



## AGENDA

### PENINSULA CORRIDOR JOINT POWERS BOARD

Bacciocco Auditorium, 2<sup>nd</sup> Floor  
1250 San Carlos Avenue, San Carlos CA 94070

September 6, 2018 – Thursday

10:00 a.m.

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. Consent Calendar

Members of the Board may request that an item under the Consent Calendar be considered separately

a.	Approve Special Meeting Minutes of August 2, 2018	MOTION
b.	Approve Minutes of August 2, 2018	MOTION
c.	Accept Statement of Revenues and Expenditures for July 2018	MOTION
d.	Receive Key Caltrain Performance Statistics – July 2018	INFORMATIONAL
e.	Receive State and Federal Legislative Update	INFORMATIONAL
f.	Receive Caltrain Business Plan Monthly Update – August 2018	INFORMATIONAL
g.	Receive Capital Projects Quarterly Report – 4 <sup>th</sup> Quarter Fiscal Year 2018	INFORMATIONAL
h.	Reauthorize Investment of Monies with Local Agency Investment Fund	RESOLUTION
5.	Report of the Chair	
a.	Business Plan Ad Hoc Committee	
6.	Report of the Citizens Advisory Committee	
7.	Report of the Executive Director	
a.	CORA (Community Overcoming Relationship Abuse) Transit Deputy Recognition	PROCLAMATION
b.	Proclamation Declaring September Railroad Safety Month	PROCLAMATION
c.	Update on Financial Dashboard	INFORMATIONAL
d.	Monthly Report on Positive Train Control System	INFORMATIONAL
e.	Peninsula Corridor Electrification Monthly Report for July 2018	INFORMATIONAL

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

Peninsula Corridor Joint Powers Board  
September 6, 2018 Agenda

- |  |               |
|--|---------------|
| 8. Authorize Execution of a Change Order to the Peninsula Corridor Electrification Project Contract with Balfour Beatty, Inc. for Designing Shunt Wires at Utility Crossings in Conformance with California Public Utility Commission Requirements | RESOLUTION    |
| 9. Authorize Execution of a Change Order to the Peninsula Corridor Electrification Project Contract (PCEP) with Balfour Beatty, Inc. for the Design of the PG&E Interconnections to the PCEP Traction Power Substations 1 and 2                    | RESOLUTION    |
| 10. Increase Executive Director's Contract Change Order Authority for the South San Francisco Station Improvement Project  | RESOLUTION    |
| 11. 2018 Annual Passenger Count Presentation   | INFORMATIONAL |
| 12. Correspondence   |               |
| 13. Board Member Requests  |               |
| 14. General Counsel Report   |               |
| 15. Date/Time of Next Regular Meeting: Thursday, October 4, 2018 at 10:00 a.m. San Mateo County Transit District Administrative Building, 2 <sup>nd</sup> Floor, 1250 San Carlos Avenue, San Carlos, CA 94070                                      |               |
| 16. Adjourn  |               |

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

### **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 650.508.6279. Agendas are available on the Caltrain website at [www.caltrain.com](http://www.caltrain.com). Communications to the Board of Directors can be e-mailed to [board@caltrain.com](mailto: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](mailto: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.

Draft

Peninsula Corridor Joint Powers Board  
Board of Directors Meeting  
1250 San Carlos Avenue, San Carlos CA 94070

SPECIAL MEETING  
MINUTES OF AUGUST 2, 2018

**MEMBERS PRESENT:** C. Brinkman, J. Bruins, D. Davis, J. Gee, D. Pine, M. Zmuda

**MEMBERS ABSENT:** C. Chavez, G. Gillett, C. Stone

**STAFF PRESENT:** J. Hartnett, C. Mau, J. Cassman, B. Grizard, C. Gumpal

**Call to Order**

Chair Bruins called the meeting to order at 9:05 a.m.

**Roll Call**

Acting District Secretary Gumpal called the roll. A quorum was present.

**General Counsel Report**

Legal Counsel Cassman announced the board would meet in Closed Session to discuss the following issue:

Closed Session: Threat to Public Services or Facilities Pursuant to Government Code Section 54957: Consultation with: Agency Counsel and Lieutenant of Transit Police/County Sheriff's Office

**Adjourn**

The meeting reconvened into open session at 10 a.m. and adjourned.

Peninsula Corridor Joint Powers Board  
Board of Directors Meeting  
1250 San Carlos Avenue, San Carlos CA 94070

Draft

MINUTES OF AUGUST 2, 2018

**MEMBERS PRESENT:** J. Bruins, Chair; C. Brinkman, D. Davis, J. Gee, D. Pine, M. Zmuda

**MEMBERS ABSENT:** C. Chavez, G. Gillett, C. Stone

**STAFF PRESENT:** J. Hartnett, C. Mau, J. Cassman, T. Bartholomew, A. Chan, D. Couch, M. Bouchard, C. Cubba, C. Fromson, J. Funghi, B. Grizard, C. Gumpal, D. Hansel, M. Jones, H. Lafabre, L. Larano, D. Lieberman, L. Millard, C. Mobley-Ritter, S. Murphy, J. Navarro, S. Petty, M. Reggiardo, E. Scanlon, D. Stewart, C. Boland

**CALL TO ORDER / PLEDGE OF ALLEGIANCE**

Chair Bruins called the meeting to order at 10:13 a.m. Director Brinkman led the Pledge of Allegiance.

**ROLL CALL**

Acting District Secretary Gumpal called the roll. A quorum was present.

**PUBLIC COMMENT**

Thibaut de Bretagne, Palo Alto, discussed rideshare options and issues related to using bicycles on Caltrain.

Aleta Dupree, Oakland, commented on the new mobile application, making the request that it remain updated and noted that the website's trip planning feature could be improved.

Roland Lebrun, San Jose, discussed the length of the August agenda packet and placement of certain agenda items. He referred to the governance structure of the Valley Transportation Authority, where a committee structure is used ahead of its regular board meetings.

J. West, San Francisco discussed theft from a rented bike locker.

Adina Levin, Friends of Caltrain, addressed the board on solutions to assist bike riders and also encouraged voters to oppose Proposition 6 on the November ballot.

David Groves, San Mateo, addressed the board in support of on board bicycles, keeping in mind that emergency egress on the new bike cars in an important feature.

**CONSENT CALENDAR**

Chair Bruins announced Consent Calendar Item 4 L would be removed for separate discussion.

Peninsula Corridor Joint Powers Board Meeting  
Minutes of August 2, 2018

Public Comment

Jeff Carter, Millbrae, addressed the board on the Caltrain's Key Performance Statistics, noting that the June highlight was missing from the report. He also inquired about the length of the Consent Calendar. Chair Bruins responded.

Aleta Dupree, Oakland, spoke on the revenue and expenditure report and the expansion of mobile ticketing and Clipper options while reducing cash into ticket vending machines.

Director Zmuda commented on Consent Calendar item "h - Fare Study Phase 1 Report" and recommended approving the report as soon as board members are amenable and amend it or build upon it in the future as other agencies' fares are studied.

Motion/Second: Brinkman/Davis approved Consent Calendar items a - k and m - p.

Ayes: Brinkman, Bruins, Davis, Gillett, Gee, Pine, Zmuda

Absent: Chavez, Gillett, Stone

- a. Approved Special Meeting Minutes of June 7, 2018
- b. Approved Minutes of June 7, 2018
- c. Accepted Statement of Revenues and Expenditures for May and June 2018
- d. Received Key Caltrain Performance Statistics – May and June 2018
- e. Received State and Federal Legislative Update
- f. Approved Resolution 2018-26, Opposing Proposition 6
- g. Received Caltrain Business Plan Monthly Update – July 2018
- h. Received Caltrain Fare Study Phase 1 Report and Means-Based Program Update
- i. Approved the Disposition of Surplus Service Support Vehicles and Equipment
- j. Appointed Citizens Advisory Committee Representatives: Cat Chang, Representing San Francisco County, to a term ending June 30, 2021; Kevin Burke, Representing San Mateo County, to a term ending June 30, 2021; Larry Klein, Representing Santa Clara County, to a term ending June 30, 2021.
- k. Approved Resolution 2018-27, Authorizing Addendum #4 to the 2015 Peninsula Corridor Electrification Project Final Environmental Impact Report
- m. Approved Resolution 2018-29, Authorizing the Execution of Contracts for Technology Related Products and Services to Vendors Under Cooperative Purchasing Programs For Fiscal Year 2019
- n. Approved Resolution 2018-30, Authorize the Execution of Contracts of More Than \$150,000 for Information Technology Licenses Renewals, Maintenance Services and Professional Services for Fiscal Year 2019
- o. Approved Resolution 2018-31, Authorization to Execute Program Supplemental Agreements for Receipt of \$3 Million in Transit and Intercity Rail Capital Program funding for Network integration planning and amend to increase the Fiscal Year 2019 Capital Budget from \$42,748,255 to \$45,748,255
- p. Approved Resolution 2018-32, Award of Contracts for On-Call Temporary Staffing Services

Peninsula Corridor Joint Powers Board Meeting  
Minutes of August 2, 2018

- I. Approved Addendum #5 to the 2015 Peninsula Corridor Electrification Project Final Environmental Impact Report

John Funghi, CalMod Chief Officer, thanked the City of Burlingame's elected and appointed officials who resolved the challenge of designing an electrification project (Paralleling Station #3/Addendum #5) around the Broadway (Burlingame) grade separation project.

Approved by Resolution 2018-28

Motion/Second: Gee/Pine

Ayes: Brinkman, Bruins, Davis, Gee, Pine, Zmuda

Absent: Chavez, Gillett, Stone

#### **CHAIRPERSON'S REPORT**

Chair Bruins commented on Senate Bill 1 and its effect on the region, as well as a proposed repeal of Proposition 6 on the November ballot. Chair Bruins also noted that the Metropolitan Transportation Commission (MTC) will vigorously defend Regional Measure 3 in pending legal proceedings. Last, Chair Bruins announced the retirement of Steve Hemminger of MTC and discussed finalization of Caltrain's first successful transit-oriented development project in San Carlos.

#### **REPORT OF THE CITIZENS ADVISORY COMMITTEE**

Brian Shaw, Chair of the Caltrain Citizens Advisory Committee, provided highlights of the Citizens Advisory Committee meeting held recently.

##### Public Comment

Roland Lebrun, San Jose, stated the mobile app does not offer boarding and de-boarding information. He discussed the draft Transportation Improvement Plan mentioned in the minutes, noting that Hillsdale funding sources were omitted.

#### **REPORT OF THE EXECUTIVE DIRECTOR**

Jim Hartnett, Executive Director, provided several announcements: a new fare enforcement process was launched on July 25 and citations have been issued, a new Station Access Principal Planner was hired to implement the Bicycle Parking Management Plan and annual passenger counts would be presented to the board in September.

##### **a. UPDATE ON FINANCIAL DASHBOARD**

Derek Hansel, Chief Financial Officer, provided a monthly update on Caltrain's finances.

##### **b. MONTHLY REPORT ON POSITIVE TRAIN CONTROL SYSTEM**

Michelle Bouchard, Chief Operating Officer, Rail, stated that the progress on the Positive Train Control project was going well with Wabtec and discussed some challenges associated with vehicle availability to install equipment and paperwork submittals with the Federal Rail Administration. Ms. Bouchard and Mr. Hansel briefly discussed the proposed funding plan for the project.

**c. PENINSULA CORRIDOR ELECTRIFICATION PROJECT QUARTERLY REPORT AND MONTHLY REPORTS FOR MAY AND JUNE 2018**

John Funghi, CalMod Chief Officer, provided a quarterly report on the electrification project, noting that design and signal system work is progressing, with work being done on constant warning system integration, testing plans and an upcoming change order on insulated joints. Mr. Funghi stated construction is progressing south from South San Francisco and San Bruno. He displayed photos of site work being done at night with the setting of brackets, poles and drilling. He stated additional ancillary contracts are being awarded for Supervisory Control and Data Acquisition as well as Centralized Equipment Maintenance and Operations Facility.

Mr. Funghi discussed progress on the tunnel modification contract, with significant contract price reductions achieved. He discussed work by PG&E and the Disadvantaged Business Enterprise contract awards. He stated the first two car shells have been produced and are en route to Salt Lake City. Mr. Funghi discussed the schedule, budget and contingency drawdown and the approval process of the Change Management Board. He noted that extensive outreach has been conducted on the entire project. Construction complaints were discussed and Ms. Fromson responded that there have been very few since the work is done at night.

Director Gee suggested holding a future closed session on Caltrain security issues.

Public Comment

Aleta Dupree, Oakland, discussed construction on the electrification project, PG&E's role and asked that the project be delivered.

Roland Lebrun, San Jose, commented on grant funding, Union Pacific, CP Brittan and Balfour Beatty. He referred to Mr. Fungi's slides and provided commentary on various issues.

**d. AUTHORIZE THE EXECUTIVE DIRECTOR TO EXECUTE CONTRACT CHANGE ORDER FOR INSTALLATION OF INSULATED JOINTS**

John Funghi, CalMod Chief Officer, stated the added scope to the Balfour Beatty contract was needed to resolve the issue for the existing block-signal system and recommended authorizing the change order, which was previously reviewed and approved by the Change Management Board.

Public Comment

Roland Lebrun, San Jose, provided commentary on the change order, noting his written material that he submitted previously.

Approved by Resolution 2018-33  
Motion/Second: Brinkman/Davis  
Ayes: Brinkman, Bruins, Davis, Gee, Pine, Zmuda

Peninsula Corridor Joint Powers Board Meeting  
Minutes of August 2, 2018

Absent: Chavez, Gillett, Stone

In response of Chair Bruins, Mr. Funghi responded to Mr. LeBrun's correspondence received on the subject and outlined the details of the change order.

**e. AUTHORIZE THE EXECUTIVE DIRECTOR TO EXECUTE CONTRACT CHANGE ORDER FOR UPRR MT-1 POLE CHANGES**

John Funghi, CalMod Chief Officer, outlined the need for the pole off-set of 15 feet versus an industry standard of 10 feet, noting the request was made by the owner of the tracks in that area; Union Pacific. Mr. Funghi stated the costs involved are for the design. In response to Director Zmuda, Mr. Funghi stated the change order was reviewed and approved by the Change Management Board.

Public Comment

Roland Lebrun, San Jose, cautioned that pole placement be reviewed at Diridon Station, since a fourth track was planned in the future.

Approved by Resolution 2018-34

Motion/Second: Gee/Pine

Ayes: Brinkman, Bruins, Davis, Gee, Pine, Zmuda

Absent: Chavez, Gillett, Stone

**DEVELOPMENT OF A FINANCING PLAN, DEBT POLICY AND DECLARATION OF OFFICIAL INTENT TO REIMBURSE EXPENDITURES FROM PROCEEDS OF INDEBTEDNESS**

Derek Hansel, Chief Financial Officer, provided a lengthy presentation on upcoming financing activities that need to take place before Joint Powers Board financial and capital projects can occur.

First, Mr. Hansel reviewed the current outstanding debt of \$34.14m in farebox revenue bonds consisting of both Series 2007A and Series 2015A. He noted the Board also has a \$150m credit facility to fund the Peninsula Corridor Electrification Project, which is repaid by various grant funding sources. He stated the Board intends to issue Series 2018 Fixed Rate Farebox Revenue bonds in order to refund all existing farebox revenue bonds for debt service savings and to fund real property acquisitions. He stated there would be an increase to the existing credit facility from \$150m to \$170m through 2022, to provide additional flexibility to match Transit Intercity Rail Capital Project grant funds. Mr. Hansel stated establishment of a new \$30m credit facility with JP Morgan would take place to support working capital requirements, including those associated with the Positive Train Control implementation.

Mr. Hansel reviewed the next steps, including development of legal documents, meeting with rating agencies, seeking approval from the Valley Transportation Authority, CCSF and SamTrans. He stated he would return in November to seek approval from the PCJPB board, sell bonds and close the transaction in December and access the proceeds.

Finally, Mr. Hansel outlined the four board actions that were necessary to proceed with the plan.

Peninsula Corridor Joint Powers Board Meeting  
Minutes of August 2, 2018

Public Comment

Roland Lebrun, San Jose, inquired where the money is going.

Drew, San Mateo, addressed the Board regarding the line of credit and making sure it is large enough to accommodate future needs.

Mr. Hansel responded to Board members' questions regarding short term vs long term loans, use of commercial paper, financing team members, details of the refinancing and savings expected, new bond rating, member agency approvals and timeline, public benefits identified and the issuance of the 2018 fixed rate bonds.

After discussion, the following motions were made:

Authorize the Chief Financial Officer to take the necessary steps to proceed with the development of a comprehensive financing plan, including farebox revenue bonds and revolving lines of credit for (a) refinancing needs and (b) new money requirements, including but not limited to real property acquisition, positive train control funding and general working capital.

Motion/Second: Gee/Pine

Ayes: Brinkman, Bruins, Davis, Gee, Pine, Zmuda

Absent: Chavez, Gillett, Stone

Authorize staff to proceed to work with the City and County of San Francisco, the Santa Clara Valley Transportation Authority and the San Mateo County Transit District, each a member agency (Member Agency) of the Peninsula Corridor Joint Powers Board (JPB), with respect to the public hearings required to be conducted and the resolutions required to be adopted in connection with the proposed debt.

Motion/Second: Gee/Pine

Ayes: Brinkman, Bruins, Davis, Gee, Pine, Zmuda

Absent: Chavez, Gillett, Stone

Adopt a Declaration of Official Intent Providing for Use of Proceeds of Tax-Exempt Indebtedness to Reimburse Prior Qualified Expenditures

Approved by Resolution 2018-35

Motion/Second: Gee/Pine

Ayes: Brinkman, Bruins, Davis, Gee, Pine, Zmuda

Absent: Chavez, Gillett, Stone

Adoption of Debt Policy

Approved by Resolution 2018-36

Motion/Second: Gee/Pine

Ayes: Brinkman, Bruins, Davis, Gee, Pine, Zmuda

Absent: Chavez, Gillett, Stone

## **CITY AND COUNTY OF SAN FRANCISCO RAIL ALIGNMENT AND BENEFITS STUDY**

John Ram, Planning Director of San Francisco, provided an informational presentation by the City and County of San Francisco on its Rail Alignment and Benefits Study. Mr. Ram first reviewed projected population growth for the region and stated that maximizing rail is the best solution.

Mr. Ram outlined the study's five components: rail alignment into the Salesforce Transit Center; Railyard reconfiguration/relocation; urban form and land use opportunities; Salesforce Transit Center extension/loop; and assessment of a boulevard replacing the north end of I-280. Focusing on Caltrain, he stated the study included consideration of the Caltrain corridor alignment into San Francisco, considerations for the at-grade crossings at Mission Bay Drive and 16<sup>th</sup> Street and the future of the Caltrain 4<sup>th</sup> and King railyard.

Board members provided commentary on the presentation:

Director Gee thanked San Francisco for the presentation. He stated the study has provided clarity as to the connectivity to San Francisco and Caltrain can focus on what's next and stated it's the map of what's planned and can allow the agencies can work together to find the funding.

Director Brinkman thanked the San Francisco staff for the presentation. Ms. Brinkman asked for clarification of the land ownership of the 4<sup>th</sup> and King station railyard. Responding, Legal Counsel Cassman confirmed that the land is not owned by Caltrain but it does have an operating easement. Ms. Brinkman discussed the opportunities for the 22<sup>nd</sup> Street station, as it's the seventh busiest station on the line.

Mr. Ram commented on the zoning in the area, which does not currently allow for housing but could be rezoned in the future.

Chair Bruins concluded by thanking the San Francisco staff for their informative report. She commented on the plan and stated that Caltrain needs to be a partner in a collaborative process, citing the San Jose Diridon station process, where Caltrain was aligned with three agencies for a successful outcome. She requested that Caltrain officials be included at the service planning level and not an afterthought in the process, so that it can determine its preferred alternative before the process is too far along.

### Public Comment

Jeff Carter, Millbrae, addressed the board and expressed concern for any plan that would negatively impact Caltrain operations or cause fare increases.

Roland Lebrun, San Jose, discussed the Pennsylvania and DTX alignments.

Director Pine was excused from the remainder of the meeting.

Peninsula Corridor Joint Powers Board Meeting  
Minutes of August 2, 2018

Adina Levin, Friends of Caltrain, stated the Friends of Caltrain are in support as long as there are no negative impacts to Caltrain operations.

David Groves, San Mateo, addressed the board and thanked Ms. Levin. However, he stated that housing was equally as important as transit and inquired if could the railyard could be moved to another location.

**CORRESPONDENCE**

All correspondence was including in the Board's reading files. Chair Bruins asked that staff provide the correspondence electronically in the future.

Public Comment

Roland Lebrun, San Jose, asked that the board read the correspondence prior to the meeting, not after.

**BOARD MEMBER REQUESTS**

None

**GENERAL COUNSEL REPORT**

Legal Counsel Cassman reported that the board met in closed session (special meeting) earlier in the day on the subject of transit security. No action was taken.

**Date/Time of Next Regular Meeting:** Thursday, September 6, 2018 at 10:00 a.m. San Mateo County Transit District Administrative Building, 2<sup>nd</sup> Floor, 1250 San Carlos Avenue, San Carlos, CA.

**ADJOURN**

The meeting adjourned at approximately 12:42 p.m. in memory of Mrs. Mary Stone; mother of Director Charles Stone.

**AGENDA ITEM #4 (c)  
SEPTEMBER 6, 2018**

**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  
JULY 31, 2018**

**ACTION**

Staff proposes that the Board of Directors accept and enter into the record the Statement of Revenues and Expenses for the month of July 2018.

This staff report provides a brief discussion of significant items and trends on the attached Statement of Revenues and Expenses through July 31, 2018. 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 is currently the same as budget and will be updated twice a year and presented at the February and April board meetings.

**Year to Date Revenues:** As of July year-to-date actual, the Total revenue (page 1, line 17) is \$979,060 higher than the prior year. This is primarily driven by Farebox Revenue (page 1, line 1) and Operating Grants (page 1, line11).

**Year to Date Expenses:** As of July year-to-date actual, the Total Expense (page 1, line 50) is \$947,726 higher than the prior year-to-date actual. This is primarily due to Rail Operator Services (page 1, line 22), Fuel and Lubricants (page 1, line 29) and Wages & Benefits (Page 1 line 39) due to inclusion of unfunded CalPERS and Other Post Employment Benefits (OPEB) liability (this expense will not recur throughout the year).

**BUDGET IMPACT**

There are no budget amendments for the month of July 2018.

**STRATEGIC INITIATIVE**

This item does not achieve a strategic initiative.

Prepared By:	Maria Pascual, Accountant	650-508-6288
	Jeannie Chen, Manager , General Ledger	650-508-6259

**PENINSULA CORRIDOR JOINT POWERS BOARD**  
**STATEMENT OF REVENUE AND EXPENSE**  
**Fiscal Year 2019**  
**July 2018**

	YEAR TO DATE				% OF YEAR ELAPSED				8.3%
	PRIOR ACTUAL	CURRENT ACTUAL	\$ VARIANCE	% VARIANCE	APPROVED BUDGET	ANNUAL FORECAST	\$ VARIANCE	% BUDGET	
<b>REVENUE</b>									
OPERATIONS:									
1 Farebox Revenue	8,196,803	8,954,455	757,652	9.2%	107,795,329	107,795,329	-	0.0%	1
2 Parking Revenue	469,190	439,523	(29,667)	(6.3%)	5,845,900	5,845,900	-	0.0%	2
3 Shuttles	189,466	173,805	(15,660)	(8.3%)	2,683,400	2,683,400	-	0.0%	3
4 Rental Income	156,818	145,647	(11,171)	(7.1%)	1,873,000	1,873,000	-	0.0%	4
5 Other Income	110,770	103,935	(6,836)	(6.2%)	1,192,000	1,192,000	-	0.0%	5
6							-		6
7 TOTAL OPERATING REVENUE	<b>9,123,047</b>	<b>9,817,365</b>	<b>694,318</b>	<b>7.6%</b>	<b>119,389,629</b>	<b>119,389,629</b>	<b>-</b>	<b>0.0%</b>	7
8							-		8
9 CONTRIBUTIONS:									9
10 AB434 Peninsula & TA Shuttle Funding	149,276	153,581	4,306	2.9%	1,767,700	1,767,700	-	0.0%	10
11 Operating Grants	355,471	547,551	192,080	54.0%	3,700,607	3,700,607	-	0.0%	11
12 JPB Member Agencies	7,303,143	7,391,500	88,357	1.2%	25,448,014	25,448,014	-	0.0%	12
13 Use of Reserves			-	0.0%	1,208,871	1,208,871	-	0.0%	13
14							-		14
15 TOTAL CONTRIBUTED REVENUE	<b>7,807,890</b>	<b>8,092,632</b>	<b>284,742</b>	<b>3.6%</b>	<b>32,125,192</b>	<b>32,125,192</b>	<b>-</b>	<b>0.0%</b>	15
16							-		16
17 GRAND TOTAL REVENUE	<b>16,930,937</b>	<b>17,909,997</b>	<b>979,060</b>	<b>5.8%</b>	<b>151,514,821</b>	<b>151,514,821</b>	<b>-</b>	<b>0.0%</b>	17
18							-		18
19							-		19
20 EXPENSE									20
21							-		21
22 OPERATING EXPENSE:									22
23 Rail Operator Service	6,215,611	6,519,467	303,856	4.9%	87,385,577	87,385,577	-	0.0%	23
24 Positive Train Control	184,753	-	(184,753)	(100.0%)	1,442,000	1,442,000	-	0.0%	24
25 Security Services	467,839	466,436	(1,403)	(0.3%)	6,172,151	6,172,151	-	0.0%	25
28 Shuttles Services	384,075	391,834	7,759	2.0%	5,444,500	5,444,500	-	0.0%	28
29 Fuel and Lubricants	661,842	984,297	322,454	48.7%	10,765,356	10,765,356	-	0.0%	29
30 Timetables and Tickets	-	-	-	0.0%	143,500	143,500	-	0.0%	30
31 Insurance	491,562	378,349	(113,213)	(23.0%)	5,750,000	5,750,000	-	0.0%	31
32 Facilities and Equipment Maint	118,695	173,098	54,403	45.8%	3,158,276	3,158,276	-	0.0%	32
33 Utilities	154,850	158,591	3,741	2.4%	2,065,720	2,065,720	-	0.0%	33
34 Maint & Services-Bldg & Other	96,152	103,079	6,927	7.2%	1,529,098	1,529,098	-	0.0%	34
35							-		35
36 TOTAL OPERATING EXPENSE	<b>8,775,379</b>	<b>9,175,151</b>	<b>399,772</b>	<b>4.6%</b>	<b>123,856,178</b>	<b>123,856,178</b>	<b>-</b>	<b>0.0%</b>	36
37							-		37
38 ADMINISTRATIVE EXPENSE									38
39 Wages and Benefits	1,678,516	2,068,287	389,771	23.2%	11,507,399	11,507,399	-	0.0%	39
40 Managing Agency Admin OH Cost	481,784	523,984	42,200	8.8%	5,899,231	5,899,231	-	0.0%	40
41 Board of Directors	1,400	-	(1,400)	(100.0%)	14,600	14,600	-	0.0%	41
42 Professional Services	240,541	351,615	111,074	46.2%	5,125,000	5,125,000	-	0.0%	42
43 Communications and Marketing	1,878	-	(1,878)	(100.0%)	316,500	316,500	-	0.0%	43
44 Other Office Expenses and Services	155,120	161,017	5,897	3.8%	3,497,239	3,497,239	-	0.0%	44
45							-		45
46 TOTAL ADMINISTRATIVE EXPENSE	<b>2,559,239</b>	<b>3,104,902</b>	<b>545,663</b>	<b>21.3%</b>	<b>26,359,968</b>	<b>26,359,968</b>	<b>-</b>	<b>0.0%</b>	46
47							-		47
48 Long Term Debt Expense	108,223	110,515	2,292	2.1%	1,298,675	1,298,675	-	0.0%	48
49							-		49
50 GRAND TOTAL EXPENSE	<b>11,442,842</b>	<b>12,390,568</b>	<b>947,726</b>	<b>8.3%</b>	<b>151,514,821</b>	<b>151,514,821</b>	<b>-</b>	<b>0.0%</b>	50
51							-		51
52 NET SURPLUS / (DEFICIT)	<b>5,488,095</b>	<b>5,519,429</b>	<b>31,334</b>	<b>0.6%</b>	<b>(0)</b>	<b>(0)</b>	<b>-</b>	<b>0.0%</b>	52



BOARD OF DIRECTORS 2018

JEANNIE BRUNIS, CHAIR  
GILLIAN GILLET, VICE CHAIR  
CHARLES STONE  
JEFF GEE  
DEVORA "DEV" DAVIS  
CINDY CHAVEZ  
DAVE PINE  
CHERYL BRINKMAN  
MONIQUE ZMUDA

PENINSULA CORRIDOR JOINT POWERS BOARD

JIM HARTNETT  
EXECUTIVE DIRECTOR

INVESTMENT PORTFOLIO

AS OF JULY 31, 2018

TYPE OF SECURITY	MATURITY DATE	INTEREST RATE	PURCHASE PRICE	MARKET RATE
Local Agency Investment Fund (Unrestricted)	*	Liquid Cash	1.944%	29,104,215
County Pool (Restricted)	**	Liquid Cash	1.905%	1,000,000
County Pool (Unrestricted)	**	Liquid Cash	1.905%	997,378
Other (Unrestricted)		Liquid Cash	0.000%	16,680,336
Other (Restricted)	***	Liquid Cash	0.200%	21,475,844
			\$ 69,257,774	\$ 69,257,774

Accrued Earnings for July 2018	\$ 32,559.83
Cumulative Earnings FY2019	\$ 32,559.83

\* 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 July 2018, the total cost of the Total County County was \$4,583,181,535 and the fair market value per San Mateo County Treasurer's Office was \$4,567,657,628.

\*\*\* 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.

**AGENDA ITEM # 4 (d)**  
**SEPTEMBER 6, 2018**

**PENINSULA CORRIDOR JOINT POWERS BOARD  
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett  
Executive Director

FROM: Michelle Bouchard  
Chief Operating Officer, Rail

SUBJECT: **KEY CALTRAIN PERFORMANCE STATISTICS – JULY 2018**

**ACTION**

Staff Coordinating Council recommends that the Board receive the Performance Report for July 2018.

**SIGNIFICANCE**

Staff will provide monthly updates to Key Caltrain Performance Statistics, Caltrain Shuttle Ridership, Caltrain Promotions, Special Event Updates and Social Media Analytics.

**BUDGET IMPACT**

There is no budget impact.

**MONTHLY UPDATE**

In July 2018, Caltrain's average weekday ridership (AWR) increased 2.2 percent to 64,435 from July 2017 AWR of 63,074. The total number of passengers who rode Caltrain in July 2018 increased 3.6 percent to 1,673,035 from 1,615,566 in July 2017. This month ticket sales for One Way tickets (up 32.5 percent) and ED One Way tickets (up 22.2 percent) increased from July 2017. Ticket sales for Day Passes (down 5.1 percent), ED Day Passes (down 11.9 percent), Monthly Passes (down 3.0 percent) and ED Monthly Passes (down 7.1 percent) decreased from July 2017. The shift in fare product usage is due to elimination of the 8-ride ticket and recent Monthly Pass fare increase effective July 2018. The recent implementation of 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 2.6 percent (43,836 rides) of July 2018 rides and 3.5 percent of July 2018 Monthly Ticket Sales Revenue. The number of Eligible Go Pass Employees decreased 2 percent to 77,257 from 78,811 from July 2017. The number of participating Go Pass Companies increased to 128 from 124 from July 2017. Farebox Revenue increased 9.2 percent to \$8,954,455 from \$8,196,803 in July 2017.

On-time performance (OTP) for July 2018 was 90.5 percent compared to 95.8 percent OTP for July 2017. In July 2018 there were more minutes of delay (80 percent increase)

due major incidents (including 2 trespasser strikes resulting in fatalities), JPB's aggressive capital construction program (single tracking in multiple work segments), mechanical issues (triggered by the overhaul of locomotives impacting the State of Good Repair Program) and delays in on-board passengers. In July 2018 there were 1,144 minutes of delay due to mechanical issues compared to 603 minutes in July 2017.

Looking at customer service statistics, there were 8.6 complaints per 100,000 passengers in July 2018 which increased from 7.1 in July 2017.

Shuttle ridership for July 2018 is down 10 percent from July 2017. For the station shuttles, the Millbrae-Broadway shuttle averaged 167 daily riders. The Belmont-Hillsdale shuttle averaged 53 daily riders. The weekend Tamien-San Jose shuttle averaged 43 daily riders. When the Marguerite shuttle was removed, the impact to ridership was a decrease of 5.7 percent. Due to ongoing service issues with the Shuttle Partner contractor due to a staffing shortage, Shuttle routes continued to have DNOs (Did Not Operate trips). Staff management is continuing to work on resolving the issue.

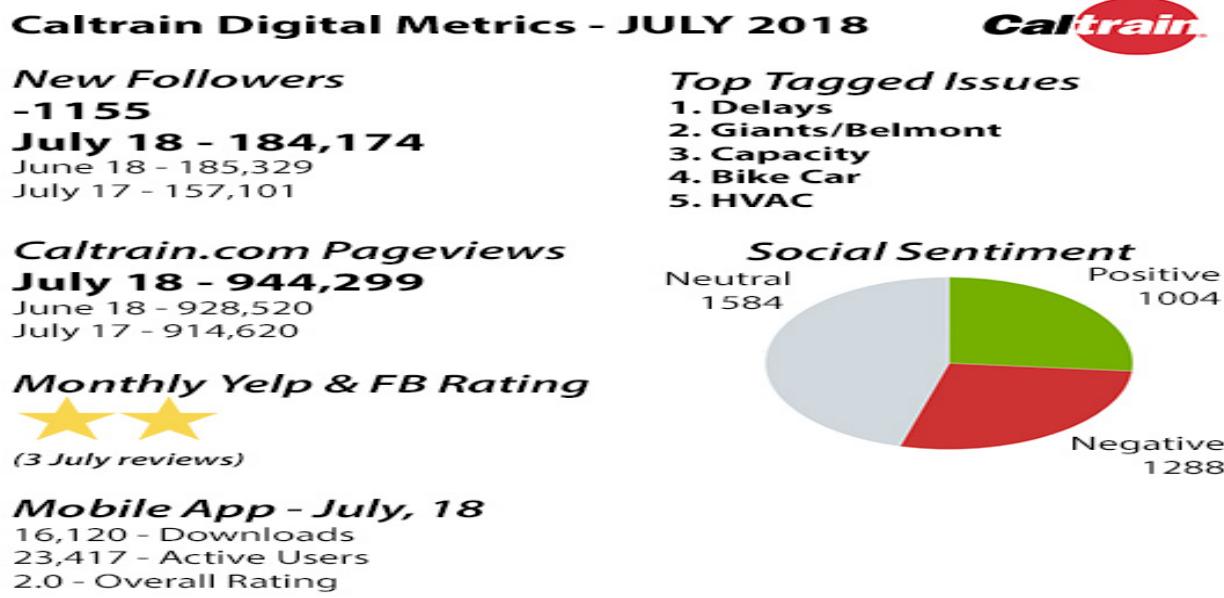
#### **Caltrain Promotions – July 2018:**

**Levi's Stadium Events – San Jose Earthquakes vs. Manchester United** – On July 22, the San Jose Earthquakes took on Manchester United in the international "friendly" match at Levi's Stadium in Santa Clara. The match was promoted through internal communications channels including news releases/blog posts and organic social. Information was posted on the Caltrain website. Caltrain didn't run any special service but carried an additional 950 riders to and from the Mountain View station.

**Gilroy Garlic Festival** – Chartered by the Gilroy Garlic Festival organizers, Caltrain provided extra weekend train service to the annual Gilroy Garlic Festival on Saturday, July 28 and Sunday, July 29. Train tickets had to be purchased through the Garlic Festival website and service included one southbound and one northbound train each day. The event was heavily promoted through the Garlic Festival website as well as paid media. Caltrain assisted with promoting the service by organic social media and news release/Peninsula Moves Blog. Total Gilroy charter train ridership was 1,230, representing a one percent decrease compared to ridership in 2017. Caltrain staff was at the San Jose station to assist many first time users with ticket machines and provide information for the return trip. VTA provided shuttle service from the Gilroy station to the event and back later in the afternoon for the return trip to San Jose.

**Caltrain July 2018 Social Media Analytics** – In July, Caltrain social media messaged July 4<sup>th</sup> Service, Clipper tag on, Construction (Sunnyvale Station Rehabilitation Project, San Carlos Transit Center Project, San Mateo 25th Avenue Grade Separation Project and Grade Crossing Improvements), CAC Recruitment, Job openings, Fare Enforcement, Public Meeting on Electrification in Burlingame, Emergency training at the Bayshore Station and several major incidents. Caltrain also promoted Giants and San Jose Earthquakes service, Mobile App, plus Caltrain's unique content 'Humans of Caltrain' and 'This Week in Caltrain' video series.

