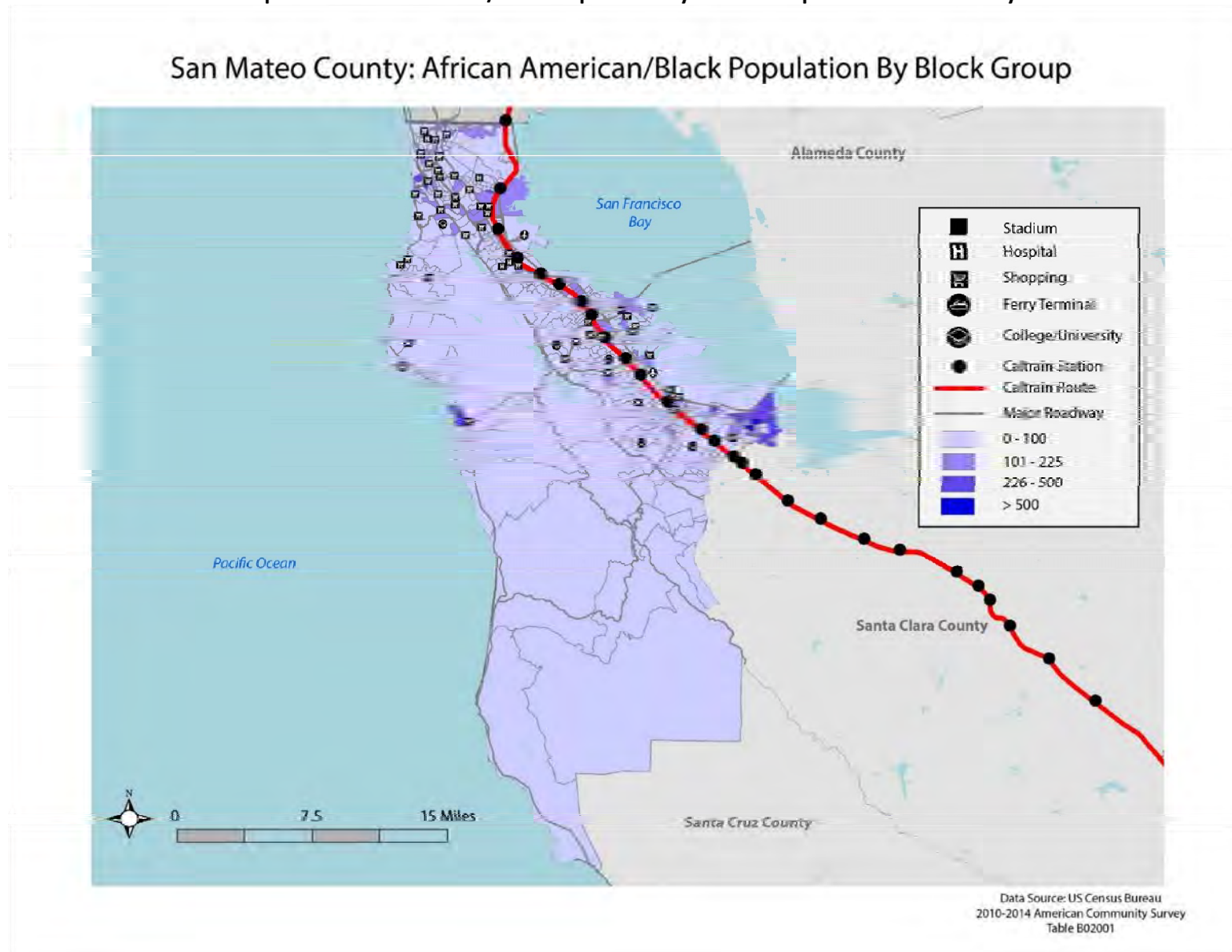
Map 6a: African American/Black Population by Block Group – San Francisco County