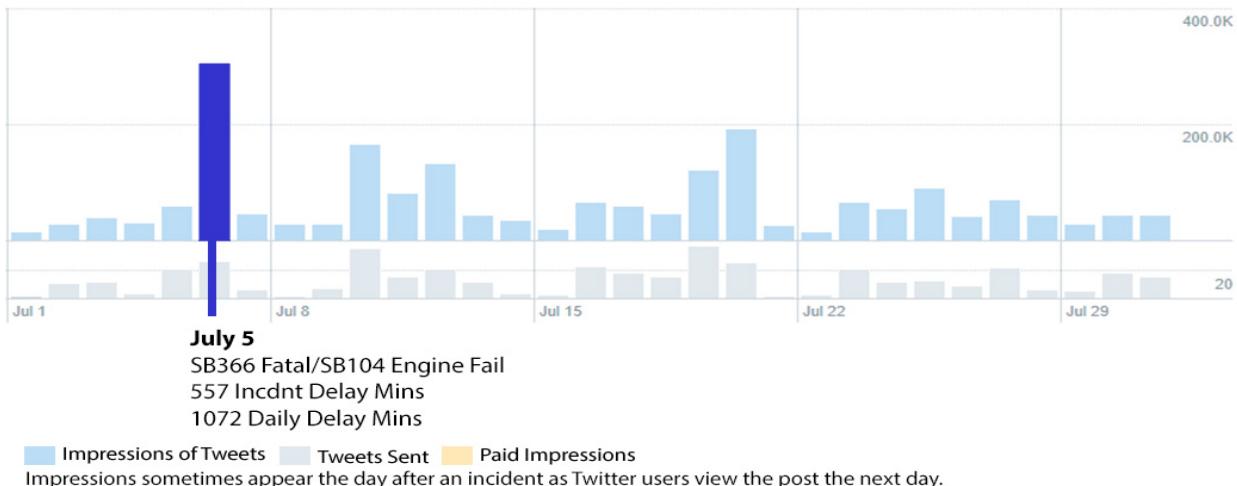
Caltrain lost almost 1,200 followers in July. This is a continuation of the "Bot Purge" by Twitter – an effort to eliminate automated accounts that make Twitter a miserable place.



## Social Media Impression Spikes July, 2018



Your Tweets earned **2.0M impressions** over this 31 day period



Prepared by: James Namba, Marketing Specialist  
Jeremy Lipps, Social Media Officer  
Patrice Givens, Data Specialist

650.508.7924  
650.622.7845  
650.508.6347

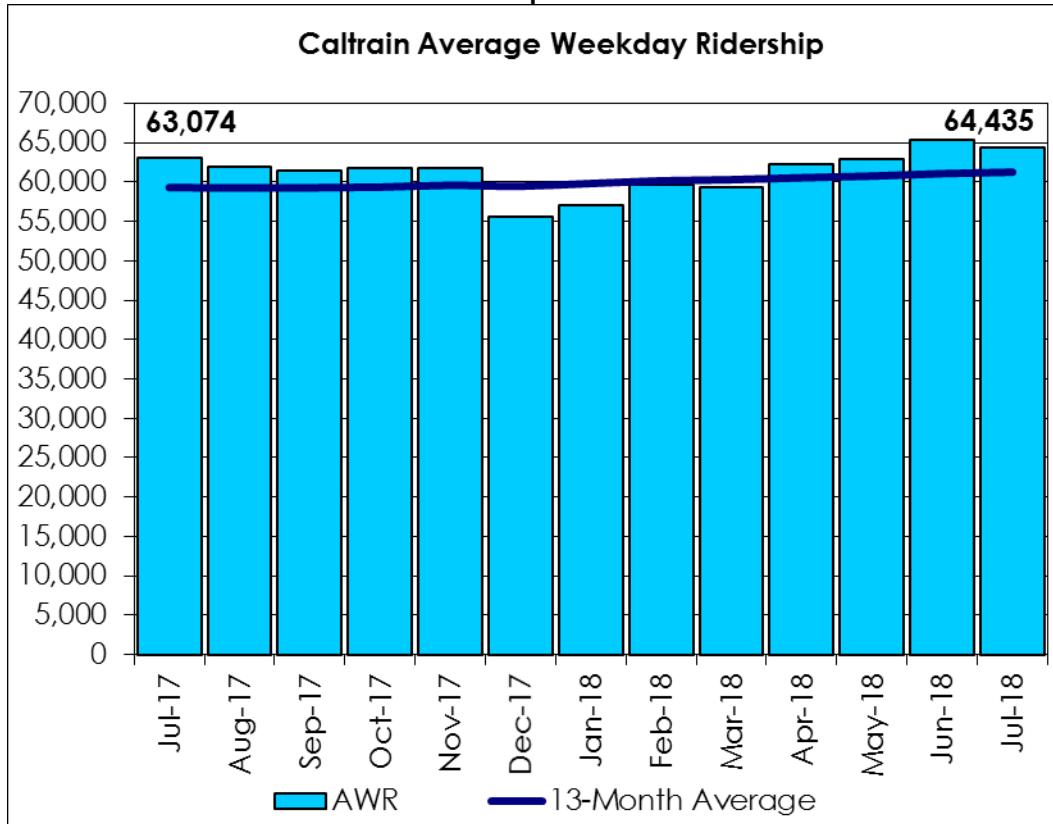
**Table A**

	<b>July 2018</b>	FY2018	FY2019	% Change
Total Ridership		1,615,566	1,673,035	3.6%
Average Weekday Ridership		63,074	64,435	2.2%
Total Farebox Revenue		\$8,196,803	\$8,954,455	9.2%
On-time Performance		95.8%	90.5%	-5.5%
Average Caltrain Shuttle Ridership		9,347	8,413	-10.0%

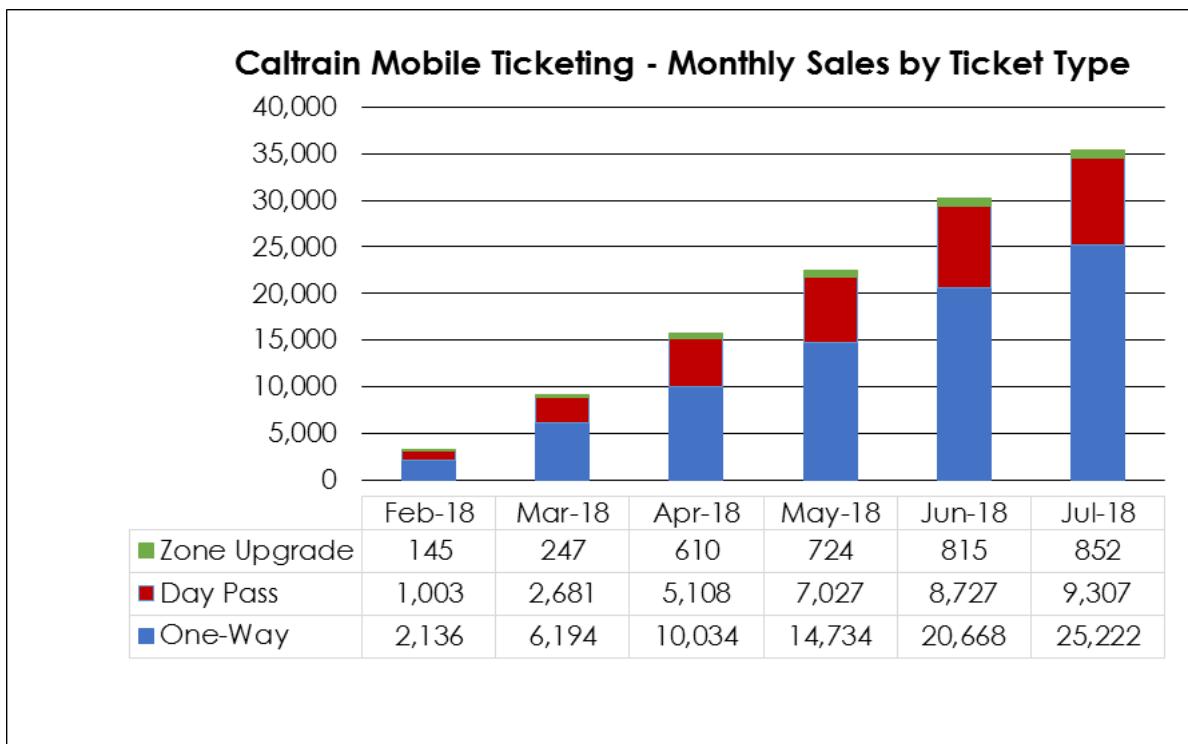
**Year to Date**

	<b>Year to Date</b>	FY2018	FY2019	% Change
Total Ridership		1,615,566	1,673,035	3.6%
Average Weekday Ridership		63,074	64,435	2.2%
Total Farebox Revenue		\$8,196,803	\$8,954,455	9.2%
On-time Performance		95.8%	90.5%	-5.5%
Average Caltrain Shuttle Ridership		9,347	8,413	-10.0%

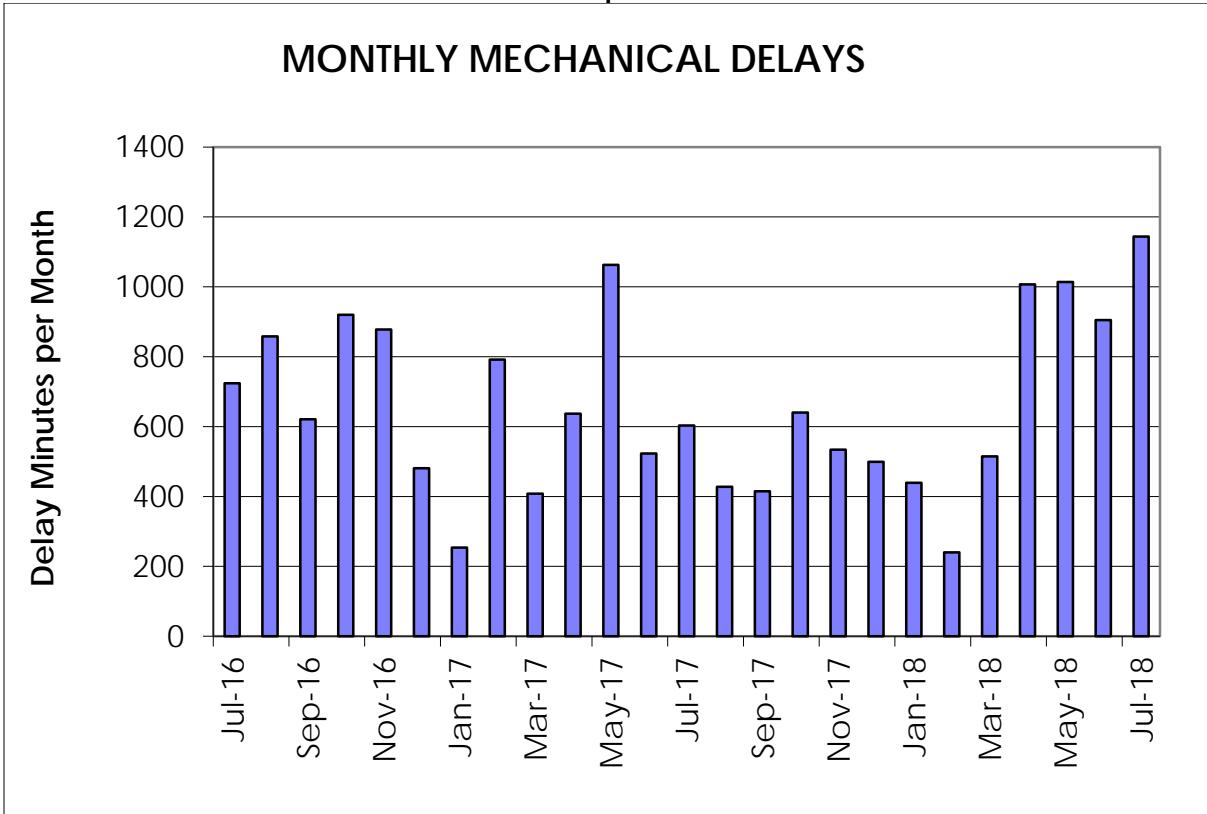
**Graph A**



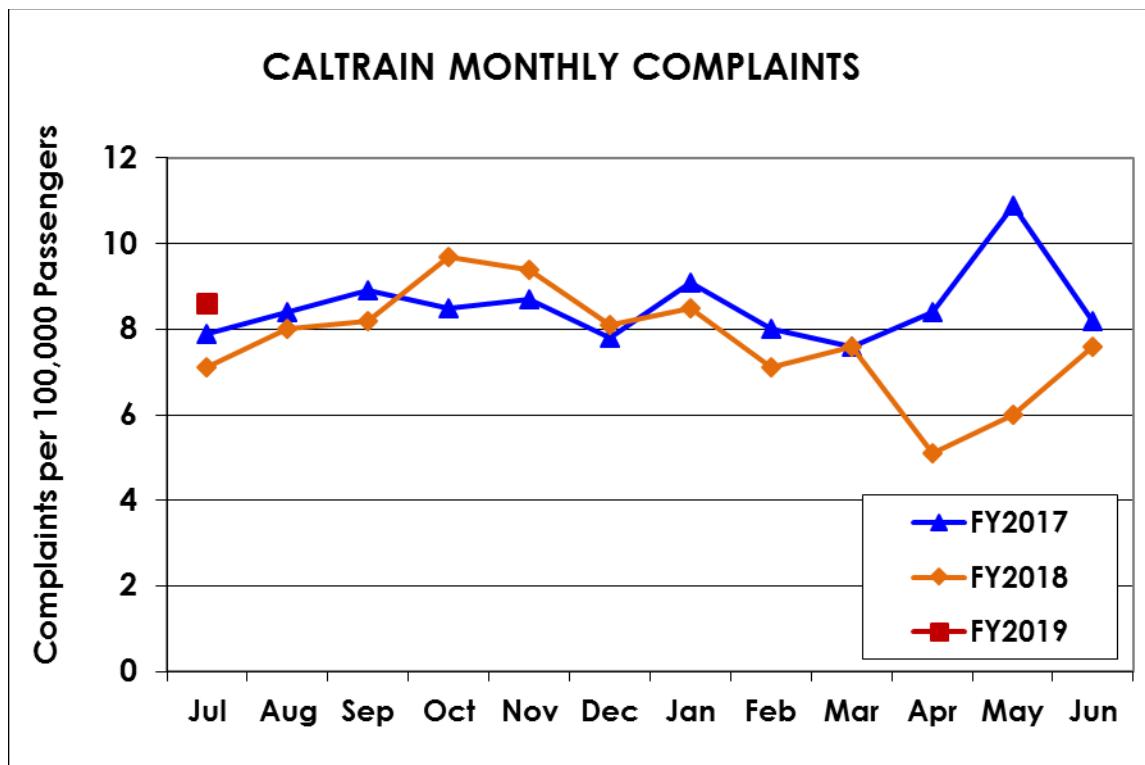
**Graph B**



Graph C



Graph D



## **AGENDA ITEM #4 (e) SEPTEMBER 6, 2018**

# PENINSULA CORRIDOR JOINT POWERS BOARD STAFF REPORT

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 2018 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

August 10, 2018

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 / Antwhi, Inc.

RE: **STATE LEGISLATIVE UPDATE – AUGUST 2018**

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The Legislature returned from its Summer Recess on August 6 and immediately plowed into action to deliberate on the bills still pending during this last month of session. In fact, the Senate Appropriations Committee met for over six hours hearing testimony on approximately 500 bills the first day back from the summer break.

Both the Senate and Assembly Appropriations Committees will decide the fate of several hundred bills on August 16 and then each house will have marathon sessions and likely vote out more than one-thousand bills before the August 31 adjournment deadline. The Governor will then have until September 30 to sign or veto all that is before him.

## **Legislation**

### **SB 2034 (Kalra) – Human Trafficking**

This bill would require the operator of an intercity passenger rail, light rail, or bus station to train its employees to recognize signs of human trafficking and how to report to authorities. The training required by this bill would need to be completed by January 1, 2021. However, the requirements in the bill are not applicable to any operator that already had a human trafficking awareness program in place prior to January 1, 2019.

Caltrain is supporting AB 2034. It is one of several hundred bills that will be voted on August 16 in the Assembly Appropriations Committee. We expect the bill to pass and go to the Governor.

### **AB 1912 (Rodriguez) – Retirement Liability for Members of Joint Powers Agencies**

As originally introduced, this bill would have held current and former member agencies of a Joint Powers Agency (JPA) jointly and severally liable for retirement obligations of employees of the JPA or a dissolved JPA.

Due to intense opposition from cities, counties, and special districts, the author has agreed to amend the bill to remove the joint and several liability provisions and to instead impose proportional liability among agencies only in instances where the JPA

August Legislative Update  
August 10, 2018  
Page Two

terminates its retirement contract with a retirement system. The bill will be voted on August 16 in the Senate Appropriations Committee and we expect the bill to pass the committee and both houses of the Legislature and go to the Governor.

While it is a JPA, the Peninsula Corridor Joint Powers Board is not the employer of Caltrain employees and therefore the provisions of this bill should not be of concern.

**Proposition 6 – Caltrain Opposed**

Proposition 6 is the referendum to repeal the gas tax and fee increases in SB 1. This initiative, if passed, would jeopardize \$165 million in planned SB 1 funding for Caltrain electrification, station improvements, and grade crossings. For that reason, if passed the Peninsula Corridor Joint Powers Board has formally opposed Proposition 6.

In doing so, Caltrain is part of a larger group of opponents comprised of business, local government, labor, and transportation professionals. There is an organized political campaign committee called the *No on Proposition 6: Stop the Attack on Bridge and Road Safety Committee* that will campaign against the initiative. We expect the campaign on Proposition 6 to be one of the more dominant issues of the November election ballot.

# Holland & Knight

800 17<sup>th</sup> Street, N.W., Suite 1100 | Washington, DC 20006 | T 202.955.3000 | F 202.955.5564  
Holland & Knight LLP | [www.hklaw.com](http://www.hklaw.com)

## Caltrain Federal Update September 2018

### APPROPRIATIONS

Congress continues to work quickly to pass FY 2019 appropriations spending bills prior to the end of the fiscal year on September 30, with the goal of avoiding a government shutdown. Senate Majority Leader Mitch McConnell (R-KY) and House Speaker Paul Ryan (R-WI) are coordinating efforts to package some bills into smaller packages or “minibuses” to move bills more quickly. Both chambers have respectively passed their first minibus package of three appropriations bills: the Energy-Water, Military Construction-Veterans Affairs (VA), and Legislative Branch spending measures. Prior to adjourning for the August recess, the House passed its second minibus, which includes the FY 2019 Interior-Environment and Financial Services spending bills. On August 1, the Senate passed its second minibus appropriations package, funding Transportation-Housing and Urban Development (THUD), Agriculture, Interior, and Financial Services appropriations. Transportation amendments to the minibus passed by the Senate include:

- Senator Blumenthal (D-CT) #3677: Sets aside \$500,000 of the Amtrak Northeast Corridor and Amtrak National Network funding to pay for fare discounts of at least 15 percent to veterans – *Agreed to by voice vote on July 31, 2018.*
- Senator Coons (D-DE) #3666: Amends the deadline for expenditure of FY 2012 TIGER grants for passenger rail projects to September 30, 2019 and the deadline for expenditure of FY 2013 TIGER grants for port infrastructure projects to September 30, 2020, with an offsetting reduction of \$52 million in the FY 2019 federal-aid highways obligation limitation – *Agreed to by voice vote on July 31, 2018.*
- Senator Cornyn (R-TX) #3670: Prevents any FY 2019 Federal Transit Administration (FTA) formula funding or bus and bus facility grants from being used to purchase rolling stock from a manufacturer that is owned or subsidized by China – *Agreed to by voice vote on July 31, 2018.*
- Senator Durbin (D-IL) #3422: Requires the Amtrak Inspector General, within 240 days of enactment of the bill, to update its March 28, 2008 report entitled “Results of Amtrak’s Poor On-Time Performance” – *Agreed to on July 24, 2018 by a roll call vote of 99-0.*
- Senator Fischer (R-NE) #3492: Requires Federal Motor Carrier Safety Administration (FMCSA) to ensure the safe and timely completion of the sleeper berth pilot program – *Agreed to by voice vote on July 31, 2018.*
- Senator Fischer (R-NE) #3669: Prohibits any funds from being used to enforce FMCSA’s electronic logging device rule during FY 2019 on vehicles hauling livestock or insects – *Agreed to by voice vote on July 31, 2018.*

- Senator Heller (R-NV) #3428: Directs DOT to report to Congress on efforts by DOT “to engage with local communities, metropolitan planning organizations, and regional transportation commissions on advancing data and intelligent transportation systems technologies and other smart cities solutions” – *Agreed to by voice vote on July 31, 2018.*
- Senator Inhofe (R-OK) #3480: Requires DOT to consult with the Army Corps of Engineers to “identify any existing authorities and any additional authorities that may be needed to leverage funds from Department of Transportation programs for purposes of inland waterway project costs” – *Agreed to by voice vote on July 31, 2018.*
- Senator Johnson (R-WI) #3436: Requires the FAA to report to Congress on the implementation of NextGen at commercial service airports in the U.S. – *Agreed to by voice vote on July 31, 2018.*
- Senator McConnell (R-KY) #3645: Provides a truck weight waiver for certain roads in Kentucky for FY 2019 – *Agreed to by voice vote on July 31, 2018.*
- Senator Moran (R-KS) #3665: Sets aside \$50 million of the Amtrak appropriation for “capital expenses related to safety improvements, maintenance, and the non-Federal match for discretionary Federal grant programs to enable continued passenger rail operations on long-distance routes (as defined in section 24102 of title 49, United States Code) on which Amtrak is the sole tenant of the host railroad and positive train control systems are not required by law” and also prohibits Amtrak in FY 2019 from discontinuing any Southwest Chief service – *Agreed to by voice vote on July 31, 2018.*
- Senator Reed (D-RI) #3608: Prevents any funding in the bill from being used for the “implementation and furtherance of new policies” outlined in the FTA’s June 29, 2018 “Dear Colleague” letter on the Capital Investment Grants program – *Agreed to by voice vote on July 31, 2018.*
- Senator Udall (R-NM) #3414: Expresses the sense of Congress that long-distance passenger rail networks should be sustained to ensure connectivity throughout the National Network – *Agreed to by a roll call vote of 95-4 on July 25, 2018.*
- Senator Warner (R-VA) #3679: Sets aside up to \$6 million of Federal Aviation Administration (FAA) Operations funding for commercial entities looking to validate technology for safe UAS integration into the NAS and requires the FAA, within 60 days of enactment, to identify essential integration technologies that could be demonstrated or validated at test sites – *Agreed to by voice vote on July 31, 2018.*

The House of Representatives has not yet considered its Transportation-HUD bill due to lack of support for the bill from Democrats. The Senate has avoided partisan battles by not including several “poison pill” policy riders that are included in the House bills, such as rolling back environmental regulations. Right now, the Transportation-HUD Appropriations staff are pre-conferencing on the bill.

Nevertheless, despite the swift progress on appropriations, one of the most controversial items continues to be funding for the border wall. The House Department of Homeland Security appropriations bill includes \$5 billion for new construction for a border wall. The Senate bill provides \$1.6 billion in funding and only allows for the money to be used for reinforcing existing barriers. Over the past several weeks, President Trump has begun to call for a government shutdown if additional funding is not provided for the wall. Leader McConnell and House Speaker Ryan have presented Trump with a plan to move several piecemeal spending bills ahead

of the September 30 deadline to fund most governmental functions, but to postpone a vote on the Department of Homeland Security's budget, and a potential fight over the wall, until after the midterm elections. It is uncertain at this time whether the President will go along with the plan. Complicating matters further is that much of September is expected to be consumed with confirmation hearings for the President's Supreme Court nominee Brett Kavanaugh leaving little floor time to deal with complicated bill conferencing efforts and making the appropriations landscape unpredictable.

## ADMINISTRATION

**FTA Finalized Transit Safety Rules:** On July 19, the Federal Transit Administration (FTA) finalized two safety regulations that govern all transportation agencies that receive federal funding: the Public Transportation Agency Safety Plan rule and the Safety Certification Training Program rule.

The Public Transportation Agency Safety Plan rule requires transit agencies to incorporate Safety Management System (SMS) policies and procedures as they develop safety plans to better manage their safety risks. Since no two transit systems are alike, the rule sets scalable and flexible requirements for safety plans.

The requirements of the Public Transportation Safety Training Certification Program rule establish a basic training curriculum to enhance the technical competencies and capabilities of individuals responsible for the safety oversight of rail transit systems.

In 2012 and again in 2015, Congress granted FTA significant new safety authorities that expanded FTA's role from being primarily a grant-making agency to functioning as a safety oversight regulatory body. With these actions, FTA has completed the regulatory framework for the National Public Transportation Safety Program as authorized by Congress.

## CONGRESS

**Shuster Introduces Infrastructure Bill:** On July 23, House Transportation and Infrastructure Committee Chairman Bill Shuster (R-PA) introduced his legislative proposal for surface transportation and water infrastructure. The Chairman is retiring at the end of this year so the bill will not be considered this year; however, it could serve as a marker for surface transportation reauthorization and water infrastructure legislation in the future. Highlights of the Shuster bill include:

- A package of motor fuel tax increases, and some new taxes on other highway and transit system users not currently taxed, that would raise at least \$284 billion in new gross revenues for the federal Highway Trust Fund over the next ten years, averting future Trust Fund defaults and allowing significant highway spending above baseline.
- A new blue-ribbon commission to recommend future long-term Highway Trust Fund solvency proposals that would get an automatic up or down vote in Congress with no amendments or filibusters.
- A one-year clean extension of the FAST Act to give Congress time for the blue-ribbon panel to report.

- Permanent statutory authorization for the grant program now known as BUILD and formerly known as TIGER.
- Project delivery reforms along the lines of those sought by the Trump Administration.

Senate Commerce Committee Passes Rail Crew Bills and STB Nominee: On August 1, the Senate Commerce, Science and Transportation Committee approved by voice vote a bill to establish a new port improvement grant program, a bill to criminalize attacks on interstate passenger rail crews, and a Surface Transportation Board (STB) nominee. The Passenger Rail Crew Protection Parity Act (S. 2861), sponsored by Senators Tammy Duckworth (D-IL) and John Hoeven (R-ND), would designate an attack on a train engineer, conductor, onboard personnel, or other employee responsible for travel safety as a federal offense.

The committee also approved, by voice vote, the nomination of Martin Oberman for the fifth seat on the STB. His appointment would fill former vice chair Daniel Elliott III's vacated Democratic seat through 2018 and then begin a new five-year term ending in 2023.

Senate Consideration of FAA Authorization Possible in Late August: The Senate recessed for 14 days without considering the FAA reauthorization bill, S. 1405. The Senate returns on August 15. Senate Commerce Committee staff and leadership are working on negotiations on amendments to the bill so the Senate could still consider the bill in late August. If they fail to pass the bill, Congress must pass a short term extension by September 30. Leadership is trying to figure out if the autonomous vehicle AV bill can be added to the FAA bill, and if any changes in unrelated tax law will be allowed to be offered to the tax title of the bill.

# Peninsula Corridor Joint Powers Board

## State Legislative Matrix as of 08/10/2018

Bill ID/Topic	Location	Summary	Position
<a href="#"><u>AB 1831</u></a> <b>Committee on Budget</b>  State government: appointments: infrastructure.	A. CHARTERED 6/27/2018-Approved by the Governor. Chtered by Secretary of State - Chapter 43, Statutes of 2018.	<p>Current law specifies the length of terms of appointive members of the Student Aid Commission, except student representatives, the governing body of the California Exposition and State Fair, and the High-Speed Rail Authority as 4 years, and appointive members of the Employment Training Panel as 2 years.</p> <p>This bill would delete the length of terms of the members appointed by the Speaker of the Assembly to the Student Aid Commission, the governing body of the California Exposition and State Fair, the High-Speed Rail Authority, and the Employment Training Panel, and would make conforming changes.</p> <p><b>Last Amended on 6/11/2018</b></p>	Supported July 2018 (via Board Chair)
<a href="#"><u>AB 1912</u></a> <b>Rodriguez D</b>  Public employees' retirement: joint powers agreements: liability.	S. APPR. SUSPENSE FILE 8/6/2018-In committee: Referred to APPR. suspense file.  <b>8/16/2018 Upon adjournment of Session - John L. Burton Hearing Room (4203) SENATE APPROPRIATIONS, PORTANTINO, Chair</b>	<p>The Joint Exercise of Powers Act generally authorizes 2 or more public agencies, by agreement, to jointly exercise any common power. Under the act, if an agency is not one or more of the parties to the agreement but is a public entity, commission, or board constituted pursuant to the agreement, the debts, liabilities, and obligations of the agency are the debts, liabilities, and obligations of the parties to the agreement, unless the agreement specifies otherwise.</p> <p>This bill would eliminate that authorization, and would specify that if an agency established by a joint powers agreement participates in, or contracts with, a public retirement system, member agencies, both current and former to the agreement, would be required, prior to a termination or a decision to dissolve or cease the operations of the agency, to mutually agree as to the apportionment of the agency's retirement obligations among themselves, provided that the agreement equals 100% of the retirement liability of the agency.</p> <p><b>Last Amended on 7/3/2018</b></p>	Watch
<a href="#"><u>AB 1969</u></a> <b>Salas D</b>  Transportation funds: transportation planning agencies: transit operators: fare revenue ratios: exemptions.	A. DEAD 5/11/2018-Failed Deadline pursuant to Rule 61(b)(6). (Last location was A. TRANS. on 3/19/2018)	<p>Current law sets forth alternative ways an transit operator may qualify for funding, including a standard under which the allocated moneys do not exceed 50% of the operator's total operating costs, as specified, or the maintenance by the operator of a specified ratio of fare revenues to operating costs. Current law generally establishes the required fare revenues to operating cost ratio as 20% in urbanized areas and 10% in nonurbanized areas.</p> <p>This bill would authorize a transportation planning agency to grant an exemption, for up to 5 years, to an operator that fails to maintain the applicable fare-revenue-to-cost ratio if, based on that agency's determination, an exemption is appropriate, as specified.</p> <p>The bill would require the agency to consider specified factors in determining whether to</p>	Watch

**Peninsula Corridor Joint Powers Board**  
**State Legislative Matrix as of 08/10/2018**

		grant the exemption.  <b>Last Amended on 4/18/2018</b>	
<a href="#"><b>AB 2034</b></a> <a href="#"><u>Kalra D</u></a>  Human trafficking: notice.	S. APPR. SUSPENSE FILE 8/6/2018-In committee: Referred to APPR. suspend file.  <b>8/16/2018 Upon adjournment of Session - John L. Burton Hearing Room (4203) SENATE APPROPRIATIONS, PORTANTINO, Chair</b>	Would require specified businesses or other establishments that operate an intercity passenger rail, light rail, or bus station, on or before January 1, 2021, to train new and existing employees who may interact with, or come into contact with, a victim of human trafficking or who are likely to receive, in the course of their employment, a report from another employee about suspected human trafficking, in recognizing the signs of human trafficking and how to report those signs to the appropriate law enforcement agency, as specified.  <b>Last Amended on 5/25/2018</b>	Watch
<a href="#"><b>AB 2065</b></a> <a href="#"><u>Ting D</u></a>  Local agencies: surplus land.	A. DEAD 5/25/2018-Failed Deadline pursuant to Rule 61(b)(8). (Last location was A. APPR. SUSPENSE FILE on 5/2/2018)	Current law prescribes requirements for the disposal of surplus land by a local agency. Current 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.  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.  <b>Last Amended on 4/16/2018</b>	Watch

# Peninsula Corridor Joint Powers Board

## State Legislative Matrix as of 08/10/2018

<u><a href="#">AB 2249</a></u> <u><a href="#">Cooley</a></u> D  Public contracts: local agencies: alternative procedure.	A. ENROLLED 8/9/2018-Enrolled and presented to the Governor at 11:30 a.m.	<p>The Uniform Public Construction Cost Accounting Act permits the governing body of a public agency, in the event all bids received for the performance of that public project are in excess of \$175,000, to award the contract at \$187,500 or less to the lowest responsible bidder if it determines the cost estimate of the public agency was reasonable.</p> <p>This bill would instead authorize public projects of \$60,000 or less to be performed by the employees of a public agency, authorize public projects of \$200,000 or less to be let to contract by informal procedures, and require public projects of more than \$200,000 to be let to contract by formal bidding procedures.</p> <p>Last Amended on 6/4/2018</p>	Supported May 2018
<u><a href="#">ACA 4</a></u> <u><a href="#">Aguiar-Curry</a></u> D  Local government financing: affordable housing and public infrastructure: voter approval.	A. L. GOV. 4/24/2017-Referred to Coms. on L. GOV. and APPR.	Local government financing: affordable housing and public infrastructure: voter approval.	Watch
<u><a href="#">ACA 5</a></u> <u><a href="#">Frazier</a></u> D  Motor vehicle fees and taxes: restriction on expenditures: appropriations limit.	A. CHARTERED 4/6/2017-Chartered by Secretary of State-Chapter 30, Statutes of 2017	Would add Article XIX to the California Constitution to require revenues derived from vehicle fees imposed under a specified chapter of the Vehicle License Fee Law to be used solely for transportation purposes, as defined. The measure would prohibit these revenues from being used for the payment of principal and interest on state transportation general obligation bonds that were authorized by the voters on or before November 8, 2016. The measure would prohibit the revenues from being used for the payment of principal and interest on state transportation general obligation bonds issued after that date unless the bond act submitted to the voters expressly authorizes that use.	Supported 2017
<u><a href="#">SB 502</a></u>	A. APPR. SUSPENSE FILE	This bill would require a public entity that operates, or contracts for the operation of, a	Watch

# Peninsula Corridor Joint Powers Board

## State Legislative Matrix as of 08/10/2018

<a href="#"><u>Portantino D</u></a>  An act to add Section 99175 to the Public Utilities Code, relating to transportation.	August 16 set for third hearing. Placed on suspense file.	<p>commuter rail system, by July 1, 2020, to ensure that each train has an AED as part of its safety equipment subject to specified requirements, except as specified, and to transmit confirmation of its compliance in writing to the Transportation Agency. The bill would exempt an affected public entity that acquires an AED for emergency care from liability for any civil damages resulting from any acts or omissions in the rendering of the emergency care by use of the AED if the public entity has complied with certain requirements</p> <p>In this bill, the Peninsula Corridor Joint Powers Board would be exempt and shall instead ensure that trainsets procured as part of the Caltrain Electrification Project are equipped with AEDs.</p> <p><b>Last Amended on 6/20/2018</b></p>	
<a href="#"><u>SB 827 Wiener D</u></a>  Planning and zoning: transit-rich housing bonus.	S. DEAD 4/27/2018-Failed Deadline pursuant to Rule 61(b)(5). (Last location was T. & H. on 4/9/2018)	Would require a local government to, if requested, grant a development proponent of a transit-rich housing project a transit-rich housing bonus if that development at the time of submittal meets specified planning standards, including complying with demolition permit requirements, complying with any local inclusionary housing ordinance or, if the local government has not adopted an inclusionary housing ordinance, agreeing to provide a specified percentage of awarded units as onsite affordable housing, preparing a relocation benefits and assistance plan, complying with any locally adopted objective zoning standards, complying with any locally adopted minimum unit mix requirements, and if the development includes specified types of parcels, agreeing to replace those units and to offer units at one of 2 specified affordable rates.	Watch
<a href="#"><u>SB 1119 Beall D</u></a>  Low Carbon Transit Operations Program.	A. APPR. SUSPENSE FILE 8/8/2018-August 8 set for first hearing. Placed on suspense file.  <b>8/16/2018 Upon adjournment of Session - State Capitol, Room 4202 ASSEMBLY APPROPRIATIONS, GONZALEZ FLETCHER, Chair</b>	<p>Current law requires, for recipient transit agencies whose service areas include disadvantaged communities, as specified, that those recipient transit agencies expend at least 50% of the total moneys they received as part of the Low Carbon Transit Operations Program on projects or services that meet specified requirements and benefit those disadvantaged communities.</p> <p>This bill would waive the above requirement if the recipient transit agencies expend the funding provided on certain transit activities.</p> <p><b>Last Amended on 8/6/2018</b></p>	Supported April 2018
<a href="#"><u>SCA 6 Wiener D</u></a>  Local transportation measures:	S. APPR. SUSPENSE FILE 5/25/2017-May 25 hearing: Held in committee and under submission.	Would require that the imposition, extension, or increase by a local government of a special tax as may otherwise be authorized by law, whether a sales or transactions and use tax, parcel tax, or other tax for the purpose of providing funding for transportation purposes be submitted to the electorate by ordinance and approved by 55% of the voters voting on the proposition. The measure would authorize an ordinance submitted to the voters for approval under these provisions to provide, as otherwise authorized by	Supported Feb. 2018

**Peninsula Corridor Joint Powers Board**  
**State Legislative Matrix as of 08/10/2018**

special taxes: voter approval.		law, for the issuance of bonds payable from the revenues from the special tax.  <b>Last Amended on 5/1/2017</b>	
<b>Ballot Measures</b>			
<b><a href="#">Proposition 6</a></b>	Qualified for placement on the November 6, 2018 statewide ballot through the initiative process.	If approved by a majority of statewide voters, this measure would repeal SB 1, also known as the Road Repair and Accountability Act of 2017, which enacted an estimated \$5.2 billion annual increase in transportation-related taxes and fees, including a \$0.12 cents per gallon increase of the gasoline excise tax, a \$0.20 cents per gallon increase of the diesel excise tax, a 4 percentage points increase of the diesel sales tax, an annual \$25 to \$100 Transportation Improvement Fee, and an annual \$100 zero-emission vehicles fee.	Opposed August 2018
<b><a href="#">Proposition 69</a></b>  <b>Transportation Taxes &amp; Fees</b>	Placed on  June 5, 2018 statewide ballot by the State Legislature through the enactment of ACA 5 (Frazier), Chapter 30, Statutes of 2017	Proposition 69, was placed on the ballot by the State Legislature as part of a legislative package that included SB 1. SB 1, which was also known as the Road Repair and Accountability Act of 2017 enacted an estimated \$5.2 billion annual increase in transportation-related taxes and fees, including a \$0.12 cents per gallon increase of the gasoline excise tax, a \$0.20 cents per gallon increase of the diesel excise tax, a 4 percentage points increase of the diesel sales tax, an annual \$25 to \$100 Transportation Improvement Fee, and an annual \$100 zero-emission vehicles fee. The state constitution already prohibits the diversion of gasoline or diesel excise tax revenues for general	Supported April 2018

**Peninsula Corridor Joint Powers Board**  
**State Legislative Matrix as of 08/10/2018**

<b>Lockbox</b>	Approved by 80% of all statewide voters.	non-transportation purposes.  The main feature of Proposition 69 is that it also protects proceeds derived from the Transportation Improvement Fee (\$1.6 billion in vehicle registration fees, which funds competitive programs) and the sales tax on diesel, which funds the Public Transportation Account. The zero-emission fee is left unprotected.	
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**Total Measures: 14**

**Total Tracking Forms: 14**

**AGENDA ITEM #4 (f)  
SEPTEMBER 6, 2018**

**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 – MONTHLY UPDATE COVERING AUGUST 2018**

**ACTION**

Staff Coordinating Council recommends the Board of Directors (Board) receive the attached memo and PowerPoint presentation providing an update on Caltrain Business Plan activities and progress during August of 2018.

**SIGNIFICANCE**

Peninsula Corridor Joint Powers Board (JPB) staff has prepared the attached memo and PowerPoint presentation describing project activities and outreach related to the Caltrain Business Plan that occurred during August of 2018. The memo also provides a narrative overview of the supporting PowerPoint presentation.

Staff is providing the JPB with written monthly memos and presentation materials related to the Business Plan on a monthly basis. These written updates will periodically be supplemented by a full presentation to the Board. Project staff will be available at all JPB meetings to answer questions and provide additional project information as requested.

**BUDGET IMPACT**

There is no budget impact associated with receiving this memo.

**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. 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 2019.

Prepared by: Sebastian Petty, Senior Policy Advisor

650.622.7831

# PROJECT UPDATE

The following is the second in a series of monthly project updates for the Caltrain Business Plan. These updates provide a high level summary of project activities and progress and are paired with an annotated presentation that reflects project materials and messaging shared with stakeholder groups during the subject month. The following “August” update covers work completed in late July and August of 2018.

## ONGOING TECHNICAL WORK

The Caltrain Business Plan consulting team is continuing technical work on the Business Plan. Key areas of focus for the team during August have included:

- Detailed specification, data gathering and development of technical modeling tools and approaches that will be used to support the development of a 2040 service vision and accompanying business case. Key areas of focus include the development of service and operational planning tools, the specification of a ridership demand model, and the development of an integrated business modeling tool
- Ongoing interviews and research related to the organizational assessment
- Data gathering and preparation of initial factsheets and outreach approaches to support the community interface assessment

## MEETINGS AND OUTREACH

The Project Partner Committee (PPC) held its second meeting on July 31<sup>st</sup> and provided initial input and feedback on the attached presentation materials covering the month of August.

The enclosed “August” outreach materials have also gone to the following additional stakeholder groups during August:

- JPB Ad Hoc Committee (August 13)
- City/County/Staff Coordinating Group (August 15)
- Local Policy Makers Group (August 23)

In addition to the above meetings, Caltrain staff also presented more general information about the Business Plan process to the following groups during the month of August;

- Caltrain Citizen Advisory Group (received a presentation on August 15 and will receive future monthly written updates and presentations on the same schedule as the JPB)
- The California High Speed Rail Authority’s San Jose Citizen Working Group (August 16)

In addition to these presentations, the team continues to work on the refinement and finalization of outreach plans including the development of initial collateral and dedicated website design. The team is also preparing for an expanded round of outreach and meetings anticipated to occur in the September through October timeframe.

## AUGUST OUTREACH MATERIALS

As referenced above, the Business Plan team has developed the attached “August” slide deck to support stakeholder outreach activities in August. This deck was presented to the PPC in draft on their July 31<sup>st</sup> meeting and was subsequently refined for presentation to the Ad Hoc Committee, CSCG and LPMG in August.

## NEXT STEPS

The first six months of the Business Plan are focused on the development of a long-range service vision for the railroad accompanied by an assessment of the community-corridor interface and the Caltrain organization. The following six months will be focused on the creation of the implementation plan, including a detailed business plan and funding approach.

The Business Plan team will continue to provide monthly updates throughout the Business Plan process similar to this one. This regular cycle of materials will be paired with more extensive, milestone-based outreach to an expanded group of stakeholders and the public. The first wave of expanded outreach will begin in late September.

The September project update and stakeholder meetings will cover the following topics (subject to refinement and change):

- Focus on travel market assessment and service goals
- Discussion of Caltrain's economic impacts and influence
- Description of the integrated business modeling process
- Project schedule and milestones

Slide 1



This presentation includes material about the Caltrain Business Plan developed for stakeholder outreach during the month of August, 2018. A similar set of materials will be developed by the team each month and will be presented at various stakeholder venues or as requested.

Slide 2



The theme of August's presentation is "**Looking Forward to a 2040 Vision.**" The first part of the presentation introduces key service concepts related to the development of a 2040 Service Vision. It describes the major assumptions that will underlie the development of a service vision, outlines some of the major service choices that must be addressed on the corridor, and explains the general methodology that will be used to address service planning within the Caltrain Business Plan. The second part of the presentation explores the concept of the "corridor-community interface" and explains how this framework for thinking about the corridor relates to the service vision. The presentation describes how the corridor-community interface will be addressed as part of the Business Plan.

Slide 3

# What is the Caltrain Business Plan?

**What** Addresses the future potential of the railroad over the next 20-30 years. It will assess the benefits, impacts, and costs of different service visions, building the case for investment and a plan for implementation.

**Why** Allows the community and stakeholders to engage in developing a more certain, achievable, financially feasible future for the railroad based on local, regional, and statewide needs.



Slide 4

## What Will the Business Plan Cover?

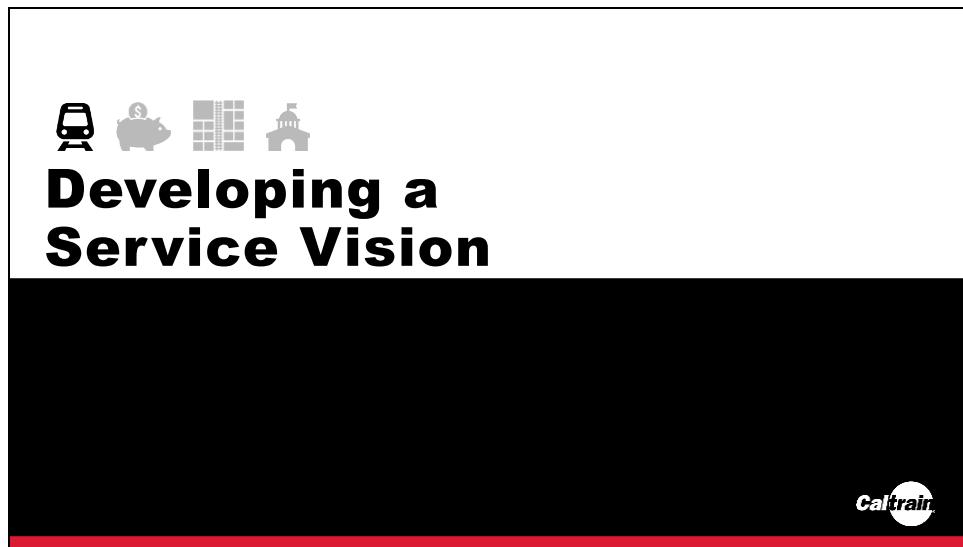
**Technical Tracks**

 <b>Service</b> <ul style="list-style-type: none"><li>• Number of trains</li><li>• Frequency of service</li><li>• Number of people riding the trains</li><li>• Infrastructure needs to support different service levels</li></ul>	 <b>Business Case</b> <ul style="list-style-type: none"><li>• Value from investments (past, present, and future)</li><li>• Infrastructure and operating costs</li><li>• Potential sources of revenue</li></ul>	 <b>Community Interface</b> <ul style="list-style-type: none"><li>• Benefits and impacts to surrounding communities</li><li>• Corridor management strategies and consensus building</li><li>• Equity considerations</li></ul>	 <b>Organization</b> <ul style="list-style-type: none"><li>• Organizational structure of Caltrain including governance and delivery approaches</li><li>• Funding mechanisms to support future service</li></ul>
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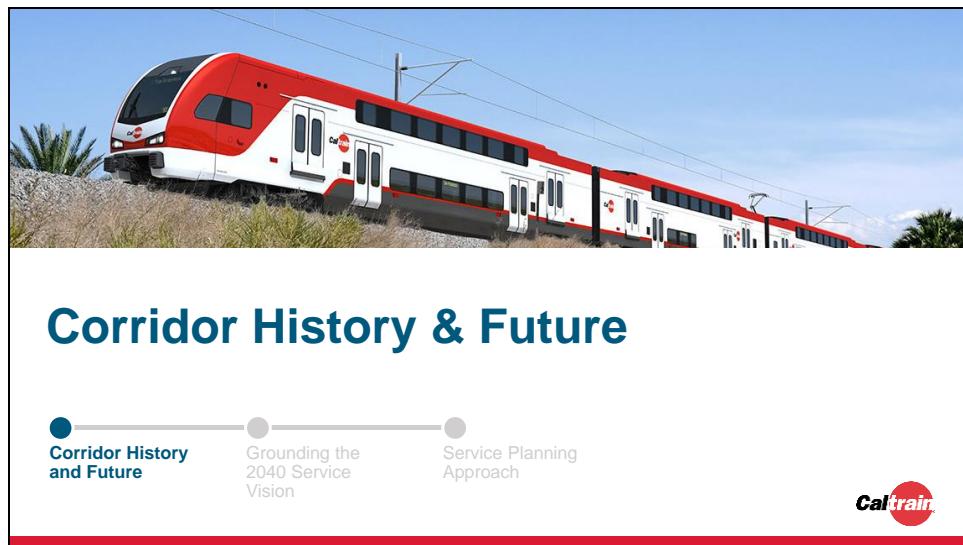
The Business Plan is a major effort that is supported by significant analytical work and stakeholder engagement. The technical work of the Business Plan is divided into four major “technical tracks.” This presentation is focused on the “service” and “community interface” tracks

Slide 5

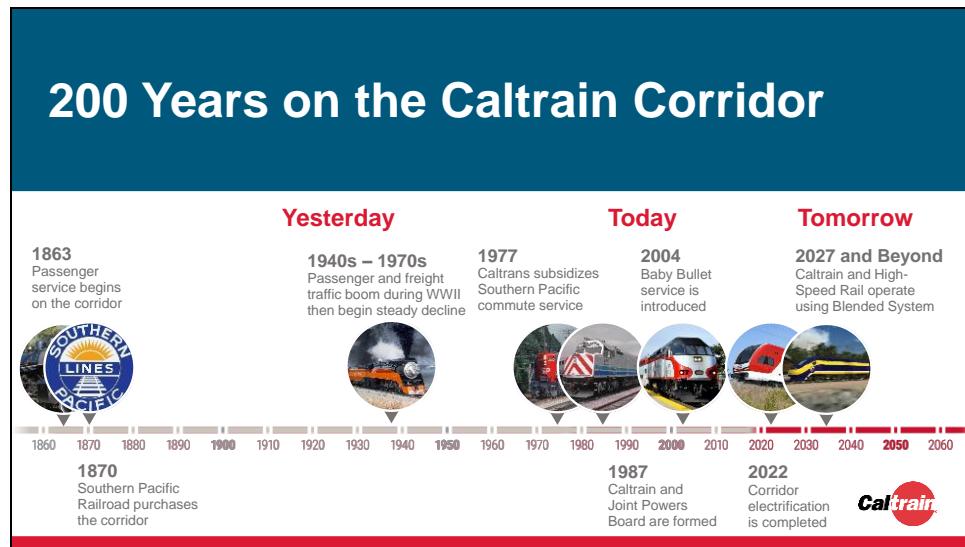


The following slides specifically focus on the “service” element of the Business Plan and begin the conversation about the assumptions and technical considerations involved in developing a long-range Service Vision for the railroad.

Slide 6

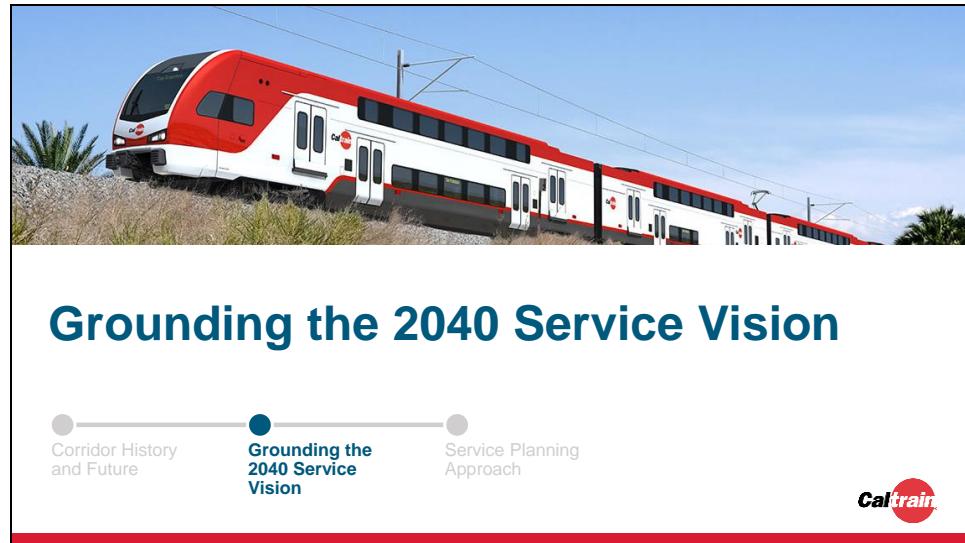


Slide 7



The Caltrain corridor is an infrastructure asset whose history and planned future span a more than 200 year period. The railroad has hosted passenger service since 1863 and has undergone many different changes and evolutions in ownership and service. The electrification of the railroad and the advent of blended operations with High Speed Rail are a new and significant chapter in the life of the corridor. The service that is coming will be very different than what operates on the corridor today.

Slide 8



Slide 9

# What is the Service Vision?

An Achievable End State for the Corridor in 2040

 <b>Train Service</b> <ul style="list-style-type: none"><li>• Frequencies</li><li>• Stopping patterns</li><li>• Service types</li><li>• Number of trains</li></ul>	 <b>Infrastructure Needs</b> <ul style="list-style-type: none"><li>• Fleet</li><li>• Systems</li><li>• Infrastructure</li><li>• Support facilities</li></ul>	 <b>Costs</b> <ul style="list-style-type: none"><li>• Operating</li><li>• Maintenance</li><li>• Capital</li></ul>	 <b>Outcomes</b> <ul style="list-style-type: none"><li>• Ridership</li><li>• Mobility benefits</li><li>• Revenues</li></ul>
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The 2040 Service Vision describes an achievable, complete “end state” for service on the Caltrain corridor. The “Vision” is not representative of a single project or program- it is a complete and cohesive description of how the Caltrain service will function in 2040. The Vision will include the details of the service, the investments required to support it, and a description of the costs and benefits associated with its implementation.

Developing a fully realized “vision” for how Caltrain service will operate in 2040 helps build certainty around the future of the railroad and provides Caltrain’s partners and stakeholders with the information they need to plan with the railroad in an integrated and collaborative way.

Slide 10

# Where do We Start?

The Service Vision Exists within an Established Framework

 <b>Existing Policy Decisions</b> <ul style="list-style-type: none"><li>• Commitment to a Blended System</li><li>• Primarily a 2-track corridor</li></ul>	 <b>Planned Projects</b> <ul style="list-style-type: none"><li>• Stations</li><li>• Connecting services</li><li>• Grade separations</li></ul>	 <b>Community Acceptability</b> <ul style="list-style-type: none"><li>• Tangible benefits</li><li>• Mitigated or acceptable impacts</li></ul>	 <b>Market Responsiveness</b> <ul style="list-style-type: none"><li>• Origins and destinations</li><li>• Capacity</li><li>• Travel times</li><li>• Coverage</li></ul>	 <b>Fiscal Reality</b> <ul style="list-style-type: none"><li>• Realistic scale</li><li>• Value for money</li></ul>
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**Caltrain**

The development of Caltrain's 2040 Service Vision doesn't start with a blank slate. The future service vision will build on existing policy commitments and will support the plans and projects of the railroad's partners. In particular this means planning for a future that includes fully electrified, blended operations with High Speed Rail on a primarily 2-track system.

The Service Vision must also respect the needs of the communities served by the railroad. It must deliver tangible benefits to the towns and cities it traverses while addressing or mitigating impacts. Finally, the vision must also be responsive to market conditions and fiscal reality – it must prescribe a course of action for the railroad that is achievable and represents a prudent use of public assets and funds.

Slide 11

# Building Blocks for a 2040 Service Vision

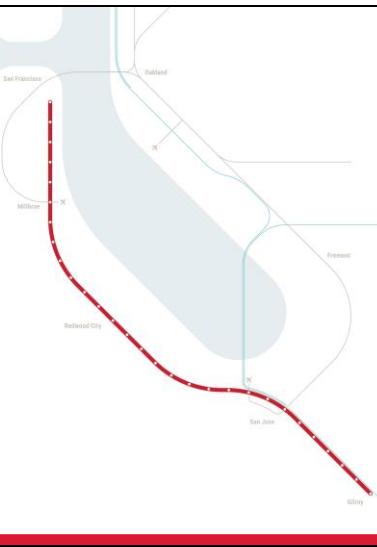
## Caltrain

**Assumptions**

- Fully electrified service between San Francisco and Tamien
- Additional electrified service from San Jose to Gilroy on a 2-track electrified system

**Explorations**

- Details of service, fleet and infrastructure



The following slides outline a baseline set of “building blocks” that begin to define what a 2040 Vision for the Caltrain corridor could include. The slides highlight a working set of broad assumptions and explorations that must be established early in the process to begin building and testing more detailed service plans.

“Assumed” projects will be taken as a given in any 2040 Service Vision developed for the corridor while projects for “Exploration” will also be incorporated in the service planning analysis so that the opportunities for their implementation along with the potential impacts and benefits to the overall Caltrain system can be more fully understood.

These “building blocks” are intended to set a functional, high level framework for what the railroad will look like in 2040. More detailed assumptions and explorations related to other connecting services, land uses and individual station projects or grade crossing improvements will also be considered within the Business Plan and will be discussed and documented as service planning progresses. Similarly, these slides are focused on what will be assumed and explored regarding the railroad’s “end state” in 2040. The details of how individual projects and services may be implemented and phased over time to achieve the 2040 vision will be analyzed through the Business Plan process.

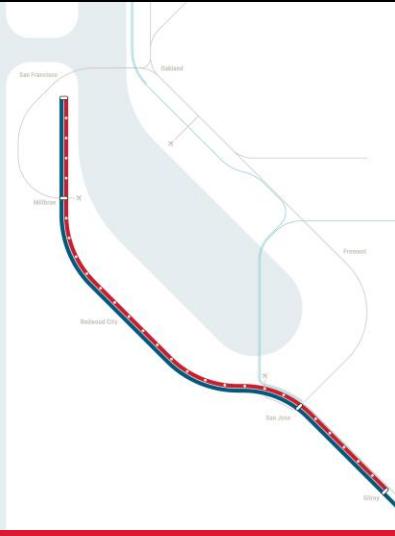
Slide 12

## Building Blocks for a 2040 Service Vision

### High Speed Rail

#### Assumptions

- Full HSR Service from Los Angeles to San Francisco (Phase 1)
- Related corridor and station upgrades consistent with a primarily 2-track Blended System (under study through HSR environmental)



Slide 13

## Building Blocks for a 2040 Service Vision

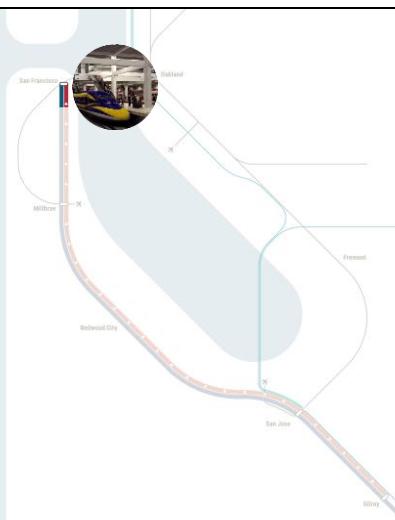
### North Terminal

#### Assumptions

- Caltrain/HSR Downtown Extension to Salesforce Transit Center

#### Explorations

- 4th/King/Townsend reconfiguration
- Pennsylvania Ave alignment
- Potential reconfiguration or relocation of storage and maintenance facilities
- Potential interface with new transbay crossing



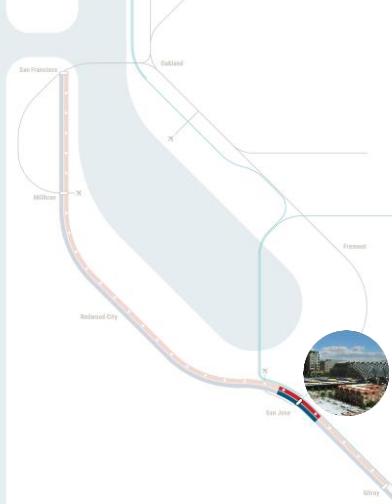
Slide 14

## Building Blocks for a 2040 Service Vision

### South Terminal

#### Explorations

- Reconstruction and reconfiguration of Diridon Station
- Additional potential modifications to surrounding rail facilities and potential relocation of CEMOF



Slide 15

## Building Blocks for a 2040 Service Vision

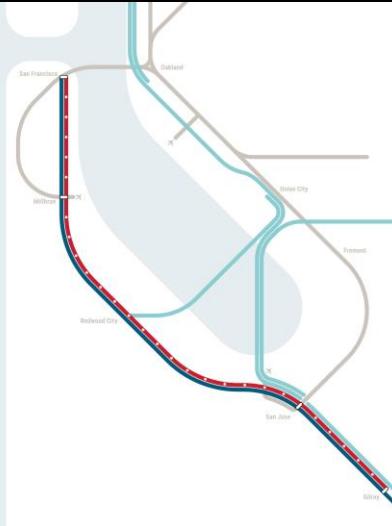
### Connecting Services

#### Assumptions

- BART to Diridon and Santa Clara
- Expansion of ACE and Capitol Corridor service
- Continued use of corridor by freight

#### Explorations

- Dumbarton Rail Service
- Monterey County Rail Service



Slide 16

SHARING SESSION

**Do the projects listed make sense as a starting point?**

**Are there other projects related to rail service that should be considered?**

Slide 17



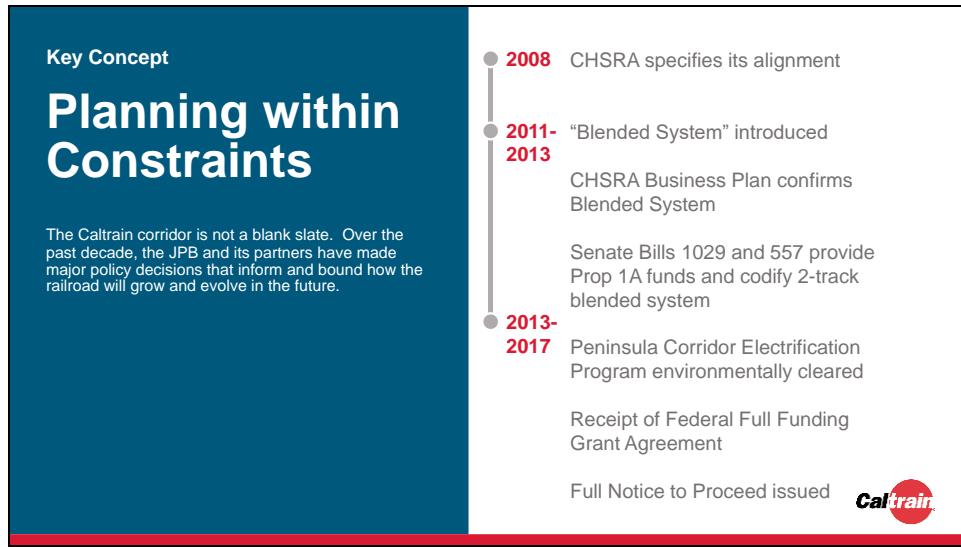
**Service Planning Approach**

Corridor History and Future      Grounding the 2040 Service Vision      Service Planning Approach

**Caltrain**

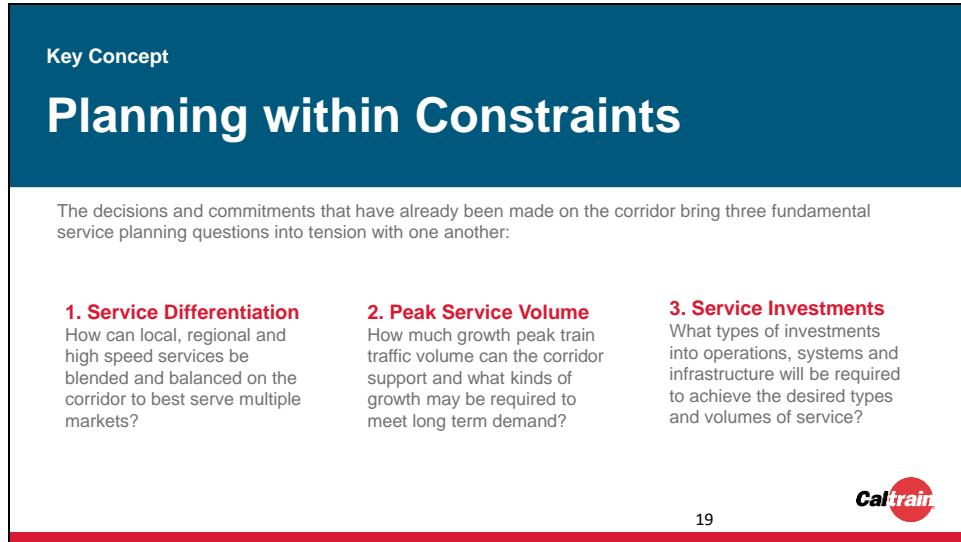
The following section of the presentation describes how service planning will be approached with a particular focus on explaining the key “supply-side” concepts and choices that need to be addressed on the Caltrain corridor. It is important that stakeholders interested in the future of Caltrain service understand these concepts and the inherent service trade-offs they inform.

Slide 18



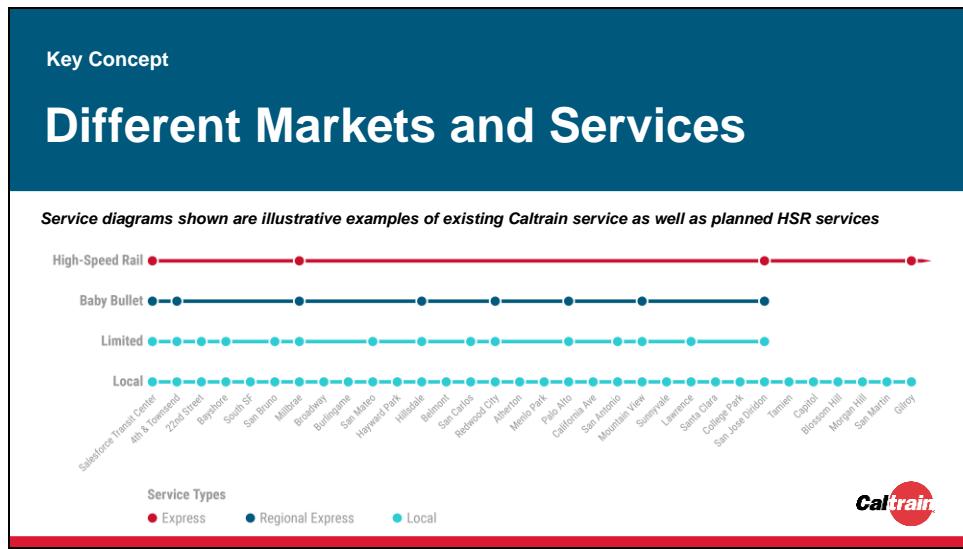
During the last 10 years, the JPB and its partners have made several key policy decisions regarding the future of the corridor. Specifically, the JPB has committed to operating an electrified Caltrain service on a primarily 2-track mainline corridor that will be shared with High Speed Rail.

Slide 19



The commitment to an electrified, 2-track blended system fundamentally shapes and structures how future rail service on the corridor can evolve. Specifically, the commitment raises three critical and interrelated questions that must be answered as a long range service plan for the corridor is developed.

Slide 20



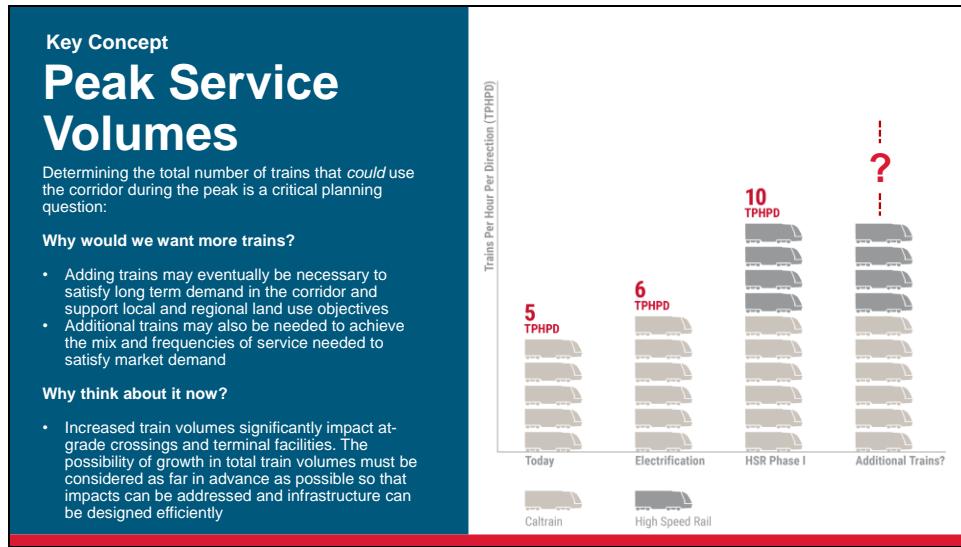
The Caltrain corridor accommodates different types of train services that serve different markets with distinct stopping patterns. Service differentiation allows the corridor to provide a range of travel options that effectively cater to multiple user types and market needs. However, service differentiation it also introduces an increased level of operational complexity and tradeoffs that must be addressed through the service planning process.

Today, Caltrain provides three “types” of services- shown in an illustrative format above;

- All-stop local trains that run during the off-peak and on the weekends and provide full coverage to the system
- Limited-stop local services that balance improved travel times with coverage goals to different origins and destinations. Today these limited-local services are operated as either skip-stop or zone-express type patterns. The former is illustrated in the above diagram.
- The “Baby Bullet” regional express service that runs during commute hours and prioritizes improved travel times between major origins and destinations.

In the future, Caltrain has committed to further differentiation of services as it shares the corridor with High Speed Rail- a true “express” service that will stop in San Francisco, Millbrae, San Jose and Gilroy.

Slide 21



Today Caltrain operates a maximum of 5 trains per peak hour per direction in the corridor. With electrification, Caltrain will add a 6th train during peak hours. High Speed Rail will operate 4 trains per peak hour per direction once it implements its full Phase 1 operations between San Francisco and LA. At that time there will be a total of 10 trains per hour per direction operating in the peak on the mainline corridor.

As the Business Plan looks to 2040 and beyond, there will be consideration of whether the corridor needs to plan for potential growth in peak hour train volumes above 10 trains per hour per direction. While such increased levels of train service would not be implemented for some time the possibility of future growth in peak train service levels will fundamentally structure how services and infrastructure on the corridor are planned.

In addition to peak service levels the Business Plan will also consider the critically important issue of improvements to off-peak and shoulder services (these issues will be discussed in detail in a subsequent presentation). Ultimately, however, it is peak service levels that are the key driver major infrastructure and equipment needs on the railroad as well as impacts to surrounding communities. The extent to which any growth in planned peak service volumes is desirable and can be accommodated is a fundamental issue that needs to be addressed in the 2040 service vision.

Slide 22

**Key Concept**

# Improving Service Requires Investment

There are many different ways to invest in a railroad.

Caltrain can improve its service by investing in improved operations, new systems and expanded infrastructure

Careful planning allows for investments to be made in a way that is cost effective and minimizes community impacts


**Operations**

- Increased service coordination and expanded operations to maximize the use of physical infrastructure

**Systems**

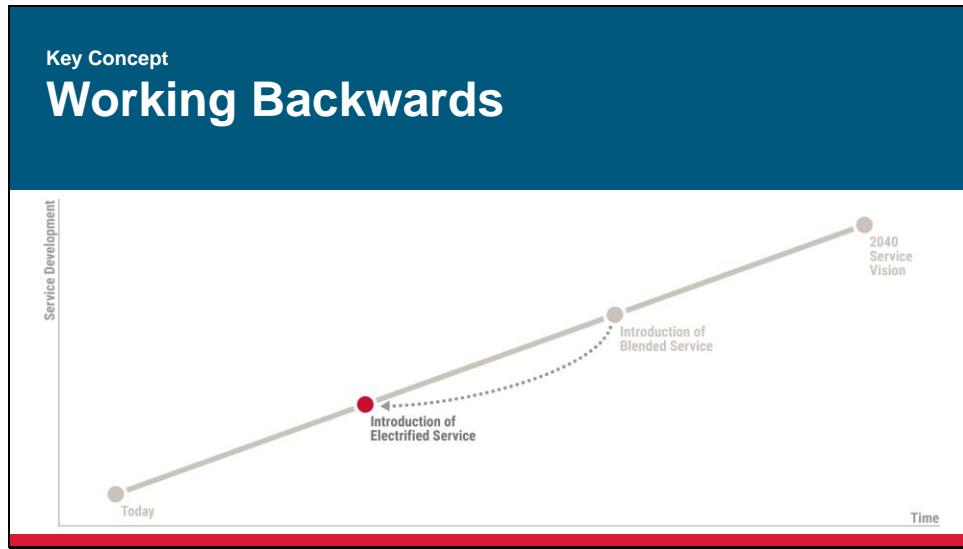
- Improved train performance
- Fleet expansion
- Improved train control and signaling

**Infrastructure**

- Track enhancement and expansion
- Station and terminal improvements
- Grade crossing investments

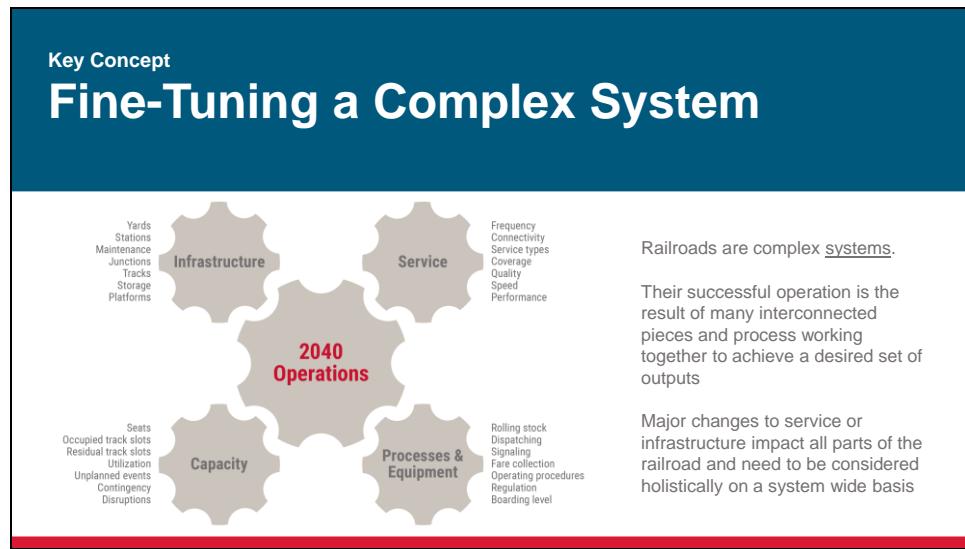
Improvements in service can be achieved through various combinations of investment. All of these investments require planning and resources and all have different costs, benefits and different implications for the communities served. A core task of the business plan will include analyzing how different investments can be combined to efficiently and effectively support improved services. The types and scale of investment that are feasible in the corridor, both from a financial and community-impact perspective will ultimately help determine what can be achieved within the 2040 Service Vision.