San Francisco County: African American/Black Population By Block Group

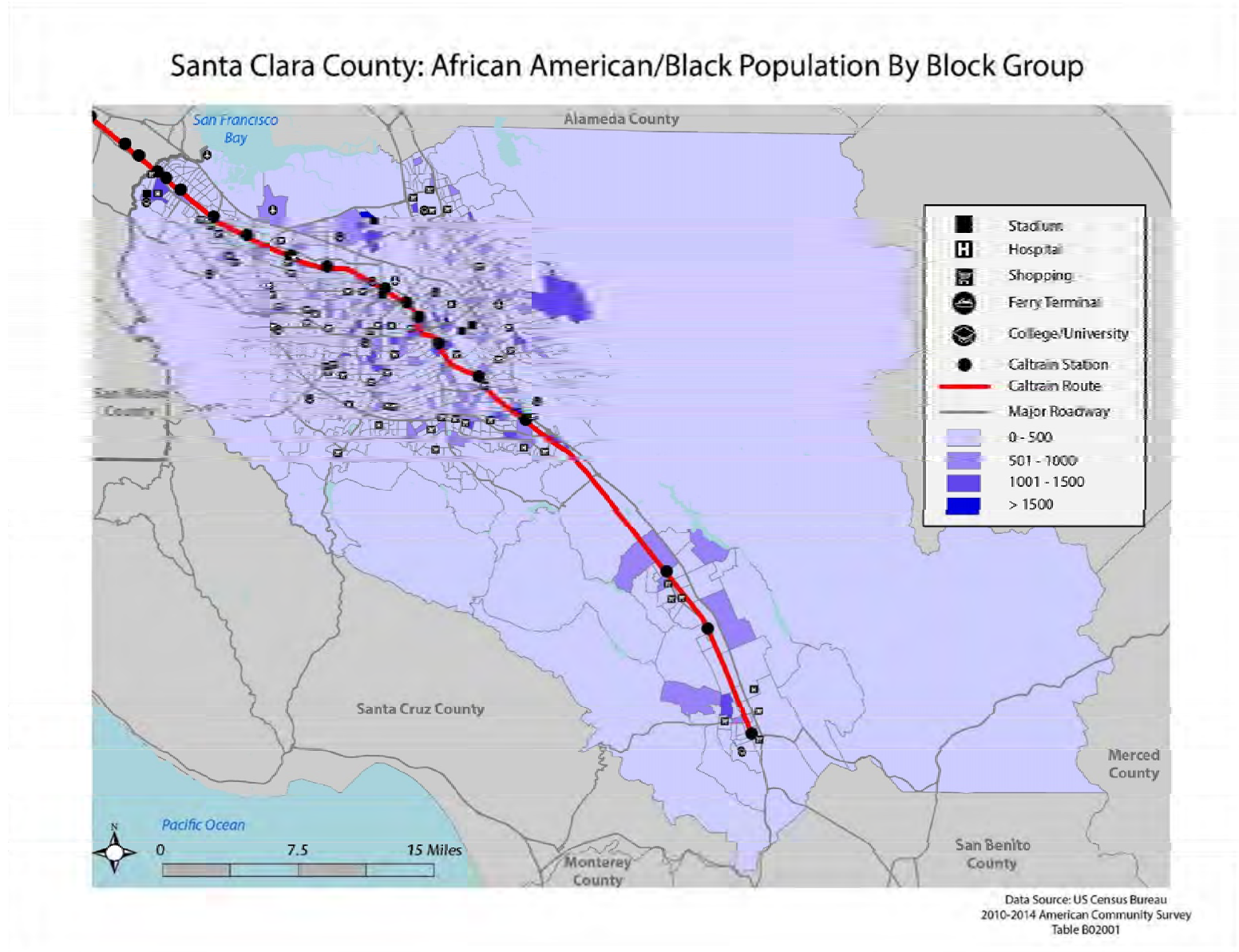


Data Source: US Census Bureau
2010-2014 American Community Survey
Table B02001

Map 6b: African American/Black Population by Block Group – San Mateo County