Slide 23



The Business Plan is initially focusing on a 2040 Service Vision in order to ensure that investments in the corridor are made as strategically and efficiently as possible. Once a 2040 vision has been set, the team can develop a phasing and implementation strategy that allows for incremental growth from today towards the vision. This will ensure that the corridor and its assets are used as efficiently as possible in a manner where services are continuously improved over time.

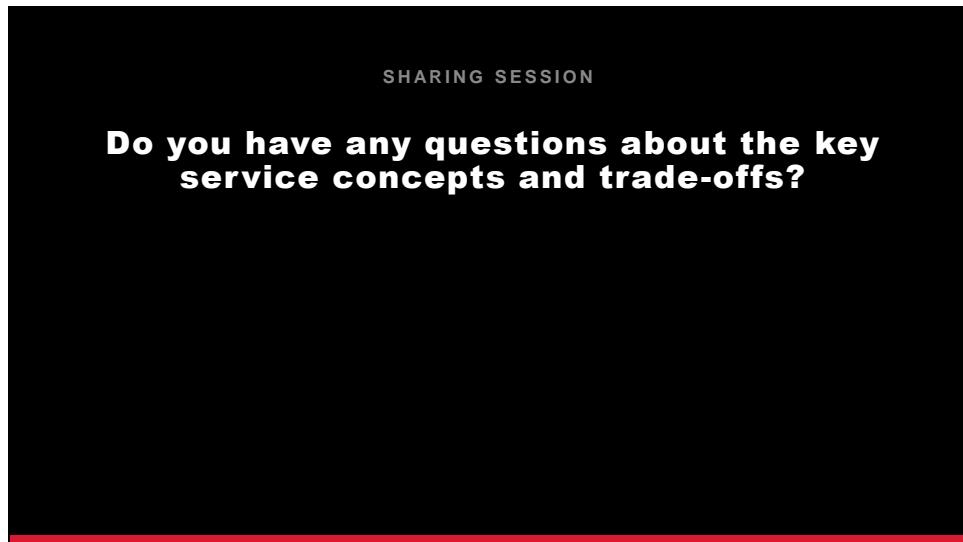
Slide 24



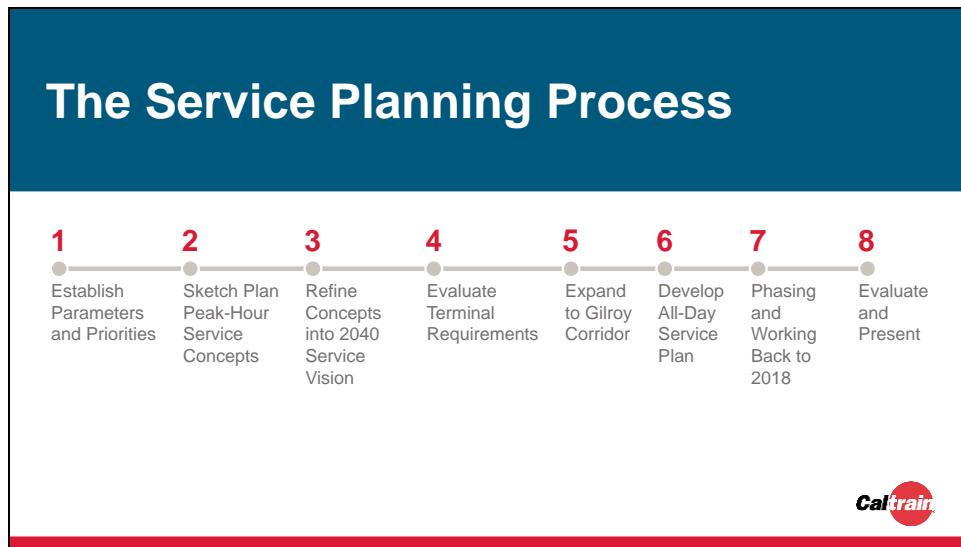
Railroads are complex systems and rail service planning involves considering interactions between many different variables. Trying to modify or plan for only one aspect of the railroad in isolation can lead to unintended consequences and impacts within the system as a whole.

The Business Plan process will evaluate service comprehensively- an approach that helps ensure full consideration of the many connected parts of the railroad and allows for overall system outcomes to be optimized

Slide 25



Slide 26



Slide 27



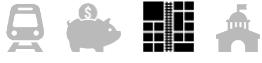
Slides 26 and 27 present a simplified walkthrough of the service planning methodology that will be used in the Business Plan to develop a 2040 Service Vision. This description outlines the series of steps that will allow the team to address the concepts and trade-offs described above in a systematic and deliberate manner.

Slide 28

SHARING SESSION

**What parts of the service planning process  
are you most interested in?**

Slide 29

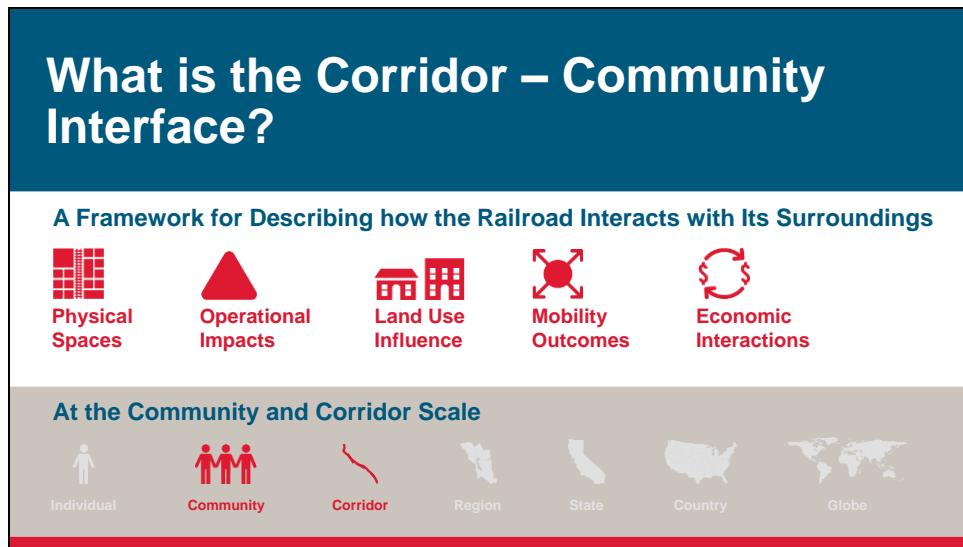


**Exploring the Corridor –  
Community Interface**



The second part of August's presentation focuses on introducing and exploring the concept of the "Community Interface." This effort supports the development of the Service Vision by specifically focusing on the interface between the rail corridor and the communities it serves while beginning the conversation about how to address the range of opportunities and challenges associated with an active rail corridor.

Slide 30



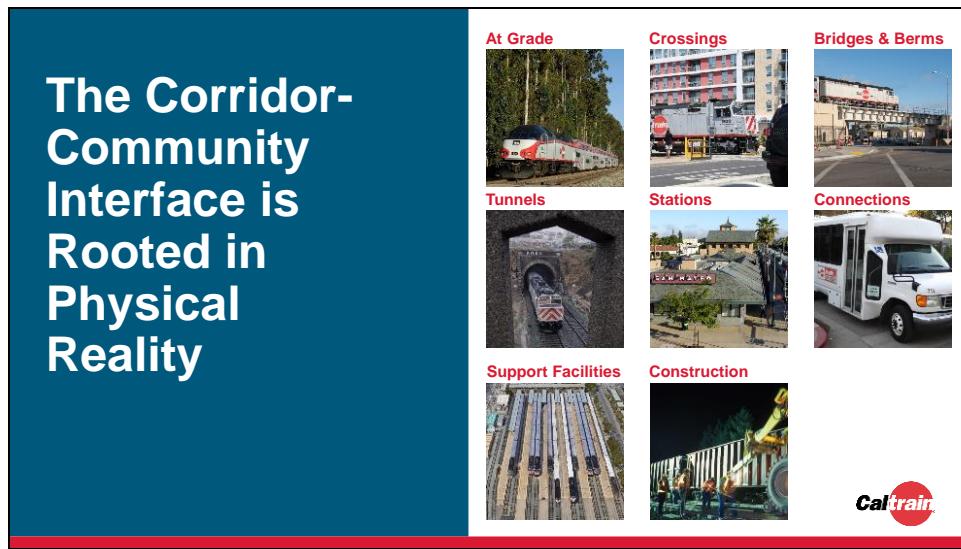
July's Business Plan update described how the Caltrain corridor is important at many different scales ranging from the interests of individual customers up to railroad's role as part of a global passenger rail industry. The corridor-community interface is a framework that is useful for specifically thinking about how the opportunities, benefits, challenges and impacts of the railroad manifest specifically at the community and corridor-wide scales.

Slide 31



The Caltrain corridor generates a wide range of both benefits and impacts in the communities it serves. Many of the benefits Caltrain generates are diffuse- meaning that they accrue broadly to a wide range of residents living within a particular city or town. Conversely, many of the rail corridor's impacts are specific and have a localized effect on particular neighborhoods or properties.

Slide 32



The corridor-community interface is not abstract- it is rooted in physical reality. Over its 150-year history the railroad has existed and evolved as a real, specific “place” that varies along its length and interacts with its surroundings in different ways.

Slide 33

## At Grade Crossings are a Particularly Pressing and Difficult Issue within the Corridor – Community Interface

### Grade Separation or Closure Projects in Planning or Construction



Within the diverse spectrum of spaces and interactions described in slides 31 and 32 it is clear that at-grade crossings are one of the most significant and pressing issues within the corridor-community interface.

The Caltrain corridor has 42 at grade crossings on the main line between San Francisco and San Jose and there are more than 30 at grade crossings on the Union Pacific-owned portion of the corridor between San Jose and Gilroy. Gate-downtime at at-grade crossings presents a challenge to traffic circulation- an issue that will grow worse both as service on the railroad grows and as local traffic volumes increase.

Many crossings on the corridor have already been grade separated and cities up and down the corridor are currently building and planning for the closure or separation of more than a dozen additional crossings. The above slide shows grade separation or closure projects that are in active construction, design or planning on the corridor today. Collectively, these projects amount to billions of dollars in active, planned or proposed investment. Although these projects have been conceived of and planned by individual cities they effectively represent a “hidden” megaproject that is emerging in the Caltrain corridor.

The planning, phasing, funding and constructing of the projects shown is an immense challenge. As the corridor considers its long range future the demand for improvements at at-grade crossings will grow more intense. As it considers the long range future of the corridor, at-grade crossings will, necessarily, be a major focus of the Business Plan process.

Slide 34

## What will the Community Interface Assessment Do?

### Analysis

- Document interface between the railroad and its surroundings
- Understand how the interface could change as the railroad and its surrounding communities grow
- Describe how the corridor-community interface is "managed" today
  - Decision-making
  - Delivery of projects
  - Funding
- Compare with approaches used by national and international peer rail corridors

### Outcomes

- Work with the communities to identify opportunities for how the corridor, not just individual projects, could be better managed to achieve both community and railroad goals. This includes considering both the appetite and need for a corridor-wide approach to address at-grade crossings.



The Community Interface component of the Caltrain Business Plan will develop a framework to support a corridor-wide conversation about how the railroad can grow in concert with the communities it serves. Specifically this means thinking about what changes or strategies can be employed in the corridor to maximize the opportunities and benefits of the railroad while addressing challenges and mitigating impacts.

As the corridor owner, it is Caltrain's responsibility to elevate this conversation, supply factual information and analysis, and to assess the concerns and interests of all of the different stakeholders involved. Ultimately, the Business Plan will seek to frame the question of whether a new or expanded approach to the management of the community-corridor interface should be considered (including the potential for a corridor-wide grade-crossing strategy).

It is not Caltrain's intent to answer this question on its own- any decisions about the future of the corridor-community interface are the collective responsibility of corridor communities, the railroad, the region and the State. Each of these parties has different resources, roles and responsibilities but all share an interest in the future of the corridor. The near-term goal of the Business Plan is to build a better factual understanding of the community-corridor interface and to assess whether there is sufficient consensus and the collective will among corridor stakeholders to consider a new approach.

Slide 35

SHARING SESSION

**What elements of the corridor-community interface are most important to your jurisdiction?**

**Are there any important elements of the community corridor interface we've missed?**

**What can Caltrain do to help your community?**

Slide 36

FOR MORE INFORMATION  
[WWW.CALTRAIN.COM](http://WWW.CALTRAIN.COM)



**AGENDA ITEM # 4 (g)**  
**SEPTEMBER 6, 2018**

**PENINSULA CORRIDOR JOINT POWERS BOARD  
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett  
Executive Director

FROM: Michelle Bouchard  
Chief Operating Officer, Rail

SUBJECT: **CAPITAL PROJECTS QUARTERLY STATUS REPORT –  
4<sup>th</sup> QUARTER FISCAL YEAR 2018**

**ACTION**

Staff Coordinating Council recommends the Board receive the Capital Projects Quarterly Status Report link to report: [Capital Projects Report](#).

**SIGNIFICANCE**

The Capital Projects Quarterly Status Report is submitted to keep the Board advised as to the scope, budget and progress of current ongoing capital projects.

**BUDGET IMPACT**

There is no impact on the budget.

**BACKGROUND**

Staff prepares the Capital Projects Quarterly Status Report for the Board on a quarterly basis. The report is a summary of the scope, budget and progress of capital projects. It is being presented to the Board for informational purposes and is intended to better inform the Board of the capital project status.

Prepared by: Gordon Hail, Senior Project Controls Engineer

650.508.7795

**AGENDA ITEM #4 (h)**  
**SEPTEMBER 6, 2018**

**PENINSULA CORRIDOR JOINT POWERS BOARD  
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett  
Executive Director

FROM: Derek Hansel  
Chief Financial Officer

SUBJECT: **REAUTHORIZE INVESTMENT OF MONIES WITH THE LOCAL AGENCY  
INVESTMENT FUND**

**ACTION**

Staff Coordinating Council recommends the Board adopt an updated resolution reauthorizing Peninsula Corridor Joint Powers Board (JPB) monies to be invested in the Local Agency Investment Funds (LAIF) in compliance with LAIF requirements.

**SIGNIFICANCE**

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

**BUDGET IMPACT**

The 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 complied with the objectives of safety, liquidity, and yield in that order of priority.

Continued investments through LAIF are consistent with these objectives.

Prepared by: Connie Mobley-Ritter, Director of Treasury

650.508.7765

**RESOLUTION NO. 2018 -**

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

\*\*\*

**AUTHORIZING 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 Coordinating Council 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 6th day of September, 2018 by the following vote:

AYES:

NOES:

ABSENT:

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Chair, Peninsula Corridor Joint Powers Board

ATTEST:

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JPB Secretary

CITIZENS ADVISORY COMMITTEE (CAC)  
PENINSULA CORRIDOR JOINT POWERS BOARD (JPB)  
SAN MATEO COUNTY TRANSIT DISTRICT ADMINISTRATIVE BUILDING  
Baccioocco Auditorium, 2<sup>nd</sup> Floor  
1250 San Carlos Avenue, San Carlos CA 94070

**MINUTES OF AUGUST 15, 2018**

**MEMBERS PRESENT:** K. Burke, C. Chang, P. Escobar, L. Klein, C. Tucker, R. Valenciana (Vice Chair), B. Shaw (Chair)

**MEMBERS ABSENT:** L. Fernandez

**STAFF PRESENT:** J. Navarro, J. Navarrete, M. Reggiardo, T. Bartholomew

Chair Brian Shaw called the meeting to order at 5:43 p.m. and led the Pledge of Allegiance.

**APPROVAL OF MINUTES OF JULY 18, 2018**

Public Comment

Roland Lebrun, San Jose, stated that he would like to recognize a job well done with the CAC meeting minutes. He suggested having the same structure for the JPB Board Meeting Minutes.

Drew, San Mateo, said he appreciates the meeting minutes. He wanted to clarify his public comment from the July 18<sup>th</sup> meeting minutes on p. 23 regarding the Work Plan. He said that he either attended the Samtrans CAC meeting or the Samtrans Board Meeting, where they demonstrated a Samtrans app that also included Caltrain routing information.

An update was made to Drew's Public Comment under Work Plan to reflect that he either attended the Samtrans CAC meeting or the Samtrans Board Meeting, where they demonstrated a Samtrans app that also included Caltrain routing information. The updated draft of Meeting Minutes for July 18 was approved.

Motion/Second: Tucker / Escobar

Ayes: Burke, Chang, Klein, Valenciana, Shaw

Absent: Fernandez

**PUBLIC COMMENT**

No public comment

**CHAIRPERSON'S REPORT**

Chair Brian Shaw welcomed the new CAC committee member, Kevin Burke. Kevin introduced himself and stated that he represents San Mateo County and lives in Belmont. He is a software consultant and works with Tech companies to resolve

software issues. He said that he doesn't own a car and commutes on Caltrain, all along the Peninsula, for work. He is excited to be a voice for the passengers of Caltrain.

Chair Brian Shaw advised that there is another appointment from San Mateo County that is due and that the CAC may have another member joining, with the Board's approval, in September.

### **COMMITTEE COMMENTS**

No committee comments

### **RAIL SAFETY EDUCATION & SUICIDE PREVENTION**

Tasha Bartholomew, Communications Officer, presented the Rail Safety & Suicide Prevention presentation

Overview:

- Don't Shortcut Life Public Education Program
- Suicide Prevention Initiatives
- September Activities
  - Rail Safety Month
  - Suicide Prevention Week

#### **Don't Shortcut Life (Operation Lifesaver):**

- In partnership with Operation Lifesaver, Caltrain has a public education program in place called Don't Shortcut Life that offers free rail safety presentations to the community.
- Operation Lifesaver is a national nonprofit public safety education and awareness organization dedicated to reducing collisions, fatalities and injuries at grade crossings, as well as trespassing on or near railroad tracks.

Three E's of Rail Safety:

- Education
- Engineering
- Enforcement

Education:

Rail Safety Presentations are given to the community such as:

- Students (Pre-K to High School)
- General adult audiences
- Driving schools
- Family/Homeless shelters

Since 2013, Caltrain staff has made nearly 150 presentations to approximately 10,300 individuals

### Engineering:

Presentations include improvements being made along the corridor such as:

- Grade crossing improvements in Redwood City at Whipple, Main and Broadway.
  - At Broadway, new pedestrian gates were installed along with new pavement markings.
- Grade Separation –
  - 25th Ave
  - San Carlos
  - Belmont
  - San Bruno

Grade separation improves safety.

### Enforcement – Transit Police

- The Transit Police Unit of the San Mateo County Sheriff's Office serves as the law enforcement arm of Caltrain
- Transit Police patrol the Caltrain corridor and are engaged in enforcement activities that have proven effective at preventing further loss of life through:
  - Crisis intervention training. The training helps them recognize people who may be a threat to themselves and allows the Transit Police to refer individuals for treatment

The Monthly Safety and Security Report can be found on Caltrain.com

Unfortunately though, not all lives can be saved on the tracks and fatalities happen on the Caltrain corridor. Tasha stated that it is her job along with the social media team to communicate when incidents occurs. She has worked very closely with the local news media about responsible reporting as it relates to fatalities on the railroad tracks, especially if it appears to have been intentional.

Each year, Caltrain experiences numerous fatalities along the rail corridor from San Francisco to San Jose and beyond. While the Transit Police is the lead investigator of these incidents, the final cause of death is determined by the coroner or medical examiner in San Francisco San Mateo County or Santa Clara County. Caltrain addresses suicides and works with the local communities to help stop suicides as best it can.

### Suicide Prevention Initiatives

Community partnerships:

- San Mateo County Suicide Prevention Committee
- Santa Clara County Suicide Prevention Advisory Committee
- Project Safety Net (Palo Alto)

Tasha stated that suicide is the 10th leading cause of death among Americans. For nearly a decade, Caltrain has engaged numerous behavioral and mental health organizations in San Francisco, San Mateo and Santa Clara counties to address the root causes of suicide and to help be part of the solution.

Crisis Text Line:

- In December 2016, Caltrain formed a partnership with Crisis Text Line

- Crisis Text Line provides free, 24/7 support for people in crisis via text
- Research has shown that text messaging has become a preferred communication method, which is why this new partnership with Crisis Text Line is so important

#### Promoting Crisis Text Line:

- To help get the word out and promote the Crisis Text Line Number, Caltrain created leaflets and interior ad signs onboard trains
- Flyers have been posted on station boards at every Caltrain station

#### Caltrain + Crisis Text Line

- Promotion of 741741
  - In train stations, on trains, and (soon) on train tracks
- Escalate Active Rescues
  - Work directly with Transit Police to bring people in crisis to safety
- Data Reports
  - Crisis trends data reports about the Bay Area
  - No incidents have been reported from individuals at a station, but have had individuals texting from home, considering committing suicide at a Caltrain station.

#### Caltrain Activities

- Installed 250 suicide prevention signs at stations
  - There is Help
- Dedicated suicide prevention resource page
- Raised \$25,000 for American Foundation for Suicide Prevention's Out of the Darkness Walks
- Sponsored the Caminar for Mental Health Symposium three times

#### September Activities

##### Rail Safety Month

###### Activities:

- Creating a rail safety Public Service Announcement that shows what Caltrain staff does whenever there is an incident on the tracks
- Hosting a safety booth at Facebook Festivals in Menlo Park on September 8<sup>th</sup>
- On September 25<sup>th</sup>, Caltrain and Transit Police participating in Operation Clear Tracks which is being organized by Amtrak Police
  - Focus area - Whipple Avenue, Brewster Avenue and Broadway grade crossings in Redwood City
- Promoting rail safety through social media -#CaltrainSafe

#### National Suicide Prevention Week:

- National Suicide Prevention Week -
  - September 9 to 15
- Participating in social media campaigns with regional community partners

Member Larry Klein referred to page 6 of the presentation, regarding grade crossing improvements, and pointed out the yellow striped bump on the far tracks between the two rails. He asked whether this object will help prevent drivers from driving on the tracks as this yellow striped bump is not at all grade crossings and would help improve safety. Joe Navarro, Deputy Chief, Rail Operations, stated that he would like to further improve the safety at grade crossings and that once Union Pacific agrees to work around General Order 26, Caltrain will look at placing something higher and bigger to detour drivers from driving on the tracks. However Joe will take a closer look at this yellow striped bump located between the rails as a possible option.

Member Cat Tucker asked how one requests a Rail Safety Education presentation. Tasha responded to contact her directly at [communications@samtrans.com](mailto:communications@samtrans.com). Cat thanked Tasha for keeping track of the incidents and asked whether she also tracked incidents by location. Tasha confirmed that the agency also keeps track of incident location.

Member Kevin Burke asked for clarification of interventions. Tasha explained that an intervention is when Transit Police removes a trespasser from the tracks. Tasha explained that any individual on the tracks are considered trespassers. Kevin also asked how staff measures how well suicide prevention is doing and whether there are metrics and/or bench marks to compare against. Tasha said that her team does not have data to compare to. She mentioned that she does receive reports from Crisis Text Line and as of yet, she determined that not a lot of people are texting. Tasha said that she will request data from the 800 number and will report back to the CAC with that data. Kevin also asked whether fatalities on the tracks are a source of liability to Caltrain. Tasha stated that she does not have that information. Joe stated that there are measures in place to prevent people from entering the tracks and individuals that trespass have entered the tracks illegally. Kevin asked with electrification and the ability for trains to decelerate faster, whether staff projects that it will help prevent suicides. Joe responded that the braking rate will be better; however it is difficult, when something sudden and unexpected occurs, to stop quick enough to avoid a strike. Kevin also asked where strikes occur most and Tasha responded that most times they occur at grade crossings.

Member Paul Escobar thanked Tasha and Joe for the presentation. Paul stated that suicide is the 10<sup>th</sup> leading cause of death and the 2<sup>nd</sup> leading cause among youth, ages 10 – 24. Paul observed on page 10 of the presentation that in 2009 there was a significant increase that lasted through 2015 and dips in 2016 and asked whether staff had insight as to why the reduction of deaths on the tracks. Tasha stated that she does not have a definitive answer, however would hope that part of it is due to the targeted outreach, educating the communities on Rail Safety and Suicide Prevention by the Agency and Transit Police removing trespassers, recognizing people who are threats to themselves and/or to others and referring these individuals for treatment. Paul asked in what communities these occur most. Tasha responded that they happen in all counties, however they occur more in San Mateo County and Santa Clara County than in San Francisco County. Paul asked for demographics. Tasha responded that it is mostly adults; middle aged white males. Paul asked whether there is targeted outreach for adult white males. Tasha said that Santa Clara County has radio spots

during the sports cast and have talked about putting information on coasters at sports bars. Paul asked to provide details on how Caltrain works with its Community Partnerships. Tasha said that Caltrain meets with the Community Partners monthly to talk about the issues that are going on. Lately, Caltrain has been collaborating with San Mateo County on ideas for Suicide prevention week. San Mateo County will focus on the LGBTQ community. Paul then asked about Rail Safety month activities and Caltrain's focus in Redwood City. He asked whether there are other teams that have other focus areas. Tasha advised that Caltrain is a part of the Northern California Rail Safety Team and is made up of other Rail Agencies and the CPUC. This year Caltrain's Rail Safety focus will be in Redwood City. Paul asked Joe what the build looks like in order to prevent more deaths by suicide. Joe responded that being in the railroad industry for over 35 years that it is almost impossible to stop. What staff will continue to do is educate the communities that there is help. Joe went on to say that staff has an ongoing fencing program that works on putting up additional fencing along the right of way. Paul ended his comment by asking staff to let the committee know whether there is anything they can do to support these efforts.

Member Cat Chang asked staff what how it plans to allocate efforts as there may be a limit to how effective engineering can be and asked whether there will be additional investment in education and/or enforcement. Tasha said that her team will be strategizing as electrification is approaching. In the meantime, her focus is to certify more of the Caltrain staff to conduct Rail Safety Presentations and Suicide Prevention. Cat suggested adding a 4<sup>th</sup> E, for Engagement which goes beyond the education piece. Tasha thanked Cat for her suggestion.

Vice Chair Ricardo Valenciana asked whether staff is targeting the homeless population. Joe responded that staff is working with Transit Police to tackle this issue. He will schedule staff from another department to further present on this topic to explain the clean-up plan of the right of way. Chair Brian Shaw would like to place this item on the Work Plan for whenever staff is ready to present.

Chair Brian Shaw asked whether it is always the Transit Police that intervene with trespassers. Tasha responded that Transit Police works with other law enforcement agencies and confirmed that it is always law enforcement intervention. Chair Shaw suggested, time allowing, completing comparisons to other railroads, comparable to Caltrain, to determine whether numbers are typical for a railroad like Caltrain. This will help identify and determine that these efforts are making a difference and the need for continued resources and support. Member Paul Escobar would like to hear back on the comparison to sister agencies and hopes to see best practices shared to help prevent fatalities on the tracks.

Member Larry Klein requested for a further breakdown of the report in the non-suicide deaths category, to identify vehicle related deaths.

Chair Brian Shaw requested this presentation to be an annual report to the CAC and requested it to be added to the Work Plan as a standing item. Tasha acknowledged that it would be a good time of year as it falls on the month prior to Rail Safety month.

Public comment:

Jeff Carter, Millbrae, appreciates the presentation and staff's efforts to prevent suicide. Jeff requested the monthly Safety and Security report presented to the JPB Board be made available online for the public.

Roland Lebrun, San Jose, said that there are several missed opportunities. For example at Sunnyvale, funds are being used to rebuild Caltrain's station; however he doesn't see funds being used to increase safety measures and is part of the station design. He submitted a proper station design in the CAC packet. He stated that if a train does not stop at a station, that train should not pass through near the platform. The design shows trains passing behind a barrier wall. This barrier wall will help prevent a passenger gaining access to these trains that blow by stations and will also prevent passengers from being sprayed with debris while waiting on the platform. Roland said that staff may be interested in Ria Hutabarat Lo's proposal.

Doug DeLong, Mountain View, said that when it comes to vehicle vs. trains, we are faced with a new problem; drivers are looking at and following their navigation systems, instead of outside their windshield. There is a national database that indicates the location of all grade crossings, however the navigation system does not warn drivers of these grade crossings. He stated that the navigation system manufacturers are negligent in warning users of the hazards of rail crossings.

Adrian Brandt, Redwood City, has been riding Caltrain since 1979 and said that it is important to understand a problem in order to address it properly. He stated that there is a problem with the fatality reporting because when the coroner finds no evidence of a suicide, those deaths are categorized as non-suicides. In the presentation, non-suicide is reported to be at 29% and is high for non-suicides and believes that number includes true suicides. Adrian analyzed deaths by train for the past two years, and five out of fifteen deaths occurred in Redwood City, four of fifteen were at grade crossings, that's two-thirds of deaths that occurred away from grade crossings and only one out of fifteen involved a vehicle. Adrian requested staff to use three categories going forward, Suicides, Non-Suicides and Indeterminate. Today the indeterminate deaths are categorized in the non-suicide category and exaggerate the number of accidental strikes. In his opinion, he believes that in the past 2 years, 14 out of 15 deaths are suicides. Adrian asked whether those individuals that are cited for trespassing, are counted as interventions and whether the intervention data is accurate and do not include the homeless living along the tracks. Adrian asked for better statistics in order to allocate resources better.

### CALTRAIN BUSINESS PLAN UPDATE

Melissa Reggiardo, Principal Planner – Caltrain Modernization and the Deputy Project Manager for the Caltrain Business Plan, presented the Caltrain Business Plan Update.

Member Larry Klein stated that electrification and increasing capacity is critical in the short term and long term to make Caltrain viable. Larry asked whether Bay Area issues such as traffic and housing are in the business plan. For example, the concept of

utilizing surface level parking with housing above as well as commercial infrastructure as a long term income stream. As far as outreach, how does Caltrain envision capturing rider stakeholder's input on a per county basis other than standing committees and county/city staff? Melissa stated that staff is currently developing a public outreach strategy which may include several methods for obtaining input from different populations that include current riders and future riders and beyond that to include the general communities Caltrain operates through. Melissa stated that there will be more information to follow this fall.

Member Cat Tucker stated that although this is a 2040 business plan, she did not see much of South County included although she understands that it is Union Pacific territory. She stated that Gilroy is the fastest growing city in Santa Clara County. Melissa responded that staff will certainly look at potentially increasing service levels to Gilroy as part of the service planning element and is working with High Speed Rail. She stated that Caltrain cannot plan a blended service without High Speed Rail as a partner. Melissa stated that Caltrain has a limited control over that portion of the corridor as Caltrain does not own it. Melissa stated that there will be more information to follow.

Member Kevin Burke stated that he would like to see more pedestrian traffic and density around Caltrain stations. He went on to ask what plans are in place to build around Caltrain stations with the city's input. Melissa advised that through the community interface assessment, Caltrain will be holding meetings to understand the city's goals and priorities for the corridor and what has worked well in the past and what has not.

Member Paul Escobar thanked Melissa for her presentation. Paul asked, regarding the business plan development, what is Caltrain's approach when thinking about future possible scenarios. Melissa advised that this topic will be the focus of next month's written business plan presentation and more details will follow. Paul would like to see more flexibility around new and developing technologies for example with automated vehicles.

Member Cat Chang is excited to see the analysis around the economic drivers of demand. Cat suggested looking at substitutes and competition for Caltrain service over the next 20 years. Cat also reiterated looking at all of Caltrain's assets in a real estate perspective and assessing all of the possibilities. Lastly, Cat would like to see technology in the business plan, not just in terms of service itself, but with technologies like the mobile app, future customer interfaces, technological investments in terms of software and scheduling tools to help improve service and to include integrating digital displays.

Vice chair Ricardo Valenciana asked whether Caltrain has considered the effect BART's extension to San Jose will have on ridership. Melissa responded that a key part of the service planning exercise will consider what happens at major terminals and whether there is needed capacity.

Chair Brian Shaw suggested including BART in discussions regarding San Francisco and San Jose connections when developing a 25 year business plan. He also said that a

key element to the Business Plan is getting trains to the Sales Force Transbay Trainbox. Brian also mentioned that there is a growth with employment in the tech sector that Caltrain needs to consider. He suggested learning more about the tech companies and their business plans as it may affect an increase in ridership.

Public comment:

Jeff Carter, Millbrae, stated that Caltrain is unlike a business for profit like an airline and likes to say that Caltrain is a publicly funded transit service that provides reasonably priced transportation up and down the Peninsula. Jeff asked staff to look at increasing capacity. Jeff suggested looking at stakeholder input from non-riders and identifying what will get them to ride Caltrain. Jeff also asked how the business plan addresses door-to-door tech shuttles that are offered free of charge to the rider. He stated that tech campuses have acres of free parking and may be considered competition for Caltrain. He also said that although Caltrain was compared to Metrolink in the business plan, he stated that Metrolink's fares are too high and offer less capacity than Caltrain and he hopes that Caltrain can learn from their mistakes.

Doug DeLong, Mountain View, complimented the presentation and appreciated the added graphics. He said that today Caltrain is running at 130% capacity and plateauing at 65k average weekday riders. Doug stated that staff should consider a business plan that would carry 200k – 400k rides a day and figure out a way to handle this potential increased capacity. In addition, Doug asked Caltrain to consider retail business at Caltrain stations and to learn from BART as those spaces are now vacant and have proven to be problematic.

Roland Lebrun, San Jose, referred the committee to their packet as he included a 40 page document for their review. He said that regarding the Transbay Terminal, DTX will make it impossible to connect Transbay to the Eastbay. As far as the business plan, he said that it is important for BART and Google to be included. He encouraged everyone to attend the community meeting at the San Jose's City Hall at 6:00pm to express the importance of BART and Google being included. Regarding South County, the population continues to grow and service will need to meet the increasing demand. Regarding capacity, Roland stated that all of the Baby Bullet stations need to be a quarter of a mile long and that Caltrain needs to have trains that can carry over 2k passengers. Roland asked staff to consider trains with more capacity instead of more trains with less capacity. Lastly he stated that Caltrain cannot risk both safety and capacity and should design stations more like Lawrence and Bayshore.

Drew, San Mateo, requested staff to consider station locations and the possibility of building new stations. Drew mentioned that the Hillsdale station has moved 800 ft. north and is now closer to Hayward Park and has made a bigger gap from Belmont. In regards to capacity, Drew suggested to create a guideline to follow when building around tracks and to plan for the possibility of adding tracks. Drew also suggested considering biotech growth in the business plan.

Adrian Brandt stated that the 2010 census data shows that within a 0.5 mile radius of the Sales Force Transit Terminal, there are more jobs than at any other Caltrain station

combined. Adrian said that this statistic is dated and emphasizes the importance for Caltrain to reach the Transbay Center. Additionally, Adrian requested staff to remove "commuter" from its title. He said that Caltrain is more than a commuter rail system as it provides more than just commuter service and should be at BART's level of service. In addition, regarding the fare system, he stated that zone based fare is inequitable and should instead have station to station fares; distance based fares.

### **VISUAL MESSAGING SYSTEM STATION SIGNAGE**

Chair Brian Shaw tabled item #9 to next month's meeting in the interest of time.

### **STAFF REPORT UPDATE**

Joe Navarro, Deputy Chief, Rail Operations, reported:

#### **On-time Performance (OTP) –**

- **July:** The July 2018 OTP was 90.5% compared to 95.8% for July 2017.
  - **Vehicle on Tracks** – There was one day on July 27, with a vehicle on the tracks that caused train delays.
  - **Mechanical Delays** – In July 2018 there were 1144 minutes of delay due to mechanical issues compared to 603 minutes in July 2017.
  - **Trespasser Strikes** – There were two trespasser strikes on July 5 and 19, both resulting in a fatality.
- **June:** The June 2018 OTP was 91.9% compared to 94.5% for June 2017.
  - **Trespasser Strikes** – There was one trespasser strike on June 2, resulting in a fatality.

#### **Caltrain Electrification Construction –**

Work is organized by four segment areas, with work currently occurring in segments 2, 3 and 4. Please visit <http://calmod.org/construction/> for further work segment and construction details.

#### **Caltrain Emergency Preparedness Exercise –**

On July 19, from 10:30 a.m. to 2:30 p.m. Caltrain conducted its annual live Emergency Preparedness exercise, a federal requirement per 49 CFR Part 239. This year's exercise simulated a train versus motor vehicle in tracks event at Bayshore Station. Preparation for the event began at 6:30 a.m. and demobilization of the event occurred at 4:30 p.m. There were 40 volunteer Passengers, who acted as Observers and Role Players, who provided feedback to the Agency. Feedback from our Passengers during these types of exercises, especially from our ADA participants is vital to the Agency and the sponsoring organizations who were involved in the exercise. Sponsoring partners included San Mateo County Sheriff's Office – Transit Police Bureau, San Mateo County Sheriff's Office – Office of Emergency Services, San Francisco Municipal Transportation

Agency, San Francisco Fire Department, North County Fire Authority & American Medical Response.

**Bikes Board First Pilot Program #2** – On Monday, June 11, through Friday, July 13, Caltrain continued the pilot program that allowed bicyclists to board bike cars first on trains during the morning peak at three other stations (Sunnyvale – NB trains, Hillsdale – NB Trains and 22nd St. – SB trains). Passengers with bicycles were encouraged to board the bike cars at the southern end of the platform. Caltrain staff was on hand at the stations to enforce the policy, which would prevent bicyclists from having to navigate through a crowd of riders blocking the entrance. In addition the conductors on the trains helped to enforce the pilot. The boarding's were timed and compared to the standard boarding process to determine if this new approach could make Caltrain overall service more efficient. The findings of the expanded pilot program, which was crafted with input from the Caltrain Bicycle Advisory Committee and bicycle advocacy groups, was presented to the BAC on July 19, 2018.

**Fare Evasion Policy –**

The 2<sup>nd</sup> seat drop (notices placed on every seat on all morning commute trains) took place on Thursday, June 21. Passengers were alerted to “Don’t Risk It! Buy a ticket. No Ticket = \$72 Notice of Violation” and directed to [www.caltrain.com/FINES](http://www.caltrain.com/FINES) for additional details. The program was fully rolled out on Wednesday, July 25.

**Special Event Train Service –**

- **Services Performed:**
  - **Giants Baseball** –The Giants hosted 14 regular season home games in July.
  - **Independence Day Holiday Service & SF Fireworks Service** – On Wednesday, July 4, Caltrain operated a Sunday schedule in observance of the Independence Day holiday. Caltrain also provided three extra post-SF special trains to accommodate the additional crowds. Caltrain carried 3,569 additional riders, a 24 percent decrease compared to 2017. Due to the reduction in weekend service there were two less trains in 2018 compared to 2017.
  - **SJ Earthquakes vs. Manchester United** – On Sunday, July 22, at 2:00 p.m., the SJ Earthquakes competed against Manchester United at Levi’s Stadium. No additional service was provided. Caltrain coordinated connecting service with VTA.
  - **Gilroy Garlic Festival** – On Saturday, July 28, and Sunday, July 29, Caltrain provided a roundtrip charter service from San Jose to Gilroy for the Gilroy Garlic Festival. On both days, the train departed San Jose Diridon Station at 10:00 a.m. and Gilroy Station at 4:00 p.m. Attendees purchased a ticket for the charter trains separately. Tickets were sold in advance online at

gilroygarlicfestival.com. The charter train ticket included shuttle service to and from the Gilroy station to the festival, and also included festival admission.

**DATE, TIME AND LOCATION OF NEXT REGULAR MEETING:**

September 19, 2018 at 5:40 p.m., San Mateo County Transit District Administrative Building, 2<sup>nd</sup> Floor Bacciocco Auditorium, 1250 San Carlos Avenue, San Carlos, CA.

Adjourned at 7:46 pm



AGENDA ITEM#7

BOARD OF DIRECTORS 2018

JEANNIE BRUINS, CHAIR  
GILLIAN GILLETT, VICE CHAIR  
CHERYL BRINKMAN  
CINDY CHAVEZ  
DEVORA "DEV" DAVIS  
JEFF GEE  
DAVE PINE  
CHARLES STONE  
MONIQUE ZMUDA

JIM HARTNETT  
EXECUTIVE DIRECTOR

## Memorandum

**Date:** August 24, 2018

**To:** Board of Directors

**From:** Jim Hartnett, Executive Director

**Subject:** September 6, 2018 JPB Board Meeting Executive Director's Report

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- **On-time Performance –**
  - **Through August 23:** The preliminary August 2018 OTP was 92.5 percent compared to 95.7 percent for August 2017.
  - **July:** The July 2018 OTP was 90.5 percent compared to 95.8 percent for July 2017.
    - **Trespasser Strike –** There were two trespasser strikes, one on July 5<sup>th</sup> and one on the 19<sup>th</sup>, both resulting in a fatality.
- **Weekend Bus Bridge & Timetable Change –** Caltrain will operate a weekend bus bridge between San Francisco and Bayshore Stations, including 22<sup>nd</sup> Street, due to the shutdown of tunnels to accommodate the construction activities for the Peninsula Corridor Electrification Project. Caltrain will alter its Weekend Timetable starting Saturday, October 6, 2018 through late Spring 2019.
  - Buses will connect to trains at the Bayshore Station.
  - Bus schedules will be reflected in revised Weekend timetable.
  - Train schedules south of Bayshore Station will remain the same.
- Other details regarding ticketing, parking and special events during the tunnel closures are available on the Caltrain website.
- **Fare Enforcement Ordinance –** Adopted by the board on January 4<sup>th</sup> and launched on July 25, 2018. The appeal process has been established and accepted by the committee. As of August 23<sup>rd</sup> there has been 937 violations issued and 297 violations have been paid.

- **CAC Meeting** – The Citizens Advisory Committee met on Wednesday, August 15, in San Carlos. Tasha Bartholomew, Manager - Communications, provided a presentation on Rail Safety & Suicide Prevention. Melissa Reggiardo, Principal Planner - Caltrain Modernization, provided an update on the Caltrain Business Plan. Joe Navarro, Deputy Chief - Rail Operations, provided the Staff Report. The next CAC meeting is scheduled for Wednesday, September 19, in San Carlos.
- **BAC Meeting** – The next Bicycle Advisory Committee meeting is scheduled for Thursday, September 20, in San Carlos.
- **Special Event Train Service** –

**Services Provided**

- **Giants Baseball** – The Giants hosted 14 regular season home games in July. Total additional riders alighting and boarding at the San Francisco station, was 89,316. Year-to-date pre and regular season ridership, alighting and boarding at the San Francisco station, was 329,502, a 16 percent decrease compared to the same number of games in 2017.  
  
The Giants hosted 13 regular season home games in August.
- **Independence Day Holiday Service & SF Fireworks Service** – On Wednesday, July 4, Caltrain operated a Sunday schedule in observance of the Independence Day holiday. Caltrain also provided three extra post-SF fireworks train to accommodate the additional crowds. Caltrain carried 3,569 additional riders, a 24 percent decrease compared to 2017. Compared with the 2017 event, two less trains were available in 2018 for customers to ride due to the reduction in weekend service.
- **Gilroy Garlic Festival** – On Saturday, July 28, and Sunday, July 29, Caltrain provided roundtrip charter service between San Jose and Gilroy for the Gilroy Garlic Festival. The charter train ticket includes shuttle service to and from the Gilroy station to the festival, and includes festival admission. Total Gilroy charter train ridership was 1,230, representing a one percent decrease compared to 2017 ridership.
- **International Champions Cup** – On Saturday, August 4, at 5:00 p.m., AC Milan competed against FC Barcelona in the International Champions Cup held at Levi's Stadium. Caltrain operated one extra post-event train. Total additional riders alighting and boarding at Mountain View station was 870.

- **SF 49ers Pre-Season** – The SF 49ers hosted the Dallas Cowboys on Thursday, August 9 at 7:00 p.m. and the Los Angeles Chargers on Thursday August 30, at 7:00 p.m. at Levi's Stadium. Caltrain operated one extra post-game local train from Mountain View to San Francisco that was coordinated with connecting VTA light rail service. Event ridership will be provided in October.
- **Ed Sheeran Concert at AT&T Park** – On Tuesday, August 21 at 7:00 p.m. Ed Sheeran performed his 2018 North American Stadium Tour concert at AT&T Park. To accommodate the crowds expected for the pop singer, Caltrain operated two extra post-event local trains from San Francisco station.

**Services Scheduled:**

- **Giants Baseball** – Regular season continues through September. Caltrain will provide regular baseball service for all home games. The Giants will have 14 regular season home games in September.
- **Stanford Football** – The Stanford Cardinal will host their first 2018 home game of the season on Friday, August 31 at 6:00 p.m. vs. San Diego State. They will also host their first weekend home game on Saturday, September 8 at 5:30 p.m. vs. USC. 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 take the Marguerite Shuttle or walk to Stanford Stadium. For weekend home games, Caltrain will serve the Stanford Stadium station with both northbound and southbound trains before and after games. Fans can tag on and tag off using their clipper cards at the Stanford Stadium station for all weekend home games.
- **Labor Day** – On Monday, September 3, Caltrain will operate Sunday Service (24 trains) in observation of the Labor Day Holiday. The Tamien-San Jose Shuttle will operate that day.
- **SF 49ers Regular Season** – The 49ers will host the Detroit Lions for their season opener on Sunday, September 16 at 1:05 p.m. at Levi's Stadium. 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. While the Weekend Bus Bridge is in effect, all trains (including Special trains) will start and terminate at the

Bayshore Station and connect to SamTrans Buses. Bus service will be provided to and from 22<sup>nd</sup> Street and San Francisco stations.

- **Eagles, Zac Brown and Doobie Brothers Concert at AT&T Park** – On Thursday, September 20 the Eagles, Zac Brown and Doobie Brothers will perform at AT&T Park from 5:00 p.m. to 11:00 p.m. To accommodate the crowds expected for these bands, Caltrain will operate two extra post-event local trains that will depart San Francisco after the concert or when full. The last train departs at 12:05 a.m.
  - **Journey, Def Leppard and Foreigner Concert at AT&T Park** – On Friday, September 21 Journey, Def Leppard and Foreigner will perform at AT&T Park from 6:00 p.m. to 11:00 p.m. To accommodate the crowds expected for these bands, Caltrain will operate two extra post-event local trains that will depart San Francisco after the concert or when full. The last train departs at 12:05 a.m.
  - **Jay-Z and Beyoncé Concert at Levi's Stadium** – On Saturday, September 29 at 7:30 p.m. Jay-Z and Beyoncé Concert return to Levi's Stadium for their 'OTR II' concert tour. Caltrain will provide one extra post-event northbound local train that will depart approximately 75 minutes after the event ends, or when full. Caltrain will coordinate connecting service with VTA light rail.
  - **San Jose Sharks** – Three pre-season SJ Sharks ice hockey home-games are set for late September at SAP Center. The regular season home opener will be on Wednesday, October 3 at 7:30 p.m. vs. the Anaheim Ducks. Caltrain will track post-game service ridership 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.
- **Capital Projects –**

The Capital Projects information is current as of August 17, 2018 and is subject to change between August 17 and September 6, 2018 (Board Meeting). Additional information can be found in the quarterly report presented at this Board meeting.

- **San Francisco Highway Bridges:** Replace three obsolete overhead vehicular bridges located in San Francisco at 23rd Street, 22nd Street, and Paul Avenue. Construction started in March 2015 and was substantially completed in May 2017.

Resolution of a Buy America issue with Caltrans continues that will also resolve funding issues for the project. Discussions regarding cost

reimbursement from the City of San Francisco for their Auxiliary Water Supply System (AWSS) also continue. The AT&T relocation reimbursement request for performing utility relocation on their behalf is in the process of being transmitted to AT&T.

- **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 August, PG&E gas pipeline relocation along Delaware continued. Underground PG&E electrical and third-party Fiber Optic relocations commenced in August. Construction of the abutments of the 25th and 28th Avenue Bridges continued. The precast girder for the Pedestrian Underpass was placed and is being post-tensioned. Subgrade preparations for the Mechanically Stabilized Earth (MSE) walls continued in anticipation of beginning MSE wall construction in September.

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

Due to delays associated with obtaining UPRR approvals and its impact to beginning 3rd party fiber optic relocations; the project schedule has been affected. Overall construction completion is now forecast to be approximately 7-months late, with the completion date extended from early 2020 to mid- 2020. In addition, to the schedule impacts, the project has experienced significant impacts due to the inefficiency of working around a live fiber facility, as well as incurring additional construction costs associated with installing and working around temporary steel plate, and soldier pile walls, required to protect the 3rd party fiber optic during construction.

- **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 August, work also continued for the new centerboard platform and, the relocation of the JPB's Positive Train Control fiber optic lines. The Air Space Agreement between the City of South San Francisco and Caltrans has now been resolved that delayed construction of the pedestrian underpass and third-party utility relocations. Third party utility relocations are now being mobilized and construction schedules are being coordinated to allow water and PG&E gas and electric relocations to proceed concurrently. Project delays due to Caltrans issues are projected to extend project completion from mid-2019 to early 2020. This project is the subject of a Board action at this meeting.

- **Redwood City Grade Crossing Improvements:** The scope of this project is to improve the safety devices at three grade crossings within the city of Redwood City at Whipple Avenue, Main Street, and Broadway. The project will improve the Whipple Avenue crossing with new vehicular and pedestrian gates, new sidewalks and ramps, new pavement markings and striping. At Broadway, new pedestrian gates will be installed and new pavement markings will be added. At Main Street, new fencing, pedestrian gates, and pavement markings will be installed. The design and construction schedule of this project has been coordinated with the City's improvements in the same area.

The project was substantially completed in early July, and, contract close-out is in progress. This will be the final report for this project.

- **FY16 Grade Crossing Improvements Project:** The scope of this project is to improve the safety at 10 grade crossings along the corridor. Work items included are the installation of signals, fences, gates, curbs, lighting and signs. The existing grade crossing warning devices will be retrofitted to meet the latest California Public Utilities Commission standards. The crossings to be improved include 16th Street in San Francisco, Broadway in Burlingame, Peninsula and 4th Ave. in San Mateo, Ravenswood in Menlo Park, Alma and Charleston in Palo Alto, Rengstorff and Castro in Mountain View, and Mary in Sunnyvale.

The construction contract also includes the installation of medians at five crossings in Santa Clara County. The scopes of two projects were combined into a single construction contract to improve cost and administrative efficiency. These medians are required by the FRA and are intended to create a barrier that discourages vehicles from driving around down crossing gates. The five crossings are Churchill and East Meadow in Palo Alto, Sunnyvale Avenue in Sunnyvale, and Auzerais and West Virginia in San Jose.

In June and July, the Notice to Proceed was issued on June 4, 2018. In August, work was completed at East Meadow Drive and Sunnyvale Avenue. Work is in progress at Auzerais Avenue and West Virginia Street in San Jose and is expected to complete by the end of August. Overall construction is expected to complete by February 2019.

- **Sunnyvale Station Rehabilitation Project:** Replace the surface pavers in the station platform with colored cast-in-place concrete and the relocation of the north pedestrian crossing to the north by approximately 83 feet. Some of the surfaces of the platform pavers have become uneven and this project will create a smooth and even platform surface. The relocation of the north pedestrian crossing will help to clear the southern crossing that is currently partially blocked when northbound 6-car consists arrive at the Sunnyvale Station.

The construction is being phased in six partial sections of the station platforms so that passenger service may continue during construction. The construction of the first section of the northbound platform was completed and work has commenced in the 2nd section. The schedule impact of additional work and work suspension for Electrification related electrical grounding has extended the forecast date for completion from August to October.

- **Inward Facing Cameras:** Install cameras on locomotives and cab cars that will video and voice record the train operators during revenue operations. Currently there are outward facing cameras on locomotives that record the right-of-way from the vantage point of the operators. The inward facing cameras are recommended by the National Transportation Research Board and assists in post-accident investigations. Inward facing cameras are already in service on Metrolink in Southern California and by railroads such as the Union Pacific and Burlington Northern Santa Fe.

Installation and testing of the cameras was completed in April. The final activity of training of TASI personnel in the operations and maintenance of the cameras has also been completed. Contract close-out is in progress. This will be the final report for this project.

- **HVAC Improvements at the CCF Communications Equipment Room:** Improve the cooling systems in the electronics equipment room at the Central Control Facility in San Jose. The amount of electronic equipment has greatly increased which has resulted in overloading of the existing cooling system. With the addition of newer systems such as CBOSS/PTC, ROCS/PADS, and upgrades to communications systems; the capacity of

the existing cooling system is inadequate to maintain a sufficiently cool temperature. Equipment failure to critical systems such as dispatching and communications due to overheating is an unacceptable operational risk. This problem was being temporarily addressed by using rental cooling systems that was inadequate for future expansion and is costly. This project will address current and future cooling capacity by adding and replacing current cooling systems with newer and more efficient cooling equipment.

All construction and installation activities were completed in July. Final Testing and balancing of the new HVAC systems was completed in mid-August. Contract close-out is in progress. This will be the final report for this project.

- **F-40 Locomotive Mid-Life Overhaul Project:** Perform mid-life overhaul of three F40PH2C 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 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 shall 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 February and March. Both locomotives are still undergoing overhaul; the expected return to the CEMOF facility in San Jose for Final Acceptance testing has been delayed by approximately 4 months to December and January return dates. Locomotive #922 is now scheduled to be shipped to the vendor's facility in December.

- **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 six locomotives are Locomotive #'s 923, 924, 925, 926, 927 and 928.

Technical specifications for the work were completed in February 2018. The Request for Proposal was advertised on June 12, 2018. Proposals were received from 2 bidders on July 31. Proposals have been evaluated and contract negotiations are in process. Award of the contract is currently forecast for late 2018 and overall completion of the work in Fall 2020.

**AGENDA ITEM #7 (b)**  
**SEPTEMBER 6, 2018**

**PENINSULA CORRIDOR JOINT POWERS BOARD  
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett  
Executive Director

FROM: Seamus Murphy  
Chief Officer, Communications

SUBJECT: **PROCLAMATION DECLARING SEPTEMBER RAILROAD SAFETY  
MONTH**

**ACTION**

Staff Coordinating Council (SCC) recommends the Board adopt the proclamation designating September as "Railroad Safety Month."

**SIGNIFICANCE**

The proclamation for "Railroad Safety Month" reaffirms the JPB's commitment to provide safe and efficient train service between San Francisco and Gilroy. It is an opportunity to highlight the promotion and advancement of safety on the right of way through enhanced safety measures and increased public awareness.

This year, Caltrain will be promoting rail safety awareness at Facebook Festivals in Menlo Park on Saturday, September 8, 2018. As a community outreach effort, staff will have a booth set-up at this event with educational materials and giveaways to promote rail safety. On September 25, Caltrain and its law enforcement partner, the San Mateo County Sheriff's Office Transit Police Bureau, will be conducting targeted outreach at three high volume grade crossings in Redwood City at Whipple Avenue, Brewster Avenue and Broadway. The outreach at those grade crossings is collaboration with a national outreach effort called Operation Clear Tracks being led by the Amtrak Police Department.

In addition, Caltrain's Communications team has created a new rail safety public service announcement that shows what happens, from the agency's perspective, when an incident occurs on the railroad tracks.

This year to date, Caltrain has experienced approximately 12 incidents along the rail corridor, including both fatalities and vehicle strikes. The proclamation reiterates the three E's (Education, Engineering and Enforcement) of our ongoing "Don't Shortcut Life" rail safety campaign. During Rail Safety Month, Caltrain's social media team will be promoting rail safety messaging throughout the month using **#CaltrainSafe**.

While safety is a clear priority for the rail agency, 90 percent of the deaths occurring on railroad tracks are ruled suicides. Caltrain also coordinates with regional mental health, and suicide prevention and awareness organizations to help eliminate the stigma associated with seeking help for depression or mental illness.

Caltrain also will be recognizing National Suicide Prevention Week as part of this effort (September 9 – 15) by participating in social media campaigns with the San Mateo County Suicide Prevention Committee and the Santa Clara County Suicide Prevention Working Group, with which Caltrain is a community partner.

#### **BUDGET IMPACT**

There is no impact on the budget.

#### **BACKGROUND**

Since September 2009, Caltrain has been participating in California Operation Lifesaver's (CAOL) annual Rail Safety Month. CAOL is a nonprofit public safety organization committed to reducing the number of tragic incidents at highway-rail grade crossing intersections and trespassing at railroad rights-of-way.

As a member and community partner of CAOL, Caltrain staff makes year-round, free rail safety presentations to all age groups by educating the community on the three E's of rail safety – Education, Engineering and Enforcement.

Prepared by: Tasha Bartholomew, Manager, Communications

650.508.7927

# *Proclamation*

## **IN HONOR OF RAILROAD SAFETY MONTH**

**WHEREAS**, Caltrain operates 92 weekday trains between San Francisco and Gilroy, serving the Peninsula Rail Corridor, and the communities of San Francisco, San Mateo and Santa Clara counties; and

**WHEREAS**, safety on the Caltrain right of way has been and remains a continuing priority along a rail system that traverses several communities and includes more than 50 at-grade public vehicular and pedestrian crossings; and

**WHEREAS**, the Peninsula Corridor Joint Powers Board works continuously with essential partners, including the Federal Railroad Administration, California Department of Transportation, California Public Utilities Commission and California Operation Lifesaver to improve railroad safety, to prevent accidents and to educate the public about safety around railroad tracks; and

**WHEREAS**, each month, Caltrain operates more than 138,000 miles of trips up and down the Peninsula, carrying an ever-growing number of people to work, to play and to many other destinations; and

**WHEREAS**, trains have become a routine part of daily life for many in this region, but it only takes a split second for someone to drop their guard and tragedy can strike; and

**WHEREAS**, typical Caltrain trains can take almost a mile to stop, even when emergency brakes are applied; and

**WHEREAS**, 95 percent of all rail-related deaths involve drivers trying to beat a train or people trespassing on railroad tracks; and

**WHEREAS**, on June 2, 2009, Senate Concurrent Resolution 10 (Liu) was signed into law designating September as "Railroad Safety Month" in California; and

**WHEREAS**, Caltrain will host a booth at Facebook Festivals in Menlo Park on Saturday, September 8, 2018 to promote rail safety awareness; and

**WHEREAS**, Caltrain will partner with the Transit Police to do targeted enforcement and education at Whipple Avenue, Brewster Avenue and Broadway in Redwood City on Tuesday, September 25, 2018 as part of "Operation Clear Track," which is a national effort to call attention to train safety laws along the rail corridor; and

**WHEREAS**, Caltrain will promote safety awareness throughout the month of September via social media using **#CaltrainSafe**; and

**WHEREAS**, as a member and community partner of California Operation Lifesaver, Caltrain staff makes year-round, free rail safety presentations to all age groups to educate the community on the three E's of rail safety – Education, Engineering and Enforcement.

**THEREFORE, BE IT RESOLVED**, that the Peninsula Corridor Joint Powers Board, in support of safety efforts locally, regionally and statewide, joins in proclaiming September as "Railroad Safety Month" and commends local, State, and Federal officials, industry, and citizen efforts to improve railroad safety; and

**BE IT FURTHER RESOLVED**, that the Peninsula Corridor Joint Powers Board reaffirms its efforts as a community partner in the prevention of deaths by suicide as a critical component of "Railroad Safety Month" and urges continued and expanded collaboration to extend to all who need it effective mental health resources.

Regularly passed and adopted this 6<sup>th</sup> day of September 2018.



## AGENDA ITEM # 7 (c)

## **Peninsula Corridor Joint Powers Board**

July 2018

## Treasury Ratios

## Preliminary and Unaudited

PENINSULA CORRIDOR JOINT POWERS BOARD  
STAFF REPORT

TO: Joint Powers Board

THROUGH: Jim Hartnett  
Executive Director

FROM: Michelle Bouchard  
Chief Operating Officer, Rail

SUBJECT: **CALTRAIN POSITIVE TRAIN CONTROL PROJECT UPDATE – AUGUST 2018**

**ACTION**

Staff Coordinating Council recommends that the Board receive the Positive Train Control (PTC) report for August 2018.

**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. Status on Major Milestones to Successfully Enter RSD December 2018**

<u>Key Project Activity</u>	<u>Expected Completion</u>	<u>Progress As Of 7/31/18</u>	<u>Progress On Track?</u>	<u>Mitigation Required or Approvals Needed</u>
Approval of Designated RSD Test Request	May 31	In FRA review	No	Original Test Request submitted to FRA on April 18 for approval. Revised Test Request submitted to FRA on June 22 based on FRA initial comments. Verbal approval received, waiting written approval.
Approval of revised project PTC Implementation Plan (PTCIP) and Request for Amendment (RFA)	May 31	In FRA review	No	Revised PTCIP and RFA submitted to FRA for approval on May 7. Revised PTCIP and RFA submitted on June 22 based on initial FRA comments. Verbal approval received, waiting written approval.
Pilot Installations (4) Completed	June 20	Completed	Completed	All pilots completed
Production Installations (40) required	Dec 4	In Process	Yes	32% completed thru August 27th
Submit Designated RSD Application	Oct 15	Drafts in review	Yes	No issues at this time, discussions with FRA ongoing to insure clarity in process
Complete Critical Feature V&V	Oct 30	In Process	Yes	Designated RSD area informal V&V survey in process, started July 9
Designated RSD Training Complete	Nov 14	Not Started	Not Started	Master Test Plan reviewed, material development started in August
Designated RSD – Required Vehicle Install Completion*	Nov 27	Not Started	Not Started	(44) Total installs required – (4) pilot plus (40) other vehicles
Complete All Designated RSD Testing (Lab, Functional and FQT)	Dec 18	Not Started	Not Started	Lab in development, lab testing began in Aug, field testing to start Sept, PTC functional testing Nov
Start of Designated RSD*	Dec 18	Not Started	Not Started	Complete (44) installs and receive FRA approval to run in PTC mode in Designated RSD area

*\*Key project activity that is tied to Wabtec performance incentive payment*

Major Wabtec activities started and / or completed in August :

- Production installations of I-ETMS onboard equipment on Caltrain locomotive and Caltrain cab cars ongoing, cars may be used in normal operations with PTC not engaged. (14) completed through August 24<sup>th</sup>.
- Key Personnel changes: Previous Wabtec project manager has left Wabtec, replacement named and in place. New Test Manager also named to lead test effort. Wabtec deputy project manager also in place in San Carlos to support project.
- Senior management review held between JPB and Wabtec senior staff to discuss project progress and ensure any JPB concerns are addressed promptly. Wabtec will commit additional resources (see above) as result of meeting, and monthly meetings will be held through year end to ensure focus is maintained.
- Field Verification & Validation testing continues, Wabtec completed Critical Features and WIU testing. FRA required brake testing to begin by month end.
- Test lab set-up at Wabtec facility has been slightly delayed due to material and resource planning issues, however Wabtec has re-planned requirements and testing is to begin by month end.
- Significantly large number of contract submittals have been submitted by Wabtec, reviewed and comments returned by Caltrain project team. A sampling of the submittals in August included:
  - o Field V&V Testing of PTC Critical Features Test Plan
  - o PTC Configuration Management Plan
  - o ITCM System Design
  - o DCS Network Survey
  - o Critical Features Validation Work Plan
  - o I-ETMS Onboard System Operations Manual
  - o I-ETMS Onboard Installation Manual
  - o Static Bulletin Delivery Confirmation Test
  - o Integrated Work Plan
  - o F40 Brake Test Plan
  - o Nippon Sharyo Cab Car Brake Test Plan

2. **Change Order Log** – There have been no change orders requested from Wabtec during this reporting period, and there are none in process or review by JPB. This section will track all change activity on the contract.
3. **Risk Management** - JPB and Wabtec initiated the joint risk review sessions in June, with tentative agreement on format and reporting tool to be employed, and began deep dive into all risks to be monitored as part of the joint risk pool of items. There were no risks identified in the first meeting requiring elevation to JPB or Wabtec senior management for consideration of use of the risk pool funds. JPB and Wabtec have agreed to share the management of an identified list of risk items which 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 the JPB. Risk review meetings between the JPB and Wabtec will be held on a quarterly basis, with the resulting update and actions to be noted in this report. 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):

Risk Item	Type	Mitigation Action
Potential EMU delay due to move from I-ITCS to I-ETMS	External	Project team continues to support EMU team effort to bring Wabtec under contract to provide PTC solution required for EMU cars with minimal delay
FRA process changes	External	Maintain close and open relationship with key FRA contacts to ensure all submittals are done correctly and within required time frame to achieve 2018 RSD
FRA review cycle delays	External	Delays are being incurred due to significant volume of submittals from all properties requiring review and approval of RSD documentation prior to year end. Team working with FRA to minimize any delays incurred with Caltrain documentation and speed FRA review process (see #4 <i>FRA document status below</i> ).
Interoperability delays	External	Work with UPRR and tenants to ensure agreed to interoperability schedule dates are maintained
Onboard installation delays	Internal	Pilots installations are complete, project team is working with Wabtec to ensure installations are not delayed due to Caltrain review periods. Wabtec must insure production installation schedule is maintained to achieve required 2018 installs to achieve RSD.
Track access delays	Internal	Ensure field test schedule is maintained by coordinating all field work in combination with other capital projects needs
Back Office Server (BOS) documentation scope creep	Internal	Ensure standard documentation supplied by Wabtec meets requirements of Caltrain specification criteria

4. **Caltrain PTC Project FRA Documentation Status** – green highlighting indicates Final is approved by FRA

Weekly calls with FRA review team instituted in August. Significant progress occurred this month to gain FRA approval of key project documents required to enter RSD (see below), however formal written approval of the Test Request has still not been received as of the writing of this document. Informal verbal approval has however been received, as well as verbal direction to perform field testing.

Document Name	Status – Through August 27th	Projected Submittal Date	Actual Submittal Date	Need FRA Approval By
Updated PTC Implementation Plan and Request for Amendment of the PTCIP	FRA processing formal approval response	Already submitted	6/22/2018 (final)	Informal approval received July 2018
Test Request	FRA processing formal approval response	Already submitted	6/22/2018 (final)	Informal approval received July 2018
Subdivision and Critical Asset Configuration Management Plan	Final approved by FRA - 8/13/2018	Already submitted	7/25/2018	Received August 2018
Critical Features Verification and Validation Procedure	Final approved by FRA - 8/16/2018	Already submitted	8/15/18	Received August 2018
Critical Features Verification and Validation Plan - Designated Track Section	Final approved by FRA - 8/16/2018	Already submitted	8/15/18	Received August 2018
Critical Features Verification and Validation Plan - Brake Test Area	Final approved by FRA - 8/16/2018	Already submitted	8/15/18	Received August 2018
Signal and Switch (WIU) Verification and Validation Procedure	Final approved by FRA - 8/16/2018	Already submitted	8/15/18	Received August 2018
Signal and Switch (WIU) Verification and Validation Plan - Designated Track Section	Final approved by FRA - 8/16/2018	Already submitted	8/15/18	Received August 2018

Static Bulletin Delivery Confirmation	Final approved by FRA - 8/16/2018	Already submitted	8/15/18	Received August 2018
Brake Test Plan - F40 locomotive	Final approved by FRA - 8/22/2018	Already submitted	8/21/2018	Received August 2018
Brake Test Plan - Gallery cab car	Final approved by FRA - 8/22/2018	Already submitted	8/21/2018	Received August 2018
Brake Test Plan - MP36 locomotive	Draft in internal review.	August 2018		September 2018
Brake Test Plan - Bombardier Cab Cars	Draft in internal review.	August 2018		September 2018
Field Integrated Test (FIT) Plan - Designated Track Section	Draft in internal review.	September 2018		October 2018
Field Qualification Test (FQT) Plan - Designated Track Area	Draft in internal review.	September 2018		October 2018
RSD Application	Under development	Q4 2018		December 2018
Test Results: Critical Features Verification and Validation - Designated Track Section	Submitted as information only	Already submitted	8/22/2018	No approval required
Test Results: Critical Features Verification and Validation - Brake Test Area	Submitted as information only	Already submitted	8/22/2018	No approval required
Test Results: Signal and Switch (WIU) Verification and Validation - Designated Track Section	Under development	September 2018		No Approval required
Substitute Criteria Strategy	Under development	September 2018		November 2018

## 5. Cost – Spend vs budget – through August

	(A)	(B)	(C)	(D)	(E)	(F) = (C - E)	(G) = ( D / E )
Project Cost Analysis	Original Budget (US\$MM)	Approved Changes (Contractor) (US\$MM)	Project Current Budget (US\$MM)	Expended and Accrual To-Date (US\$MM)	Estimated at Completion (EAC) (US\$MM)	Variance at Completion (US\$MM)	% Expended of EAC
CBOSS PTC Project (Jan 2008 - Feb 2018)	\$ 231.00		\$ 239.88	\$ 202.26	\$ 202.26		
Caltrain PTC Project (March 1st 2018 - June 2020):							
Integrator WABTEC Contract	\$ 43.01		\$ 43.01	\$ 4.55	\$ 43.01	\$ -	10.57%
Other Contractors	\$ 6.00		\$ 6.00	\$ 0.22	\$ 6.00	\$ -	3.65%
Potential Changes	\$ 2.00		\$ 2.00		\$ 2.00	\$ -	
Potential Incentive - WABTEC	\$ 2.00		\$ 2.00		\$ 2.00		
Other Program Costs	\$ 30.34		\$ 30.34	\$ 3.18	\$ 29.71	\$ 0.63	10.71%
Project Contingency	\$ 6.06		\$ 6.06		\$ 5.95	\$ 0.11	
Total PTC Project	\$ 89.41		\$ 89.41	\$ 7.95	\$ 88.67	\$ 0.74	8.96%
Note:							
1). Expended and Arrual to Date is through July 31, 2018;							
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 conformed 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.							

- Note – Caltrain continues effort to reduce previously identified \$30M funding gap. Award of \$18.7M CRISI grant (noted below) will be used to reduce gap, Caltrain will reallocate funds from other resource avenues.

## 6. Items of note in August – This section reports on PTC general progress and issues being tracked outside the Wabtec contract during the current reporting month.

- 1) Caltrain awarded \$18.7M via the Consolidated Rail Infrastructure and Safety Improvements (CRISI) Part 2 testing grant to support the implementation of PTC at Caltrain. Solid support from the PTC project team to draft the proposal documentation

and coordinate the revisions from multiple intra-agency reviews. Awaiting results of CRISI part 1 application.

- 2) FRA required brake testing to begin on F40 locomotives and Gallery cab car equipment, based on approval of test plans by FRA. Test plans submitted for review, comments received, test plans reised and re-submitted, FRA has approved. Testing will continue on all vehicle types (4 total) through the Fall.
- 3) Project team continued to perform analysis of installed WIUs requiring maintenance and examining the need for path forward to maintain WIU updates via either maintenance agreement with previous integrator signaling subcontractor or through other options.
- 4) Team instituted weekly review meetings with the FRA western regional team to review all information required is submitted in a timely and correct manner expected to achieve RSD this year. Team continues to build strong relationships with the FRA regional personnel key to minimize any delays in the review process.
- 5) Team has proposed a September meeting with UPRR counterparts to discuss PTC implementation and related interoperability requirements for the Caltrain and UPRR properties.
- 6) The PTC project continues its coordination efforts with the Electrification and EMU programs via regularly scheduled status meetings such as the Biweekly CalMod Systems Integration, the PCEP Delivery Coordination and the PTC-PCEP coordination meetings. Ad hoc meetings to discuss topics requiring indepth or immediate decisions are held as needed. Data sharing of fiber audit results and testing schedules (sharing of track and time) ongoing to insure both teams coordinate needs.
- 7) Continued field audit and diagnosis of Wayside Interface Units (WIUs) in designated RSD section and expanding to other areas to corrective action to restore functionality on any units identified by Wabtec.
- 8) Caltrain configuration management (CM) manager continues full integration into project team to ensure all Caltrain CM requirements are maintained during project execution and transition to daily operations upon project completion.
- 9) Caltrain Go Live team reinstated to ensure smooth transition of PTC operations and maintenance upon project completion. These efforts include manloading planning for both Caltrain and TASI operations and maintenance, as well as coordination of Master Service Agreements (MAS) negotiations with key suppliers required to support PTC long term service needs.

## **7. Upcoming Key Activities in September -**

- 1) Conduct meeting with UPRR PTC counterparts to strengthen relationship needed to successfully implement interoperability on both properties. Caltrain requires UPRR continued support to receive FRA 2019 extension, no issues forseen at this time.
- 2) Continuation of brake testing on Caltrain locomotives and cab cars as required by FRA to complete prior to entering RSD.
- 3) Continue production onboard installations on Caltrain fleet – Contionue production effort to complete onboard PTC product installation on (40) production vehicles that have been chosen for the (44) total vehicles to be installed and tested to complete the RSD requirements for fleet installations.
- 4) Receive anticipated FRA approval for the designated RSD track segment (15 miles) required for achieving RSD in 2018. Also expect approval of the PTCIP, RFA and Test Request if not received in August.
- 5) Continue regular monthly review with Wabtec senior management to ensure the Wabtec project team maintains focus on completing all activities required to meet 2018 RSD requirements.

- 6) Continue V&V testing activities in designated RSD area to ensure all PTC equipment is in good working condition.
- 7) Continue to work closely with the FRA regional and national representatives to ensure all aspects of documentation and testing requirements are maintained and approavles (by FRA) granted.

#### **8. Vehicle Installation**

- 44 vehicles require full installation of PTC equipment by December 2018 to achieve RSD goal

<b>I-ETMS On-Board Installation Progress (As of 8/27/18)</b>			
<b>Equipment</b>	<b>Completed</b>	<b>In Progress</b>	<b>Pending</b>
F40PH-2CAT	5	1	10
MP36	1	0	5
Bombardier Cab	1	0	4
Gallery Cab	7	1	9
<b>Total</b>	<b>14</b>	<b>2</b>	<b>28</b>
<b>%</b>	<b>32%</b>	<b>5%</b>	<b>64%</b>

Prepared By: Matt Scanlon, Deputy Director, Systems

650.622.7819

**AGENDA ITEM #7 (e)**  
**SEPTEMBER 6, 2018**

**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) link to report: [PCEP July Monthly Progress Report](#). 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 is intended to provide funding partners, stakeholders, and the public a PCEP overview and an overall update on project progress. This document provides information on the scope, cost, funding, schedule, and project implementation.