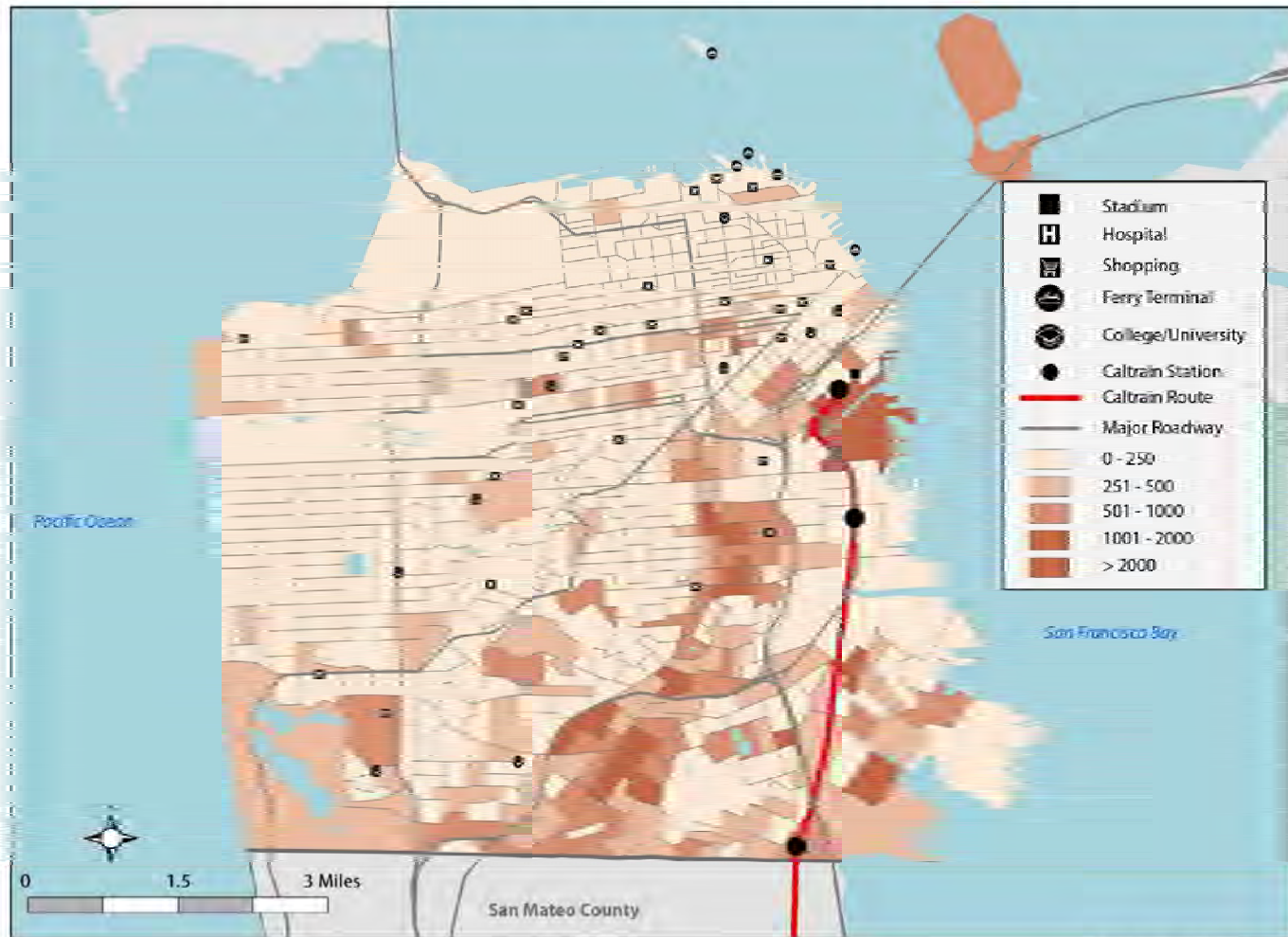


Map 6c: African American/Black Population by Block Group – Santa Clara County



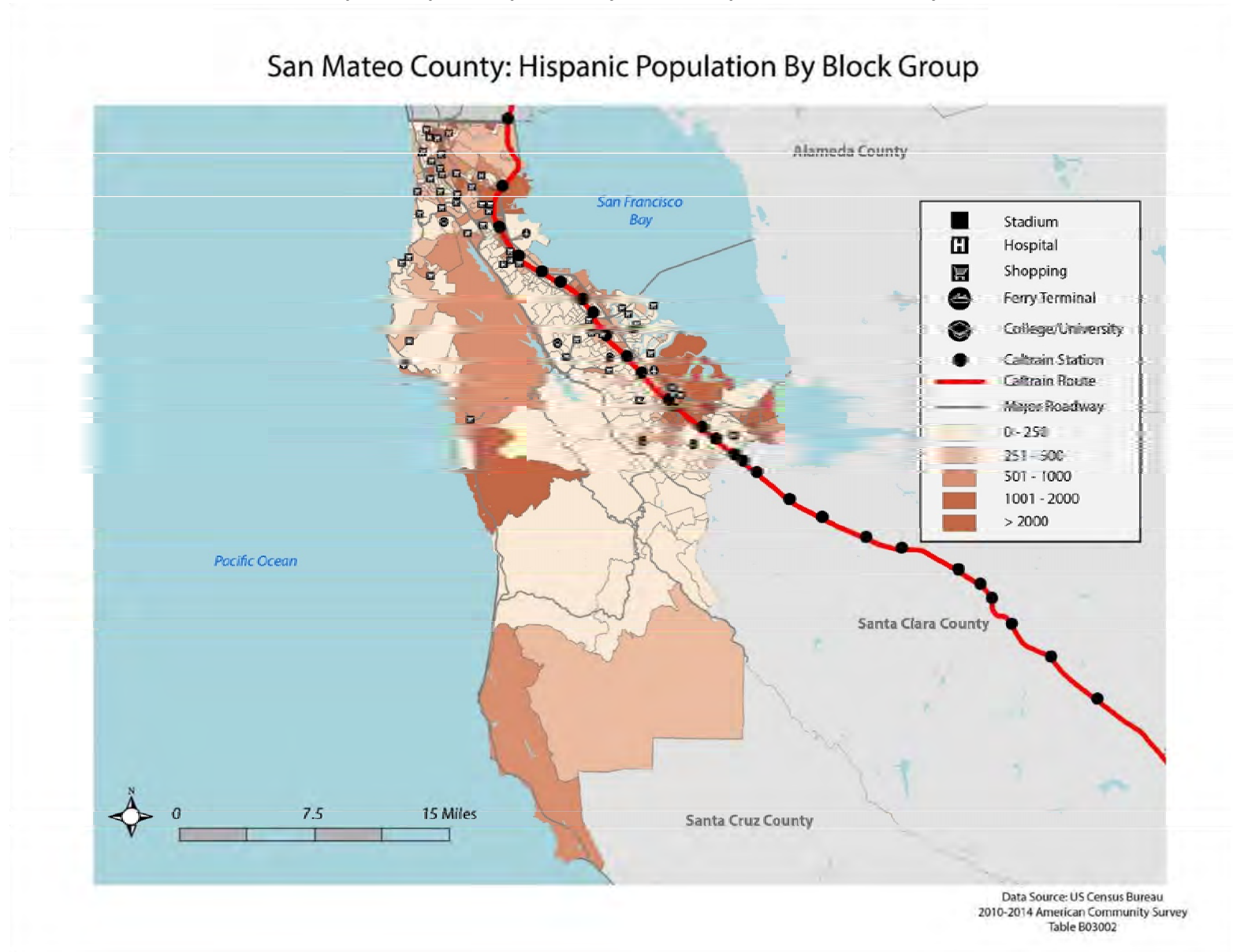
Map 7a: Hispanic Population by Block Group – San Francisco County

San Francisco County: Hispanic Population By Block Group



Data Source: US Census Bureau
2010-2014 American Community Survey
Table B03002

Map 7b: Hispanic Population by Block Group – San Mateo County



Map 7c: Hispanic Population by Block Group – Santa Clara County