Prepared by: Josh Averill, Program Management Administrator

650.508.6453

**AGENDA ITEM #8  
SEPTEMBER 6, 2018**

**PENINSULA CORRIDOR JOINT POWERS BOARD  
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett  
Executive Director

FROM: John Funghi  
Chief Officer, CalMod Program

SUBJECT: **AUTHORIZATION FOR EXECUTION OF A CHANGE ORDER TO THE PENINSULA CORRIDOR ELECTRIFICATION PROJECT CONTRACT WITH BALFOUR BEATTY, INC. FOR DESIGNING SHUNT WIRES AT UTILITY CROSSINGS IN CONFORMANCE WITH CALIFORNIA PUBLIC UTILITY COMMISSION REQUIREMENTS**

**ACTION**

Staff Coordinating Council recommends the Board authorize the Executive Director, or his designee, to execute a change order to the Peninsula Corridor Electrification Project (PCEP) design-build contract with Balfour Beatty, Inc. (Contract) to include design of Shunt Wires at utility crossings in an amount not to exceed \$925,000, and in a form approved by legal counsel.

**SIGNIFICANCE**

Safety requirements adopted by the California Public Utility Commission (CPUC) define the design, construction, installation, operation and maintenance requirements for the electrification system on the Caltrain Corridor. One of the requirements is the installation of Shunt Wires at overhead utility crossings. The CPUC Safety Requirements were adopted by the CPUC on November 10, 2016 (via Resolution SED-2), which occurred after the award of the Contract.

Shunt Wires are required at all 137 overhead utilities crossings over the electrification infrastructure. The purpose is to protect the safety of the public and rail or utility facilities in case the utility lines crossing the Overhead Contact System (OCS) should fall and make contact with the OCS.

This change order will allow the PCEP design-build contractor to proceed with the design of the Shunt Wires. Construction costs resulting from the CPUC requirement to install Shunt Wires are currently being evaluated and will be the subject of a subsequent Contract change order.

This change has been approved by the PCEP Change Management Board.

## **BUDGET IMPACT**

This Contract change order will be funded from the contingency included in the Board-approved PCEP Budget without requiring a budget amendment.

## **BACKGROUND**

The PCEP is a key component of the Caltrain Modernization (CalMod) Program. The PCEP will electrify the Caltrain Corridor from San Francisco's 4th and King Caltrain Station to approximately the Tamien Caltrain Station, convert diesel-hauled to electric trainsets ("Electric Multiple Unit" or "EMU"), and increase service to up to six Caltrain trains per peak hour per direction.

The PCEP design-build and EMU contracts, which are the cornerstone contracts of the Caltrain Electrification Program, represent approximately 60 percent of the CalMod Program budget.

The Board of Directors has authorized the Executive Director to enter into change orders of up to 5%. As the proposed Contract change order would be specifically approved by the Board, the proposed action will not decrease the Executive Director's remaining change order authority.

Presented By: Stacy Cocke, Deputy Director Program Management & Environmental Compliance, CalMod 650.508.6207

**RESOLUTION NO. 2018 -**

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

\* \* \*

**AUTHORIZING THE EXECUTIVE DIRECTOR TO EXECUTE A CHANGE ORDER TO THE  
PENINSULA CORRIDOR ELECTRIFICATION PROJECT CONTRACT WITH BALFOUR BEATTY,  
INC. TO DESIGN SHUNT WIRES AT OVERHEAD UTILITY CROSSING LOCATIONS**

**WHEREAS**, the Peninsula Corridor Electrification Project (PCEP), a key component of the Caltrain Modernization Program, will electrify the Caltrain Corridor from San Francisco's 4th and King Caltrain Station to approximately the Tamien Caltrain Station, replace diesel-hauled trainsets with Electric Multiple Unit (EMU) trainsets, and increase service to up to six Caltrain trains per peak hour per direction; and

**WHEREAS**, the primary purposes of the PCEP are to improve Caltrain system performance and to reduce long-term environmental impacts associated with Caltrain service by reducing noise, improving regional air quality and reducing greenhouse gas emissions; and

**WHEREAS**, on July 7, 2016, the Board of Directors (board) of the Peninsula Corridor Joint Powers Board (JPB), by means of Resolution No. 2016-35, awarded a contract to Balfour Beatty, Inc. for design-build services for PCEP (Contract); and

**WHEREAS**, PCEP requires the installation of an Overhead Contact System (OCS) to provide electrical power to the trains; and

**WHEREAS**, the California Public Utilities Commission (CPUC) adopted Safety Requirements for the design, construction, installation, operation and maintenance of the electrification system on the Caltrain Corridor; and

**WHEREAS**, the CPUC Safety Requirements, which require the installation of Shunt Wires at overhead utility crossings, were adopted by the CPUC on November 10, 2016 (via Resolution SED-2), which was after the award of the Contract; and

**WHEREAS**, Shunt Wires are required at all locations where overhead utilities cross over the electrification infrastructure to protect the safety of the public and rail or utility facilities in the event the overhead utility lines crossing the right-of-way fall onto the OCS; and

**WHEREAS** the Staff Coordinating Council recommends and the Executive Director concurs that the Board authorize execution of the Contract change order in an amount not to exceed \$925,000.

**NOW, THEREFORE, BE IT RESOLVED** that the Board of Directors of the Peninsula Corridor Joint Powers Board authorizes the Executive Director to execute the Contract change to design Shunt Wires at overhead utility crossing locations in an amount not to exceed \$925,000.

Regularly passed and adopted this 6<sup>th</sup> day of September, 2018 by the following vote:

AYES:

NOES:

ABSENT:

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Chair, Peninsula Corridor Joint Powers Board

ATTEST:

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JPB Secretary

**AGENDA ITEM #9  
SEPTEMBER 6, 2018**

**PENINSULA CORRIDOR JOINT POWERS BOARD  
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett  
Executive Director

FROM: John Funghi  
Chief Officer, CalMod Program

SUBJECT: **AUTHORIZATION FOR EXECUTION OF A CHANGE ORDER TO THE PENINSULA CORRIDOR ELECTRIFICATION PROJECT CONTRACT WITH BALFOUR BEATTY, INC. FOR THE DESIGN OF THE PG&E INTERCONNECTIONS TO THE PENINSULA CORRIDOR ELECTRIFICATION PROJECT TRACTION POWER SUBSTATIONS 1 AND 2**

**ACTION**

Staff Coordinating Council recommends the Board authorize the Executive Director, or his designee, to execute a change order to the Peninsula Corridor Electrification Project (PCEP) design-build contract with Balfour Beatty, Inc. (Contract) to include design of the Pacific Gas & Electric (PG&E) Interconnections to the PCEP Traction Power Substation 1 (TPS-1) and Substation 2 (TPS-2), in an amount not to exceed \$727,000, and in a form approved by legal counsel.

**SIGNIFICANCE**

The scope of the proposed change order consists of the final design of the PG&E Interconnections from PG&E's East Grand Substation in South San Francisco to PCEP's TPS-1 and PG&E's FMC Substation in San Jose to PCEP's TPS-2. These Interconnections are components of the required infrastructure that will provide power for the PCEP.

The design of the PG&E Interconnections was included as an allowance item in the Contract, because, at the time of Contract award, the requirements for the Interconnections had not yet been defined. Because the design costs have exceeded the Contract allowance, a Contract change order is required for the amount that exceeds the allowance.

This change order will allow the PCEP design-build contractor to proceed with the design of the PG&E Interconnections. Construction costs associated with the interconnection routes are currently being evaluated and would be the subject of a subsequent Contract change order.

The anticipated subsequent change order will also include redesign and potential construction costs to relocate a transmission pole that connects the PG&E Substation in San Jose to the PCEP TPS-2 substation. This change has been requested by VTA staff in order to mitigate a conflict between the transmission pole and the future BART Silicon

Valley Phase II Project tunnel. The design and potential construction costs will be funded by VTA.

The change proposed for Board of Directors action has been approved by the PCEP Change Management Board.

## **BUDGET IMPACT**

This Contract change order will be funded from the Interconnection budget line item included in the Board-approved PCEP Budget without requiring a budget amendment.

The future Contract change order to relocate the transmission pole to mitigate the conflict with the future BART Silicon Valley Phase II Project tunnel will be funded by VTA.

## **BACKGROUND**

The PCEP is a key component of the Caltrain Modernization (CalMod) Program. The PCEP will electrify the Caltrain Corridor from San Francisco's 4th and King Caltrain Station to approximately the Tamien Caltrain Station, convert diesel-hauled to electric trainsets ("Electric Multiple Unit" or "EMU"), and increase service to up to six Caltrain trains per peak hour per direction.

The Design-Build and EMU contracts, which are the cornerstone contracts of the Caltrain Electrification Program, represent approximately 60 percent of the CalMod budget.

The Board of Directors has authorized the Executive Director to enter into change orders of up to 5%. As the proposed Contract change order would be specifically approved by the Board, the proposed action will not decrease the Executive Director's remaining change order authority.

Presented By: Stacy Cocke, Deputy Director Program Management & Environmental Compliance, CalMod 650.508.6207

**RESOLUTION NO. 2018 - \_\_**

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

\* \* \*

**AUTHORIZING THE EXECUTIVE DIRECTOR TO EXECUTE A CHANGE ORDER TO  
THE PENINSULA CORRIDOR ELECTRIFICATION PROJECT CONTRACT WITH  
BALFOUR BEATTY, INC. FOR FINAL DESIGN OF PG&E INTERCONNECTIONS  
TO TRACTION POWER SUBSTATIONS 1 AND 2**

**WHEREAS**, the Peninsula Corridor Electrification Project (PCEP), a key component of the Caltrain Modernization Program, will electrify the Caltrain Corridor from San Francisco's 4th and King Caltrain Station to approximately the Tamien Caltrain Station, replace diesel-hauled trainsets with Electric Multiple Unit (EMU) trainsets, and increase service to up to six Caltrain trains per peak hour per direction; and

**WHEREAS**, the primary purposes of the PCEP are to improve Caltrain system performance and to reduce long-term environmental impacts associated with Caltrain service by reducing noise, improving regional air quality and reducing greenhouse gas emissions; and

**WHEREAS**, on July 7, 2016, the Board of Directors (Board) of the Peninsula Corridor Joint Powers Board (JPB), by means of Resolution No. 2016-35, awarded a contract to Balfour Beatty, Inc. for design-build services for PCEP (Contract); and

**WHEREAS**, the Pacific Gas & Electric (PG&E) Interconnections from PG&E's East Grand Substation in South San Francisco to PCEP's Traction Power Substation 1 (TPS-1) and PG&E's FMC Substation in San Jose to PCEP's Traction Power Substation 2 (TPS-2) are required in order to provide the electricity necessary to provide electric service; and

**WHEREAS**, completion of the final design of the PG&E Interconnections for TPS-1 and TPS-2 requires a change order to the Contract because the allowance in the Contract for such work was exceeded; and

**WHEREAS** the Staff Coordinating Council recommends and the Executive Director concurs that the Board authorize execution of the Contract change order in an amount not to exceed \$727,000.

**NOW, THEREFORE, BE IT RESOLVED** that the Board of Directors of the Peninsula Corridor Joint Powers Board authorizes the Executive Director to execute the Contract change order for final design of PG&E Interconnections to Traction Power Substations 1 and 2 in an amount not to exceed \$727,000.

Regularly passed and adopted this 6<sup>th</sup> day of September, 2018 by the following vote:

AYES:

NOES:

ABSENT:

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Chair, Peninsula Corridor Joint Powers Board

ATTEST:

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JPB Secretary

## **AGENDA ITEM #10**

### **SEPTEMBER 6, 2018**

# PENINSULA CORRIDOR JOINT POWERS BOARD STAFF REPORT

## ACTION

Staff Coordinating Council recommends the Board approve an increase of \$3,403,000 in the Executive Director's contract change order authority for the South San Francisco Station Improvement Project (Project) contract with Proven Management, Inc. (Contract), resulting in total Contract authority of \$38,798,555.

SIGNIFICANCE

The Project eliminates the hold-out rule at the current station that prevents two trains from entering the station at the same time by (a) replacing the existing platforms with a new center platform and (b) constructing a pedestrian underpass that connects the west and east sides of downtown South San Francisco. Construction of the pedestrian underpass requires the relocation of existing electrical, gas, and water lines. In order to align the Project construction with the Peninsula Corridor Electrification Project (PCEP) construction schedule, the Contract was let concurrent with the process of applying for permits required for utility relocation. Delays caused by multiple factors, including complex coordination with PCEP, have increased the anticipated cost of the contract and will require a pause in station and underpass construction work to allow for utility relocation. Funds for the change order are anticipated to come from Project contingency.

## BUDGET IMPACT

On June 7, 2018, pursuant to Resolution No. 2018-22, the Peninsula Corridor Joint Powers Board (JPB) Board of Directors (Board) adopted the Fiscal Year (FY) 2019 Capital Budget, which included \$1,300,000 for this Project, making the total Project budget \$64,500,000. Project funding sources include grants from the Federal Transit Administration, San Mateo County Transportation Authority, and the City of South San Francisco, as well as PCEP and Union Pacific Railroad reimbursements. Currently, the Project budget includes sufficient funds for the change orders expected to be issued subject to Board approval of the proposed action. However, staff expects to request a future Project budget amendment to fund the final anticipated costs to complete the Project. It is anticipated that these funds will come from local sources.

## **BACKGROUND**

Per Board Resolution No. 2017-42, the original award amount for the Contract was \$32,177,777 which also included Executive Director Contract change order authority of 10 percent of the total Contract amount, or \$3,217,778, for a total of \$35,395,555.

Staff estimates an additional \$3,403,000 is needed to address the delay caused by the late relocation of existing electric, gas, and water utilities and PCEP interface items which alter the original Contract work sequence. Below is a summary of the factors that contributed to this delay:

1. In 2008, JPB completed a station improvement design that included relocation of existing utilities. At the time an encroachment permit for utility relocation was obtained. The Project was postponed in 2008 and was rebooted in 2016. At that time, the Project was required to go through the permitting process again.
2. To avoid impacts to PCEP, the Contract includes the installation of PCEP Overhead Catenary System (OCS) foundations within the Project limits.
3. The Contract was advertised in April 2017 without a Caltrans utility encroachment permit to provide sufficient time to complete the OCS foundations for PCEP.
4. The process to secure the Caltrans permit took longer than expected and the start of utility relocation was delayed until August 2018. The pedestrian underpass cannot be constructed until the existing utilities are relocated.

Staff has for several months been resequencing the work to mitigate the cost and delay to the Project. With permitting complete and utility relocation started, staff evaluated several options to work around the active utilities to further minimize the delay impact to the Project schedule but concluded that temporary suspension of work under the Contract will minimize total additional Project costs, and will eliminate risks associated with undertaking major excavation activities during the winter wet season. In addition, because Proven also is working on the JPB's Tunnel Rehabilitation Project, the Contractor can deploy staff to that JPB project and then return them to the South San Francisco Station Improvement Project at the completion of the suspension period. This is expected to reduce remobilization cost and risk as the Project ramps back up. In all, suspension of Project construction is estimated to extend the completion schedule by 12 months.

Since the combined total for executed and anticipated change orders exceeds the current change order authority, an additional \$3,403,000 in change order authority is requested.

Negotiated Change Orders:	\$ 720,959
Estimate of Additional Change Orders:	\$ 5,899,819
Total Negotiated & Additional Change Orders:	\$ 6,620,778
Current Change Order Authority:	\$ 3,217,778
Requested Increase in Change Order Authority	\$ 3,403,000
Original Contract Value:	\$ 32,177,777
Not-to-Exceed Revised Contract Authority:	\$ 38,798,555
Project Manager: Chuck Bernardo	650.508.6410

**RESOLUTION NO. 2018 -**

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

\* \* \*

**INCREASING THE EXECUTIVE DIRECTOR'S CHANGE ORDER AUTHORITY BY \$3,403,000 FOR  
THE SOUTH SAN FRANCISCO STATION IMPROVEMENT CONTRACT**

**WHEREAS**, on August 3, 2017, pursuant to Resolution No. 2017-42, the Peninsula Corridor Joint Powers Board (JPB) awarded a contract to Proven Management, Inc. (Contract) to perform construction for the South San Francisco Station Improvement Project (Project), in an amount not to exceed \$32,177,777; and

**WHEREAS**, the Executive Director's original Contract change order authority was established at 10 percent of the total contract amount, or \$3,217,778; and

**WHEREAS**, a total of \$720,959 in change orders have been approved to-date to address differing site conditions which necessitated changes to construction sequencing, hazardous material handling, and work associated with third-party utilities; and

**WHEREAS**, staff estimates that there will be an additional \$5,899,819 in change orders needed for JPB-initiated design changes, additional changes due to differing site conditions, handling and disposal of unanticipated hazardous materials, and delay associated with delayed third-party utility relocation; and

**WHEREAS**, the combined total of executed and additional change orders will exceed the Executive Director's Contract change order authority by \$3,403,000; and

**WHEREAS**, Staff Coordinating Counsel recommends the Executive Director's Contract change order authority be increased in an amount not to exceed \$3,403,000, which will permit execution of essential change orders required for the Project.

**NOW, THEREFORE, BE IT RESOLVED** that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby increases the Executive Director's change order authority for the Contract with Proven Management, Inc. for the South San Francisco Station Improvement Project in an amount not to exceed \$3,403,000, for a total not-to-exceed revised Contract authority amount of \$38,798,555.

Regularly passed and adopted this 6<sup>th</sup> day of September, 2018 by the following vote:

AYES:

NOES:

ABSENT:

---

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

---

JPB Secretary



# South San Francisco Station Improvement Project

September 2018 Board meeting



# Overview

- Project Need
- Project Scope and Purpose
- Project Challenges
- Next Steps



# Project Purpose

**Why does existing station need to be replaced?**

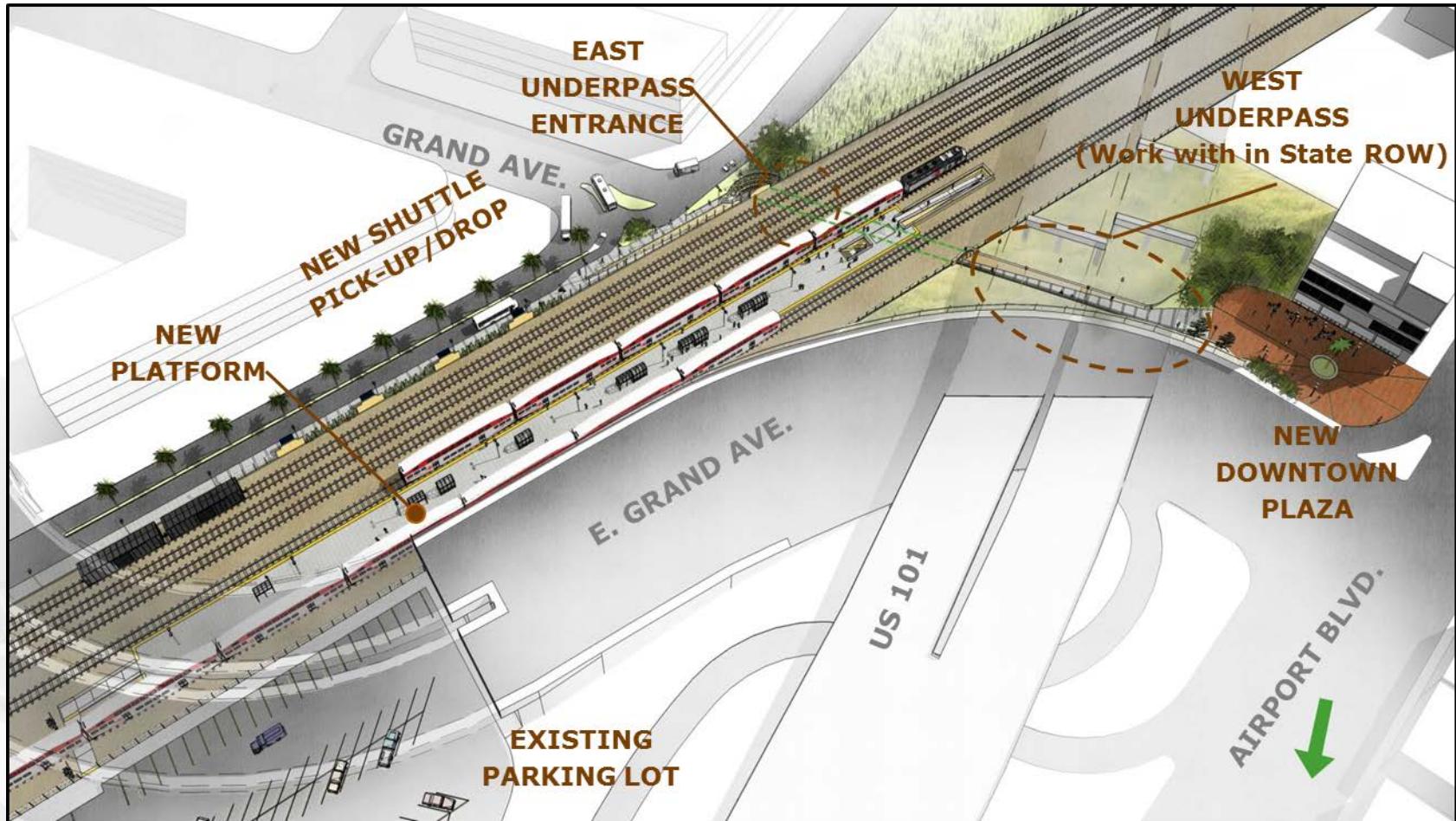
- Improve system operations (Remove Hold Out Rule)
- Improve station access
- Connect west and east sides of South San Francisco



# Existing Station



# Project Scope





# Project Scope

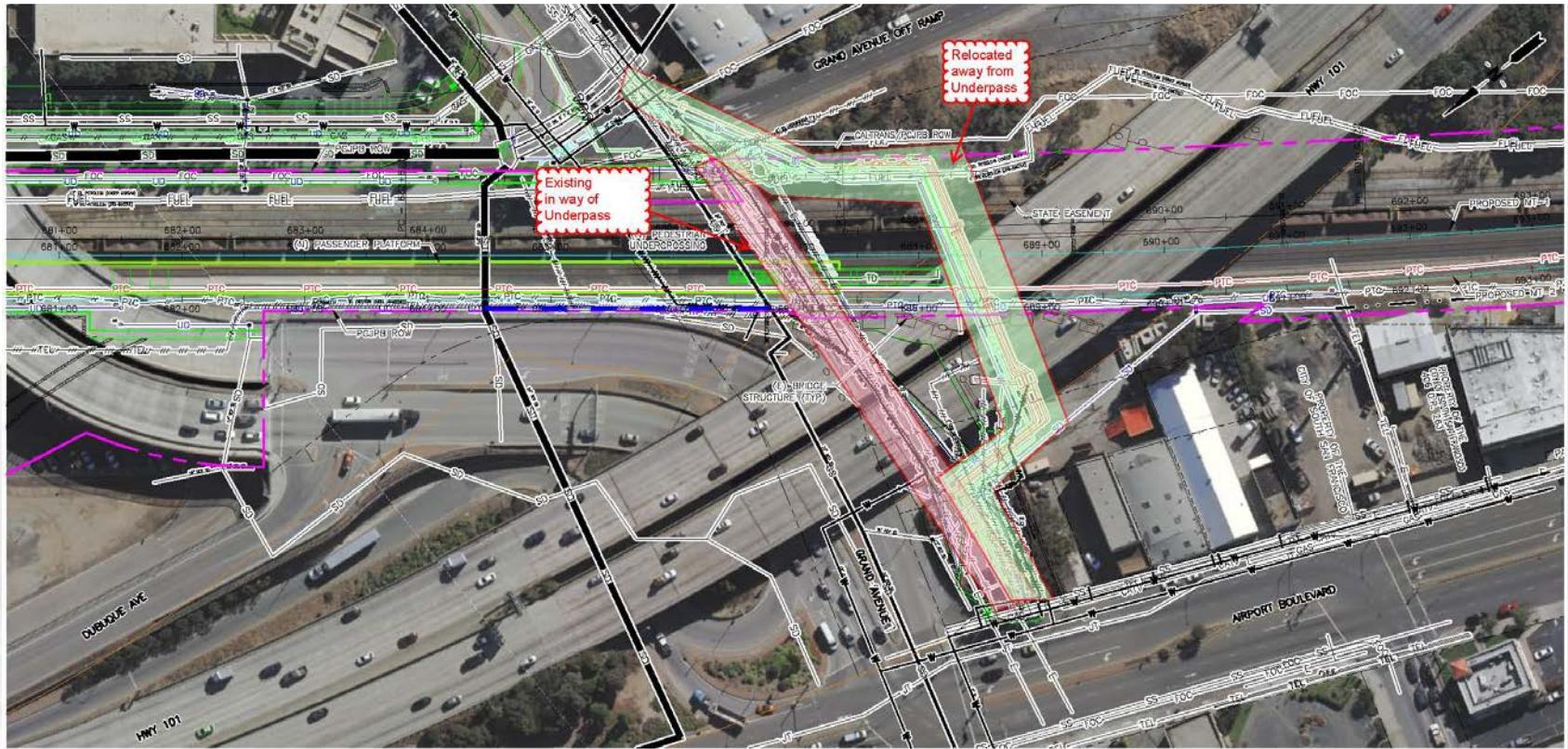
- Construct new center platform
- Remove and relocate utilities to allow for construction of new pedestrian underpass
- Construct new Downtown Plaza at Airport Boulevard and Grand Avenue
- Construct shuttle pick-up/drop-off area on Poletti Way



## **Original Construction Contract Schedule and Budget**

- Contract advertised April 2017 to maintain PCEP Schedule
- Contract awarded in August 2017
- Construction Contract = \$32.2 million with 10% Contingency
  - \$1.5 mil on behalf of Electrification (OCS Foundations)
- Construction began in January 2018
- Contract completion intended for June 2019

# Utility Relocation Work



**Red = Existing Utility; Same location as Underapss**  
**Green = Relocated Utility; Away from Underpass**

# Project Challenges

- Portion of Work is adjacent to active rail yard, requiring increased coordination with both commuter and freight operators
- Utility Relocation and Station Construction cannot be done concurrently.
- Work activities need to be coordinated with Peninsula Electrification Project. Planned activities may need to be modified to allow activities to be done concurrently.



## Working Adjacent to Active Rail Yard



# Utility Relocation Work



- Three different utilities need relocation
- Requires large temporary excavation support
- Limits areas to stage and store materials

# Underpass Construction



- Precast box installation
- Avoid activity during utility relocation and wet season (Estimated Duration = 7mos)

## Renderings of Completed Station



Center Platform, Looking North



## Renderings of Completed Station



Downtown Plaza, Looking East



## Summary

- Request to increase Contract Authority by \$3,403,000, making Total Contract Authority \$38,798,555.
- Revised Contract End Date is August 2020.
- Project likely to return for more Budget Authority
- Suspension of Station Construction to allow Utility Relocation:
  - Minimizes daily time related costs since Contractor will deploy resources to Tunnel 1 and 4 while Utilities are relocated.
  - Retains key Contractor staff to complete Station Construction once Tunnel 1 and 4 project is complete.
  - Maximizes work areas for utilities to perform relocation work.

**AGENDA ITEM # 11  
SEPTEMBER 6, 2018**

**PENINSULA CORRIDOR JOINT POWERS BOARD  
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett  
Executive Director

FROM: Michelle Bouchard  
Chief Operating Officer, Rail

SUBJECT: **2018 CALTRAIN ANNUAL COUNT PRESENTATION**

**ACTION**

The report is for information only. No Board action is required at this time.

**SIGNIFICANCE**

The presentation of the results of the 2018 Caltrain Annual Counts demonstrates the passenger ridership trends that Caltrain is experiencing. Analysis of the ridership numbers and passenger use of the stations and trains guide decisions Caltrain makes regarding the development of its Operating budgets and other activities, such as service planning, equipment assignments and future capacity planning.

Results and analysis are provided in the presentation in more detail and will be further detailed in the Key Findings Report which will be posted on the Caltrain website by September.

**BUDGET IMPACT**

There is no impact on the budget.

**BACKGROUND**

The Annual Counts are conducted every year in the early calendar months. The counts provide detailed ridership data for planning purposes. This year, count survey was performed in January and February. Surveyors were deployed to count number of passengers, bicycles and passengers needing assistance (PNAs) boarding and alighting on each train and at each station. Bikes denied boarding were also tallied.

**Methodology:**

Prior to this year, all weekday trains were surveyed five times each, once on each weekday Monday to Friday in addition to all weekend trains surveyed once on Saturday and Sunday. The Count survey results for weekday trains were reported as average weekday ridership (AWR), a 5-day average of the survey results.

This year the survey count methodology for the weekday trains was modified due to rising costs to secure a quality survey consultant and budget constraints. Instead of

surveying all weekday trains five times each, weekday trains were surveyed only twice each on two mid-weekdays (Tuesday, Wednesday, and Thursday). There was no change made to the weekend train survey; all trains were counted once each on Saturday and Sunday.

Because the weekday trains were surveyed on only mid-weekdays, this year's results for weekday trains are reported as average mid-weekday ridership (AMWR). According to the 5-year historic trend, Caltrain ridership on Mondays and Fridays are relatively lower than that on mid-weekdays (approximately 1 percent less on Mondays and 9 percent less on Fridays). AMWR captures passenger demands without underestimating it.

An "apples-to-apples" comparison between this year's 2018 average mid-weekday ridership to last year's 2017 average mid-weekday ridership is provided. Ridership from Tuesday to Thursday was extracted from 2017 survey data to generate average mid-weekday ridership.

## Summary of Findings:

- AMWR has grown from 64,114 in 2017 to 65,095 in 2018 (1.5 percent increase).
  - AMWR-based weekday time-of-day ridership changed as follows between 2017 and 2018:
    - Traditional peak ridership (the sum of morning peak northbound ridership and afternoon peak southbound ridership) increased by 825 (2.5 percent) to 34,373.
    - Reverse peak ridership (the sum of morning peak northbound ridership and afternoon peak southbound ridership) increased by 1,009 (5.1 percent) to 20,745.
    - Midday and evening ridership decreased (-9.2 percent in midday; -5.1 percent in evening respectively).
    - Ridership of Gilroy extension AMWR increased from 693 to 800 (15.4 percent).
  - Number of passengers boarded with bicycles on an average mid-weekdays increased from 5,584 in 2017 to 5,919 in 2018 (6.0 percent).
  - Bikes denied boardings decreased.
  - Weekend ridership decreased by 12.3 percent from last year while the weekend service level was reduced by 23.5 percent since the last Annual Count in order to accommodate construction work windows for the Electrification Project.

Prepared by: Yu Hanakura, Senior Planner 650.508.7700  
Catherine David, Principal Planner 650.508.6471



# 2018 Annual Passenger Counts

Board of Directors  
September 6, 2018  
Agenda Item #11



# Presentation Outline

- Purpose of Annual Count
- Count Methodology
- 2018 Challenges
- 2018 Count Results
  - Weekday
  - Weekend
- Summary
- Next Steps



# Purpose of Ridership Counts

- Provide measurement relative to previous years
- Data for evaluating service changes
  - Identify trends: station, time, train, direction
- Allocate resources to address capacity issues
- Validate revenue-based ridership estimates
- Data for future capacity planning



# Data Collection Methodology

- New weekday count methodology
- Weekday: Headcount every train averaged over 2 mid-weekdays
- Weekend: Headcount on every train for one weekend
- Seventh year “bikes denied boarding” count
- Differs from other ridership count methods:
  - Monthly revenue-based average weekday ridership calculations
  - Identify ridership based on randomized samplings for National Transit Database (NTD)



# New Weekday Count Methodology

- Reason: Increasing project costs & budget constraints (~ savings \$400K to \$500K)
- Good opportunity to revisit methodology
- This year: Average 2 mid-weekday counts
  - “Average Mid-Weekday Ridership” (AMWR)
  - “Average Mid-Weekday Bike Ridership” (AMWBR)
  - Capture true maximum load (Mid-Weekday = busier; Mon. & Fri. = lighter) (-1% Mon.; -9% on Fri.)
- All data comparisons 2018 and 2017 “AMWR”
  - 2017: Tues to Thurs data to generate mid-weekday average data (Apples to Apples)

# Challenges

- New weekday count methodology
- New sub-consultant team to conduct, oversee & manage field surveys
- Survey in mixed-fleet environment
  - Consist length (5 cars or 6 cars)
  - Different # of doors per car (Gallery or Bombardier)
- Timetable changes after 2017 Annual Count
  - Impacts baseline data used for planning & special event service comparisons

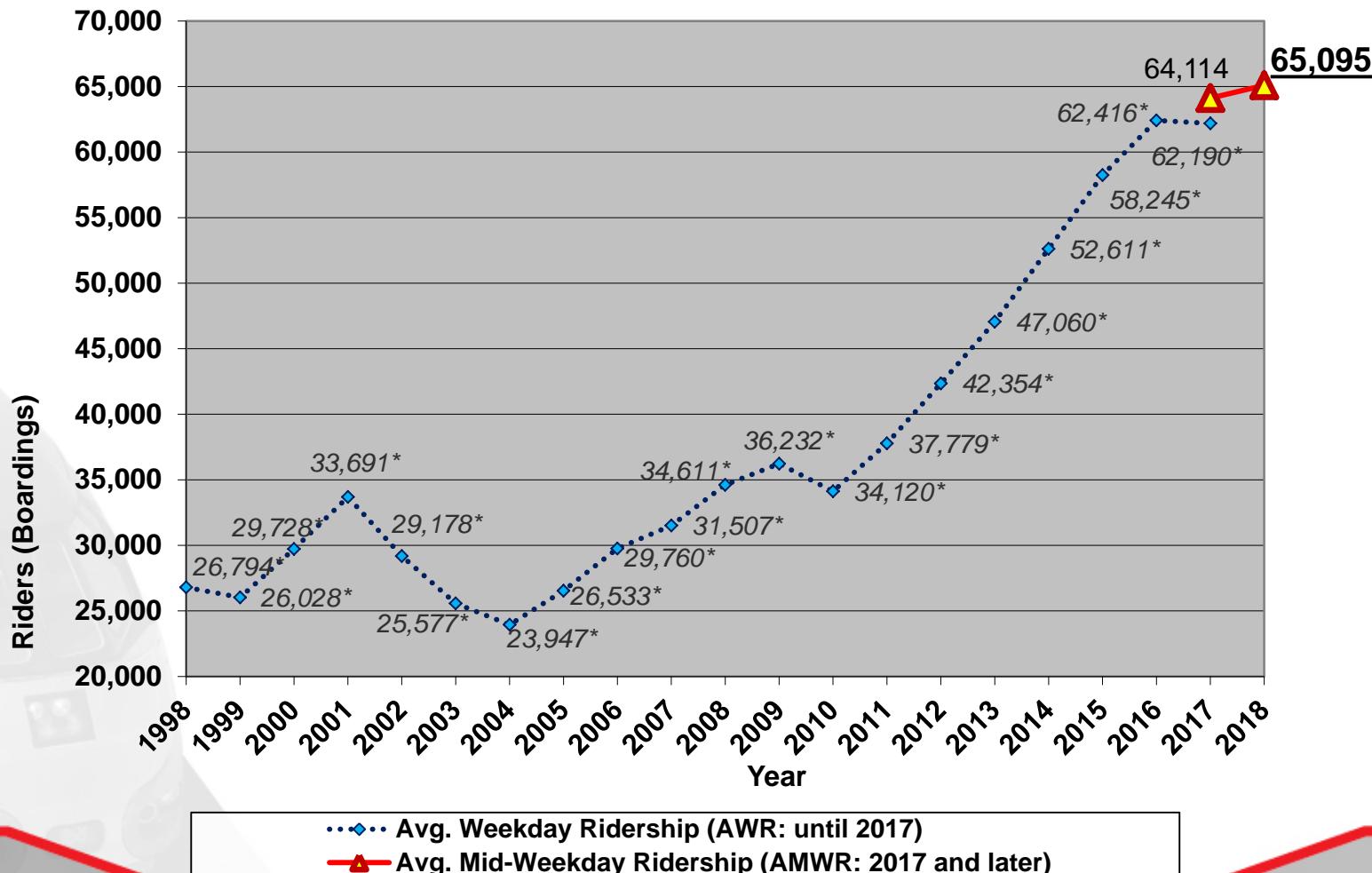


# Timetable Changes

- Weekdays (4/10/2017)
  - Adjustments to support the electrification project construction work windows
  - Time adjustments for increased reliability
  - Stops added/reduced to selected trains
  - AM SB trains sequence change
- Weekends (7/15/2017)
  - Service reduction to support the electrification project construction work windows
    - From 60-min frequency to 90-min frequency
- Weekdays (10/1/2017)
  - Adjustments to enhance operations efficiency

# Average (Mid-) Weekday Ridership

**1.5% AMWR Increase**





# Riders by Time Period (2017 vs 2018)

Time Period	2017 AMWR	2018 AMWR	% Change (Difference)
Traditional Peak (NB AM + SB PM)	33,548	34,373	2.5% (825)
Midday	7,316	6,642	-9.2% (-674)
Reverse Peak (SB AM + NB PM)	19,736	20,745	5.1% (1,009)
Night	3,514	3,335	-5.8% (-179)
TOTAL	64,114	65,095	1.5% (981)



# Riders Train Type (2017 vs 2018)

**Peak-period (AM + PM) Average ridership per train**

Train Type	2017 AMWR	2018 AMWR	% Change
Baby Bullet	904	914	1.1%
Limited	814	856	5.1%
Local	351	412	17.5%

- Growth on all train types
- More growth on slower train types



# Station Ridership (2017 vs 2018)

- Ridership Increased 18 stations**

Station	% Change (Difference)
Hayward Park	51.2% (197)
College Park	31.7% (26)
Belmont	30.1% (181)
Gilroy	22.7% (47)
Capitol	19.4% (13)
Blossom Hill	14.1% (18)
22nd Street	11.5% (205)
Morgan Hill	11.3% (24)
San Martin	7.4% (6)
San Mateo	7.0% (149)

Station	% Change (Difference)
Redwood City	6.9% (271)
Santa Clara	6.1% (63)
Hillsdale	6.1% (185)
San Bruno	1.9% (13)
Palo Alto	1.6% (124)
Burlingame	1.4% (15)
San Jose Diridon	1.3% (61)
Mountain View	0.8% (37)



# Station Ridership (2017 vs 2018)

- **Ridership Decreased 11 stations**

Station	% Change (Difference)
So. San Francisco	-8.9% (-46)
Menlo Park	-4.1% (-73)
California Ave.	-3.7% (-65)
Tamien	-3.0% (-40)
Millbrae	-2.9% (-102)
Lawrence	-1.9% (-18)
Sunnyvale	-1.6% (-55)
San Francisco	-1.5% (-239)
San Antonio	-1.2% (-12)
Bayshore	-0.5% (-1)
San Carlos	-0.2% (-3)

Weekday Boardings - AMWR



# Top 10 Stations (Weekday Boardings)

Station	2017		2018	
	Rank	AMWR	Rank	AMWR
San Francisco	1	15,666	1	15,427
Palo Alto	2	7,640	2	7,764
San Jose Diridon	3	4,815	3	4,876
Mountain View	4	4,773	4	4,810
Redwood City	5	3,941	5	4,211
Sunnyvale	7	3,419	6	3,364
Millbrae	6	3,441	7	3,340
Hillsdale	8	3,044	8	3,229
San Mateo	9	2,141	9	2,291
22nd Street	11	1,772	10	1,977

*Light Red = Change in rankings*

*Note: Menlo Park was the 10<sup>th</sup> busiest station by average mid-weekday boarding volume in 2017*



# County-by-County Comparison

County	2017 AMWR (% of Total Boardings)	2018 AMWR (% of Total Boardings )	% Change (Difference)
San Francisco	17,686 (27.6%)	17,651 (27.1%)	-0.2% (-36)
San Mateo	18,970 (29.6%)	19,757 (30.4%)	4.1% (787)
Santa Clara	27,458 (42.8%)	27,688 (42.5%)	0.8% (229)
TOTAL	64,114	65,095	1.5% (980)



# Average Passenger Trip Length

Train Type	2017 Miles AMWR	2018 Miles AMWR
Weekday	23.4	22.9
Baby Bullet	28.3	27.5
Peak Limited & Locals	20.9	20.8
Off Peak	21.9	21.5
All Locals	21.6	21.0

- Weekday average trip length for 2018 is slightly lower than 2017



# 2018 Busiest NB Trains: Max Load

11 trains at  $\geq 95\%$  of seated capacity at max. load point

Northbound						
	Train Number	Depart SJ	As Leaving	Max Load (AMWR)	Train Seated Capacity	% of Seated Capacity
g	221	7:23 AM	Mountain View	845	650	130%
b	329	8:04 AM	Sunnyvale	968	760	127%
g	217	6:59 AM	Hillsdale	950	760	125%
	215	6:54 AM	San Bruno	810	650	125%
	225	7:54 AM	San Bruno	943	760	124%
b	319	7:04 AM	Sunnyvale	936	760	123%
	227	7:59 AM	Hillsdale	790	650	121%
b	323	7:49 AM	Mountain View	894	760	118%
b	313	6:49 AM	Hillsdale	822	760	108%
	269	4:40 PM	Redwood City	773	760	102%
	233	8:39 AM	San Antonio	772	760	102%

*b = Baby Bullet; g = Gilroy train;*

*Light yellow = AM ("traditional peak"); Light blue = PM ("reverse peak")*



# 2018 Busiest SB Trains: Max Load

14 trains at  $\geq 95\%$  of seated capacity at max. load point

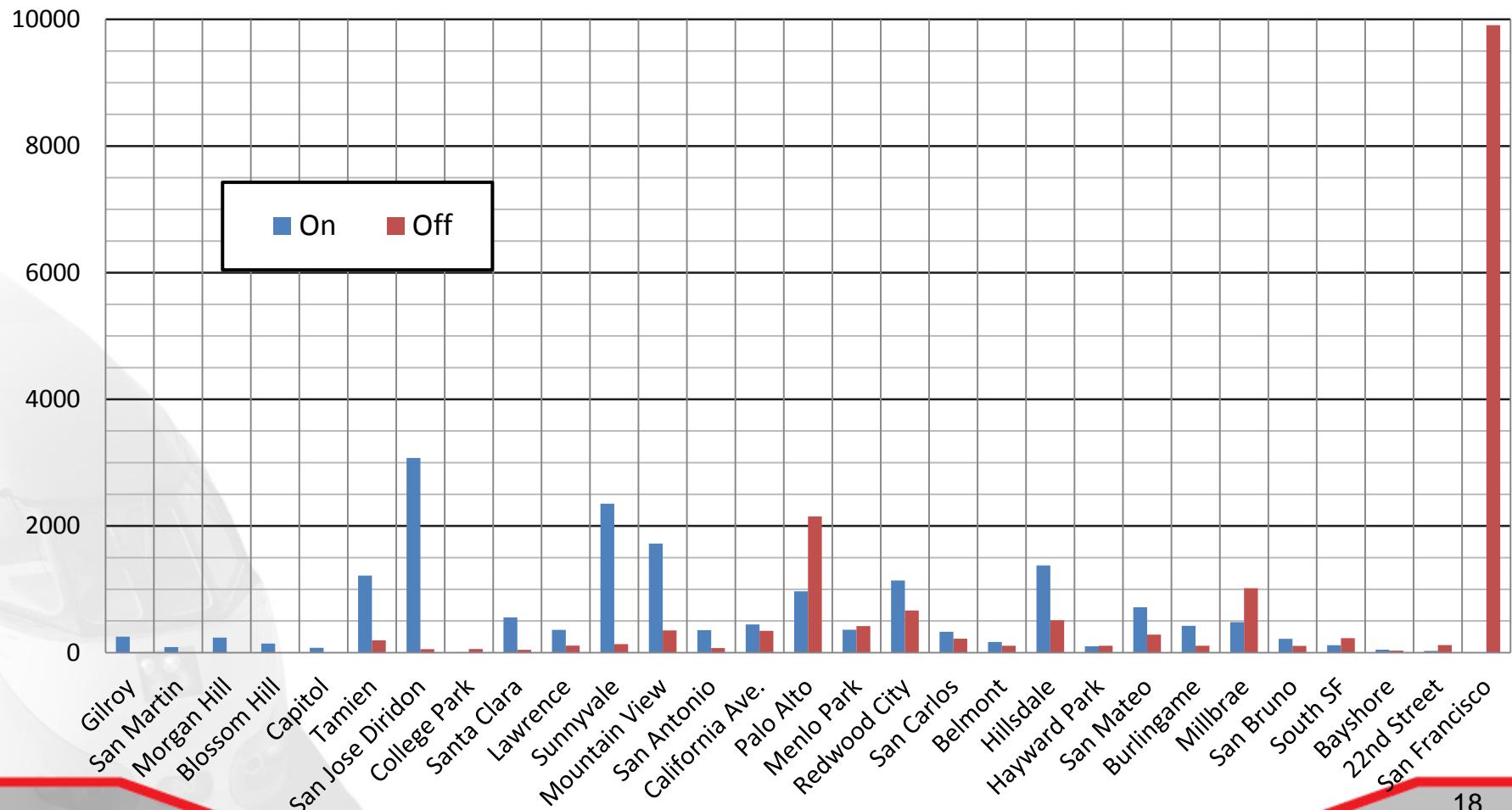
Southbound						
	Train Number	Depart SF	As Leaving	Max Load (AMWR)	Train Seated Capacity	% of Seated Capacity
b	366	4:38 PM	Palo Alto	1,066	760	140%
b	376	5:38 PM	Millbrae	952	760	125%
b	324	7:59 AM	Millbrae	898	760	118%
	360	4:12 PM	Palo Alto	767	650	118%
	278	5:58 PM	Millbrae	885	760	116%
g	268	4:58 PM	California Ave.	853	760	112%
	330	8:35 AM	Millbrae	712	650	110%
b	370	5:16 PM	Millbrae	823	760	108%
	272	5:27 PM	San Francisco	822	760	108%
	262	4:23 PM	California Ave.	692	650	106%
	258	3:34 PM	California Ave.	679	650	104%
b	380	6:16 PM	San Francisco	678	650	104%
	222	7:45 AM	Redwood City	633	650	97%
b	314	6:59 AM	Hillsdale	632	650	97%

*b = Baby Bullet; g = Gilroy train;*

*Light yellow = AM ("reverse peak"); Light blue = PM ("traditional peak")*

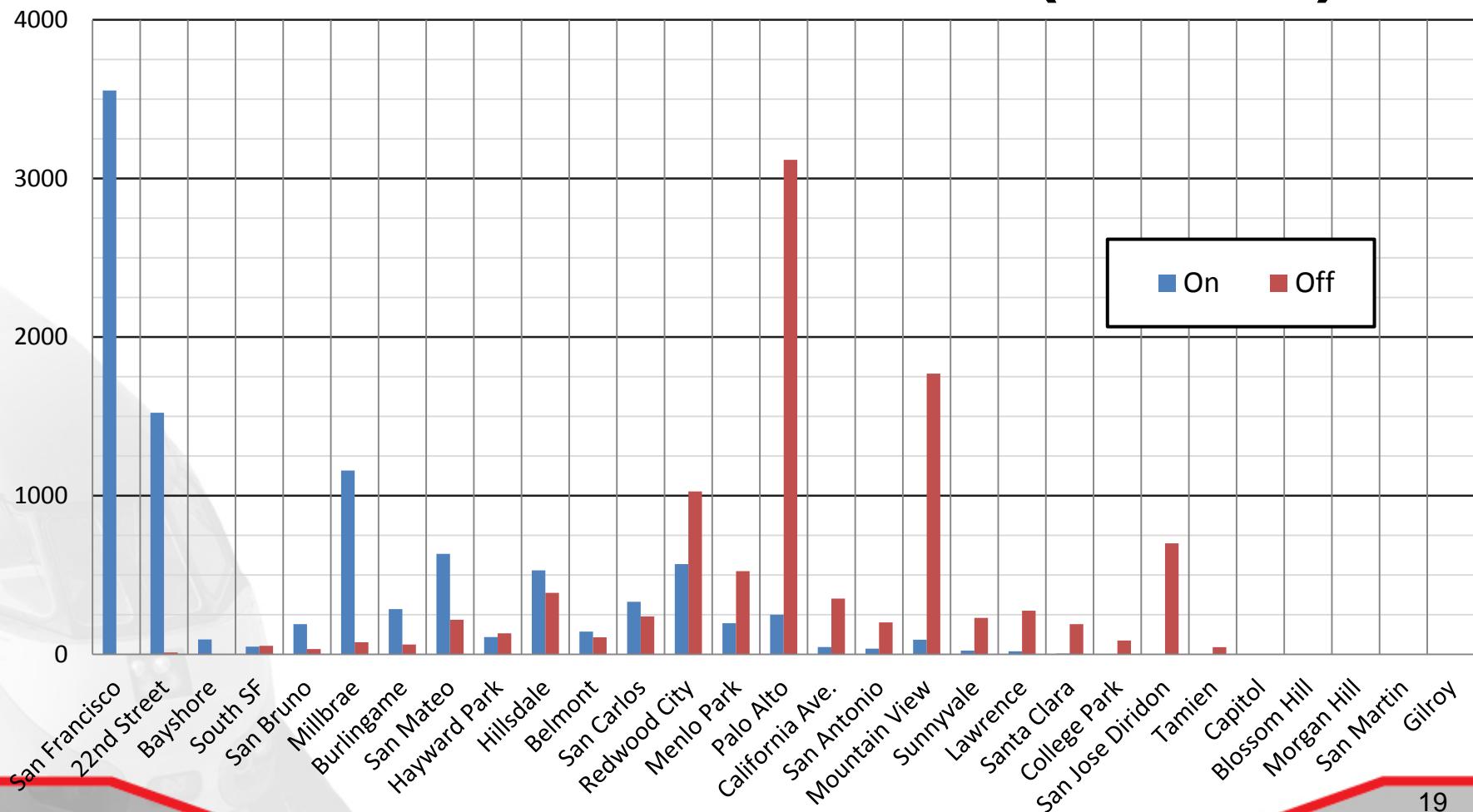


# Peak Period Boarding/Alighting Traditional Peak Direction (AM NB)





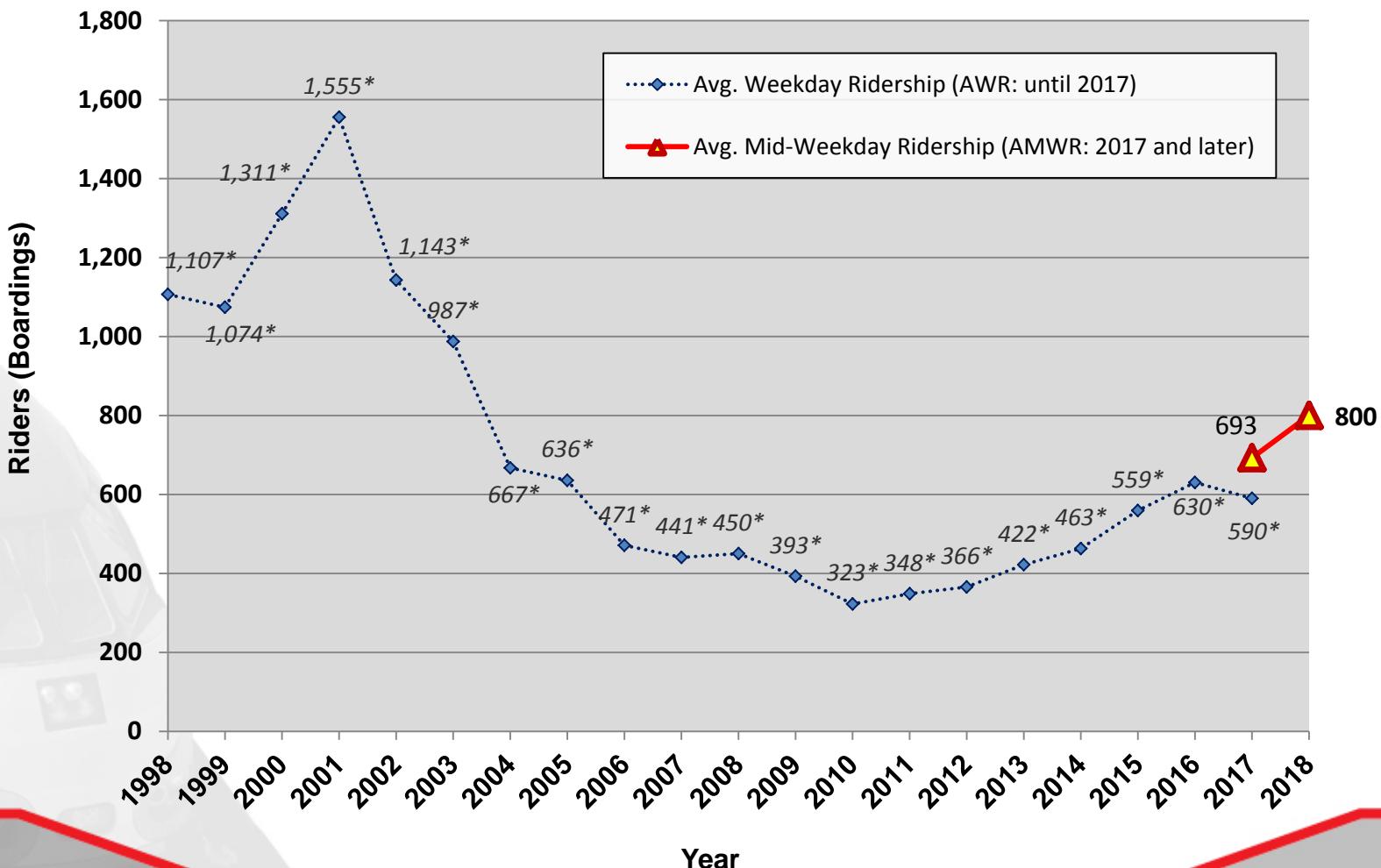
# Peak Period Boarding/Alighting Reverse Peak Direction (AM SB)





# Gilroy Avg. (Mid-) Weekday Ridership

**15.4% AMWR increase**



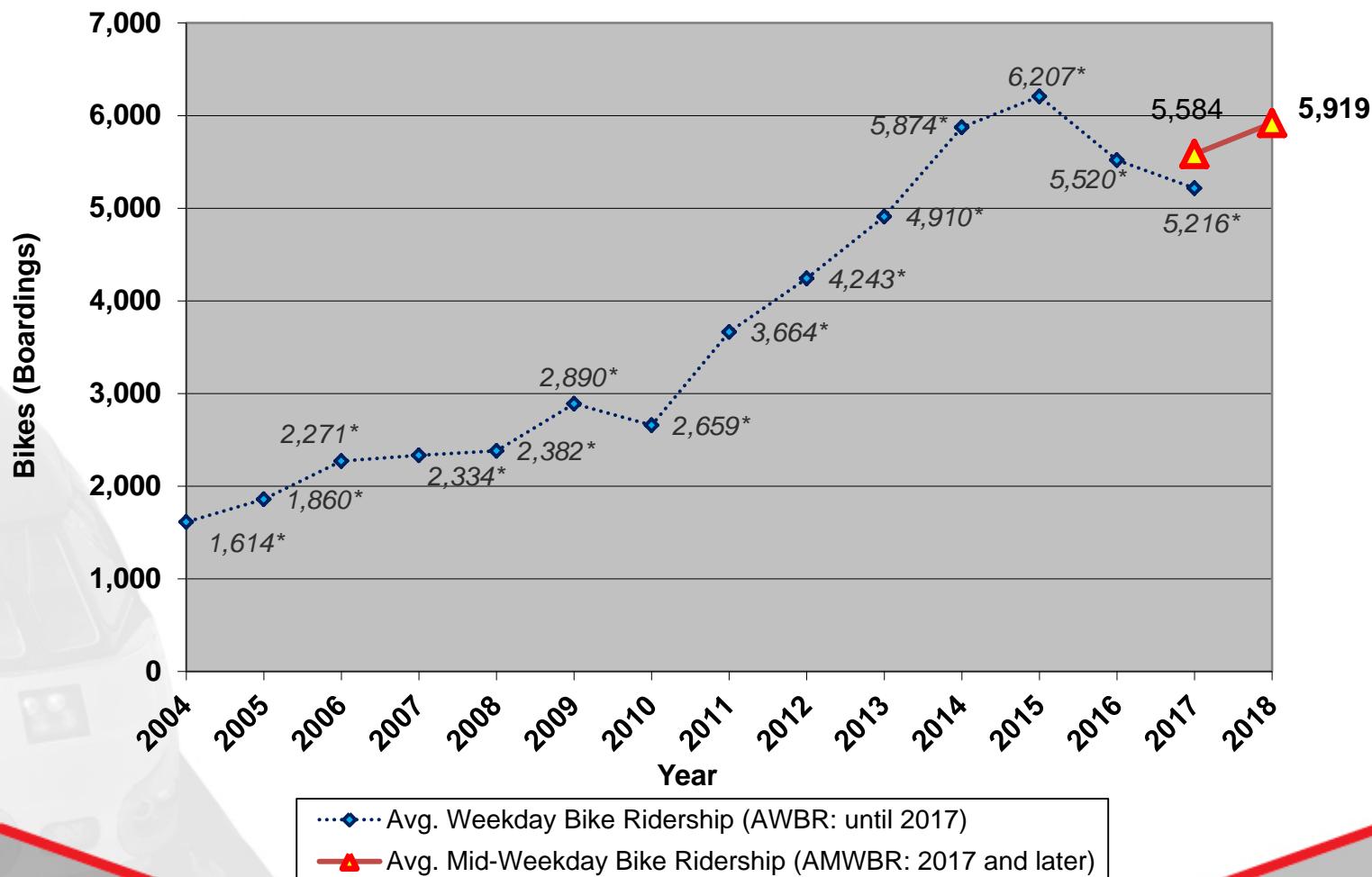


# Gilroy Extension Ridership

- 2001: Highest ridership (1,555 AWR)
  - Increased during Dot-Com Boom
- 2010: Lowest ridership (323 AWR)
  - Ridership declined sharply after Dot-Com bust and US 101 Fwy. Widening
- 2011-2017: Ridership steadily increased
- 2018: 15.4% AMWR increase
  - Begin service planning with VTA in concert with the Caltrain Business Plan

# Avg. (Mid-) Weekday Bike Ridership

## 6.0% AMWBR increase





# Bicycle Boardings: Top 10 Stations (Weekday)

Station	2017		2018		2017 vs 2018
	Rank	AMWBR	Rank	AMWBR	% Change (Difference)
San Francisco	1	1,240	1	1,442	16.3% (202)
Palo Alto	2	765	2	796	4% (31)
Mountain View	3	470	3	551	17.2% (81)
Redwood City	4	341	4	407	19.2% (66)
San Jose Diridon	5	324	5	359	10.8% (35)
Sunnyvale	6	275	6	303	10.5% (29)
Hillsdale	7	247	7	257	4% (10)
22nd Street	8	218	8	251	15% (33)
California Ave.	9	212	9	225	6% (13)
San Mateo	10	164	10	218	33.2% (54)



# Bikes Denied Boardings

- Seventh year counted with annual count
- 21 bumps (2018) vs 87 bumps (2017)
- 2018: 21 bikes denied on 236 trains counted
- 2017: 87 bikes denied on 527 trains counted
- Equiv. comparison: Bumps observed per 1,000 bikes boarded decreased to 1.6 (3.2 in 2017)
- Observed at 6 stations, 2 trains (all NB; no SB)
- No bumps observed on weekend trains



# Passenger Needing Assistance (PNA) Boardings (Weekdays)

- 2017: 44 PNA boardings per mid-weekday
- 2018: 35 PNA boardings per mid-weekday
  - PNA boardings on 45 trains of 92 scheduled trains during count
- 2017 vs 2018: 20% decrease



# Weekend Service

- First passenger count after reduced weekend local service (electrification work windows)
  - 60-min to 90-min frequency
  - Saturday: 36 trains to 28 trains (22% reduction)
  - Sunday: 32 trains to 24 trains (25% reduction)



# Weekend Service (2017 vs 2018)

## Corridor-Wide Boardings

Passenger	2017	2018	Difference	% Change
Saturday	15,612	13,954	-1,658	-10.6%
Sunday	11,274	9,636	-1,638	-14.5%
TOTAL	26,886	23,590	-3,296	-12.3%

## Weekend-Only Station Boardings (Sat. + Sun.)

Station	2017	2018	% Change
Broadway	166	114	-31.3%
Atherton	154	114	-26.0%



# Weekend Service

## 5 Busiest Trains (Northbound)

### By Passenger Boardings:

Saturday			Sunday		
Train Number	Depart SJ	Passenger Boardings	Train Number	Depart SJ	Passenger Boardings
	427	11:38 AM	828	427	11:38 AM
	429	1:08 PM	816	b 801	9:51 AM
b	801	9:51 AM	758	429	1:08 PM
	431	2:38 PM	723	431	2:38 PM
	433	4:08 PM	623	425	10:08 AM

b = Baby Bullet Express

### By Maximum Passenger Load:

Saturday				Sunday			
Train Number	Depart SJ	As Leaving:	Max Load	Train Number	Depart SJ	As Leaving:	Max Load
b 801	9:51 AM	San Mateo	668	b 801	9:51 AM	San Mateo	492
	427	11:38 AM	Broadway	608	427	11:38 AM	Burlingame
	429	1:08 PM	San Mateo	519	429	1:08 PM	San Mateo
	431	2:38 PM	San Mateo	496	431	2:38 PM	Belmont
b 803	5:21 PM	San Mateo	457	423	8:38 AM	San Mateo	311



# Weekend Service

## 5 Busiest Trains (Southbound)

### By Passenger Boardings:

Saturday			Sunday		
Train Number	Depart SF	Passenger Boardings	Train Number	Depart SF	Passenger Boardings
434	5:07 PM	954	434	5:07 PM	678
432	3:37 PM	785	432	3:37 PM	581
436	6:37 PM	653	430	2:07 PM	566
430	2:07 PM	580	428	12:37 PM	478
440	9:37 PM	489	436	6:37 PM	477

b = Baby Bullet Express

### By Maximum Passenger Load:

Saturday				Sunday					
Train Number	Depart SF	As Leaving:	Max Load	Train Number	Depart SF	As Leaving:	Max Load		
434	5:07 PM	Burlingame	679	434	5:07 PM	Millbrae	494		
432	3:37 PM	Hayward Park	507	430	2:07 PM	Burlingame	408		
436	6:37 PM	Burlingame	483	432	3:37 PM	Burlingame	397		
b	804	7:34 PM	Millbrae	414	436	6:37 PM	Millbrae	370	
	440	9:37 PM	Millbrae	391	b	804	7:34 PM	San Mateo	354

# Summary

- Change of Weekday Count Methodology
  - AWR to AMWR; AWBR to AMWBR
- Weekday ridership increased during peak periods
- Gilroy Extension weekday ridership increased
- Bike ridership increased *but* “bumps” observed decreased
- Overall weekend passenger ridership decreased but not proportionally to decreased service level (-10 to -14% boardings from 22 to 25% fewer trains)



# Next Steps

- Incorporate data w/ Caltrain Business Plan efforts to strategize for future scheduling and passenger capacity
- Planning for future Annual Counts Methodology
  - AMWR & AMWBR for all counts moving forward
  - Automatic Passenger Counters (APCs) on EMUs



# Questions

For additional information

Key Findings Report & raw data (excel) posted by September to:

<http://www.caltrain.com/about/statsandreports/Ridership.html>

JPB BOARD MEETING  
CORRESPONDENCE

September 6, 2018

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**From:** elana lieberman  
**Sent:** Wednesday, August 01, 2018 2:57 PM  
**To:** Tietjen, Brent; Board (@caltrain.com)  
**Subject:** Please delay approving the proposed electrification station at Mills and California, in Burlingame

Dear Board and Mr. Tietjenb,

I am a resident of the Burlingame Game neighborhood, and I urge you to delay your decision to build an electrification station at the corner of Mills and California until you have more input from the community.

Unfortunately, I cannot make either the meeting tonight (which we just heard about a few days ago) or the meeting in the middle of the work day tomorrow, but I want to add my name to the list of those of us in the neighborhood who believe a better plan can be achieved.

I join many in wondering why such a station can not be built in a nonresidential zone, such as the east side of the tracks at that point or perhaps just south of the millbrae station itself, which is entirely commercial.

I also would expect a CEQA review to be in order, particularly in terms of the potential harmful effects of the station so close to homes with young children and older folk -- not to mention those of us in between!

I look forward to hearing good news about the meeting tonight, specifically that you have begun seeking community input and buyin before embarking on such a major change to our residential community.

Best,  
Elana Lieberman  
Oxford Road

---

**From:** Sandra Sullivan  
**Sent:** Wednesday, August 01, 2018 5:38 PM  
**To:** Board (@caltrain.com)  
**Subject:** Burlingame electrification station

Dear Caltrain Board,

I have recently learned that Caltrain plans to build an electrification paralleling station at California Drive and Mills Ave ***on the WEST (residential) side of the tracks rather than the EAST (industrial) side of the tracks.*** This is very concerning after seeing the photo of a similar station in the Caltrain documents ([Summary of Paralleling Station at Mills](#)), a 40x80 foot high structure, equivalent to at least a 5-7 story building.

Given the height and size of this station, the Burlingame community should be involved in the discussion of the placement of this Caltrain station. In placement of this structure Caltrain should take into account minimizing seeing it from residential neighborhoods, minimize the potential danger to residential neighborhood, minimize the impact this structure has on residential property values, and minimize impact on traffic flow. It should be minimizing the impact on a community that uses and supports Caltrain. For this reason, Caltrain should figure out how to locate this structure on the east side, industrial area. This would allow Caltrain to build the structure they need while being mindful of the impact it has on communities it serves. The Burlingame should be included in this very important decision that has a huge impact on its residents.

Respectfully Yours,  
Sandra Sullivan  
Burlingame resident 20 years

---

**From:** Nina Wang  
**Sent:** Wednesday, August 01, 2018 6:27 PM  
**To:** Board (@caltrain.com)  
**Subject:** Opposition to the Location of the Paralleling Station in Burlingame, CA

To The Caltrain Board of Directors:

I am a resident of Burlingame, California and live approximately 2 blocks from the proposed location of the paralleling station at Mills and California Avenues. I would like to voice my concern and opposition to the location of the paralleling station. The station needs to be moved to the east side of the tracks and further away from our residential neighborhood.

Firstly, we were never informed of this change in location of the paralleling station. As residents who live in close proximity to the new location, it is vital that we are made aware of such changes that will impact our daily lives.

Secondly, California Avenue is used by many families who walk to and from their homes to Laguna Park and Village Park. My own children walk our dog on California, passing this point, on a daily basis. Bicyclists use California Avenue to commute to and from work. Having the electrification station located on the west side of the tracks will be a hazard to all who use California Avenue.

Finally, with potential health risks, it is evermore important for the paralleling station to be moved as far away from residents as possible.

Thank you for your consideration.

Nina Wang

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**From:** Lisa Chai  
**Sent:** Wednesday, August 01, 2018 9:40 PM  
**To:** council@burlingame.org; Board (@caltrain.com); Lisa Goldman  
**Cc:** Tietjen, Brent  
**Subject:** Caltrain PS3 New Preferred Location

Thank you Councilmembers, City Manager (and your team) and to Caltrain so very much for hearing our town's desire to move the location of PS3 away from our residential neighborhood in Burlingame. I know it took a tremendous amount of phone calls, emails, insight, and effort in these last few days on all involved in this large project. It is a great collaboration of cooperation between Caltrain and our City of Burlingame of which we should all be very proud. Thank you all for your commitment to our community.

Many thanks,  
Lisa Chai

2018 BOARD OF DIRECTORS



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1250 SAN CARLOS AVE  
SAN CARLOS, CA 94070  
(650) 508-6200

August 2, 2018

Honorable Governor Jerry Brown  
c/o State Capitol, Suite 1173  
Sacramento, CA 95814

**RE: AB 2034 (Kalra) – Human trafficking: notice**

Dear Governor Brown:

On behalf of the San Mateo County Transit District (SamTrans) and the Peninsula Corridor Joint Powers Board (Caltrain), I write to you today in SUPPORT of AB 2034 (Kalra), which would require specified businesses and other establishments that operate an intercity passenger rail, light rail, or bus station to provide employee training on how to both recognize the signs of human trafficking and report those signs to the appropriate law enforcement agency.

Current law requires specified businesses and other establishments--including airports, bus stations, truck stops, and intercity and light rail stations--to post public notices providing information about how to report human trafficking and slavery, and contact specified non-profit organizations who assist and support victims of human trafficking. States with posting requirements similar to California's have seen an increase in reported crimes and victim rescues.

If enacted, AB 2034 will expand existing law by imposing a state-mandated program for training employees of specified businesses and other establishments who may come into contact with victims of human trafficking. It would require the California Department of Justice to consult with community-based anti-human trafficking organizations, representatives of mass transit employees, and representatives of mass transit system organizations to develop training guidelines on or before July 1, 2020, and implement this training by January 1, 2021. Because the training program would be state-mandated, this bill would enable reimbursement for incurred costs, meaning that effective training can be implemented across the board.

Both SamTrans and Caltrain would be subject to this law. We support this bill because training our employees to recognize and report signs of human trafficking allows us to both improve and continue to prioritize the safety of our customers and community.

Honorable Jerry Brown

AB 2034

Page 2 of 2

For these reasons, we respectfully urge your **SUPPORT** for AB 2034. Please feel free to contact Casey Fromson, Director of Government and Community Affairs, at (650) 508-6493 or via email at [fromsonc@samtrans.com](mailto:fromsonc@samtrans.com) if you need any additional information.

Sincerely,



Jim Hartnett

General Manager/Chief Executive Officer/Executive Director

cc: Peninsula Corridor Joint Powers Board of Directors  
Peninsula Corridor Joint Powers State Legislative Delegation  
San Mateo County Transit District Board of Directors  
San Mateo County Transit District State Legislative Delegation



MICHAEL BROWNRIGG, MAYOR  
DONNA COLSON, VICE MAYOR  
EMILY BEACH  
ANN KEIGHRAN  
RICARDO ORTIZ

## The City of Burlingame

CITY HALL -- 501 PRIMROSE ROAD  
BURLINGAME, CALIFORNIA 94010-3997

TEL: (650) 658-7200  
FAX: (650) 656-9282  
[www.burlingame.org](http://www.burlingame.org)

August 1, 2018

08/07/2018 8:14 PM ESQ

Mr. John Funghi  
Chief Officer, Caltrain Modernization Program  
and for the Board of Directors, Peninsula Corridor Joint Powers Board  
1250 San Carlos Avenue  
San Carlos, CA 94070  
*By email and hard copy*

Subject: Peninsula Corridor Electrification Project (PCEP) – Proposed Modification to Siting for Paralleling Station 3 (PS-3) in Burlingame

Dear Mr Funghi:

On behalf of the Burlingame City Council and our City staff, I want to thank you and your team for joining us on-site at the Burlingame Corporation Yard today to review the options for locating PS-3 adjacent to our Corp Yard, rather than at any of the prior four alternative locations identified in the FEIR.

From the City's perspective, each of the options 1, 2 and 3 were sub-optimal given their location on the residential side of Burlingame. We have made it clear over several years that a deployment of a Paralleling Station, with its incumbent transformers, trucks, and industrial aspects, was better placed on the east side of Caltrain's tracks in Burlingame, which is in our commercial and light industrial zone, rather than on the west side of the tracks where a proposed PS-3 would be within 50' of private homes and nearby schools and parks. The challenge for Caltrain, as it was explained to us, is that the east side was set aside for the temporary "Shoofly" tracks needed to construct the Broadway Grade Separation project. Putting both the Paralleling Station and the Shoofly on the East side would require additional private property takes that are outside Caltrain's control. Therefore, the ability of Caltrain to negotiate access to its tracks for construction and operation of PS-3 was potentially very expensive and time consuming to acquire.

Based on our conversation today, I am pleased to report that we have reached a compromise that should allow Caltrain to construct PS-3 adjacent to and on the Burlingame City-owned Corporation Yard, with minimal impact on City operations to the extent technically feasible. Access would be provided through a secure Corp Yard parking lot. We have reviewed the matter internally and agree that this is the best solution for each agency.

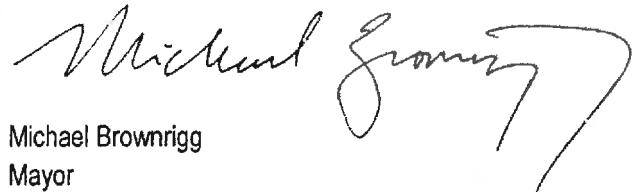
We note that certain specific terms may need to be resolved between our staffs over the days and weeks ahead, but this is the broad basis of our agreement.

1. Burlingame's Corporation Yard at 1361 N. Carolan will be host to PS-3, providing permanent access and maintenance property easement for the site and potentially some minimal land on which to construct PS-3.
2. The footprint of PS-3 will be designed as efficiently as possible, but in any event will be designed to fit within the as-built parameters on site. In particular, it will not require the City to move its back-up generator, and ideally it will allow roadway access to the right hand side so that staging materials can be stored on JPB land behind the adjacent property at 1379 North Carolan Street, minimizing the impact on Corp Yard space for staging. A temporary construction easement shall be provided to the JPB approximately 40' deep and 100' wide to be used as the PS-3 construction laydown area at no cost to the JPB.
3. To allow for future construction of a Shoofly track during the Broadway Grade Separation project, the PS-3 may need to encroach on Burlingame land; if so, the amount of land would be no more than approximately 20' deep and 100' wide (2000 ft<sup>2</sup>), inclusive of fencing. In this case, the parties will enter into either a long term lease or a purchase agreement, to be worked out in good faith between the respective parties at a cost not to exceed the fair market value per square foot.
  - a. There will be a clause in our agreement such that if, in the future, PS-3 disappears or for any reason Caltrain's need for the City land no longer exists, then the land will revert to the City's ownership at no cost to the City.
4. JPB shall install appropriate screening for Paralleling Stations as specified in the FEIR.
5. JPB shall provide the City with the engineering drawings and layout details in sufficient time for City staff to review them and provide comments, and shall coordinate the construction activity such that there is minimal impact to Public Works operations and the use of the City parking lot.
6. Any damage to City property as a result of the construction activity related to PS-3, shall be repaired in kind by the JPB and its contractor.
7. During construction and afterward, PS-3 will impair City parking at our Corp Yard, which is already constrained, and cause other expenses to the City. We have examined nearby parking options, and prices are significant. Therefore, in consideration for the access during and afterwards, and for other expenses, PCEP shall pay the City of Burlingame \$[60,000-150,000], final amount to be negotiated in good faith between the parties, taking in the balance of costs and benefits of the entire agreement.
  - a. The City shall join with PCEP to seek reimbursement of this sum from the San Mateo County Transportation Authority, as would have been the case with the proposed fee paid to SFPUC in one of the other alternatives. This is appropriate since a significant reason for these added costs is to make room for the future shoofly tracks associated with the planned future Broadway Grade Separation, which is a high priority for all parties.
8. The City will work in good faith with Balfour Beatty and your team to ensure 24/7 secure access to the construction site, materials, and other equipment, both during construction and afterwards.

9. It is the intention of both parties to formalize the above arrangements by August 21, 2018.

Again, we appreciate your flexibility and your willingness to work with us to identify a solution that will keep the PCEP construction schedule on time without roiling our residential neighborhoods, while also "future proofing" PS-3 against the Broadway Grade Separation project, another high-priority project for all concerned.

Sincerely,

A handwritten signature in black ink, appearing to read "Michael Brownrigg".

Michael Brownrigg  
Mayor

c: Burlingame City Council  
Lisa K. Goldman, City Manager  
Syed Murtuza, Public Works Director  
Art Morimoto, Assistant Public Works Director

**From:** LAWRENCE NAIMAN  
**Sent:** Friday, August 10, 2018 2:36 PM  
**To:** Board (@caltrain.com)  
**Subject:** Suggestion for Improved signage at rail crossings in Palo Alto

Here's an image and note I posted 2 days ago in our Nextdoor Neighbor site. It evoked quite a few responses, both pro and con.

I was encouraged by one of the responders to share it with you.

I realize there are discussions addressing how to 'fix' risky level crossings like this. My suggestion is made in the hope it will save a few lives in the interval of many years before the root problem has been fixed.

LN

 Lawrence Naiman, Charleston Meadows 1

### Better Signage at Level Railroad Crossings

Existing signage is not working.

On close exam in the accompanying photo I've superimposed (in red text, stating "DO NOT STOP OR TURN ON TRACKS) a suggested addition/modification to the existing 'standard' size black on white sign in the structure over the tracks (at Charleston, facing east). This large bright red sign could replace the existing sign. Ideally, this should be illuminated like other signs in the area (such as those announcing road work) so it could be more visible after dark.

The cost of doing this would be well worth the lives saved.



Edited 1d ago · 51 neighborhoods in Crime & Safety

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**From:** Henry Badger  
**Sent:** Wednesday, August 15, 2018 8:56 AM  
**To:** Board (@caltrain.com)  
**Subject:** Fare Payment Link Request

Hi,

I hope your day is going well!

My name is Henry Badger and I unfortunately got a citation for fare evasion on Caltrain on August 2nd (Violation Number: 32000016; Code: 3.03.1). I received the citation and have it in my home, but I am currently out of the country and forgot to bring the ticket with me that contained the link for me to provide payment.

I wanted to reach out to you personally because I will not be back in the United States until August 23rd, exactly 21 days from when I received the citation. Could you potentially send over the link to the site where I can pay the fine online? I wanted to pay the fine online and not have to worry about potentially receiving an additional \$25 late penalty.

Thank you and I'm looking forward to hearing from you soon!

Best Regards,

Henry Badger

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**From:** Roland Lebrun  
**Sent:** Wednesday, August 15, 2018 1:12 PM  
**To:** cacsecretary [@caltrain.com]  
**Cc:** Board (@caltrain.com); Caltrain, Bac (@caltrain.com); SFCTA CAC  
**Subject:** Engineering Rail Safety & Suicide Prevention  
**Attachments:** Safety barriers.pdf

Dear CAC Secretary,

Please distribute the attached image to members of the CAC.

Thank You.

Roland Lebrun

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**From:** [cacsecretary@caltrain.com](mailto:cacsecretary@caltrain.com) <[cacsecretary@caltrain.com](mailto:cacsecretary@caltrain.com)>  
**Sent:** Wednesday, August 15, 2018 12:05 PM  
**To:** [ccss@msn.com](mailto:ccss@msn.com)  
**Subject:** Updated Webpages

The following pages have been updated:

[Citizens Advisory Committee Meetings Calendar - Wednesday, August 15, 2018 8:55 AM](#)

The JPB CAC Presentation for August 15, 2018 meeting is now available.

To stop receiving email notifications, please unsubscribe [here](#).

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**From:** Brian  
**Sent:** Friday, August 17, 2018 2:27 PM  
**To:** Board (@caltrain.com)  
**Subject:** TRAIN HORN

PLEASE! Is there any way to get a little relief from the train horn at mile post 18 in San Mateo, I have lived at 1017 S B st for 22yrs and the train blowing the horn used to occur closer to 9th ( north bound) now it gets blown right at my house. Iam totally ok with that when pilots "gradually"pull the horn for a brief moment, but for some time now, there are very over zealous pilots that want to be as loud and obnoxious as possible. I live between the train and a busy street, with all the electrification construction noise and the horn, I am about to lose my mind. 2 gradual lite pulls at 25 yard separation ( or even 1 as some do) would make a world of difference to me and my families sanity. I am a peninsula native and cant afford to move.

Thank you for your consideration,

Best,

Brian Penn

San Mateo

Sent from my Verizon, Samsung Galaxy smartphone



COMMUNITY  
LEGAL SERVICES  
IN EAST PALO ALTO



HOUSING  
LEADERSHIP  
COUNCIL



PUBLIC INTEREST  
LAW PROJECT



August 17, 2018

Jim Hartnett, General Manager and CEO of Caltrain

Members of the Peninsula Corridor Joint Powers Board of Directors

Cheryl Brinkman, Peninsula Corridor Joint Powers Board Member

Gillian Gillett, Peninsula Corridor Joint Powers Board Member

Monique Zmuda, Peninsula Corridor Joint Powers Board Member

Charles Stone, Peninsula Corridor Joint Powers Board Member

Jeff Gee, Peninsula Corridor Joint Powers Board Member

Dave Pine, Peninsula Corridor Joint Powers Board Member

Jeannie Bruins, Peninsula Corridor Joint Powers Board Member

Cindy Chavez, Peninsula Corridor Joint Powers Board Member

Devora "Dev" Davis, Peninsula Corridor Joint Powers Board Member

**VIA MAIL AND ELECTRONIC MAIL**

**Re: Hayward Park Station Development**

Dear Members of the Peninsula Corridor Joint Powers Board of Directors,

We write to request full compliance with the California Surplus Land Act and with federal and state fair housing laws in Caltrain's proposed residential development on the site of its Hayward Park Station in San Mateo. Compliance with these laws will require exceeding the minimal affordable housing targets of the City of San Mateo's Below Market Rate Housing Program.

In particular, we ask that Caltrain withdraw from exclusive negotiations with a private developer—negotiations that Caltrain entered into without soliciting proposals to build at least 25 percent affordable housing units as required by the Surplus Land Act. Any disposition of this land must comply with the requirements of that Act and other applicable laws as set forth below.

California and the Bay Area are experiencing an unprecedented housing crisis that threatens our communities. Teachers, health care workers, and other people who serve our communities cannot afford to live in them. From 2010 to 2015, 72,800 jobs were created in San Mateo County, while just 3,844 new homes were built—one home for every 19 new jobs.<sup>1</sup> This imbalance is causing mass displacement of lower-income residents, who are forced to make

<sup>1</sup> California Economic Development Department (EDD). U.S. Census, American Community Survey 2010-2015. See <http://homeforallsmc.com/challenge>.

ever-longer commutes, adding to the traffic that chokes our region. Since 2010, congestion-related delays in the Bay Area have gotten 80 percent longer.<sup>2</sup>

Even in today's booming high-tech economy, 49 percent of all workers in San Mateo County earn less than \$50,000 per year. Yet to afford the average two-bedroom apartment, a family would need an income of \$118,800. The County desperately needs more transit-accessible housing that is affordable to its lower-income workers.<sup>3</sup> It is in this context that Caltrain, as a government agency, must honor its legal responsibilities to use its public land for public good.

#### A. The California Surplus Land Act Governs Caltrain's Disposition of Surplus Land

California's Surplus Land Act requires every "local agency," including Caltrain, to prioritize affordable housing when disposing of surplus land. (Gov. Code § 54222; *see generally* §§ 54220 et seq.) To accomplish this mandate, the Act sets forth detailed requirements that agencies must follow when selling or leasing land that is "no longer necessary for the agency's use." (*Id.* § 54221(b).)

Specifically, the agency must send a written offer to local affordable housing organizations for the purpose of selling or leasing the land to develop low- and moderate-income housing (Gov. Code § 54222(a)); give first priority to, and enter into good-faith negotiations with, entities that propose to make at least 25 percent of the total number of units developed on the parcel affordable to lower-income households (*Id.* § 54222.5); and give priority to the entity that proposes to provide the greatest number of affordable units at the deepest levels of affordability (*Id.* § 54227(a).) Even if a mutually agreeable proposal is not reached after 90 days of good-faith negotiations, any development on the site containing ten or more housing units must still include at least 15 percent of those units as affordable to lower-income households. (*Id.* § 54223; § 54233.) In either case, the units must remain affordable for at least 55 years. (*Id.* § 54222.5; § 54233.)

The written offer must be sent to the local city and county, to any local government agency involved in housing development, and to other housing developers that have requested notice. (Gov. Code § 54222(a).) The San Mateo County Department of Housing has published a list of organizations that must be contacted pursuant to the Surplus Land Act, and it has distributed that list to local agencies including Caltrain. San Mateo County Department of Housing included that list in a letter to the San Mateo Transit District, dated April 26, 2016. The letter stated forthrightly, "We request that prior to disposing of any surplus land, your agency provide these contacts with a written offer to sell or lease that land . . . as provided for by the California Surplus Land Act[.]" A copy of that letter is included herein. As noted in the letter, the list is available online at <https://housing.smcgov.org/ah-developers>.

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<sup>2</sup> Metropolitan Transportation Commission, Vital Signs Report (September 2017), available at <https://mtc.ca.gov/whats-happening/news/bay-area-vital-signs-freeway-congestion-hits-new-record-0>.

<sup>3</sup> Transform and Housing Leadership Council of San Mateo County, "Moving San Mateo County Forward: Housing and Transit at a Crossroads," (June 2018), available at <http://hlcsmc.org/wp-content/uploads/2018/06/HLC2018-MovingReport-v7web-1.pdf>.

As amended in 2014, the Surplus Land Act serves the express purpose of promoting affordable housing in the form of transit-oriented development:

The Legislature reaffirms its declaration of the importance of appropriate planning and development near transit stations, to encourage the clustering of housing and commercial development around such stations. . . . The sale or lease of surplus land at less than fair market value to facilitate the creation of affordable housing near transit is consistent with goals and objectives to achieve optimal transportation use. The Legislature also notes that the Federal Transit Administration gives priority for funding of rail transit proposals to areas that are implementing higher-density, mixed-use, and affordable development near major transit stations.” (Gov. Code § 54220(c).)

As the Legislature explained, “[s]tudies of transit ridership in California indicate that a higher percentage of persons who live or work within walking distance of major transit stations utilize the transit system more than those living elsewhere, and that *lower income households are more likely to use transit when living near a major transit station than higher income households.*” (*Id.*, emphasis added.)

In line with this goal, the Act empowers local agencies to “sell or lease surplus land at fair market value or at less than fair market value, and any such sale or lease at or less than fair market value . . . shall not be construed as inconsistent with an agency’s purpose.” (Gov. Code § 54226.) Reimbursement from the state may be available if this results in increased costs to the agency: “If the Commission on State Mandates determines that this act contains costs mandated by the state, reimbursement to local agencies and school districts for those costs shall be made” in accordance with state law. (A.B. 2135, § 8, as adopted.)

### B. The Proposed Development Materially Conflicts with the Surplus Land Act

In recent months, local news publications have reported that Caltrain is negotiating with for-profit developer Sares Regis to build more than 180 housing units on a 2.7-acre parking lot site at the Hayward Park Caltrain Station.

One article about the planned development quoted a Caltrain board member as saying that “board members understand the importance of building more affordable housing along transit corridors.”<sup>4</sup> The board member said he expected Caltrain to adopt a transit-oriented development policy requiring “10 to 20 percent” of housing units to be affordable for moderate-income families. In another news report, a transit official referred to the Hayward Park Station site as “low-hanging fruit” for the purpose of transit-oriented housing development, because it contains more than enough land for both housing and future railway use.<sup>5</sup>

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<sup>4</sup> “Caltrain Looks to Housing,” *San Mateo Daily Journal* (April 17, 2018) ([https://www.smdailyjournal.com/news/local/caltrain-looks-to-housing/article\\_b1561a68-41f4-11e8-a29c-539edeb77316.html](https://www.smdailyjournal.com/news/local/caltrain-looks-to-housing/article_b1561a68-41f4-11e8-a29c-539edeb77316.html)).

<sup>5</sup> “Will Caltrain Finally Push for Housing Around Its Stations?” *San Francisco Business Times* (July 10, 2018) (<https://www.bizjournals.com/sanfrancisco/news/2018/07/10/caltrain-housing-around-stations-tod-peninsula.html>).

It is commendable for Caltrain to support the goal of developing affordable housing in proximity to transit stations, and compliance with the Surplus Land Act is wholly consistent with that goal. Caltrain's determination to make land it no longer needs for railway use available for housing means the land is clearly "no longer necessary for [Caltrain's] use" and is therefore surplus under the Surplus Land Act. (Gov. Code § 54221(b).)

Legislative history confirms that the Surplus Land Act applies to projects such as Caltrain's planned housing development at the Hayward Park Transit Station. According to the legislator who authored the 2014 amendments to the Act, the "right of first refusal" to organizations that propose including at least 25 percent affordable units was "especially critical in light of state and local priorities for transit oriented development . . . , [which] will provide valuable opportunities to create new affordable housing options within sustainable communities." (A.B. 2135, Assembly Floor Analysis (2014).)

Accordingly, any real estate that Caltrain elects to sell or lease for non-railway use is subject to the requirements of the Surplus Land Act. Caltrain is not at liberty to define its own affordability standards in consultation with a private developer of its choosing. Rather, it must follow the Surplus Land Act's formal procedures—requesting bids from developers that plan to include at least 25 percent affordable units, negotiating with them in good faith, and giving priority to the developer that proposes to build the greatest number of affordable units at the deepest level of affordability, even if that means leasing the land at a rate below fair market value.

These entities must be notified before Caltrain moves to dispose of any surplus land. The organizations identified by the county have not been contacted with an offer to propose affordable housing development on the Hayward Park site. Instead, Caltrain has entered into exclusive negotiations with Sares Regis without following any of the procedures that the Surplus Land Act requires. By failing to notify and enter into good-faith negotiations with affordable housing developers, Caltrain has breached its duties under the Surplus Land Act.

### C. The Proposed Development Must Comply with Federal and State Fair Housing Law

Any housing development that Caltrain authorizes for the Hayward Park Station site must also comply with the federal Fair Housing Act (Title VIII of the Civil Rights Act of 1968),<sup>6</sup> California's Fair Employment and Housing Act (Gov. Code §§ 12900 et seq.),<sup>7</sup> and California law prohibiting discrimination against affordable housing (*Id.* § 65008(b).) The failure to comply with the Surplus Lands Act results in a violation of each of these.

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<sup>6</sup> The federal Fair Housing Act prohibits any practice that "actually or predictably results in a disparate impact on a group of persons or creates, increases, reinforces, or perpetuates segregated housing patterns. . . ." Department of Housing and Urban Development (HUD), Implementation of the Fair Housing Act's Discriminatory Effects Standard, 24 CFR 100.500(a).

<sup>7</sup> California's Fair Employment and Housing Act (FEHA) makes it "unlawful . . . to discriminate through public or private land use practices, decisions, and authorizations" that have "the effect, regardless of intent, of unlawfully discriminating on the basis of [a] protected class." (Gov. Code § 12955.8(b).)

Renters in San Mateo County are disproportionately racial and ethnic minorities.<sup>8</sup> Among lower-income renters in the county (those earning at or below the area median income), 84 percent are cost burdened, meaning they pay more than 30 percent of household income for rent. And 56% are severely cost burdened, paying more than 50 percent of household income for rent.<sup>9</sup> They and other lower-income, disproportionately minority households are in desperate need of affordable housing in San Mateo County.

Any new housing development that does not include a percentage of affordable units as mandated by the Surplus Lands Act will reduce the amount of housing that would otherwise be available for lower-income households and therefore will likely have a disparate impact on people of color and individuals with disabilities, violating state and federal fair housing law.

In addition, by failing to prioritize affordable housing as required by the Surplus Land Act, Caltrain is in violation of California's law prohibiting public agencies from discriminating in housing decisions based on “[t]he method of financing of any residential development” or “[t]he intended occupancy of any residential development by persons or families of very low, low, moderate, or middle income.” (Gov. Code § 65008.)

#### **D. The Proposed Development Must Exceed the City of San Mateo's Below-Market-Rate Housing Program**

In order to obtain planning approval in the City of San Mateo, any residential housing development of eleven or more units must reserve at least ten percent of the units as affordable for low- or moderate-income households. (City of San Mateo, Below Market Rate (Inclusionary) Program, § 3(a–b).)<sup>10</sup> But because the Surplus Land Act clearly applies to Caltrain's planned development at Hayward Park Station, that Act's more stringent requirements must govern the total percentage of units that will be affordable for at least 55 years. Even if negotiations with a priority affordable developer are not successful, the Surplus Land Act requires that fifteen percent of the units be affordable. As a public agency with a stated goal of promoting affordable housing, Caltrain should aspire to provide even more than the legal minimum number of affordable units. In light of the housing and congestion crisis, fifteen percent is inadequate.

The inclusionary policy is designed to regulate market-rate development on private land. This may be one of the last sizeable areas adjacent to a station. It is publicly owned, and therefore there is an obligation to meet more than the minimum standard. Affordable homes are not abundant in San Mateo, and this site is ideal for affordable housing.

---

<sup>8</sup> For example, while just 33% of white households are renters, 64% of Hispanic households and 65% of black households in San Mateo County are renters. U.S. Census Bureau, 2016 American Community Survey 5-Year Estimates, available at [www.factfinder.census.gov](http://www.factfinder.census.gov).

<sup>9</sup> HUD CHAS data, 2009–2013, available at [https://www.huduser.gov/portal/datasets/cp/CHAS/data\\_querytool\\_chas.html](https://www.huduser.gov/portal/datasets/cp/CHAS/data_querytool_chas.html).

<sup>10</sup> Available at <https://www.cityofsanmateo.org/DocumentCenter/View/1808/Below-Market-Rate-Units-Inclusionary-Program>.

#### E. Request for Compliance

We request that the Board of Directors act immediately to ensure that Caltrain is in full compliance with these laws as it pursues redevelopment of the Hayward Park Station site. Specifically, the Board should: 1) withdraw from exclusive negotiations with Sares Regis and 2) fully comply with the Surplus Land Act, state and federal fair housing law, and local affordable housing requirements when soliciting proposals and adopting plans for development of the site. If the Board adopts a policy in conflict with state, federal, or local law, we may be forced to seek appropriate relief in court.<sup>11</sup>

By complying with these legal requirements, the Board will also demonstrate responsible stewardship of public land and promote a vision for Caltrain that supports inclusion and diversity as part of its approach toward sustainable, transit-oriented development. If you have any questions, or wish to discuss further our position in this matter, you can reach us directly at (650) 391-0375. We look forward to a timely resolution of this matter without resort to litigation.

Sincerely,



Rene Alejandro Ortega, Esq.  
Senior Housing Attorney  
Community Legal Services in East Palo Alto  
1861 Bay Road  
East Palo Alto, CA 94303  
[rortega@csepa.org](mailto:rortega@csepa.org)  
(650) 391-0375

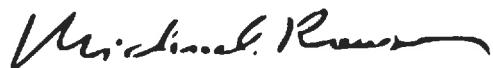
<sup>11</sup> Public agencies have faced high-profile lawsuits to compel compliance with the Surplus Land Act. In San Jose, residents and nonprofit housing organizations sued the city over its policy of promoting mostly luxury housing development in contravention of the Surplus Land Act. See “Housing Groups Sue San Jose, Saying Policy Shift ‘Undercuts’ State Affordable Housing Law,” *Silicon Valley Business Journal* (July 22, 2016) (<https://www.bizjournals.com/sanjose/news/2016/07/22/housing-groups-sue-san-jose-saying-policy-shift.html>). In Inglewood, a coalition of residents has sued to challenge the city’s entry into an exclusive negotiating agreement to construct a sports stadium on public land without following the Surplus Land Act’s procedures. See “Inglewood Residents Sue to Block Clippers Arena,” *Curbed Los Angeles* (June 20, 2018) (<https://la.curbed.com/2018/6/19/17480328/inglewood-lawsuit-clippers-area-housing>). And the city of Oakland responded to public pressure by withdrawing a planned sale of public land for market-rate housing development, instead complying with the Surplus Land Act by soliciting proposals from developers of affordable housing. See “City of Oakland Finally Obeys Law; Offers Publicly Owned East 12th St. Land to Affordable Housing Developers,” *East Bay Express* (July 16, 2015) (<https://www.eastbayexpress.com/SevenDays/archives/2015/07/16/breaking-news-oakland-finally-obeyslaw-offers-publicly-owned-east-12th-st-land-to-affordable-housing-developers>).

Peninsula Corridor Joint Powers Board of Directors  
August 17, 2018

Page 7 of 7



Jonathan Erwin-Frank  
Housing Attorney  
Community Legal Services in East Palo Alto  
1861 Bay Road  
East Palo Alto, CA 94303  
[Jerwin-frank@clsepa.org](mailto:Jerwin-frank@clsepa.org)  
(650) 391-0360



Michael Rawson  
Director  
Public Interest Law Project



Evelyn Stivers  
Executive Director  
Housing Leadership Council of San Mateo County



Victoria Fierce  
Executive Director  
California Renters Legal Advocacy and Education Fund

cc: San Mateo County Transit District  
cc: California Department of Housing and Community Development



**Main Office - Department of Housing**  
264 Harbor Blvd., Building A Belmont, CA 94002-017  
  
**Housing Community Development**  
Tel: (650) 802-5050  
  
**Housing Authority of the County of San Mateo**  
Tel: (650) 802-3300

**Board of Supervisors:**

Dave Pine  
Carole Groom  
Don Horsley  
Warren Slocum  
Adrienne J. Tissier

**Director:** Kenneth Cole

April 26, 2016

San Mateo Transit District  
1250 San Carlos Ave.  
San Carlos, CA 94070

Re: Surplus Land Act: written request for notification of public land disposal

Dear San Mateo County Transit District

The San Mateo County Department of Housing is contacting you on behalf of affordable housing developers who have been active in San Mateo County. We have enclosed a contact list of developers, but you can also access this list on our website, at: (<http://housing.smegov.org/ah-developers>). These affordable housing developers serve low-income families, seniors, and people with disabilities in our County.

We request that prior to disposing of any surplus land, your agency provide these contacts with a written offer to sell or lease that land for the purpose of developing low- and moderate-income housing as provided for by the California Surplus Land Act, Government Code §54222(a). This law requires that, whenever a local agency sells or leases its surplus property, the agency shall prioritize affordable housing and other vital state purposes. It also requires that the agency, when selling or leasing its surplus property, send an offer to "housing sponsors" who have made a written request for an offer. The purpose of this letter is to provide you with the attached list of developers who are housing sponsors and have, through this letter, made such written request to receive such offers.

Please circulate this request to all relevant personnel, departments, and offices that may be involved in holding or disposing of land.

Thank you for your attention.

Sincerely yours,

Janet Stone,  
Housing Policy and Development Manager

Updated First Name	Last Name	Title	Organization	Address	City	State	Zip/Code	Telephone	E-mail Address
4/6/2016	J.P.	Stocco Proctor	Dep. Dir. RE Development - CA Development Dir. VP of Residential Services	Beacon Development Group Beacon Development Group	6120 Stoneridge Mall Rd., Ste. 300 1221 East Pike St., Suite 300	Pleasanton Seattle	94588 98122 94588	925-924-1112 206-1987 925-674-7170	jstocco@beacondevgroup.com cmindm@theacondevgroup.com lcoleman@rafftoncommunities.org
4/6/2016	Linda	Coleman	President and CEO Sr. Vice President	BRIDGE Housing Corporation BRIDGE Housing Corporation	600 California Street, Suite 900 500 California Street, Suite 900	San Francisco San Francisco	94108 94108	415-985-1111 415-321-3555	cparke@bridgehousing.com bwilbin@bridgehousing.com
4/6/2016	Cynthia	Parker	Exec. Director Project Manager	Brilliant Corners Brilliant Corners	1390 Market St., Suite 405 1360 Market St., Suite 405	San Francisco San Francisco	94102 94102	415-618-0012 x201 415-618-0012 x211	bill@brilliantcorners.org ping@brilliantcorners.org
4/6/2016	Brad	Whibley	Exec. Director Dir. of Housing Devel	Charities Housing Charities Housing	1400 Parkmoor Ave. #100 1400 Parkmoor Ave. #100	San Jose San Jose	95126 85726	408-550-9300 408-550-8300	dwn@charitieshousing.org krohnsion@charitieshousing.org
4/6/2016	Bill	Fickett	Project Manager Vice President of Development	The CORE Companies - Affordable Housing The CORE Companies - Affordable Housing	470 South Market St. 470 South Market St.	San Jose San Jose	95113 85113	408-292-7814 x42 408-292-7814 x14	dpalma@incorecompanies.com phipps@incorecompanies.com
4/6/2016	Pling	Chan	Pres & CEO Dir. of RE Devolopment	EAH Housing EAH Housing	2169 E. Francisco Blvd., Ste. B 2169 E. Francisco Blvd., Ste. B	San Rafael San Rafael	94901 94901	415-258-3800 x8823	murphyash@eahousing.org admin@eahousing.org
4/6/2016	Dan	Wu	Dep. Dir. RE Development	Eden Housing	22845 Grand Street 22845 Grand Street	Hayward Hayward	94541 94541	510-582-1460 510-582-1460	edensira@edenhousing.org asgood@edenhousing.org
4/6/2016	Kathy	Robinson	President	Eden Housing	22845 Grand Street	Hayward	94541	510-582-1460	imandolini@edenhousing.org
4/6/2016	Deirdi	Pearmer	Project Manager	EPA CAN DO	2369 University Avenue	East Palo Alto	CA	94303	Rioses@EPACANDO.org
4/6/2016	Paul	Ring	Dir. of Ops & Development	First Community Housing	75 E. Santa Clara Street 75 E. Santa Clara Street	San Jose San Jose	95113 95113	95113	seomeym@firstthousing.org
4/6/2016	Chris	Neale	Vice President	First Community Housing	75 E. Santa Clara Street 75 E. Santa Clara Street	San Jose San Jose	95113 95113	95113	lomile@firstthousing.org
4/6/2016	Mary	Murtagh	Pres & CEO	First Community Housing	500 Washington St., Suite 250	San Francisco	CA	94107	415-625-1015
4/6/2016	Alvin	Bonnett	Dir. of RE Devolopment	Habitat for Humanity Greater San Francisco	500 Washington St., Suite 250	San Francisco	CA	94107	415-625-1042
4/6/2016	Errol	Dominguez	Dep. Dir. RE Development	Habitat for Humanity Greater San Francisco	500 Washington St., Suite 250	San Francisco	CA	94107	415-625-1045
4/6/2016	Andy	Maderia	Dir. VP. Real Estate Development	Habitat for Humanity Greater San Francisco	500 Washington St., Suite 250	San Francisco	CA	94107	415-625-1044
4/6/2016	Andrea	Osgood	Director of Real Estate Dev.	Habitat for Humanity Greater San Francisco	500 Washington St., Suite 250	San Francisco	CA	94107	415-625-1046
4/6/2016	Linda	Mandolini	President	Habitat for Humanity Greater San Francisco	500 Washington St., Suite 250	San Francisco	CA	94107	415-625-1046
4/6/2016	Robert	Jones	Exec. Director	HIP Housing	364 South Railroad Avenue	San Mateo	CA	94401	650-348-6660
4/6/2016	Geoffrey	Morgan	Interim CEO & Dir. Development	Habitat for Humanity Greater San Francisco	364 South Railroad Avenue	San Mateo	CA	94401	650-348-3660
4/6/2016	Thomas	Iannesi Williams	Dir of Ops & Development Sr. Project Mgr	Habitat for Humanity Greater San Francisco	500 Washington St., Suite 250	San Francisco	CA	94107	415-625-1015
4/6/2016	Regina	Celeste Williams	Exec. Director	Habitat for Humanity Greater San Francisco	500 Washington St., Suite 250	San Francisco	CA	94107	415-625-1042
4/6/2016	Kristine	Leija	VP Real Estate Dev	Habitat for Humanity Greater San Francisco	500 Washington St., Suite 250	San Francisco	CA	94107	415-625-1045
4/6/2016	Sunita	Seshardi	Project Manager	Habitat for Humanity Greater San Francisco	500 Washington St., Suite 250	San Francisco	CA	94107	415-625-1046
4/6/2016	Justin	Abright	Assistant Project Manager	Habitat for Humanity Greater San Francisco	500 Washington St., Suite 250	San Francisco	CA	94107	415-625-1047
4/6/2016	Emily	VanLoon	Assoc. Exec. Dir.	HIP Housing	364 South Railroad Avenue	San Mateo	CA	94401	650-348-3660
4/18/2016	Katie	Conforti Hair	Executive Director	HIP Housing	364 South Railroad Avenue	San Mateo	CA	94401	650-348-3660
4/18/2016	Laura	Fanucchi	Executive Director	HIP Housing	364 South Railroad Avenue	San Mateo	CA	94401	650-348-3660
4/4/2016	Sarah	Lambert	Lesley Senior Communities	Lesley Senior Communities	701 Arnold Way, Suite 100	Half Moon Bay	CA	94019	650-726-3888
4/4/2016	Melissa	Platte	Exec. Director	Mental Health Assoc. of San Mateo Co	2888 Spring Street	Redwood City	CA	94083	650-388-3345x136
4/6/2016	Barbara	Gualtico Holder	Dir. of Housing Devel. Director of Real Estate Acquisition	Mercy Housing California	1360 Mission Street, Suite 300 1500 S. Grand Ave., Suite 100	San Francisco Los Angeles	CA CA	94103 90015	415-355-7117 213-743-5530
4/6/2016	Jean	Lindenthal	Dir. of RE Development	MidPen Housing Corporation	303 Vintage Park Drive, Suite 250	Foster City	CA	84404	650-356-2819
4/6/2016	Matt	Franklin	Proj. & CEO	MidPen Housing Corporation	303 Vintage Park Drive, Suite 250	Foster City	CA	94404	650-356-2900
4/6/2016	Keri	Lung	Senior Project Manager	MidPen Housing Corporation	303 Vintage Park Drive, Suite 250	Foster City	CA	94404	650-356-2863
4/6/2016	Au-Yeung	Feix	Dir. Of Business Dev.	MidPen Housing Corporation	303 Vintage Park Drive, Suite 250	Foster City	CA	94404	510-426-5667
4/6/2016	Nevada	Merriam	Project Manager	MidPen Housing Corporation	303 Vintage Park Drive, Suite 250	Foster City	CA	94404	650-356-2915
4/6/2016	Lily	Gray	Str. Business Dev. Manager	MidPen Housing Corporation	303 Vintage Park Drive, Suite 250	Foster City	CA	94404	650-356-2963

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**From:** Dana Jordan  
**Sent:** Thursday, August 23, 2018 8:28 AM  
**To:** Nabong, Sarah  
**Cc:** bikesonboard@sfbike.org; Board (@caltrain.com); Bartholomew, Tasha; cac@caltrain.com; Caltrain, Bac (@caltrain.com)  
**Subject:** Capacity of Bikes on Caltrain Comment

Hi there! I am currently on the # 222 train (boarded at San Mateo-getting off in Menlo) and in San Mateo I was waiting with three other bikers to board the train. The conductor was very nice about it but had to bump the three others (thankfully I get to the station early to avoid being bumped myself).

When I got in the train I noticed a few racks with only 3bikes and quite a bit of space but the conductor abides by the 40 TOTAL bikes -thus bumped the others . Just wanted to let someone know -and show a pic- to indicate the plethora of space , even with the max amount of bikes. I definitely understand the safety issue but thought, in a situation like this, it warrants a conversation to help out those bikers who are bumped but could possibly have been accommodated.

Thanks for listening-

Dana

(FYI- I did ask everyone in the bike car for permission to take this photo)



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**From:** Rene Alejandro Ortega <rortega@clsepa.org>  
**Sent:** Monday, August 27, 2018 3:53 PM  
**To:** Board (@caltrain.com); MTABoard@sfmta.com; Gee, Jeff [jgee@redwoodcity.org]; council@redwoodcity.org; Pine, Dave [dpine@smcgov.org]; board.secretary@vta.org; Chavez, Cindy [cindy.chavez@bos.sccgov.org]; district6@sanjoseca.gov  
**Cc:** Evelyn Stivers; Leora Tanjuatco; Mike Rawson; Jonathan Erwin-Frank; Victoria Fierce  
**Subject:** Caltrain - Hayward Park Station Development - Request for Further Information  
**Attachments:** Letter re Hayward Park Station SLA Compliance - 8.17.18.pdf

Dear Members of the Peninsula Corridor Joint Powers Board of Directors,

We have asked that the Board withdraw from exclusive negotiations with Sares Regis for the Hayward Park Station site and fully comply with Surplus Land Act (SLA or the "Act"). In light of available information, it is our strong belief that in all of the years during which development of the site has been under consideration, the Board did not comply with the SLA by, among other things, sending a written offer or offers to those entities as required by the Act.

As stated in our August 17, 2018 letter to you (see attached), we are hoping for a timely resolution of this matter without resort to litigation. As such, we are requesting copies of the following documents or communications which may show evidence of compliance with the Act:

1. Any and all written offers or written communications discussing development of the site sent to the San Mateo County Department of Housing, the City of San Mateo, San Mateo County, or any agents or employees of those governmental entities, or any constituent organizations, agencies, or sub-parts of those governmental entities.
2. Any and all written offers or written communications discussing development of the site sent to housing developers, or any agents or employees thereof.
3. Any and all requests for statement of qualifications ("SOQ"), requests for proposals ("RFP"), or requests for quotation ("RFQ"), or other reports, documents, or communications requesting offers for development, and any documentation or communication demonstrating to whom they were sent.
4. Any written requests from housing developers, or any agents or employees thereof, received by the Board, Caltrain, or any agents or employees, constituent organizations, constituent agencies, or sub-parts of the Board or Caltrain, that discuss development of the subject site.

**Please note that regardless of written requests received, you were obligated to send written offers to sell or lease the property for the purpose of developing low- and moderate-income housing to the city, county, and any other public entities with jurisdiction, as defined in the Act. Gov. Code § 54222(a).**

Please let me know if you wish to discuss the above further. I am available by phone at (650) 391-0375, or by e-mail at [rortega@clsepa.org](mailto:rortega@clsepa.org).

Best regards,  
René Alejandro Ortega and  
Jonathon Erwin-Frank  
Community Legal Services in East Palo Alto

Evelyn Stivers  
Housing Leadership Council

Michael Rawson  
Public Interest Law Project

Victoria Fierce  
California Renters Legal Advocacy and Education Fund

--  
**Rene Alejandro Ortega\*, ESQ. | SENIOR HOUSING ATTORNEY**  
Community Legal Services in East Palo Alto  
[www.clsepa.org](http://www.clsepa.org)  
Phone: (650) 391-0375 | Fax: (866) 688-5204  
1861 Bay Road | East Palo Alto, CA 94303

\*Admitted to practice law in California (2016), New York (2004), and Connecticut (2003)

**CONFIDENTIALITY NOTICE**

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JIM HARTNETT  
EXECUTIVE DIRECTOR

August 29, 2018

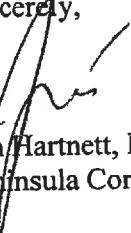
Mayor Michael Brownrigg  
Burlingame City Hall  
501 Primrose Rd  
Burlingame, CA 94010

Dear Mayor Brownrigg,

On behalf of Caltrain, I would like to extend my sincerest gratitude and thanks for the City's efforts on the relocation of Paralleling Station 3, a key component of Caltrain Electrification. The swift collaboration of City Council, staff, and residents brought about a favorable solution for both Caltrain and the City.

I look forward to continuing our productive relationship with the City as we endeavor to improve the transportation options for residents of Burlingame and the broader Peninsula.

Sincerely,



Jim Hartnett, Executive Director  
Peninsula Corridor Joint Powers Board

CC: Burlingame City Council  
Lisa Goldman, City Manager  
Syed Murtuza, Director of Public Works  
Peninsula Corridor Joint Powers Board